



STATE OF TENNESSEE  
 TENNESSEE ALCOHOLIC BEVERAGE COMMISSION

**REQUEST FOR INFORMATION # 31603-16000  
 AMENDMENT # 1  
 FOR BACKGROUND CHECKS**

DATE: September 11, 2015

RFI# 31603-16000 IS AMENDED AS FOLLOWS:

1. This RFI Schedule of Events updates and confirms scheduled RFI dates. Any event, time, or date containing revised or new text is highlighted.

**RFI SCHEDULE OF EVENTS:**

EVENT		TIME (Central Time Zone)	DATE (all dates are State business days)
1.	RFI Issued		August 24, 2015
2.	Re-Release RFI version 2		August 28, 2015
3.	Written Questions (to be submitted to the RFI Coordinator via Email)	2:00 pm	September 4, 2015
4.	State Responds to Written Questions		September 11, 2015
5.	RFI Response Deadline via e-mail	2:00 pm	September 30, 2015
6.	Tentative Vendor Demo		October 12-16, 2015

2. State responses to questions and comments in the table below amend and clarify this RFI.

Any restatement of RFI text in the Question/Comment column shall NOT be construed as a change in the actual wording of the RFI document.

QUESTION / COMMENT	STATE RESPONSE
1 Unique Control number for each applicant to verify the background checks. Can you clarify? I'm not sure what this means.	The intent in theory is for the applicant to go through the background check vendor, apply and pay for the Criminal background check. Once this is complete the applicant would be given a pass or fail with a Control number that they will supply to TABC. The control number will be a means of TABC verifying the pass or fail. We are looking to the vendor for their expertise on exactly how this can be done.
2 Is there a vendor currently in place? Are	No current vendor. Hopefully the revised RFI:

QUESTION / COMMENT	STATE RESPONSE
there any current issues that are causing the State of TN to look at background screening providers?	31603-1600 released 8/28/15, will answer this question. After reviewing the questions that were being asked, we determined the RFI was not specific enough in the background information. To answer this the reason
3 What will be the next step in the selection process? When would a final decision be made?	This will depend on the time frame. The next step will either be an RFQ (Request for Qualification) or and RFP (Request for Proposal), if time allows TABC may schedule the vendors for Demo's. A decision will be made within the next 3 to 4 months.
4 For Question # 4 output of background checks performed- are you looking for a sample report?	Yes a sample of a Criminal background check that was performed on an applicant.
5 Pricing- Are you looking for package pricing or a la carte? There are pros and cons to both. Are you currently running alias names? - Was pricing to be provided at this time?	Both, pricing packages and a la carte. No, on the alias names. There will be an opportunity to submit a bid for pricing at a later time; however there is a question regarding pricing so that we (TABC) could get a general idea regarding this since it is a new service.
6 Please provide detail on Question # 11. Is this in references to discounts? Are you charging your applicant's for the background check?	There would be a fee for the applicant being X Convenience fee for TABC being Y Total the applicant pays would be = X+Y The intent behind this question is that it is the applicant's responsibility to get the background check complete and have passed it before they can be issued a license. TABC is going to award a vendor the contract to do this for the applicant, so all that person will have to do is go in and apply for the background check and supply a pass code that TABC can verify before issuing the license. TABC will be taking the guess work out of where and how to get this done. Many agencies ( example would be Driver license renewal) there is a convenience fee tacked onto the online application fee that goes to that agency for having this service set up for the applicant. That is what we are looking for in the RFI question. We are asking is this possible to be done and how?
7 Pricing: do you need pricing for only the following searches? Social Security Trace County Criminal Records Search (each over the previous 7 years) National Criminal with Sex Offender and OFAC	We need pricing for each if that is how your company bills. The Criminal background needs to be at a minimal 8 years; however we may require 10 years for certain licensing.
8 Referral or Convenience Fee: do you mean the total for the package could be x amount of dollars that the applicant pays and we give a portion of that back to you?	No, refer to state response #6

