## REQUEST FOR PROPOSALFORA TECHNOLOGICAL SOLUTIONFORREQUESTING-ENTITY

### RFP Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date issued: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Date of Service Provider Meeting: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Service Provider Meeting Location: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Date Proposal Due: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Purchasing/ Contract/ Project Manager: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Contact E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

### Original Link of Solicitation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

This Request for Proposal (RFP) template is offered, without warranty, to help agencies develop their own RFPs. This document serves as a companion to the *Community Corrections Automated Case Management Procurement Guide with Bid Specifications* (1st ed.) developed by the American Probation and Parole Association. Note the title and cover page should be formatted as desired within a given agency. Most often the cover page will include an agency logo or insignia and other graphics. Herein, a plain text example, or template, is provided but agencies are encouraged to be creative with their layout. Please remove all grey boxes before finalizing accordingly.

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**COVER LETTER**

DATE:

TO: **[Computer Software Service Providers and Other Interested Parties]**

RE: Request For Proposal (RFP) for an **[Insert Technological Solution]** - Bid No. **[Insert #]**

REQUESTING-ENTITY is presently in the process of seeking new computing capabilities for **[Insert Technological Solution]**.

Enclosed is a Request For Proposal (RFP) soliciting responses to our need for **[Insert Technological Solution]**, in accordance with the guidelines and requirements provided herein. Any service provider that intends to provide a proposal in response to this RFP must submit the Notification of Intent to Bid Form, included as Attachment A. This will ensure continuing follow-up and communication during the period of proposal preparation, which may include interpretation or modification of requirements through the issuance of addenda.

Verbal or e-mail interpretations and/or clarifications shall not be binding on REQUESTING-ENTITY unless repeated in writing and distributed by this office as an addendum to all service providers.

Instructions for the preparation and submission of the responses are provided in the RFP. All copies of the proposal must be submitted no later than **[Insert Final Submission Date]**. Proposals will be publicly opened at **[Insert Date]**. The name of the submitting service provider will be read but no additional information will be announced at that time.

Any clarifying questions regarding the technical aspects of this RFP may be directed to the project or purchasing manager – **[Insert Phone/ E-mail/ Fax]**. Questions or concerns regarding any procedural aspects or significant interpretation of this RFP should be directed to the project manager in writing.

CMS Project Manager:
**[Name]**
**[Title]
[Department]**
**[Address]**
**[City, State, Zip Code]**

Sincerely,
**[Signature]**

**SECTION 1.0**INTRODUCTION

This document presents functional requirements for **[Insert Technological Solution]** to be implemented by REQUESTING-ENTITY. It was prepared by **[Insert Author/Organization Name]**.

There are two major objectives to be met by the development of this Request For Proposal (RFP). First, it is intended to establish and define a clear set of functional requirements to be satisfied for the new **[Insert Technological Solution]**. Second, it will provide overall direction to the service provider in submitting a bid that will best meet the REQUESTING-ENTITY's computing needs.

1.1 PROJECT PROBLEM, SCOPE OF ISSUE, AND PROJECT GOAL

This section should contain a description of the purpose of the RFP and specifically state what the requesting-entity intends to purchase from a service provider. In addition, this section should briefly outline current problems that have motivated the need for a new technological solution, the general scope of the problem, the goal of this specific project in relation to these problems, and the source of funding to support this solution. By clearly articulating the problem, it’s possible service providers may be able to suggest additional solutions/alternatives that may be cheaper or more cost-effective. Finally, agencies should indicate if this is the first attempt to solicit a solution and, if not, provide information concerning past attempts and lessons learned.

1.2 REQUESTING-ENTITY DEMOGRAPHICS AND DESCRIPTION

Describe the agency, its problem, numbers of officers and offenders, officer-offender ratio, number of cases, business trends, and projections of future caseload and costs. Also describe other projects that may impact or be related to this one. In addition, include relevant statutes, budgetary reports and requirements, electronic monitoring, types of offenders, if applicable the group of agencies going together to purchase a system, origins of funding, and agency’s characteristics based on location. Other items to include:

- The issuing agency and its business or mission

- Relevant facts and history surrounding the project

- Key elements of the organization chart, particularly the location and reporting relationship

- What related technology is already in place, what will stay, and what will be replaced

- Statutory and/or regulatory framework for the project

- Any funding concerns that should be shared with the service provider up front

1.3 REQUESTING-ENTITY'S COMPUTING ENVIRONMENT

This section should describe the agency’s computing environment. Is it Microsoft-based, open? What version of Office does the agency currently use? Will the agency be moving to a new system, using workstations, mobile devices, terminals, kiosks? What types of lines and speeds, hosting through clouds, data center, physical facility accommodations and ability to house staff and equipment? Is space rented, will it need to be expanded? Also include a description of current interfaces, virtualization, and internal technology staff capabilities and competency. Describe any other hardware and software considerations. Include a list of systems certifications and level of certification with other agencies or various levels within the agency.

1.4 SOFTWARE AND SYSTEMS FUNCTIONALITY

REQUESTING-ENTITY has defined a set of system requirements that are included in *Section 4.0* of this RFP. In addition, *Section 5.0* includes functions that are either operational and in use by REQUESTING-ENTITY or have been determined to be important in the new computing environment.

1.5 EVALUATION PROCESS AND SELECTION CRITERIA

REQUESTING-ENTITY's intention is to procure the most functionally complete, cost-effective solution that best meets the entity’s needs and requirements. Responses to this RFP will be evaluated and scored by a team representing selected users' groups in REQUESTING-ENTITY. The following criteria will be evaluated:

* System requirements (See *Section 4.0*)
* Company capabilities (See *Section 3.2*)
* Functional requirements (See *Section 5.0*)
* Evidence-based outcome reports to be defined (See *Section 4.8*)
* Technical environment solution (e.g., technical requirements) (See *Section 4.1*)
* Integration of/with current system including data conversion and/or integration of legacy systems (See *Section 4.0*)
* Installation (hardware/software), implementation, and training plan (See *Section 4.0*)
* Software Support Organization (PC support and helpdesk/ongoing training start up) (See *Section 4.11*)
* Solution Maintenance post implementation (See *Section 4.11*)
* Research and Development (See *Section 4.0*)
* Site visits (See *Section 2.11*)
* User documentation (See *Section 4.0*)
* Software performance record in the public sector (See *Section 3.2*)
* Service provider financial stability (See *Section 3.2*)
* Quality and clarity of proposal presentation (See *Section 3.0*)
* Cost of core system (See *Section 3.5*)
* Cost of optional products (See *Section 3.5*)
* Conformance with proposed instructions and conditions (See *Section 2.17*)
* Conformance with proposal response format (See *Section 4.0*)

Each evaluation component will be rated on a one (1) to five (5) scale where five is the highest rating. The rating will be multiplied by a weight factor to produce a total score.

Agencies will need to create a rating rubric that carefully weighs the above categories based on relevance and importance to a given project. Add weights to the various components as needed for a given solution and based on individualized project goals. In this example each of the above categories was to be rated on a 1-5 scale and multiplied by weight factor to produce a total score. If your agency already has an established method for evaluating the proposal then adjust accordingly. If not, the above example may provide a good starting point. In some cases an agency may lack the capacity or experience to evaluate technical solutions; this is especially true for smaller agencies with few or no technology staff. In this case it would be wise for the agency to look to outside experts for assistance. One caveat of procuring outside help is that they may not have a full understanding of the agency’s business processes. Bringing someone in from within the same state and with a similar background in public safety may suffice.

That said, articulating the evaluation process and selection criteria is all about communicating to perspective service providers how, at a high level, the requesting-entity will weigh received proposals. Perspective service providers should understand what is most important to the requesting-entity and that all facets are not equal. In general, mandatory system requirements, company and functional requirements, installation plans, implementation plans, training plans, research and development, service provider financial stability, service provider past performance, quality and clarity of proposal, and cost factor into any RFP, but sometimes not equally. Depending on the scope of the RFP, the goals of the project and the requesting-entity’s resources, the agency may decide that creativity in addressing the system requirements and past performance of the service provider are much more important than costs and other proposal criteria. Such a decision should be clearly communicated to the service providers/applicants by indicating the total evaluation criteria and the weighing of each to ensure submission of a bid that will best meet the agency’s needs. The requesting-entity is strongly encouraged to consult their legal department to ensure the articulated selection criteria conforms to all applicable aspects of local, state, federal, and tribal procurement requirements.

**SECTION 2.0**PROPOSAL INSTRUCTIONS AND CONDITIONS

2.1 EXAMINATION OF CONTRACT CONDITIONS

The agency will want to run the RFP through the legal department prior to the solicitation’s release. Likewise, contracts as a result of the RFP should also be scrutinized by the legal department. Agencies should consider making the RFP a part of the addendum to the contract as well.

It is the intent of REQUESTING-ENTITY, through this Request For Proposal and contract conditions contained herein, to establish to the greatest possible extent complete clarity regarding the requirements of both parties to the Agreement resulting from the Request For Proposal.

Before submitting a proposal, the service provider shall be thoroughly familiarized with all contract conditions referred to in this document, and any addenda issued before the proposal submission date. Such addenda shall form a part of the RFP and shall be made a part of the contract. It shall be the service provider's responsibility to ascertain that the proposal includes all addenda issued prior to the proposal submission date.

The service provider shall determine by personal examination, and by such other means as may be preferred, the actual conditions and requirements under which the Agreement must be performed. If, upon inspection and examination by the service provider, there are any existing conditions or requirements of the service which are not completely understood, the service provider shall contact the individual listed in *Section 2.16*.

If the service provider intends to visit REQUESTING-ENTITY, the service provider shall request an appointment through the office of **[Insert Agency Name]**. Inquiries will not be answered by other members of the staff.

2.2 NOTIFICATION OF INTENT TO BID

Responding service providers who expect to be notified of any correspondence or addenda related to this RFP shall complete the "Notification of Intent to Bid Form" (see Attachment A) and deliver/e-mail it to the REQUESTING-ENTITY or send it via registered mail, addressed to **[Insert Address]**, no later than the date specified in *Section 2.9*.

2.3 SIGNATURE AND LEGIBILITY

Each service provider's name, address, e-mail, website, and signature shall be clear and legible. The proposal shall contain a cover letter on corporate letterhead (include board of directors if available, DUNs numbers, etc.).

2.4 PRE-PROPOSAL SERVICE PROVIDER MEETING

A pre-proposal service provider meeting will be held at the date, time, and place shown in *Section 2.9*. Service providers will be afforded the opportunity to meet with REQUESTING-ENTITY staff and other appropriate personnel to clarify terms of this RFP in further detail. REQUESTING-ENTITY staff will respond to pre-submitted service providers' written questions during the meeting and will make every attempt to provide answers prior to the conclusion of the meeting. In the event additional sessions are necessary they will be posted by the REQUESTING-ENTITY and made available to all service providers. All questions posed, and responses provided, in the meetings will be disclosed to all service providers as well.

Agencies should consider holding the onsite meeting with a conference call/video conference call option for those service providers who may be unable to attend the meeting in-person (e.g., GoToMeeting, Webex).

2.5 INTERPRETATIONS AND ADDENDA

No interpretation made to any respondent as to the meaning of the RFP shall be binding on REQUESTING-ENTITY, unless repeated in writing and distributed as an addendum by REQUESTING-ENTITY. Interpretations and/or clarifications shall be requested in e-mail from REQUESTING-ENTITY, Attention: **[Insert Desired E-mail Title]**. All such written requests shall specify the Section(s), Subsection(s), Paragraph(s), and page number(s) to which the request refers. Inquiries submitted which receive a validated response will be shared with all registered applicants.

2.6 PREPARATION OF PROPOSALS

Proposals shall be prepared in accordance with Proposal Response Format, *Section 3.0*. Proposals not complying with this format may be considered non-responsive and may be removed from consideration on this basis.

