

# National Background Check Program

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Caregiver Criminal History Administration System  
and Consolidated Online Registry

**Request for Information**

12/16/2011



This Request for Information (RFI) is being used to gather market research for the New Mexico Department of Health to make decisions regarding development strategies for the replacement of the existing Caregivers Criminal History Administration System (CCHSP) and Consolidated Online Registry (COR).

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# REQUEST FOR INFORMATION (RFI)

## INTRODUCTION:

This is a Request for Information (RFI) only and does not constitute a commitment, implied or otherwise, that the State of New Mexico – Department of Health (NMDOH) will take procurement action in this matter. Further, neither the State of New Mexico nor NMDOH will be responsible for any cost incurred in furnishing this information.

This RFI is being used to gather market research for NMDOH to make decisions regarding development of strategies for the replacement of our existing Caregivers Criminal History Administration System (CCHSP). Specifically, NMDOH is seeking information from vendors who have previous experience assisting States in meeting the defined goals of the National Background Check Program under section 6201 of the Affordable Care Act and who possess *a commercial off-the-shelf system* (COTS) that can be used as a foundation and then modified if needed to meet our requirements. If you are a vendor without this required experience and a COTS system, there is no need to respond to this RFI.

## BACKGROUND:

Established by statute in 1998 [section 19-17-1-5 NMSA 1978], the Caregivers Criminal History Screening Act (CCHSP) required caregivers to undergo a nationwide criminal history screening to ensure to the highest degree possible the prevention of abuse, neglect or financial exploitation of care recipients.

To help secure new advancements in criminal history screening, NMDOH was awarded a new Federal grant by CMS. Through this grant, the development of a more integrated system coupled with improved processes will enable the State to reach greater levels of efficiency, effectiveness and economy positively impacting critical areas. Currently, NMDOH processes about 35,000 background checks per year.

- Speed and accuracy of information flow for enhanced inter-agency communication.
- The capability of increasing searchable registries will provide a one-stop repository for care providers to quickly ascertain employment suitability.
- Supporting tools and processes will also improve provider audits and compliance.

Highlighted are both the Business and Technical objectives of this project.

Table 1

<b>BUSINESS OBJECTIVES</b>	
1	Improve New Mexico's ability to ensure to the highest degree possible the prevention of abuse, neglect or financial exploitation of care recipients.
2	Increase the speed and accuracy of information flow for background screening with improved fingerprint scanning (Live Scan) and rapback technology providing enhanced and timely inter-agency communication.
3	Increase the number of searchable registries providing a one-stop repository for care providers to ascertain employment suitability.
4	Build tools and supporting processes to improve provider audits, compliance and administrative management of the CCHSP program.

Table 2

<b>TECHNICAL OBJECTIVES</b>	
1	Replace the existing CCHSP administration system with up-to-date applicant and employee tracking capabilities.
2	Replace the existing Consolidated Online Registry (COR) system expanding the number of searchable registries.
3	Replace the existing hard-copy fingerprint card process with LiveScan technology improving accuracy and business process time.
4	Introduce the capability to receive Rapback notifications tracking against an employment database hosting demographics of applicants who have been recently hired or long-term existing employees. "Rapback" will notify DOH through DPS that new criminal history exists for employees previously cleared for employment without performing a formal background screening check.
5	Ensure that systems highlighted in Technical Objectives 1-4 are tightly integrated not only for securely storing and exchanging criminal history information but also for coordinating the full life-cycle of caregiver management including provider, applicant, employee and state and federal agencies.