QUESTION / COMMENT	STATE RESPONSE
9 Can we add more in depth stuff to our proposal or would you prefer to just have what is requested on the Technical Informational Form?	At a minimum the technical questions on the RFI 31603-16000, must be answered , but we would appreciate any additional technical information that you would like to supply, this was the reasoning for the RFI to get as much information as possible from the respondent's.
10 Is this a new Service or is there a current vendor providing these services?	No, this is a new service.
11 If there is a current vendor, can you identify them and their current pricing?	No there is not a current vendor.
12 Please clarify your statement below: 11. Describe how a referral or convenience fee for Alcoholic Beverage Commission could be added and electronically processed separate from the applicant's fee.	Refer to state response #6.
13 Is this a new process or does the TN ABC currently have a provider? If there is a provider, can the TN ABC provide the name?	This is a new process based on TCA §57-3-224, which is requiring criminal back ground checks on certain licenses.
14 Under Section 2, Background, in the first bullet, the TN ABC references an application. Can the TN ABC provide a sample or copy of the application?	TABC has many applications, and they are on the public TN.gov/ABC site if you are interested in looking at them.
15 Under Section 2, Background, in the third bullet, is there a time limit on the counties that the TN ABC would like search (i.e., all counties in the past 7 years, 10 years or indefinitely)?	10 years
16 Under Section 2, Background, does the TN ABC require a search of all names used by the applicant (whether disclosed or developed) or just the current name provided by the applicant?	Just the current name provided by the applicant.
17 Under Technical Information Form, Question 11, please elaborate on the referral or convenience fee. Does the TN ABC desire the background check provider to capture a set fee from each applicant during the payment process to forward to the TN ABC after completion of the background check?	Refer to state response #6.
18 Are there any documents required to submit?	We need more information to answer this question. What is meant by "Are there any documents required to submit".
19 Do you want us to include alias names and High Court Fees?	No Alias's, Just Criminal background checks.
20 Why are you going out for an RFI?	This is a new service and we want to do as much research as possible before writing the requirements for bid.
21 Who is your current vendor?	This is a new service we do not have a vendor.

QUESTION / COMMENT	STATE RESPONSE
22 Can you provide your current pricing?	This is a new service we do not have current pricing.
23 On page 1 under Requirements, could you please elaborate on “Any Other Resources that may have been used to validate the information?”	What resources does your company use to do Criminal background checks and verify that the information is correct?
24 On page 3, Technical Informational Form #3, while we work with a number of organizations that have programs of similar size and scope, we generally do not provide specific company names or contact information when the information could be made public. Is it acceptable for us to submit this information on a confidential basis?	We are requesting the names of the companies for reference, however we understand that the terms of the agreements that you have with the companies is confidential.
25 On page 3, Technical Informational Form #5, we generally do not share a copy of our standard agreement when the information could be made public. Is it acceptable for us to submit the agreement on a confidential basis?	We are not asking for confidential or proprietary information, only a copy of a standard agreement that could be shown as an example of your company’s standard agreement.
26 On page 3, Technical Informational Form #10, are we correct in assuming that you would like us to provide just our approach to pricing, not a specific pricing proposal?	Yes that is correct.
27 On page 3, Technical Informational Form #12, can you please provide an overview of the background check process (e.g., who initiates the request, does the applicant pay for the check, etc.) so that we can potentially offer input on any alternative approaches that might benefit the State?	The applicant initiates and pays for the background check. TABC would be open to reviewing any information on appreciates used by vendors. The intent of this RFI is to gain information.
28 Why is this RFI being issued?	To obtain information, needed to procure the service for Criminal Background checks necessary to meet the requirements of TCA§ 57-3-225.
29 How is the TABC currently performing background screenings?	This is a new service for TABC.
30 If there is a current outside vendor performing these services, please identify the organization.	There are no outside vendors performing this service.