2.7 SUBMISSION OF PROPOSALS

Final proposals must be received by the deadline specified in *Section 2.9*. Though electronic copies are acceptable, applicants shall provide at least one additional hard copy with an original signature delivered to the following address: **[Insert Address]** in a sealed envelope clearly marked:

Request For Proposal, Bid No. **[Insert #]**, for **[Insert Technological Solution]**

Proposals will be accepted up to, and no proposals may be withdrawn after, the time and date shown in *Section 2.9*. Service providers are responsible for ensuring that proposals are received by the above office prior to the deadline. Proposals received after the deadline will not be considered.

2.8 SERVICE PROVIDER'S COSTS

Costs for developing proposals are entirely the responsibility of the service provider and shall not be chargeable to REQUESTING-ENTITY.

In rare cases, agencies may provide limited funding for research or other support to assist in technological solutions which may aid in a given service provider’s proposal development. If assistance is available, agencies should clearly indicate this in the RFP.

2.9 PROJECTED SCHEDULE OF EVENTS

|  |  |
| --- | --- |
| \* Release of RFP document  | **[Insert Date]** |
| \* Last day to submit questions prior to pre-proposal service provider meeting | **[Insert Date]** |
| \* Anticipated Pre-proposal service provider meeting | **[Insert Date/ Time]** |
|  | **[Insert Address]** |
| \* Last day to submit "Notification of Intent to Bid Form" | **[Insert Date]** |
| \* Submission of proposals | **[Insert Date/ Time]** |
| \* Opening of responses to RFP | **[Insert Date/ Time]** |
| \* Response evaluation period | **[Insert Date]** |
| \* Recommendation to the govern to award a contract | **[Insert Date]** |
| \* Proposed contract start date | **[Insert Date]** |

Agencies should plan to keep the solicitation open for at least six weeks. Approximately three weeks from the open date, the agency should host a meeting for service providers to visit and discuss the RFP, leaving three weeks for service providers to complete their proposals after the meeting. In addition to allowing the service providers to get acquainted with the agency, the meeting can also serve as a brainstorming session where a service provider may find that they can better address the agency’s needs through a partnership with another service provider. Further, it is wise to set the meeting up with the ability for service providers not able to make the travel arrangements to participate through a conference call/video conference call setup. Final questions and answers should be due a week prior to the RFP closing date. The agency should have a final response date for questions.

Note, too short of a timeframe can create risk. A general rule of thumb; take what you think is enough time and double it.

2.10 RIGHTS TO PROPOSAL DOCUMENT

All copies and contents thereof of any proposal, attachment, and explanation thereto submitted in response to this Request For Proposal, except copyrighted material, shall become the property of REQUESTING-ENTITY and made publically available. All copyrighted material must be clearly marked. For trade secrets service providers do not wish to have shared publically, a separate document can be provided that explicitly instructs the REQUESTING-ENTITY not to post the contained material publicly.

2.11 ORAL PRESENTATION AND DEMONSTRATION AND SITE VISIT

Service providers may be required to make an oral presentation to REQUESTING-ENTITY's evaluation team during the RFP evaluation period. The REQUESTING-ENTITY and service provider will schedule these presentations at a mutually agreed upon time and location. Service providers will be informed about details of the presentation and given sufficient time to prepare for such a presentation.

Agencies should provide service providers with a script prior to the demonstration that provides hypothetical examples of what is desired and allowing the service provider to propose the solution through mock-runs of technological solutions (See APPENDIX C for an example of a service provider software demonstration script).

2.12 AWARD OF CONTRACT

Award of contract is not official until signed by authority. When signed, the solution will be made to the designated Prime Contractor (which may contain multiple subcontracts) whose proposal provides, based on selection criteria as defined in the RFP, the most cost effective and favorable solution to the REQUESTING-ENTITY (Note: See Section 2.25 for definition of Prime Contractor).

It is anticipated that the contract, if awarded, will be awarded within 60 days of the closing date for receipt of service provider proposals. Service providers must state that the proposal is valid for 60 days from the submission date shown in *Section 2.9*.

REQUESTING-ENTITY reserves the right to reject all proposals and not issue any contract based on this RFP.

2.13 PROJECTED SOFTWARE OPERATIONAL DATE AND PROJECT PLAN

In order to meet REQUESTING-ENTITY's needs, solution must allow for phased implementation as agreed upon by the agency and service provider through post-award negotiation. It is anticipated that the solution will be brought into operation by **[Insert Date]**.

2.14 MULTIPLE PROPOSALS

If the service provider wishes to propose multiple or alternative systems or software configurations, a separate proposal response should be completed for each system and submitted separately. Service providers that intend to submit multiple proposals should contact the REQUESTING-ENTITY. Failure to complete a separate response for each proposal may subject that proposal to disqualification.

2.15 PREPARATION

Service providers are expected to examine all documents, forms, specifications, standard provisions, and all instructions. Failure to do so will be at the service provider's risk. Each service provider shall furnish all information required by this RFP for each proposal submitted. Each proposal submitted shall be formatted and sectioned according to the "Table of Contents" contained in *Section 3.0* of this document. Time, if stated as a number of days, will be calendar days.

Service providers should propose their best total price for the solution or other items with freight, delivery, and installation, itemized. All proposed prices shall be firm for ninety (90) days from the public opening date or as agreed upon between the REQUESTING-ENTITY and the winning service provider.

2.16 SERVICE PROVIDER FORUM/CONFERENCE CALL, AND INQUIRIES

A Service provider's Forum/Conference Call regarding the RFP will be held at **[Insert Time]** p.m. **[Insert Time Zone]** on **[Insert Date]** (details below). In order to submit a proposal, service providers either must attend or participate via conference call at this forum.

Service providers who wish to participate via conference call must register with the REQUESTING-ENTITY by sending E-mail to **[Insert E-mail Address]** on or before **[Insert Date]**. Service providers must receive a confirmation (including the call information) from the REQUESTING-ENTITY in order to participate in the conference call. The forum will be held at **[Insert Time]**. Service providers who attend the forum should check in at the Room **[Insert Room #/ Location]** and after the meeting will be given a tour of the office and operations.

All other inquiries concerning a formal interpretation of this RFP must be in writing and must reference the RFP number on the cover of this document. Submit all inquiries by mail or E-mail to:

**[Insert Contact’s Name]**

E-mail: **[Insert E-mail Address]**

Written questions shall be submitted, and received by the person listed above, at least ten (10) days prior to the proposal due date. Questions received later than ten days prior to the proposal due date will not receive a response. Written response to binding clarification questions will be distributed to all Registered Service provider Forum Participants by E-mail at least five days prior to the proposal due date. No facsimile inquiries will be accepted.

2.17 PROPOSAL CONTENTS

The proposal will consist of four (4) separate items submitted in separate envelopes.

1. A cost proposal as detailed in Attachment B
2. Three (3) printed copies of the detailed proposal
3. A CD-ROM copy in PDF of the detailed proposal
4. A CD-ROM electronic copy of a sample end-user manual or help documentation

All four items are hereafter referred to as the "proposal packet," with the words –RFP, RFP Cost Proposal, RFP CD-ROMs, and the service provider's name and address clearly indicated on each respective envelope.

The REQUESTING-ENTITY, for evaluation, may also request one (1) electronic copy of the system documentation or sample pages as part of the final evaluation. An Internet website can be substituted for printed documentation for both the end-user manual and system documentation.

Service providers submitting proposals shall indicate the service provider's name and page number on each page of the document.

A person authorized to sign the service provider offer must initial erasures, delineations, or other modifications in the proposal.

The service providers should submit single copies of any other material that will clarify their proposal as attachments to their proposal packet (e.g., brochures, white papers, presentations, articles, etc.).

Agencies should indicate in the RFP if additional attachments are encouraged or discouraged.

2.18 ACCEPTANCE

As stated above, the REQUESTING-ENTITY intends to purchase the software services to support the described applications. Payments shall be made based on the submitted project plans and milestones as negotiated in the contract agreement between the Service provider and REQUESTING-ENTITY. The final payment will be made after the system is accepted. Acceptance will occur once the system is installed, and all specified functions for that item are tested and found to be operational as specified in this RFP.

2.19 REJECTION

The REQUESTING-ENTITY reserves the right to reject all or any proposals received by reason of the request. The REQUESTING-ENTITY will not pay for any information herein requested, nor is it liable for any costs incurred by those submitting proposals or for contract negotiations/finalization. The REQUESTING-ENTITY reserves the right to select the bidder who will best meet the needs of the REQUESTING-ENTITY. Persons or entities submitting proposals that do not meet the stated requirements will be considered in non-compliance and will be disqualified unless such non-compliance is waived by the REQUESTING-ENTITY in its discretion.

This section serves as a disclaimer to protect the agency in the event there is no suitable solution proposed or the agency does not wish to pursue a solution at this time. Note in some states entities are required to document all rejections. Agencies should coordinate the phrasing of this section so that it conforms to their local purchasing policies.

2.20 GENERAL CONDITIONS OF PURCHASE

The provisions of this acquisition are subject to approval by and the rules and regulations of the REQUESTING-ENTITY.

This section will vary based on local jurisdiction’s laws and regulations. Agencies may consider providing links to appropriate purchasing rules for the service providers.

2.21 CERTIFICATION OF PROPOSAL

Service providers shall honor that their solution shall perform as described in their proposal.

2.22 PERFORMANCE WARRANTY

Service providers shall warrant the system and its capabilities to be provided for **[Insert duration]** from implementation.

2.23 SERVICE PROVIDER CERTIFICATION

By submission of a proposal, the service provider certifies that:

* The service provider has not paid nor agreed to pay any person, other than a bona fide employee, a fee or a brokerage resulting from the award of the contract.
* The prices in the proposal 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 service provider.

The REQUESTING-ENTITY may, by written notice to the service providers, cancel any award under this RFP, if it is found by the REQUESTING-ENTITY that gratuities, in the form of entertainment, gifts or otherwise were offered or given to any representative of the REQUESTING-ENTITY with a view toward securing an order or other favorable treatment with respect to this RFP.

2.24 PROTESTS

Any prospective bidder, service provider, contractor, or subcontractor who is aggrieved in connection with the solicitation of a contract shall protest within fifteen days of the date of issuance of the applicable solicitation document at issue. Any actual bidder, service provider, contractor, or subcontractor who is aggrieved in connection with the intended award or award of a contract shall protest within ten days of the date notification of award is posted in accordance with this code. A protest shall be in writing, shall set forth the grounds of the protest and the relief requested with enough particularity to give notice of the issues to be decided, and must be received by the contact listed herein.

2.25 PRIME CONTRACTOR

If the proposal is based on a combination of goods and services from more than one service provider or corporate entity, one service provider shall be designated in the proposal as the "Prime Contractor". The contract will be awarded only to the Prime Contractor who will serve as the single point of contact. The Prime Contractor will be held responsible for all contractual obligations including the performance of all the service providers participating in the proposal and subsequent contracts. The Prime Contractor will identify all sub-contractors in the proposal. The Prime Contractor will be the controlling service provider and responsible for all aspects of service including implementation, training and initial support of the system as designated in the RFP and service provider's response to the RFP.

2.26 PROPOSAL OBLIGATION AND DISPOSITION

The contents of the proposal and any clarifications thereto submitted by the successful service provider shall become part of the contractual obligation and incorporated by reference into the ensuing contracts. All proposals become the property of the REQUESTING-ENTITY and will not be returned to the service provider.

2.27 SIGNATURE OF SERVICE PROVIDER AGENT

Each service provider's proposal and any clarifications to that proposal shall be signed by an officer of the service provider company or a designated agent empowered to bind the firm in a contract.

**SECTION 3.0**PROPOSAL RESPONSE FORMAT

In order to facilitate the analysis of responses to this RFP, service providers are required to prepare their proposals in accordance with the instructions outlined in this section. Each service provider is required to submit the proposal in a sealed package (CD, e-mail). Service providers whose proposals deviate from these instructions may be considered non-responsive and may be disqualified at the discretion of REQUESTING-ENTITY.

