STATE OF DELAWARE

DELAWARE HEALTH AND SOCIAL SERVICES
DIVISION OF MANAGEMENT SERVICES
1901 N. DuPont Highway
New Castle, DE 19720

REQUEST FOR PROPOSAL NO. HSS 11-051

FOR

Delaware Background Check System

FOR

Division of Long Term Care Residents Protection
DIVISION ADDRESS

Deposit	**Waived**
Performance Bond	**Waived**
Date Due:	***June 15, 2011*** ***2:00 PM Local Time***

A mandatory pre-bid meeting will be held on May 17, 2011, 10:00 AM at:

Department: Delaware Health and Social Services
Building: Smyrna State Service Center
Address: 200 South DuPont Boulevard, Suite 101
City: Smyrna State: DE Zip: 19977

All bidders who wish to bid on this proposal must be present, on time, at the mandatory pre-bid meeting. No proposals will be accepted from bidders who either did not attend the mandatory pre-bid meeting or who are more than fifteen (15) minutes late. Interested parties intending to attend the mandatory pre-bid meeting must RSVP by calling (302) 255-9290 or e-mailing: DHSS_DMS_DMSprocure@state.de.us

RFP Publication Date – April 11, 2011
REQUEST FOR PROPOSAL # **HSS 11-051**

Sealed proposals for ***Delaware Background Check System*** for the ***Division of Long Term Care Residents Protection, Division Address*** will be received by the Delaware Health and Social Services, Herman M. Holloway Sr. Campus, Procurement Branch, Main Administration Building, South Loop, Second Floor, Room #257, 1901 North DuPont Highway, New Castle, Delaware 19720, until 2:00 PM local time, on June 15, 2011, at which time the proposals will be opened and read. A **mandatory** pre-bid meeting will be held on May 17, 2011at 10:00 AM at:

Department: Delaware Health and Social Services
Building: Smyrna State Service Center
Address: 200 South DuPont Boulevard, Suite 101
City: Smyrna State: DE Zip: 19977

For further information concerning this RFP, please contact ***John Glauser, PMP*** at (302) ***577-7295, Ext 254***.

All RFPs can be obtained online at either http://bids.delaware.gov . A Transmittal Letter must be submitted with your proposal. Specifications and administration procedures may be obtained at the above office or phone (302) 255-9290.

NOTE TO VENDORS: Your proposal must be signed and all information on the signature page completed.

IMPORTANT: ALL PROPOSALS MUST HAVE OUR HSS NUMBER (HSS-11-051) ON THE OUTSIDE ENVELOPE. IF THIS NUMBER IS OMITTED YOUR PROPOSAL WILL IMMEDIATELY BE REJECTED

FOR FURTHER BIDDING INFORMATION PLEASE CONTACT:

Bruce Krug
DELAWARE HEALTH AND SOCIAL SERVICES
HERMAN M. HOLLOWAY SR. CAMPUS
PROCUREMENT BRANCH
MAIN BLD-2ND FLOOR –ROOM #257
1901 NORTH DUPONT HIGHWAY
NEW CASTLE, DELAWARE 19720
PHONE: (302) 255-9290

Public Notice

Public notice has been provided in accordance with 29 *Del. C.* § 6981

This contract resulting from this RFP shall be valid for the period of time as stated in the contract. There will be a ninety (90) day period during which the agency may extend the contract period for renewal if needed.

If a bidder wishes to request a debriefing, they must submit a formal letter to the Procurement Administrator, Delaware Health and Social Services, Main Administration Building, Second Floor, (South Loop), 1901 North DuPont Highway, Herman M. Holloway Sr. Campus, New Castle, Delaware 19720, within ten (10) days after receipt of "Notice of Award". The letter must specify reasons for request.

IMPORTANT: DELIVERY INSTRUCTIONS

IT IS THE RESPONSIBILITY OF THE BIDDER TO ENSURE THAT THEIR PROPOSAL HAS BEEN RECEIVED BY DELAWARE HEALTH AND SOCIAL SERVICES BY THE DEADLINE.

Table of Contents

1 Project Overview

1.1 Introduction

This is a Request for Proposal (RFP) for a Delaware Background Check System issued by the Division of Long Term Care Residents Protection (the Division).

The goal for the DBCS is to consolidate the background check process into a single integrated system by establishing interfaces with existing systems to ensure the timely processing of applicants against various registries, criminal histories and drug test results. By consolidating this process, it will streamline access to background check information and expedite the hiring of eligible applicants. It will ensure the accuracy of the data examined, and enable a quicker thorough and comprehensive review of an individual's background prior to hire.

The proposed DBCS is an integrated web based workflow management system. This system should maintain applicant and employer demographics, background check information and associated documents.

LTCRP requires a new web based application that uses the latest database and web based technologies. The DBCS must be fully integrated so employers have a single point of data entry that interfaces with various data sources to streamline the background check process. This will eliminate the need to access multiple systems for processing an applicant's background check.

Major components of the proposed system include an employer dashboard module, LTCRP dashboard module, image storage and viewing module, accounting records module, system administration and security module and reporting module. Rules govern the system, making it more intuitive and efficient.

This project will entail developing a Background Check system which will serve as the standard for automated Background Checking. As such, the system must be scalable and flexible in order to add new partners.

1.2 Background and Purpose

Problem

Abuse, neglect and financial exploitation have been identified as widespread problems for millions of Americans receiving long term care services. Protecting this vulnerable population continues to be a national challenge.

To help address the problem, the US Department of Health and Human Services' Centers for Medicare & Medicaid Services (CMS) has adopted regulations that prohibit long term care facilities and employers from employing individuals who have a history of abuse, neglect, or financial exploitation. To assist in accessing criminal history information, Congress enacted Public Law 105-277 in 1998 which allows long term care facilities to secure from the FBI database criminal history information.

To the same end, the State of Delaware has adopted statutes which require that long term care facilities secure both the state and federal criminal background information, secure a drug test to screen out individuals misusing controlled substances and vet applicants through various state and federal registries. The full range of necessary checks, criminal, drug, and registry, is referred to as a Background Check.

Long Term Care Residents Protection (LTCRP) is the Division which handles criminal background checks (CBC) for prospective employees in the following types of long term care settings: skilled nursing, assisted living, group homes, neighborhood homes, and community residences. It also handles CBCs for employees who work for employers of home health care, hospice care, adult day care and personal care services, even though other Divisions of DHSS monitor provision of such care. LTCRP also oversees the Adult Abuse Registry, and the Nurse Aide Registry.

The current process for Background Checks is fragmented and primarily manual. More importantly, it is slow and may be unreliable. The system provides the opportunity to get information regarding the new arrest of a current employee called a “rap-back”. The “rap-back” system is both cumbersome and manual.

Currently, each prospective employer using its own procedures must separately check various registries, arrange for drug screening tests, and send the applicant for fingerprinting in order to secure a criminal history. Each registry is a different data source which requires the employer to enter key identifying information. The process results in redundant data entry.

Other deficiencies include a lack of data integration, insufficient documentation of proceedings containing disqualifying information, inconsistent processes, and too much reliance on paper documents.

The Grant

On September 30, 2010, LTCRP was awarded a 24-month grant from CMS to develop a background check system for direct patient access employees of long term care facilities and other care employers. The goal is to develop a system that creates a one-stop, integrated data source, the Delaware Background Check System (DBCS) where employers can find information from pertinent registries and results from drug testing laboratories and criminal history checks to make appropriate employment eligibility decisions.

1.2.1 Issues

During the planning project, several issues with the current process were identified. The following identified problems were considered in determining requirements for a new automated system:

- Fragmented Sources of Information
- Lack of Data Integration
- Inefficient and Time Consuming Processes
- Lack of Proper Documentation and Audit Trails
- Inconsistent Manual Processes
- Too Much Reliance on Paper Documents
- Criminal Histories Containing Missing Dispositions
- Lack of Prioritization in the Process Ordering

The current process of obtaining background check information requires numerous inefficient, ineffective and inconsistent manual processes. The manual processes are scattered, potentially resulting in unproductive use of personnel. The current system does not lend itself to a smooth, logical workflow, creating the potential for mismanaged resources. Additionally, it does not prioritize. This means that individuals that could be disqualified initially from the free registry checks may be sent for drug test and criminal history checks unnecessarily wasting time and money.

The employers currently access multiple data sources to obtain the required information about a prospective employee ("applicant"). The lack of data integration requires employers to access several databases to check the available registries. Employers currently check registries that are separate online systems which require them to enter redundant identifying information multiple times. This is time consuming and inefficient. In addition, criminal background check results are delivered manually via the US mail. This delays the ability for employers to quickly process prospective employees.

Additionally, the current background check process does not record which data sources have been checked by employers. There is currently no systematic method of documenting the current process and documentation relies on paper records. Therefore, it is possible that information about prospective employees may be overlooked or misrepresented. Such actions could have legal ramifications.

The State of Delaware's current system for alerting LTCRP and employers of new arrests of long term care employees (rap-back system) has some minor deficiencies. This is partly because the LTCRP does not have a single current list of all individuals who provide direct care to residents or current places of employment. The existing rap back process involves a monthly report generated from CJIS on all applicants who have been fingerprinted for long term care employment. This report contains all new arrest information in the Delaware Criminal Justice Information System (CJIS or DELJIS) system on applicants. LTCRP reviews this report and makes discretionary decisions on disqualifying arrests, then notifies the employer that their applicant has had a new disqualifying arrest. In order for this process to be more effective, an accurate, up to date, master employee list is required.

The criminal history information from other jurisdictions provided by the FBI is occasionally incomplete. The criminal history report will show arrests for an alleged offense but will not contain a disposition of the offense. As a result, the burden shifts to the applicant to prove the disposition of the charges. Tracking of follow-up in these situations is done manually.

All these deficiencies within the current system make the current process time consuming and inefficient and result in unnecessary cost. These deficiencies need to be addressed to improve the process.

1.2.2 Existing Information Systems

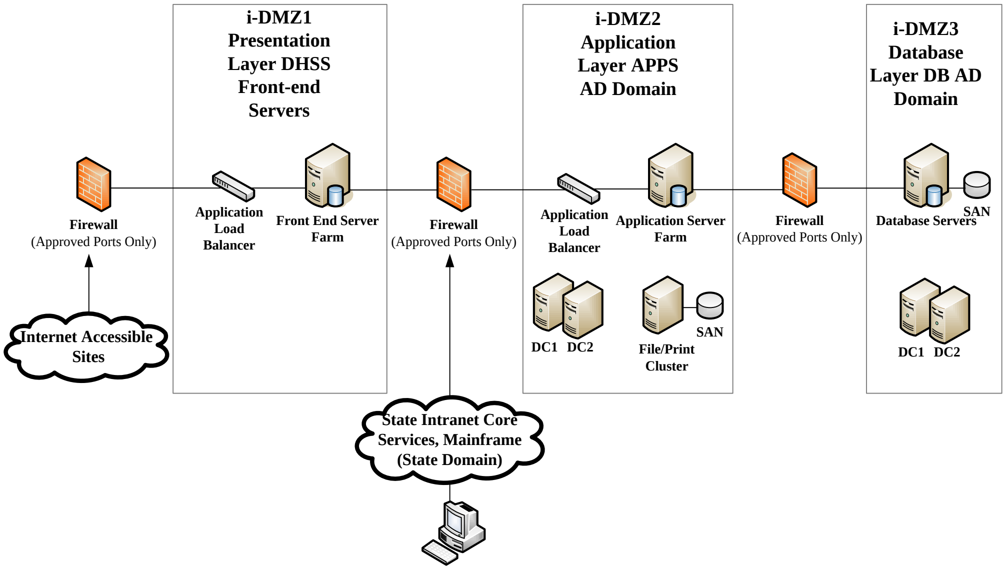
The existing information system infrastructure consists of a Mainframe, Client Server and Web Application environment. The network infrastructure provides Wide Area Network (WAN) connectivity through standard protocols IPv4, Ethernet, 802.11, Verizon's Transparent LAN Services (TLS) minimum 10Mbs, Verizon DSL, and Comcast Cable Broadband. The Local Area Network (LAN) connects the desktop computers by Cisco switching.

A DHSS mainframe application runs on a three-way processor, IBM System z10 mainframe located at the Biggs Data Center in New Castle County, DE. The mainframe database is DB2. System support is provided under contract to DHSS by the Delaware Department of Technology and Information (DTI). The mainframe production system is not available for 24x7 applications. The following are the primary characteristics of the mainframe environment:

- Operating system: z/OS
- Communications manager: CICS TS
- Security management: ACF2
- Third generation language: ADS Plus (no new development)
- Development software: Enterprise COBOL for z/OS
- Change control software: Serena ChangeMan
- Middleware: DataDirect Shadow z/Direct (ODBC) and z/Services (web services)
- Backup: Flash Copy
- CA ESP Sheduler

The client server environment consists primarily of legacy systems. At this time, there is no new client server development. The development software includes Centura Team Developer, PowerBuilder, and Borland Delphi. Microsoft Visual Source Safe is used for change control.

DHSS currently develops and supports web applications. A .NET Framework Template must be used for new/custom DHSS Web Applications and can be obtained from DHSS IRM Base Technologies. The infrastructure consists of a generic three tiered architecture as outlined below:



- **No Trust Exists between any domains**
- **No Microsoft Networking/Shares allowed Between any firewalled subnets**

The overall architecture consists of a Presentation, Application and Database Layer. The web server is a Microsoft Internet Information Server (IIS). The Application Framework is Microsoft .NET, while the Application development software is Microsoft Visual Studio .NET/C#. Data Modeling is performed using Microsoft Visio, and the Change Control Software is Microsoft Visual Source Safe. The database environment is Microsoft SQL Server.

The desktop environment consists of numerous desktop computers connected together by the DHSS LAN. The desktops run a Microsoft operating system and are equipped with applications such as Microsoft Office, McAfee Anti-Virus, Jolly Giant QWS 3270 Secure, Citrix Client, Adobe Reader, and Internet Explorer. Crystal Reports, and SQL Server Reporting Services are used for ad-hoc reporting.

Part of the Information infrastructure includes the CBC Module and Facility Maintenance System. The existing CBC application used by LTCRP is one of several modules using a Delphi Graphical User Interface with a SQL Server 2005 database. Users connect to the CBC application through a Citrix secure gateway connection. DHSS IRM developed, maintains and hosts the current CBC application. The primary CBC data and directly related FMS data resides in the following database tables:

- CBC Investigation
- CBC Criminal History
- CBC Applicant
- CBC Employer
- CBC Individual
- CBC Letters List
- CBC Letters Sent
- CBC Offense
- CBC Investigation List
- CBC Charge List

- CBC Deletions
- Facility Table

The existing CBC module will be maintained as a repository for historical information.

1.2.3 Overview of the Proposed Process

The primary features include a user friendly web browser interface with drop down menus, icons and buttons making it easy to navigate between screens. A website homepage will serve as the entry to the DBCS where users will be able to sign in. The system will also have the capability to interface with other data sources.

Assumptions about metrics for the proposed system are:

500 Users

Average of 11,000 Employment Applications per year.

Six .PDF Image files per Employment Application (1 three-part consent form, 1 DSCYF Letter, 1 Drug Test Result, 1 State CBC Report, 1 Federal CBC Report, 1 DLTCRP Determination Letter)

Total .PDF Image contents average 12 pages per Employment Application
--Three-part Consent Form will be 4 pages
--DSCYF letters, DLTCRP Determination Letters and Drug Test results are 1 page each (3 pages total)
--State and Federal CBC Reports combined average 5 pages total (includes copy of consent form pages)

Enhanced keyword search capabilities will be available to quickly retrieve existing employer, applicant and background check information. The DBCS will maintain all the applicant and employer profile information required to conduct a background check.

The proposed system is designed with multitier security and various safeguards to ensure data integrity such as data validation, error checking, and data entry time stamps. System security and administration is controlled for the employer, LTCRP, and participating agencies for each module. Firewall protection secures the system from unwanted intrusion and securely handles multiple users.

One of the goals of the proposed DBCS is to automate functions and streamline operations. For example, the DBCS will create automated documents such as CBC Letters, Service Letters, Criminal History and Drug Test Requests Forms. Some letters and documents are used to notify employers of background check outcomes. There are approximately 25 letters and forms that need to be automated.

The reporting features are a key element of the system that will permit designated users to view useful statistical information. Reports shall be displayed for users in the DBCS with the ability to be printed. Printing capabilities are a requirement of the system. Canned or predefined reports will be available from drop down menus. All reports will have date range selections to control the scope of the data.

A requirement of the DBCS is that it shall be easy to use, well organized and simple to navigate. The system must also provide users with clear error messages and well explained data validation. It shall also provide detailed audit trails of user activity to ensure the information it provides is not misused.

1.2.4 Application Process

An important component of the DBCS is the application process. The application process is what the employer initiates to screen potential employees. This is a key component of the employer dashboard module.

To begin the screening process, employers shall have the ability to search for an existing applicant record in the DBCS using a combination of SSN and Last Name. If a matching applicant is found, the search will return the applicant's demographic information, which employers will have the ability to review and update (except for SSN or DOB). Upon saving the applicant's demographic information, an "application" instance representing the combination of the employer, the applicant, and the current date will be recorded in the DBCS. If the search finds an applicant with the specified SSN but a non-matching last name, then a pop-up message will appear letting the employer know that there is an applicant on record in the DBCS with the SSN, but a different last name, and directing the employer to contact LTCRP to resolve the inconsistency. Only LTCRP users will have the ability to search on SSN alone. They will also have the ability to correct a last name or SSN upon adequately confirming an applicant's correct identity in conjunction with the employer. Alias name entries will be used to store a history of an applicant's name changes/corrections.

It should be noted that a data extract of applicant information will be taken from the CBC Module and loaded into a CBC reference table in the DBCS prior to the production of the DBCS. Thereafter the CBC Module and the DBCS will be synchronized via a web service on a scheduled basis.

If a matching applicant is found in the DBCS, the matched applicant record will be used and become part of the new application record. Employers will have the ability to add to and/or update (except for SSN or DOB) in the DBCS. Upon saving the applicant's demographic information, an "application" instance representing the combination of the employer, the applicant, and the current date will be recorded in the DBCS. If the search finds an applicant with the specified SSN but a non-matching last name, then a pop-up message should appear letting the employer know that there is an applicant on record in the DBCS with the SSN, but a different last name, and directing the employer to contact LTCRP to resolve the inconsistency as described above.

If no matching applicant is found in the DBCS, then the LTCRP legacy system, the CBC module, will be searched. If a matching applicant is found, the search will copy the demographic information on record in the CBC module to the DBCS. Employers will have the ability to add to and/or update (except for SSN or DOB) in the DBCS. Upon saving the applicant's demographic information, an "application" instance representing the combination of the employer, the applicant, and the current date will be recorded in the DBCS. If the search finds an applicant with the specified SSN but a non-matching last name, then a pop-up message should appear letting the employer know that there is an applicant on record in the LTCRP legacy CBC module with the SSN, but a different last name, and directing the employer to contact LTCRP to resolve the inconsistency as described above.

If no matching applicant is found in either the DBCS or the CBC module, then the employer will be asked to add a new applicant by typing in enough demographic information on the applicant to allow the Quick Applicant Check functionality to be used. Upon saving this demographic information, an “application” instance representing the combination of the employer, the applicant, and the current date will be recorded in the DBCS.

If the DBCS has any Service Letter reference letters on record in the system, the employer will be able to access and review them. If any previous employers of the applicant are registered users of the DBCS, the prospective employer may electronically request a Service Letter on the applicant from them through the DBCS. The DBCS will notify the previous employer of the request with a system-generated e-mail. The previous employer will have the ability to complete a Service Letter electronically in the DBCS and place it on record for the applicant. Upon creation of a new Service Letter for an applicant, any employer with an active application instance for that applicant will receive a system-generated e-mail notification. The prospective employer will record a “Yes” (a Service Letter was reviewed through the DBCS) or a “No” (no Service Letter was reviewed) as part of the DBCS record of the application instance.

At any time during the DBCS Application Process, an employer can record the applicant as “withdrawn” from the application instance. After a designated period, the system will administratively close a withdrawn application instance.

The Quick Applicant Check is functionality where the employer can use minimal information to electronically query against all the DBCS registry links that can provide an immediate electronic return, and do not require consent of the applicant in order to check. The DBCS will capture the return data from each of the data sources and store the results as part of the data for the “application” instance. As the employer checks each registry and data source, the date and time will be recorded. The employer can then view that data showing the outcomes from the various checks. For example a check of the OIG Exclusion list could return a person’s name along with their business name and other associated data indicating that they are on the exclusion list. At that time, the results are returned, the employer can select Yes or No that the registry contains disqualifying information on the applicant. The employer can make a decision to exclude an applicant based upon the registry check information.

If an applicant is not disqualified from employment after the quick applicant check, the employer is required to upload a signed applicant consent form before they can proceed further in the DBCS. The system will have the ability to print out a combined consent form that includes all the necessary applicant identifying information and required consent-form language needed for the laboratory drug test, the DSCYF Child Protection Registry check, and the SBI/FBI Criminal Records Check. After printing the consent form, the employer will need to obtain the applicant’s signatures of consent, scan the form, upload the scanned image into the DBCS system, and then provide the applicant with the paper copy of the sections to take to the designated laboratory for a drug test, and to an SBI site for fingerprinting.

The DBCS will generate both drug test and criminal history request forms for applicants in conjunction with the consent forms described above. Upon completion of an applicant's drug test, the laboratory will return the test results to the DBCS in the form of a PDF image file that will be available to the employer for viewing and printing from the DBCS.

Through the DBCS, the employer will submit an inquiry to the Child Protection Registry. After processing the inquiry, DSCYF will return the results in the form of a response letter (PDF image file) this information shall be displayed on the employer dashboard for assessment for viewing and printing.

Upon completion of an applicant's criminal history check, the SBI will make the results available for viewing from DBCS in the form of two PDF image files. One, with the FBI results, will be viewable only by the LTCRP. The other, with State results, will be available to the employer and the LTCRP from the DBCS.

Upon review of an applicant's criminal history, a fitness determination letter indicating whether or not the applicant is disqualified due to their criminal history will be generated by an LTCRP investigator and made available on the employer dashboard. In some cases, an interim letter will be issued instead, indicating that some further action is needed before a final determination letter can be issued. Upon completion of the necessary actions, the final determination letter will be generated and made available on the dashboard. The DBCS will maintain a viewable history of all determination letters generated for each application instance.

Upon receiving any Service Letters, a Child Protection Registry response letter, drug test results, criminal history results, and a fitness determination letter, a hiring decision can be recorded. If an applicant is hired, this places an applicant on the master employee list and enrolls them into the rap-back system. The employee list is available from the employer's dashboard; it consists of all their active employees enrolled through the DBCS in the rap-back system. Each employer will be required to maintain their own active employee list in DBCS for rap-back. Upon separation of an employee a separation date must be entered for that employee by the employer on the master employee list. This will remove them from the rap-back system and the master employee list.

The employee has a right to appeal a negative hiring decision. However this appeal process will not be recorded in the DBCS. LTCRP investigators will reissue a new fitness determination letter if the appeal changes the initial decision.

2 DHSS Program and System Overview

2.1 Delaware Department of Health and Social Services (DHSS)

The mission of DHSS is to improve the quality of life for Delaware's citizens by promoting health and well-being, fostering self-sufficiency, and protecting vulnerable populations. DHSS is comprised of twelve divisions as follows:

- Division of Substance Abuse and Mental Health
- Division of Child Support Enforcement
- Division of Long Term Care Residents Protection
- Division of Management Services
- Division of Developmental Disabilities Services
- Division of Public Health
- Division of Services for Aging and Adults with Physical Disabilities
- Division of Social Services
- Division of Medicaid and Medical Assistance
- Division of State Service Centers
- Division for the Visually Impaired
- Office of the Chief Medical Examiner

2.2 The Division

The Department of Health and Social Services' Division of Long Term Care Residents Protection was created in 1998. Its mission is to protect residents in Delaware long term care facilities through:

- Promotion of quality of care, quality of life, safety and security
- Enforcement of compliance with State and Federal laws and regulations

The Division is responsible for the processing of background checks utilizing: the Adult Abuse Registry, Criminal Background Checks and Mandatory Drug Testing, the Certified Nursing Assistant (CNA) Registry, complaint and incident reporting related to long term care facilities, licensing/certifying long term care facilities, and developing regulations related to these areas.

2.3 Support/Technical Environment

The three groups responsible for the development and operation of the automated systems that support the Division are described below. The Division appointed a Project Director with broad oversight for all project activities. This individual will be responsible for monitoring project progress and will share responsibility with the Project IRM Manager to approve/disapprove all project deliverables and payments. IRM will serve as the technical liaison with DTI (see below). The selected contractor will coordinate efforts for this project with the Project Director and the Project IRM Manager.

2.3.1 Information Resource Management (IRM)

The IRM unit is responsible for providing DHSS divisions with direct programming support of automated systems, as well as consulting support and advice on automated systems software and development. IRM consists of an Applications Development, Technology Planning, Base Technology, Telecommunications and HelpDesk support group. For this project, IRM will provide a Project IRM Manager for this project and staff as needed for consulting support and advice to assure that technical questions and issues are resolved quickly. The Project IRM Manager will share responsibility for review and approval of all project deliverables and payments.

2.3.2 Department of Technology and Information (DTI)

DTI is a separate cabinet level agency responsible for running the State of Delaware's mainframe computer operations, wide area data network and setting statewide IT policy and standards. DTI as a separate state agency does not fall under the authority of DHSS. However, DTI is responsible for supplying mainframe and Wide Area Network (WAN) systems support to DHSS as well as other state agencies. Additionally, DTI provides 24x7 data center operations support. DTI provides state agencies with technical consultant services. DTI will work closely through IRM on this project to ensure that State IT standards are followed.

2.3.3 Division Information Technology Group

This group serves as the division liaison between IRM and vendor technical staff with program staff. They typically translate business needs into IT requirements and vice versa. This is a critical function that ensures that division business requirements are properly communicated to technical staff and that division program staff understand IT policies and standards as they relate to the project. This group works closely with IRM and vendor staff on all technical aspects of the project to ensure close communication with program staff on all phases of the project life cycle including the budget/grant request, RFP, business case process, vendor negotiations, deliverable review and signoff, through implementation and post-implementation support. For this project, a Project Information Systems (IS) Manager will be appointed.

3 State Responsibilities

The following are State responsibilities under this RFP. Outlined in the following subsections are such areas as project staffing, project management, available resources, and system testing and implementation (if applicable). There is an emphasis on the limitation of State staff time for this project and their role in the customization/development process.

3.1 Staffing Roles

As stated above, the Division appointed a Project Director. The Project Director will serve to manage project staff including vendor staff during this project. All project deliverables will be approved by signature of the Project Director, and the Project IRM Manager. The Project Director will serve as the overall project lead with input from the Project IRM Manager.

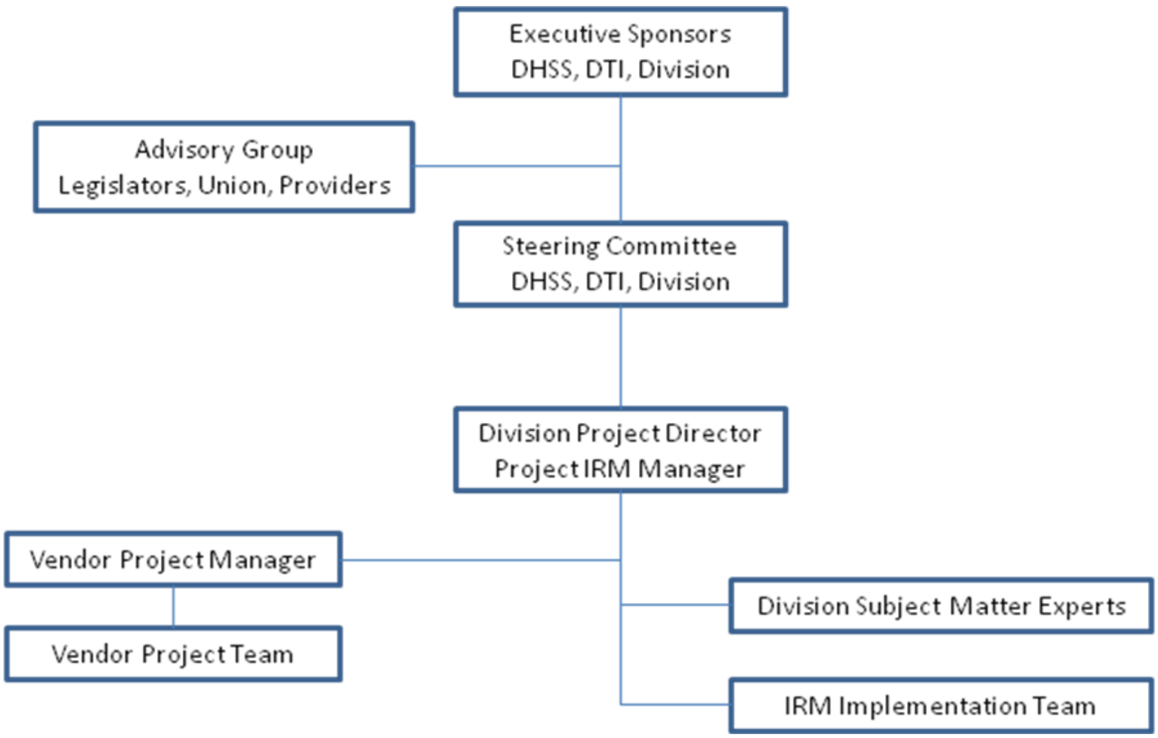
The Project Director will serve as primary coordinator to ensure that Joint Application Design (JAD) sessions take place with the appropriate subject matter experts (SME), that project documents and deliverables are thoroughly reviewed and that approval takes place within agreed upon timeframes. This individual is also responsible for scheduling and coordinating User Acceptance Testing (UAT), when appropriate. The Project Director will coordinate with other divisions and State agencies for their input as needed. These staff will serve primarily as subject matter experts on relevant Division applications and related systems, and will participate in meetings and deliverable review as necessary.

The Project IRM Manager will serve as primary technical liaisons to ensure that contractor and State technical staff work together effectively to identify current and future technology considerations and make key technology decisions. The Project IRM Manager will serve as the primary liaison with DTI staff to gather State level input as needed.

The Project Director will report to a Project Steering Committee made up of representative managers from the Division, IRM and DTI. This Committee will meet monthly to review project status, progress and issues. The Project Steering Committee will report to the Executive Sponsors. The Executive Sponsors will be made up of representatives from DHSS, DTI and the Division. They will meet at most monthly to discuss overall project status, progress and issues, project management, funding, staffing, sponsor issues, stakeholder participation and tasks planned for the upcoming quarter.

3.1.1 Project Organization Chart

The following organization chart outlines the proposed management structure for this Project:



3.2 State Staff Participation

The Project Director will be assigned to work on this project full time. Additional State staff participation is as assigned and is in addition to their primary responsibilities. State staff normally work 7.5 hour days from 8:00 AM – 4:30 PM, although some staff flex their schedules. No State staff will be available for data cleanup or meta-data definition. State staff will be available to consult with the vendor on the data needing to be cleaned up for conversion. However, divisional SME's can serve to advise contractor on these topics. No State technical staff will be assigned to this project to assist in the coding of the system. State technical staff will attend JAD sessions as assigned. It is important to note that documentation on the existing systems may be missing, incomplete, out of date or in error. Divisional staff will be responsible for user acceptance testing. The Division will be responsible for assigning a primary and backup division liaison and knowledgeable subject matter experts for the duration of JAD sessions related to their areas of expertise. These assignments will be sent to the Project Director prior to the start of the JAD sessions. Attendance at these sessions is mandatory for assigned staff. These same subject matter experts along with other staff will be assigned to participate during UAT for their areas of expertise. Adequate divisional staff participation is critical.

3.3 Resource Availability

During State business days, the Biggs mainframe production systems are normally available from 7:00 AM to 6:00 PM. On Saturday the hours are 8:00 AM to 4:30 PM.

Production systems are taken down earlier on specific monthly dates to accommodate particularly heavy batch schedules. Test systems availability will be scheduled in concert with other development staff. DTI has mainframe systems support staff on site from 7:00 AM to 4:30 PM. DTI Operations staff are on site 24x7. IRM applications, telecommunications and HelpDesk staff are on site from 8:00 AM to 4:30 PM on State business days. The State network is very stable and unscheduled downtime is minimal. Given that the network is an essential state resource, any reported problems have a very high priority and are dealt with immediately. Biggs Data Center power is conditioned and outside supply fluctuations can trigger a switch to automatic local power generation capability. The State has audio and video-conferencing capabilities as well in specific on-site locations for remote meeting participation. Remote connectivity through SSL-VPN is available for offsite work for contracted staff that must access, update or maintain servers and/or applications in the DMZ. Please refer to Appendix D for more information on the DHSS IT environment.

3.4 Deliverable Review

It is the responsibility of the State to perform deliverable review including User Acceptance Testing on all functional aspects of the project. DTI may participate in the review process for certain deliverables. It is the responsibility of the State to review all project deliverables in the agreed upon timeframe. The State will notify the bidder of any changes to the review schedule. Milestone invoicing and payment is contingent upon formal State approval. Likewise, production implementation of each module is contingent upon formal State approval.

3.5 Implementation

Production implementation is normally an IRM responsibility. Depending on the solution selected, IRM may require participation of contractor staff. The state will be primarily responsible for post implementation administration if the system resides at the Biggs Data Center. If an Application Service Provider (ASP) solution is selected, the vendor has primary administration responsibilities.

4 Contractor Responsibilities/Project Requirements

The following are contractor responsibilities and project requirements under this RFP. Given the limitations of assigning State staff to this project, the contractor is expected to provide most of the expertise and provide for the full range of services during the project. Bidders must discuss each of these subsection requirements in detail in their proposals to acknowledge their responsibilities under this RFP.

Bidders must have demonstrated experience and depth in the following areas:

This experience is critical in ensuring project success in terms of the future direction of the Division's information technology development, as well as maintaining an open partnership with project partners.

4.1 Staffing

Contractor will propose and supply resumes for the following key positions including:

- Vendor Project Manager
- Business Analysts
- Senior Developers
- Technical Analysts (i.e. DBA, SE, etc.)
- Documentation Specialists
- System Tester

The resumes will be for specific named individuals and will be in the format specified in Appendix E. Other positions may be proposed at the contractor's discretion. One person may be proposed to fill more than one role. The vendor project manager and other key staff like the Business Analyst(s) will be required to be on site in New Castle, Delaware, during the entire project phase.

4.1.1 On-Site Staffing Requirement

The following key contractor staff are required to be on-site at the Biggs Data Center in New Castle, Delaware, as indicated below:

- Vendor Project Manager (at least 80 % of the time)

The State and the key contractor staff will work very closely together on this project. This requires an on-site presence. The State will provide office space including furniture, phones and network connectivity for all on-site project staff. Contractor will be responsible for all other office necessities including workstation and required software. It is vital for the vendor project manager and key staff to play an active on-site role in the project and be visible and accessible.

4.1.2 Offsite Project Work

The State will permit project work to be done offsite, within the United States. For offsite work, the State requires strong management of the resources and assigned tasks;

adequate, timely and accurate communications and completion of assigned work by specified deadlines. This is important to any offsite relationship. If the bidder organization is proposing offsite project work, the bidder must specifically address each of the bulleted items below in this section of the proposal. Otherwise, bidder will respond to this section as follows: "**No offsite project work proposed**."

Note: For the purposes of this section, the bidder staff organization includes subsidiary contractors.

