



COMMUNITY CORRECTIONS

# AUTOMATED

CASE MANAGEMENT PROCUREMENT GUIDE

WITH BID SPECIFICATIONS

VERSION  
**1.0**

BY ADAM K. MATZ



# APPA WORKGROUP

## **LISA BURLINGAME**

Project Coordinator/Grants Administrator  
Oklahoma Department of Corrections  
440 S. Houston, Suite 202  
Tulsa, OK 74127  
(918) 581-2465  
[lisa.burlingame@doc.state.ok.us](mailto:lisa.burlingame@doc.state.ok.us)

## **KATHY GATTIN**

Senior Project Manager  
IJS Institute  
44983 Knoll Square  
Ashburn, VA 20147  
(703) 726-3681  
[kathy.gattin@ijis.org](mailto:kathy.gattin@ijis.org)

## **HARRY HAGEMAN**

Director  
Interstate Commission for Adult Offender  
Supervision (ICAOS)  
836 Euclid Avenue, Suite 322  
Lexington, KY 40502  
(859) 721-1051  
[hhageman@csg.org](mailto:hhageman@csg.org)

## **MARK HENDERSHOT**

Division Director  
Planning, Research & Information Systems  
Superior Court of Arizona, Adult Probation  
Department  
620 West Jackson Street, Suite 3098  
Phoenix, AZ 85003  
(602) 506-0320  
[mhender@apd.maricopa.gov](mailto:mhender@apd.maricopa.gov)

## **ADAM K. MATZ**

Research Associate  
American Probation and Parole Association  
Council of State Governments  
P.O. Box 11910  
Lexington, KY 40578  
(859) 244-8058  
[amatz@csg.org](mailto:amatz@csg.org)

## **JAMES E. MCMILLAN**

Principal Court Management Consultant  
National Center for State Courts  
300 Newport Avenue  
Williamsburg, VA 23185  
Office: (757) 259-1839  
[jmcmillan@ncsc.org](mailto:jmcmillan@ncsc.org)

## **KELLY ODESTICK**

Westchester County Department of Information  
Technology  
148 Martine Ave – room 214  
White Plains, NY 10601  
(914) 995-5155  
[Kac2@westchestergov.com](mailto:Kac2@westchestergov.com)

## **ANDREW OWEN**

Justice Information Systems Specialist  
SEARCH, The National Consortium for Justice Information and  
Statistics  
7311 Greenhaven Drive, Suite 145  
Sacramento, CA 95831  
(916) 392-2550 Ext. 314  
[andrew@search.org](mailto:andrew@search.org)

# APPA WORKGROUP

## **ROBERT SCHWAB**

President  
Loryx Systems  
395 Oyster Point Blvd, Suite 120  
San Francisco, CA 94080-1929  
(650) 872-5000 ext. 117  
[robs@loryxsystems.com](mailto:robs@loryxsystems.com)

## **PETER C. STOECKLIN**

Vice President  
Marquis Software Development, Inc.  
1611 Jaydell Circle Suite G  
Tallahassee, FL 32308  
(850) 877-8864 ext. 118  
[stoecpc@attglobal.net](mailto:stoecpc@attglobal.net)

## **TOM TALBOT**

Policy Advisor  
Bureau of Justice Assistance  
U.S. Department of Justice  
810 7th Street, NW  
Washington, D.C. 20531  
(202) 514-9482  
[thomas.talbot@usdoj.gov](mailto:thomas.talbot@usdoj.gov)

## **BENJAMIN T. STOUT**

N-Dex Data Standards and Policy Lead  
N-DEx Program Office, Module B-3  
FBI/CJIS  
1000 Custer Hollow Road  
Clarksburg, WV 26306  
(304) 625-3853  
[benjamin.stout@ic.fbi.gov](mailto:benjamin.stout@ic.fbi.gov)