The proposal should be organized into the following major Sections:

|  |  |
| --- | --- |
| Section | Title |
| I | EXECUTIVE SUMMARY |
| II | COMPANY BACKGROUND |
| III | MAINTENANCE PROGRAM |
| IV | CLIENT LIST AND REFERENCES |
| V | COST QUOTATIONS |
| VI | CONTRACT TERMS AND CONDITIONS |
| VII | RESUMES |
| VIII | ATTACHMENTS CHECKLIST AND MISCELLANEOUS INFORMATION |
| IX | PROJECT PLAN |

3.1 EXECUTIVE SUMMARY *(Section I)*

This part of the response to the RFP should be limited to a brief narrative highlighting the service provider's proposal. The summary should contain as little technical jargon as possible, and should be oriented toward non-technical personnel. The Executive Summary should not include cost quotations.

3.2 COMPANY BACKGROUND *(Section II)*

Service providers must provide the following information about their company so that REQUESTING-ENTITY can evaluate the service providers' stability and ability to support the commitments set forth in response to the RFP. REQUESTING-ENTITY, at its option, may require a service provider to provide additional documentation to support and/or clarify requested information.

The service provider must outline the company's background, including:

* Length of time the company has been in business
* A brief description of the company and recent mergers in last 5 years that pertain to this project
* Company size and organization, governance (e.g., board of directors, annual report)
* As available three years of financial information, data, or statements
* Licenses or certifications (technical certifications to ensure quality)
* Any litigation of concern to the project
* Government Tax ID #, most recent Dun & Bradstreet report
* Top 3 company executive officers or similar (if required by statute) [or similar]
* If available most recent EEO Report
* Organizational chart depicting a breakdown of employees per department (positions only)

The crux of this section is for the agency to get a full understanding of the service provider, their history, and their potential strengths and weaknesses. In some cases, agencies may want to know if support services have been outsourced, if the company is in good financial standing, and capable of appropriately handling sensitive criminal justice information. Though newer service providers introduce some risk, agencies should thoroughly analyze all proposals. Cloud computing-based service providers, for example, may not have extensive organizational histories but may be quite capable.

3.3 MAINTENANCE PROGRAM *(Section III)*
Specify the nature of any post-implementation support provided by the service provider including:

* Method of support (web portal, toll-free telephone, etc.) and hours of operation
* Delivery method of future upgrades and product enhancements
* Availability of users groups
* Problem reporting and resolution procedures
* Local or offshore support

3.4 CLIENT LIST AND REFERENCES *(Section IV)*
Service providers must provide at least three client references that are similar in size and complexity of REQUESTING-ENTITY that have licensed the proposed software for a comparable computing environment. Information should include at the minimum:

* Contact
* Title
* Address
* Phone
* Email
* Date of implementation
* Software licensed and implementation status
* Services provided
* Hardware environment

3.5 COST QUOTATIONS *(Section V)*
The service provider's cost quotations must be itemized. (i.e., license fees, source code, object code, implementation and training, modifications, documentation, maintenance, and hourly rates). Costs for application source code and object code must be included as part of overall cost quotation.

3.6 CONTRACT TERMS AND CONDITIONS *(Section VI)*
In this section, the service provider is to state any exceptions to the conditions listed in *Section 6.0* of this RFP deemed important by the service provider. Sample license and maintenance agreements should also be provided in this part of the service provider's response. This section is intended to form the basis for the development of a contract to be awarded as a result of the RFP.

3.7 KEY EMPLOYEE RESUMES *(Section VII)*
Service provider must make every effort to select staff for the project based on the client's needs (e.g., security clearance, background checks). Applicable resumes should be included in this section.

3.8 ATTACHMENTS CHECKLIST AND MISCELLANEOUS INFORMATION *(Section VIII)*
Service provider must complete RFP attachments checklist. Miscellaneous proposal information should also be included in this section.

3.9 PROJECT PLAN *(Section IX)*

Service provider shall submit a detailed project plan for scope of work as requested with milestones and time estimates.

**SECTION 4.0**

PROPOSAL REQUIREMENTS

4.1 PROPOSED APPLICATION SOFTWARE AND COMPUTING ENVIRONMENT

The service provider must present, in detail, features and capabilities of the proposed application software. In addition, the following information should be included.

* *Hardware Environment* - Describe the supported computer hardware environment in which the proposed software will run. In the event there are multiple computer systems available, list all options.
* *Operating System* - Identify the operating system that is supported by the proposed applications software and the proposed database management system in the hardware environment recommended above. In the event there are multiple operating systems available, list all options (e.g., Mac, Linux, Windows).
* *Database Software* (*Section 3.5*) - Describe the database in use. Provide a description of the Relational Database Management System (RDBMS) required to support the computing environment. List any fourth generation features utilized in constructing the proposed application software and any optional end-user productivity tools. In addition, what report generators will be made available (e.g., Crystal Reports).
* *Security Measures* – Encryption and user-defined access.
* *Back-up and Recovery Processes* – Frequency and location of back-up servers.
* *Information Sharing and Integration* *Capabilities* – Explain considerations for sharing information, receiving information, or the continuation of information sharing with other agencies (e.g., VINE, NIBRS, ICOTS, N-DEx, and other NIEM-conformant information exchanges). Specifically, provide a description of the system’s flexibility and ability to support future information sharing needs using Global standards. Specifically explain how REQUESTING-ENTITY can directly access underlying system capabilities and information stored in the database (ODBC, FTP, web services, etc.).
* *Physical Infrastructure* – System documentation, manuals, and training needs.

List the operating system software support products required to support the recommended computing environment and any additional service provider software products required to support your proposed application software. In addition, service provider must provide programming languages used for application source

4.2 FLEXIBILITY, AGILITY, and INTEGRATION

The automated case management system must be designed with the recognition that REQUESTING-ENTITY will have ever-changing requirements. As such, it needs to utilize a Relational Database Management System (RDBMS) to perform state-of-the-art computing functions and provide capabilities for directly accessing underlying data and system capabilities.

Flexibility must be provided to meet external and internal management reporting and information sharing requirements. This requirement can be met by providing user-controlled sequence, frequency, and content specification for production reports, and by either providing a modern report/retrieval system for ad hoc report requests or the availability of an end-user report/retrieval facility associated with the database product.

REQUESTING-ENTITY intends to implement a distributed environment which provides the ability for users to take control and responsibility for their data. To accomplish this, the new system should provide end-users with the ability to enter data in an on-line interactive mode.

The solution must use an integrated database transcending functional areas. It must operate from a single data element dictionary addressing the entire system, with common update and query capability.

Some additional considerations, agencies should include the use of user-defined fields, defined screens, orientations, customization of menus, name menu items, re-ordering, sorting, and general end-user customization. It may be desirable to have a single user-screen or an otherwise customizable screen (e.g., dashboard). In addition, the solution should contain a reference to the agency’s organizational structure in the sense that changes within the organization can be accurately reflected within the system. This includes changes in policy which may impact information being exchanged with external agencies.

4.3 PROCESS CONTROLS AND INFORMATION QUALITY

The system should provide the following process controls:

* Comprehensive edit controls which, for example, prevent incomplete or incorrect data from being processed
* Programmatic control of the process flow to prevent information from being processed in the wrong sequence
* Processing cycles completed in a logical, prescribed order
* Integrity of data entering the database, safeguarded through editing criteria
* Checks to ensure data is entered
* Mandatory edits, data validations, single data entry checks and cross-reference population
* Auditing quality capability out of the database to cross-check information and monitor any missing information (sampling/comparison)

4.4 DATABASE TECHNICAL REQUIREMENTS

REQUESTING-ENTITY requires a relational type database (e.g., SQL Server 2005). This section contains the requirements for the Relational Database Management System (RDBMS) used to control the primary data storage for all software components. The service provider must recommend a RDBMS product or identify RDBMS products, which can be used in support of the service provider's software. Consideration of Database constraints:

* Multi-Tasking - The RDBMS must permit simultaneous database access, permitting simultaneous access to files and queuing update requests at the record or field level when field contention prevents simultaneous updates. In addition, it must permit concurrent processing of batch and on-line jobs accessing the same data files and database.
* Independence - The RDBMS must be independent of terminal type or transaction type and be able to be accessed from any terminal in the network.
* Logging, Restart, and Recovery - The RDBMS must provide restart capabilities, as well as database access activity logging and blackout.
* Performance and Activity Statistics - The RDBMS must support performance monitoring tools and activity statistics reporting features. Statistics should be available on database access rates (both update and query) by program, terminal, and ID, and by time of day.
* Administrative Tools - The RDBMS should include a powerful set of administrative tools to monitor utilization, trace database access chains, optimize schema and sub-schema definitions, model, report areas/pages percent full, and to optimize file placement and layout.
* Relational Database Characteristics - The RDBMS should utilize the concept of user views whereby pseudo-schema are defined and stored for utilization by users without the users becoming involved in the actual schema and sub-schema structures of the database. The system should provide a security system to control utilization of user views by user ID, account, and activity.
* Data Dictionary Facility - The system should include an active integrated data dictionary. This dictionary should be an integral component of the data access capabilities, including the definition of both data attributes and values.
* Data Import Facility - The system should include a data import facility which permits transferring data from other data files into the database.
* Data Access - All data must be available for read and update, not only through the RDBMS, but also directly from COBOL and 4GL programs.
* End-User Query Facilities - The system must have end-user query facilities which permit easy access to the information in the database.

This section will need to be tailored to the individual agency’s needs. For non-technical staff, the main purpose is to know what version of SQL Server or other database program is required.

4.5 APPLICATION ARCHITECTURE AND GRAPHICAL USER INTERFACE

The service provider should specify the proposed software client/server interface standards or environments, interface definitions for linking complementary systems, application architecture (i.e., how is the application is structured between common components), graphical user interface, multiple tier architecture, and modularity.

The automated case management system must be modular in design to accommodate a phased implementation. Once implemented, the system must be able to easily expand to include new functions without major impact on the system.

4.6 SYSTEM DOCUMENTATION

Specific elements of documentation which must be available with the system include:

* Technical and Operations Manuals - On-line and Hard Copy
* Installation Documentation
* End-user Manuals – Online/hard copy
* Administrative Manuals
* Training Manuals
* Online and Help Text
* Back-up Manuals

Note, the operations manual can be used for training staff to operate the system. Further, the operations manual provides a step-by-step process of how the system will work which should reflect business processes of the agency. Agencies will need to decide if operational manuals will be completed in collaboration with the service provider or solely by the agency.

4.7 TECHNICAL DOCUMENTATION

Users' manuals for the proposed application must be provided with proposal response. Technical documentation should include the data element dictionary and schemas or adequate samples. REQUESTING-ENTITY understands that service provider's documentation might contain proprietary information; therefore, REQUESTING-ENTITY is willing to sign a non-disclosure agreement at service provider's request.

4.8 REPORTING CAPABILITY

The service provider will need to provide a list of pre-defined performance reports (e.g., recidivism, revocation, successful completion, and time on probation). Service providers should also provide agencies the ability to edit the content and appearance of ad hoc reports. The service provider should include a description of any features that would allow a user to manage data allowing the ability to generate specialized or custom reports to access data through queries and information using a variety of formats (e.g., Crystal). Include outcome measures (evidence-based practices) that can be provided for the end-user (e.g., caseload analysis for POs) through click & point tools as well as the ability to edit and run customized queries if desired.

Software tools must be available which provide decision support capabilities. These include the ability to select a subset and/or summary database from the production RDBMS, download this information to a PC, manipulate the information using the same (or similar) tools and commands as those used on the mainframe, and upload developed information to the mainframe.

The agency should offer some description of the reporting tools they would prefer informed by a list of desirable reports. Ask the service provider what solutions they can provide or resources made available. What will the cost be for the service provider to assist in creating custom interfaces and report running? Consider asking the service providers to supply a list of 10 or 20 reports with example outputs. Agencies must also keep in mind that what’s reported must be consistent with data gathered. Also, if there are reports from a form system/solution then the agency should make note of this in the RFP as a requirement going into implementation. Agencies should also consider the audience who will be using the reports. Though most will be used by probation/parole officers in the field, are there other report needs mandated by statute or for broader organizational analysis and research?