QUESTION / COMMENT	STATE RESPONSE
31 Please provide the current prices paid by the Alcoholic Beverage Commission for background screening services if available	This is a new service.
32 Please describe the current process for an applicant to attain a new or renew an existing permit or license from the Alcoholic Beverage Commission. Specifically, is this process initiated and accomplished in person, via postal service or performed online? If so, what are the approximate percentages for these and any other relevant methods?	This is a new service. Existing methods can be found at <a href="http://tn.gov/abc">tn.gov/abc</a> .
33 Please describe the nature of the vendors applying for licenses from the Alcoholic Beverage Commission, e.g. bars, liquor stores, distributors or other.	The initial intent for the Criminal Background check is to meet the requirement of §57-3-706, for delivery service license, but TABC plans to go across the board with all licensing which would include, liquor stores, distributors , etc.
34 Can a vendor use a unique file number generated by the vendor for the unique identifier required by the Alcoholic Beverage Commission?	The intent is for the applicant to go through the vendor apply and pay for the Criminal background check. Once this is complete the applicant will be given a pass or fail with a Control number that they will supply to TABC. The control number will be a means of TABC verifying the pass or fail. We are looking to the vendor for their expertise on exactly how this can be done
35 Are there any data standards or restrictions on the unique identifier such as number of fields, alphanumeric structure, etc.?	We are not sure at this time.
36 What is meant by the requirement for the applicant’s SSN Validation? Is this simply a Social Security Number Verification/Trace Report? If there are additional requirements for this report please specify.	Social Security number verification.

QUESTION / COMMENT	STATE RESPONSE
37 Is there any seasonality associated with the screening volume or are the monthly averages fairly similar?	The initial intent for the Criminal Background check is to meet the requirement of §57-3-706, for delivery service license, but TABC plans to go across the board with all licensing which would include, liquor stores, distributors , etc. With this being a new service, we cannot determine the volume as yet.
38 Does the TABC want the responding vendors to do so within the RFI Document or can we submit a standalone Word or PDF document?	Use the template as provided any Word or PDF documents that you need to add may be included.
39 For references, will weight be given to the use of government vs. non-government references?	We have not determined the scoring system at this time. Price is always a major factor, but we are still gathering information.
40 Is the convenience fee to be processed via an online payment system, point-of-sale collection at a TABC office or both? If possible, please provide approximate percentages to each of these payment and any other relevant categories	We value input from vendors who have accomplished this process before, any feedback will be helpful to the State.
41 Does this RFI require a Nashville or Tennessee office on the part of the vendor?	The state tries to procure with local vendors but it is not a requirement.
42 Please provide an example of an existing contract or agreement of similar size and/or scope of services.	We are looking for an example of a Criminal background check that you have done on an applicant.
43 Describe how a referral or convenience fee for Alcoholic Beverage Commission could be added and electronically processed separate from the applicant's fee.	Refer to State response #6.
44 When might this formally go out for bid?	We cannot give a specific date, but we are hoping to award a contract to a vendor within the next three to four months.
45 Do you have a current provider, and if so, are they currently under contract and until when?	No we do not have a current vendor, this is a new service.
46 If no current provider, are you submitting applications internally?	No, this is a new service based on. The following TCA code. The applicants will be required to pass a Criminal Background check in order to obtain, various licensing through Tennessee Alcoholic Beverage Commission.

QUESTION / COMMENT	STATE RESPONSE
	<i>Pursuant to Tennessee Code Annotated 57-3-406, beginning July 1, 2015, section 57-3-224 paragraph (d) "Each delivery service license shall conduct or have a third party conduct, a local &amp; national criminal background check on any potential employee that seeks to be licensed pursuant to §57-3-225. Such background check shall include a multistate criminal record locator or other similar commercial nationwide database with validation." The initial background checks will be submitted by delivery service applicants to satisfy</i>
47 How are checks currently conducted 3rd party? Internally?	Refer to state response #46.
48 If 3rd party who is it and price per check currently offered?	Refer to state response#46.
49 How soon would committee look to have vendor underway?	We cannot give a specific date but we are hoping to award a contract a contract to a vendor within the next three to four months.
50 What are the 3 key requirements the Commission seek in a vendor partnership program eg pricing, turnaround all of the above etc?	We are currently developing the requirements for this contract which is why we have posted an RFI as the first step to gather information to determine what the main requirements will be, that being said I would agree that pricing and turnaround time will be part of the key requirements.
51 Describe how a referral or convenience fee for Alcoholic Beverage Commission could be added and electronically processed separate from the applicant's fee	Refer to state response #6.
52 Is RFI # 31603-16000 a fingerprint based background check or is this check based on applicant demographic information such as name, SS#, address, etc.?	It is not a fingerprint based background check. It is a Criminal background check based on Name, SS, address etc.
53 Who is currently providing the services requested, and at what rate are they currently billing for the services?	This is a new service so we do not currently have a vendor providing this service.
54 Approximately how many checks were conducted in 2014?	N/A, New service.
55 Integration with any Applicant Tracking System?	Accela is able to read flat files or read databases directly through a web service.
56 Regarding Sex Offender Search, are you looking for a National Database search or the NSOR?	We are looking for a National Database Search.