## SCOPE OF RFI

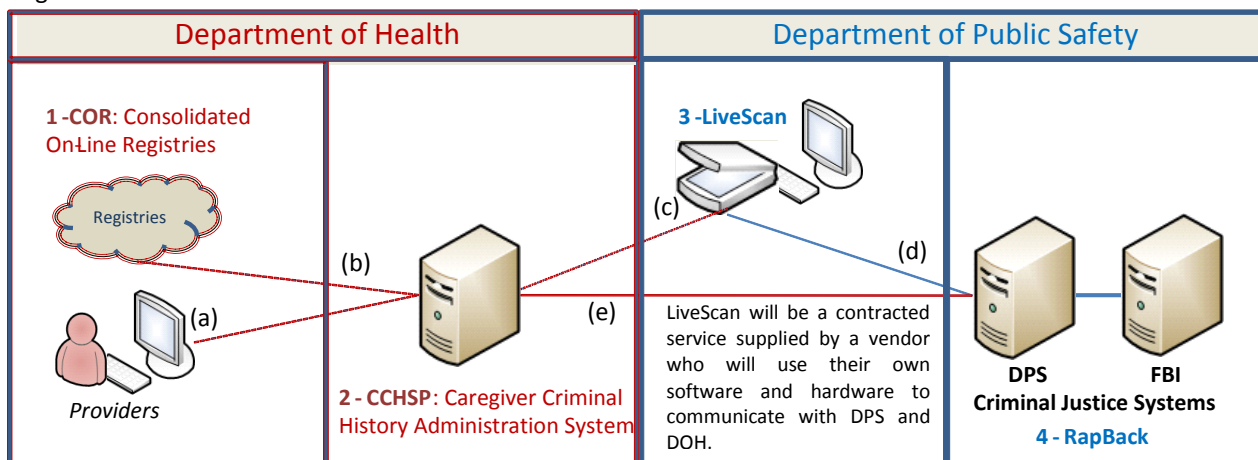
### APPLICATION FUNCTIONAL OVERVIEW

The NMDOH Background Check Program is comprised of four principal system components shown below in Figure 1. This illustrates NMDOH high-level planned process supplemented with additional detail found later in this RFI.

This RFI focuses on those components *highlighted in red* managed within the Department of Health.

1. **COR** enables providers to verify initial eligibility of a caregiver applicant by searching Registries prior to fingerprinting (e.g. Nurse Aide; SOR). Providers will have a web link (1a) to the COR application that is built into component #2 – CCHSP.
2. **CCHSP** will provide access to the Registries (2b) for the providers. CCHSP will also serve as the system to maintain information on caregiver history and their employers. The provider will initially enter this information. CCHSP will also have interfaces enabling receipt of data from two other systems managed by **DPS: 3-LiveScan and 4 RapBack**.
3. **LiveScan**: When cleared through Registry check (1a/b), the applicant will appear at a LiveScan vendor location to be fingerprinted. The LiveScan services will transfer applicant tracking data to CCHSP (3c). Additionally, LiveScan services will transfer fingerprint images to DPS to initiate state and federal background check management (3d).
4. **RapBack**: State RapBack, and in the future Federal RapBack, will provide dynamic tracking of criminal events and transfer relevant data via DPS to CCHSP (2e). DPS is the State Identification Bureau (SIB) which will also perform state background checks, interface with the FBI for national checks and receive and coordinate RapBack information flow.

Figure 1



In addition to managing and maintaining caregiver criminal history and employment data, the new CCHSP/COR will also:

1. Enable provider access to Registries by incorporating COR functionality into CCHSP. *The existing COR system is a separate system from CCHSP. One of the goals of this project is to consolidate functionality for CCHSP and COR into one system.*
2. Provide interface capabilities with both LiveScan and RapBack applications. The nature of these interfaces is yet to be determined.

These two functions are expected either within the vendor's existing COTS system or through customizations to the COTs system. Neither LiveScan nor RapBack are considered part of this RFI except for interfaces that CCHSP/COR will have to enable required information flow between systems.

### *TECHNICAL ARCHITECTURE OVERVIEW*

While this is a request for information, NMDOH has expectations of architecture.

- Web application
- Microsoft environment
- Database (SQL server)
- .NET
- Client Browser Support (IE7+, FireFox, Chrome, Safari)

New Mexico's security policy must also be strictly adhered to:

- [http://www.doit.state.nm.us/docs/securityoffice/state\\_security\\_policy.pdf](http://www.doit.state.nm.us/docs/securityoffice/state_security_policy.pdf)

When responding, be sure to include the Technical Architecture of your system, as indicated in Part II – Special Considerations (next page).

## RESPONDING TO THIS RFI:

As mentioned, NMDOH is interested in identifying potential vendors who possess a *commercial off-the-shelf system* (COTS) that can be used as the basis for our new CCHSP / COR application and then modified if needed to meet our requirements.

To facilitate this research, the RFI Response is divided into two (2) parts:

### **PART I – BASIC INFORMATION:**

- **Section A** – Pricing & Timing
- **Section B** – State Experience (State where system is in some stage of deployment)
- **Section C** – New Mexico Core Functional Features

RESPONSE TO PART I must be completed in the accompanying spreadsheet entitled *NM-NBCP-RFI Response Part I* as defined and illustrated in Appendix A. Additional information that vendor might feel could further explain the brief content of Part I, should be included as a separate *Part I section* in the narrative accompanying *Part II*.

The following file naming convention for Part I must be used for response:

*NM-NBCP-RFI Response Part I – Company Name*

Authorized file formats include: Microsoft Excel versions 2003 (.xls), 2007 (.xlsx)

### **PART II – SPECIAL CONSIDERATIONS:**

In addition, NMDOH is interested in the experience and working approach of the respondent and would give special consideration to information listed below with as much detail as reasonably possible.