4.9 SYSTEM SECURITY AND TECHNICAL PRIVACY

The service provider should include a detailed description of the proposed software and database security features. In particular, the REQUESTING-ENTITY requires user-defined privileges, authentication, network and database security modules; information sharing security (e.g., encryption, user-defined privileges, medical and other legal considerations, HIPAA, auditing concerns, mechanisms for tracking access and updates, interface interactions). How does the service provider’s solution address security concerns? In addition, solutions that incorporate technical privacy, and enable redacting of erroneous information through data dumps, etc. (user-defined privileges, data filters when sharing information) and consideration of local privacy laws.

Note medical and mental health information is particularly sensitive and care must be taken to secure this data and abide by all applicable laws, regulations, and global standards.

4.10 IMPLEMENTATION AND TRAINING

The service provider must provide a detailed overview of the implementation, support, and training for the proposed software. This information must include:

* Project organization chart
* Implementation and Training methodology, including proposed training plan
* Conversion
* Project Management Approach
* Estimated timeframe and deliverables for each stage of the project. Gantt Chart should be included.
* Database back-ups
* Patches, updates provided for servers, operating systems and support software
* Transition if needed to an agency who will take over the system themselves internally

4.11 WARRANTY, MAINTENANCE, AND SUPPORT

Maintenance defines what is being done in support of the software to all customers (defect support, upgrades, enhancements, helpdesk). Support is for anything in addition to these standard maintenance functions to be performed by the service provider. Customer references and site visits will be critical to evaluating this component of the proposal.

4.12 CLIENT REFERENCES

Service providers must provide at least three client references that are similar in size and complexity of REQUESTING-ENTITY that have licensed the proposed software for a comparable computing environment.

4.13 COSTS PROPOSAL

The service provider must include an itemized. (i.e., license fees, source code, object code, implementation and training, modifications, documentation, maintenance, and hourly rates). Costs for application source code must be included as part of overall cost quotation.

**SECTION 5.0**COMPANY AND FUNCTIONAL REQUIREMENTS

In addition to the responses to the requirements listed in *Section 4.0* developed by the service provider, the REQUESTING-ENTITY also requires service providers to complete this section. Service providers should use the format provided and add explanation details as necessary. The following answer key should be used when responding to the requirements:

Y = This feature is provided.
U = The proposed user tools can be used to include this feature.
F = There is a future plan to provide this feature - include and note anticipated release date.
M = Modification would be included at an additional cost: anticipated release date and cost.
N = This feature is not provided.
SC = See Comment (Use this answer key code when none of the above key codes apply).

AC = Additional cost (i.e., other cost not covered by the above categories), details referenced in cost proposal.

It would be desirable for agencies to rank the importance of each bid specification in their RFP as of low, medium, or high importance and require service providers to denote the a response using the above key next to each item. This will help the service provider prioritize aspects of the solution. The following Table is provided as an example and may be formatted/ altered as desired. Note the table is also provided in an excel spreadsheet. Finally, please refer to the American Probation and Parole Association’s *Functional Standards Development for Automated Case Management Systems for Probation* guide retrievable at <http://www.appa-net.org/eweb/docs/appa/pubs/FSDACMS.pdf>.