- Provide a detailed description of work to be completed offsite along with a breakdown of the type of work to be provided on-site. Quantify this by estimating for each of the deliverables identified in this Section, the percentage of work to be done offsite.
- Provide an organization chart with job titles of offsite staff and their relationship to the bidder.
- Provide a description of what tasks each job title is responsible for performing.
- Clearly identify if offsite work is to be performed by bidder staff or sub-contractors.
- For offsite subcontractor or bidder staff, please include the names and resumes of key staff, highlighting prior participation on similar projects. Also provide named or sample resumes for lower level staff.
- Provide a detailed plan for managing offsite work including communication strategy to accommodate time differences if any. Include contingency plan for completing work should offsite relationship be terminated.
- Propose a meeting schedule for project status discussions with offsite management staff.
- Identify the offsite single point of contact who will serve as the project manager of offsite resources. Describe how this project manager and the on-site project manager will interact. The State prefers that the offsite project manager be a bidder employee. Please refer to RFP Section 4.1 for normal bidder staffing requirements.
- Provide a contingency plan for substituting on-site staff if offsite relationship becomes problematic as determined by the State.
- Provide a description of prior bidder organization experience with use of offsite bidder staff or subcontractors and provide U.S. client references for that work.
- Provide a detailed description of proposed project manager's experience in directing offsite staff and/or subcontractors.
- Describe your understanding that the State will only provide management of this project and bidder resources through the on-site project manager. All management/relationships with offsite resources, whether bidder staff or subcontractors, will be handled by the respective bidding organization.
- Describe how the system components will be tested and staged during customization/development. For non-ASP solutions, the State requires that the all UAT, production and related environments be located at the Biggs Data Center. All system components of these environments including all system libraries and databases will be located in the data center as well. State staff must approve the results of system testing before systems components are migrated into UAT. It is critical that system components are proven to operate in the Biggs Data Center UAT environment before hand off to the users for testing. Remote developers and testing staff may access these environments through VPN.

4.1.3 Offshore Project Work

The State will not permit project work to be done offshore.

4.1.4 Vendor Project Manager Requirement

The vendor project manager is normally on-site and manages the project from the contractor perspective and is the chief liaison for the State Project Director. The Project Manager has authority to make the day-to-day project decisions from the contractor firm perspective. This vendor project manager is expected to host meetings with Division Subject Matter Experts (SME) to review Division business organization and functions along with the organization, functions and data of existing information systems relevant to this project. The vendor project manager is expected to host other important meetings and to assign contractor staff to those meetings as appropriate and provide an agenda for each meeting. 15-30 minute status meetings will be held 3 times per week, Monday, Wednesday and Friday mornings. Attendees for this meeting will include the Project IRM manager, vendor project manager, a subject matter expert, and division project director. Bi-weekly on-site status meetings are required, as are monthly milestone meetings. Meeting minutes will be recorded by the vendor and distributed 24-48 hours following the close of each status meeting. Key decisions along with Closed, Active and Pending issues will be included in this document as well. In their proposals, bidders must include a confirmation that their project manager will schedule status review meetings as described above. It is critical that a named Vendor Project Manager with prior project management experience be proposed.

In their proposals, bidders must include a confirmation that their Project Manager will schedule status review meetings as required above and that their Project Manager will provide written minutes of these meetings to the State Project Director 24-48 hours following the close of each status meeting.

4.1.5 Project Help Desk Staff Requirement

Vendor Help Desk expertise is critical to the success of the system. Staff proposed for this function do not need to be dedicated exclusively to this role. They may serve a primary role in addition to providing Help Desk coverage. Secondary Help Desk support must be identified in the resume of the staff member primarily bid for another function. Bidder must supply at least a primary and a backup Help Desk function during the UAT, production Implementation and the warranty period. These staff will provide second-level support during State business hours to callers with system issues. The department's Help Desk will provide first-level support. This generally includes resolution of issues such as network connectivity, application log in problems and general PC advice. The contractor will provide second level support. This will be more system-specific and require application expertise. Specific system issues may be referred to third-level divisional support for SME expertise.

4.2 Project Management

The contractor must be the prime contractor to develop all the deliverables required by this RFP. The contractor must recommend a core team to work with DHSS over the course of the project and must identify other resources needed. A detailed, up-to-date project plan must be created and maintained weekly to accurately reflect project timelines and tasks. This project plan must include each phase of the project, clearly identifying the resources necessary to meet project goals. It will be the contractor's responsibility to provide complete and accurate backup documentation as required for all document deliverables. The vendor project plan will be incorporated into the overall project plan kept by the division Project Director. Some adjustments to the vendor project plan may be necessary once the vendor plan is incorporated into the overall project plan.

An agile project methodology will be employed for this project. All prototype screens will be completed as one deliverable. Once all prototypes have been approved coding can start with the first screen. As the first screen finishes with coding, that screen will move into test, and the second screen into programming. The project will continue to be performed in this method, so that as each module is completed, that module will be added to the overall dashboard. Implementation will be completed screen by screen.

The contractor is expected to employ a rapid application design methodology to speed customization/development. An iterative model of testing is required which will require early prototypes and subsequent demonstrations of working modules to ensure that the product meets user specifications in terms of user interface and functionality. It will be the contractor's responsibility to provide complete and accurate documentation for all entities in the system. The contractor is expected to release prototypes/drafts of project deliverables and components for early state consideration and comment in order to expedite the final review process.

4.3 Requirement to Comply With HIPAA Regulations and Standards

The selected vendor must certify compliance with Health Insurance Portability and Accountability Act (HIPAA) regulations and requirements as described in Department of Health and Human Services, Office of the Secretary, 45 CFR Parts 160, 162 and 164, as well as all HIPAA requirements related to privacy, security, transaction code sets (where applicable) and medical provider enumeration.

The selected vendor is required to customize/develop the system in accordance with HIPAA requirements, implement the system in accordance with HIPAA requirements and, where the vendor will operate and maintain the system, operate and maintain the system in compliance with HIPAA requirements.

HIPAA requirements also apply to entities with which State data is shared. If this data is covered by HIPAA, then a Business Associates Agreement (BAA) or contractual agreement specifying vendor responsibility for protecting and securing this data must be signed by both parties to ensure that this data is adequately secured according to State and DHSS standards (See Section 4.4 for more information on this requirement). This agreement/contract must be in force prior to testing or production implementation of this data exchange.

In the proposal, contractor will explain their understanding of the HIPAA regulations and their impact on this project especially in the area of security.

4.4 Requirement to Comply with State Policies and Standards

All proposed solutions submitted in response to this RFP must be fully compatible with the Department of Health and Social Services' technical environment. This is specified in Appendix D via the following web links:

- State of Delaware Web Standards
- DTI Executive Sponsor Reporting Standards and Change Management Standards

Vendors must also comply with DTI policies and standards and DHSS Information Technology (IT) Standards, which will be distributed at the mandatory pre-bid meeting upon vendor signature of the DTI Confidentiality and Non-Disclosure Agreement.

All contractor staff working on this project will be subject to a criminal background check (CBC) conducted by the State Bureau of Investigation. The contractor will be responsible for the cost of staff CBCs. They will be required to fill out DTI's Acceptable Use Policy, Biggs Data Center User Authorization Form, and the Biggs Data Center Non-Disclosure Agreement for necessary authorizations before starting work. Contractor staff will adhere to all State, DHSS and IRM policies found on the internet. Staff working from a secured State site will be issued a security access card by DHSS as per the State Standard.

All components of the proposed solution, including third party software and hardware, are required to adhere to the policies and standards described above, as modified from time to time during the term of the contract resulting from this RFP, including any links or documents found at the above referenced web sites. **Any proposed exceptions must be addressed in the Executive Summary (Section C) of your Technical Proposal. The exceptions listed must be specific and include a justification of why the exception is necessary and the impact on the project if the exception is not granted. Exceptions may be rejected or granted in whole or in part at the sole discretion of the State.**

4.4.1 Architecture Requirements

Adherence to State standards is required for securing and protecting data. This level of protection is required for data whether hosted **onsite or offsite**. It is very critical that the proposed solution demonstrate this compliance. As such it is required that the vendor include in this section a proposed architectural diagram(s) in Visio format demonstrating appropriate tier separation and firewall protection that is consistent with State standards.

The application will have at least 3 tiers with the tiers configured and secured as in the sample diagram included in the DHSS IT Environment Standard. Please see State of Delaware System Architecture Standard and DHSS IT Environment Standard for more information. These and associated documents will be provided to interested vendors separately.

DHSS mandates that system changes test out successfully in UAT with formal approval by the State prior to migration into production. The UAT environment must be the technical equivalent of the production environment to minimize issues with promoted code and/or database changes in production. Bidders may propose additional environments as necessary or recommended for their solution.

System architecture diagrams are a key component of the proposed system in terms of meeting State architecture requirements. As part of contract negotiations, the selected vendor will work with IRM to produce a final State approved detailed diagram for each proposed environment. These will be included in the final contract. This will also be made part of a project business case that must be in “Recommended” status prior to contract signature. The project business case is a State responsibility.

The DBCS will have a web front-end for a common user interface. Web browser based applications are now considered the only acceptable platform for custom applications development at DHSS.

In addition this system must:

- Use Microsoft Windows Server as the operating system
- Use Microsoft Internet Information Server (IIS) as the web and web application server software
- Use Microsoft SQL Server 2008 R2 Enterprise Edition
- Be developed using Microsoft C#.NET

4.5 Database Design

Vendor will need to take into consideration the design of existing table structures and whether they may carry forward into the solution being proposed or may have to be re-engineered. Quality of the current data needs to be reviewed. Consideration will need to be given to ETL (Extraction, Transformation and Loading) processes for conversion as well as archiving, backups and disaster recovery. The vendor will be required to provide a data model in Microsoft Visio format.

4.6 Reporting

To the extent possible, reporting should utilize an extracted or near real time copy of the production database so as not to adversely affect the performance and response time of the production application. This is critically important for systems that permit ad-hoc reporting or user-constructed queries. The State encourages the use of a separate reporting environment especially for complex systems or systems with a large concurrent use base. If a separate reporting environment is being proposed, bidders will include a corresponding system architecture diagram in their proposal.

Bidders will address the following reporting requirements in detail and how their proposed solution meets these requirements. Bidders may include sample report pages as appropriate. Bidders may also discuss how their solution exceeds these requirements with additional included reports or reporting capabilities.

One of the objectives of the system is to establish a Reporting Module. The Reporting Module provides a user friendly, canned and ad-hoc reporting environment with the capability to create reports, graphs and charts or calculate totals, elapsed times, and percentages. Report setup will offer drop-down menus listing canned or predefined reports that can be customized according to specific dates or date ranges, as well as ad-hoc reporting. The ad-hoc report capability should allow users to select specific input and output data elements as a way of defining a report criteria and results layout.

The reporting features are an important component of the DBCS that will permit the user to access information by multiple fields including applicant name, applicant ID, employer name, employer, background check outcome, investigator, and monthly usage charges and E-Payments by employer. The output of ad-hoc queries can be reviewed and printed upon demand.

The system requires user friendly canned reports that can display charts and graphs. The vendor must develop the following:

- Applicants By Facility
- Percent of Applicants Processed Within 4 Days
- Duplicate Fingerprint Listing
- Facilities with CBC Requests
- Facilities with No CBC Requests
- Facility Fingerprinting Payment/Non Payment List
- Investigator Workload
- Summary By Outcome
- Monthly Background Report
- Employer Account Balance
- Background Check Revenue Report

The canned reports are a list of reports that become predefined menu choices. The system will provide the ability to select date ranges once the report is selected. The vendor will work with DHSS and LTCRP to design and create the canned reports for the system. The following features and functions must be incorporated in the reporting module:

Features

- Generate canned and ad-hoc reporting
- Generate reports with charts, graphs and statistical presentations
- Perform calculations
- Provide user-friendly interface to generate ad-hoc reports
- Provide tabular as well as graphical representation of data
- Ability to view reports before printing
- Ability to export report data directly to standard file formats such as XML, MS Word, MS Excel, and MS Access
- Generate reports to assess activities performed by an individual
- Twenty-five (25) new canned reports

Functions:

- View list of previously generated reports
- Create, View, and Delete ad-hoc reports
- Generate periodic reports such as daily, weekly, monthly, quarterly and annually
- Perform statistical analysis on reports such as co-relation, regression, mode, median, standard deviation, means, etc.

- Generate productivity reports for all investigators as well as individual reports for specific employees

4.7 Performance

Performance of the proposed solution within the DHSS and State technical environment is a critical consideration. The present data center environment in terms of infrastructure, hardware, power, etc. needs to be reviewed. Contractor is expected to review this with IRM and DTI to ensure that it is sufficient. The current design and capacity of the network especially in terms of connectivity to the Division business sites must be reviewed along with service upgrade plans. Future capacity and response time needs must be evaluated and accepted.

4.8 Degree of Customization

In terms of costs, vendor will be expected to account for necessary customization of proposed solution in order to fit Division business needs.

In terms of degree of customization of COTS software to meet State needs, the State prefers that this not exceed 15%. There is no metric for this requirement; rather it represents the State's interest in cost containment by restricting the customization of a COTS product. If proposing a COTS solution, please include an estimate of the percentage of customization generally necessary for this type of project. The State will waive ownership rights of customization features if they are made part of the standard product, which in fact is the State's preference.

4.9 Backup and Recovery

DHSS requires that system data be backed up to appropriate media that can be restored as necessary. Contractor will be expected to review the current backup and recovery process and suggest scenarios where incremental backups, full backups or dataset reloads are appropriate. As part of the work, the selected vendor will be required to define what needs to be included in the backup processes as well as estimated backup space needs.

4.10 Disaster Recovery

DHSS has contracted with Vital Records, Inc. as the offsite media storage contractor for client/server and mainframe backup media. Sungard Recovery Systems is contracted as the client/server and mainframe cold site contractor. Disaster recovery tests are conducted every six months for the Biggs Data Center Environment. Contractor is expected to review this process with IRM and DTI to ensure that it is sufficient

Additionally, if the vendor has ongoing maintenance responsibilities for the system, they will be required to participate to the extent necessary in this testing. This requirement will be detailed in the maintenance contract and will also include expected turnaround time and recovery participation in the event of an actual disaster declaration.

4.11 Specific Project Tasks

Contractor will be expected to address the following requirements in their proposal in detail. Emphasis is on the limited availability of State staff for the project and the expectation that the contractor express in detail their understanding of their responsibilities for each of these tasks. Contractor is expected to have primary responsibility for each of these project tasks. State versus contractor responsibilities must be delineated.

The vendor will be responsible for managing the project by ensuring all tasks included in this section, and all related deliverables outlined in Section 4.12 are completed to the satisfaction of the State and DHSS. The tasks must also be completed in conjunction with the overall project plan under the management of the Division project director.

4.11.1 Detailed Project Plan

The vendor must provide a detailed Project Plan, Staffing Requirements, Work Schedule and Timeline that outline progress against the plan and communicate any areas of risk that need attention by the project team and DHSS management. Contractor must create a project plan outlining project tasks, state and project staff responsibilities and projected due dates for each task. The plan will be in a template format as defined and approved by DHSS. The project plan is a living document and must be updated throughout the project to reflect actual project status and timelines. DHSS and the vendor must agree to any changes to the initial plan during the course of the project. Periodic meetings with project stakeholders must be included in the plan. The vendor supplied project plan will be incorporated into the overall project plan kept by the Division project director. Changes to the vendor plan may be necessary once the plan is synced to the overall plan. The vendor project plan will not be a stand-alone document.

The vendor selected will be responsible for developing and maintaining the project plan and schedule. The vendor should employ an approach, methodology and select tools used successfully by the vendor previously. The vendor will be responsible for regular progress reporting against the plan and for recommending corrective actions in the event of unanticipated changes to the plan or schedule. The vendor will be responsible for updating the plan and schedule on a regular basis to accommodate any required and agreed upon changes. The deliverables are outlined specifically in Section 4.12 of this document.

4.11.2 Deliverable Document Templates

Bidder must work with State staff to design templates for each subsequent document deliverable including but not limited to requirement documents, detailed design documents, training plans, testing plans, status reports, issues tracking, executive meeting summaries and other project documents. These template designs are critical to ensuring that the deliverables and other project documents are in a format agreed to by all parties. Each template must be separately approved by the Division and the State. Each deliverable document will be submitted in the agreed upon template format.

4.11.3 DHSS Division of Long Term Care Functional and Technical Requirements Specifications Document

The awarded vendor will review and understand the Functional and Technical Requirements Specifications Document. Based on communication with Steering

Committee members and/or Project Team members, and a thorough understanding of the challenges the DHSS is faced with today, the vendor will document any potential change(s). Incorporate all approved changes to the original document and publish in final form. The deliverable is outlined in Section 4.12 of this document.

4.11.4 Develop Prototype

The vendor will need to finalize the proposed system design conceptually, and document that design. The vendor will develop a prototype of the system before any programming begins. The prototype will cover all aspects of the system. This includes search capability, the Quick Applicant Check, the Dashboards, the homepage, etc. The deliverable is outlined in Section 4.12 of this document.

4.11.5 Write the Program Code to Develop the System

The selected vendor is expected to understand the project requirements and to digest and comprehend the existing system analysis and design documentation at a detailed, technical level necessary to write the program code to develop the new system. The selected vendor is expected to complete all requirements outlined for the system included in the Functional and Technical Requirements Specifications Document.

In response to this RFP, bidders should briefly describe previous experience in development efforts involving similar solutions from a business and technical perspective. The Bidder should demonstrate a comprehensive understanding of DHSS Division of Long Term Care Residents Protection’s current challenges and the issues that will be resolved with the implementation of the new, integrated Background Check system.

The bidders should offer enough evidence of previous experience in projects of a similar scope and nature to provide proof of expertise for completing the project on time and within budget. Bidders should demonstrate previous successes with similar efforts and the capability to provide comparable quality services with the proposed solution. The deliverable is outlined in Section 4.12 of this document.

The DBCS will sit inside the State Network and will take advantage of the existing infrastructure of routers, switches, file servers and local and wide area networks. Additionally, the State’s Email and Exchange Servers will transport and distribute notification information to the users of the new system. Given this foundation, let’s begin explaining the interworking of the DBCS with the Presentation Logic Tier.

Presentation Logic Tier

The Presentation Logic Tier can be best described as the IIS Web Application Server, and it consists of standard ASPX files and HTML pages. The function of this Tier is to gather the requests from the Presentation GUI and then forward the requests to the Business Tier once a user make a request through a web browser. In return, the Presentation Logic Tier receives the results/output from the Business Tier and transforms the results into readable formats, forwarding data back to the Presentation GUI. For example, when an employer submits profile information/data, the Presentation Logic Tier forwards the information to the Business Tier. When the Presentation Logic Tier receives confirmation results from the Business Tier, it converts the results into user readable formats and forwards the information to the Presentation GUI.

Business Tier

The Business Tier is the brains of the DBCS. It contains the business logic, business rules, user security, validation rules, and processing rules of the functions provided by the application. For example, once information is received from the Presentation Logic Tier, the information is validated against the predefined business and validation rules, and business logic. If the information meets all the criteria, the information is forwarded to the Data Tier. The Business Tier also generates confirmation code and forwards it back to the Presentation Logic Tier. The Business Tier should reside on the Business Application Server.

Data Tier

The Data Tier is an essential part and base layer of the application architecture. The Data Tier handles the storage and retrieval of information in the database. It either saves or retrieves information in the database server. SQL Server will be the Database Management System (DBMS) for the proposed application. Images utilized within the DBCS will be stored as Binary Large Objects (BLOBs) within the database. Indexing information will be stored in the same tables as the BLOBs with indexing captured from the originating data source.

In summary, each tier plays an integral role in the implementation of the proposed application as each tier performs unique functionalities within a total structure that controls the flow from one tier to another. The various modules of the system are maintained in the appropriate tier along with the required software and hardware.

Servers

One of the components of an Application Architecture is the hardware and software. The most important technical decision in the deployment of the DBCS is how the various Tiers will be implemented. Planning for the exact software versions and properly sizing hardware is a major task in defining the technical specification for deploying the application. The following sections review the required software and hardware for the SQL Server Database, Application Server and Web Server (IIS).

LTCRP will need to decide how they plan to deploy the DBCS within their current IT infrastructure. Such plans will need to be reviewed by both IRM and DTI. LTCRP should take advantage of its current IT infrastructures and integrate those pieces as needed to deploy the application with the required multitier security. LTCRP current infrastructure consist of routers, switches, file servers and backup system that can most likely be used when deploying the DBCS.

The first server is an IIS sometimes referred to as Internet Information Server or IIS Web Server. The IIS is a web server application and set of feature extension modules created by Microsoft for use with Microsoft Windows. In the proposed architecture, the Web Server delivers content that can be accessed through the internet and maintains the program code for the system. The Web Application can handle multiple requests for the DBCS.

The second server is the Application Server that maintains the Business Logic Tier. This server handles the business processing tasks including user security, validation rules and processing rules.

DHSS utilizes virtual servers using VMware so both the IIS web server and the Business Logic Application Server will need to run on VMware.

The third server is the SQL Database Server. The database server will maintain the Data Tier, which for the DBCS will reside on the existing DHSS Microsoft SQL Server Database Server. Currently DHSS has a SQL Server 2005 STD database cluster. During 2011 this server is expected to be updated to SQL Server 2008 R2 Enterprise Edition.

In proposals, bidders should provide recommendations for CPU, memory, disk space and any other hardware specific requirements for each of the three servers.

4.11.6 CMS Data Extract

One of the reporting requirements for the grant is to provide periodic data extract files of de-identified applicant data to CMS on applicants processed through the new system. In order to ensure that the data can be provided in the format required by CMS, functionality must be included in the system to automatically generate the required data extract file. The deliverable is outlined in Section 4.12 of this document.

4.11.7 Develop the Various Interfaces with External Systems

The existing "system" is built upon many segregated and fragmented sources of information that must be pulled together to form a complete picture of the prospective employee. Employers currently access multiple data sources to obtain the required information. The lack of data integration requires employers to access several databases to check the available registries. Employers currently check on-line registries that require them to enter redundant identifying information. This is time consuming and inefficient. In addition, criminal background check results are delivered manually via the U.S. mail. This delays the ability for employer to quickly process prospective employees.

Therefore, DHSS has decided to replace the current process with a system that supports the Department's business needs and utilizes current, widely supported technologies in order to include all required components within an integrated business model. The selected vendor will need to review the existing interface documentation at both an overall level and the detailed, individual, registry interface level.

The selected vendor will be expected to utilize current technologies to develop the programming code to interface to (and from, if necessary) the Delaware Background Check System. The vendor will be expected to work with the appropriate personnel from the agencies responsible for each of the registries in order to allow for a smooth information check and transfer. The deliverables associated with this requirement are outlined in Section 4.12.

4.11.8 User Testing

To meet today's business needs in general, and for this DHSS project specifically, rapid information delivery and the software quality which allows for that information delivery is important. The risk an organization takes in a project such as this can be controlled and minimized by establishing and following a testing plan. The vendor selected must have a reliable and established process that will ensure that testing is complete and the accompanying test results are documented so that outcomes are as expected.

The bidders should explain their test management process and test philosophy in sufficient detail to assure DHSS staff that the Delaware Background Check System will provide for quality assurance as part of the development of the new system. The vendor selected must work with DHSS project team members to provide a test plan that includes the following components: test design methodology, test timeframe and test environment.

Each system module will undergo UAT by the State prior to production implementation. The vendor is responsible for developing UAT test scenarios, but the State is not limited to these scenarios and will test all aspects of deliverables. The locations for UAT State staff will be at the State's discretion. Upon formal State approval of a module's UAT, it will be scheduled with IRM for implementation into the production environment. The deliverables associated with this requirement are outlined in Section 4.12.

4.11.9 Deployment

The vendor will establish a production environment within the DTI and DHSS IRM guidelines and move the approved system from the test environment to production. The vendor must also ensure that users can access the production environment correctly. The vendor will coordinate with DTI and DHSS IRM staff to ensure that system backups are established.

4.11.10 Provide Knowledge Transfer Plan for New System

To effectively train DHSS staff and management, a knowledge transfer plan must be developed. This will reduce potential project risks and help ensure staff members understand how to use the newly acquired technology in the most advantageous way in order to accomplish their job responsibilities. The goal of the knowledge transfer plan is to provide DHSS with the information and skills to independently manage the efforts necessary to ensure successful implementation and operational support of the new system. The objectives of a knowledge transfer plan are:

- Develop a knowledge transfer approach that identifies the requisite knowledge and skills required by DHSS and a process to document the knowledge

- Create and implement a training program that is effective, timely and tailored to the tasks that DHSS users perform. This includes application of the new business processes and procedural knowledge associated with their functional roles

The bidders must develop and document a sustainable training program that meets the DHSS end-user and system administrator needs at initial project implementation and throughout the life of the system. The training program must include on-the-job support, re-training and new hire training.

The bidders should discuss the approach to ensuring the DHSS staff and management will use the system in the normal course of business in years to come, and to respond to enhancements that may be required and beyond their authoritative control. The approach must ensure that State staff will be able to take ownership and continue to use the system effectively beyond the life of "the project".

4.12 Deliverables

In Phase 1, all deliverable documentation will be initially introduced in an "Outline and Sample Contents" template submitted by the contractor. State staff will approve each template. These templates may also be subject to federal review as well. Each deliverable will follow their respective approved template design.

Each document deliverable must be delivered in ten (10) paper copies, along with electronic copies sent to the State Project Director. State staff time is limited on this project especially for deliverable review. The project plan must include sufficient time for serial deliverable review. The contractor must include at least ten (10) business days, per deliverable, in the project plan for State staff to complete a review and to document their findings. Based on the review findings, DHSS may grant approval, reject portions of or reject the complete document, request contractor revisions be made, or may state the inability to respond to the deliverable until a future specified date. Upon each rejection, the contractor will have five (5) business day periods to revise the document. Additional three (3) business day periods shall be required by the State for subsequent reviews whenever revisions are requested or a deliverable is disapproved.

For solutions hosted at the Biggs Data Center, each application module deliverable, the source code (or executable, in the case of COTS products) will initially be delivered to the IRM Manager of Application Support responsible for the Division (or designee) at the time of UAT. The vendor is responsible for installation in the DHSS test environment with IRM staff present. The vendor must remain on-site to address any errors until the application is successfully installed.

The project plan deliverable must include sufficient time for:

- Training for the UAT group
- UAT

- Correction of issues uncovered during UAT

The vendor is responsible for developing a test plan and providing UAT test scripts along with each application module.

Both document and application module deliverables will be reviewed by DHSS and will require formal approval from DHSS, including the Division Project Director and the Project IRM Manager prior to milestone approval and payment. Formal approval of a deliverable is State approval of the final version. Bidder will include reasonable federal timeframes in the project plan for those deliverables requiring federal review, comment and approval. Also, both types of deliverables will be accompanied by a Deliverable Acceptance Request (DAR) – see Appendix M. The target in deliverable review is to complete the review in two cycles. However, review will need to continue beyond the second cycle if a deliverable still has major defects.

1. In the case of any discrepancy between any deliverable and the Contract, the controlling document shall be the Contract.

2. In the case of any contradiction between deliverables, the contradiction shall be resolved at the sole discretion of DHSS.

NOTE: Deliverables will be reviewed by the State in a sequential manner. A deliverable will not be accepted for review until the preceding deliverable has been approved. This provision does not prohibit a vendor from working on multiple deliverables at the same time.

Deliverables are listed as follows. Milestones are indicated with the Mn designation.

Phase	Project Deliverables & Milestones
Phase 1	Deliverable 1: Detailed Project Workplan
	Deliverable 2: Deliverable Document Templates
	Deliverable 3: Refine and Finalize the Delaware Background Check System Requirements
	State Approval of Phase 1 **(M1)**
Phase 2	Deliverable 4: Basic System Elements
	Facility Management System (FMS) (LTCRP I.S.)
	CBC Module (LTCRP I.S.)
	IRM Integrated Authentication System (IAS)
	E-Payment
	State Approval of Interfaces (Basic System Functionality) **(M2)**
	Deliverable 5: Prototype Screens
	Deliverable 6:Programming/Testing/Deployment with Overall Functionality
	6.1 – 6.8 Overall System Functionality
	6.9 Adult Abuse Registry
	6.10 Certified Nurse Aide Registry
	State Approval of Prototype Screens, Overall System Functionality and Initial Quick Hit Functionality (**M3)**
	6.11 Child Protection Registry
	6.12 Delaware State Police(Criminal Reports)
	6.13 Delaware Health Information Network

	State Approval of deliverables 6.11 – 6.13 **(M4)**
	6.14 Professional Regulation
	State Approval of deliverables 6.14 **(M5)**
	6.15.1 Wanted Person Review
	6.15.2 Public Sex Offender Registry
	State Approval of deliverables 6.15.1 – 6.15.2 **(M6)**
	6.15.3 Rap-Back Process
	State Approval of deliverables 6.15.3 **(M7)**
	6.16Office of Inspection General (OIG)
	State Approval of deliverable 6.16 **(M8)**
	6.17 Other State's Certified Nurse Aide Registry
	State Approval of deliverable 6.17 **(M9)**
	6.18 Other State's Sex Registries
	State Approval of deliverable 6.18 **(M10)**
	Deliverable 7: CMS Data Extract (Programming, Testing)
	State Approval of deliverable 7 **(M11)**
Phase 3	Deliverable 8: Final Deployment for all screens and extract
	Deliverable 9: Provide Knowledge Transfer Plan
	State Approval of Phase 3 **(M12)**
Phase 4	Deliverable 10: Acceptance in Production of All Delivered Modules
	Deliverable 11: Ninety (90) Day Warranty Period
	State Approval of Phase 4 – Acceptance of Production / 90-Day Warranty **(M13)**

One of the requirements for automating the DBCS is to establish interfaces with other external systems. The system will require several interfaces with the various registries, DSP Server, CJIS, Delaware Health Information Network, DSCYF Child Protection Registry, OIG Exclusion List. The plan is to establish interfaces between the new DBCS and the numerous external systems. The objective is to send specific data elements or demographic information via an electronic interface so that they can query databases directly without human intervention.

Quick Hit Interfaces are no cost checks that should be performed first. Second Tier may have costs associated with them.

Priority for implementation of interfaces will be in the following order:

Adult Abuse Registry (LTCRP Database)
Nurse Aide Registry (LTCRP Registry maintained by contractor)
Child Protection Registry (DSCYF)
State and Federal Criminal Background Reports (SBI)
Drug Test Reports (DHIN)
Professional Regulations Online Licensing Verification System (Dept. of State)
Office of Inspector General Exclusion List (OIG)
Delaware Sex Offenders Registry (DELJIS)
Wanted Persons Review (DELJIS)

There are several online registries that need to be reviewed to complete a background check. Currently, employers access each online registry and input applicant demographics information to search for a match. This is time consuming and LTCRP wants to streamline the process by providing a DBCS interface to each registry. The idea is to pass the applicant demographic information to each registry and then capture the registry results and record against the employment application record. Registry check outcomes can be recorded as "Yes": Disqualified, "No": Not Disqualified, or "Pending" Pending Review.

Each registry / screen will be developed as an individual, independent module. This will facilitate the possibility of using the registry / screen for other background applications within additional Delaware state departments and divisions. Maintenance and support for the registries / screens can be accomplished through one individual application, regardless of its uses throughout the state government. Other state departments and divisions currently interested in this application are Department of Services for Children, Youth and their Families, Education, Gaming, and the Vets Home.

Nurse Aide Registry

Overview

The Delaware Nurse Aide Registry (NAR) provides a list of all Certified Nurse Aides in the State, as well as the current status of their certification. These statuses include active and lapsed. A person can be flagged because of neglect or mistreatment of residents, or misappropriation of their property. The NAR is maintained by Prometric, Inc., through an independent contract with LTCRP. It is accessible through an internet webpage:
https://registry.prometric.com/registry/publicDE
A state webpage for accessing information about CNAs and the NAR:
http://www.dhss.delaware.gov/dhss/dltcrp/cnareg.html

Assumptions

LTCRP will work with Prometric, Inc. to assure the availability of a web interface (HTTP Request Response) for querying the Nurse Aide website on search parameters and returning the same data available from the website, to the DBCS.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the registry.
This information shall be displayed on the Dashboard for assessment by users. Outcomes of each NAR check shall be captured in the DBCS as a snapshot for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to POST search parameters and accept responses containing the return data through a web interface. (See Appendix AB for NAR database fields). The data from each NAR check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Adult Abuse Registry

Overview

LTCRP maintains an Adult Abuse Registry (AAR) listing of all persons in the State of Delaware who have a substantiated case of abuse, neglect, mistreatment, and/or financial exploitation in their backgrounds. The data used for the AAR resides in a LTCRP Microsoft SQL Server 2005 database.

A state website for accessing LTCRP‟s AAR:
http://dhss.delaware.gov/dhss/dltcrp/Default.aspx

Assumptions

LTCRP will upgrade its database containing the AAR data to Microsoft SQL Server 2008 R2 Enterprise Edition and provide necessary access to that database.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the registry.

This information shall be displayed on the Dashboard for assessment by users. Outcomes of each AAR check shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

As part of the work on the project, the selected vendor must create a Web Service to communicate the same data available from the website to the DBCS via a Web Service.

The DBCS must include the capability to GET and PUT data using the Web Service. (See Appendix AB for AAR database fields). The data from each AAR check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Child Protection Registry

Overview

The Department of Services for Children, Youth and their Families (DSCYF), Child Protection Registry contains the names of individuals who have been substantiated for incidents of abuse or neglect since August 1, 1994. The primary purpose of the Child Protection Registry is to protect children and to insure the safety of children in childcare, health care, and public educational facilities. Upon formal submission of an inquiry about an applicant, DSCYF staff research the registry and generate a response letter to report the result of their search.

A state website for accessing information about the Child Protection Registry:
http://kids.delaware.gov/fs/fs_cpr.shtml

Assumptions

LTCRP will execute a memorandum of agreement with the DSCYF to create and host Web Services for:

DSCYF to receive a Child Protection Registry inquiry with applicant profile data and PDF of applicant consent form.

DSCYF to send a PDF of the Response Letter containing registry findings to the DBCS.

(See Appendix AB for Child Protection Registry input and output data fields)

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the registry.

This information shall be displayed on the Dashboard for assessment by Employer staff at the Human Resources user level who are assigned to an employer processing a background check on the applicant. Outcomes of each Child Protection Check, including the PDF response letter, shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to send inquiry data (input) on each applicant/Employer pair, GET return data (output) from the DSCYF Web Service, and PUT the return data into the DBCS database. (See Appendix AB for Child Protection Registry database fields). The data from each registry check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the PDF response letter associated with the User Inquiry upon demand. The DBCS must have the capability to store multiple response letters related to a single inquiry (to allow for corrections and/or appeals).

User security must limit viewing of the DSCYF response letter to users at the Employer Human Resources user level who are assigned to an employer processing a background check on the applicant, and a System Administrator user level (for system maintenance and troubleshooting purposes only).

U.S. Office of the Inspector General's List of Excluded Individuals

Overview

The Office of Inspector General's (OIG) List of Excluded Individuals/Entities (LEIE) database provides information to the health care industry, patients and the public regarding individuals and entities currently excluded from participation in Medicare, Medicaid and all federal health care programs. Individuals and entities who have been reinstated are removed from the LEIE. The OIG exclusion LEIE database is available for download (with the exclusion of social security numbers) from http://oig.hhs.gov/fraud/exclusions/exclusions_list.asp. This webpage also provides links to instructions for use of the database and a list of Frequently Asked Questions.

Information about the OIG Exclusion Program is available at: http://oig.hhs.gov/fraud/exclusions.asp

Assumptions

There are no assumptions for the OIG.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the downloaded LEIE database. The database needs to be automatically refreshed on a periodic basis.

This information shall be displayed on the Dashboard for assessment by users. Outcomes of each OIG registry check shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to schedule periodic downloads of the LEIE database in a process to store it in a local table of the DBCS database.

The DBCS shall require the ability to automatically check applicant information against fields contained within the LEIE downloaded database (See Appendix AB for LEIE database fields.) The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Delaware Sex Offender Central Registry

Overview

The Delaware Sex Offender Central Registry (SOR) includes only those registered sex offenders who have been classified by the courts as moderate-risk or high-risk. Those offenders classified as low-risk are not displayed on the public website. Low risk offenses will be reflected in the criminal history background.