## **KENT TOMLINSON**

Analyst  
Colorado Judicial Department  
Division of Probation Services  
101 West Colfax Avenue Street 500  
Denver, CO 80202  
(303) 861-1111  
[ken.tomlinson@judicial.state.co.us](mailto:ken.tomlinson@judicial.state.co.us)

## **CARL WICKLUND**

Executive Director  
American Probation and Parole Association  
Council of State Governments  
P.O. Box 11910  
Lexington, KY 40578  
(859) 244-8216  
[cwicklund@csg.org](mailto:cwicklund@csg.org)

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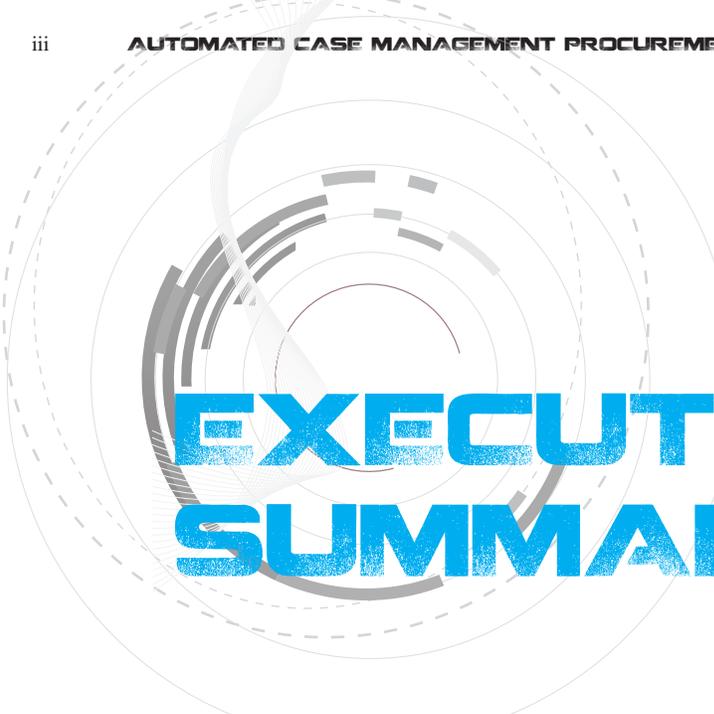
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The graphic features several concentric circles, some solid and some dashed, creating a sense of depth and movement. A stylized, light-colored figure, possibly representing a person or a process flow, is integrated into the circles, appearing to move through them. The overall aesthetic is clean and modern, with a focus on geometric shapes and light tones.

# EXECUTIVE SUMMARY

The following offers guidance to those tasked with the procurement of an automated information solution (e.g., case management system) for a community corrections agency. Currently there is a lack of concise literature to assist probation or parole agencies looking to procure or build systems that will support both their internal needs and their external information sharing needs. Too often guidance is scattered across websites of various quality full of redundancies and contradictions. Herein the process of planning and procuring a system is streamlined for the probation and/or parole professional or related information technologist. Our focus is on helping the community corrections agency prepare for technological change by describing the process from beginning to end in an easy-to-understand and straight-forward manner. That said, not everything about automated information systems will be discussed or covered (though many links and references will be provided). The process of developing a system is a highly individualized affair that must be as unique as the agency that it serves. For this reason the guidance provided is meant to provide a framework for technological advancement, not a solution per se which remains the responsibility of the host agency.

*Chapter 1* starts off with a discussion on preparing an agency for change. What systems are currently in place? Agencies should ask what efficiencies have been realized as a result of the currently installed system and what potential has yet to have been realized. Much of this information can be discovered through what's known as strategic planning. A useful tool known as SWOT (Strengths, Weaknesses, Opportunities, Threats) can assist with identifying what currently works today (and incidentally what doesn't work) and what needs to be incorporated for the future vitality of the agency. That said, many agencies possess a strategic plan that outlines the agency's mission, vision, goals, and objectives. This information is useful for planning for case management systems (CMS). How will this technology support your agency's overarching mission and goals? It's useful to create a sub-strategic plan specifically for IT (Information Technology) projects that outlines how the technology will be used. This plan should answer basic questions such as what user needs are to be addressed, activities to be automated, standards to implement,