|  |  |  |  |
| --- | --- | --- | --- |
| **BID SPECIFICATION** | *Agency Priority (High, Moderate, Low)* | *Vender Response* | *Vendor Comment(s)* |
| **CASE INITIATION REQUIREMENTS** |
| GENERAL |
| Include offender photo imaging capability. Imaging capability should include mug shots and scars, marks and tattoos, and be compatible with image taking equipment. |   |   |   |
| Ability to scan images in a compatible file format. |   |   |   |
| Track both current and historical photographs. |   |   |   |
| Record, track and report demographic data of each offender including unlimited historical tracking of information regarding residence, aliases, criminal history, marital status, education, and employment on active and inactive clients. All addresses should be geocoded and include residence, treatment, community service, and employment, with historical tracking. Addresses need a special attribute table to track items like halfway house, nursing home, adoption, foster care, etc. |   |   |   |
| Historical tracking of client health and substance abuse needs (medical, mental health, and substance abuse). |   |   |   |
| Record and track person based flags (e.g., offender alerts). |   |   |   |
| IDENTIFICATION NUMBERS |
| Provide for unlimited number of identification numbers for each offender from originating criminal justice agency. |   |   |   |
| Provide for an unlimited number of locally used probation offender identifiers. |   |   |   |
| Provide for both offender and case specific identifiers. |   |   |   |
| Allow an unlimited number of identification numbers/alias fields with a reference text box that can be associated with a person (SSNs, Driver’s License, etc.) for identification from internal or external agencies. |   |   |   |
| Include specific fields for federal and state identification numbers. |   |   |   |
| SEARCH CAPABILITY |
| Search by offender specific identifiers such as full name (including alias names, scars, marks, and tattoos), partial name spelling, date of birth, social security number, etc. and navigate directly to the selected record from the list of candidates when there is more than one match. |   |   |   |
| Search by any criminal justice identifier including state and local ID numbers. |   |   |   |
| Search by criminal case numbers and navigate directly to the selected record. |   |   |   |
| Search on various combinations of a specific individual, criminal justice or case identifiers. |   |   |   |
| Include Soundex or similar search capability functionality. |   |   |   |
| Search for selected address. |   |   |   |
| Search on offender physical criteria (height, weight, eye color, etc.) in order to provide photo line-ups. |   |   |   |
| Provide for method(s) to limit overly wide searches (e.g., everyone with a last name beginning with "S"). |   |   |   |
| ADDING CLIENT RECORDS |
| Allow entry of reason for initiation (e.g., new case, intra or inter-state transfer, previously-closed case that has been reopened). |   |   |   |
| Prompt user when cases, defendants, offender, or victim already exist that relate to new case (e.g., defendants or offender has other cases, aliases), followed by user-initiated search for duplicate offender to avoid redundant data entry. |   |   |   |
| Link groups of related cases, defendant, and offender (e.g., several cases involving the same individual). |   |   |   |
| Allow automated case record creation from stakeholder systems (i.e., if pretrial has established the record allow it to be downloaded into the probation system). |   |   |   |
| CLIENT MASTER RECORD |
| Allow for maintenance and retention of multiple aliases for a person. |   |   |   |
| Allow for maintenance and retention of a client's physical description (height, weight, build, hair and eye color, facial hair, scars, marks, tattoos, etc.) including history. |   |   |   |
| Allow for maintenance and retention of a client's place of birth. |   |   |   |
| Provide flag or other indicator that an interpreter is required to effectively interact with the offender. Have ability to indicate individual’s primary language. |   |   |   |
| Record and track citizenship status, place of birth, nationality, and/or Immigration status. |   |   |   |
| Track primary language. |   |   |   |
| Track English language skills. |   |   |   |
| Include known threat group affiliations. |   |   |   |
| Include known communicable diseases, disabilities, etc. |   |   |   |
| *ADDRESSES* |
| Allow for maintenance and retention of multiple current and historical addresses, with beginning and ending dates. Database should allow for storage of an x, y coordinate associated with each address (for local geocoding). |   |   |   |
| Allow for maintenance and retention of multiple cohabitants with identifying information for each address. |   |   |   |
| Provide for efficient assignment of offender to facilities such as jails, shelters, prison, etc. Information of the facility to include the name of the facility, address, phone, contact person(s), and other pertinent information. |   |   |   |
| Provide an efficient way for users to create new, deactivate, and (given permissions) purge addresses of various types, capturing the date of each operation on an address. |   |   |   |
| Ability to automatically cross-check an address for validation purposes. |   |   |   |
| *EMPLOYMENT* |
| Allow for maintenance and retention of multiple current and historical employment records, with status, beginning and ending dates, including name of employer and address. |   |   |   |
| Allow for maintenance and retention of corresponding contact information (coworkers, supervisors) for each employment record. |   |   |   |
| Record number of hours worked and income for each employer. |   |   |   |
| *SCHOOL INFORMATION* |
| Allow for maintenance and retention of multiple current and historical school records, with status, certificates or degrees earned, grade, beginning and ending dates, name of school, and address. |   |   |   |
| Allow for maintenance and retention of corresponding contact information (teachers, counselors, etc.) for each school record. |   |   |   |
| Record school disciplinary actions and history. |   |   |   |
| Record and track school status (e.g., enrolled, expelled, suspended, etc.). |   |   |   |
| *PERSONAL INFORMATION* (Record information in the following areas) |
| Family background |   |   |   |
| Military History |   |   |   |
| Threat group/gang affiliation (name of gang, moniker, etc.) |   |   |   |
| History of assaultive behavior |   |   |   |
| Abuse History |   |   |   |
| Record and track an unlimited number of phone numbers for a person. |   |   |   |
| Record and track multiple emails addresses for a person. |   |   |   |
| *CONTACTS* |
| Record data regarding persons related to the offender (family, friends, neighbors, known associations with peers, etc.) including but not limited to name, relationship, address, phone number, etc. For case specific relationships (e.g., victims) have the ability to associate the relationship to the specific case. |   |   |   |
| For juvenile record and track parent or guardian information. |   |   |   |
| For adults track children information. |   |   |   |
| Track any Child Protective Services involvements of juvenile and parents. |   |   |   |
| *NEEDS SCREENING* (Record information in the following areas) |
| Medical condition (flag for communicable diseases, etc.) |   |   |   |
| Mental Health condition |   |   |   |
| Substance Abuse condition |   |   |   |
| Treatment history |   |   |   |
| *OTHER* |
| System should assist in indicating where DNA testing is required (based on offense) and track the administration of DNA tests (date performed, administered by whom, etc.). |   |   |   |
| Record required registrations of offender (e.g., sex offender). |   |   |   |
| CASE DEFINITION |
| Support an unlimited number of cases per offender. |   |   |   |
| Support formatting of a case number to meet local requirements (specify format). |   |   |   |
| Support agency specified case "Types." |   |   |   |
| For an offender, support distinct case related information for each case including distinct charges, arrest information, bail settings, hearings, warrants, dispositions, and conditions. |   |   |   |
| Allow categorization of a case with multiple attributes such as, but not limited to, domestic violence, hate crime, violent offense, interstate compact case, etc. |   |   |   |
| Integrate a person's current and past criminal information for reporting. |   |   |   |
| Display on the same screen all cases, current and past, linked to a person with drilldown to case details. |   |   |   |
| CHARGE DEFINITION |
| Support an unlimited number of charges per case. |   |   |   |
| Record an unlimited number of attributes per charge (e.g., statute enhancers and modifiers). |   |   |   |
| Track arrest, conviction, prosecution, and disposition charges and status. |   |   |   |
| For each charge, track the sentence, sentence credit for time served, and any suspended time. |   |   |   |
| Record action taken by District Attorney on each charge. |   |   |   |
| Record NCIC and NIBRS codes. |   |   |   |
| Track changes in modified, amended, or dismissed charges from point of arrest or initial filing through disposition. |   |   |   |
| Track user specified types of sentencing conditions, including but not limited to, conditions of probation, financial levies, jail time, treatment programs, classes, program registration, etc. |   |   |   |
| Track conditions at the person, case, and charge level. |   |   |   |
| Allow for the ranking of charges or indication of most serious charge. |   |   |   |
| Allow for a DNA required flag to be indicated for specific charges. |   |   |   |
| RISK/NEEDS ASSESSMENTS |
| System has a risk assessment function that calculates a probationer’s risk level according to agency established criteria. Multiple assessments may be on file. |   |   |   |
| A final composite risk score should be prominently displayed. |   |   |   |
| System has a needs assessment function that calculates a probationer’s needs according to agency established criteria. Multiple assessments may be on file. |   |   |   |
| Domain assessment scores should be clearly ranked to show the highest need of probationers/parolees. |   |   |   |
| Provide for creation of customized assessments/surveys by local agency. |   |   |   |
| Track and display history of previously administered assessments. |   |   |   |
| Allow for integration of existing third party assessment instruments (e.g., LSI). |   |   |   |
| Lock assessments to prevent modifications once completed. |   |   |   |
| Allow supervisors to review assessments and maintain an audit trail of the review. |   |   |   |
| Allow supervisors with appropriate permission to override assessments; log user and reason for override. |   |   |   |
| Track supervision level of offender (e.g., high, medium, low). |   |   |   |
| INVESTIGATION REPORTS (PSIs) |
| Support the ability to create, assign, and track different types of investigative reports including pre-sentence investigations (PSIs). Generate a checklist of items to complete to prepare an investigation report. |   |   |   |
| Record dates, times, and identity of person performing each checklist item. |   |   |   |
| Track when an offender is scheduled for an interview and completion of the interview. |   |   |   |
| Generate a pre-sentence investigation or pre-disposition face sheet. |   |   |   |
| Generate a pre-sentence investigation or pre-disposition report including narratives or equivalent as a by-product of data entered in the system. |   |   |   |
| Record client and third party statements from family members, school officials, employers, interested parties, victims, and others collected during the pre-sentence investigation. |   |   |   |
| Record and track personal injury information of victim. |   |   |   |
| Record and track property damage/loss of victim. |   |   |   |
| Record and track insurance coverage of victim. |   |   |   |
| Record agency’s sentence recommendation. |   |   |   |
| Record aggravating and mitigating factors that affect the agency's recommendation. |   |   |   |
| Display a list of all active and closed PSI records on command. |   |   |   |
| Display via graphic indicators at what stage the PSI is in the process (i.e., what work items have been completed vs. what work items remain to be done). |   |   |   |
| Red-flag any assigned work not completed within the required timeframe. |   |   |   |
| Produce statistics counting PSI reports by various criteria. |   |   |   |
| Provide for supervisor review, editing and approval as well as auditing of PSI reports. |   |   |   |
| Provide ability to lock the investigation report upon completion. An administrator should have the ability to unlock the report at which point a reason should be indicated. |   |   |   |
| Track the resulting disposition (outcome) of the ordered investigation. |   |   |   |
| VICTIM INFORMATION |
| Provide person search capability to determine if victim exists elsewhere in the system and relationship to offender. |   |   |   |
| Determine if victim is registered with VINE or another notification service. |   |   |   |
| Reuse an existing person record for victim records. |   |   |   |
| Provide application security to protect victim information as required. |   |   |   |
| Record and track victim contact information. |   |   |   |
| Record and track victim demographic information. |   |   |   |
| Record and track personal injury information of victim. |   |   |   |
| Record and track property damage/loss of victim. |   |   |   |
| Record and track insurance coverage of victim. |   |   |   |
| Record and track protective orders including any extensions. |   |   |   |
| Record and track any social services provided or referrals made to victim. |   |   |   |
| Provide ability to secure victim information so that only certain defined users with appropriate need have access to it. |   |   |   |
| STAFF ASSIGNMENTS/TRANSFERS |
| Support assignment of multiple staff members performing multiple roles (case manager, investigative officer, etc.) to an offender. |   |   |   |
| Support assignment of staff members to units (with an assigned supervisor). |   |   |   |
| Maintain history of all unit and staff member assignments to an offender. Record and track removal date and reason of case manager to offender. |   |   |   |
| Reassign/Transfer probationers to another unit or case officer either by single client or through a batch process whereby entire or partial caseloads can be transferred without editing each file individually. |   |   |   |
| Maintain information regarding the officers involved in the transfer (name of officer transferred from and to). |   |   |   |
| Maintain information regarding the units involved in the transfer. |   |   |   |
| Record the individual who made the electronic transfer or re-assignment. |   |   |   |
| Notify supervisors and officers when they are assigned a new offender. |   |   |   |
| **CASE PLANNING REQUIREMENTS** |
| NOTES (CHRONOS) |
| Allow for chronological entry of notes by date, time, and author with coding capability as to type (and subtype where appropriate) of note(s). Create case notes documenting the generation of electronic documents (i.e., notices, warrants, orders). |   |   |   |
| Ability for multiple officers and supervisors to write to the same case record (case notes) and have the system record who made the entry and when. |   |   |   |
| Ability to automatically generate prompt or note to case manager if case entry is by anyone other than assigned officer. |   |   |   |
| Ability to flag notes as "Confidential" (i.e., public/private). Confidential notes are only visible to the author. |   |   |   |
| Ability to capture coded case notes and free-form narrative comments (e.g., office reports, correspondence, field visits, etc.) for an entire client’s history. |   |   |   |
| Ability to select, view, and print case notes by date, date range, and case type.  |   |   |   |
| Date and time stamp all notes. |   |   |   |
| Automatically record author of notes. |   |   |   |
| Automatically “spell check” and “word wrap” case notes and other narratives entered into system. |   |   |   |
| Lock case notes to assure they are not altered after a system specified “ink dry” period. Up until that time the originator of the note can edit the note. It is desirable for a system administrator to be able to edit a note after the note is locked with an audit trail of the edit and edit reason. |   |   |   |
| VIOLATIONS / WARRANTS |
| Identify and track cases where the offender is in violation of release conditions. |   |   |   |
| Create and track Violation of Probation Reports for clients. |   |   |   |
| Record reasons and details of Violation of Probation including conditions violated, dates, and recommended action. |   |   |   |
| Record court decision and/or resolution of Violation of Probation. |   |   |   |
| Track Violation of Probation (VOP) Reports filed by each officer including dates and results. |   |   |   |
| Track and maintain location, reasons for issuance and resolution, and status of all warrants for all defendants or offenders. |   |   |   |
| CASE PLANS |
| Before the officer begins a case plan, the initial screen should clearly display the assessment data and focus the officers on the highest risk probationers/parolees with the greatest criminogenic needs. |   |   |   |
| Support individualized case plans for offenders. |   |   |   |
| Record and track goals and objectives to be accomplished to meet a goal. |   |   |   |
| Record and track status, results, notes, start and end dates. |   |   |   |
| Case plans should be printable to be used as a ‘contract’ with the probationer/parolee to clearly state the expected behavior and elicit buy-in. The printed form should contain two signature lines with dates (one for the probation/parole officer, the other for the probationer/parolee). |   |   |   |
| INTERSTATE COMPACT SUPERVISION |
| Record and track requests for supervision by other jurisdictions to local agency. |   |   |   |
| Record and track requests for supervision by local agency to other jurisdictions. |   |   |   |
| For all accepted requests record date of request, date of acceptance/rejection, reason, referring agency information (including officer name and case number), and notes. |   |   |   |
| Record Interstate Compact and Courtesy Supervision information including agency name, contact information, case number, warrants/holds, and expiration of other agency's jurisdiction. |   |   |   |
| Record ICAOS offender number and ICAOS case number, name of sending state, receiving state, date of departure, date of arrival, etc. |   |   |   |
| Provide support to interface with the National Interstate Compact Clearinghouse. |   |   |   |
| EXPUNGE / SEAL |
| System can be configured to expunge a case record for a person. |   |   |   |
| System can be configured to seal a case record for a person. |   |   |   |
| **SCHEDULING REQUIREMENTS** |
| SCHEDULE / CALENDAR |
| Display calendars by office, team/unit, and individual officer. |   |   |   |
| Generate the officer’s calendar based upon scheduled appointments including court appearances and hearing type. |   |   |   |
| Allow supervisors access to an officer's calendar. |   |   |   |
| Provide an appointment log screen that displays all clients scheduled for a specified date, officer, and location. This screen allows for easy entry of arrival time and recording attendance of appointment. |   |   |   |
| Provide for documentation of a probationer’s visit with officer including verifying residence and employment information. |   |   |   |
| Initiate schedule of future tasks or individual or group events based on occurrence of prior tasks or events (e.g., schedule probation appearance after most recent urinalysis results are available). |   |   |   |
| Produce schedules for individuals, events, tasks, dates, and facilities (e.g., probation officer’s schedule by date). |   |   |   |
| APPOINTMENTS |
| Provide ability to schedule, modify and track appointments, tasks, and events (including non-offender based appointments). |   |   |   |
| For appointments, provide the capability to record date, time, location, purpose, status, length of appointment, and notes. |   |   |   |
| Provide an alert if a scheduled appointment conflicts with another scheduled appointment. |   |   |   |
| Provide ability to resolve schedule conflicts. |   |   |   |
| Display current and historical appointments. |   |   |   |
| Provide an officer with a list of missed appointments. |   |   |   |
| Give an officer the option of rescheduling missed appointments. |   |   |   |
| Support the recording of unscheduled offender visits. |   |   |   |
| Include an ‘Action Required’ checklist for what the probationer is required to complete or bring to the next appointment. |   |   |   |
| HEARINGS |
| Provide the ability to track and schedule court appearances (hearings). |   |   |   |
| Record for which case a hearing is scheduled. |   |   |   |
| Record and track hearing information including type (arraignment, trial, etc.), date/time, court name and location, judge, outcome, and notes. |   |   |   |
| Record individual actions or events that occur at each hearing (offender plead guilty, attorney appointed, warrant issued, bail set, etc.). |   |   |   |
| TICKLERS/ALERTS |
| Provide tickler, alerts, and prompt capability: identify events coming due or overdue, periods about to expire or expired, custody status, warrant status, officer safety concerns and events of which user should be aware based on agency defined criteria (e.g., failure to make appointment, approaching maximum expiration date, hearing dates for Violation of Probation, Supervision Plan completion deadline, etc.). |   |   |   |