- A brief history of the COTS system: how long has the system been in production and who was the first production client?
- Hosting capabilities and available approaches
- Software architecture and technology overview
- Maintenance and support (M&S) approach/options including, but not limited to, planned and scheduled release updates. Be specific about the mechanisms employed to enable M&S.
- Available marketing literature

RESPONSE TO PART II must be completed in a narrative form including any appropriate charts, illustrations. It may also be accompanied by appropriate corporate or marketing literature.

The following file naming convention for Part I must be used for response:

*NM-NBCP-RFI Response Part II – Company Name*

Authorized file formats include:

Adobe Acrobat versions 6 - 8 (.pdf) Microsoft Word versions 2003, 2007 (.doc)

RFI RESPONSES MUST INCLUDE:

- Name of the primary point of contact for the response
- Institution or organization affiliation
- Email address
- DID phone number

POINT OF CONTACT FOR INQUIRIES AND SUBMISSIONS:

Direct inquiries regarding this RFI to [martin.maniscalco@state.nm.us](mailto:martin.maniscalco@state.nm.us) with the following words in the subject line: “Inquiry: RFI – NMDOH Background Check Project”. Inquiries must be received by December 28, 2011.

Remember, this is an RFI to obtain an *overview* of cost, capabilities and support options. Detailed questions that may be appropriate for an RFP should be retained for that forum.

RESPONSE SUBMISSION DEADLINE:

Vendor’s response to both Part I and II must be delivered NO LATER THAN CLOSE OF BUSINESS (5pm) Mountain Daylight Time, as identified below:

**Electronic responses by EOD January 6, 2012** to [martin.maniscalco@state.nm.us](mailto:martin.maniscalco@state.nm.us) with the following words in the subject line: “Response: RFI – NMDOH Background Check Project”.

**Physical copies by EOD January 10, 2012** supporting Part II (I.E.: marketing material) are to be mailed to this address:

Martin Maniscalco  
% Susan Beltran  
IT Services Division - Room S-3150  
Department of Health  
1190 St. Francis Dr.  
Santa Fe, NM 87502

An email confirmation of receipt from NMDOH will be sent within a one-week period to the primary point of contact.

Although all comments received will be carefully reviewed and considered for inclusion in any possible later action, the initiators of this request make no commitment to include any particular recommendations. Respondents will not be notified of the results of the review. No solicitation exists; therefore, do not request a copy of the solicitation.

## APPENDIX A – RESPONSE TO PART I – FUNCTIONAL REQUIREMENTS

Responses to Part I must be completed and returned in the accompanying spreadsheet entitled **NM-NBCP-RFI Response Part I** (partial image shown in Table 3). This spreadsheet contains 3 sections. While effort has been made to structure the spreadsheet to collect answers in an easy manner, if there are comments needed to explain your approach or cost, either include in the *Vendor Notes* column or as a separate *Part I section* in the narrative accompanying *Part II*.

Remember, this is an RFI to obtain an *overview* of cost, capabilities and support options.

**Section A – Pricing & Timing –**

- *COTS price* prior to any modifications needed to meet requirements
- *Hosting* – whether or not this is an option for your COTS system
- *Engineering and timeframe estimates*, based on the included high-level functional requirements briefly highlighted below and fully listed in the accompanying spreadsheet. The detail of system requirements relative to every requirement has not yet been defined (eg: Payment Reconciliation and Fee Collection).

**Section B – State Experience –** Identify one or two states where the COTS system is being placed and the current stage of effort

**Section C – New Mexico Core Functional Features –** as brief list of features are listed in the image below. The full list is in the accompanying spreadsheet to arrive at engineering estimates.

Table 3

<b>New Mexico Background Check System Features</b>			
<b>Section A - Pricing &amp; Timing</b>			Vendor notes if needed
<b>BASE</b>	COTS System Price:		
	Price Basis:		
<b>CUSTOMIZATION &amp; SUPPORT</b>		Estimate Range	
		Low	High
	COTS engineering estimates - <b>25% between Range</b> (see Section C):		
	Hourly cost for customization:		
	COTS Customization TimeFrame (in months):		
	Hosting availability:		
	Hosting costs / year		
	Maintenance & Support cost:		
	M&S Basis:		
	Hourly cost for M&S:		
<b>Section B - State Experience</b>			Vendor notes if needed
	COTS usage by state (2 states is sufficient):	State 1	State 2
	Current stage of COTS usage by state:		
<b>Section C - New Mexico Core Functional Features</b>			Vendor notes if needed
<i>Use these features for your Customization and TimeFrame Estimates for Section A</i>			
<b>Applicant Profiles</b>			
	Search for Profile		
	View Profile		
	Add Profile		
	Edit Profile		
<b>Background Checks</b>			
	<b>New</b>		
	Name-Based Checks Only		
	Fingerprint-Based Checks		