system specifications, as well as hardware and software needs. To put this plan together a procurement team should be formulated consisting of individuals knowledgeable of technology, law, organizational politics, agency business processes, and the intra-agency working culture. The team should consist of probation/parole officers and assistants (i.e., the end-users) as well as technology and legal experts/staff. In addition to internal stakeholders it is also advisable to solicit the participation of related external stakeholders such as the courts and attorneys' offices, law enforcement, institutional corrections, legislators, local and state government, community organizations, victim advocates, and the general public.

*Chapter II* concerns the decision to buy, build, or buy and customize. Each approach comes with some advantages and disadvantages. Specifically, building a CMS requires a great deal of internal resources. For small agencies building a solution may simply be out of the question. However, larger agencies with a unified state-wide structure utilizing internal technology resources and staff may allow for greater flexibility. An agency that chooses to build a solution must incur all related costs including planning, development, testing, documentation, training, implementation, and maintenance. Software providers, however, are able to offer off-the-shelf systems at lower costs because they can reuse similar case management systems and/or solutions developed for other jurisdictions. None-the-less, agencies differ and the more customization required to fit an agency's business needs the greater the cost; in general the more unique the agency and its processes the more difficult the solution and the greater the costs.

*Chapter III* discusses the steps and tips to take prior to pulling together an RFP. Most importantly a project plan is needed which outlines the technology project's scope and objectives, timeline, budget, potential risk factors, communication strategy, and procurement considerations. As Jim McMillan and Curtis DeClue explain in their "ten tips for buying technology," agencies should 1) consider procurement strategies outside of the traditional RFP, 2) try to think like a service provider, 3) limit and phase the project scope, 4) understand longer RFP's are not necessarily better, 5) determine what resources can be provided by the agency that will assist (e.g., trainers), 6) use technology to reduce costs during the RFP process (e.g., video conference meetings), 7) provide adequate time for service providers to respond to the RFP, 8) position the project so that it sets the agency up for future success, 9) use current technology standards, and 10) allow for flexibility in the RFP by allowing for "or greater" [in terms of the latest version of software and program applications] in your request(s).

*Chapter IV* provides a lengthy discussion on information sharing, an important but mistakenly overlooked concept at the procurement stage. Here several tools and initiatives are introduced, inclusive of what's commonly referred to as the Global Information Sharing Toolkit (GIST), including the Global Justice Information Sharing Initiative (Global), Global Reference Architecture (GRA), National Information Exchange Model (NIEM), Information Exchange Package Documentation (IEPD), and the Justice Information Exchange Model (JIEM). In addition, other

helpful initiatives and concepts include the Integrated Criminal Justice Information Sharing (ICJIS), Law Enforcement National Data Exchange (N-DEx), and Logical Entity eXchange Specification (LEXS) . Being aware of these initiatives now and taking care to implement universal language when possible will result in fewer headaches later. Further, while information sharing introduces plentiful returns it also comes with its fair share of risk. As such, agencies will also need to consider privacy, security, and quality concerns and take steps to mitigate these issues accordingly.

## NOTE:

For advanced information technologist or service providers the preparatory chapters (I-IV) may be of less value as they are aimed specifically at helping community corrections agencies shape the direction of technology in line with the overarching goals and objectives of individual agencies. The agency's business should drive technology; technology should not drive the business. For this reason our focus audience is the community corrections agency. As such, the document is presented as an introductory text for officers or executive staff who may have little-to-no technological expertise. Though some may feel the text is somewhat colloquial, we cautiously avoid the technical nature of the topic as much as possible to make the product more comprehensive for agencies of all levels; state, local, or even tribal. However, that is not to say that guidance provided herein may not be beneficial to service providers or other technologists. The template Request for Proposal (RFP) contained in Chapter V and corresponding example bid specifications listed in Appendix B may prove quite valuable.