| Provide for a follow-up tickler based on information entered on the chronological case note screen. |   |   |   |
| Include a messaging system to allow for automatic notification to users of important event information. |   |   |   |
| Alert the case manager when an offender is out of compliance with any court ordered conditions as related to data generated from other justice systems (e.g., law enforcement/arrest). |   |   |   |
| Provide visible alerts to system users for confidential case types (e.g., juvenile). |   |   |   |
| **MONITORING & COMPLIANCE REQUIREMENTS** |
| COURT ORDERED CONDITIONS |
| Record and display conditions (court orders) of probation. |   |   |   |
| Provide for data entry of all conditions. |   |   |   |
| Compute and enter monetary penalties (e.g., fines, fees, restitution) based on court order. |   |   |   |
| Compute and enter non-monetary provisions (e.g., work program, community service, service restitution) based on court order. |   |   |   |
| Display all cases and conditions, including financial obligations and community service, for each offender on one screen. |   |   |   |
| Enter and track financial payment plans ordered by the court. |   |   |   |
| Capture victim contact information for restitution claims. |   |   |   |
| Track the status of each condition including the termination date for each. |   |   |   |
| Indicate why a condition has not been satisfactorily completed. |   |   |   |
| Allow the manual computation and entry of probation term and expiration date of probation. |   |   |   |
| Provide automated support to compute expiration dates of probation. |   |   |   |
| COMMUNITY WORK SERVICE |
| Maintain a directory of agencies for whom Community Service or Work may be performed and their contact information. |   |   |   |
| Record and track enrollment in Community Service or Work program including agency name, type of service, status, and result. |   |   |   |
| Record and track progress in Community Service or Work program including required days/hours and performed days/hours. |   |   |   |
| Maintain balance of time owed for each person/case. |   |   |   |
| Record reasons for failure to complete work as required. |   |   |   |
| DRUG TESTS |
| System must enforce the agency’s drug testing policies and procedures and provide notification of violations. |   |   |   |
| Provide ability to track all steps in the substance abuse testing process (e.g., drug, alcohol) and provide electronic results of those tests. |   |   |   |
| Ensure the vendor’s drug test device is used as designed including the automated system timing and tracking of measurements such as specimen temperature must be read within 4 minutes of collection. |   |   |   |
| Record results from a variety of drug tests (UA, patch, etc.). |   |   |   |
| Record the valid control line and the individual panel test results for each substance tested. |   |   |   |
| Record individual panel level readings for each substance tested. |   |   |   |
| Schedule future drug tests. |   |   |   |
| Utilize a legally defensible published randomization methodology such as stratification for offender selection. Scheduling may be done by color group. |   |   |   |
| Automatically post results to case notes and alert case managers of positive results. |   |   |   |
| Capture and store offenders’ electronic signature for admissions of guilt. |   |   |   |
| Log violations of testing protocols by an offender. |   |   |   |
| Indicate drugs of choice as identified in assessments. |   |   |   |
| Indicate time since last urinalysis and the number of days since last failed urinalysis/number of days since last successful (i.e., clean) urinalysis. |   |   |   |
| Provide real-time automated reporting of testing outcomes and benchmarks against agency goals and objectives. |   |   |   |
| REFERRALS |
| Automatically create drug referral from case record with officer input to drug panels and frequency of testing. |   |   |   |
| Maintain a directory of third party service providers to whom an offender may be assigned or referred including their status (active, suspended, etc.), services provided, and contact information. |   |   |   |
| Screen offenders for entry into various programs as well as displaying criteria for entering those programs. |   |   |   |
| Provide ability to record referrals for services and programs (e.g., counseling, treatment, education, employment). |   |   |   |
| Provide ability to track progress, compliance, and completion on referrals for services and programs. |   |   |   |
| Allow referral agencies to file reports (e.g., compliance, reports) in the system to be viewed by probation officers in real time. |   |   |   |
| Maintain separate notes on any referral for services. |   |   |   |
| Record the source of funding for services provided to the offender. |   |   |   |
| JUVENILE PLACEMENTS |
| Track juveniles in Placement (adoption, foster care, group home, etc.). |   |   |   |
| Record Placement facility information, including but not limited to, Name, Type, location, contact person and information, rated capacity, placement restrictions, and notes. |   |   |   |
| Capture contact person information for facility or residence in which a person is placed. |   |   |   |
| Capture start and end dates for each placement. |   |   |   |
| Maintain and display history of previous placements. |   |   |   |
| CLINICAL TREATMENT RECORDS |
| Include dosage intensity (i.e., scheduled treatment) as a measurement of each treatment type. |   |   |   |
| Add to table to track discharge type (i.e., successful, program discharge, self-discharge, new treatment, etc.). |   |   |   |
| Maintain clinical assessments (multiple records per client, multiple records per program referral). |   |   |   |
| Maintain program referrals (multiple records possible per client). |   |   |   |
| Maintain program attendance records. |   |   |   |
| Record admission / completion dates. |   |   |   |
| Record program Type (Inpatient, outpatient, 12-step, vocational, GED, etc.). |   |   |   |
| Track the success rates of referrals by agency and treatment modality. |   |   |   |
| ELECTRONIC MONITORING |
| Record and track referrals for Electronic Monitoring. |   |   |   |
| Record and track placement on Electronic Monitoring including start/end dates. |   |   |   |
| Record and track Electronic Monitoring equipment assigned to an offender including transmitter and receiver IDs. |   |   |   |
| Record and track violations. |   |   |   |
| Record and track offender status and progress (including violations) while on Electronic Monitoring. |   |   |   |
| **DOCUMENT GENERATION REQUIREMENTS** |
| DOCUMENT MANAGEMENT SYSTEM |
| Provide ability to interface with standard Word Processing software (e.g., MS Word) to generate custom forms or letters. |   |   |   |
| Allow attachment or upload of documents (e.g., JPEG, PDF, doc) and images generated from the system and from outside the system to the appropriate offender case record. |   |   |   |
| Allow attached or uploaded (i.e., stored in the database) electronic files/documents (e.g., MS Word) to be opened by the specified program without exiting the system. |   |   |   |
| Automatically generate document from within the system without need to manually open the word processing program. |   |   |   |
| Include a library of templates for commonly used agency forms and report formats. |   |   |   |
| Support the ability of the local agency to create, modify and maintain a file of templates, including merging negotiated data contained in the system into the document. |   |   |   |
| Provide ability to digitally capture or link to images such as photographs (mug shots) or fingerprints, and to integrate such images into a document. |   |   |   |
| Associate stored or linked documents to a person or case file. |   |   |   |
| Support scanning and storage of documents with an associated document type and title. |   |   |   |
| Support digital signatures on documents produced by the system. |   |   |   |
| Support electronic signatures on documents produced by the system. |   |   |   |
| Provide the ability to save documents as a PDF to prevent modification. |   |   |   |
| Provide the ability to lock documents (e.g., MS Word and Excel) upon completion. An administrator should have the ability to unlock the report at which point a reason should be indicated. |   |   |   |
| Alternatively provide an interface to a third party document management system. |   |   |   |
| **CASE CLOSING REQUIREMENTS** |
| CASE CLOSING |
| Provide ability to close a file or case (e.g., change status to closed; update all related record keeping functions; generate required forms, notices, reports for that case). |   |   |   |
| Provide ability to record reason for file/case closure (e.g., court ordered compliance, provisional compliance, dismissal, death, transfer to another jurisdiction). |   |   |   |
| Provide ability to prevent file/case from being closed based on certain conditions (e.g., probation requirements not met, outstanding warrants, and unpaid fines) and without supervisor approval. |   |   |   |
| Provide ability to automatically close file/case based on certain conditions. |   |   |   |
| Provide a function to allow re-opening of previously closed files/cases. Retain the original reason and date for closing the record and require a reason and track the ID of the person re-opening the file/case. |   |   |   |
| Mark a case that is past its scheduled termination date with a reason. |   |   |   |
| Close all active referrals, treatments, addresses, conditions, with closing end date. Ensure all these fields have a start and end date. |   |   |   |
| **MANAGEMENT STATISTICS REQUIREMENTS** |
| REPORTING |
| Include a set of commonly used standard, evidence-based, reports as needed on phases of the probation process. |   |   |   |
| Support the ability to report on any information contained in the database. |   |   |   |
| Provide a report generation tool that can be used to extend the list of reports (e.g., MS SQL Server Reporting Services, Crystal Reports). |   |   |   |
| Allow the development of custom reports by the local system administrator. |   |   |   |
| Ability to add/manage custom reports to the application front-end report library. |   |   |   |
| Provide a simple reporting system that allows users to determine the selection criteria of a report without knowledge of database structure or SQL syntax. |   |   |   |
| Flexible and intuitive ad-hoc query and reporting facilities for users. |   |   |   |
| Provide print preview functionality. |   |   |   |
| Ability to email reports/letters/memos from application. |   |   |   |
| Ability to export and print report data. Export to Excel, PDF, XML, or comma delimited format. |   |   |   |
| Generate and print documents individually or in scheduled batches. |   |   |   |
| Provide the ability to format reports to accommodate different paper sizes and viewing layouts. |   |   |   |
| SPECIFIC REPORT TYPES |
| Evidence-based performance outcome reports by probationer, caseload, unit, etc. with the ability to store monthly performance reports. |   |   |   |
| Generate client centered report on offender criminal activity summary (prior arrests and convictions, aliases, identifiers, etc.). |   |   |   |
| Produce report on case notes by selected criteria (e.g., date, range, and type) on all file or case notes. |   |   |   |
| Produce report identifying financial status for each offender (e.g., fines, fees, restitution, etc.) by offender and case. |   |   |   |
| STATISTICS |
| Generate outcome based performance evaluation data. |   |   |   |
| Produce statistical reports based on “performance based standards for adult probation and parole” (e.g., APPA 4th edition Field Services). |   |   |   |
| WORKLOAD OPERATIONS |
| Generate and display a summary and a listing of each officer’s caseload by various criteria including type of program and supervision level. |   |   |   |
| Generate reports listing the number and type of contacts that the officer has had with a probationer within a given period of time (field visits, meetings, phone calls, etc.). |   |   |   |
| Produce statistics regarding workload by unit and officer (e.g., cases investigated, supervised, petitions drafted, cases processed, etc.). |   |   |   |
| **CASE MANAGEMENT** |
| GENERAL |
| Categorize and track cases according to a component such as regular probation, specialized caseload, pretrial, etc. with subcategories for each category, for example – domestic violence may be a subcategory of a specialized caseload. |   |   |   |
| Recognize an officer or supervisor from sign-on and display that officer's or supervisor’s complete caseload including names, compliance status, next reporting date, custody status, and alerts. For supervisors they should see the cases organized by the officers reporting to them. |   |   |   |
| Provide a user view of caseloads by officers, teams/units, and offices. |   |   |   |
| Red-flag cases scheduled to terminate/expire to allow case managers sufficient time to ensure all court ordered conditions are met. |   |   |   |
| Display all active and closed probation/parole cases on command. |   |   |   |
| Allow an officer to select a client record and move to a given screen or function (e.g., restitution, supervision, investigation). |   |   |   |
| Allow an officer to move from screen to screen or function to function (i.e., checking a restitution balance, checking fees and fine payments, checking orders and conditions, modifying case notes. etc.) while working on a specific file or case, without having to re-enter an identifier. |   |   |   |
| **SUPERVISORY MANAGEMENT** |
| GENERAL |
| Produce summary or detailed information upon request as printed reports, displays, or other required formats (i.e., file extracts, HTML, PDF, XML). |   |   |   |
| Produce information that permits monitoring conformance with performance and offender behavior (e.g., warrants) tracking criteria (e.g., case status, exception cases). |   |   |   |
| Capture and track number and duration of staff activities criteria such as assigned staff and type of activity. |   |   |   |
| Produce information showing required court appearances or other activities by probation officer. |   |   |   |
| Produce information that summarizes scheduled activities (e.g., by probation officer, case, case status, offender, case category, etc.). |   |   |   |
| Produce information that permits monitoring of program provider assignments (e.g., drug rehabilitation, etc.), decisions, performance criteria, services, and programs. |   |   |   |
| Provide mandatory exception reporting when scheduled events and groups of events do not conform to requirements. |   |   |   |
| Generate overall case closure reports (e.g., cases closed over specific period with reason closed). |   |   |   |
| Provide reports of case manager performance against defined agency benchmarks. |   |   |   |
| Provide configurable dashboards or equivalent to provide key productivity indicators. |   |   |   |
| SUPERVISION MANAGEMENT |
| Ability to display all open and closed activities (and officers) for an individual (e.g., Pre-Sentence Investigation Report (PSI), supervisions, etc.). |   |   |   |
| Ability to display, sort and print a list of officer’s and unit’s cases. Variables to select and/or sort by should include: client name, scheduled termination date, unit of probationer, date due in court, failure to report, type of caseload, and level of supervision. |   |   |   |
| Allow supervisors to view caseload information for an individual officer or group of officers. |   |   |   |
| Allow supervisor to view scheduled events for an individual officer or group of officers. |   |   |   |
| Allow supervisors to access and update all subordinate’s cases. |   |   |   |
| Allow supervisors to audit officer caseloads including workload and performance. |   |   |   |
| Provide capability to audit staff use of case management system. |   |   |   |
| Provide administration and management display screens with counts of number of returned records meeting select criteria. |   |   |   |
| Provide ability to document and track work actions performed by staff. |   |   |   |
| **SYSTEM SECURITY & DATA INTEGRITY REQUIREMENTS** |
| TECHNICAL ARCHITECTURE REQUIREMENTS |
| System must be browser-based (uses internet technology to enter and access information, not CITRIX or client-server technology or based on agency preference as needed). |   |   |   |
| System must at a minimum support a modern version of Internet Explorer (e.g., version 7.0 or higher) as well as other browsers (e.g., Firefox, Safari) as necessary. |   |   |   |
| System must be fully capable of operating with an IBM, Oracle or a Microsoft database (utilizing recent versions of each and note local preference if any). |   |   |   |
| System's database must be fully relational and require only single entry of data elements. For example, offender name records must be entered only once and linked to other tables. |   |   |   |
| Utilize either Microsoft .NET or standard JAVA Version 2 architecture. (or local preference). |   |   |   |
| Supports Web Services interfaces (Multi-tier solution supporting the client, application, and database tiers). |   |   |   |
| Network protocol must be TCP/IP. |   |   |   |
| Works on LAN or WAN. |   |   |   |
| Supports integration with Microsoft Active Directory or functional equivalent. |   |   |   |
| SYSTEM SIZING AND RESPONSE ISSUES |
| Scalable to provide ability to support a minimum of x users (x concurrent) and up to x users (up to x concurrent users). |   |   |   |
| Transactions response times must be acceptable – typical transactions should on average take no longer than 1-2 seconds (e.g., lookup of a record with a specified keyed value should not take more than 1 second, moving from one record to another should not take more than 1-2 seconds); complex queries may require 2-4 seconds. |   |   |   |
| Depending on the size of the agency, system may require the ability to handle multiple large departments, such as in a regional arrangement or a centralized system for all departments. System must be able to capture and store multiple departments’ data within the same database, but also provide the ability to configure and restrict access to data by department. |   |   |   |
| System shall be expandable to accommodate additional users, employees, departments, agencies, new application, and new functional requirements. |   |   |   |
| APPLICATION SECURITY |
| Data must be encrypted from point of sign-on and for all data transport (e.g., SSL, Secure Transport Layer). |   |   |   |
| Provide role based security access rights. Permissions should be set by user roles and include a security matrix that defines access to screens, functions, and data (types of caseloads) for specific user groups. |   |   |   |
| Access rights should be configurable to the function and module level (i.e., allow read-only access to scheduling functions, or update rights to investigations, or no access to juvenile records, etc.). |   |   |   |
| Support various types of access permissions, including no access, read only, and read, write, and delete. |   |   |   |
| Access should be able to be restricted by agency, unit, supervisor caseload and officer caseload. |   |   |   |
| Screens and functions not authorized for a user shall not be visible to the user. |   |   |   |
| System prevents non-authorized users from accessing, viewing, downloading and/or exporting data. |   |   |   |
| Provide protection against user (except System Administrator) from updating data tables directly; all user updates should be performed via the application screens. |   |   |   |
| Track the date, time, and login of any person who added, edited or deleted a record. |   |   |   |
| Provide secure login function with user ID and password to control access. |   |   |   |
| Do not display or print passwords during user entry. |   |   |   |
| Require users to periodically change their password. |   |   |   |
| Require a best practices password (i.e., minimum length, mixed characters, no personal names). |   |   |   |
| Record the date and time the last password change occurred. |   |   |   |
| Allow an administrator to reset passwords. |   |   |   |
| Allow an administrator to suspend a user ID from further use. |   |   |   |
| Allow separate security options for creation and maintenance of probation officer notes for privileged viewing only. |   |   |   |
| Provide ability for user to designate confidential information such as probation officer notes, victim and witness information, etc. |   |   |   |
| DATA INTEGRITY |
| Employ record-locking (or field locking) functionality to prevent multiple users from updating the same record at the same time. |   |   |   |
| Provide constraints to avoid duplicate records (i.e., entering the same offender, the same investigation, the same restitution transaction, etc.). Prompt user with a warning and allow override capability. |   |   |   |
| Provide table-driven, drop downs of valid values for data elements whenever possible, that are updatable by the System Administrator, to facilitate data entry and ensure data integrity. |   |   |   |
| Provide field edit logic on all date and other appropriate fields to facilitate data entry and ensure data integrity. |   |   |   |
| Provide on-screen prompts, tutorials, and help screens to assist users in the entry of correct information, codes, etc. |   |   |   |
| Ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests). |   |   |   |