QUESTION / COMMENT	STATE RESPONSE
57 What is your estimated annual volume?	The initial intent for the Criminal Background check is to meet the requirement of §57-3-706, for delivery service license, but TABC plans to go across the board with all licensing which would include, liquor stores, distributors , etc. With this being a new service, we cannot determine the volume as yet.
58 Who is your current provider for background screening services? Please provide their current pricing, if possible.	This is a new service so we do not currently have a vendor providing this service.
59 Why are you evaluating new providers for background screening services?	This is a new service so we do not currently have a vendor providing this service.
60 Do you currently use an Applicant Tracking System (ATS)? If so, which one?	No we do not currently use an applicant tracking system.
61 Regarding Cost Informational Form, question #11: Please clarify what information is being requested.	Refer to state response #6.
62 Will applicants be paying for their own searches, or will the Commission be invoiced?	Yes, Applicants will be paying for their own searches.
63 Would the Commission like to see a sample background check included in the response?	Yes, this could be included in the RFP.

3. **RFI Amendment Effective Date.** The revisions set forth herein shall be effective upon release. All other terms and conditions of this RFI not expressly amended herein shall remain in full force and effect.



**STATE OF TENNESSEE  
Alcoholic Beverage Commission**

**REQUEST FOR INFORMATION  
FOR  
Background Checks**

**RFI # 31603-16000 Version #2  
Re-Release Date: August 28, 2015**

**1. STATEMENT OF PURPOSE:**

The State of Tennessee, Alcoholic Beverage Commission issues this Request for Information ("RFI") for the purpose of obtaining information for the purpose of procuring a vendor to provide Applicants access to a vendor / vendor website, so that the applicant can apply to have a Criminal Background Check performed . We appreciate your input and participation in this process.

**2. BACKGROUND:**

The state of Tennessee Department of Tennessee Alcoholic Beverage Commission (TABC), hereinafter referred to as "the state", issues this request for information(RFI) for the purpose of obtaining information, regarding the service of procuring a vendor through the competitive process, who will be able to perform criminal background checks for applicants. The applicants will be required to pass a Criminal Background check in order to obtain, various licensing through Tennessee Alcoholic Beverage Commission. *Pursuant to Tennessee Code Annotated 57-3-406, beginning July 1, 2015, section 57-3-224 paragraph (d) "Each delivery service license shall conduct or have a third party conduct, a local & national criminal background check on any potential employee that seeks to be licensed pursuant to §57-3-225. Such background check shall include a multistate criminal record locator or other similar commercial nationwide database with validation."* The initial background checks will be submitted by delivery service applicants to satisfy the requirements of the TCA code. The TABC plans to require all license applicants to submit a Criminal background check, to meet TCA §57-3-706. We request input from the vendors in providing information in meeting the agency needs.

Requirements of the company that will be performing and providing results of each background check to TABC must include:

- The application with the results provided to TABC for verification of the background check
- 50 State nationwide search
- A search on all counties developed from a name and address history search
- An applicant's SSN validation
- Sex Offender Registries

- Output must include a unique control number for each applicant for Alcoholic Beverage Commission to verify the background checks.
- Any Other Resources they may have been used to validate the information
- Vendor must be capable of checking 30,000-60,000 minimum background checks annually.