Chapter V provides complete guidance on how an RFP should be organized, what it should contain, and notes concerning content. Though each respective agency will want to customize the look of their RFP accordingly, herein rests a basic template which includes a cover page, table of contents, introduction, proposal instructions, proposal response format, and proposal requirements sections.

**SECTION 1:** Introduction concerns project scope/scope of issue/project goal, requesting-entity demographics and description, requesting-entity's computing environment, software and systems functionality, and evaluation process and selection criteria.

**SECTION 2:** Proposal Instructions and Conditions concerns contract conditions, notification of intent to bid, service provider meeting(s), proposal preparation and submission, service provider's costs, schedule of events, demonstrations and site visits, contract award, proposal rejection or acceptance, operational date, certifications, warranty, and protests.

**SECTION 3:** Proposal Response Format conveys to prospective service providers the desired structure of their proposals; executive summary, background, maintenance, client list and references, cost quotations, contract terms, resumes, attachments checklist and other information, and a project plan.

**SECTION 4:** Proposal Requirements covers specific requirements the requesting agency must have included as part of the agreement. These requirements may concern the application software and computing environment, information quality, database technical requirements, the graphical user interface, system documentation, reporting, security and privacy, implementation and training, and more.

**SECTION 5:** Company and Functional Requirements include all the specifications the agencies wish the prospective service provider to include (see Appendix B).

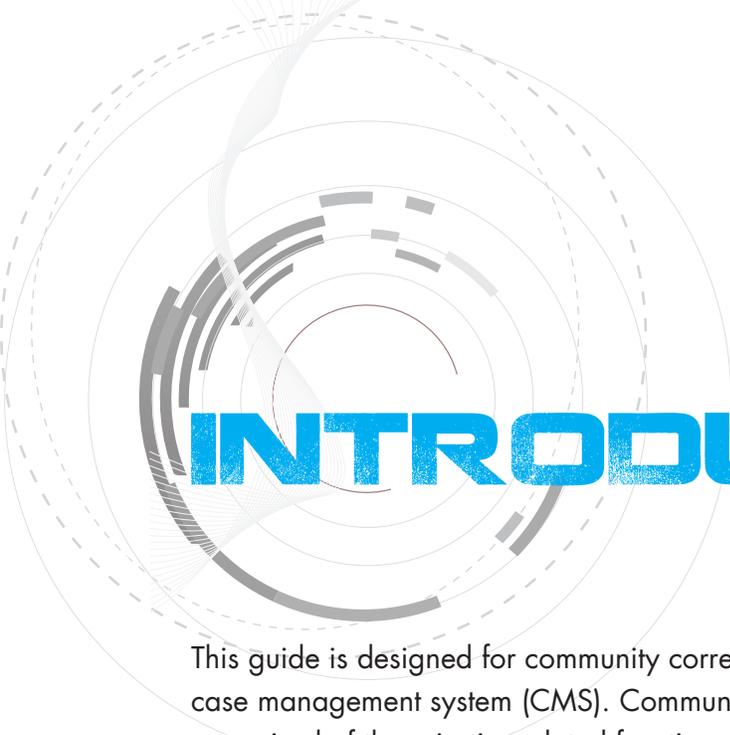
**SECTION 6:** Contract Terms and Conditions concerns contract details specific to a given agency.

**SECTION 7:** Attachments Checklist and Miscellaneous Information includes any additional attachments necessary to complete the RFP proposal which may vary based on need and local rules and regulations.

In many cases areas that can be substituted by agency information are denoted by brackets making it easy to adapt the template for personal use.

Finally, *Chapter VI* provides general guidance on strategies for evaluating proposals. Local regulations may dictate how an agency evaluates proposals in some cases. In other cases an agency may need to develop a set of criteria and a scoring rubric. The guide provides an example of criteria and respective weights according to necessity. Such criteria range from the applicant's ability to adhere to proposal instructions to economic feasibility and justification of costs. For some agencies it may be desirable to form an evaluation team (smaller agencies may wish to reuse their procurement team for this task). This team will review each proposal, using the agreed upon criteria and scoring rubric, and select two or three of the best proposals for an oral demonstration of their proposal. The demonstrations will help narrow down a selection and improve confidence that the right proposal was selected. Once a decision has been made, a contract can be constructed with the respective service provider.