| Ability to “lock” data, for legal purposes, after certain specified period of time. |   |   |   |
| Ability for select users (System Administrators) to define and re-define specific data elements to be “required” entries on a screen without extensive programming or vendor intervention. |   |   |   |
| System forces entry of legitimate values in required fields before user can proceed to another screen. |   |   |   |
| SYSTEM DOCUMENTATION AND USER HELP FEATURES |
| Provide an entity relationship diagram for all system database tables. |   |   |   |
| Provide physical database diagrams for all tables. |   |   |   |
| Provide a process model for the systems with a leveled dataflow diagram. |   |   |   |
| Provide a data dictionary for all system database tables/data elements. |   |   |   |
| Provide a context sensitive help function that can be accessed from any screen that displays help related to the screen in use. |   |   |   |
| Provide a comprehensive user's manual documenting all system operations. Manual must include screen illustrations, instructions, and step-by-step training to assist non-technical users and administrative personnel to operate the software. |   |   |   |
| AUDITING AND UTILITIES |
| Maintain history of user logons. |   |   |   |
| Maintain audit logs of all system changes, including date and time, and person making the change. |   |   |   |
| Merge or consolidate duplicate person records. |   |   |   |
| Provide ability to retrieve and restore archived data upon request. |   |   |   |
| Provide ability to seal or expunge files when ordered by the court. |   |   |   |
| Provide a utility to assist agency in adhering to the locality’s record retention policy such as the ability to purge records from the system based on specific criteria (the agency will need to specify what their record retention rules and policies are). |   |   |   |
| APPLICATION CONFIGURATION |
| Support use of the application by multiple agencies and divisions. Each agency/division may have different users, business needs, and rules. Explain your ability to support this type of environment. |   |   |   |
| Allow local agency to define values for lookup (dropdown) fields. |   |   |   |
| Support filtering of lookup values based on the value of a linked field. For example, disposition subtypes are based on the selection of a disposition type. |   |   |   |
| Allow local agency to control screen display to accommodate workflow requirements (move screens and/or turn on/off). |   |   |   |
| Provide the ability to add new custom fields of information. |   |   |   |
| Provide ability to add custom screens. |   |   |   |
| Allow renaming of key field labels. |   |   |   |
| VENDOR SUPPORT |
| Provide annual renewable maintenance and support contracts for a fixed fee that includes providing ongoing technical support and all software releases (updates, upgrades, new version releases). |   |   |   |
| Provide technical support during normal business hours. |   |   |   |
| Provide technical support during non-business hours. |   |   |   |
| Provide annual user group meetings. |   |   |   |
| Designate a specific employee or team to serve as the vendor's liaison with the County. |   |   |   |
| Maintain a customer accessible web based reporting tool for technical support/enhancement requests by the agency. |   |   |   |
| **INTEGRATED CRIMINAL JUSTICE INFORMATION SYSTEMS REQUIREMENTS** |
| DATA EXCHANGES AND INTEGRATION |
| Provide support for all existing external interfaces. |   |   |   |
| Provide support GJXDM and/or NIEM data exchanges. |   |   |   |
| Provide ability to export requested data structures into third party software. |   |   |   |
| Support electronic transfer of information from criminal justice data systems based on agency requirements. |   |   |   |
| Support electronic transfer (e.g., directly from court, other CJ agencies and Non-CJ agencies) of information, including court orders, warrants, drug test results, and other information. |   |   |   |
| Initiate case upon acceptance of electronic transfer of information and provide for additional manual data entry. |   |   |   |
| Allow for multiple numbering and index systems required by different participating criminal justice agencies (e.g., SID, PID, federal, state, and local criminal history numbers, family identification number). |   |   |   |
| Ability to submit or transfer statistical and case reporting data to administrative agencies (e.g., state, federal) electronically. |   |   |   |
| Ability to migrate/convert data from existing Probation system with option to archive closed files into the new system. |   |   |   |
| The system’s services and data should be accessible through an industry standard interface (e.g., a well-documented API). |   |   |   |
| AGENCY COLLABORATION |
| Allow access by external government agencies (e.g., the court, sheriff, district attorney, etc.) including the ability to enter and retrieve relevant information in real time. |   |   |   |
| Allow access by external private agencies (e.g., treatment providers, employment agencies, schools, etc.) including the ability to enter and retrieve relevant information in real time. |   |   |   |
| Maintain a resource directory for social service agencies such as treatment and employment agencies. |   |   |   |
| **SYSTEM REQUIREMENTS** |
| APPA STANDARDS |
| Comply with APPA MIS Functional Standards. |   |   |   |
| Comply with APPA 4th Edition, Field Service, and Performance Standards. |   |   |   |
| Provide electronic support for pre-accreditation and official APPA Accreditation Audit process. |   |   |   |
| GENERAL REQUIREMENTS - SYSTEM STRUCTURE |
| System shall be a commercial-off-the-shelf (COTS) system which, if required, can be modified by the vendor to meet the agency's requirements. |   |   |   |
| Include application modules that are fully integrated with one another to avoid redundant data entry. |   |   |   |
| Support single point of entry for all data (data does not need to be entered in multiple locations). |   |   |   |
| System can configure organizational structure of agency for management and reporting purposes (i.e., assign staff members to teams/units and teams/units to offices). |   |   |   |
| Allow tracking of clients in multiple simultaneous programs. |   |   |   |
| Support multiple Probation Offices/Sites. |   |   |   |
| Allow the local agency to define system workflow including business rules. |   |   |   |
| Provide cut and paste capability from data fields and screens to other applications. |   |   |   |
| Provide on line, context sensitive Help. |   |   |   |
| Include spell check function for memo/note and comment fields. |   |   |   |
| Provide a re-usable person record. |   |   |   |
| Provide a re-usable address record. |   |   |   |
| GENERAL REQUIREMENTS - LOOK AND FEEL |
| All entry/update/query forms and functions shall utilize a common look and feel with similar commands. |   |   |   |
| System shall be user-friendly and flow logically from screen to screen from initial intake through the close of the file/case. |   |   |   |
| Navigate through the system screens and functions for a given offender without having to re-enter an identifier. |   |   |   |
| Provide drill down/hyperlink functionality (i.e., clicking on a hyperlink will open up additional details of a record. Methods include opening up a data grid, popup window, or navigation to a separate screen). |   |   |   |
| Optionally show a thumbnail photograph of the offender on every investigative and supervision screen. |   |   |   |
| Provide visual prompts and error messages to assure that all required fields are completed. |   |   |   |
| Provide ease of learning features. |   |   |   |
| Provide ease of use features. |   |   |   |
| RECEPTION FUNCTION |
| Display all appointments (for every probation officer) simultaneously. |   |   |   |
| Log in and out all visiting clients and keep history of visits and store visitor identification. |   |   |   |
| Notify officer of waiting clients. |   |   |   |
| Interface with officers’ calendars to determine and schedule appointments. |   |   |   |
| **DETENTION REQUIREMENTS** |
| GENERAL |
| Detention system is fully integrated with supervision and investigation modules eliminating any duplicative entry and providing (subject to security permissions) the sharing of offender information. |   |   |   |
| Allow configuration of flags for standard detention alerts (no roommate, medical issues, suicide history, etc.) |   |   |   |
| Allow configuration to capture detention conduct level. |   |   |   |
| Allow configuration to adjust sentence according to conduct. |   |   |   |
| Record and manage special needs of an offender while detained. |   |   |   |
| Provide a log to record search of a youth (type, performed by, date/time, contraband found, etc.). |   |   |   |
| INTAKE / BOOKING |
| Display all persons booked and detained in the facility by type of detention, status, housing location, classification level, and scheduled release date. |   |   |   |
| Record all relevant booking information including date/time, location, type of booking/detention, classification level, and safety issues. |   |   |   |
| Include a booking checklist configurable by the local agency. |   |   |   |
| Record referring Agency information - agency name, officer name, officer ID, date, record number, charges. |   |   |   |
| Allow configuration to notify designated parties of booking or release of youth from detention. |   |   |   |
| Record personal information including name, aliases, identification numbers, demographics, physical description, addresses, phone numbers, special needs, and contact information. |   |   |   |
| HOUSING |
| Record physical housing location to the bed level. |   |   |   |
| Allow local agency to define housing structure (dorms, floors, pods/rooms, etc.) to match the layout of the local detention facility. |   |   |   |
| Maintain a directory of housing locations organized by type, location and number of open beds. |   |   |   |
| Record and manage non-associations of the offender to other persons and enforce the non-associations during the housing assignment. |   |   |   |
| Allow supervisors to override a housing assignment and record date/time, ID of person, and reason for the override. |   |   |   |
| Maintain a history of all housing movements including location, date/time, and reason for the move. |   |   |   |
| PROPERTY |
| Record and track (including release) all specific property items collected. |   |   |   |
| Record money collected by denomination. |   |   |   |
| Record search of person including type and witness. |   |   |   |
| Record contraband confiscated. |   |   |   |
| Record storage location. |   |   |   |
| Record release of property (released by, to whom, date and time). |   |   |   |
| Include an Inmate Trust Accounting system to track offender finances. |   |   |   |
| HEALTH INFORMATION |
| Medical Screening/Exam information, including but not limited to, type, date, location, examiner name, assessment notes or diagnosis, referrals, treatment, billing, and notes (multiple). |   |   |   |
| Medical Test information, including but not limited to, type, date, lab location, results, billing, and notes (multiple). |   |   |   |
| Medical Conditions - alerts/flags and description (e.g., allergies, HIV-positive, diabetic, epilepsy) both current and historical. |   |   |   |
| Mental Health Screening information including but not limited to, type, date, location, examiner name, assessment notes or diagnosis, referrals, treatment, billing, and notes (multiple). |   |   |   |
| Mental Health Treatment information, current and historical, including diagnosis, dates, types, location, medications, doctor name, and notes. |   |   |   |
| Prescription Drug information - drug name, dosage, reason for use, date started, date ended, notes, (multiple). |   |   |   |
| Prescription Ordering information - prescription #, drug name, dosage, date ordered, date received, storage location, reason for order, billing information, authorizing medical staff member, notes (multiple). |   |   |   |
| Substance Abuse information - identification of primary, secondary, tertiary drugs of choice. |   |   |   |
| Substance Abuse information - details of substance usage including amount, frequency, length and method of use. |   |   |   |
| Substance Abuse information - current and past treatment history including name/location of treatment provider. |   |   |   |
| OPERATIONS |
| *TRANSPORTATION* |
| Record and track the scheduled transportation of a person, including but not limited to, reason for transport, type of transport, transporting officer and method, scheduled and actual date/time out and return. |   |   |   |
| Display all offenders currently out of the facility. |   |   |   |
| *VISITATION* |
| Track identity of persons allowed and not allowed to visit offender. |   |   |   |
| Schedule upcoming visitations. |   |   |   |
| Record visitations including person, relation to offender, date, start/end time, location, and notes. |   |   |   |
| *INCIDENTS* |
| Record incidents that occur in the facility including but not limited to type, date/time, persons involved, details, injuries, and notes. |   |   |   |
| Maintain a history of each incident for each offender. |   |   |   |
| Include any related hearing information and results. |   |   |   |
| Include any ordered sanctions. |   |   |   |
| Include a log to record use of restraints (time in, time out, type of restraint, reason, etc.). |   |   |   |
| *OTHER* |
| Track court hearings scheduled for an offender. |   |   |   |
| Record grievances by offenders including date, type, and disposition. |   |   |   |
| Maintain a log for each shift of activities and events including type, date, activity, and recording officer. |   |   |   |
| Maintain a log for each offender where notes about the offender while detained can be recorded. |   |   |   |
| ALTERNATIVES TO DETENTION |
| Record and report on treatment programs attended while in custody including dates, types, status, progress indicators, result, and notes. |   |   |   |
| Record Date in and Date out for alternative to detention programs (support multiple event history for a single offender). |   |   |   |
| RELEASE |
| Provide automatic calculation of release dates. |   |   |   |
| Include a release display of offenders scheduled for release. |   |   |   |
| Include a release checklist including date/time and ID of officer. |   |   |   |
| Record Release to Party information - name, relationship to juvenile, address/phone number, proof of ID furnished, and date/time released. |   |   |   |
| Allow administrator to define release codes within the system. |   |   |   |
| **FINANCIAL REQUIREMENTS** |
| ACCOUNTING RECORD |
| Ability to establish and update a complete record for each case for which a financial obligation is indicated by entering offender (probationer or non-probationer) and victim information, amount owed, case information, payment schedule, etc. |   |   |   |
| Ability to enter opening balance (and original balance) for entry of old case data onto new system. |   |   |   |
| Alert user if the financial obligation and/or victim entered appears to be already on the database. |   |   |   |
| Creation of a financial obligation based upon entry of record of conviction and/or other automatically defined circumstances (e.g., DWI supervision fee based upon sentence to probation for DWI conviction or drug testing fee). Amount of obligation would be locally defined and/or by court order. |   |   |   |
| Ability to establish and revise payment schedules that can accommodate flat rate (e.g., so much per month), balloon payment (lump sum on given date) and schedules where payment levels change. |   |   |   |
| Ability to enable a given financial obligation to be satisfied by payments from more than one individual. |   |   |   |
| Automatic generation of letters to the offender and each victim and other interested parties detailing the offender’s financial obligation and the monies to be received. Variety of letters would be designed for specific situations (e.g., initial notices, failure to pay, completion of payments, etc.). Automatically generate letters to offenders delinquent on payments based upon locally-defined criteria. Nature of letter should be refined based upon amount and length of delinquency period. The system should be able to generate letters for multiple victims for the same defendant and multiple defendants for the same victim. |   |   |   |
| Financial obligation attached to case should usually be closed (make it inactive, but do not change balance due) when supervision is closed. However, also provide ability to allow the financial obligation to remain open if authorized after the probation case is closed. |   |   |   |
| Ability to make upward or downward modifications to the original obligation, documenting the date and reason, on an individual and batch basis, and track such modifications with an audit trail. |   |   |   |
| Ability to establish payment priorities among victims if authorized. |   |   |   |
| Ability to add new victims for payment after case is initially opened.  |   |   |   |
| Ability to capture free-format comments related to obligations. |   |   |   |
| RECEIPT PROCESSING |
| Set system-wide defaults to automatically divide and establish priorities (perhaps on basis of formula) for payments among different types of financial obligations (e.g., restitution, fine, penalty assessment, etc.) and different cases (multiple obligations). For example, fifty percent could be allocated to fees and fifty percent to restitution. The restitution allocation could be divided into portions for surcharge to victim. Enable user to modify (override) automatic system allocation to each victim and/or obligation. |   |   |   |
| Ability to cancel any transaction or correct input data before individual accounts are updated and void receipt transactions subsequently after a batch was updated when processing a batch of checks and money orders. |   |   |   |
| Ability to process and disburse overpayments to offender. |   |   |   |
| Ability to generate payment receipts for probationer when receipt is processed. |   |   |   |
| Ability to record payments made directly to a victim by other agencies (e.g., Crime Victim Board payments to victim). |   |   |   |
| Ability to reverse the receipt when a check is bounced and provide an alert when a check receipt is processed again for that person. |   |   |   |
| DISBURSEMENT PROCESSING |
| Sort and display a list of offenders with monies available for batch disbursement. |   |   |   |
| Allocate payments to multiple victims on a percentage basis. |   |   |   |
| Ability to flag specific victim(s) or an entire case to allow re-allocation of payments for those cases. |   |   |   |
| Ability to set minimum payment (locally defined) amount for disbursement, except for final payment. |   |   |   |
| As requested, consolidate and process one check for all surcharge, fine and penalty assessment payments to appropriate agencies and generate a report for supporting documentation. |   |   |   |
| Ability to void disbursement checks, document date and reason for voiding checks, issue replacement check and make money available for disbursement or re-allocation. |   |   |   |
| Ability to “age” checks based on local criteria before disbursement, transfer, or refund can be made. |   |   |   |
| Ability to suspend disbursements to any or all victims or for an entire case while allowing continued collection until suspension is removed. |   |   |   |
| Ability to distribute unclaimed funds to uncompensated victims and link these payments to obligation of offenders so that offender is still held to original obligation, and compensated victims are shown as paid. |   |   |   |
| CHECK PRINTING |
| Transmit checks to be printed on one or multiple printers. |   |   |   |
| Update accounting system and create a check disbursement register. |   |   |   |
| Include case and beneficiary information (including beneficiary case number) as required on check and memo field and exclude name if appropriate (e.g., Youthful Offender (YO) or Juvenile Delinquent (JD) case). |   |   |   |
| Ability to print five line address on check. |   |   |   |
| Print electronic signatures with appropriate security measures. |   |   |   |
| Accommodate bank paper stock as well as laser check printing. |   |   |   |
| FINANCIAL DISPLAY SCREENS/REPORTS |
| Display both summary case information and detailed transaction information for each financial obligation that can be easily accessed by probation officer. |   |   |   |
| Display a detailed payment history screen for case including both for all victims and for each individual victim. |   |   |   |
| Generate a Receipts and Disbursement Journal for specified days. |   |   |   |
| FINANCIAL EXTERNAL INTERFACES |
| Electronically transfer to and receive accounting data from an external agency (e.g., a financial institution). |   |   |   |
| Track the payment history for electronic records (i.e., information from bank that shows which checks have been cashed on what date, etc.) and reconcile accounting information with external agency. |   |   |   |
| Ability to interface with 3rd party or outsourced check-writing function.  |   |   |   |
| ADMINISTRATIVE FEES |
| Automatically adjust bill period of fees (e.g., From Date “A” to Date “B”) when the probationer’s disposition and expiration dates are changed. |   |   |   |
| Make an obligation “inactive” to enable the fee to be waived or modified for a period of time or for the entire probation period, and also have the ability to re-activate the obligation. |   |   |   |