A state website for accessing the Delaware SOR:
http://desexoffender.dsp.delaware.gov/SexOffenderPublic/#

Assumptions

Access to a Web Service will be provided by DELJIS for communicating the same data available from the SOR website to the DBCS.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the registry.

This information shall be displayed on the Dashboard for assessment by users. Outcomes of each SOR check shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant’s screening information.

Technical Requirements

The DBCS must include the capability to GET and PUT data using the Web Service. (See Appendix AB for SOR database fields). The data from each SOR check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Delaware Division of Professional Regulation Online License Verification Service

Overview

The Delaware Division of Professional Regulation Online License Verification Service (LVS) provides comprehensive information about licensure for each profession, trade and event that the Division regulates. Queries on an individual professional will return information about their licenses including status and restrictions, as well as any disciplinary information.

A state website for accessing the LVS:
https://dpronline.delaware.gov/mylicense%20weblookup/Search.aspx.

Assumptions

LTCRP will execute a memorandum of agreement with the Department of State to create and host a Web Service to communicate the same data available from the website to the DBCS via a Web Service.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the LVS.

This information shall be displayed on the Dashboard for assessment by users. Outcomes of each LVS check shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to GET and PUT data using the Web Service. (See Appendix AB for LVS database fields). The data from each LVS check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Delaware Criminal Justice Information System Online Wanted Person Review

Overview

The Delaware Criminal Justice Information System (DELJIS) contains a Wanted Person Review (WPR) database listing persons with outstanding warrants issued by the courts in the State of Delaware.

A state website for accessing the WPR:

https://pubsrv.deljis.delaware.gov/WantedPublic

Assumptions

Access to a Web Service will be provided by DELJIS for communicating the same data available from the WPR website to the DBCS.

Functional Requirements

The DBCS must be capable of sending identifying applicant information and retrieving response data from the WPR.

This information shall be displayed on the Dashboard for assessment by users. Outcomes of each WPR check shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to GET and PUT data using the Web Service. (See Appendix AB for WPR database fields). The data from each WPR check must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the data associated with the User Inquiry both at the time of the Inquiry and later upon demand.

Facility Management System

Overview

LTCRP‟s Facility Management System (FMS) maintains an active list of all Long Term Care Facilities/Employers. The data resides in a LTCRP Microsoft SQL Server 2005 database.

Assumptions

FMS contains a unique identifying Facility ID number for each Facility/Employer. LTCRP will upgrade its database containing the FMS data to Microsoft SQL Server 2008 R2 Enterprise Edition and provide necessary access to that database. Before production, a data extract of applicant information will be taken from the FMS and loaded into the DBCS. Thereafter the FMS and the DBCS will be synchronized via a web service on a scheduled basis.

Functional Requirements

The DBCS must be capable of linking users and applicants to a specified employer in FMS. FMS is the source data for identification of employers.

Technical Requirements

As part of the work on the project, the selected vendor must create a Web Service within FMS to communicate with DBCS.

The DBCS must include the capability to GET and PUT data using the Web Service (See Appendix AB for FMS database fields). FMS data must be viewable and searchable from the DBCS. Facility ID from FMS must be saved as a foreign key for each user and applicant record. The Dashboard must be able to maintain the display of the facility name for each linkage.

Delaware Health Information Network

Overview

DHIN is a communication system that is available to healthcare employers throughout Delaware. Through a combination of technology and security practices, DHIN makes it possible for physicians, hospitals and labs to deliver and access critical health information to ensure better healthcare for patients.

A website for information on DHIN: http://dhin.org

Assumptions

LTCRP will contract with the DHIN to provide DBCS connectivity to the DHIN network so as to retrieve drug test reports from participating laboratories.

LTCRP will incorporate into the DBCS the capability for Employers to print out drug test request forms that include the DBCS Applicant ID number for the individual to be tested and Facility ID number for the employer requesting the test results. The applicant will carry the printed form to a testing laboratory participating in DHIN.

The participating testing laboratories will enter the Applicant ID and Facility ID numbers as part of the HL-7 data associated with the test results. This will allow the results to be electronically linked to the proper applicant and Employer in the DBCS.

Functional Requirements

The DBCS must be capable of retrieving applicant drug test data from the DHIN through the use of the DHIN-Medicity Novo Grid architecture. This information shall be displayed on the Dashboard for assessment by designated users. A HIPAA formatted PDF drug test report shall be captured in the DBCS as a snapshot, for retrieval on demand. This data shall be stored with the applicant's screening information.

Technical Requirements

The DBCS must include the capability to retrieve data from the DHIN network using the DHIN-Medicity Novo Grid architecture (See Appendix AB for DBCS database fields).

The data on each applicant drug test, including the PDF drug test report, must be saved in the DBCS database and linked to the applicant and employer. The Dashboard must be able to display the drug test data upon demand.

User security must limit viewing of the drug test results to a LTCRP Investigator user level, a LTCRP Supervisor user level, a System Administrator user level, or users at the Employer Human Resources user level or Employer Drug Test Evaluator user level, who are assigned to an employer that requested the testing of the applicant.

Delaware State Police Server

Overview

The Delaware State Police (DSP) shall operate a server located within a demilitarized Zone or perimeter network (DMZ), which will store data related to applicants' criminal history background checks, and make that data accessible for viewing through the DBCS.

Assumptions

A memorandum of agreement will be executed between DHSS and the Department of Safety and Homeland Security to specify that:

The DSP will operate a server that will store state and federal criminal history reports as PDF documents and set up a share for the purpose of making those documents accessible for viewing by appropriate users of the DBCS.

LTCRP will incorporate into the DBCS the capability for Employers to print out fingerprinting request forms in the format required by DSP that include the DBCS Applicant ID number for the individual to be fingerprinted.

The DSP will incorporate the unique Applicant ID number from the DBCS into the demographic information they enter into their Live Scan fingerprinting software.

DSP will name the PDF documents placed on their server with a file name that consists of:

- LTCRP identifier code
- DBCS Applicant ID of the person the file is reporting on
- State vs. federal Indicator

The DSP will purge individual files from the server after they have been resident for an agreed-upon time frame.

Functional Requirements for the DBCS

The DBCS must be capable of viewing criminal history report PDFs on the DSP server without saving them to the DBCS database.

Both LTCRP Investigative staff and Employer staff at the Human Resource level who are assigned to an employer processing a background check on the applicant, must be able to view state criminal history reports on the Dashboard for assessment, but only LTCRP investigative staff must be able to view federal criminal history reports. Based on both criminal history reports, LTCRP investigative users generate applicant determination letters to Employers. (See LTCRP Dashboard Module.)

Technical Requirements for the DBCS

The DBCS must have the ability to obtain a PDF file located in a secure share on the State Police server and linked to an applicant through the PDF file name. This PDF must be able to be displayed within the DBCS for designated users, but not be savable. Since the DBCS will be a 3-tier web application, in order to display the PDF, the selected vendor must create a Web Service that obtains the binary PDF information to display back to the end user within the web application window. (See Appendix AB for DSP server database fields).

The DSP must include a polling mechanism to periodically check for new background check files, and record in the DBCS when background check results become available.

User security must limit viewing of the federal Criminal History record to a LTCRP Investigator user level, a LTCRP Supervisor user level, and a System Administrator user level. User security must limit viewing of the state Criminal History record to users with a LTCRP Investigator user level, a LTCRP Supervisor user level, a System Administrator user level, or users at the Employer Human Resources user level who are assigned to an employer processing a background check on the applicant.

DHSS IRM - Integrated Authorization System

Overview

The Integrated Authorization System (IAS) is a hybrid of Active Directory domain based authentication and application managed authorization. This means that users are identified by the supply of an Active Directory login name and domain password and then a SQL server 2005 database supplies application specific role and scope information to applications subscribing to the DBCS.

Assumptions

DHSS will provide access to the Integrated Authorization System (IAS). This system is currently in the process of being upgraded. The overview (above) describes the proposed upgraded system. The upgrade is expected to be completed prior to the need for the selected vendor to access it.

Functional Requirements

The DBCS login and user authentication process must link to IAS for authenticating users and their security roles in the system.

Technical Requirements

Refer to the DHSS Information Technology Standards for technical information regarding IAS. www.dhss.delaware.gov/dhss/dms/itpubs.html

Criminal Justice Information System - Rap-Back

Overview

The CJIS Rap-Back System conducts ongoing checks of arrest for employees who have been fingerprinted for employment with long term care employers. The Rap-Back system provides LTCRP with any new arrest information that could potentially be grounds for terminating an active employee.

Assumptions

LTCRP will contract with DELJIS to create and host a Web Service for ongoing communications between the CJIS Rap-Back System and the DBCS.

Functional Requirements

The DBCS must be capable of receiving response data from the CJIS Rap-Back system. This information shall be displayed on the dashboard for assessment by LTCRP investigators and employers.

Technical Requirements

The DBCS must include the capability to GET and PUT data using Web Services. (See Appendix AB for CJIS Rap-Back data fields). The Dashboard must be able to display the data associated with the CJIS Rap-Back notification.

DHSS – IRM Criminal Background Check Module

Overview

The LTCRP Criminal Background Check System (CBC module) maintains data on all applicants for which LTCRP has received a criminal history report. The data resides in a LTCRP Microsoft SQL Server 2005 database.

Assumptions

The CBC Module contains each individual's Last Name, First Name and Social Security Number. Within the system, Social Security Number is a primary key. LTCRP will upgrade its database containing the CBC data to Microsoft SQL Server 2008 R2 Enterprise Edition and provide necessary access to that database. Before production, a data extract of applicant information will be taken from the CBC Module and loaded into the DBCS prior. Thereafter, the CBC Module and the DBCS will be synchronized via a web service on a scheduled basis.

Functional Requirements

If an applicant is not found after a search in the DBCS database, the DBCS must be capable of searching the CBC module. If a matching applicant is found with a record, selected identifying information on the searched applicant should be returned.

Technical Requirements

As part of the work on the project, the selected vendor must create a web service for the CBC Module to communicate with DBCS.

The DBCS must include the capability to GET and PUT data using the Web Service (See Appendix AB for CBC database fields). The DBCS must also be able to populate applicant data entry fields with the appropriate identifying applicant information from CBC. Only upon unsuccessful search of the DBCS database for an applicant should CBC information be polled.

DTI –E-Payment

Overview

The State of Delaware currently partners with Govolution to use their Velocity Payment System (VPS). VPS provides credit card payment services for state entities seeking to develop web based applications with a payment component. One of the VPS products available from Govolution is the V-Relay product.

Assumptions

Access to the V-Relay product will be provided to the selected vendor and LTCRP will arrange for establishment of the necessary merchant account.

Functional Requirements

The DBCS shall use VPS that allows employers to make credit card payments over the internet for usage of the DBCS. The V-Relay product has been identified as being the key VPS component for the E-payment solution.

Tracking of employer charges, payments and balances will be handled through the account records module.

Technical Requirements

Technical information on the V-Relay Application Programming Interface will be provided to vendors after submission of their intent to bid.

4.12.1 Phase 1

This phase is the kickoff of the project where the overall project planning, project management and schedule are agreed to and the ground rules and expectations are set.

The deliverables in this phase are:

Deliverable 1: Detailed Project Plan

This deliverable is the first update of the project plan submitted with the proposal of the selected vendor. See Section 6.2.4 for a description of this deliverable.

The project plan is a living document and must be updated at least weekly throughout the project to reflect actual project status and timelines. The Division and the State must approve any change that results in the change of a milestone date. The vendor project plan will be incorporated into the overall project plan kept by the Division Project Director.

The vendor is responsible for creating and maintaining their project management plan and it must include the following areas:

- **Staffing/Resource Management** – Identify vendor staff, including specific roles, functions and assigned responsibilities. Include a work schedule with due dates; update throughout project. Vendor must provide qualifications for staff as outlined in section 6.2.6 of this document.
- **Scope Management –** Describe and document a scope management plan that outlines the methods employed to assure that the project will remain on track, and that the opportunity for scope "creep", is minimized. Work with DHSS personnel to understand the project scope and document for review and approval by the DHSS Steering Committee.
- **Project Change Management** - Work with DHSS Steering Committee to clearly understand and document the approach that will be followed to identify, communicate and resolve potential issues that could result in changes to the original project scope and project plan. Include the steps the vendor intends to take to ensure any issues receive the immediate attention necessary to incorporate any changes that may impact the project quality, timing or budget.
- **Risk Management –** Create, monitor and maintain a project risk list or register. Propose mitigation strategies as issues that pose potential risk arise.

Deliverable 2: Deliverable Document Templates

Bidder must work with State staff to design templates for each subsequent document deliverable including but not limited to requirement documents, detailed design documents, training plans, testing plans, status reports, issues tracking, executive meeting summaries and other project documents. These template designs are critical to ensuring that the deliverables and other project documents are in a format agreed to by all parties. Each template must be separately approved by the State. Each deliverable document will be submitted in the agreed upon template format.

Deliverable 3: Refine and Finalize the Delaware Background Check System Requirements

The Functional and Technical Requirements Specification Document will be provided to the successful bidder. It will be the vendor's responsibility to thoroughly review this document. The vendor will be expected to validate and incorporate changes to the requirements identified in this document. In addition, the vendor will be expected to communicate with the Division Project Director and Project IRM Manager to add to the requirements document as deemed necessary and appropriate throughout the life of the project. The potential impact that any proposed changes might have on the quality, timing and/or budget of the project, as originally planned must be communicated.

The vendor must review and understand the Functional and Technical Requirements Specifications Document. Based on communication with Steering Committee members and/or Project Team members, and a thorough understanding of the challenges the DHSS is faced with today, the vendor must document any potential change(s). Incorporate all approved changes to the original document and publish in final form.

General Requirements

Requirements are a description of how a system should behave or a description of the system's properties or attributes. It can alternatively be a statement of "what" an application is expected to do. Requirements are usually identified through a requirements analysis which is a process of understanding the customer's needs and expectations from a proposed system or application.

During interviews for this project, numerous requirements were identified and documented as a basis for system design to automate and streamline the background check process. The analysis determined that there are several sources of background information that LTCRP and employers are required to check by law and others that are recommended. These checks must be completed before an employee can be cleared to work at a long care facility.

The following section highlights the interview findings and system requirements:

- Multitier security with usernames, strong passwords and encryption, and the ability to make more than one security level available to the same user.

- Web-based application with public website features such as a homepage with drop-down and side menus.

- Interfaces between the DBCS and each registry, DHIN, and the DSP Server (SBI/CJIS) to exchange information required to automate the registry checks, criminal history checks and drug test process, so that outcomes can be easily displayed.
- A “Quick Applicant Check” feature to run multiple registry checks that require input of only minimal applicant identifying data and provide immediate return data.
- An “Enhanced Search” capability to allow complex and ad-hoc searches.
- Applicant Profiles for adding, editing and maintaining demographic information.
- Employer Contact Profiles for adding, editing and maintaining demographic information kept in the DBCS database (not contained in FMS).
- Tracking of Employee Work History by employer, hire date, occupation category, and termination date.
- An audit trail that records DBCS transactions such as registry checks, DSCYF child protection checks, criminal history checks and drug tests, for each employment application record by date, user and activity/results.
- The dashboard to capture and display registry outcomes, eligibility results, background check status, and record against the employment application record (Yes, No, Pending, Withdrawn, Disqualified, and Hired).
- Automated generation of a combined drug test, DSCYF check, and criminal history consent form, request forms, service letters, and CBC determination letters.
- E-mail notifications for designated communication functions.
- Capability to retrieve, display, and print documents by applicant, employment application, employer and date.
- A set of business and administrative rules defined by LTCRP to guide the system.
- Capability to maintain a Master Employee List which is required for the Rap-Back System.
- An automated Rap-Back System that interfaces with CJIS and references the Master Employee List.
- An E-Payment and Accounting Records Module to receive credit card payments from employers for usage of the DBCS.

- Statistical data analysis and management reporting that provides canned and ad-hoc reports.

  The following is a more detailed explanation of each one of the requirements.

MultiTier Security and Encryption

One of the requirements of the DBCS is multitier security with usernames, strong passwords and encryption. The DBCS contains confidential and sensitive information involving health, and criminal history information which is protected by state and federal laws. It must be in compliance with DHSS, DTI and HIPAA security standards, including encryption of all data sent to and received by the DBCS.

DHSS and DTI security guidelines can be referenced in:

- DHSS Information Technology Services for Vendors: http://dhss.delaware.gov/dhss/dms/irm/vendorsvcs.html

Security must be structured for an individual user by Department, Division, Role, and Scope. Department and Division must be used to define which applicants, employers, or users can be accessed by an individual user. Roles and Scopes must be used to define which functionalities, processes, reports, and views are accessible to an individual user.

Department and Division are hierarchical with individual Divisions falling under a defined Department. Initially, DHSS must be established as a Department with LTCRP established as a Division below DHSS. DBCS must allow System Administrators to add new Departments and Divisions in the future.

Scopes and Roles are hierarchical with individual Scopes falling under defined Roles. The following is a sample of the scopes and roles:

- ***System Administrator Role***
  - **Scopes**
    - *Administration*
    - *User Maintenance*
- ***Regulator Role (for this document, same as LTCRP staff)***
  - **Scopes**
    - *Management*
    - *Supervision*
    - *Investigation*
    - *Administrative Assistance*

            - *Licensing*

        - ***Employer Role***

            - **Scopes**

                - *Corporate*
                - *Human Resources*
                - *Drug Test Evaluator*
                - *Quick Applicant Check*

LTCRP requires extensive security capabilities that will allow the system administrators to set up authorized users, logins and strong passwords, as well as all pertinent security information. Specifically, system administrators will need the capability to manage the users' read, edit, add, delete and search rights. This also includes user security that controls who has access to modules, features, functions, reporting, components and services that the system offers. The system security must provide authorization and authentication using into the current DHSS IRM Integrated Authorization Authentication System (IAS). Creating user accounts in the DHSS APPS domain needs to be done through the IAS registration process. No users will be given SQL Server login accounts. The application will use a system ID to access SQL Server and the application will need to control user access based on defined Role/Scope combinations.

Security must address:

- Creating and configuring User and Division access rights
- Division and User Permissions for all parts of the system
- System object lists (Reports, Forms and Screens)
- Manage information of, LTCRP Administrators, Support Staff
- Manage data elements, reports
- Access to system security, reporting, background checks, and rules
- Creating and configuring Department Profiles
- Creating and configuring Division Profiles
- Creating and configuring Objects
- Creating Object access rights (Read, Edit, Add, Delete, Search) access rights
- Creating and configuring Employer, Investigators, staff profiles
- Creating and configuring Division and User Permissions for modules
- Creating and configuring Division and User Permissions for forms, letters and documents
- Creating and configuring Division and User Permissions for reports
- Managing profiles access rights for LTCRP managers, support staff, administrators and investigators
- Managing profiles and access rights for employers
- Managing data elements security
- Displaying user audit trails

Security must be provided for access to the database and to the reports generated from the database. It also needs to be provided at the network and application layer. This is called multitier security. LTCRP needs to work with DHSS and DTI to strike a balance between what is needed to protect their confidential information and what is practical from both a resource requirement, system stability and the requirement to protect the information from unwanted intrusion.

Whatever decisions are made, security is key to the success of the DBCS and every effort should be made to ensure that it is comprehensive enough so that staff is confident that all sensitive and confidential information will be protected. Also, system alternatives must be thoroughly reviewed to ensure that they can provide the robust security needed by LTCRP.

Website Application with Public Website Features

The DBCS will consist of a public website residing on the State's network, accessible through the Internet. The website will contain the following top and side menu navigation sections:

- Introduction
- General Information
- Employer Information
- Policies
- FAQs
- LTCRP User Manual
- Searchable Help
- Legal Statement
- Employer Login

Introduction -The Introduction shall contain a brief overview of the purpose of the website and the background check process.

General Information - The General information page shall contain a brief overview of how the DBCS works.

Employer Information - This section allows Employers to enter and display information specific to their organization.

Policies - This Section shall outline the LTCRP policies on the background check process.

FAQs - This section shall contain a list of Frequently Asked Questions, with answers, that will be developed by LTCRP.

LTCRP User Manual - This Section shall provide comprehensive description of the features of the DBCS and how they relate to the business processes of LTCRP.

Searchable Help - This Section shall provide users with help on using the DBCS.

Legal Statement - A Legal Statement provided by LTCRP will be displayed in this section.

Employer Login - The employer login section will be the location where employers can access the DBCS with unique usernames and strong passwords. This section must comply with DHSS and DTI security standards.

The website will need to be compliant with DHSS and DTI common look and feel standards. It shall be professional in appearance, easy to use and logical to navigate. It shall rely on templates/master pages to ensure that changes to the website layout are efficient and only required to be made in one place. State of Delaware common look and feel standards can be found here:

- State of Delaware Web Standards: http://www.state.de.us/sos/gic/information/webstandards.shtml

The website shall make use of cascading style sheets (CSS) to ensure consistency of formatting throughout the website. Such consistency needs to be maintained across multiple screen resolutions (i.e. the website needs to scale its elements relative to screen resolution) and across various types of web browsers. The website will require thorough and comprehensive cross browser testing to ensure that the website works and displays correctly for all users.

Applicant Quick Hit

The users require a quick applicant check feature to run multiple registry checks and query other data sources which require input of minimal applicant identifying data and display the results in a dashboard. These checks are free of cost and do not require the applicant's consent.

This "Applicant Quick Hit" will send the required data elements to the interfaces established with the various data sources. The results of the requests will be displayed for the employer. As the Applicant Quick Hit is being processed, the system will automatically retrieve any work history and service letter data and display it along with the registry check buttons. If a service letter does not exist for a previous employer, it can be requested through the work history grid.

In order to conduct an Applicant Quick Hit, the following data elements are used to query the registries:

- First Name
- Middle Name
- Last Name
- Social security number
- Date of Birth
- Certificate ID

- License Type
- Profession
- License Number
- Address Line 1
- Address line 2
- City
- State
- Zipcode
- County

As the registry is being checked, the system will record the name of the user and the date/time the check was processed. If the applicant does not appear in the registry, the system will display a message that the record was not found. If the applicant is found, the system will display and store whatever information is appropriate for that registry (see Appendix AB for registry fields).

Before each check is completed, the registry check outcome is disabled (grayed-out). As each registry is checked, the outcome Yes/No box is enabled and the user is required to check Yes (the registry has disqualifying information) or No (the registry does not have disqualifying information). Each registry check must be processed individually and all Quick Registry Checks must be performed.

Enhanced Search Capability

The Enhanced Search capabilities will allow users to retrieve data and information from the DBCS by various common data elements. The search capability must be part of the overall functionality of the system for Employers, LTCRP Management and Investigators so they will be able to query the appropriate records.

The Enhanced Search is an important component of the system, and will be used to retrieve and display records for maintaining system information. For example, this search will have the capability to find, retrieve and display employer, applicant, and employee records so the user can add, edit, and delete appropriate information. Employers will not be permitted to edit Social Security Numbers of existing applicants and application records. When a search is conducted by an employer, any findings that are displayed are limited to records that are related to that employer (i.e. employees, employer applicants, applications).

The Enhanced Search will include search parameters such as Applicant ID, Applicant First Name, Applicant Last Name, Applicant SSN, Employer Name, Facility ID and date applied. The system will provide the capability to retrieve the information by a Name Search only or in combination of two or three data fields. Name based searches will have the ability to perform a partial name search such as the first few letters in last name, i.e., “N”, “Na”, “Nar”.

The Enhanced Search will also be available to LTCRP users. This will be used to query the database by a number of data fields such as Name, Social Security Number, Dashboard Transaction Number, Applicant ID, Employer, Applicant and Investigator

Name, Employer Name, Facility ID, SBI Number, Application Date, Date Ranges, Investigator Assigned, or Status.

The user will be required to enter data in textboxes provided based on the search criteria. Dropdown menus will be provided where appropriate. Once the search request is returned, various hyperlinks will be displayed providing easy access to the related information.

Applicant Profile of Demographic Information

The system must have the capability to maintain Applicant demographic information. Each Applicant will have a unique Profile.

The following are the profile data elements:

- Applicant ID
- Last Name
- First Name
- Middle Initial
- Aliases
- Social Security Number
- Address Line1
- Address Line 2
- City
- State
- Zip
- County
- Suffix
- Gender
- Race
- Email
- Driver's License Number
- Driver's License State
- Category
- Occupation
- Position
- SBI Number (Restricted field)
- Date of Birth
- Fingerprint Date
- Certified Nurse Aide Number
- Profession
- License Type
- License Number
- Certificate ID
- Certificate Expiration Date

Employer Profile of Demographic Information

There will be an interface between DBCS and FMS on the unique Facility ID. However, a data extract of employer information will be taken from the FMS and loaded into the DBCS before production. Thereafter, the FMS and the DBCS will be synchronized via a web service on a scheduled basis.

The Facility ID and Employer Name will be maintained in FMS. The DBCS must have the capability to maintain Employer contact information. Each Employer will have a unique Profile within DBCS. The following are the profile data elements:

- Facility ID
- Employer Name
- Contact Person
- Contact Phone
- Contact Fax
- Contact Email Addresses

Employee Work History

Work history for employees working in Long Term Care facilities will be tracked and maintained in the DBCS database. The system will track employee work history by employer, hire date, occupation category and separation date. Work History will also include service letters that will be provided to other employers upon request.

The following are the work history data elements that will be tracked:

- Last Name
- First Name
- Middle Name
- Applicant ID
- Social Security Number
- Employer Name
- Start Date
- Separation Date
- Occupation
- Occupation Category

Audit Trail and Data Validation

The system will create a user activity audit and transaction audit trail. An audit trail is a record showing who has accessed a computer system and what operations were performed by a user during a given period of time. Audit trails are useful both for maintaining security and for recovering lost transactions. Every significant action performed by a specific user will be recorded in the database by tracking fields such as Applicant ID Number, Facility ID Number, Date, Time, and Activity Performed. Additionally, the system will track Investigative assignments so a supervisor can associate an investigator to any request regardless of the number times the request has been reassigned. Investigator assignments will be tracked by date of assignment and reassignment.

Data Validation is also an important step in ensuring data integrity within the DBCS. If the system is designed to accept only valid entries for appropriate fields, LTCRP can expect a reduction in errors and reduced costs associated with resolving the error at a later stage. For example, when an employer inputs information into the DBCS it will notify the user if all required data fields are not complete or if the entered data does not meet the field constraints. Validation would also prevent the creation of duplicate records in the system and therefore ensure data reliability. Enforcing data validation for such cases would ensure that only valid data is accepted.

The DBCS will verify and validate field and related field values. Providing data validation would ensure that only valid data elements are accepted. Incomplete and/or incorrect information causes background checks to be suspended or delayed. Ensuring that only valid data is accepted will improve overall productivity.

Dashboard Display

One of the requirements of the system is to efficiently display information such as applicant profiles, employer profiles, service letters, background check outcomes, drug test results, registry checks, application status, task list, etc. A dashboard will be utilized to display this information in a summary format allowing for quick navigation and drill-down functionality. Dashboards enable a quick, thorough and comprehensive review of an individual's background prior to hire.

Drill-down functionality allows the user to view, edit, or delete information on a detailed level. The user will be able to make necessary changes, save those changes, and return to the detail at a later date for further editing.

Automated Document Generation

The system will automate the generation of consent forms, service letters, CBC determination letters, drug test and criminal history request forms. The system will retrieve data from the DBCS database to populate the predetermined fields in the document templates.

E-Mail Notifications

The system will include the ability to send email notifications for service letter requests, child protection registry responses, criminal history information received, rap-back notifications, etc. The employers will have the ability to designate multiple email addresses for notifications within DBCS.

Retrieve, Display, Upload and Print Documents

The system must have the ability to retrieve, display, upload and print system documents. Documents may be easily retrieved and viewed as part of the search functionality. Documents shall have the capability to be displayed as PDFs that can be saved to a file. In order to have a signed consent form on file, the system must have the ability for employers to upload scanned documents into the system.

Business and Administrative Rules

A business rule is anything that captures and implements business policies and practices. An administrative rule is used to control the system configuration. Rules can be enabled or disabled and the value can be edited by a system administrator. These rules can reduce errors, decrease processing time, simplify decision making and help prioritize work flow.

Employer Uploaded Signed Consent Form:

Once employers have performed the Quick Applicant Check and evaluated any existing service letters, a signed consent form must be uploaded into the system before the employer can proceed any further.

Unique Social Security Numbers:

The DBCS shall require a social security number in order to process an applicant's background check. It will also prohibit duplicate social security numbers.

Rap-Back:

The DBCS will contain automated rap-back functionality on state criminal history records for employees hired based on information provided by the system. Employers are required to enter a hire and separation date for all employees. The hire and separation dates are triggers that include or remove an employee from the rap-back system.

Employer Rap-Back:

The DBCS shall contain the capability for employers to view Rap-Back notifications on their dashboard.

Service Letters:

Applicant Service Letters recorded through the DBCS shall be available to employers with up to 5 years past employment information. The system will disable view of the service letter by employers after 5 years.

Applicant Alias Names:

The DBCS shall contain the ability for applicants to be searchable based on alias names (such as maiden name, or incorrect names previously used in the DBCS).

Historical Employer Names:

The DBCS shall contain the ability for applications to be searchable based on historical names (such as previous employer name).

Edit Profiles:

Employers shall not have the ability to edit Social Security Number and Birth Dates. This rule cannot be disabled. LTCRP users (Regulator Role) at Investigator and Supervisor scope levels will have the ability to do these edits.

Administratively Close:

Applications entered into the DBCS that are greater than 90 days old with no hiring decision, will be administratively closed. This action will remove the application from the employer's view and mark it as administratively closed. The same actions will be invoked 30 days after an employer enters a separation date for an employee. The duration of these 90 day and 30 day time periods must be editable by system administrators.

Applicant Work History:

Applicant Work History of past employment information recorded through the DBCS shall be available for employers and regulators (LTCRP staff).

Email Notifications:

The DBCS will have the capability to send email notifications for the following:

- DHIN – Drug Test Results Received
- Child Protection Registry Response Received
- Service Letter on Active Application Received
- Service Letter on Former Employee Requested
- State Criminal History Received
- LTCRP Determination Letter Received
- Federal Criminal History Received
- Rap-Back Notification Received
- Low Accounting Records Usage Balance

- Warning an Application is nearing Administrative closure

The employers will have the option to designate multiple email addresses for notifications.

Accounting Records & E-Payment:

The DBCS must have the capability to enable and disable application of charges for employer usage.

Usage Charge:

The DBCS must have the ability to record a usage charge to an employer's account record for each applicant processed past the Quick Applicant Check stage. It must also have the ability to deny processing of applicants for employers whose balance is below the usage charge. The usage charge amount must be editable by system administrators.

Low Balance Notification:

The DBCS must have the ability to notify employers (through the system and by email) when their balance is low. The low balance notification amount must be editable by system administrators.

Investigator Assignment Simple Rotation:

The DBCS shall have the capability to automatically assign new applicant~~s~~ criminal background check reviews to be processed based upon a simple rotation of LTCRP investigators. The investigator rotation can be edited by the LTCRP Supervisor or System Administrator.

Investigator Assignment History:

If an applicant has been processed by an investigator previously, the system will automatically assign new criminal background check reviews to that investigator. This rule will need to supersede the Simple rotation assignment. This ability can be enabled or disabled by System Administrators.

Hiring Decision:

The DBCS shall have the ability to disable entry of a hiring decision until all required dashboard steps are completed. These required steps include Quick Applicant Check, drug test results, criminal history results, child protection registry results, and an LTCRP determination letter. This ability can be enabled or disabled by System Administrators.

Disqualification Warning Notification:

If a disqualifying determination letter is provided by LTCRP (such as the 'H Letter') a warning notification is given to employers upon entry of a hiring decision. This ability can be enabled or disabled by System Administrators.

Master Employee List

Each employer will be responsible for maintaining their Active Employee List in the DBCS. These Active Employee Lists are subsets of the Master Employee List used for Rap-Back. When an applicant is hired by an employer, a hire date is required for the system to add them to the Master Employee List. When an employee separates from the employer, employers must enter a separation date. This will remove the person from their Active Employee List and subsequently from the Master Employee List. The DBCS must communicate the separation date to the Rap-Back system.

Rap-Back System

The DBCS will interact with the State's Rap-Back System. The purpose of the Rap-Back System is to notify employers and LTCRP of any new arrests for active employees working in Long Term Care Facilities. The Rap-Back System will send arrest data to the DBCS to be reviewed by the LTCRP investigator assigned to the employee. The arrest data will be displayed on the employer's dashboard and an email will be generated to the employer contact.

To effectively perform a rap-back check, employers are required to maintain the hire and separation dates for all employees. The hire and separation dates are triggers that include or remove an employee from the rap-back system. This also will maintain an active employee list for each employer. The system will monitor the activity of the active employee list for changes. The system will periodically prompt the employer to confirm accuracy of the active employee list.

E-Payments

LTCRP requires the ability for employers to pay usage fees online. Balances must be maintained for each employer with credits made through E-Payment. The employer will be able to view their current balance. DBCS will use the Velocity Payment System through its V-Relay Application Programming Interface. However, it should be noted that initially the system will not charge any service fees and the E-Payment component of the Accounting Records Module will be disabled.

Statistical Data Analysis and Data Reporting

During the planning project, those interviewed indicated a need for statistical data and management reporting. They require the ability to track and report on background checks, outcomes, investigator activity, elapsed applicant processing time, fees, payments, and applicants by employer and CBC Requests.

Some of the most noted reporting requirements identified by those interviewed were the need for enhanced query and search features, improved reporting capabilities including canned and ad-hoc reporting with charts, graphs, dashboards and real-time calculation of elapsed processing times. LTCRP requested the ability to report on significant data elements or groups of common data elements. Canned reports are made available to the user through a screen form in the application. Canned reports often include parameters in the form of text boxes or drop-down lists which the user can use to filter the results of the report.

The reporting module will include an off-line reporting database. DHSS uses SQL Server Replication to create a reporting database that is separate from the Production database. Replication frequency is based on business needs, but real-time replication is only used when absolutely necessary. Real-time replication requires justification and approval by the DHSS Base Technology Group. The following are some of the reporting requirements:

- Establish pre-programmed canned reports
- Generate charts, graphs and statistical presentations
- View reports before printing
- Generate accounting reports
- Perform calculations for background check count, elapsed time to produce a background check, number of and percentage of background checks by investigator, background check by employer breakdown, etc.

With formal State approval of all deliverables in this phase, the milestone payment (M1) minus 10% holdback may be invoiced.

4.12.2 Phase 2

The deliverable(s) are as follows:

Deliverable 4: Base System Elements

For those deliverables
Facility Management System (FMS) (LTCRP I.S.)
CBC Module (LTCRP I.S.)
IRM Integrated Authentication System (IAS)
E-Payment

Deliverable 5: Prototype Screens

5.1 Public Website Screens
5.2 Adult Abuse Registry
5.3 Certified Nurse Aide Registry
5.4 Child Protection Registry
5.5 Delaware State Police
5.6 Delaware Health Information Network
5.7 Professional Regulation
5.8 Delaware Criminal Justice Information System (DELJIS)
  5.8.1 Wanted Person Review
  5.8.2 Rap-Back Process
  5.8.3 Public Sex Offender Registry
5.9 Office of the Inspector General
5.10 Other State's Certified Nurse Aide Registries (Appendix Q)
5.11 Other State's Sex Offender Registries (Appendix R)
5.12 Security and Administration Module
5.13 Employer Dashboard Module

5.14 LTCRP Dashboard Module
5.15 Service Letter Module
5.16 Image Storing and Viewing Module
5.17 Reporting Module
5.18 Accounting Records Module
5.19 Help Files and User Manual

For those deliverables listed .2 through .9, the data inquiries will result in storing the results within the dashboard's database.

For those deliverables listed .10 through .11, data inquiries will not result in the saving of the data onto the dashboard's database. Selecting records from other state's available registries is a requirement from CMS. Links to the various state registries can be stored in a table, and referenced via the screen, within the database to facilitate ease of adjustment to the URLs whenever a state decides to make a change.