It must be stressed, as highlighted in the conclusion, that while the guide will take an agency up to the point of getting the contract signed the work has yet to have begun. It's then time to actually implement the case management solution and there are some tips to improve this process including the development of an implementation plan (collaboratively undertaken by the procurement team and the contracted service provider), similar to the project plan, containing a detailed timeline. Much of the information can be lifted from the service provider agreement and previous document planning making this a less formidable challenge as what may have been experienced initially. Even if implementation appears to proceed smoothly agencies should conduct quality assurance tests. In some cases, service providers will provide these tests. If the agency possesses a technology department it would be advisable to have them perform tests as well or consider contracting a technology consultant. Finally, there will need to be ongoing long-



# INTRODUCTION

This guide is designed for community corrections agencies seeking to enhance or procure a case management system (CMS). Community corrections is generally defined herein as being comprised of three justice-related functions: pretrial, probation, and/or parole. Pretrial is the supervision of individuals (i.e., defendants) prior to a court resolution. As described by the Bureau of Justice Statistics, “probation is a court-ordered period of correctional supervision in the community, generally an alternative to incarceration... parole is a period of conditional release in the community following a prison term.”<sup>1</sup>

## THREE GOALS OF THIS GUIDE:

- Assist agencies in developing their selection process.
- Select a system that meets their functional needs.
- Select a system that meets data sharing objectives.

The needs of community corrections are often overlooked despite that, compared to the roughly two million individuals incarcerated, over five million individuals are under community supervision.<sup>2</sup> “This means that 1 in 45 adults in the United States is now under criminal justice supervision in the community...”<sup>3</sup> In addition, community corrections has received less than one out of every 10 dollars spent on corrections with the other nine going to prisons.<sup>4</sup> Though a discrepancy is not entirely unexpected as institutional corrections must cover the expenses of confinement, food, and shelter, the difference is extreme;

the average daily cost of supervising a probationer in 2008 was \$3.42 as compared to \$78.95 for incarceration.<sup>5</sup> The need for community corrections to operate efficiently under constrained resources is clear. Well designed and implemented technological solutions represent one means by which agencies can improve efficiency and timeliness in case processing and supervision practices.

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<sup>1</sup> Lauren E. Glaze & Thomas P. Bonczar, *Probation and Parole in the United States, 2008* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, 2009).

<sup>2</sup> Pew Center on the States, *One in 31: The Long Reach of American Corrections* (Washington, D.C., 2009).

<sup>3</sup> *Id.* at 1.

<sup>4</sup> *Id.*

<sup>5</sup> *Id.*, at 2.

It has often been said that probation and parole officers ‘wear two hats.’<sup>6</sup> On one hand, they are enforcement oriented with a clear focus on accountability for technical violations and reoffending. On the other hand, however, community correction officers must also reach out with a helping hand to probationers and parolees. The probation officer will often connect offenders to human services agencies capable of providing assistance in substance abuse, anger management, and cognitive-behavioral treatment. Characterized often by a ‘firm but fair’ disposition, probation officers achieve public safety by holding probationers accountable but by also helping them live a conventional lifestyle by locating opportunities for vocational training, educational attainment, and employment. There is a clear need for information sharing both within and outside of the justice domain. The Global Justice Information Sharing Initiative promoted by the U.S. Department of Justice and Department of Homeland Security provides guidance in information exchange at the local, tribal, state, and federal level and is discussed briefly within this guide (Chapter IV).