**3. COMMUNICATIONS:**

Please submit your response to this RFI via email to:

Jessica King Administrative Assistant  
 Alcoholic Beverage Commission  
 500 James Robertson Parkway 3<sup>rd</sup> Floor  
 Nashville, Tennessee 37243  
 Ph. 615-741-7556  
 Fax: 615-258-3783  
 Email: [Jessica.King@tn.gov](mailto:Jessica.King@tn.gov)

3.1. Please reference RFI # **31603-16000** with all communications to this RFI.

**4. RFI SCHEDULE OF EVENTS:**

EVENT		TIME (Central Time Zone)	DATE (all dates are State business days)
1.	RFI Issued		August 24, 2015
2.	Re-Release RFI version 2		August 28, 2015
3.	Written Questions (to be submitted to the RFI Coordinator via Email)	2:00 pm	September 4, 2015
4.	State Responds to Written Questions		September 11, 2015
5.	RFI Response Deadline via e-mail	2:00 pm	September 30, 2015
6.	Tentative Vendor Demo		October 12-16, 2015

**5. GENERAL INFORMATION:**

5.1. Please note that responding to this RFI is not a prerequisite for responding to any future solicitations related to this project and a response to this RFI will not create any contract rights. Responses to this RFI will become property of the State.

5.2. The information gathered during this RFI is part of an ongoing procurement. In order to prevent an unfair advantage among potential respondents, the RFI responses will not be available until after the completion of evaluation of any responses, proposals, or bids

resulting from a Request for Qualifications, Request for Proposals, Invitation to Bid or other procurement method. In the event that the state chooses not to go further in the procurement process and responses are never evaluated, the responses to the procurement including the responses to the RFI, will be considered confidential by the State.

5.3. The State will not pay for any costs associated with responding to this RFI.

**6. INFORMATIONAL FORMS:**

The State is requesting the following information from all interested parties. Please fill out the following forms:

<b>RFI #31603-16000</b>	
<b>TECHNICAL INFORMATIONAL FORM</b>	
1.	RESPONDENT LEGAL ENTITY NAME:
2.	RESPONDENT CONTACT PERSON: Name, Title: Address: Phone Number: Email:
3.	Please provide references of any current clients of similar size and/or scope of services and how many years these clients have been utilizing your service.
4.	Please provide an example of the output of the background checks performed that meet the requirements listed above.
5.	Please provide an example of an existing contract or agreement of similar size and/or scope of services.
6.	<b>ABC will implement a Regulatory Licensing and Permit Solution through Accela in May of 2016.</b> Do you have the ability to interface with any licensing and permit tracking solutions?
7.	How many customers have you developed an interface for with your system and/ or information?
8.	What is the typical Service Level Agreement with your existing customers?
9.	What is the guaranteed availability for your system?
10.	Over the last two years, have you met all SLA's established within your contracts?

<b>QUESTIONS TO RESPOND TO</b>
11. What is the average turnaround time on an applicant's background checks?
12. How do you handle additional names, aliases, misspelled or key punch errors?
13. Describe what types of standard <b>management</b> reports are available and an example?
14. Will the applicant be issued a tracking number for verification that the background check was performed?  With the tracking number, will TABC be able to review the information?
15. Does your service provide the ability to determine, based on TABC requirements, automated return of pass or fail?
16. How do you handle disputes? Example: pass or fail, Criminal charges found on background check. Describe process for an individual to question the accuracy.
17. Describe your method for receiving electronically and transmitting reports electronically.
18. Is your information encrypted/ If so, how?
19. Describe your backup system.
20. What is your retention policy for records?
21. What demographic information do you require to run the background check on the applicant?
22. How long has your company been providing Criminal background checks?
23. What makes your company unique from others?
24. Have you provided services to an agency of this size or comparable to the Tennessee Alcoholic Beverage Commission?  a. If so what services have you performed?  b. Can you supply a copy of that contract?
25. How many years are you capable of searching the criminal background on an applicant?

<b>COST INFORMATIONAL FORM</b>
26. Describe what pricing units you typically utilize for similar services or goods (e.g., per applicant , each, etc.:
27. Pricing (indicate if pricing should be on individual services or on a package basis):

28. Describe how a referral or convenience fee for Alcoholic Beverage Commission could be added and electronically processed separate from the applicant's fee.

**ADDITIONAL CONSIDERATIONS**

29. Please provide input on alternative approaches or additional things to consider that might benefit the State:

30. Describe any lessons learned from other projects that the State may consider when implementing this service.