



# Corrections and Community Supervision

## Request for Information (RFI) #2024-05

### Cloud-based Funds Management System

<b>Issued:</b>	April 16, 2024
<b>Questions Due:</b>	April 30, 2024 by 3pm
<b>Answers to Questions:</b>	on or about May 14, 2024
<b>Response Due Date:</b>	June 4, 2024 by 3pm

## **1.0 INTRODUCTION**

The Department of Corrections and Community Supervision (DOCCS) is responsible for providing services that incarcerated individuals need in safe and secure facilities, preparing incarcerated individuals for release, and ensuring they receive appropriate monitoring and support while under community supervision. The goal of the Department is to enhance public safety by ensuring the successful completion of an incarcerated individual's sentence to lower the risk of reoffending. Across the state, the Department of Corrections and Community Supervision operates 44 correctional facilities housing approximately 32,000 incarcerated individuals, and 38 parole offices responsible for approximately 25,000 parolees.

To carry out its mission and support operational needs, the Department carries a myriad of fiduciary responsibilities that are subject to State Finance Law; New York Codes, Rules and Regulations; Correction Law; and the Office of the State Comptroller's (OSC) Guide to Financial Operations. These fiduciary responsibilities require the Department to ensure proper management and cash controls are maintained on all agency bank accounts.

The Contract Procurement Unit (CPU) for DOCCS is seeking information from vendors who can provide a cloud-based, funds management application to support accurate and up-to-date accounting (including, but not limited to, receipts and disbursements) and balance information for the Department's approximately 200 bank accounts with thirteen different banking institutions across its 44 facilities, Food Production Center, Central Pharmacy, and Central Office. Each individual location manages multiple bank accounts that are established in accordance with the Department's operational needs for managing the funds associated with the incarcerated population as well as business office/financial needs. The Department's bank accounts are subject to oversight by the Office of State Comptroller (OSC) and are managed pursuant to State Finance Law, Correction Law and OSC's Guide to Financial Operations.

## **2.0 PURPOSE**

The purpose of this RFI is to acquire information regarding the interest and capabilities of vendors that can provide a cloud-based application to track, manage and report on the Department of Corrections and Community Supervision's multiple types of banking accounts and banking transactions. Currently, most DOCCS facilities use outdated versions of Quicken or Quickbooks software installed on stand-alone computers without an internet connection and rely on manual external backup devices to preserve data. The purpose of this funds management application is to provide a modernized and uniform system to facilitate the management of the Department's approximately 200 bank accounts that is user friendly and that meets required security, internal control and reporting requirements set forth by State Finance Law and the New York State Office of the State Comptroller.

Interested entities experienced and capable of providing a cloud-based funds management application should respond to this RFI by sending the information requested in Section 4 and Attachment A.

This RFI is an inquiry only. No contract or agreement will be made from the results of this RFI.

Responding to this RFI is entirely voluntary and will in no way affect DOCCS' consideration of any proposal submitted in response to a subsequent solicitation.

### 3.0 INQUIRIES

All inquiries shall be sent via email to the following address: [DOCCScontracts@doccs.ny.gov](mailto:DOCCScontracts@doccs.ny.gov), please include "RFI # 2024-05" in the subject line of your email. **Inquiries are due by 3pm on April 30, 2024.**

**This is not a bid. Please do not request bid documents.**

### 4.0 INFORMATION REQUESTED

DOCCS is seeking a cloud-based funds management system for the ease of managing its bank accounts. This system shall include the tracking of receipts, disbursements, and balances for each individual bank account on a daily basis. The system must improve the tracking of daily transactions, reconciliation of monthly bank balances, and the ability to pull detailed data for required monthly and annual reporting. A system that is customizable to support each individualized bank account and can interface with all the Department's current banking institutions is required.

**Responses should include the following requested information:**

4.1 Description of System Functionality: Documentation should be provided that is descriptive of the functions supported by the funds management system. Existing service and product literature and prepared marketing materials may be included; however, this information is less useful than a more detailed user and technical document. Please include information on the following functionality, where applicable:

- a) Overall functionality of the Cloud-based application including, but not limited to, check printing, posting of deposits, and production of various reports to support internal accounting procedures and internal controls, monthly and annual bank reporting requirements.
- b) Ability for the application to produce daily transaction reports to facilitate supervisory review and audit, which include prior day beginning balance, daily transaction detail (receipts, disbursements, transfers), and ending balance. In addition, the application must support user-based audit trail functionality for all entries and key actions (e.g., supervisory review/approval) and provide alerts for overdue activities.
- c) User security features including role-based access levels such as read, write, view, and/or report must represent enterprise/ agency level as well individual facility management.
- d) ACH deposits to auto post to check register, with funding source identifier and documentation.
- e) Reconciliation to monthly bank statements and generation of reconciliation reports. Exception reporting to easily identify all unmatched transactions appearing on bank statement.