**SECTION 6.0**CONTRACT TERMS AND CONDITIONS

Terms and conditions of sale are considered to be specific to each organization and are not included in this document.

**SECTION 7.0**ATTACHMENTS CHECKLIST AND MISCELLANEOUS INFORMATION

Service provider must state whether the following attachments have been included with proposal response.

Each agency will need to decide on how many and what attachments are necessary. Asking for too much information may overburden the service provider and slow the evaluation process. The following are provided as examples. Note some may be better addressed during the contract negotiation process. Another option is to list required attachments and optional attachments so the service provider can focus on specific items.

|  |  |  |
| --- | --- | --- |
| 1) | Record of Audited Financial Information  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 2) | Current Year Dun & Bradstreet Report  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 3) | Company Organization Chart  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 4) | Company EEO Report  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 5) | Help Desk Response & Resolution Statistics  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 6) | Customer Satisfaction Survey Form(s)  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 7) | Customer Satisfaction Survey Results  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 8) | Source Code Agreement (Not Escrow)  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 9) | Object Code Agreement  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 10) | Support Agreement  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 11) | Programming Languages Used  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 12) | Account Manager's Description  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 13) | Project Manager's Description  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 14) | Product Manager's Resume  | Included (Y/N) \_\_\_\_\_\_\_\_\_ |
| 15) | Proposed Software Users' Manuals (Sample) | Included (Y/N) \_\_\_\_\_\_\_\_\_ |

**ATTACHMENT A**NOTIFICATION OF INTENT TO BID FORM

As instructed in *Section 2.2*, any service provider considering the submission of a proposal in response to the RFP must forward the lower portion of this page, properly completed, to:

**[INSERT ADDRESS]**
via registered mail or hand delivered no later than the date identified in the timetable in *Section 2.9*.
................................................................
NOTIFICATION OF INTENT TO BID

Request For Proposal for **[Insert Solution]**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Company Name

intends to submit a proposal in response to the above titled RFP. Send all RFP addenda and all other related correspondence to the individual and location identified below:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Signature

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Name

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Title

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Company Name

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
Street

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
City, State, Zip code

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
(Area Code) Telephone Number

**ATTACHMENT B**

COST PROPOSAL

**THE COST PROPOSAL SHALL BE SUBMITTED ON PAPER IN A SEPARATE SEALED ENVELOPE CONCURRENTLY WITH THE REST OF RESPONSE AND AS DETAILED IN SECTION 3.5.**

Associated Cost detailed in this section should include, but not limited to, the following:

The County requests a spreadsheet / grid response with the Service provider's Proposed Total Cost of Ownership per year, first year (first year warranty should be included in the original cost of the solution on the date of acceptance), second year with maintenance, third year with maintenance, fourth year with maintenance, and fifth year with maintenance (Note: please detail all costs by year with total by year). In addition, if the Service provider provides any financing plans, details of those plans should be noted.

Examples of costs for Service providers to consider in their response:

* Initial system licenses
* Services
* Options and alternatives
* Equipment (must be listed separately)
* Software
* Software escrow costs
* Custom or modification programming itemized by application
* Operational Documentation
* Transportation
* Installation
* Training (state on site and off site costs separately)
* Training Documentation
* Other one-time costs
* Consumables
* Travel
* Taxes
* Any other additional costs.

ADDITIONAL EXPLAINATORY MATERIAL IS ALLOWED.