Deliverables listed .12 through .19 are the modules that will provide overall functionality for the system.

The vendor will document the system design in the form of prototype screens, based on the priority order above. These screens will help DHSS staff members and Project Team members visualize on paper, what the system will look like before the programming work is performed. Every module of the system will have prototype screens which will help describe the system and serve as a blueprint for the developers. A primer, or brief explanation of the screens, will be associated with each screen. The prototype screens and primers will lay the groundwork for the application development work.

Deliverable 6: Programming Code / Testing / Deployment with Overall Functionality

6.1 Security and Administration Module
6.2 Employer Dashboard Module
6.3 LTCRP Dashboard Module
6.4 Service Letter Module
6.5 Image Storing and Viewing Module
6.6 Reporting Module
6.7 Accounting Records Module
6.8 Help Files and User Manual
6.9 Adult Abuse Registry
6.10 Certified Nurse Aide Registry
6.11 Child Protection Registry
6.12 Delaware State Police
6.13 Delaware Health Information Network
6.14 Professional Regulation
6.15 Delaware Criminal Justice Information System (DELJIS)
    6.15.1 Wanted Person Review
    6.15.2 Public Sex Offender Registry

6.15.3 Rap-Back Process

6.16 Office of the Inspector General

6.17 Other State's Certified Nurse Aide Registries

6.18 Other State's Sex Offender Registries

For those deliverables listed .9 through .16, the data inquiries will result in storing the results within the dashboard's database.

For those deliverables listed .17 through .18, data inquiries will not result in the saving of the data onto the dashboard's database. Selecting records from other state's available registries is a requirement from CMS. Links to the various state registries can be stored in a table, and referenced via the screen, within the database to facilitate ease of adjustment to the URLs whenever a state decides to make a change.

Deliverables listed .1 through .8 are the modules that will provide overall functionality for the system.

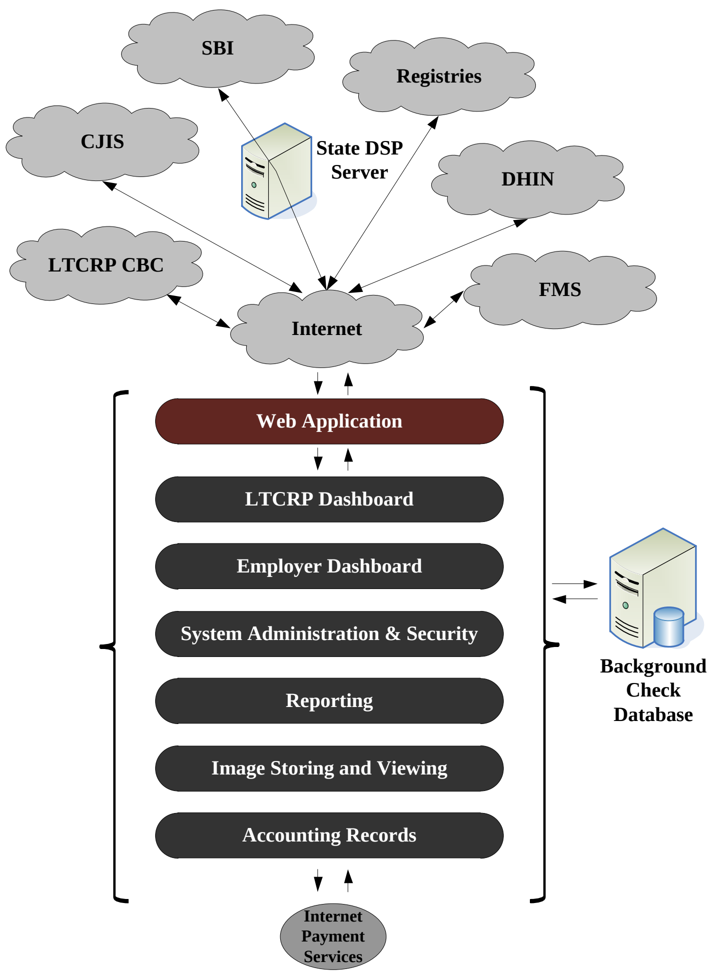
External Data Source	Type of Interface
Quick Hit Searches	
Wanted Persons Review	Web Services
Adult Abuse Registry	Web Services
Nurse Aide Registry	HTTP Request / Response
Sex Offender Central Registry	Web Services
OIG	Scheduled Database Download
Professional Regulations	Web Services
Second Tier	
Child Protection Registry (DSCYF)	Web Services
Delaware Health Information Network (DHIN)	NOVO Grid
Delaware State Police Server (SBI)	Web Services
System Interface	
Facility Management System (FMS) (LTCRP I.S.)	Web Services
CBC Module (LTCRP I.S.)	Web Services
IRM Integrated Authentication System (IAS)	Web Services
Criminal Justice Information System (CJIS) (Rap-Back)	Web Services
E-Payment	Web Service

The DBCS must be capable of interfacing with the above identified external data sources. There are several online registries that need to be reviewed to complete a background check. Currently, employers access each online registry and input applicant demographics information to search for a match. This is time consuming and LTCRP wants to streamline the process by providing a DBCS interface to each registry. The idea is to pass the applicant demographic information to each registry and then capture the registry results and record against the employment application record. Registry check outcomes can be recorded as “Yes”: Disqualified, “No”: Not Disqualified, or “Pending”: Pending Review.

The selected vendor is expected to write the program code to meet all requirements for the system, based on the priority order above. An agile project methodology will be employed for this project. As one screen design is completed and approved, that screen design will be coded, and the next screen will be designed. As the first screen finishes with coding, that screen will move into test, the second screen into programming, and a third screen moves into design. The project will continue to be performed in this method, so that as each module is completed, that module will be added to the overall dashboard. The system functionalities and features include:

- System Administration and Security
- Employer Dashboard
- LTCRP Dashboard
- Image Storage and Viewing
- Reporting
- Accounting Records

Figure 1 - System Module Architecture



Please see Appendix P for a detailed list of functional and technical requirements. Each module has specific functions and responsibilities for the DBCS as outlined below:

System Administration and Security Module

The System Administration and Security Module provides core system administration and security capabilities for all the modules of the system. This module can prohibit user access to various components of the DBCS and allow or disallow users to edit or delete certain data. System Administration includes user security that controls who has access to the system, modules, features, functions, components, reports, work history and results. This module will manage a user's read, write, modify, and delete permissions. Additionally, the system administration and security module handles the authorization and authentication of the users as well as the administrative rules.

There are several types of users for the DBCS. User types include System Administrator, LTCRP Supervisor, LTCRP Administrative Assistant, LTCRP Manager, LTCRP Investigator and Employer. System administration and security is managed at various levels within the user division. Users may have certain permissions and access levels within each division and module. These include access to add, edit, read and delete data in the system. The system administration and security module has full authority to manage user access rights and control how and what they can access in the system.

The following are the features and functions for the System Administration and Security Module:

Features:

- Manage system users
- Manage system user Department and Divisions
- Manage user access rights
- View user profiles
- Maintain audits of user activities
- Maintain user help files
- Provide data validation

Functions:

- Create, Modify, and Delete Employee profiles
- Create, Modify, and Delete Employer profiles
- Create, Modify, and Delete Applicant profiles
- View system user profiles
- View user activities
- Create, Modify, and Delete User Divisions
- View System User Department and Divisions
- Create, Modify and Delete rights for access to screens

Creating a user audit trail, implementing data validation and establishing system help are also important functions of this module. The system administration and security module contains the functionality to ensure that the data is accurate and free of errors. This functionality is especially necessary if the business rules are to be incorporated into the DBCS. Data validation and error checking are essential elements of the DBCS where data integrity is necessary if business rules are to be applied effectively.

Employer Dashboard Module

The dashboard is a very important component of the system. It serves as the focal point for presenting the background check information. The Employer Dashboard Module will efficiently display information such as applicant profiles, employer profiles, service letters, background check outcomes, drug test results, registry checks, application status, task list, etc. The dashboard will be utilized to display this information in a summary format allowing for quick navigation and drill-down functionality. This keeps the employer two clicks away from any screen they need to perform background checks. The dashboard will be designed to organize the applicant data and background check process into a consolidated view.

The following functions will be included in the Employer Dashboard Module:

- Quick Applicant Check
- Registry Check
- Upload Consent Form/Send applicant information to Child Protection
- Generate Drug Test Form
- Generate Fingerprint Form
- Check Dashboard for Drug Test Results, State Criminal History Results, Child Protection Results and Rap-Back Notifications
- Check Dashboard for Fitness Determination Letter from LTCRP
- Update Applicant Status
- Request Service Letter
- View and respond to Service Letter Requests
- View/Update Applicants being processed
- View/Update Applicant profile
- View/Update Active Employee List
- View/Update Employer Contact Information
- View/Update Employer's Information
- View/Update Email Notification Options (dashboard updates)
- Update Employee Separation Date/Generate Service Letter (optional)
- View Work History on Active Employees
- Enhanced Search
- Add/Edit Notes
- Run Reports

Applicant information will be displayed to employers in the Dashboard module. Employer information such as contact person, contact phone, fax, and email will also be maintained in this module.

LTCRP Dashboard Module

The DBCS will have an LTCRP investigative module which will consist of an automated workflow procedure, providing a more efficient background check process and interaction between the investigators, supervisors and administrative assistants in the performance of their duties. The following functions will be included in the LTCRP Dashboard Module:

- Review State/Federal Criminal History Results in Dashboard
- Enter disqualifying charges
- Generate Fitness Determination Letter
- Review Rap-Back arrest information on Active Employees
- Release Rap-Back arrest information to Employer Dashboard
- View Task List (item will come off list when task is completed)
- Correct Applicant/Employee Social Security Numbers
- Supervisor – Reassign applicant reviews
- Supervisor – View/Update assignment rotation
- Track/update work list status
- Track/update pending dispositions
- Add/Edit Notes
- Enhanced Search
- Update determination letters with interpretations of Federal convictions in Delaware code
- Print determination letters for US Mail
- Generate mailing lists
- Generate mailing labels
- Generate email lists, for those providers with email access
- Process application from non-participating Employers

The focal point of the application is the dashboard view. Information is displayed on the dashboard as a consolidated view. There will need to be several views containing different information depending on the user's security rights.

The Investigator View is what the LTCRP staff will see when they access the website. The following must be included in the Investigator View:

- Work lists
- Work Load Lists
- Employer Name
- Enhanced Search
- Rap-Back Notifications
- Drug Test Results
- Applicants being processed
- Service Letters
- Employee Search
- Master Employee Lists
- Notes
- LTCRP Determination Letters
- State Criminal History Results
- Federal Criminal History Results
- Child Protection Registry Results
- Applicant Status
- Reports

The Management View is what LTCRP managers will see when they access the website. The following must be included in the Management View:

- Applicant Processing Statistics
- Enhanced Search
- Employer's Organization Information Management
- Email Address Management
- Accounting Reports
- E-Payment Management
- Reports

As part of the LTCRP investigation workflow, the DBCS will automatically assign applicants to an investigator's work list for review upon receipt of the criminal history report from SBI. The supervisor will have the ability to manage investigator workloads. When applicants are assigned to investigators, the investigator reviews the applicant's state and federal criminal history results. These results are evaluated for any disqualifying charges, missing dispositions and outstanding arrests. Any findings are recorded within the system and a determination letter is generated for employers and applicants.

If the determination is final the applicant is removed from the investigator's work list. If a pending fitness determination is made for an applicant, a pending letter is generated for display to the employer and mailed to the applicant. This applicant is marked pending on the investigator's work list. The purpose of the pending marker is to remind the investigators that further follow up is needed on an applicant.

This module will contain enhanced search capabilities on applicants and employers. Investigators will be able to search for existing applicants based on SSN, First Name, Last Name, Date of Birth, Applicant ID, Driver's License Number, Certificate Number, Email, SBI Number, and Employment Application Date Range. Investigators will also have the ability to perform name-based searches that take into consideration Alias Names such as Maiden Names previously recorded in the system. Investigators will be able to search for existing Employers based on Name, Facility ID, Address, Facility Type, Contact Name, Owner, Federal Employer Number, MDS Number and Certification Type.

This module shall have the capability to process applicants from non-participating employers. A non-participating employer is an employer that does not use the DBCS. Non-Participating employers are required to send their applicants for criminal history checks and drug tests. Results are sent via US Mail to LTCRP.

For non-participating employers, this module shall perform the same functionality as the existing CBC system. It will record Drug Test Dates and Outcomes and perform criminal history fitness determinations. It shall also have the ability to upload signed consent forms, drug test results and enter hiring decisions.

The LTCRP Dashboard Module will provide the ability for investigators to review applicant criminal history results. An investigator examines applicant criminal history and makes a determination based upon any disqualifying convictions found. This module shall be available to the following LTCRP users:

- Supervisor
- Investigator
- Administrative Assistant

Supervisor

LTCRP supervisors shall have the ability to manage investigator workloads. The DBCS will automatically assign investigators new employment applications to be processed based upon a simple rotation. If an applicant has been processed by an investigator previously, the system will automatically assign it to that investigator. Supervisors shall have the ability to re-assign any applicant reviews. Supervisors shall also have the ability to temporarily remove an investigator from the rotation. Supervisors will have all the capabilities of an investigator.

Investigator

Investigators shall have the ability to review the state and federal criminal history results of applicants within the LTCRP Dashboard Module. They will also need the ability to record a determination, track pending dispositions, input disqualifying charges, create notes, and generate various employer and applicant letters. Where interpretation of federal charges is needed, the letter will be generated by the administrative assistant.

Once SBI conducts a criminal background check, the state and federal criminal history results are displayed in two separate secure, read-only PDF documents. As each document is reviewed, any disqualifying charges found are entered into the DBCS.

Applicants assigned to investigators for processing are displayed on the investigator work list as:

- Current
- Pending

Current work assignments shall be displayed in each investigator's work list to quickly identify the current workload. This view consists of applicant names, profiles, current status, and employment application date. It shall have the ability to easily select an applicant for review and navigate through the DBCS for processing.

Work assignments shall be marked as pending in each investigator's work list to quickly identify any applicants that need further follow-up. Pending applicant workload displays information related to applicants who have potentially disqualifying arrests and are awaiting trial. These arrests need to be monitored by investigators to see if they become disqualifying convictions.

When an investigator finishes reviewing an applicant's criminal history, the DBCS shall have the ability to record a determination. The following determinations can be made:

- No Convictions Found

- No Disqualifying Conviction Found
- Disqualifying Conviction Found
- Pending

After an investigator records a determination outcome, the investigator selects what type of determination letter is needed and the DBCS automatically generates the letter. These letters will be displayed on the employer's dashboard and recorded against the submitted applicant.

The LTCRP Dashboard Module shall have the capability to process applicants from non-participating employers. A non-participating employer is an employer that does not use the DBCS. Non-participating employers are required to send their applicants for criminal history checks and drug tests, with results sent to LTCRP.

This module shall allow LTCRP Investigator and LTCRP Supervisor-level users to search applicants, add new applicants, create an applicant-employer application instance for any employer on record in the DBCS, record Drug Test Dates and Outcomes, perform criminal history fitness determinations, and generate and print determination letters. The employer capabilities for submitting registry checks, uploading consent forms and requesting drug tests would be disabled and not required for LTCRP users. Printed copies of determination letters to non-participating employers would have to be sent through the U.S. mail.

LTCRP will have ability to view and update employer's profile. It should be noted that a data extract of applicant information will be taken from the FMS and loaded into a reference table in the DBCS before production. Thereafter, the FMS and the DBCS will be synchronized via a web service on a scheduled basis.

Administrative Assistant

The administrative assistant has the responsibility of entering interpretation of federal charges into appropriate determination letters where needed. In addition, the assistant will also have the responsibility of sending determination letters via the U.S. mail when needed. As a result, the administrative assistant needs access to system documents.

As part of the administrative assistant workflow, the DBCS will automatically assign applicants to an administrative assistant work list for review as investigators generate certain types of determination letters. The letters to appear on the work list include those where interpretation of federal charges must be entered or those that need to be mailed.

Image Storage and Viewing Module

The Image Storage and Viewing Module provides for the storage of documents in the system. System-generated or uploaded documents in PDF format can be saved into the system. Uploaded and system generated documents are linked and stored by Applicant and/or Facility ID and will be available to the appropriate users. Documents are stored in the database as Binary Large Objects (BLOBs) for future retrieval. System security determines which documents can be viewed and what actions can be performed by specific users.

The following are the core features and functions of the Image Storage and Viewing Module:

Features:

- Create a paperless system for applicant and background check processing
- Capture documents into system
- Establish an electronic Applicant record that contains scanned paper based and system generated documents
- Generate documents, letters, labels, forms, etc.
- Time Stamp and Annotate received documents
- Generate mailing lists
- Generate mailing labels
- Generate email lists, for those providers with email access
- Manage user access rights for documents

Functions:

- Provide capability to import documents
- Provide screens and templates for generation of electronic documents
- Upload documents and forms
- Stamp system generated documents and scanned images with date and time
- Store system generated documents and images and their linkage information
- Search system generated documents and images
- Retrieve system generated documents and images
- Generate mailing labels for print packages in paper format
- View requested documents in electronic format

Reporting Module

One of the objectives of the system is to establish a Reporting Module. For details see Section 4.6 of this document.

Accounting Records Module

The Accounting Records Module will provide the option for LTCRP to track employer usage of the DBCS. A transaction would be recorded for each background check conducted through the dashboard. This module will provide the ability to track these transactions in conjunction with employer payments made through E-Payments.

The system will use Govolution E-Payment online payment transaction software called V-Relay. V-Relay is a product of the Velocity Payment System (VPS). The V-Relay's Application Programming Interface document can be obtained upon signing of a confidentiality document with the State.

The system will create an interface with V-Relay through a link in the accounting records module. Employers will use this link to make deposits as credits to their account for use in the DBCS. The employers will work directly with VPS for refunds. Such refund transactions will be automatically sent over to the DBCS to update their balance. The vendor will work with Govolution and DTI to record the necessary transactions for DBCS to carry out the accounting functions. The State will provide the Licensing to use VPS.

Employers must pay a usage fee after uploading a consent form. Balances must be maintained for each employer with credits made through E-Payment. The employer will be able to view their current balance. The system will send an email notification to employers when their balance reaches a defined minimum amount. LTCRP will determine the minimum amount at a later date. Background checks must be blocked for employers when their balance is insufficient to cover the defined amount for usage. The system will have the capability for LTCRP to view and print employer account statements. However, it should be noted that initially the system will not charge any service fees and the E-Payment component of the accounting records module will be disabled.

Help Files and User Manual

The system maintains help files that contain a detailed set of instructions for implementing tasks for each of the business processes. Online instructions will be available from a drop down menu that outlines how to use the DBCS.

The following topics will be available within the help section:

- Signing into the DBCS
- Maintaining employer contacts
- Registry Results and reviews
- New Applicant Inquiry
- Master Employee List
- CBC Determination Letters
- Drug Test Results
- Request Forms
- Hiring Decisions
- Child Protection Checks
- State Criminal History Background Checks
- Federal Criminal History Background Checks
- Quick Applicant Check
- Usage Charges and Accounting Records
- Rap-Back
- Background Check Laws

An online user manual will also be available in the DBCS. There will be separate user manual for both LTCRP and Employers. Access will be controlled by security and ID/Password. Each user manual details the specific workflow for the intended types of DBCS user. Both the Help File and the user manual will be available from the Homepage of the Website and from an icon anywhere in the system.

User Testing

User testing consists of three stages, Internal and user testing, creating an Internal and User Acceptance Testing Plan and State User Acceptance Testing.

The vendor will be responsible for testing the system during development and working with users to test the code at various stages of development. The vendor must provide code review and testing procedures. The vendor must work with DHSS to set up a separate test environment.

Once the system is ready for user acceptance testing the vendor will create the Internal and User Acceptance Testing Plan and provide UAT test scripts along with each application module. The vendor will establish a testing schedule that outlines each component of the system, and the respective test methodology to be applied and associated test period.

The State UAT group will use the testing plan provided by the vendor but will not be limited to the scenarios described in the testing plan and will test all aspects of deliverables. The State UAT group will communicate with the vendor regarding issues uncovered during UAT.

Deliverable 7: CMS Data Extract

One of the reporting requirements for the grant is to provide periodic data extract files of de-identified applicant data to CMS on applicants processed through the new system. In order to ensure that the data can be provided in the format required by CMS, functionality must be included in the system to automatically generate the required data extract file.

4.12.3 Phase 3

The deliverable(s) are as follows:

Deliverable 8: Final Deployment

The vendor will be responsible for moving the test environment to production. The vendor will coordinate with DTI and DHSS IRM staff during the deployment process.

Deliverable 9: Provide Knowledge Transfer Plan

One of the most important components of the project is the Knowledge Transfer from the vendor to DHSS. Ultimately, there needs to be training of the DHSS IRM staff to handle on-going maintenance of the system. The training is three-part: Procedural, Operational and Technical.

- **End User Training Plan** – The vendor must provide a plan regarding how to train the employees in the operation of all aspects of the system.

- **End User Procedural Documentation**– The vendor must provide a User Manual that includes how the end user will enter and save data, use help functionality, query, run reports, etc.

- **Technical, or "How To" Manual –** The vendor must train the DHSS IRM staff on how to maintain the system. This includes maintenance of the tables, database, version changes, user manual, help functionality, etc.

- **Training Materials -** The vendor will work with DHSS staff to create training materials. These materials may include:

    - Lecture Outlines/Notes
    - Presentation Slideshow
    - Demonstration Guidelines
    - Sample Reports
    - Exercise Instructions
    - Training Feedback/Evaluation Forms
    - Participant Performance Checklists
    - Sample Data

With formal State approval of all deliverables in this phase, the milestone payment (M6) minus 10% holdback may be invoiced.

4.12.4 Phase 4

The deliverable(s) are as follows:

Deliverable 10: Acceptance in Production of All Delivered Modules

This deliverable consists of final State approval of all delivered modules and their implementation into production.

Deliverable 11: Ninety (90) Day Warranty Period

As the final deliverable of the project, vendor will supply 90 calendar days of warranty support after the final production implementation of all modules. The first two weeks of warranty support will be on-site. The warranty period provides for issue resolution, bug fixes and system functionality problems with the new system. This support is included in the firm fixed price.

With formal State approval of all deliverables in this phase, the milestone payment (M7) may be invoiced. The total ***M13*** payment is the sum total of the holdbacks from milestone payments M1 thru ***M*12 See** subsection 7.2 for details on project payments.

4.13 Project Expectations

Contractor will be expected to address the following requirements in detail. Emphasis is on the limited availability of state staff for this project and the expectation that the contractor express in detail their understanding of their responsibilities in the areas of Customization/Development, Implementation, Warranty, Training, and Deliverables.

4.13.1 Customization/Development

Vendor assumes primary responsibility for this project with minimal assistance from state staff

4.13.2 Site Requirements

The application and database infrastructure and platforms must be located at the Biggs Data Center on the DHSS Herman Holloway Sr. Health & Social Services Campus in New Castle, Delaware.

The following separate, isolated regions – in addition to the production region – are required for ongoing maintenance and system enhancements:

- A development region for ongoing maintenance
- A UAT region
- A training region

Additional staging areas may be proposed at the discretion of the vendor. Bidder will address how each of these regions will be set up and utilized. These regions will be maintained for the life of the system. Proposals must provide for adequate ongoing licenses to maintain each region.

DHSS prefers the use of web browser based applications and given the option between browser-based applications and other types of applications, will select the browser-based solution.

The State prefers to purchase third party hardware and software directly unless there is significant advantage to the State in having the hardware/software as vendor deliverables. In either case, all software licenses must be in the name of DHSS and must provide for separate development, test and production environments.

Non-ASP Solutions

Bidders will address the following only if all or parts of the application will be housed at the Biggs Data Center. This includes components installed on DHSS workstations or servers.

Bidders should note though that ASP/COM applications that use MTS/Component Services present security difficulties in the DHSS IT Environment and will generally not be allowed.

When a web browser based solution is not available, DHSS runs all "thick client" applications (sometimes referred to as "client/server applications") on the Citrix XenApp/Metaframe platform. Vendors proposing such applications must ensure full

Citrix XenApp/Metaframe compatibility. DHSS has infrastructure in place to present Citrix based applications to internal network users and/or external users via the Internet.

Any remote access by IT vendors will be accomplished through the use of SSL VPN. Direct modem dial-up access is not allowed. If a vendor expects or requires remote access for proper implementation and/or support of his product, proposals must detail the exact nature of the remote access required and why it cannot be accomplished through other means. Vendors should note that under no circumstances is "remote control" of user desktops ever allowed and the State of Delaware firewall will block such access. For remote access to Windows based servers in the DMZ, either RDP or Citrix must be used.

If the vendor will use any third party products during the course of this project, such products must be approved in writing by DHSS prior to their use. In order to receive such approval the vendor is required to submit a list of the products, the number of licenses that will be procured (if applicable), and a description of how the product will be used. The description must include whether the product is only required for customization/development or whether it would be required for ongoing support/maintenance. Each product must also have an outline as to its initial and ongoing costs (including, but not limited to, licensing, maintenance, support, run time licensing versus developer licensing, and so on). Approval of third party products is ultimately at the discretion of DHSS.

Any software purchased or developed for DHSS must be an appropriate fit into the DHSS IT Environment. The DHSS IT Environment Standard will be distributed at the pre-bid meeting. Vendors will describe how their proposal's components are consistent with the current environment. Vendors may propose solutions that are not consistent with the current environment but in that case must include a detailed analysis of how their solution's requirements will be integrated into the existing DHSS IT Environment (including, but not limited to, purchases required, set up requirements and so on). The state wishes to leverage the existing infrastructure at the Biggs Data Center to the extent possible. Bidder will describe how their system will take advantage of the existing infrastructure. All proposals (and/or their attendant integration suggestions) will be evaluated for their fit into the current environment. Utilization of this infrastructure will be a factor in proposal evaluation.

In addition to the required environments listed above, additional staging areas may be proposed at the discretion of the contractor. Bidder will address how each of these environments will be set up and utilized. These environments will be maintained for the life of the system. Proposals must provide for adequate ongoing licenses to maintain each environment.

4.13.3 System Testing

Contractor will consult with IRM to ensure that all aspects of the testing environment are ready. Conversion run tests from existing system will be scheduled through IRM. These tests will be scheduled to run during off peak hours so as to minimize network load. Each developed entity will be thoroughly tested by the contractor before it is scheduled for acceptance testing with the State.

4.13.4 User Acceptance Testing (UAT)

Each system module will undergo UAT by the State prior to production implementation. The vendor is responsible for developing UAT test scenarios, but the State is not limited to these scenarios and will test all aspects of deliverables. The locations for UAT State staff will be at the State's discretion. Upon formal State approval of a module's UAT, it will be scheduled with IRM for implementation into the production environment.

4.13.5 Conversion

An integral part of the project will be to integrate into the new system, historical data from the following existing DHSS system(s):

Although a data conversion of the existing system is not required, there are two areas where data will be extracted from existing external systems and imported into the new system prior to implementation. The systems are the Criminal Background Check (CBC) and the LTCRP Facility Management System (FMS).

Conversion controls, especially the monitoring and proof of initial conversion results, are very important to ensure that the transactional source data converted into the system is accurate prior to implementation. Initial and ongoing conversion controls and balancing procedures must be described. Bidders must describe their approach to data conversion and describe in detail how they will convert existing data. Data conversion must be addressed in the proposed project plan.

4.13.6 Training

Vendor will be responsible for training users in all aspects of the new system. Training will be outlined in a training plan discussing expectations and schedules. A training planning session must be held to review the training plan prior to the first actual training session. This will enable State and Contractor staff to better communicate during these sessions. Contractor will detail in their proposal a training plan outline and schedule for users of each component of the system.

4.13.7 Support Services

Bidders must include a description of the ongoing support they are proposing which will start after the warranty phase. Support includes licenses, help desk support, bug fixes, updates, ASP charges (if applicable) and new releases. Costs for such services will need to be shown in the Business Proposal volume, together with a statement that such services will be available for a minimum of five years after the warranty period. The first year will be mandatory; years two through five will be at the State's option. Support cost inflation is discussed on the cost forms.

Bidder must guarantee that their proposed solution will comply with all mandatory requirements, including HIPAA, throughout the entire support phase. Bidder will also specify expected deadline dates for completion of such modifications after the provision of detailed, written notice of impending changes from the Division.

Bidders should also address the following in their proposal:

- Identify the average of your response and resolution times. Provide examples of current measurements and metrics.
- Describe your process for providing application fixes and enhancements.

- Identify your average turnaround time for fixes and enhancements.
- Confirm whether or not clients have the opportunity to provide input into the prioritization of new features and enhancements.
- Confirm whether you have User Conferences and/or Advisory Boards.

It is critical that the proposed solution include ongoing support services and assurance that all regulatory requirements will be met for the Division. Other details and specific requirements are included in various sections throughout this RFP.

4.13.8 Maintenance Services

Bidders must also provide:

- An estimate of the number of hours required to apply the DHSS customization features to new releases.
- A single fully loaded hourly rate which will apply to this work, as well as to future customization.

This information will need to be shown in the Business Proposal. Support cost inflation is discussed on the cost forms.

Bidder must guarantee that their proposed solution will comply with all mandatory requirements throughout the entire support phase. Bidder will also specify expected deadline dates for completion of such modifications after the provision of detailed, written notice of impending changes from DHSS.

4.13.9 Documentation

The vendor is responsible for providing documentation of the new system. At a minimum, this includes user manuals and/or on-line help. For non-COTS systems and for the customized components of COTS systems, the vendor is also responsible for providing sufficient system documentation to permit DHSS application maintenance.

5 Proposal Evaluation/Contractor Selection

5.1 Process

DHSS will conduct a three tiered review process for this project. In the first tier, each Technical Proposal will be evaluated to determine if it meets the Mandatory Submission Requirements described in Appendix G – Mandatory (Pass/Fail) Submission Requirements Checklist. **Any proposal failing to meet those requirements is subject to immediate disqualification without further review.** All proposals meeting the mandatory submission requirements will be given to the DHSS Evaluation Team.

In the second tier, the Evaluation Team will perform Technical and Business Proposal Reviews. The individual scores of each evaluator will be averaged to determine a final technical score and a final business score. Technical and Business scores will be combined to determine each bidder's total score.

After the Evaluation Team completes its initial review, staff from the Department of Technology and Information (DTI) will review the top two (2) to five (5) proposals and provide comments and recommendations to the Evaluation Team which will be used in selecting the vendors to demonstrate their proposed solution.

Vendors may be required to demonstrate their proposed solutions. The demonstrations will be used in the Evaluation Team's final deliberations.

In the third tier, the Evaluation Team findings will be presented to an Executive Selection Committee. The Executive Selection Committee will review Evaluation Team findings. A potential contractor will be recommended to the Secretary, Department of Health & Social Services. Final selection is at the discretion of the Secretary or his designee.

5.2 Proposal Evaluation and Scoring

The Technical and Business proposals of each bidder will be evaluated and assigned points. A maximum of 100 total points is possible.

5.2.1 Mandatory Requirements

The Division Director or designee will perform this portion of the evaluation. Each proposal will be reviewed for responsiveness to the mandatory requirements set forth in the RFP. This will be a yes/no evaluation and proposals that fail to satisfy **all** of the criteria of this category may not be considered further for the award of a Contract. Specific criteria for this category are as follows: Vendor is required to address Section 4 "Contractor Responsibilities/Project Requirements" in detail by subsection and bullet. Vendor is required to follow Section 6 "Bidder Instructions" explicitly and complete all required forms as instructed.

Failure to adequately meet any one (1) mandatory requirement may cause the entire proposal to be deemed non-responsive and be rejected from further consideration. However, the State reserves the right to waive minor irregularities and minor instances of non-compliance.

5.2.2 Technical Proposal Scoring

Only those bidders submitting Technical Proposals which meet the Mandatory Submission Requirements provision will have their Technical Proposals scored.

Category	Maximum Assigned Points
Meets Mandatory RFP Requirements	Pass/Fail
Appropriateness of Proposed Solution in Terms of Business & Technical Requirements	30
Organization, Staff Qualifications and Experience With Similar Projects	30
Understanding Scope of the Project	10
Project Management Methodology	10
Total Maximum Technical Score	**80**

5.2.3 Business Proposal Scoring

Total business score will be based on the costs submitted as part of the cost worksheet and on the documented stability and resources of the vendor. Strong consideration will be given to how well the costs in the Project Cost Forms compare to the level of effort for this and other proposals along with the accuracy of the submitted figures. The State of Delaware reserves the right to reject, as technically unqualified, proposals that are unrealistically low if, in the judgment of the evaluation team, a lack of sufficient budgeted resources would jeopardize project success.

Total Maximum Business Score	**20**

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5.2.4 Total Points Awarded

(Total Technical Score + Total Business Score) = Total Evaluation Score

Total Maximum Evaluation Score	**100**

6 Bidder Instructions

6.1 Submission Information

The proposal must be submitted as follows:

<u>Two (2) original CDs (Each Labeled as "Original") and six (6) CD copies (Each labeled as "Copy"). In addition, any required confidential financial or audit information relating to the company and not specifically to the proposal may be copied separately to one set of up to three (3) CDs (Each labeled "Corporate Confidential Information").</u>

Each CD will contain the following files at a minimum:

- CD Directory.doc (Microsoft Word 2000 or higher)
- RFP Technical Proposal.doc
- RFP Business Proposal.doc
- RFP Technical Proposal.pdf
- RFP Business Proposal.pdf
- RFP Project Plan.mpp

Each proposal file in .pdf format must be a printable copy of each original volume submitted. Other files may be submitted separately. The CD Directory.doc file must contain a Word table listing each file contained on the CD along with a short description of each.

<u>**It is the responsibility of the bidder to ensure all submitted CDs are machine readable, virus free and are otherwise error-free. CDs (or their component files) not in this condition may be cause for the vendor to be disqualified from bidding.**</u>

Bidders are no longer required to make hard copies. Except that forms requiring original signatures must be provided in both hardcopy and PDF formats. These forms include the Transmittal Letter, Mandatory Submission Requirements Checklist, Bidders Signature Form, Certification and Statement of Compliance and the Office of Minority and Women Business Enterprise Self-Certification Tracking Form.

The Technical Proposal Volume copies must be labeled on the outside as follows:

State of Delaware Department of Health and Social Services RFP Name Volume 1 Technical Proposal DHSS RFP #HSS 11-051 (Name of Bidder**)**

The Business Proposal Volume copies must be labeled on the outside as follows:

State of Delaware Department of Health and Social Services RFP Volume 2 ***RFP Name*** - Business Proposal DHSS RFP #HSS 11-051 (Name of Bidder)

6.1.1 Proposal Delivery

Proposals must be delivered to:

Bruce Krug, Procurement Administrator
DE Department of Health & Social Services
Division of Management Services
Procurement Branch, DHSS Campus
Administration Building- 2nd Floor Main Bldg., Room 257
1901 N. DuPont Highway
New Castle, DE 19720

6.1.2 Closing Date

All responses must be received no later than June 15, 2011, 2:00 PM Local Time.

6.1.3 Notification of Award

Proposed date the Notification of Award will be mailed to all bidders: June 30, 2011.

6.1.4 Bidder Questions

All questions shall reference the pertinent RFP section(s) and page number(s). Written responses from DHSS will be binding. Verbal responses given at a pre-bid meeting (if held) will be informational only and non-binding. Other than at the bidders' meeting, bidders may not contact any State staff except by sending correspondence **electronically** to:

John Glauser, PMP
Division of Long Term Care Residents Protection
John.Glauser@state.de.us

by May 10, 2011. Only those questions received in this manner by this date and time will be considered, and it is the vendor's responsibility to ensure that questions are received by the above named person by the date and time shown above. DHSS will not respond to questions received after that time. A final list of written questions and responses will be posted as an RFP addendum on the Internet at http://bids.delaware.gov. This addendum will also be sent electronically to all vendors attending the bidders' meeting.