There is currently little guidance for probation and parole agencies or consortium of agencies on what would constitute a state of the art technical solution for a case management system. Consequently, agencies are developing, enhancing and purchasing systems that do not effectively meet their needs or allow them to share information across domains within the justice community or other necessary information sharing partners. Many current systems in use or being developed lack an awareness of NIEM (National Information Exchange Model) or have no consideration for the Global Justice Reference Architecture (GRA) or the Global Justice Information Sharing Initiative designed to help community corrections agencies share data among like agencies as well as with law enforcement, treatment providers and other justice stakeholders. In short, these systems will struggle technically to share information across domains. Exacerbating the issue, many agencies lack the funds necessary to purchase additional components and functionality to support information exchanges after the core system has been procured. It is therefore imperative the initial purchase nets the agency the greatest compatibility and flexibility possible.

To address this concern the American Probation and Parole Association (APPA), with the assistance of a workgroup consisting of a wide array of professionals in community corrections and technological solutions, developed this guide. The guide covers the stages of technology procurement from start to finish and discusses project planning (e.g., strategic planning, forming the procurement team, project management, needs assessment, business process mapping), build or buy (or buy and customize), preparing for procurement (e.g., development of a project plan, information sharing considerations and resources), RFP construction, proposal evaluation and contract development, and concludes with a discussion of implementation and ongoing maintenance. In addition to serving as a guide to community corrections agencies, it is also expected this document will provide more direction in the RFP process to service providers, enabling them to more quickly and efficiently respond to and meet agency requirements. As a result, though not a guarantee, a cost savings may be realized through the use of this document, including the many sources referenced throughout, in the form of development time reduced for both the agency and the service provider. ●

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<sup>6</sup> D. Murphy & F. Lutze, “Police-Probation Partnerships: Professional Identity and the Sharing of Coercive Power,” 37 *Journal of Criminal Justice* 65-76 (2009).



# CHAPTER ONE: PREPARING FOR A CHANGE

**T**echnology today is so commonly engrained into our personal lives that it is frequently taken for granted. Devices such as smartphones allow one to essentially carry the power of a computer within their pocket or other small carrying case. However, the public sector often lags behind the private sector in terms of technological prowess and refinement. Much of this is due to cost and budgetary constraints, some rooted in resistance to change. While paper based systems have served many agencies well for years, the need for more robust statistics and information sharing has made most systems obsolete. The implementation of a new CMS for a given community corrections agency is a critical, yet under-developed, process given the system's critical importance in the process of intra- and inter-agency information gathering and dissemination. If we think of a given agency as an organism, we may consider the CMS to represent the synapses responsible for passing on information, similar to that of the human

## "DON'T SHOOT THE MESSENGER."

A poorly matched CMS can be very frustrating. It's important to remember a technological system is little more than a carrier of the information provided to it, it's up to individuals and the agency to ensure the right information is provided and the system configured in a way that will represent that data to the viewer in an intuitive format.



brain and the body. In this respect, the CMS doesn't define the information or how it should be used but serves as a vessel or carrier of raw data. In some cases, it may be beneficial to set the system up so that it filters information based on pre-defined characteristics but the system itself does not interpret, or otherwise examine, the information. Rather, individual workers serve as the brain of the organization. Individuals are responsible for interpreting the information and making decisions. As a result, clear communication of the information being passed on is just as important as the system that transports the data. It's important to realize any CMS system, regardless of complexity, serves as a vessel, a messenger of sorts that transports information as it is designed and instructed to do so. It cannot create information that does not exist or has not been captured (though it should be able to do some pre-scripted analysis and create subsequent data). Therefore, it is absolutely imperative that agencies know exactly what they want before they procure or develop a solution. As described by Kelly Harris and William Romesburg, seven facts about obtaining IT solutions include:<sup>1</sup>

- Implementing IT is difficult.
- Planning and installing IT is different than other projects.
- IT planning and implementation is not a one-time activity.
- IT must support the strategic business mission, goals and objectives of the [community corrections] agency.
- Successful projects require strong project management.
- All projects require a plan.
- Successful IT implementation can happen!