- f) Back-up data protocols – How are files securely stored and maintained to safeguard records and allow user access to transactions from prior periods? Appropriate controls on back dated transactions.
- g) Compatibility with Positive Pay functionality offered by banks to mitigate check fraud, without additional manual entry into bank's system. Fraud alert if a check is cashed that isn't a match to an outstanding check posted in register.
- h) Fund and account structure - ability to establish and provide accounting for multiple sub-accounts. Transactions posted to master bank account record auto post to related sub-account record.
- i) Robust and dynamic reporting capability to meet both facility level and agency level reporting requirements. Reports should be customizable by the user in accordance with their access-level and provide transaction detail for a user defined time period with subtotals by facility, fund and account, etc. In addition, the system should be able to produce standardized end of month and end of year balance reports for each bank account showing beginning month balance, total inflows, total outflows, end of month balance.
- j) User & Administrator training, system documentation and help functions.
- k) System Support options.

4.2 Description of Technical Design: Respondents should provide information about overall system design including, as applicable, the following:

NOTE: DOCCS operates in a VDI environment and is technically supported by New York State Information Technology Services. Technical proposals must be approved prior to implementation by the NYS ITS Information Security Office.

- a) Hardware Requirements and Specifications
- b) Operating system/software environment
- c) Physical security features
- d) Detailed network requirements and protocols
- e) Data Security protocols
- f) Database environment and storage
- g) Integration/Communication with outside banking Institutions
- h) Description of the user interface, including screens for all functions of the system
- i) Description of the installation process
- j) Description of application security and auditing features
- k) Description of reporting capabilities including ad hoc reports and ability to publish reports
- l) Detailed interface requirements (e.g., ability to support web services)
- m) Ability to export data into other formats
- n) Ability to import data from other formats
- o) Details of cloud storage architecture
- p) Description of the process for managing updates, upgrades, and the patching process, include expected durations of system downtime for maintenance, frequency of general occurrence (scheduled/unscheduled) and run time ( time of day)

- q) Enhancement, updates and bug fix process
- r) Data conversion capabilities from multiple standalone versions of Quicken and Quickbooks or other solutions

4.3 Description of Service, Product Support and Maintenance: Respondents are requested to comment on the following where applicable:

- a) Manuals
- b) Onsite and Offsite training
- c) Helpdesk Operations
- d) Frequency and acquisition of upgrades
- e) User feedback procedures
- f) 365 support procedures
- g) What support options are available
- h) Warranty, returns and exchanges

4.4 Estimated Charges - Pricing: As this document is an RFI, cost can only be estimated. Information on charges will be used for budgeting and planning purposes only – this is not a bid opportunity. All pricing assumptions should be identified including any initial costs, yearly costs, quarterly costs, hourly costs and recurring costs.

4.5 Delivery of Service

Respondents are requested to comment on the following, where applicable:

- a) How long does infrastructure take to install if required?
- b) How soon does the system become available to facility staff?

**Responses should also include the completion of Attachment A which requests specific information regarding the following:**

- Part 1 – Business Information
- Part 2 – Experience
- Part 3 – Specific Questions:
  - a) Fund Management /Accounting Functions
  - b) User Interface
  - c) Customization
  - d) Fund/Account Reconciliation
  - e) EFTs
  - f) Supervisor Review and Approval of Transactions
  - g) Check Writing and Validation
  - h) Check Fraud Detection & Alerts
  - i) Compatibility with Banking Institutions
  - j) Data Backup & Preservation
  - k) User Roles
  - l) Reports
  - m) System Administration
  - n) Security

- o) Application Licensing
- p) Software Updates
- q) Application User Interface
- r) Support
- s) User File
- t) Data Conversion

This RFI invites input and ideas on such services as well as rough cost estimates. Interested entities experienced and capable in providing such product/services should respond to this RFI by sending the information requested in this section and completing Attachment A.

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## **5.0 SUBMISSION OF RESPONSE**

A point of contact for each respondent should be provided, including name, address, email, and phone number. Responses should contain the information requested in Section 4 and submission of Attachment A is required.

Responses can be emailed or mailed.

Emailed responses should be labeled as "RFI # 2024-05" in the subject line of the email and sent to: [DOCCSContracts@doccs.ny.gov](mailto:DOCCSContracts@doccs.ny.gov)

Mailed Responses should be labeled as "RFI # 2024-05" and addressed to:  
NYS Department of Corrections and Community Supervision  
Support Operations – Contract Procurement Unit  
Attn: CPU  
550 Broadway  
Menands, NY 12204

### **Responses are due by 3:00 pm on June 4, 2024.**

Responders to this RFI will not be precluded from responding to a future solicitation.

## **6.0 RFI RESPONSE CLARIFICATIONS**

The RFI is being issued for the purposes of gathering information on available solutions and determining next steps in devising a strategic response to the needs of DOCCS. Written responses to this RFI will be reviewed and considered by DOCCS. DOCCS is under no obligation to use or return any information or material submitted in response to this RFI. DOCCS may seek additional information (clarifying or otherwise) regarding any of the respondents' services following the receipt of the RFI responses. Information may be sought via telephone or email communication.

## **7.0 DISCLAIMER**

This RFI is not a contract offer and it is not an open solicitation for any services but rather an informational inquiry by DOCCS. This RFI does not commit DOCCS to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Qualified entities are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondent's ability to submit a response to any future competitive solicitation process (if any) for projects. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI.

## **8.0 PROCUREMENT LAW**

Since this is not a solicitation that will result in a contract, it does not fall under procurement lobbying law; therefore, there is no restricted period.