6.1.5 Anticipated Schedule

The following timetable is anticipated for key activities within the procurement process:

Note: certain of the date/times listed in this table are bookmarks that other date/times in this section reference. Selected Vendor' Demonstrations task is optional. The period of time between Response to Questions and Receipt of Proposals should be no less than 4 weeks.

Activity	Schedule
State Publishes RFP	***April 27, 2011***
Mandatory Bidder's Meeting	***May 17, 2011***
Submission of Questions	***May 10, 2011***
Response to Questions	***May 24, 2011***
Receipt of Proposals	***June 15, 2011***
Notification of Award	***June 30, 3011***
Contract Signature/Project Start	***August 8, 2011***
Production Implementation & Start of 90 Day Warranty Period	***September 30, 2012***

6.1.6 Proposal Becomes State Property

All proposals become the property of the State of Delaware and will not be returned to bidders. DHSS will not divulge specific content of proposals to the extent that the bidder identifies contents as privileged or confidential. Any information not so designated will be considered public information.

6.1.7 RFP and Final Contract

The contents of the RFP will be incorporated into the final contract and will become binding upon the successful bidder.

6.1.8 Proposal and Final Contract

The bidder's proposal will be incorporated into the final contract and be considered binding upon the successful bidder.

6.1.9 Modifications to Proposals

Modifications to proposals will not be accepted after the submission deadline. At any time, DHSS reserves the right to request clarification and/or further technical information from any contractor submitting a proposal.

6.1.10 Alternative Solutions

The proposal must contain a single solution, including hardware and software. This is critical in ensuring project success and that project costs are expected, administered and contained. Bidders may propose alternative solutions but only as fully separate proposals that will be evaluated separately. Single proposals containing alternative/multiple solutions will be failed.

6.1.11 Cost of Proposal Preparation

All costs of proposal preparation will be borne by the bidder.

6.1.12 Mandatory Pre-Bid Meeting

The Division will hold a mandatory pre-bid meeting to address questions regarding solicitation procedures only. Attendance is **mandatory** for those firms submitting a bid. Interested bidders are **required** to complete and submit Appendix N "Bidder Contact Information" and Appendix O "DTI Confidentiality and Non-Disclosure Agreement" at this meeting. The pre-bid meeting will take place at:

Department: Delaware Health and Social Services
Building: Smyrna State Service Center
Address: 200 South DuPont Boulevard, Suite 101
City: Smyrna State: DE Zip: 19977

Appendix N is to be filled out with bidder contact information. Appendix O is required for release of the DTI Systems Architecture Standard which is a confidential document that cannot be published on the internet. Upon receipt of Appendices N & O, the State will send to prospective bidders an encrypted email with the DTI Systems Architecture Standard along with other relevant documents.

6.2 Volume I – Technical Proposal Contents

The Technical Proposal shall consist of and be labeled with the following sections:

A. Transmittal Letter
B. Required Forms
C. Executive Summary
D. Project Management Plan
E. Contractor Responsibilities/Project Requirements
F. Staff Qualifications and Experience
G. Firm Past Performance and Qualifications

The format and contents for the material to be included under each of these headings is described below. Each subsection within the Technical Proposal must include all items listed under a heading because evaluation of the proposals shall be done on a section-by-section or functional area basis. **No reference to, or inclusion of, cost information shall appear in the Technical Proposal or Transmittal Letter.**

6.2.1 Transmittal Letter (Section A)

The Transmittal Letter shall be written on the bidder's official business letterhead stationery. The letter is to transmit the proposal and shall identify all materials and enclosures being forwarded collectively in response to this RFP. The Transmittal Letter must be signed by an individual authorized to commit the company to the scope of work proposed. It must include the following in the order given:

1. An itemization of all materials and enclosures being forwarded in response to the RFP
2. A statement certifying that the proposal CD's have been scanned and are free from viruses and other malicious software.
3. A reference to all RFP amendments received by the bidder (by amendment issue date), to warrant that the bidder is aware of all such amendments in the event that there are any; if none have been received by the bidder, a statement to that effect must be included
4. A statement that all proposal conditions are valid for 180 days from the deadline date for proposal submission
5. A statement that price and cost data are not contained in any part of the bid other than in the Business Proposal volume
6. A statement that certifies pricing was arrived at without any collusion or conflict of interest

The original of the Transmittal Letter shall be submitted in a separate, sealed envelope inside the package containing the Technical Proposals. All other copies of the Transmittal Letter shall be included with the copies of the Technical Proposal.

6.2.2 Required Forms (Section B)

This section of the proposal will include the following completed forms:

Certification and Statement of Compliance

Appendix B: These are mandatory forms in which the bidder must certify certain required compliance provisions.

Mandatory Submission Requirements Checklist

Appendix G: This is the mandatory submission requirements checklist. Agreement to or acknowledgement of a requirement is shown by a Y (Yes) or N (No) next to the requirement and a signature at the bottom of the checklist. **Failure to adequately meet any one (1) mandatory requirement may cause the entire proposal to be deemed non-responsive and be rejected from further consideration.** However, the State reserves the right to waive minor irregularities and minor instances of non-compliance.

State of Delaware Contracts Disclosure

Appendix H: On this form, bidder shall list all contracts awarded to it or its predecessor firm(s) by the State of Delaware that have been active during the last three (3) years.

Failure to list any contract as required by this paragraph may be grounds for immediate rejection of the bid.

Crosswalk of RFP Section 4

Appendix I: Vendor is to fill this out in detail for the entire Section 4 of the RFP to assist the State in reviewing the proposals. Please make sure to update the section numbers listed in this form to match the RFP.

Bidders Signature Form

Appendix J: This is a standard bidder information form.

Office of Minority and Women Business Enterprise Self-Certification Tracking Form

Appendix K: This is a required self-certification form.

Bidder Project Experience

Appendix L: This provides a standard form to document bidder's work on similar projects.

Bidder Contact Information

Appendix N: This form must be completed and signed by prospective bidders (along with the DTI Confidentiality and Non-Disclosure form) so that the State can send additional documents/forms to prospective bidders.

DTI Confidentiality and Non-Disclosure Agreement

Appendix O: This form must be completed and signed (along with the Bidder Contact Information form) so that the State can release confidential documents to prospective bidders

6.2.3 Executive Summary (Section C)

Bidder shall present a high-level project description to give the evaluation team and others a broad understanding of the technical proposal and the bidder's approach to this project. This should summarize project purpose, key project tasks, a timeline, deliverables and key milestones, qualifications of key personnel, along with subcontractor usage and their scope of work. A summary of the bidder's corporate resources, including previous relevant experience, staff, and financial stability must be included. The Executive Summary is limited to a maximum of ten (10) pages.

6.2.4 Project Management Plan (Section D)

Bidder shall describe the overall plan and required activities in order to implement the project within the budget and described schedule. This should include descriptions of management controls, processes and reporting requirements that will be put into place to ensure a smooth administration of this project.

Project Plan (Section D.1)

Bidder must outline a project plan with the following information:

- Key dates including dates for deliverable submission, State deliverable approval, Federal deliverable approval (if required) and milestones
- Staffing structure, with a breakdown by activity, task and subtask within the entire

project
- An organization chart with staff names & functional titles
- Description at the subtask level including duration and required staff resources (contractor vs. State) and hours
- Resource staffing matrix by subtask, summarized by total hours by person, per month.

The proposed schedule in the project plan must be in Microsoft Project format. Bidder must also discuss procedures for project plan maintenance, status reporting, deliverable walkthroughs, subcontractor management, issue tracking and resolution, interfacing with State staff and contract management.

Prospective bidders will receive a sample Microsoft project plan. It provides the general format that vendors must follow when constructing their project plan. Vendor plans must reflect each deliverable and milestone in the specified format. Review periods as specified in the RFP must be built into the project schedule. Serial deliverable review periods must be shown - the best way to do this is to link the "State Review of Deliverable" task with the prior deliverable's review task. The project plan is a critical deliverable and must reflect all dependencies, dates and review periods. If the plan has issues, the state will not approve the initial milestone payment. Vendor staff expertise in MS Project is critical for proper construction and maintenance of this plan.

NOTE: All of the application deliverables are described at a module level. The project plan must be more detailed and include items such as:

- Requirements document*
- Design JAD sessions
- Design document *
- User manual or on-line help *
- Systems documentation, as required *
- Training plan *
- UAT *
- Production implementation *

For the items shown with an asterisk above, the plan needs to provide time for DHSS review and approval.

6.2.5 Project Requirements (Section E)

Bidder must describe their understanding and approach to meet the expectations and mandatory requirements specified in Section 4. Please address each numbered subsection in this section separately in sequence as “RFP Section 4.x.x”. Address bulleted and titled requirement paragraphs within subsections as “Bullet n” and “Paragraph Title” respectively. Please address State staffing considerations in subsections where staffing is mentioned. The Crosswalk of RFP Section 4 in Appendix I must be completed in full and included in the beginning of this section of the bidder’s proposal.

6.2.6 Staff Qualifications and Experience (Section F)

Bidders shall submit a staff skills matrix in their own format to summarize relevant experience of the proposed staff, including any subcontractor staff in the areas of:

- Technical project management

- Planning
- Requirements Analysis
- Technical analysis
- Development
- Subject Matter (Background Check or Criminal Histories) Development
- Documentation
- Planning
- Training

Additionally, bidders shall provide a narrative description of experience each key staff member has in the areas relevant to this project. Bidder and subcontractor staff shall be separately identified. Contractor staff requirements will be addressed as outlined in subsection 4.1. Resumes will be formatted as outlined in Appendix E and included in this section of the proposal. Bidder must also provide an organization chart of all proposed staff.

If subcontractors are being proposed, then include the name and address of each sub-contractor entity along with an organization chart indicating staffing breakdown by job title and staff numbers on this project. This organization chart must show how the individual subcontractor entity will be managed by your firm as the primary contractor. Any sub or co-contractor entity(s) proposed will need prior approval by the State before the contract is signed. If proposing no sub contractors, please state in this proposal section "**No subcontractors are being proposed as part of this contract**." Please refer to RFP Appendix A for subcontractor standards.

6.2.7 Firm Past Performance and Qualifications (Section G)

The bidder shall describe their corporate experience within the last five (5) years directly related to the proposed contract. Also include experience in:

- Other government projects of a similar scale
- Web Applications of a similar scale

Experience of proposed subcontractors shall be presented separately.

Provide a summary description of each of these projects including the contract cost and the scheduled and actual completion dates of each project. For each project, provide name, address and phone number for an administrative or managerial customer reference familiar with the bidder's performance. Use the form provided in Appendix L.

Provide an example of an actual client implementation plan, similar in magnitude to the Background Check Project, including staff, dates, milestones, deliverables, and resources.

6.3 Volume II – Business Proposal Contents

The business proposal volume will contain all project costs along with evidence of the bidder's financial stability.

6.3.1 Project Cost Information (Section A)

The bidder shall provide costs for the Technical Proposal Volume as outlined in Appendix F.

In completing the cost schedules, rounding should not be used. A total must equal the sum of its details/subtotals; a subtotal must equal the sum of its details.

The Total Cost shown in Schedule F1 must include all costs (except out year costs) that the selected vendor will be paid by DHSS. If specialized hardware or software will be provided by the vendor, it must be included as a deliverable in this schedule.

Prospective bidders will receive a sample Microsoft Excel version of Schedule F1.

Cost information must only be included in the Business Proposal Volume. No cost information should be listed in the Technical Proposal Volume.

6.3.2 Software and Hardware Information (Section B)

On a separate page of the Business Proposal entitled "Software Licensing Structure" list each module and each third party software application listed in either Schedule F1 or Schedule F5. Describe what required (or optional) functions from section 4 that the particular module or application includes. Discuss the licensing structure (per seat, concurrent user, site, etc.) for each.

On a separate page of the Business Proposal entitled "Hardware Description" list each hardware item listed in either Schedule F1 or Schedule F6. Provide a description of its function and a detailed component list.

All licenses must be in the name of the State and at a minimum must provide for separate development, test and production environments.

Procurement Instructions

Implementation vendor will work with a state approved hardware/software vendor(s) to develop and verify the specifications for project hardware and software. The State approved vendor will send the implementation vendor a product specifications list, without cost information, for confirmation. The implementation vendor will submit the confirmed list to the State and the State will request a quote from the vendor(s). The State approved vendor will develop the quote using these specifications and send this to the State. The Division will process the purchase (order) as normal, using project funds. This will ensure the products are in the State's name and are added to our current agreements.

6.3.3 Vendor Stability and Resources (Section C)

The bidder shall describe its corporate stability and resources that will allow it to complete a project of this scale and meet all of the requirements contained in this RFP. The bidder's demonstration of its financial solvency and sufficiency of corporate resources is dependent upon whether the bidder's organization is publicly held or not:

- If the bidder is a publicly held corporation, enclose a copy of the corporation's most recent three years of audited financial reports and financial statements, a recent Dun and Bradstreet credit report, and the name, address, and telephone number of a responsible representative of the bidder's principle financial or banking organization; include this information with copy of the Technical Proposal and reference the enclosure as the response to this subsection; or

- If the bidder is not a publicly held corporation, the bidder may either comply with the preceding paragraph or describe the bidding organization, including size, longevity, client base, areas of specialization and expertise, a recent Dun and Bradstreet credit report, and any other pertinent information in such a manner that the proposal evaluator may reasonably formulate a determination about the stability and financial strength of the bidding organization; also to be provided is a bank reference and a credit rating (with the name of the rating service); and
- Disclosure of any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the bidding organization; or warrant that no such condition is known to exist.

This level of detail must also be provided for any subcontractor(s) who are proposed to complete at least ten (10) percent of the proposed scope of work.

7 Terms and Conditions

The following provisions constitute the terms and conditions of the contractual agreement between the State of Delaware, Department of Health and Social Services (DHSS) and its contractor. This section contains terms and conditions specific to this RFP. The general terms and conditions are contained in Appendix A. The standard departmental contract is contained in Appendix C.

7.1 Contract Composition

The terms and conditions contained in this section constitute the basis for any contract resulting from this RFP. The State will be solely responsible for rendering all decisions on matters involving interpretation of terms and conditions. All contracts shall be in conformity with, and shall be governed by, the applicable laws of the federal government and the State of Delaware. The following verbiage will replace in its entirety Section 16 of the Standard Department Contract.

The term "Contract Documents" shall mean the documents listed in this Section 16. Each of the Contract Documents is an essential part of the agreement between the Parties, and a requirement occurring in one is as binding as though occurring in all. The Contract Documents are intended to be complementary and to describe and provide for a complete agreement. In the event of any conflict among the Contract Documents, the order of precedence shall be as set forth below:

1. Standard Department Contract (pages 1 – n of this contract)
2. Division Requirements
3. Contract Amendment(s)
4. RFP Amendment(s) Published RFP
5. Amendment(s) to Vendor Proposal
6. Vendor Proposal
7. Other Informational Documents

7.2 Payment for Services Rendered

Services will be bound by a **firm fixed price contract**. The firm fixed price will be the Total Cost shown in Schedule F1 (Appendix F). Payments will be made based upon the contractor's satisfactory completion and State approval of the identified scheduled milestones.

7.3 Contract Term

The maximum term of the project is 16 months from contract signature. Bidder may propose a shorter term in their proposal. At the State's sole discretion the contract end date may be extended for up to 3 (three) years in one year increments.

7.4 Contractor Personnel

At any time and at its sole discretion, DHSS shall have the right to require the Contractor to remove any individual (either Contractor or subcontractor) from his/her assignment to this contract if, in the opinion of DHSS, such employee is uncooperative, inept, incompetent or otherwise unacceptable. DHSS will notify the Contractor of this issue in writing and Contractor will immediately comply. The State shall not be invoiced for any further work by this individual after this notification. If the Contractor must make a staff substitution for whatever reason, a staff person with equivalent or better qualifications and experience will be proposed to the State as soon as possible. This proposed candidate will be subject to the same qualifying procedures as the original candidate. The State Project Director and Project IRM Manager must approve this substitution before their term on the project begins. In the event that a staff position becomes temporarily or permanently vacant for any reason, including the contractor's choice to reassign a staff member, DHSS may reduce payments to the Contractor in the amount equal to the vacated positions pay rate for the time period the position is vacant. DHSS may choose to waive its right to reduce payments if the proposed replacement staff member can be approved and can assume the vacated position immediately upon its vacancy.

7.5 DTI Requirements

STANDARD PRACTICES:
With respect to work provided to or conducted for the state by a contractor, the contractor(s) shall be responsible for the professional quality, technical accuracy, timely completion, and coordination of all services furnished to the state. The contractor(s) shall follow practices consistent with generally accepted professional and technical standards. The contractor(s) shall be responsible for ensuring that all services, products and deliverables furnished to the state are coordinated with the Department of Technology and Information (DTI) and are consistent with practices utilized by, or standards promulgated by DTI. If any service, product or deliverable furnished by a contractor(s) does not conform to DTI standards or general practices, the contractor(s) shall, at its expense and option either (1) replace it with a conforming equivalent or (2) modify it to conform to DTI standards or practices.

CONFIDENTIALITY AND DATA INTEGRITY:
The Department of Technology and Information is responsible for safeguarding the confidentiality and integrity of data in State computer files regardless of the source of those data or medium on which they are stored; e.g., electronic data, computer output microfilm (COM), tape, or disk. Computer programs developed to process State Agency data will not be modified without the knowledge and written authorization of the Department of Technology and Information. All data generated from the original source data, shall be the property of the State of Delaware. The control of the disclosure of those data shall be retained by the State of Delaware and the Department of Technology and Information.

The Contractor is required to agree to the requirements in the CONFIDENTIALITY AND INTEGRITY OF DATA STATEMENT, attached, and made a part of this RFP. Contractor employees, individually, may be required to sign the statement prior to beginning any work.

SECURITY:
Computer, network, and information security is of paramount concern for the State of Delaware and the Department of Technology and Information. The State wants to ensure that computer/network hardware and software does not compromise the security of its IT infrastructure. The SANS Institute and the FBI have released a document describing the Top 20 Internet Security Threats. The document is available at www.sans.org/top20.htm for your review. The Contractor is guaranteeing that any

systems or software provided by the Contractor are free of the vulnerabilities listed in that document.

CYBER SECURITY LIABILITY:
It shall be the duty of the Vendor to assure that all products of its effort do not cause, directly or indirectly, any unauthorized acquisition of data that compromises the security, confidentiality, or integrity of information maintained by the State of Delaware. Vendor's agreement shall not limit or modify liability for information security breaches, and Vendor shall indemnify and hold harmless the State, its agents and employees, from any and all liability, suits, actions or claims, together with all reasonable costs and expenses (including attorneys' fees) arising out of such breaches. In addition to all rights and remedies available to it in law or in equity, the State shall subtract from any payment made to Vendor all damages, costs and expenses caused by such information security breaches that have not been previously paid to Vendor.

OTHER
The contractor agrees that it shall indemnify and hold the State of Delaware and all its agencies harmless from and against any and all claims for injury, loss of life, or damage to or loss of use of property caused or alleged to be caused, by acts or omissions of the contractor, its employees, and invitees on or about the premises and which arise out of the contractor's performance, or failure to perform, as specified in the Agreement.

It shall be the duty of the contractor to assure that all products of its effort do not cause, directly or indirectly, any unauthorized acquisition of data that compromises the security, confidentiality, or integrity of information maintained by the State of Delaware. Contractor's agreement shall not limit or modify liability for information security breaches, and contractor shall indemnify and hold harmless the State, its agents and employees, from any and all liability, suits, actions or claims, together with all reasonable costs and expenses (including attorneys' fees) arising out of such breaches. In addition to all rights and remedies available to it in law or in equity, the State shall subtract from any payment made to contractor all damages, costs and expenses caused by such information security breaches which have not been previously paid to Vendor.

7.6 Funding

This contract is dependent upon the appropriation of the necessary funding.

DHSS reserves the right to reject or accept any bid or portion thereof, as may be necessary to meet its funding limitations and processing constraints.

7.7 Confidentiality

The contractor shall safeguard any client information and other confidential information that may be obtained during the course of the project and will not use the information for any purpose other than the Contract may require.

7.8 Method of Payment:

The agencies or school districts involved will authorize and process for payment each invoice within thirty (30) days after the date of receipt. The contractor or vendor must accept full payment by procurement (credit) card and or conventional check and/or other electronic means at the State's option, without imposing any additional fees, costs or conditions.

7.9 Contract Transition

In the event the Department awards the contract to another Contractor, through contract expiration or termination of this contract, the Contractor will develop a plan to facilitate a smooth transition of contracted functions either back to the Department or to another Contractor designated by the State. This close out plan must be approved by the Department.

7.10 Tardiness Sanction

All bidders who wish to bid on this proposal must be present on time at the mandatory pre-bid meeting. No proposals will be accepted from bidders who either did not attend the Mandatory Pre-Bid Meeting or who are MORE than 15 minutes late for the mandatory pre-bid meeting..

8 Appendices

Appendices referenced in this RFP are included in this section. The following are included for the bidder's use in submitting a proposal.

A. General Terms and Conditions

B. Certification and Statement of Compliance

C. Standard Departmental Contract

D. Website Links

E. Key Position Resume

F. Project Cost Forms

G. Mandatory (Pass/Fail) Submission Requirements Checklist

H. State of Delaware Contracts Disclosure

I. Crosswalk of RFP Section 4

J. Bidders Signature Form

K. Office of Minority and Women Business Enterprise Self-Certification Tracking Form

L. Bidder Project Experience

M. Deliverable Acceptance Request (DAR)

N. Bidder Contact Information

O. DTI Confidentiality and Non-Disclosure Agreement

P. Technical and Functional Requirements

Q. State Sex Offender Registries

R. State Certified Nurse Aide Registries

S. Work Flow Diagram New Hire

T. Work Flow Diagram Re-Hire

U. Work Flow Diagram Secondary Re-Hire

V. Work Flow Diagram LTCRP Investigative

W. Data Flow Diagram

X. Data Flow Diagram

Y. Data Flow Diagram

Z. Data Flow Diagram

AA. Data Flow Diagram

AB. Data Interface Fields

The following Appendices must be completed by all bidders and included as part of the specified proposal:

- Technical Proposal - Appendices B, E, G, H, I, J, K, L

Note: Appendices N & O are to be submitted prior to proposal submission. Do not include as part of your proposal submission. See Section 6 for further instructions.

- Business Proposal – Appendix F

Appendix

A. General Terms and Conditions

Appendix A
General Terms and Conditions

The following provisions are applicable to all DHSS RFP's

1) Proposal Becomes State Property

All proposals become the property of the State of Delaware and will not be returned to contractors.

2) RFP and Final Contract

The contents of this RFP will be incorporated into the final contract and will become binding upon the successful bidder. If bidders are unwilling to comply with certain RFP requirements, terms and conditions, objections must be clearly stated in the proposal and will be subject to negotiation at the discretion of the Department.

3) Proposal and Final Contract

The bidder's proposal will be incorporated into the final contract and be considered binding upon the successful bidder.

4) Amendments to Proposals

Amendments to proposals will not be accepted after the submission deadline. DHSS reserves the right to request clarification and/or further technical information from any contractor submitting a proposal at any time.

5) Cost of Proposal Preparation

All costs of proposal preparation will be borne by the bidder.

6) Investigation of Contractor's Qualifications

The State of Delaware may make such investigation as it deems necessary to determine ability of potential contractors to furnish required services, and contractors shall furnish the State with data requested for this purpose. The State reserves the right to reject any offer if evidence submitted or investigation of such contractor fails to satisfy the State that the contractor is properly qualified to deliver services.

Bidder shall list all contracts awarded to it or its predecessor firm(s) by the State of Delaware during the last three years, by State Department, Division, Contact Person (with address/phone number), period of performance and amount. The Evaluation/Selection Review Committee will consider these as additional references and may contact these sources. Information regarding bidder performance gathered from these sources may be included in the Committee's deliberations and may be factored into the final scoring of the bid. Failure to list any contract as required by this paragraph may be grounds for immediate rejection of the bid.

7) Certifications, Representations, Acknowledgments

Using Appendix B, bidding contractors must certify that:

- They are a regular dealer in the services being procured.
- They have the ability to fulfill all requirements specified for development with this RFP.
- They have independently determined their prices.
- They are accurately representing their type of business and affiliations.
- They have acknowledged any contingency fees paid to obtain award of this contract.
- They have included in their quotation all costs necessary for or incidental to their total performance under the contract.
- They will secure a Delaware Business License.
- They will secure the appropriate type and amounts of insurance coverage required by the State. Proof of such coverage will be a requirement of the contract.

8) Ownership Rights

The State will retain ownership rights to all materials including software, designs, drawings, specifications, notes, electronically or magnetically recorded material, and other work in whatever form, developed during the performance of this contract. A fundamental obligation herein imposed on the Contractor is the assignment by the Contractor to DHSS of all ownership rights in the completed project. This obligation on the part of the Contractor to assign all ownership rights is not subject to limitation in any respect, whether by characterization of any part of the deliverables as proprietary or by failure to claim for the cost thereof. The provisions of this article shall be incorporated into any subcontract.

9) Federal/State Access Rights

Appropriate Federal and/or State representatives will have access to work in progress and to pertinent cost records of the contractor and its subcontractors at such intervals as any representative shall deem necessary.

10) Reserved Rights of the Department of Health & Social Services

The Department reserves the right to:

- Reject any and all proposals received in response to this RFP
- Select for contract or for negotiations a proposal other than that with the lowest cost
- Waive any irregularities or inconsistencies in proposals received
- Negotiate as to any aspect of the proposal with any proposer and negotiate with more than one proposer at the same time
- If negotiations fail to result in an agreement within two weeks, terminate negotiations and select the next most responsive proposer, prepare and release a new RFP, or take such other action as the Department may deem appropriate.

11) Standard for Subcontractors

The contract with the prime contractor will bind subcontractors to the prime contractor by the terms, specifications and standards of this statement of work and any subsequent proposals and contracts. All such terms, specifications, and standards shall preserve and protect the rights of the State with respect to the services to be performed by the subcontractor, so that the subcontractor will not prejudice such rights. The use of subcontractors on this project must have the prior approval of the State.

12) Irrevocable License

The State of Delaware reserves a royalty-free, exclusive, and irrevocable license to reproduce, publish, or otherwise use the copyright of any deliverables developed under the resulting contract.

13) Non-Discrimination

The selected provider will be required to sign a contract containing a clause that prohibits the provider from discriminating against employees on the basis of their race, color, sex, religion, age and national origin.

14) Right to a Debriefing

To request a debriefing on a bidder selection, the bidder must submit a letter requesting a debriefing to the Procurement Administrator, DHSS, within ten days of the announced selection. In the letter, the bidder must specifically state the reason(s) for the debriefing. Debriefing requests must be based on pertinent issues relating to the selection process. Debriefing requests based on specifications in the RFP will not be accepted. All debriefing requests will be evaluated in accordance with these conditions. Debriefing requests that meet these conditions will be reviewed and respectively answered by the Procurement Administrator and/or Debriefing Committee.

15) Hiring Provision

Staff contracted to provide the services requested in this RFP are not precluded from seeking employment with the State of Delaware. The contractor firm selected as a result of this RFP shall not prohibit their employees or subcontractor staff from seeking employment with the State of Delaware.

16) Anti Lobbying

The selected contractor must certify that no Federal funds will be used to lobby or influence a Federal officer or a Member of Congress and that the contractor will file required Federal lobbying reports.

17) Anti Kick-back

The selected contractor will be expected to comply with other federal statutes including the Copeland "Anti-Kickback Act" (18 U.S.C.874), Section 306 of the Clean Air Act, Section 508 of the Clean Water Act , and the Debarment Act.

18) Delaware Contract Language

Appendix C contains a copy of the standard Departmental contract, which will be used for the agreement between the State and the winning bidder. The State will not entertain any modifications to the language of this document. By submitting a proposal to this RFP, the bidder agrees to be bound by the terms and conditions in that contract document.

19) Project Cost

The Department reserves the right to award this project to a bidder other than the one with the lowest cost or to decide not to fund this project at all. Cost will be balanced against the score received by each bidder in the rating process. The State of Delaware reserves the right to reject, as technically unqualified, proposals that are unrealistically low if, in judgment of the Selection Committee, a lack of sufficient budgeted resources would jeopardize the successful completion of the project.

20) Public Record

The Department will not divulge specific content of proposals to the extent that the contractor identifies contents as privileged or confidential providing such information resides solely on the one set of CDs labeled as Confidential. Any information not so designated will be considered public information.

21) Minority/Women/Disadvantaged Business Certification

Appendix K provides proposers who are certified M/W/D business enterprises to communicate such certification as part of their proposal submission. Further information, guidelines and forms for such certifications can be found at:
http://gss.omb.delaware.gov/omwbe/index.shtml

Appendix

B. Certification and Statement of Compliance

DELAWARE HEALTH AND SOCIAL SERVICES
REQUEST FOR PROPOSAL

CERTIFICATION SHEET

As the official representative for the bidder, I certify on behalf of the agency that:

a. They are a regular dealer in the services being procured.
b. They have the ability to fulfill all requirements specified for development within this RFP.
c. They have independently determined their prices.
d. They are accurately representing their type of business and affiliations.
e. They will secure a Delaware Business License.
f. They have acknowledged that no contingency fees have been paid to obtain award of this contract.
g. The Prices in this offer have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other contractor or with any competitor;
h. Unless otherwise required by Law, the prices which have been quoted in this offer have not been knowingly disclosed by the contractor and prior to the award in the case of a negotiated procurement, directly or indirectly to any other contractor or to any competitor; and
i. No attempt has been made or will be made by the contractor in part to other persons or firm to submit or not to submit an offer for the purpose of restricting competition.
j. They have not employed or retained any company or person (other than a full-time bona fide employee working solely for the contractor) to solicit or secure this contract, and they have not paid or agreed to pay any company or person (other than a full-time bona fide employee working solely for the contractor) any fee, commission percentage or brokerage fee contingent upon or resulting from the award of this contract.
k. They (check one) operate ___an individual; _____a Partnership ____a non-profit (501 C-3) organization; _____a not-for-profit organization; or _____for Profit Corporation, incorporated under the laws of the State of____________.
l. The referenced bidder has neither directly or indirectly entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding in connection with this bid submitted this date to Delaware Health and Social Services
m. The referenced bidder agrees that the signed delivery of this bid represents the bidder's acceptance of the terms and conditions of this invitation to bid including all specifications and special provisions.

n. They (check one): _______are; _____are not owned or controlled by a parent company. If owned or controlled by a parent company, enter name and address of parent company:

____
____
____
____

Violations and Penalties:

Each contract entered into by an agency for professional services shall contain a prohibition against contingency fees as follows:

1. The firm offering professional services swears that it has not employed or retained any company or person working primarily for the firm offering professional services, to solicit or secure this agreement by improperly influencing the agency or any of its employees in the professional service procurement process.
2. The firm offering the professional services has not paid or agreed to pay any person, company, corporation, individual or firm other than a bona fide employee working primarily for the firm offering professional services, any fee, commission, percentage, gift, or any other consideration contingent upon or resulting from the award or making of this agreement; and
3. For the violation of this provision, the agency shall have the right to terminate the agreement without liability and at its discretion, to deduct from the contract price, or otherwise recover the full amount of such fee, commission, percentage, gift or consideration.

The following conditions are understood and agreed to:

a. No charges, other than those specified in the cost proposal, are to be levied upon the State as a result of a contract.

b. The State will have exclusive ownership of all products of this contract unless mutually agreed to in writing at the time a binding contract is executed.

________________ ____

Date Signature & Title of Official Representative

____

Type Name of Official Representative

PROCUREMENT

STATEMENT OF COMPLIANCE

As the official representative for the contractor, I Certify that on behalf of the agency that _________________________ (Company name) will comply with all Federal and State of Delaware laws, rules, and regulations, pertaining to equal employment opportunity and affirmative action laws. In addition, compliance will be assured in regard to Federal and State of Delaware laws and Regulations relating to confidentiality and individual and family privacy in the collection and reporting of data.

Authorized Signature:____

Title:____

Date:____

Appendix

C. Standard Departmental Contract

(DHSS Standard Contract Boilerplate Approved: 10/06/2008

CONTRACT

A) Introduction

1. This contract is entered into between the Delaware Department of Health and Social Services (the Department), Division of _______________ (Division) and ________________________(the Contractor).

2. The Contract shall commence on ___________________ and terminate on ______________ unless specifically extended by an amendment, signed by all parties to the Contract. Time is of the essence. (Effective contract start date is subject to the provisions of Paragraph C 1 of this Agreement.)

B) Administrative Requirements

1. Contractor recognizes that it is operating as an independent Contractor and that it is liable for any and all losses, penalties, damages, expenses, attorney's fees, judgments, and/or settlements incurred by reason of injury to or death of any and all persons, or injury to any and all property, of any nature, arising out of the Contractor's negligent performance under this Contract, and particularly without limiting the foregoing, caused by, resulting from, or arising out of any act of omission on the part of the Contractor in their negligent performance under this Contract.

2. The Contractor shall maintain such insurance as will protect against claims under Worker's Compensation Act and from any other claims for damages for personal injury, including death, which may arise from operations under this Contract. The Contractor is an independent contractor and is not an employee of the State.

3. During the term of this Contract, the Contractor shall, at its own expense, carry insurance with minimum coverage limits as follows:

	a) Comprehensive General Liability	$1,000,000
and		
	b) Medical/Professional Liability	$1,000,000/ $3,000,000
or	c) Misc. Errors and Omissions	$1,000,000/$3,000,000
or	d) Product Liability	$1,000,000/$3,000,000

All contractors must carry (a) and at least one of (b), (c), or (d), depending on the type of service or product being delivered.

If the contractual service requires the transportation of Departmental clients or staff, the contractor shall, in addition to the above coverage, secure at its own expense the following coverage:

e) Automotive Liability (Bodily Injury) $100,000/$300,000
f) Automotive Property Damage (to others) $ 25,000

4. Not withstanding the information contained above, the Contractor shall indemnify and hold harmless the State of Delaware, the Department and the Division from contingent liability to others for damages because of bodily injury, including death, that may result from the Contractor's negligent performance under this Contract, and any other liability for damages for which the Contractor is required to indemnify the State, the Department and the Division under any provision of this Contract.

5. The policies required under Paragraph B3 must be written to include Comprehensive General Liability coverage, including Bodily Injury and Property damage insurance to protect against claims arising from the performance of the Contractor and the contractor's subcontractors under this Contract and Medical/Professional Liability coverage when applicable.

6. The Contractor shall provide a Certificate of Insurance as proof that the Contractor has the required insurance. The certificate shall identify the Department and the Division as the "Certificate Holder" and shall be valid for the contract's period of performance as detailed in Paragraph A 2.

7. The Contractor acknowledges and accepts full responsibility for securing and maintaining all licenses and permits, including the Delaware business license, as applicable and required by law, to engage in business and provide the goods and/or services to be acquired under the terms of this Contract. The Contractor acknowledges and is aware that Delaware law provides for significant penalties associated with the conduct of business without the appropriate license.

8. The Contractor agrees to comply with all State and Federal licensing standards and all other applicable standards as required to provide services under this Contract, to assure the quality of services provided under this Contract. The Contractor shall immediately notify the Department in writing of any change in the status of any accreditations, licenses or certifications in any jurisdiction in which they provide

services or conduct business. If this change in status regards the fact that its accreditation, licensure, or certification is suspended, revoked, or otherwise impaired in any jurisdiction, the Contractor understands that such action may be grounds for termination of the Contract.

a) If a contractor is under the regulation of any Department entity and has been assessed Civil Money Penalties (CMPs), or a court has entered a civil judgment against a Contractor or vendor in a case in which DHSS or its agencies was a party, the Contractor or vendor is excluded from other DHSS contractual opportunities or is at risk of contract termination in whole, or in part, until penalties are paid in full or the entity is participating in a corrective action plan approved by the Department.

A corrective action plan must be submitted in writing and must respond to findings of non-compliance with Federal, State, and Department requirements. Corrective action plans must include timeframes for correcting deficiencies and must be approved, in writing, by the Department.

The Contractor will be afforded a thirty (30) day period to cure non-compliance with Section 8(a). If, in the sole judgment of the Department, the Contractor has not made satisfactory progress in curing the infraction(s) within the aforementioned thirty (30) days, then the Department may immediately terminate any and/or all active contracts.

9. Contractor agrees to comply with all the terms, requirements and provisions of the Civil Rights Act of 1964, the Rehabilitation Act of 1973 and any other federal, state, local or any other anti discriminatory act, law, statute, regulation or policy along with all amendments and revision of these laws, in the performance of this Contract and will not discriminate against any applicant or employee or service recipient because of race, creed, religion, age, sex, color, national or ethnic origin, disability or any other unlawful discriminatory basis or criteria.

10. The Contractor agrees to provide to the Divisional Contract Manager, on an annual basis, if requested, information regarding its client population served under this Contract by race, color, national origin or disability.

11. This Contract may be terminated in whole or part:

a) by the Department upon five (5) calendar days written notice for cause or documented unsatisfactory performance,

b) by the Department upon fifteen (15) calendar days written notice of the loss of funding or reduction of funding for the stated Contractor services as described in Appendix B,

c) by either party without cause upon thirty (30) calendar days written notice to the other Party, unless a longer period is specified in Appendix A.

In the event of termination, all finished or unfinished documents, data, studies, surveys, drawings, models, maps, photographs, and reports or other material prepared by Contractor under this contract shall, at the option of the Department, become the property of the Department.

In the event of termination, the Contractor, upon receiving the termination notice, shall immediately cease work and refrain from purchasing contract related items unless otherwise instructed by the Department.

The Contractor shall be entitled to receive reasonable compensation as determined by the Department in its sole discretion for any satisfactory work completed on such documents and other materials that are usable to the Department. Whether such work is satisfactory and usable is determined by the Department in its sole discretion.

Should the Contractor cease conducting business, become insolvent, make a general assignment for the benefit of creditors, suffer or permit the appointment of a receiver for its business or assets, or shall avail itself of, or become subject to any proceeding under the Federal Bankruptcy Act or any other statute of any state relating to insolvency or protection of the rights of creditors, then at the option of the Department, this Contract shall terminate and be of no further force and effect. Contractor shall notify the Department immediately of such events.

12. Any notice required or permitted under this Contract shall be effective upon receipt and may be hand delivered with receipt requested or by registered or certified mail with return receipt requested to the addresses listed below. Either Party may change its address for notices and official formal correspondence upon five (5) days written notice to the other.

    To the Division at:

    ____

    ____

    ____

    To the Contractor at:

    ____

    ____

    ____

13. In the event of amendments to current Federal or State laws which nullify any term(s) or provision(s) of this Contract, the remainder of the Contract will remain unaffected.

14. This Contract shall not be altered, changed, modified or amended except by written consent of all Parties to the Contract.

15. The Contractor shall not enter into any subcontract for any portion of the services covered by this Contract without obtaining prior written approval of the Department. Any such subcontract shall be subject to all the conditions and provisions of this Contract. The approval requirements of this paragraph do not extend to the purchase of articles, supplies, equipment, rentals, leases and other day-to-day operational expenses in support of staff or facilities providing the services covered by this Contract.

16. This entire Contract between the Contractor and the Department is composed of these several pages and the attached:

    Appendix A - Divisional Requirements

    Appendix B - Services Description

    Appendix C - Contract Budget

    Appendix …….

17. This Contract shall be interpreted and any disputes resolved according to the Laws of the State of Delaware. Except as may be otherwise provided in this contract, all claims, counterclaims, disputes and other matters in question between the Department and Contractor arising out of or relating to this Contract or the breach thereof will be decided by arbitration if the parties hereto mutually agree, or in a court of competent jurisdiction within the State of Delaware.

18. In the event Contractor is successful in an action under the antitrust laws of the United States and/or the State of Delaware against a vendor, supplier, subcontractor, or other party who provides particular goods or services to the Contractor that impact the budget for this Contract, Contractor agrees to reimburse the State of Delaware, Department of Health and Social Services for the pro-rata portion of the damages awarded that are attributable to the goods or services used by the Contractor to fulfill the requirements of this Contract. In the event Contractor refuses or neglects after reasonable written notice by the Department to bring such antitrust action, Contractor shall be deemed to have assigned such action to the Department.

19. Contractor covenants that it presently has no interest and shall not acquire any interests, direct or indirect, that would conflict in any manner or degree with the performance of this Contract. Contractor further covenants that in the performance of this contract, it shall not employ any person having such interest.

20. Contractor covenants that it has not employed or retained any company or person who is working primarily for the Contractor, to solicit or secure this agreement, by improperly influencing the Department or any of its employees in any professional procurement process; and, the Contractor has not paid or agreed to pay any person, company, corporation, individual or firm, other than a bona fide employee working primarily for the Contractor, any fee, commission, percentage, gift or any other consideration contingent upon or resulting from the award or making of this agreement. For the violation of this provision, the Department shall have the right to terminate the agreement without liability and, at its discretion, to deduct from the contract price, or otherwise recover, the full amount of such fee, commission, percentage, gift or consideration.

21. The Department shall have the unrestricted authority to publish, disclose, distribute and otherwise use, in whole or in part, any reports, data, or other materials prepared under this Contract. Contractor shall have no right to

copyright any material produced in whole or in part under this Contract. Upon the request of the Department, the Contractor shall execute additional documents as are required to assure the transfer of such copyrights to the Department.

If the use of any services or deliverables is prohibited by court action based on a U.S. patent or copyright infringement claim, Contractor shall, at its own expense, buy for the Department the right to continue using the services or deliverables or modify or replace the product with no material loss in use, at the option of the Department.

22. Contractor agrees that no information obtained pursuant to this Contract may be released in any form except in compliance with applicable laws and policies on the confidentiality of information and except as necessary for the proper discharge of the Contractor's obligations under this Contract.

23. Waiver of any default shall not be deemed to be a waiver of any subsequent default. Waiver or breach of any provision of this Contract shall not be deemed to be a waiver of any other or subsequent breach and shall not be construed to be a modification of the terms of the Contract unless stated to be such in writing, signed by authorized representatives of all parties and attached to the original Contract.

24. If the amount of this contract listed in Paragraph C2 is over $25,000, the Contractor, by their signature in Section E, is representing that the Firm and/or its Principals, along with its subcontractors and assignees under this agreement, are not currently subject to either suspension or debarment from Procurement and Non-Procurement activities by the Federal Government.

C) Financial Requirements

1. The rights and obligations of each Party to this Contract are not effective and no Party is bound by the terms of this contract unless, and until, a validly executed Purchase Order is approved by the Secretary of Finance and received by Contractor, *if required by the State of Delaware Budget and Accounting Manual,* and all policies and procedures of the Department of Finance have been met. The obligations of the Department under this Contract are expressly limited to the amount of any approved Purchase Order. The State will not be liable for expenditures made or services delivered prior to Contractor's receipt of the Purchase Order.

2. Total payments under this Contract shall not exceed $ ______ in accordance with the budget presented in Appendix C. Payment will be made upon receipt of an itemized invoice from the Contractor in accordance with the payment schedule, if any. The contractor or vendor must accept full payment by procurement (credit) card and or conventional check and/or other electronic means at the State's option, without imposing any additional fees, costs or conditions. Contractor is responsible for costs incurred in excess of the total cost of this Contract and the Department is not responsible for such costs.

3. The Contractor is solely responsible for the payment of all amounts due to all subcontractors and suppliers of goods, materials or services which may have been acquired by or provided to the Contractor in the performance of this contract. The Department is not responsible for the payment of such subcontractors or suppliers.

4. The Contractor shall not assign the Contract or any portion thereof without prior written approval of the Department and subject to such conditions and revisions as the Department may deem necessary. No such approval by the Department of any assignment shall be deemed to provide for the incurrence of any obligations of the Department in addition to the total agreed upon price of the Contract.

5. Contractor shall maintain books, records, documents and other evidence directly pertinent to performance under this Contract in accordance with generally accepted accounting principles and practices. Contractor shall also maintain the financial information and data used by Contractor in the preparation of support of its bid or proposal. Contractor shall retain this information for a period of five (5) years from the date services were rendered by the Contractor. Records involving matters in litigation shall be retained for one (1) year following the termination of such litigation. The Department shall have access to such books, records, documents, and other evidence for the purpose of inspection, auditing, and copying during normal business hours of the Contractor after giving reasonable notice. Contractor will provide facilities for such access and inspection.

6. The Contractor agrees that any submission by or on behalf of the Contractor of any claim for payment by the Department shall constitute certification by the Contractor that the services or items for which payment is claimed were actually rendered by the Contractor or its agents, and that all information submitted in support of the claims is true, accurate, and complete.

7 The cost of any Contract audit disallowances resulting from the examination of the Contractor's financial records will be borne by the Contractor. Reimbursement to the Department for disallowances shall be drawn from the Contractor's own resources and not charged to Contract costs or cost pools indirectly charging Contract costs.

8. When the Department desires any addition or deletion to the deliverables or a change in the services to be provided under this Contract, it shall so notify the Contractor. The Department will develop a Contract Amendment authorizing said change. The Amendment shall state whether the change shall cause an alteration in the price or time required by the Contractor for any aspect of its performance under the Contract. Pricing of changes shall be consistent with those prices or costs established within this Contract. Such amendment shall not be effective until executed by all Parties pursuant to Paragraph B 14.

D) Miscellaneous Requirements

1. *If applicable*, the Contractor agrees to adhere to the requirements of DHSS Policy Memorandum # 46, (PM #46, effective 3/11/05), and divisional procedures regarding the reporting and investigation of suspected abuse, neglect,

mistreatment, misappropriation of property and significant injury of residents/clients receiving services, including providing testimony at any administrative proceedings arising from such investigations. The policy and procedures are included as Appendix _____ to this Contract. It is understood that adherence to this policy includes the development of appropriate procedures to implement the policy and ensuring staff receive appropriate training on the policy requirements. The Contractor's procedures must include the position(s) responsible for the PM46 process in the provider agency. Documentation of staff training on PM46 must be maintained by the Contractor.

2. The Contractor, including its parent company and its subsidiaries, and any subcontractor, including its parent company and subsidiaries, agree to comply with the provisions of 29 Del. Code, Chapter 58: "Laws Regulating the Conduct of Officers and Employees of the State," and in particular with Section 5805 (d): "Post Employment Restrictions."

3. *When required by Law*, Contractor shall conduct child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del. Code Section 708; and 11 Del. Code, Sections 8563 and 8564. Contractor shall not employ individuals with adverse registry findings in the performance of this contract.

4. *If applicable*, the Contractor agrees to adhere to the requirements of DHSS Policy Memorandum # 40 (PM #40, effective 3/10/2008), and divisional procedures regarding conducting criminal background checks and handling adverse findings of the criminal background checks. This policy and procedure are included as Appendix _____ to this Contract. It is understood that adherence to this policy includes the development of appropriate procedures to implement the policy and ensuring staff receive appropriate training on the policy requirements. The Contractor's procedures must include the title of the position(s) responsible for the PM40 process in the contractor's agency.

5. *If applicable*, the Contractor agrees to adhere to the requirements of DHSS Policy Memorandum # 36 (PM #36, effective 9/24/2008), and divisional procedures regarding minimal requirements of contractors who are engaging in a contractual agreement to develop community based residential arrangements for those individuals served by Divisions within DHSS. This policy and procedure are included as Appendix _____ to this Contract. It is understood that adherence to this policy includes individuals/entities that enter into a contractual arrangement (*contractors*) with the DHSS/Division to develop a community based residential home(s) and apartment(s). Contractors shall be responsible for their subcontractors' adherence with this policy and related protocol(s) established by the applicable Division.

6. All Department campuses are tobacco-free. Contractors, their employees and sub-contractors are prohibited from using any tobacco products while on Department property. This prohibition extends to personal vehicles parked in Department parking lots.

E) Authorized Signatures:

For the Contractor:

Name

Title

Date

For the Department:

Rita M. Landgraf
Secretary

Date

For the Division:

Director

Date

Appendix

D. Website Links

- DHSS Information Technology Services for Vendors: http://dhss.delaware.gov/dhss/dms/irm/vendorsvcs.html

- State of Delaware Web Standards
  http://www.state.de.us/sos/gic/information/webstandards.shtml

- Top 20 Internet Security Threats developed by the SANS Institute and the FBI
  http://www.sans.org/top20/

Appendix

E. Key Position Resume

Key Position Resume

Name:________________ Proposed Project Position:________________

Number of years experience in the proposed position:________________

Number of years experience in this field of work:__________________________

Detail Training/Education
(Repeat the format below for as many degrees/certificates as are relevant to this proposal. Dates between training/education may overlap.)

Degree/Certificate	Dates of Training/Education
______________________	______________________
______________________	______________________
______________________	______________________
______________________	______________________
______________________	______________________

Detail Experience
(Repeat the format below for as many jobs/projects as are relevant to this proposal. Dates between jobs/projects may overlap.)

Job/Project:__________________ Position:____________________

From Date:__________________ To Date:____________________

Description of the tasks this person performed in this job/project. Detail any state or government planning projects and specify the role of the person on each project

Appendix

F. Project Cost Forms

F1. Project Costs by Deliverables & Milestones

Delaware Background Check System - Deliverable & Milestone Cost Schedule

A separate MS Excel file will accompany this RFP. Cost information is required to be completed for consideration of the vendor. Instructions to complete the spreadsheet are contained within the spreadsheet.

The Total Cost shown in Schedule F1 <u>must</u> include <u>all costs</u> (except out year costs) that the selected vendor will be paid by DHSS. If specialized hardware or software will be provided by the vendor, it must be included as a deliverable in the above schedule. Deliverable costs will sum to the Total Project Cost which constitutes the firm fixed price of the contract.

Deliverables in the Microsoft Project plan must match those included in the project cost schedule above.

The modules listed on the spreadsheet are those described in the RFP. If a vendor's proposed solution provides the same functionality as described in the RFP, but organizes this functionality in a different combination of modules, the vendor should show its own organization of modules in the schedule provided and in Schedules F3 and F4.

Vendors must complete the **Projected Date** column for each milestone and the dates must correspond to the dates provided in the Microsoft Project plan.

Milestone Cost Breakdown

- M1 = Total Cost for Phase 1 deliverables – 10% holdback
- M2 = Total Cost for State Approval of Interfaces (Basic System Functionality) – 10% holdback
- M3 = Total Cost for Prototype Screens, Overall System Functionality, and Initial Quick Hit Functionality – 10% holdback
- M4 = Total Cost for Deliverables 6.11 – 6.13 – 10% holdback
- M5 = Total Cost for Deliverable 6.14 – 10% holdback
- M6 = Total Cost for Deliverables 6.15.1 & 6.15.2 – 10% holdback
- M7 = Total Cost for Deliverable 6.15.3 – 10% holdback
- M8 = Total Cost for Deliverable 6.16 – 10% holdback
- M9 = Total Cost for Deliverable 6.17 – 10% holdback
- M10 = Total Cost for Deliverable 6.18 – 10% holdback
- M11 = Total Cost for Deliverable 7 – 10% holdback
- M12 = Total Cost for Phase 3 – 10% holdback
- M13 = M1 holdback + M2 holdback + M3 holdback + M4 holdback + M5 holdback + M6 holdback + M7 holdback + M8 holdback

+ M9 holdback + M10 holdback + M11 holdback + M12 holdback

- Payment for M13 will be made once the Division has approved Phase 4 of the project.

Costs for each task/deliverable listed must be specified along with the total cost of all tasks/deliverables in each specified phase. Please check all figures for accuracy.
Contractor may invoice for **milestone payments** upon formal approval by the Division and IRM.

F2. Schedule of Rates for Project Staff

Vendor is to list the fully loaded hourly rate for each person bid. These rates will be binding and will be used to estimate costs in the event of a change in project scope. A fully loaded hourly rate is an hourly rate that encompasses all costs to the vendor for providing additional services to the state as necessitated by for additional tasks not covered under the scope of this contract. Costs included in this rate would be salary, overhead, lodging, travel, supplies, incidentals, etc. This rate would be used to apply against the hours estimated for each additional task proposed such that Task Hours * Rate = Task Cost.

Job Title	Name	Fully Loaded Hourly Rate

F3 Software Licensing Schedule

Module Name	Number of Licenses	Percent Customization

F4 Out year Software Support, ASP and Maintenance Cost Schedule

Out year support costs are to be listed in the following schedules for each module. Support, ASP and maintenance costs are capped at a 2% inflation rate per year. Out year support and maintenance costs will be taken into effect in determining the Appropriateness of Solution Score. **Year 1 is defined as the first 12 months after the expiration of the 90 day warranty period**.

Support Costs

Module Name	Year 1	Year 2	Year 3	Year 4	Year 5
Total					

ASP Costs (if applicable)

Module Name	Year 1	Year 2	Year 3	Year 4	Year 5
Total					

Maintenance Costs

Estimate of the number of hours required to apply the DHSS

customization features to new releases: ____________

Single fully loaded hourly rate which will apply to this work, as

well as to future customization during the first year: ____________

F5. State Purchased Third Party Software Schedule

List all third party software that the State is responsible for purchasing for use after implementation. This includes State developer licenses as well as user licenses. The State is not responsible for purchasing vendor developer licenses. Only new software or additional licenses for existing software being proposed for this project will be listed here. If the proposed software solution comprises multiple separately-costed modules, please list them separately in the following Schedule.

Software Description/Name	Required Version	Number of Licenses

Total Estimated State Purchased Third Party Software Cost ___________________

The State will purchase the above items from a third party, not the selected vendor. The cost should not be included in Schedule F1.

F6. State Purchased Hardware Schedule

This is a hardware summary cost schedule. Only new hardware or upgrades to existing hardware being proposed for this project will be listed here.

Hardware Description/Name	Quantity

Total Estimated State Purchased Hardware Cost __________________

The State will purchase the above items from a third party, not the selected vendor. The cost should not be included in Schedule F1.

Appendix

G. Mandatory (Pass/Fail) Submission Requirements Checklist

Mandatory (Pass/Fail) Submission Requirements Checklist

Mandatory Submission Requirement	RFP Section	Compliance Y or N
The bid is submitted no later than the closing date and time	6.1.2	
The bid is submitted in separate sealed volumes containing the Technical and Business proposals	6.1	
The correct number of copies of each proposal is submitted	6.1	
Each proposal volume is labeled correctly	6.1	
Proposal conditions are valid for 180 days from the deadline date for proposal submission	6.2.1	
The proposal contains a single solution in terms of this planning project	6.1.10	
Bidder/Proposed Subcontractor has appropriate project experience	6.2.7	
Transmittal Letter submitted on official business letterhead and signed by an authorized representative	6.2.1	
Proposal CD's have been scanned and are free from viruses and other malicious software.	6.2.1	
Bidder Agrees to Comply with the provisions specified in the General Terms and Conditions	Appendix A	
Technical proposal is submitted with a duly signed and dated copy of the Certification/Statement of Compliance	Appendix B	
Completed Project Cost Forms	Appendix F	
Firm fixed price contract proposed	7.2	
Technical proposal is submitted with a completed, duly signed and dated copy of the Submission Requirements Checklist	6.2.2 & Appendix G	
Completed State of Delaware Contracts Disclosure	Appendix H	
Completed Crosswalk of RFP Section 4	6.2.5 & Appendix I	
Completed Bidders Signature Form	Appendix J	
Project timeline does not exceed specified project length	7.3	
Compliance with HIPAA Regulations & Standards	4.3 & 4.4	
Proposal includes required resumes	6.2.6	

____
Signature of Authorized Representative

____________________________________ ____________
Title / Company Date

Appendix

H. State of Delaware Contracts Disclosure

State of Delaware Contracts Disclosure

Vendor/Predecessor Firm Name	State Department and Division	Contact Name, Address and Phone Number	Period of Performance	Contract Number	Amount
Sample Vendor Firm Name	DHSS \ DMS	Contact Name 1901 N DuPont Highway New Castle, DE 19720 302.999.9999	01/01/2002 – 12/31/2002	HSS-999999	$100,000

Bidder shall list all contracts awarded to it or its predecessor firm(s) by the State of Delaware during the last three (3) years, by State Department, Division, Contact Person (with address/phone number), period of performance, contract number and amount. The Evaluation/Selection Review Committee will consider these additional references and may contact each of these sources. Information regarding bidder performance gathered from these sources may be included in the Committee's deliberations and factored in the final scoring of the bid. Failure to list any contract as required by this paragraph may be grounds for immediate rejection of the bid.

List contracts in the format specified. Include those contracts whose period of performance has been within the past three (3) years in addition to those awarded within this timeframe. Contracts with amendments only have to be listed once. If a vendor has had no contracts within this timeframe, enter "**No contracts to specify**" under Vendor/Predecessor Firm Name in the first row of the table.

Appendix

I. Crosswalk of RFP Section 4

Crosswalk of RFP Section 4

RFP Section	Proposal Section Number	Proposal Page Number
4 Contractor Responsibilities/Project Requirements		
4.1 Staffing		
4.2 Project Management		
4.3 Requirement To Comply With HIPAA Regulations and Standards		
4.4 Requirement to Comply with State Policies and Standards		
4.5 Database Design		
4.6 Reporting		
4.7 Performance		
4.8 Degree of Customization		
4.9 Backup and Recovery		
4.10 Disaster Recovery		
4.11 Specific Project Tasks		
4.12 Deliverables		
Deliverable 1: Detailed Project Workplan		
Deliverable 2: Deliverable Document Templates		
Deliverable 3: Refine and Finalize the Delaware Background Check system Requirements		
Deliverable 4: Base System Elements		
Deliverable 5: Prototype Screens		
Deliverable 6: Programming Code / Testing / Deployment		
Deliverable 7: CMS Data Extract		
Deliverable 8: Final Deployment		

Deliverable 9: Provide Knowledge Transfer Plan		
Deliverable 10: Acceptance in Production of All Delivered Modules		
Deliverable 11: Ninety (90) Day Warranty Period		
4.13 Project Expectations		
4.13.1 Customization/Development		
4.13.2 Site Requirements		
4.13.3 System Testing		
4.13.4 User Acceptance Testing (UAT)		
4.13.5 Conversion		
4.13.6 Training		
4.13.7 Support Services		
4.13.8 Maintenance Services		
4.13.9 Documentation		

This is a template for the crosswalk of Section 4 in the RFP. It links the numbered RFP sections to the sections and page numbers of the bidder's proposal. Bidders are required to fill out this crosswalk completely for each numbered section in Section 4.

Appendix

J. Bidders Signature Form

DELAWARE HEALTH AND SOCIAL SERVICES

REQUEST FOR PROPOSAL

BIDDERS SIGNATURE FORM

NAME OF BIDDER:
SIGNATURE OF AUTHORIZED PERSON:
TYPE IN NAME OF AUTHORIZED PERSON:____________________________________
TITLE OF AUTHORIZED PERSON:____
STREET NAME AND NUMBER:____
CITY, STATE, & ZIP CODE:____
CONTACT PERSON:____
TELEPHONE NUMBER:____
FAX NUMBER:____
DATE:____
BIDDER'S FEDERAL EMPLOYERS IDENTIFICATION NUMBER:_________________________
DELIVERY DAYS/COMPLETION TIME:____
F.O.B.:____
TERMS:____

THE FOLLOWING MUST BE COMPLETED BY THE VENDOR:

AS CONSIDERATION FOR THE AWARD AND EXECUTION BY THE DEPARTMENT OF HEALTH AND SOCIAL SERVICES OF THIS CONTRACT, THE (COMPANY NAME)________________________ HEREBY GRANTS, CONVEYS, SELLS, ASSIGNS, AND TRANSFERS TO THE STATE OF DELAWARE ALL OF ITS RIGHTS, TITLE AND INTEREST IN AND TO ALL KNOWN OR UNKNOWN CAUSES OF ACTION IT PRESENTLY HAS OR MAY NOW HEREAFTER ACQUIRE UNDER THE ANTITRUST LAWS OF THE UNITED STATES AND THE STATE OF DELAWARE, RELATING THE PARTICULAR GOODS OR SERVICES PURCHASED OR ACQUIRED BY THE DELAWARE HEALTH AND SOCIAL SERVICES DEPARTMENT, PURSUANT TO THIS CONTRACT.

Appendix

K. Office of Minority and Women Business Enterprise Self-Certification Tracking Form

OFFICE OF MINORITY AND WOMEN BUSINESS ENTERPRISE SELF-CERTIFICATION TRACKING FORM

IF YOUR FIRM WISHES TO BE CONSIDERED FOR ONE OF THE CLASSIFICATIONS LISTED BELOW, THIS PAGE MUST BE SIGNED, NOTARIZED AND RETURNED WITH YOUR PROPOSAL.

COMPANY NAME____
NAME OF AUTHORIZED REPRESENTATIVE (Please print)
____
SIGNATURE____
COMPANY ADDRESS____
TELEPHONE #____
FAX #____
EMAIL ADDRESS____
FEDERAL EI# ____
STATE OF DE BUSINESS LIC#__________________________________
Note: Signature of the authorized representative must be of an individual who legally may enter his/her organization into a formal contract with the State of Delaware, Delaware Health and Social Services.

Organization Classifications (Please circle)
Women Business Enterprise (WBE) Yes/No
Minority Business Enterprise (MBE) Yes/No
Please check one---Corporation ______
Partnership_______Individual _______

For appropriate certification (WBE), (MBE), (DBE) please apply to Office of Minority and Women Business Enterprise Phone # (302) 739-4206 L. Jay Burks, Executive Director Fax# (302) 739-1965 Certification #____________ Certifying Agency____________
http://gss.omb.delaware.gov/omwbe/index.shtml

SWORN TO AND SUBSCRIBED BEFORE ME THIS _____________DAY OF __________20________

NOTARY PUBLIC________________________MY COMMISSION EXPIRES ___________________

CITY OF _________________________COUNTY OF ________________STATE OF_________________

Definitions

The following definitions are from the State Office of Minority and Women Business Enterprise.

Women Owned Business Enterprise (WBE):
At least 51% is owned by women, or in the case of a publicly owned enterprise, a business enterprise in which at least 51% of the voting stock is owned by women; or any business enterprise that is approved or certified as such for purposes of participation in contracts subject to women-owned business enterprise requirements involving federal programs and federal funds.

Minority Business Enterprise (MBE):
At least 51% is owned by minority group members; or in the case of a publicly owned enterprise, a business enterprise in which at least 51% of the voting stock is owned by minority group members; or any business enterprise that is approved or certified as such for purposes of participation in contracts subjects to minority business enterprises requirements involving federal programs and federal funds.

Corporation:
An artificial legal entity treated as an individual, having rights and liabilities distinct from those of the persons of its members, and vested with the capacity to transact business, within the limits of the powers granted by law to the entity.

Partnership:
An agreement under which two or more persons agree to carry on a business, sharing in the profit or losses, but each liable for losses to the extent of his or her personal assets.

Individual:
Self-explanatory

For certification in one of above, the bidder must contract:
L. Jay Burks
Office of Minority and Women Business Enterprise
(302) 739-4206
Fax (302) 739-1965

Appendix

L. Bidder Project Experience

Delaware Health and Social Services

Bidder Project Experience

Client	
Contact Name	
Telephone No.	
Location Street Address/City State/ZIP	
Location City/State	
Type of Facility	
Comparable Project Experience	
Current Status (WIP/Complete)	
Original Budget	
Completed Budget	
Original Schedule	
Completed Schedule	
Comments:	
Use one page per client. All clients will be used as references and all projects must be completed or work in progress. For projects in progress, state the estimated final budget and schedule dates based on current status. The Contact must be an administrative or managerial customer reference familiar with the bidder's performance.	

Appendix

M. Deliverable Acceptance Request (DAR)

DELAWARE HEALTH
AND SOCIAL SERVICES

Deliverable Acceptance Request (DAR)

Division Name:	
Project Name:	
Project Phase:	
Project Manager:	
Vendor:	
Vendor Project Manager:	

Deliverable Name:	
Delivery Date:	
Expected Date of Response:	
Actual hours worked and Cost incurred:	

Narrative of findings:

Division Program Name:	**Signature:**	**Date:**
Div. IT Liaison Name:	**Signature:**	**Date:**
IRM Name:	**Signature:**	**Date:**

Appendix

N. Bidder Contact Information

Delaware Health and Social Services
Request for Proposal

Bidder Contact Information

The following information must be filled out for firms interested in bidding on this RFP. This letter has a strict submission deadline date prior to the submission of a proposal. Proposals submitted without prior submission of this form will not be opened. Multiple bidder contacts may be specified.

Bidder Contact(s)

Contact Name	
Email Address	

Authorized Vendor Representative

Printed Name	
Signature	
Phone Number	

Appendix

O. DTI Confidentiality and Non-Disclosure Agreement

DEPARTMENT OF TECHNOLOGY AND INFORMATION
William Penn Building
801 Silver Lake Boulevard
Dover, Delaware 19904

CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

This Confidentiality and Non-Disclosure Agreement ("Agreement") is entered into by and between the Department of Technology and Information (DTI) and ("Recipient"). Whenever used in this Agreement, the term Recipient will mean a Contractor, Vendor, Agency, School District, and or Individual.

Recipient acknowledges that DTI has certain confidential or sensitive information and or material. Recipient requires access to this information and or material for purposes specified herein. DTI agrees to release this information to Recipient for those purposes pursuant to the terms and conditions contained in this Agreement. Recipient agrees to the terms and conditions herein.

NOW THEREFORE, in consideration of the above premises and the promises contained herein, the parties agree as follows:

1. Whenever used in this Agreement, the term "Confidential Information" will mean (i) information exempt from disclosure to the public or other unauthorized persons: or (ii) information related to the DTI's network, its architecture and network security unless otherwise identified as non-confidential at the time of disclosure; or (iii) any other information which DTI has identified to Recipient in writing as confidential at the time of disclosure or within thirty (30) days after disclosure; or (iv) information which would ordinarily be considered confidential or proprietary in the light of the circumstances surrounding disclosure. Confidential Information may take the form of (but is not limited to) plans, calculations, charts, concepts, know-how, inventions, licensed technology, design sheets, design data, diagrams, system design, materials, hardware, manuals, drawings, processes, schematics, specifications, instructions, explanations, research, test procedures and results, equipment, identity and descriptions of components or materials used, or any other material or information supplied by or on behalf of DTI or that is disclosed to or becomes known by Recipient as a result of it dealings with DTI. Confidential Information may be tangible or intangible, electronic, microfilm, tape, and or disk form. Confidential Information may also include information disclosed to a party by third parties at the direction of DTI. DTI's failure to expressly identify Confidential Information as such shall not in any way lessen or negate Recipient's obligation to keep such information confidential in accordance with this Agreement.
2. Notwithstanding the foregoing, the term "Confidential Information", shall not be construed to include information that is (i) is or becomes readily available in public records or documents, other than as a result of a disclosure by Recipient or other entity acting on behalf of Recipient, or (ii) which can be documented to have been known by Recipient prior to its disclosure by DTI, or (iii) which is disclosed pursuant to applicable law, judicial action, or government regulations.

3. The Recipient acknowledges that the Confidential Information is confidential and proprietary information of DTI and that its protection is essential to the security and mission of DTI. The purpose this agreement is to enable DTI to make disclosure of the Confidential Information to the Recipient while still maintaining rights in the and control over the Confidential Information. The purpose is also to preserve confidentiality of the Confidential Information and to prevent is unauthorized disclosure. It is understood that this agreement does not grant Recipient an express or implied license or an option on a license or any other right to or interests in the Confidential Information.

4. The Recipient shall, and require its employees, officers, independent contractors, and subcontractors and any other entities acting on its behalf (collectively "Affiliates") to:
    a. Copy, reproduce, or use Confidential Information only for the purpose described herein and not for any other purpose unless specifically authorized to do so in writing by DTI; and
    b. Not permit any other person to use or disclose the Confidential Information for any purpose other than those expressly authorized by this Agreement; and
    c. Disclose such Confidential Information only to those of it Affiliates who require knowledge of the same for the purpose described in herein; provided such Affiliates are obligated to maintain the confidentiality of the Confidential Information and otherwise comply with the terms of this Agreement; and
    d. Implement physical, electronic, and managerial safeguards to prevent unauthorized access to or use of Confidential Information, including without limitation, providing Affiliates a copy of the terms of this Agreement. Such restrictions will be at least as stringent as those applied by the Recipient to its own most valuable confidential and proprietary information.
5. The acts or omissions of Recipient's Affiliates with respect to the Confidential Information shall be deemed to be acts or omissions of Recipient.
6. Recipient will not remove, obscure, and or alter any confidentiality and or trade secret notation from the Confidential Information without DTI's prior written authorization.
7. Confidential Information will remain the exclusive property of DTI; upon completion of the project described in Section 1, or whenever requested by DTI, Confidential Information and all copies thereof, including summaries, reports or notes based thereon, unless otherwise expressly authorized by DTI in writing will be returned to DTI.
8. Recipient agrees that the breach of the terms of this Agreement would cause irreparable damage to DTI. Therefore, Recipient agrees that if it should breach its obligations hereunder, Recipient will defend, indemnify, and hold DTI harmless from actual damages from losses that result from its breach. This includes attorneys' fees and cost of suit. Also, DTI has the right to seek an order to restrain Recipient from breaching this agreement. If DTI does seek such an order, Recipient agrees at this time to waive any claim or defense that DTI has an adequate remedy at law or in damages.
9. This Agreement sets forth the entire agreement of the parties with respect to the use and disclosure of the Confidential Information and may be modified only by a writing signed by both parties. This Agreement will be construed an enforced in all respects in accordance with the laws of the State of Delaware.
10. Term. The Term of this Agreement shall be three years from the date of the last signature, provided however, the obligations of confidentiality shall continue and survive this Agreement.

Signed on behalf of (the Recipient)

BY DATE

TITLE

Req #	Description of Requirement	Vendor Response	Comments
System Overview			
SYO.1	The system will automate the background check process for long term care applicants and employees and consolidate the process into one single integrated DBCS by establishing interfaces with existing systems with various registries, federal and state criminal history, warrant files and drug test facilities.		
SYO.2	The system will ensure timely processing of applicants, streamline the DBCS process, improve hiring decisions and expedite the employment decision-making.		
SYO.3	The system will interface with various data sources to conduct background checks to automate the process.		
SYO.4	The system will have the capability to perform a Quick Applicant Check that automatically checks various data sources by sending the required data elements through the interfaces established with the DBCS.		
SYO.5	The system will have a Dashboard that will be used to easily initiate a background checks and view results including those posted from the Rap Back System.		
SYO.6	The system will maintain an Active Employee List for each employer which will become part of the Master Employee List.		
SYO.7	The system will interface with the State's Rap Back System using a Master Employee List populated by the Long Term Care Employers.		
SYO.8	The system will be a custom developed Web-based application with public website features such as a homepage with drop down and side menus to be accessed concurrently and compliant with DHSS and DTI common look and feel.		

Req #	Description of Requirement	Vendor Response	Comments
SYO.9	The system will automate the generation of drug tests and criminal history consent form request, service letters, CBC letters, and electronically distribute them to the appropriate recipients, resulting in a paperless system.		
SYO.10	The system will be paperless and have the ability to generate system documents that will be stored, retrieved, uploaded, and viewed in PDF.		
SYO.11	The system will establish an automated task oriented workflow for the LTCRP staff, specifically administrators and investigators which will streamline work processes.		
Technical			
TEC.1	The system is a web application developed using Microsoft .Net technologies and hosted in Microsoft IIS 7.0 or later.		
TEC.2	The system will use SSL Encryption (HTTPS Protocol).		
TEC.3	The system will have a three tier application architecture consisting of Presentation Logic, Business Logic and Data Tiers.		
TEC.4	The system will allow for access to the Presentation Logic Tier via the internet.		
TEC.5	The system will have an IIS Server that will be protected by a firewall.		
TEC.6	The system will have a Database Server protected by a firewall.		
TEC.7	The system should have a database platform consisting of Microsoft SQL Server 2008 R2 Enterprise Edition.		

Req #	Description of Requirement	Vendor Response	Comments
TEC.8	The system will use Microsoft Windows Server 2003 for both IIS Server and Database Server.		
TEC.9	The system will be constructed to take into account the need for appropriate disaster recovery, replication and maintenance processes.		
TEC.10	The system must be compatible with various browsers such as Internet Explorer, Safari, Firefox and in compliance with DTI Browser Standards.		
TEC.11	The system will have database replication for off-line reporting.		
TEC.12	The system must be capable of sending e-mail using the State's SMTP e-mail capabilities.		
TEC.13	The system will handle concurrency without performance degradation for at least 200 concurrent connections.		
TEC.14	The system will have the ability to provide data validation and prevent the entry of invalid data by users.		
TEC.15	The system must validate that all required fields are entered prior to the submission of the electronic application.		
TEC.16	The system will contain robust error handling and will provide clear and meaningful error messages to users.		
TEC.17	The system must eliminate duplicate data entry.		
TEC.18	The system will track unauthorized attempts to access the system.		
TEC.19	The system will have the ability to import and export data from (or to) standard file formats such as XML, MS Word, MS Excel and MS Access.		

Req #	Description of Requirement	Vendor Response	Comments
TEC.20	The system will have the ability to post data in a real-time fashion.		
TEC.21	The system must have concurrent access to data files.		
TEC.23	The system will not convert and input any data from the existing CBC system.		
TEC.24	The system will have a link to the old CBC system and data will be viewed as Read only.		
TEC.25	The system will provide the capability for email notification of Drug Test Results Received; Child Protection Registry Response Received; Service Letter on Active Application Received; Service Letter on Former Employee Requested; State Criminal History Received; Federal Criminal History Received; Rap-Back Notification Received; LTCRP Determination Letter Received; Low Accounting Usage Balance and any others identified by DHSS/LTCRP.		
TEC.26	The system has the ability to provide event-driven notifications by email.		
TEC.27	The system will include an audit trail that records and maintains significant transactions.		
TEC.28	The system will have a History Transaction and Audit Screen Form available to certain authorized users.		
Multitier Security			
MTS.1	The system must be password protected and must be in compliance with federal security standards, state security and privacy regulations, HIPAA and DTI Standards.		

Req #	Description of Requirement	Vendor Response	Comments
MTS.2	The system will provide for encryption to protect the confidentiality of information and shall follow the rules outlined in the State's Data Classification Policy and Secure File Transport and Secure Email Standard and Mobile Devices Encryption Standard.		
MTS.3	The system will have the ability to manage all security and allow a System Administrator to add and change user names, passwords, and permissions, and control the access rights of users through a secured module.		
MTS.4	The system will have an audit trial that records the user ID and IP addresses.		
MTS.5	The system will have the ability to use disk, tape and other media for backups.		
MTS.6	The system must be able to automatically generate temporary passwords for certified users, and force user to change it on their first subsequent login.		
MTS.7	The system must encrypt all passwords and store passwords in encrypted form.		
MTS.8	The system will incorporate the ability to control the access rights of users.		
MTS.9	The system will provide security based upon roles, groups, and polices within multi-level organizational hierarchies.		

Req #	Description of Requirement	Vendor Response	Comments
MTS.10	The system must adhere to the State of Delaware Security Standards as outlined in DTI's State of Delaware Information Security Policy and also the DHSS Information Technology Publications. http://dhss.delaware.gov/dhss/dms/irm/vendorsvcs.html		
General System			
GEN.1	The system will provide an indicator when the system is processing.		
GEN.2	The system provides drill down capability on all screens.		
GEN.3	The system will have spell check capability.		
GEN.4	The system must provide ability to update internal reference tables by the administrator.		
GEN.5	The system will have a unique name for each screen.		
GEN.6	The system will maintain an Applicant ID which is a unique identifying number for each applicant.		
GEN.7	The system will maintain a Dashboard Transaction ID – Unique Identifying number for each request on an applicant.		
GEN.8	The system will maintain a SBI Number which is a unique identifying number for an applicant's fingerprint.		
GEN.9	The system has the ability to provide drop down boxes and "pick list" for data selection.		
GEN.10	The system must provide the ability to capture other names such as Alias, Maiden Name, and Legal Name.		
GEN.11	The system will provide the capability to login and logout from anywhere within the system.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

GEN.12	The system will provide navigational links to related screens.		
GEN.13	The system will have the capability to be one to two mouse clicks away from any page or screen form in the system.		
GEN.14	The system will use United States Postal Service (USPS) standards for the formatting of address information on all Printed Notification to be mailed.		
GEN.15	The system will provide a visual indicator of required fields.		
GEN.16	The system will provide a consistent appearance throughout the application, by use of cascading style sheets and templates/Master Pages. These must be in compliance with DTI and DHSS common look and feel standards.		
GEN.17	The system will provide a unique visual indication (e.g., grayed out) for read-only fields.		
GEN.18	The system will provide sort by column functionality for all data grids used.		
GEN.19	The system must provide pre-defined (canned) notes for standard and frequently entered comments.		
GEN.20	The system will use email for notification on background check outcomes, determinations and other letters, forms, etc.		
GEN.21	The system will have an adaptable structure for future enhancements and modifications to the system.		
GEN.22	The system maintains a record of any change to a Criminal History Check Application.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

Search Capabilities			
SEA.1	The system will have Advanced Search Capability with Applicant Lookup (LTCRP only), for employers, employees, applicant, applications, background checks, investigative searches or any components of the system that will need to retrieve and display needed data.		
SEA.2	The system will have the capability for a Quick Applicant Check that automatically checks various data sources by sending certain required data elements through the interfaces established with DBCS.		
SEA.3	The system will ensure that all text searches are not case sensitive.		
SEA.4	The system will provide the capability to conduct searches by multiple criteria (e.g. full/partial name, etc.).		
SEA.5	The system must be able to search text on full or partial names.		
SEA.6	The system must sort search results by any given field heading on the list.		
SEA.7	The system provides capability to search for an employer and to display related data in the system associated with that employer.		
SEA.8	The system provides capability to search for an employer, and to display related activity in the system associated with that employer.		
SEA.9	The system will provide the ability to search for employers using current employer names, and the ability to search employment applications using employer previous names (through storage of employer name in the application as the name that was in FMS at the time the application was created).		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

Public Website			
PWS.1	The system will be a Web-based application with public website features such as a homepage with drop down and side menus to be accessed concurrently and compliant with DHSS and DTI common look and feel.		
PWS.2	The system will have a Website for the public to obtain general information about the background check process and for employers to gain access to the DBCS.		
PWS.3	The system will have a secure public website with an Employer Login Section allowing employers to access the DBCS with unique usernames and strong passwords. (This section must comply with DTIs security standards regarding usernames and passwords).		
PWS.4	The system will have a secure public website that utilizes templates/master pages with cascading style sheets (CSS) to ensure consistency of formatting throughout the website.		
PWS.5	The system will have a secure website that needs to be maintained with consistent multiple screen resolution.		
PWS.6	The system will have a secure public website with an Introduction Page that contains a brief overview for applicants and employers on the background check process.		
PWS.7	The system will have a secure public website with a General Information Page that will contain a brief overview of the DBCS.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

Req #	Description of Requirement	Vendor Response	Comments
PWS.8	The system will have a secure public website with a section where Employers can establish their own Employers Organizational Information Section that contains information about their organization.		
PWS.9	The system will have a secure public website with a Policies Section that outlines the Division policies on the background check process.		
PWS.10	The system will have a secure public website that will have a list of Frequently Asked Questions that will be developed by the Division.		
PWS.11	The system will have a secure public website with a User Manual that shall provide a brief demo on how to use the Background Check System.		
PWS.12	The system will have a secure public website with Searchable Help that provides users with help on using the DBCS.		
PWS.13	The system will have a secure public website that will display a Legal Statement provided by the division.		
PWS.14	The system will have a secure public website that will require thorough and comprehensive cross browser testing to ensure that the website works and displays correctly for all users.		
Applicant and Employer Profile Data			
PRF.1	The system will establish an Applicant Profile to add, edit and maintain demographic information such as name, address, DOB, phone number, etc. that will be used to conduct background checks.		

PRF.2	The system will establish an Employer Profile to add, edit and maintain demographic information such as employer name, employer address, and phone number and will be used to conduct background checks and other DBCS transactions (through refreshing of the Employer Table from the FMS).		
PRF.3	The system will display Applicant information by employer including applicant ID, first name, middle name, last name, social security number, license number, certification number, certification expiration, and date of birth.		
PRF.4	The system will maintain employer contact information such as contact name, address, contact person, contact phone, fax, and email.		
PRF.5	The system has the ability to allow online entry and maintenance of applicant and employer data.		
PRF.6	The system will track Employee Work History by employer, hire date, occupation category, and separation date.		
PRF.7	The system must provide the ability to maintain and display a summary of a new applicant's profile.		
PRF.8	The system will have the capability to withdraw an application at any time while it is being processed.		
PRF.9	The system will have the ability to maintain and view current and historical information regarding the applicant.		
PRF.10	The system will need to have the ability to maintain current information regarding employer contact details for LTCRP.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

Req #	Description of Requirement	Vendor Response	Comments
PRF.11	The system maintains history of any status change to an applicant.		
PRF.12	The system will provide the ability to select existing applicant profiles or create a new applicant profile, to associate with the application.		
PRF.13	The system will provide the ability to track the time elapsed from creation of an employment application, generate a reminder e-mail when two-thirds of the "administrative closure" period has passed, administratively close the application at the end of the "administrative closure" period, and send an e-mail notification to the Employer when an administrative closure occurs."		
PRF.14	The system will generate a Service Letter as a way to view employment information and send comments regarding past employment between employers.		
Registry Checks			
REG.1	The system will contain an automated Quick Applicant Check capability that will query various registries for an applicant match by electronically passing the applicant demographic information to each registry and then capture the registry results and display the outcomes. Upon completion of the check, a set of three radio buttons are enabled and one labeled "Pending" is selected by the system. The user then has the option to click the Yes (disqualified) or No (not disqualified) buttons.		

REG.2	The system must capture registry outcomes before requiring a drug test or criminal history test.		
REG.3	The system must provide the ability to display which registry checks were conducted for an application.		
REG.4	The system must capture registry check determination data for Employers.		
REG.5	The system must include fitness determination which contains disqualifying information.		
REG.6	The system must track and maintain application dates and statuses throughout the entire process.		
REG.7	The system will capture and store notes which include unlimited text.		
REG. 8	The system must provide capability to capture multiple notes per record on each subject area.		
REG. 9	The system must be able to provide a review history of all prior fitness determinations for an applicant.		
Dashboard and Views			
DBV.1	The system will provide a dashboard that consists of key information and functionality required to perform background checks.		
DBV.2	The system will have a Dashboard that will be used to easily initiate background checks and view results including those posted from the Rap Back System.		
DBV.3	The system will have a dashboard that will organize the applicant data and background check process in a consolidated view.		
DBV.4	The system will display information in an Employer View, Investigator View, Supervisor View and Management View when they access the website.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

Req #	Description of Requirement	Vendor Response	Comments
DBV.5	The system will have the capability to capture data from automated queries of Data Sources, DELJIS databases (query types include: Criminal Records) and view the results on a dashboard.		
DBV.6	The system will also display the status of the various background checks in progress in the dashboard.		
DBV.7	The system will display information such as drug test results, criminal history records and criminal background check determination letters in the dashboard.		
DBV.8	The system will allow the employer to manage all profile and contact information through the dashboard.		
DBV.9	The system will record transactions for each background check conducted through the dashboard.		
DBV.10	The system must have the capability of sending DBCS's applicant demographic information to all registries, DHIN, CJIS, and the DSP at the time of fingerprinting.		
DBV.11	The system must be capable of retrieving applicant drug test data from the DHIN through the use of the DHIN-Medicity Novo Grid architecture.		
DBV.12	The system will display Drug Test information on the Dashboard in a HIPAA formatted PDF drug test report that will be captured in the DBCS as a snapshot, for retrieval on demand.		
DBV.13	The system will provide for employers to review Rap-Back notifications on their dashboard and receive automatic notifications of Rap-Backs by e-mail.		

DBV.14	The system will store the drug test data with the applicant's screening information.		
DBV.15	The system must also be capable of viewing criminal history reports PDFs on the DSP Server without saving them to the DBCS.		
DBV.16	The system must provide ability to print criminal history and drug test request forms.		
DBV.17	The system provides capability to search for an applicant and to display all related data in the system associated with that applicant.		
DBV.18	The system will provide the capability for the employers to view and exchange employment history through the dashboard including the distribution of Service Letters.		
LTCRP Workflow			
LWF.1	The system will have automated workflow procedures to provide a more efficient background check process and interaction between the investigators, supervisors, management and administrative assistants in the performance of their duties.		
LWF.2	The system must be able to provide workflow management capabilities and manage the tasks to be performed for investigators, supervisors and administrative assistants.		
LWF.3	The system will have a Task List for LTCRP staff.		
LWF.4	The system will track required timelines, due dates and provide alerts for deadlines to perform specific important tasks.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

LWF.5	The system must track and maintain key dates as the application is processed and provide flags to advise LTRCP of imminent actions, deadlines, etc.		
LWF.6	The system must provide the ability to capture the status of an applicant (e.g. pending approval, approved, suspended, active, etc.).		
LWF.7	The system will automatically assign applicants to an investigator's work list for review upon receipt of the criminal history report from SBI.		
LWF.8	The system will automatically assign the cases to an investigator on a rotating basis unless the investigator previously handled the applicant.		
LWF.9	The system will return criminal history findings including but not limited to disqualifying charges, missing dispositions and outstanding arrests.		
LWF.10	The system will provide the capability to view all Criminal History Records Check Requests.		
LWF.11	The system will have the ability to record a criminal history determination as No Convictions Found; No Disqualifying Conviction(s) Found: Disqualifying Conviction(s) Found and pending.		
LWF.12	The system will allow investigators to record the findings of the criminal history checks and will generate a determination letter for the employer and/or applicants.		
LWF.13	The system will assign applications to the administrative assistant where interpretation of federal charges is needed.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

LWF.14	The system will provide the capability for the administrative assistant to generate a determination letter in case where the interpretation of federal charges is needed.		
LWF.15	The system will remove the application from the investigator's work list once a final determination letter is issued.		
LWF.16	The system will mark as "pending work assignments" in each investigator's work list those applicants with potentially disqualifying arrests who are awaiting trial and need further follow-up.		
LWF.17	The system will monitor investigators' pending applicants to determine if the disposition of their case results in a disqualifying conviction.		
LWF.18	The system will provide the ability to include custom comments or narrative in the screens.		
LWF.19	The system will have the ability to create a list of predetermined notes with narrative associated by subject area that will be available through a drop down pick list for users.		
LWF.20	The system must provide the ability to sort list of notes associated with a subject area by the available note fields.		
LWF.21	The system must identify LTCRP investigators assigned to an application along with the date of assignment.		
LWF.22	The system will provide a work list of all applicants assigned to each LTCRP investigator.		
LWF.23	The system must provide the ability to track assigned applicants to a LTCRP investigator.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
LWF.24	The system will provide the supervisor the ability to manage investigator's workloads.		

LWF.25	The system will provide supervisors with the ability to re-assign any applicant reviews.		
LWF.26	The system will provide supervisors the ability to temporarily remove an investigator from the rotation.		
LWF.27	The system will provide the supervisors with all the capabilities of an investigator.		
LWF.28	The system will track and display the elapsed processing time for each application.		
LWF.29	The system will have the capability to view an online statistical summary of in-process criminal records checks by elapsed processing days in ascending or descending order.		
Rap Back System			
RBS.1	The system will interface with the State's Rap Back System to receive notifications of new activity on the criminal history records of all employees currently working in the Long Term Care Facilities and automate the notification of any new arrests for active employees.		
RBS.2	The system will establish a Master Employee List of all those currently working in LTCRP facilities so any employee's criminal history can be automatically checked periodically via the Rap Back System for any new arrest.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
RBS.3	The system will have the capability for the employers to activate employees for the Rap Back System by entering a hire date in the Master Employee List.		

RBS.4	The system will have the capability for the employers to deactivate employees for the Rap Back System by entering a separation date in the Master Employee List.		
System Generated Documents			
SGD.1	The system will be as paperless as possible.		
SGD.2	The system must have the ability to generate, store, retrieve, display, upload PDFs and print system documents on demand.		
SGD.3	The system will have document templates for system generated documents.		
SGD.4	The system will retrieve data from the database to populate a template from predetermined fields from the database.		
SGD.5	The system will have the capacity to create document templates as needed.		
SGD.6	The system will populate a user-selected letter template.		
SGD.7	The system must maintain, store, and cross reference all documents as PDF by applicant, employer, registry, DELJIS, SBI and date created.		
SGD.8	The system will provide the capability to select and generate the determination letter from a list of templates.		
SGD.9	The system must have a print preview capability.		
SGD.10	The system will generate automated documents, letters, labels and forms.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
SGD.11	The system will have the ability to retrieve; store, archive and print system generated and uploaded documents.		

SGD.12	The system will "Date Stamp" all system generated and uploaded documents.		
SGD.13	The system will provide the capability to establish, edit and store new templates for the generation of electronic documents as needed.		
SGD.14	The system will provide the capability for inserting signature images into letter templates.		
SGD.15	The system will incorporate the capability for employers to print out drug test request forms that include the DBCS Applicant ID number and Employer ID number.		
SGD.16	The system will store system generated documents and images.		
SGD.17	The system will have the ability to print system generated mailing labels of both applicants and employers based on system profile records.		
Billing and Accounting			
SGD.18	The system will provide the ability to generate a mass email list based on user selected criteria (such as occupation, employer etc.).		
SGD.19	The system will provide the ability to generate a mass mailing list based on user selected criteria (such as occupation, employer etc.).		
SGD.20	The system must provide for employers the ability to withdraw an application electronically.		
BAA.1	The system will have an Accounting Records Module that will provide the ability to track employer usage of the DBCS.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
BAA.2	The system will display application specific information such as service fees, purchase quantity, user's current balances and other payment information on the secured website.		

BAA.3	The system will provide the ability for employers to establish an account to maintain funds to pay for DBCS Fees and services by credit card through an online E-Payment system used by the State.		
BAA.4	The system will provide the capability to process E-Payments so employers can pay fees online using a credit card.		
BAA.5	The system will provide the ability to track each background check conducted in conjunction with employer payments made through E- Payment.		
BAA.6	The system must record the amount of each E- Payment for background checks and services by employer.		
BAA.7	The system will use V-Relay to establish an interface with a payment transaction processing system called Velocity to process all E- Payments.		
Reporting			
BAA.8	The system will hand off user communication to DBCS branded pages on the Velocity Payment System.		
BAA.9	The system will provide the employers E-Payment account balances online.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
BAA.10	The system must be capable of sending email notifications when an employer's balance reaches a defined minimum amount that is adjustable by the system administrator.		

Req #	Description of Requirement	Vendor Response	Comments
BAA.11	The system will block Background checks for employers when their balance is insufficient to cover the defined amount for that background check.		
BAA.12	The system must be capable of viewing employer account summaries and overall system activity online.		
BAA.13	The system has the ability to view history of employer's fee payment to DBCS.		
REP.1	The system will have canned and ad-hoc reports with charts, graphs and statistical presentation of data.		
REP.2	The system shall provide authorized users with the ability to run canned reports with appropriate reporting parameters (such as date range, employer, occupation etc.).		
REP.3	The system will perform mathematical calculations such as add, subtract, multiply, divide and perform statistical analysis such as percentages, median, standard deviation, means, etc.		
REP.4	The system will track the number of days between the date the criminal history records check was initiated and the date the Final hiring decision was made, the number of days between application creation date and hire date, and other important processing time intervals.		
REP.5	The system will generate productivity reports for all investigators as well as individual reports for specific employers.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
REP.6	The system will have the capability to view reports before printing.		
REP.7	The system will generate accounting reports such as fee revenues generated by employers.		

REP.8	The system will calculate the elapsed time between the dates the background check was requested and when it was completed.		
REP.9	The system will report the number and percentage of background checks by investigator for any given period of time.		
REP.10	The system must be capable of generating reports on individual employer account summaries and overall system activity.		
REP.11	The system will report the number and percentage of background checks requested by employer for any given period of time.		
REP.12	The system will produce specific reports including: Applicants by Employer, Percentage of Applicants Processed within 4 Days, Duplicate Fingerprint Listing, Facilities with CBC Requests, Facilities with No CBC Requests, Employer Fingerprinting Payment/Non Payment List, Investigator Workload, Summary by Outcome; Monthly Background Report, and Background Check Revenue Report.		
System Interfaces			
SYI.1	The system will provide an interface with the Delaware Adult Abuse Registry (AAR), using web services.		
SYI.2	The system will provide a web service interface to maintain synchronization of data in the DBCS Employer table with the data in the FMS database.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**
SYI.3	The system will provide an interface with the Delaware Division of Professional Regulations Online License Verification Service (Pro Reg.), using web services.		

SYI.4	The system will provide an interface with the Delaware Health Information Network (DHIN), using the DHIN Novo Grid software.		
SYI.5	The system will provide an interface with the Nurse Aide Registry (NAR), using web services.		
SYI.6	The system will provide an interface with the Sex Offender Registry (SOR), using web services.		
SYI.7	The system will provide an interface with the Delaware Criminal Justice Information System Online Wanted Person Review, using web services.		
SYI.8	The system will provide an interface with the Department of Services for Children, Youth and their Families Child Protection Registry (DSCYF), using web services.		
SYI.9	The system will provide an interface with the Delaware State Police (DSP), using web services.		
SYI.10	The system will provide an interface with the Health and Social Services IRM Integrated authorization system Delaware (ISS), using Active Directory.		
SYI.11	The system will provide a web service interface to maintain synchronization of data in the DBCS Employer table with the data in the FMS database.		
Req #	**Description of Requirement**	**Vendor Response**	**Comments**

SYI.12	The system will provide an interface with the State's Rap Back System to routinely check the criminal history records of all employees currently working in the Long Term Care Facilities and automate the notification of any new arrests for active employees, using web services.		
Rules			
RUL.1	All applicants must have a mandatory State and Federal Criminal History Check completed prior to hire.		
RUL.2	All applicants must have a mandatory Drug Test completed prior to hire.		
RUL.3	All applicants must have a mandatory Child Protection Check completed prior to hire.		
RUL.4	The system must capture the test date and outcome of a drug test from DHIN.		
RUL.5	The system must record the date DELJIS Criminal History Check was conducted (date).		
RUL.6	The system will have a protocol where the free registries are checked first through the Quick Applicant Check before any other background check is conducted.		
RUL.7	The system must not record or store passwords on paper or electronically except in encrypted form.		
RUL.8	The system must encrypt all passwords.		
RUL.9	The system must allow entry of an SBI Fingerprint date.		
RUL.10	The system will allow employers to designate a Contact Person.		
RUL.11	The system will limit employers edit rights to active applicant profiles.		
RUL.12	The system will not allow employers to edit Social Security Numbers and DOB and only LTCRP can edit those fields in an applicant profile.		

Req #	Description of Requirement	Vendor Response	Comments
RUL.13	The system must be able to provide the employers with the capability to modify their contact information (phone, e-mail, etc.).		
RUL.14	The system must associate an applicant to one or many applications.		
RUL.15	The system requires that the application occupation type be recorded.		
RUL.16	The system will require a SSN in order to process an application and will not allow duplicate SSN.		
RUL.17	The system must identify the reason for the fingerprint request. Reasons must correspond with designated DELJIS “type” codes.		
RUL.18	The system must not allow users to proceed past the Quick Applicant Check without an uploaded signed consent form, for the child protection registry, drug testing, and fingerprinting		
RUL.19	The system will provide for Applicant Service Letters to be available for employers with up to 5 years past employment information.		
RUL.20	The system disables the view of Applicant Service Letters after five years for employers.		
RUL.21	The system shall maintain accurate, ongoing work history (DBCS employment information) for hired applicants.		
RUL.22	The system must provide the ability to backup encryption keys, encryption procedures, and encryption software to ensure recoverability.		
RUL.23	The system maintains history of any status changes to an application.		
RUL.24	The system must generate a unique dashboard transaction number for each application.		

Req #	Description of Requirement	Vendor Response	Comments
RUL.25	The system must maintain a hierarchical relationship that associates the Corporate Employer with its Subordinate Facilities.		
RUL.26	The system must supply employers with a unique applicant ID and dashboard transaction number for each Employment Application created.		
RUL.27	The system will have the option for employers to designate an email address to receive notifications.		
RUL.28	The system must not allow an employer to select a registry check decision (yes or no) prior to selecting the "check registry button".		
RUL.29	The system must record the hiring decision.		
RUL.30	The system must administratively close an application after a defined period if there is no pending activity. The length of the defined period must be adjustable by the system administrator.		
RUL.31	The system must only allow LTCRP investigative staff to view federal criminal history reports.		
RUL.32	The system will require the employer to enter a hire and separation for all employees on their Active Employee List.		
RUL.33	The system search must check all aliases on all new and active applications.		
RUL.34	The system must provide ability to associate alias names for an applicant (e.g. name changes due to marriage).		

RUL. 35	A determination result must accompany all Registry Checks: • Eligible • Ineligible • Pending • Disqualified but Waived		
RUL.36	A fingerprint collection date must accompany each criminal background check.		
RUL. 37	An indicator is required that will determine if fingerprints were scanned electronically or from a print card.		
RUL.38	A request date for SBI Criminal Background Check must accompany record.		
RUL.39	A request date for FBI Criminal Background Check must accompany record.		
RUL.40	A fingerprint rejection date needs to be captured within the database.		
RUL.41	A criminal background check report receipt date needs to accompany record for the SBI report.		
RUL.42	A criminal background check report receipt date needs to accompany record for the FBI report.		
RUL.43	A status code is required for each record waiting for a disposition.		
RUL.44	A status code and date is required for any applicant that voluntarily withdraws their name from employment consideration.		

RUL.45	In the case of an appeal, the following data elements must be captured: • Appeal Date • Status – Appeal in progress, Appeal decision • Appeal Type – Error or rehab • Appeal Decision – eligible, ineligible, pending, disqualified but waived • Appeal result notification date		

Appendix Q
States Sex Offender Registries

STATE	Sex Offender Websites
Alabama	http://community.dps.alabama.gov/Pages/wfSexOffenderSearch.aspx
Alaska	http://www.dps.state.ak.us/Sorweb/Search.aspx
Arizona	http://www.azdps.gov/Services/Sex_Offender/Search/
Arkansas	http://www.acic.org/offender-search/index.php
California	http://www.meganslaw.ca.gov/disclaimer.aspx?lang=ENGLISH
Colorado	http://sor.state.co.us/?SOR=offender.list
Connecticut	http://www.communitynotification.com/cap_office_disclaimer.php?office=54567
DC	http://sexoffender.dc.gov/
Florida	http://offender.fdle.state.fl.us/offender/
Georgia	http://gbi.georgia.gov/00/channel_modifieddate/0,2096,67862954_87983024,00.html
Hawaii	http://hawaii.gov/ag/hcjdc/main/sex_off_info/
Idaho	http://isp.idaho.gov/sor_id/
Illinois	http://www.isp.state.il.us/sor/
Indiana	http://www.icrimewatch.net/index.php?AgencyID=54663
Iowa	http://www.iowasexoffender.com/
Kansas	http://www.accesskansas.org/kbi/ro.shtml
Kentucky	http://kspsor.state.ky.us/
Louisiana	http://www.lsp.org/socpr/default.html
Maine	http://sor.informe.org/sor/
Maryland	http://dpscs.md.gov/onlineservs/socem/default.shtml
Massachusetts	**Paper Request**
Michigan	http://www.mipsor.state.mi.us/
Minnesota	http://www.doc.state.mn.us/level3/Search.asp
Mississippi	http://www.sor.mdps.state.ms.us/sorpublic/hpsor_search.aspx
Missouri	http://www.mshp.dps.mo.gov/MSHPWeb/PatrolDivisions/CRID/SOR/SORPage.html
Montana	http://doj.mt.gov/svor/
Nebraska	http://www.nsp.state.ne.us/sor/
Nevada	http://www.nvsexoffenders.gov/sorstart.aspx
New Hampshire	http://www4.egov.nh.gov/nsor/
New Jersey	http://www.njsp.org/info/reg_sexoffend.html
New Mexico	http://www.nmsexoffender.dps.state.nm.us/servlet/hit_serv.class
New York	http://www.criminaljustice.state.ny.us/nsor/index.htm
North Carolina	http://sexoffender.ncdoj.gov/disclaimer.aspx
North Dakota	http://www.sexoffender.nd.gov/

Appendix Q
States Sex Offender Registries

STATE	Sex Offender Websites
Ohio	http://www.drc.state.oh.us/OffenderSearch/Search.aspx
Oklahoma	http://docapp8.doc.state.ok.us/servlet/page?_pageid=190&_dad=portal30&_schema=PORTAL30
Oregon	http://sexoffenders.oregon.gov/
Pennsylvania	http://www.pameganslaw.state.pa.us/EntryPage.aspx
Puerto Rico	**Under Construction**
Rhode Island	http://www.paroleboard.ri.gov/sexoffender/agree.php
South Carolina	http://www.icrimewatch.net/index.php?AgencyID=54575&disc=
South Dakota	http://sor.sd.gov/
Tennessee	http://www.tbi.tn.gov/sex_ofender_reg/sex_ofender_reg.shtml
Texas	https://records.txdps.state.tx.us/DPS_WEB/SorNew/index.aspx
Utah	http://corrections.utah.gov/services/sonar.html
Vermont	https://secure.vermont.gov/DPS/sor/agreement.php
Virginia	http://sex-offender.vsp.virginia.gov/sor/policy.html?original_requestUrl=http%3A%2F%2Fsex-offender.vsp.virginia.gov%3A80%2Fsor%2FzipSearch.html&original_request_method=GET&original_request_parameters=
Washington	http://www.icrimewatch.net/index.php?AgencyID=54528
West Virginia	http://www.wvstatepolice.com/sexoff/
Wisconsin	http://offender.doc.state.wi.us/public/
Wyoming	http://wysors.dci.wyo.gov/sor/
National Registry	http://www.nsopw.gov/Core/Portal.aspx?AspxAutoDetectCookieSupport=1

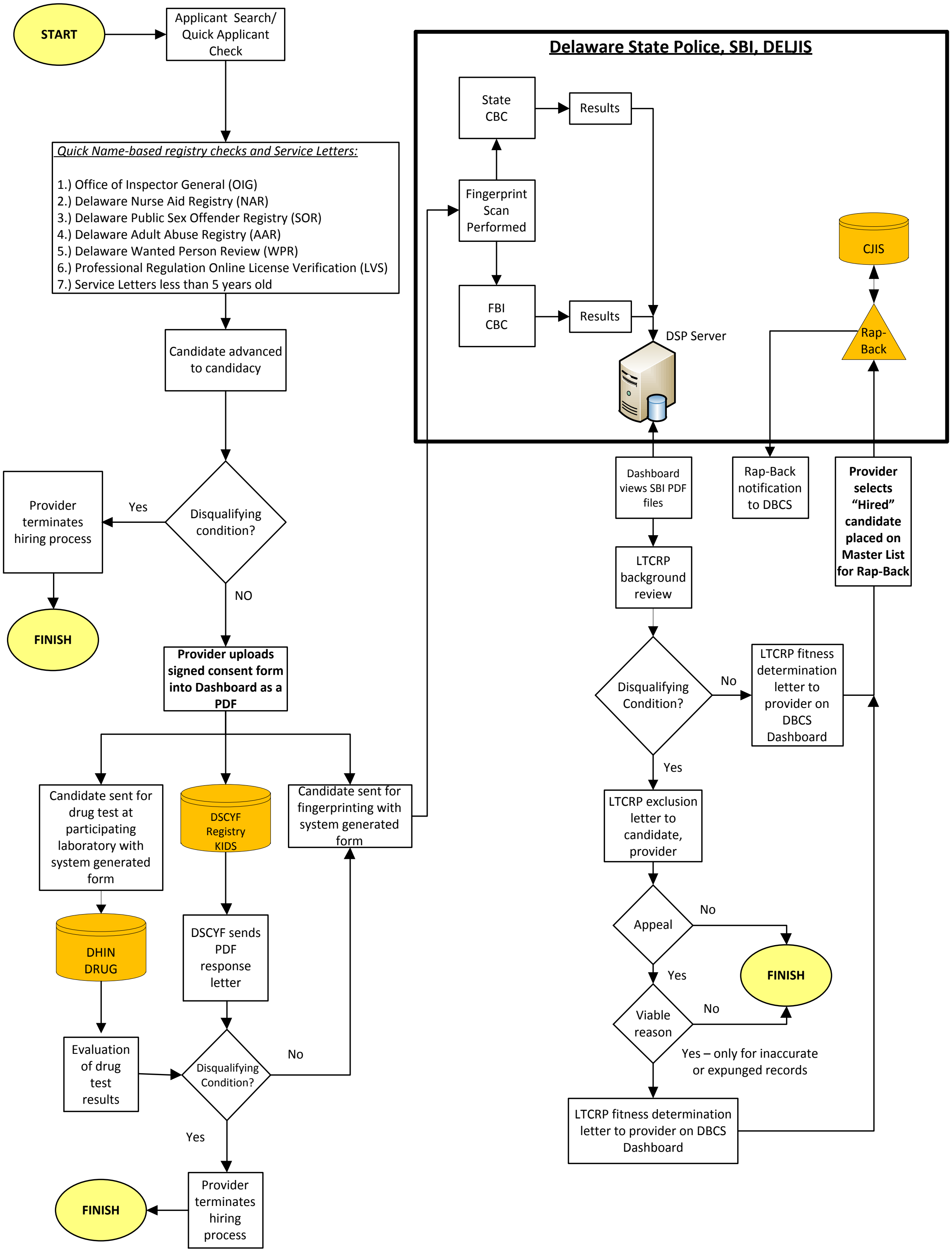
Appendix R
States Certified Nurse Aide Registries

STATE	Certified Nurse Aide Websites
Alabama	http://ph.state.al.us/nar/found2.asp
Alaska	http://www.commerce.state.ak.us/occ/OccSearch/main.cfm
Arizona	http://www.azbn.gov/onlineverification.aspx (Can be used for Pro Reg as well)
Arkansas	https://www.ark.org/arsbn/statuswatch/index.php/nurse/search/new ??
California	http://www.apps.cdph.ca.gov/cvl/SearchPage.aspx
Colorado	https://www.doradls.state.co.us/alison.php
Connecticut	https://registry.prometric.com/registry/publicCT
DC	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0709NURSE
Florida	http://ww2.doh.state.fl.us/irm00praes/praslist.asp
Georgia	http://www.ghp.georgia.gov/
Hawaii	http://hawaii.gov/dcca/areas/pvl/programs/nurse/
Idaho	https://registry.prometric.com/registry/publicID
Illinois	https://hcwbc.idphnet.com/BgChecks.Public/Search.aspx
Indiana	https://mylicense.in.gov/everification/Search.aspx
Iowa	https://dia-hfd.iowa.gov/DIA_HFD/Home.do
Kansas	http://www.ksnurseaidregistry.org/
Kentucky	http://kbn.ky.gov/knar/
Louisiana	http://labenfa.trisine.com/start_dsw.html
Maine	https://gateway.maine.gov/cnaregistry/
Maryland	http://www.mbon.org/main.php?v=norm&p=0&c=cna/index.html
Massachusetts	http://www.mass.gov/?pageID=eohhs2terminal&&L=5&L0=Home&L1=Government&L2=Departments+and+Divisions&L3=Department+of+Public+Health&L4=Programs+and+Services+K+-+S&sid=Eeohhs2&b=terminalcontent&f=dph_quality_healthcare_g_about_nurse_aide&csid=Eeohhs2
Michigan	https://appserv01.prometric.com/Accelerator/FlowMgr.srv?cmd=validateLogin&sourceFunction=9000&sourceScreen=0&sourceSequence=10&userName=mifoia&password=password
Minnesota	http://www.health.state.mn.us/divs/fpc/profinfo/narinfo/aboutnar.html
Mississippi	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0725NURSE
Missouri	https://dhssweb02.dhss.mo.gov/cnaregistry/CNASearch.aspx
Montana	https://app.mt.gov/lookup/
Nebraska	http://www.dhhs.ne.gov/lis/lisindex.htm
Nevada	http://www.nursingboard.state.nv.us/verification/formLicense.html
New Hampshire	http://www.nhlicenses.nh.gov/WebLookUp/
New Jersey	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0631NURSE
New Mexico	https://dhi.health.state.nm.us/nar/nar.php

Appendix R
States Certified Nurse Aide Registries

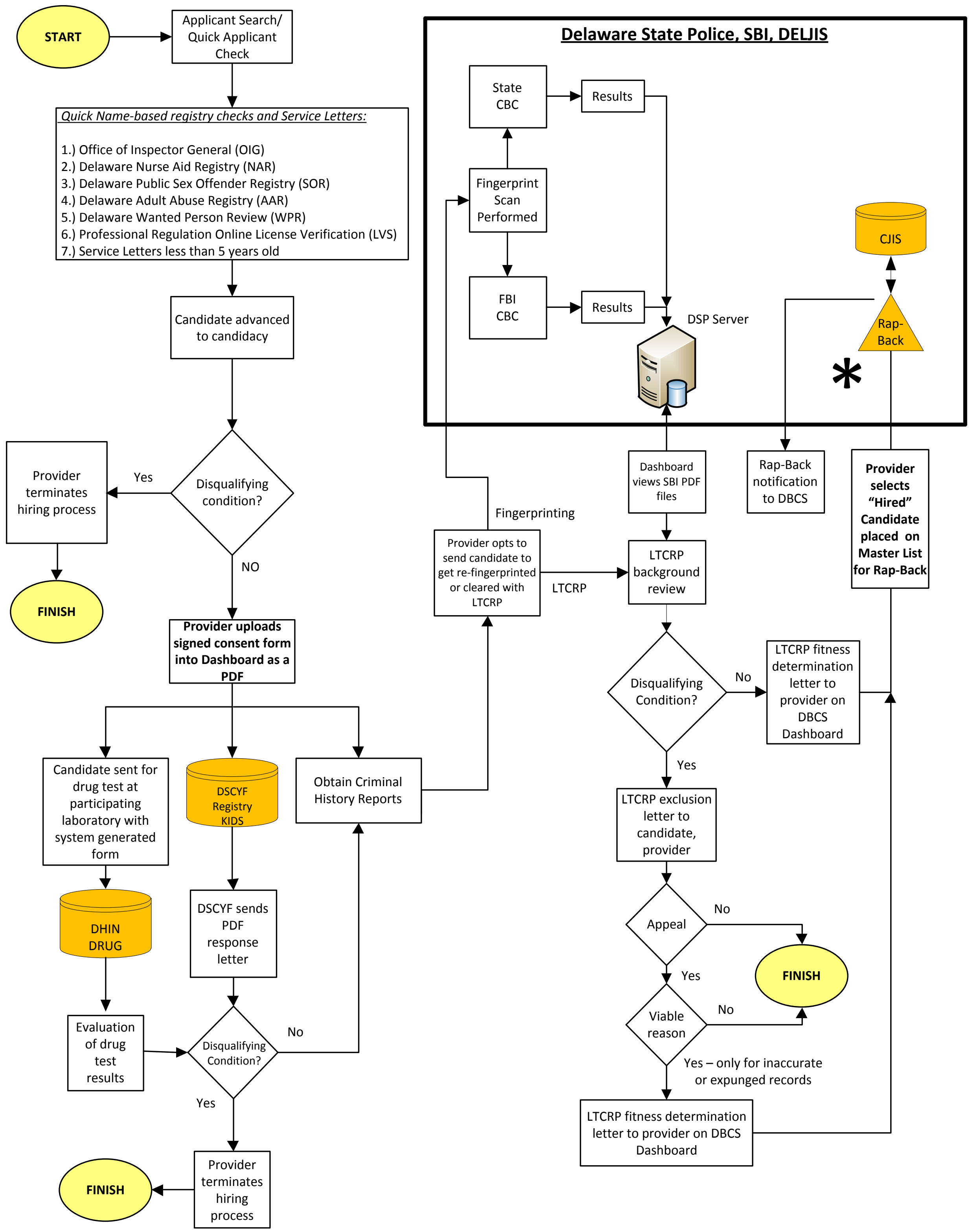
STATE	Certified Nurse Aide Websites
New York	https://registry.prometric.com/registry/public
North Carolina	https://www.ncnar.org/verify_listings1.jsp#verify
North Dakota	http://www.ndhealth.gov/hf/North_Dakota_certified_nurse_aide.htm
Ohio	https://odhgateway.odh.ohio.gov/nar/nar_registry_search.aspx
Oklahoma	http://www.ok.gov/health/pub/wrapper/naverify.html
Oregon	http://osbn.oregon.gov/onlineverification/Search.aspx
Pennsylvania	https://www.pulseportal.com/selectStateAndBoard.do
Puerto Rico	N/A
Rhode Island	http://www.health.ri.gov/hsr/professions/license.php
South Carolina	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0741NURSE
South Dakota	N/A
Tennessee	http://health.state.tn.us/hcf/nurseaide.htm
Texas	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0644NURSE
Utah	http://www.utahcna.com/
Vermont	http://www.vtprofessionals.org/
Virginia	http://www2.vipnet.org/dhp/cgi-bin/search_publicdb.cgi
Washington	http://www.aasa.dshs.wa.gov/professional/nat/Purpose%20of%20the%20inquiry%20form2..htm
West Virginia	http://www.wvdhhr.org/ohflac/NA/NALookup.aspx
Wisconsin	https://www.asisvcs.com/services/registry/search_generic.asp?CPCat=0750NURSE
Wyoming	N/A
National Registry	

Appendix S
Work Flow Diagram New Hire



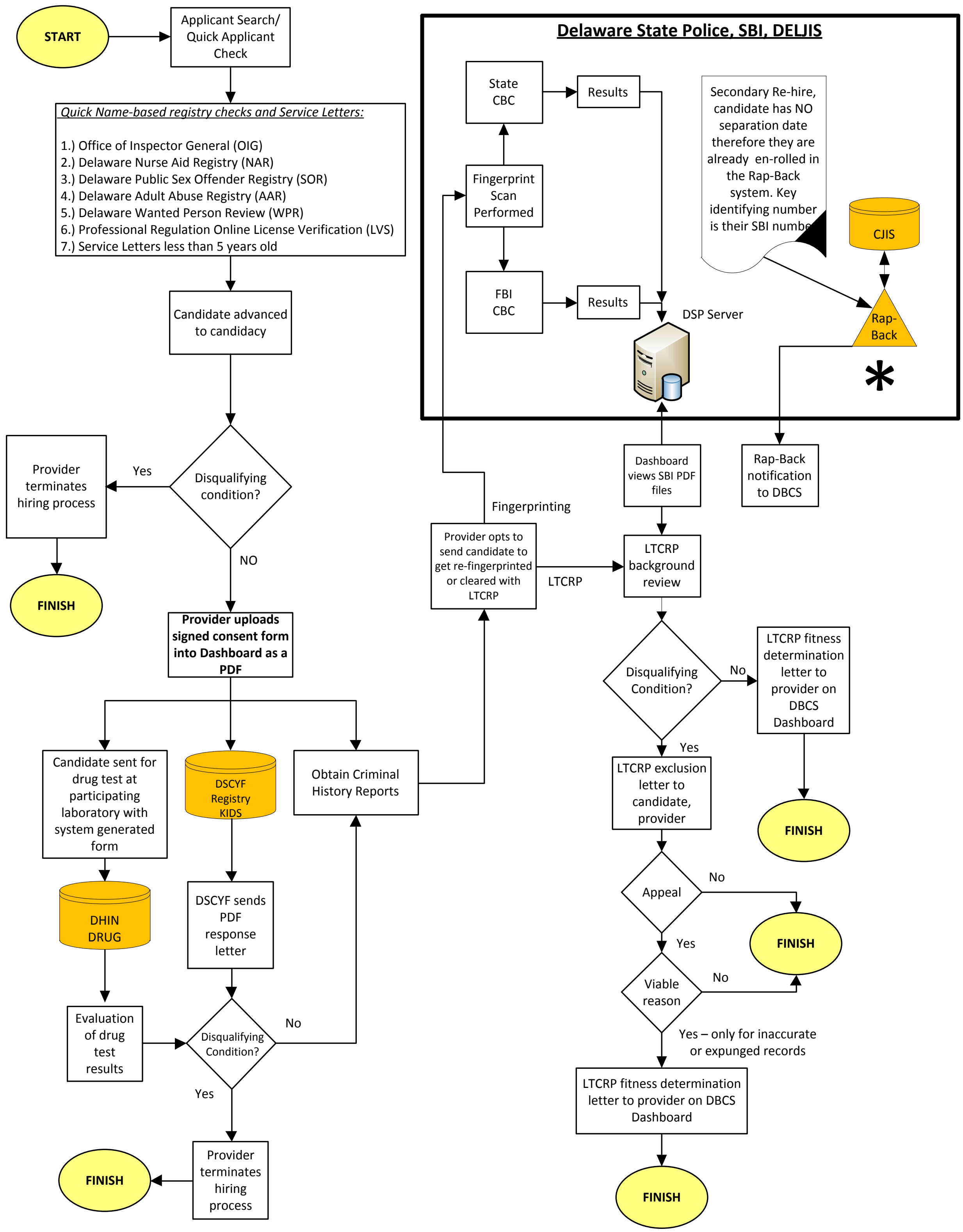
Appendix T
Work Flow Diagram Re-Hire

Re-Hire has a separation date

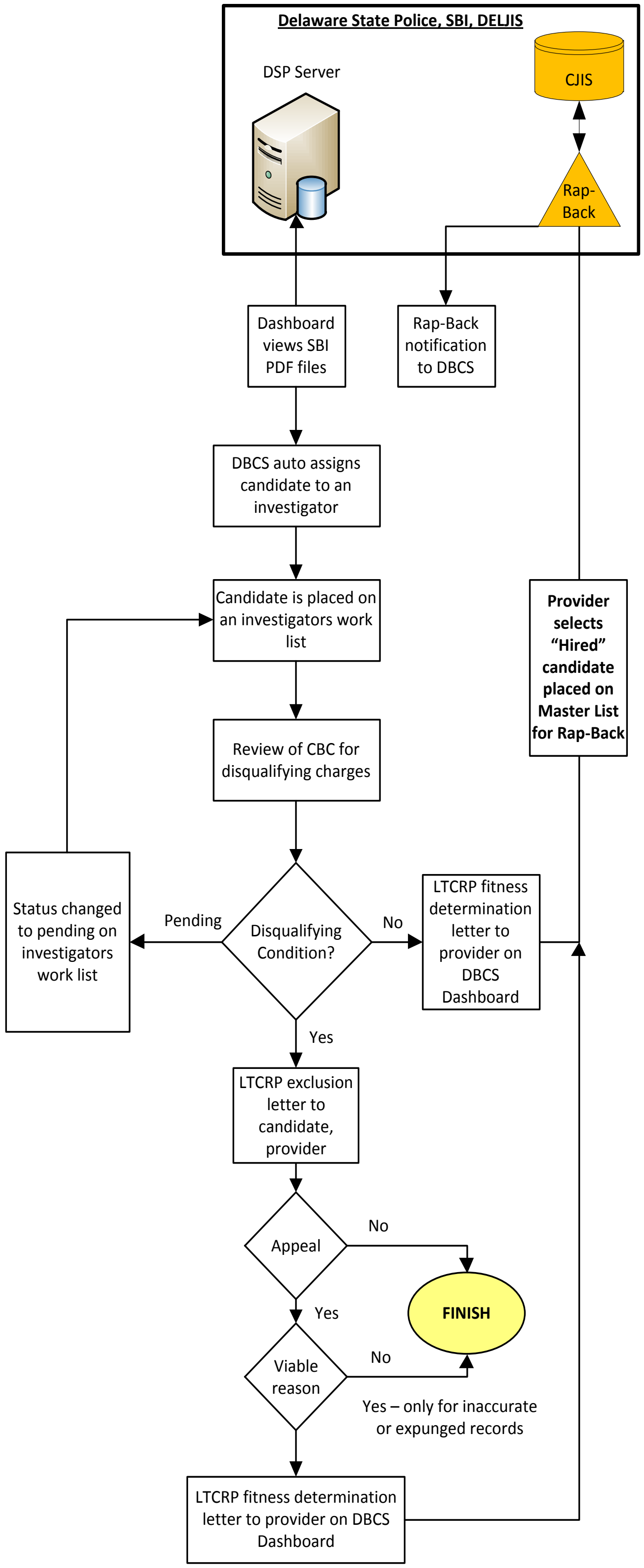


Appendix U
Work Flow Diagram Secondary Re-Hire

Secondary Re-Hire has NO separation date



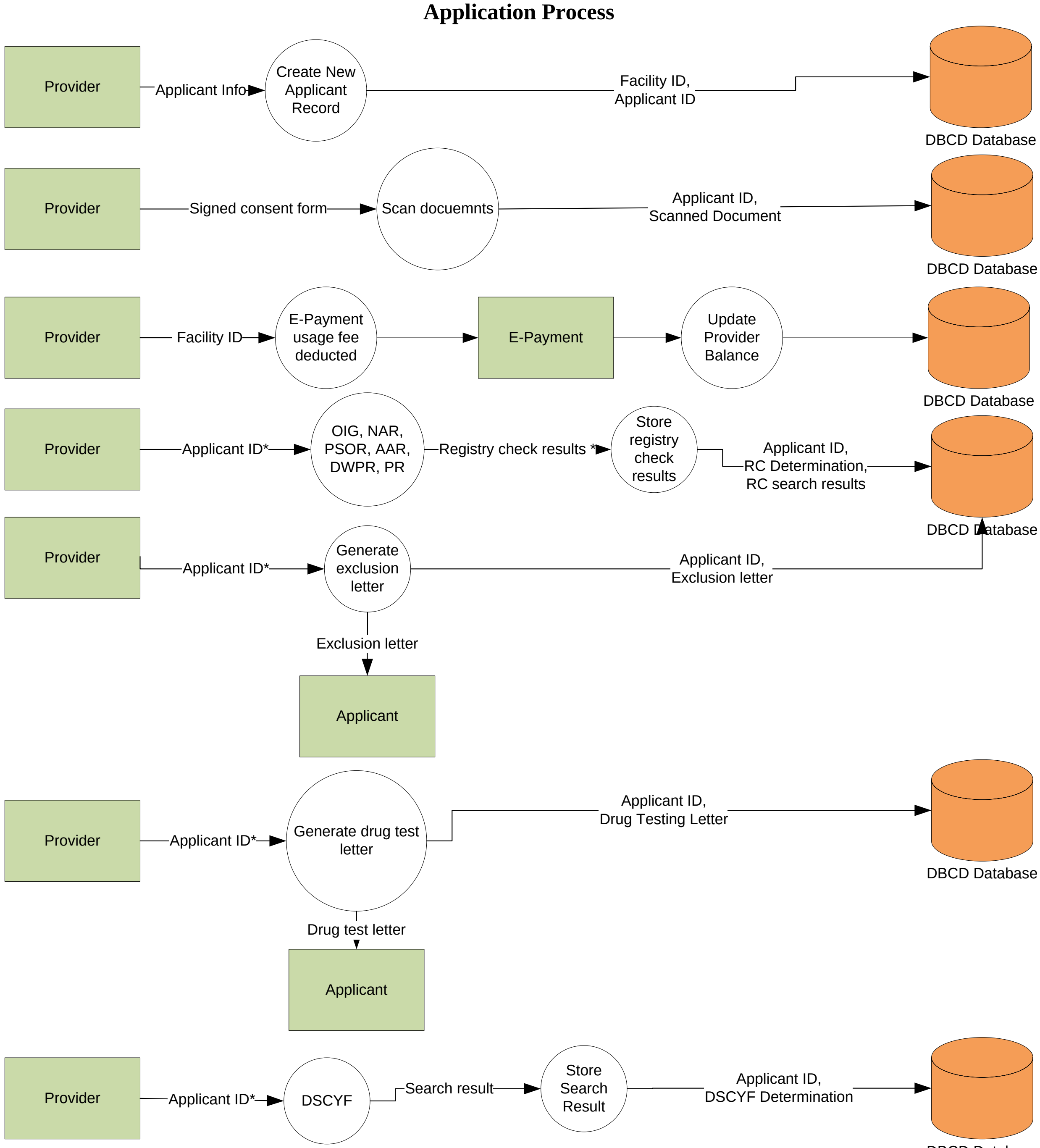
Appendix V
Work Flow Diagram LTCRP Investigative



Appendix W
Data Flow Diagram

Delaware Background Check Dashboard
Data Flow Diagram
Level 1

Application Process

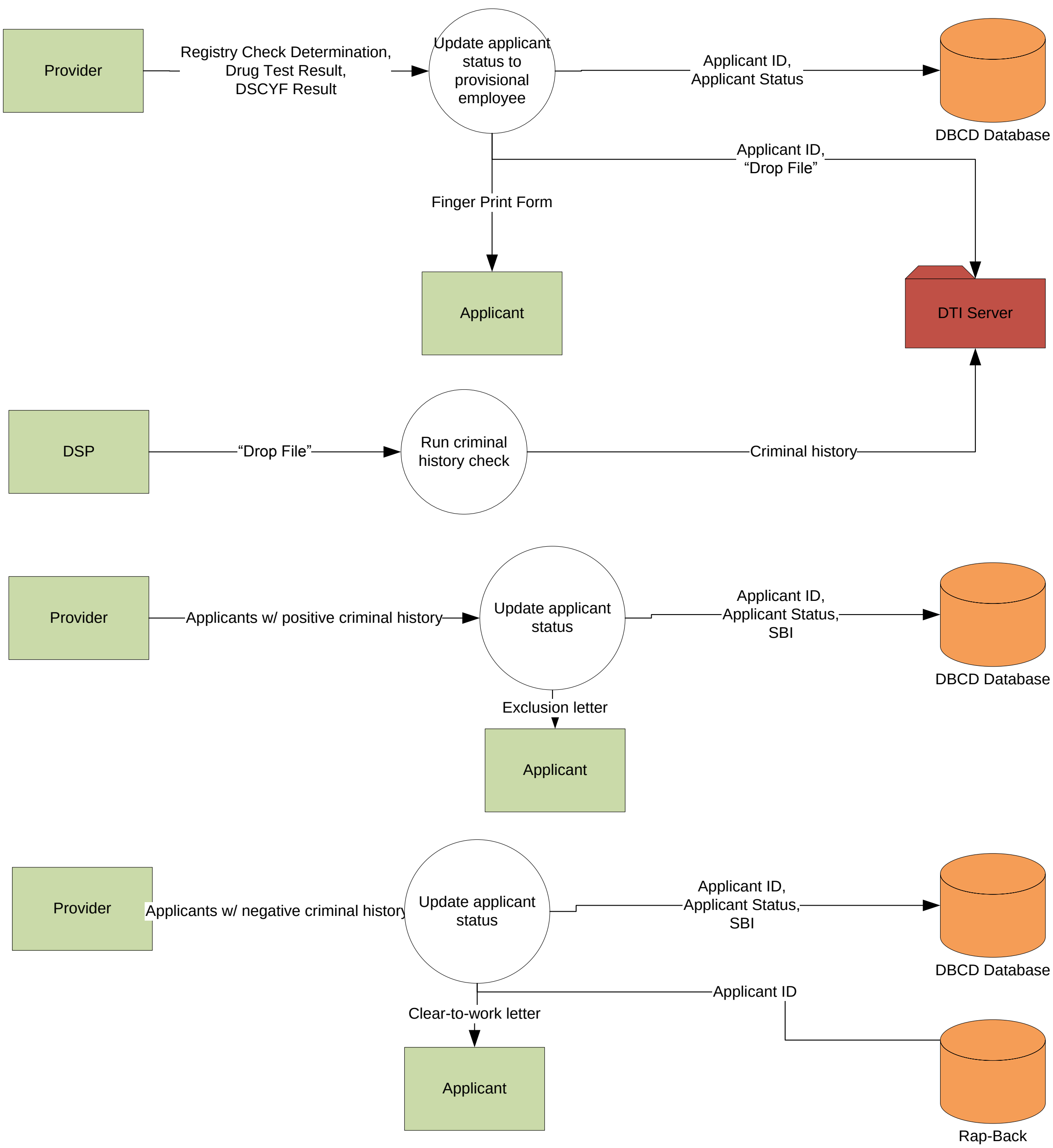


* Each registry check participant may have different requirements about search criteria and means of displaying search results

Appendix X
Data Flow Diagram

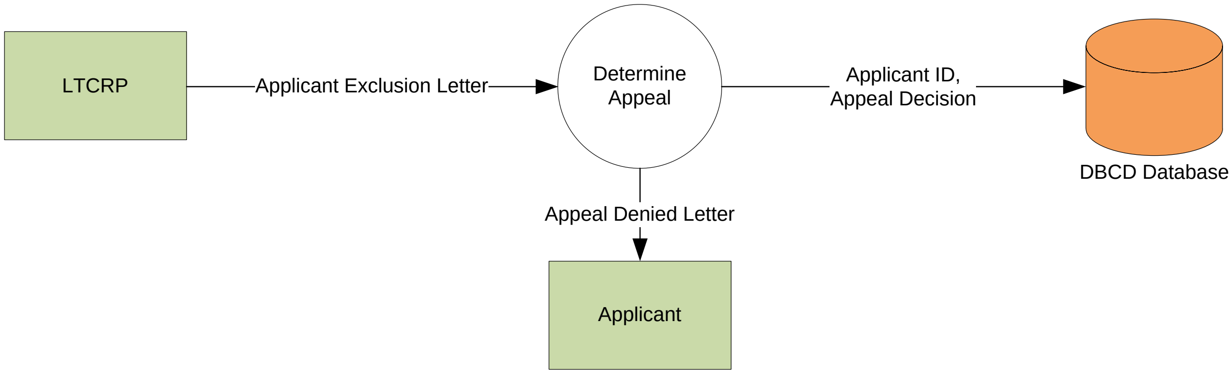
Delaware Background Check Dashboard
Data Flow Diagram
Level 1

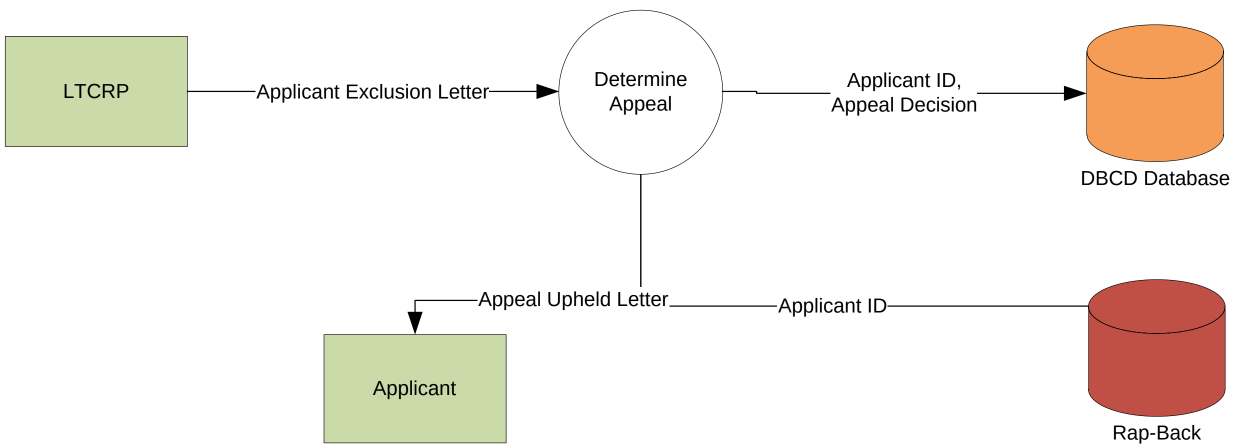
Application Process (Cont.)



Delaware Background Check Dashboard
Data Flow Diagram
Level 1

Appeal Process

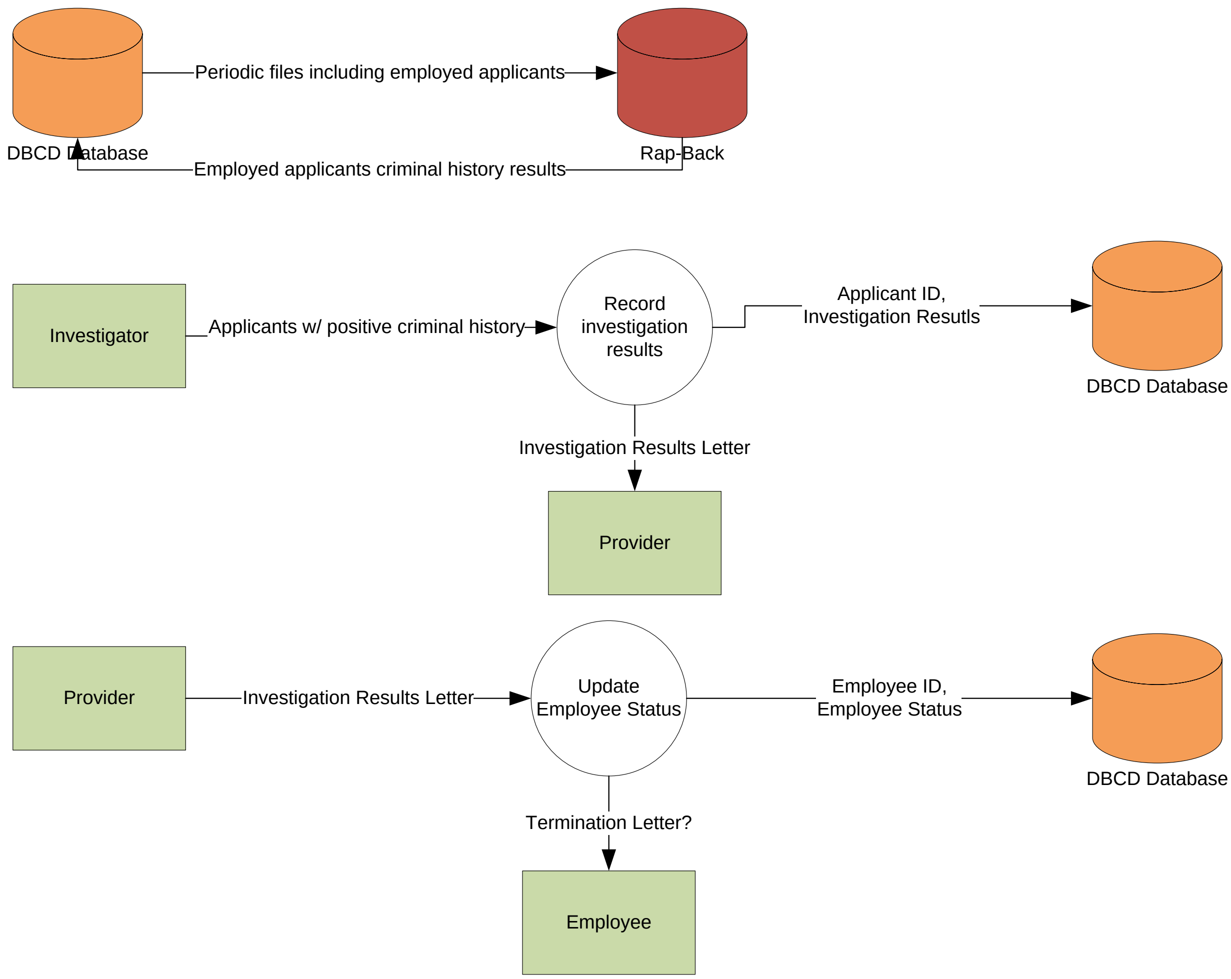




Appendix Z
Data Flow Diagram

Delaware Background Check Dashboard
Data Flow Diagram
Level 1

Investigation Process

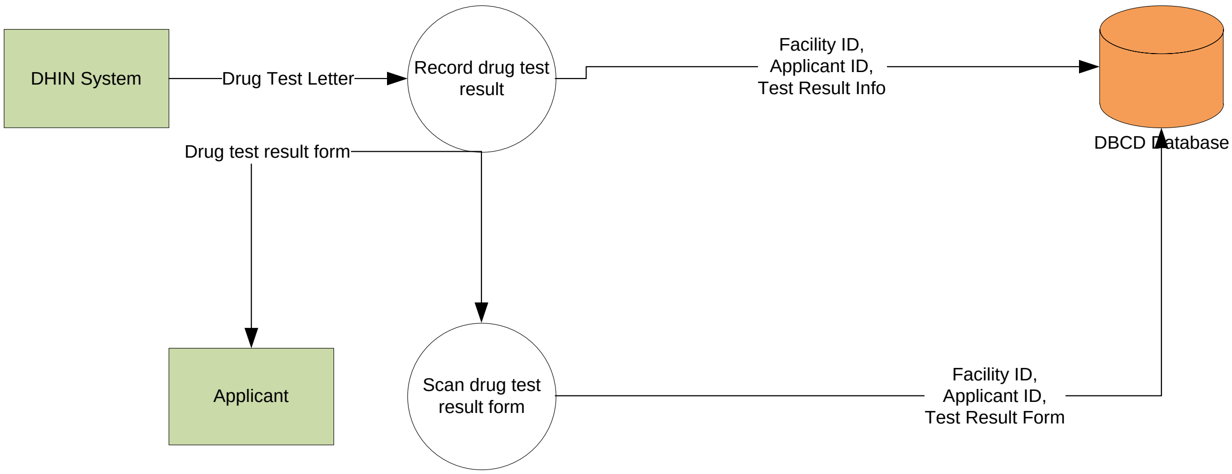


Appendix AA

Data Flow Diagram

Delaware Background Check Dashboard
Data Flow Diagram
Level 1

DHIN Drug Test



Appendix AB

Data Interface Fields

HTTP Request/Response - Nurse Aide Registry

Input:

- First Name
- Middle Name
- Last Name
- Date of Birth
- Certificate ID

Output:

- Full Name
- First Name
- Last Name
- Middle Name
- Original Certification Date
- Expiration Date
- Findings
- Gender
- Certification Number
- Certification Route
- Status
- Negative Findings
- Training Date
- Exam Pass Date
- Flagged

Web Service - Adult Abuse Registry

Input:

- First Name
- Last Name
- License Number

Output:

- Full Name
- Professional License Number
- Date Placed on Registry
- To be removed
- Description

Web Service - DSCYF Child Protection Registry

Input:

- First name
- Last name
- Middle name
- Alias names (up to four instances if known or provided)
- SSN
- DOB
- Race
- Sex
- Ethnicity
- Facility ID
- Employer Contact Name
- Employer Contact Number

- Applicant ID
- Applicant Consent Form (PDF)

Output:

- Applicant ID
- Facility ID (Employer identifier)
- Response Letter (PDF)

Scheduled Database Download - OIG Exclusion List (LEIE)

Input:

- First Name
- Last Name
- Business Name

Output:

- Last Name
- First Name
- Middle Name
- Business Name
- General
- Specialty
- Exclusion
- State
- SSN
- EIN
- UPIN
- Date of Birth
- Exclusion Type
- Address
- Exclusion Date
- Reinstated

Web Service - Sex Offender Central Registry

Input:

- First Name
- Last Name
- SSN (possible data field)

Output:

- Offenders Name
- Home Address
- Work Address
- School Address
- Risk Level
- Wanted
- Verified On
- Registered Since
- In Prison
- Convicted Out of State
- Repeat Offender
- Police Agency
- Police Agency Address
- Police Agency Phone Number
- Birth Date

- Gender
- Race
- Skin Color
- Height
- Weight
- Eye Color
- Hair Color
- Scars Marks and Tattoos
- Alias Information
- Vehicle Information
- Adjudication Date
- Charge State
- Charge Statute
- Charge Victim
- Charge Description

Delaware Division of Professional Regulation Online License Verification Service
Input:
- Profession
- License Type
- Last Name
- License Number
- County
- City
- State
- Zipcode

Output:
- Full Name
- License Number
- Profession
- License Type
- License Status

Web Service - Wanted Persons Review
Input:
- First Name
- Last Name

Output:
- Last Name
- First Name
- Middle Initial
- Suffix
- Date of Birth
- Race
- Sex
- Other Names Used
- Warrant Number
- DUC Number
- Court Number
- Court Comments

Appendix AB

Data Interface Fields

Web Service - Facility Management System
Fields Available from this system:
Input:
- Facility ID

Output:
- Facility ID
- Facility History Begin Date
- Facility History End Date
- Facility Name
- 1st Address Line
- 2nd Address Line
- City
- State
- Zip Code
- County
- Phone Number
- Email address
- Investigation side Misc Info
- CBC Facility Type
- IRC Facility Type
- DHSS Facility
- CBC Contact Name
- CBC Contact Title
- “Attention” Text for CBC Letters
- Legal Facility Name
- Owner
- Nonprofit
- Management
- Federal Employer Number
- MDS Number
- Certification Type
- Medicaid Waiver
- ICF/MR
- Licensing side Misc. Info
- Licensing Facility
- CBC Facility
- IRC Facility
- Facility Status
- Active History Record
- Record Creation User ID
- Date/time of Record Creation
- Last Update User ID
- Date/Time of Last Update

Novo Grid – DHIN Drug Test Results
Input included on paper drug test request form carried to lab by applicant:
- Applicant ID (Individual to be tested)
- Facility ID (Employer requesting test)
- Employer Name
- Employer Address
- Employer City

- Employer State
- Employer Zip
- Employer Phone Number
- Employer Fax Number

Output:

- PDF drug test report (HIPAA compliant)
- Applicant ID and Facility ID (Possibly in HL-7 Standard Data Format)

Web Service - Delaware State Police

DBCS data elements stored in the DSP Server:

Input:

- Applicant ID
- First name
- Middle Name
- Last Name
- Date of Birth
- Social security number
- Address Line1
- Address Line 2
- City
- State
- Zip
- County
- Aliases
- Suffix
- Gender
- Race
- Driver's License Number
- State

Data stored in DSP Server after Criminal History Background Check:

- PDF file name (containing identifying information of Applicant ID, LTCRP type, Federal or State indicator)
- PDF Image of Criminal History Report (State or Federal)

DHSS Integrated Authorization Systems

Input:

- Login
- Strong Password

Output:

- Currently being upgraded, will be defined at a later date by DHSS IRM

Web Service –CJIS Rap-Back System

Input:

- SBI Number
- Hire Date
- Separation Date
- Last Name
- First Name
- LTCRP Type Indicator

Output:

- Arrest Information (String)
- SBI Number
- Last Name
- First Name

Web Service - CBC System

Input:
- SSN
- Last Name
- First Name

Output:
- Arrest Information (String)
- SBI Number
- First Name
- Middle Name
- Last Name
- Date of Birth
- Gender
- Race
- Street Address
- City
- State
- Zip Code
- Phone Number

Web Service - E-Payment

Input:
- Continue Processing
- Redirect User URL
- Echo Failure
- User Message
- Billing First Name
- Billing Last Name
- Billing City
- Billing State
- Billing Zip
- Amount
- Order Number
- User Defined1
- User Defined2
- User Defined3
- User Defined4
- User Defined5
- Success

Output:
- Application ID
- Message Version
- Remittance ID
- Security ID
- Transaction Status
- Payment Type

Data Interface Fields

- Card Type
- Partial Card Number
- Routing Transit Number
- Partial Account Number
- AVS response
- Fail Code
- Amount
- Convenience Fee Collected
- Convenience Fee Amount
- Total Amount