As Harris and Romesburg explain, technological solutions are a difficult endeavor because they are often very large in scope, often extending beyond any specific department, requiring agencies to concretely define their business processes, and often involve long development life-cycles (i.e., years as opposed to months or days). IT solutions are particularly difficult when dealing with agencies that have existed in a predominantly autonomous state of disarray. When agencies consist of multiple silo teams who have each taken different paths to reach the same objective it can introduce ambiguity; discrepancies that become difficult to reconcile within a CMS that requires straight-forward information. While autonomy can no doubt be a good thing, there needs to be a point of common ground when deciding to invest in, or develop, a centralized solution.

There are numerous common mistakes made in procuring or developing a CMS or information system enhancement. A very common mistake that gets made too often is the notion that technology is an issue that only pertains to a technology specialist (or "programmer"). For some

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<sup>1</sup> Kelly J. Harris & William H. Romesburg, *Law Enforcement Tech Guide: How to plan, purchase and manage technology (successfully!): A Guide for Executives, Managers and Technologists* (Washington, D.C.: U.S. Department of Justice, Office of Community Oriented Policing Services, 2002), at 10.

technology appears dry, boring, complicated, or simply foreign. In some cases technology staff do little to reverse this perception choosing to address solutions and make decisions themselves rather than go through the hassle of working through technical solutions with non-technology staff. I imagine many have sat in a meeting with practitioners and technology specialists only to hear the technology specialist state “we’ll take care of it.” For some practitioners that’s all they want to hear. That said it creates a Wizard of Oz effect in which no one outside of technology staff (and sometimes even among technology staff) really knows what’s going on behind the system, or curtain if you will. As a result, it’s not until much later, when a given output is represented incorrectly or not as desired, that staff are able to detect discrepancies in how business processes were reflected in the system.

It’s important to remember that technology is a tool that can assist community corrections in its everyday operation by automating or streamlining redundant tasks and serving as a repository of agency information (including reentry transition plans, treatment plans, officer notes, state transfer information, fees paid/due, calendaring functions, etc.).

Some of the mental distance, or disconnect if you will, around technology staff is a result of specialized jargon. Jargon is a means of efficiency, effectively reducing redundancies in language and communication while maintaining equal meaning. It is obviously very effective within groups and exists across enumerable paradigms (law, medical, etc.). On the flip side it has the potential to alienate individuals outside a given paradigm. Therefore, it’s important to adjust one’s communication strategy accordingly.

Some common mistakes that have been made in technology procurement include failure of agency leaders to understand and support technological needs that could enhance their agency’s operation, lack of involvement by agency leaders in the procurement and implementation process, budgets fall short of project needs, insufficient time allotted for adequate preparation, no long-term budget allocations are considered for future system upgrades or enhancements, erroneously letting technology drive the agency’s business processes instead of the agency making business process decisions and guidance instructive to technology development.<sup>2</sup> Additionally, without a full understanding of the state-of-the-art and possible future innovations of a particular technology, an agency may implement a limited and soon-outdated solution.

Regardless of any one individual’s apprehension, technology is a long-term investment and here to stay. With the internet and the use of computers a core part of life, there’s simply no way to avoid it. Unlike other purchases, the technology purchased or developed will have a profound impact on the way community corrections officers conduct their supervision responsibilities. Further, a well-developed system will produce analytical strategies that were previously

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<sup>2</sup> *Id.*



inconceivable. The procurement of a technological system can be thought of in five broad cyclical stages; 1) evaluation, 2) planning, 3) procurement, 4) implementation, and 5) management.<sup>3</sup> Before the planning process can begin, the current system and its capabilities, and the needs of the organization must be evaluated. If changes are needed the planning process can begin with needs assessment to better ascertain what needs, specifically, are not being met, the budgetary landscape available to make a change viable and the organization's responsiveness to change. As Harris and Romesburg make clear, "one-time grants will not fund a lifetime of technology support and replacement."<sup>4</sup>

### STRATEGIC PLANNING

Most governmental agencies possess a strategic plan containing agency specific mission, vision, goals, and objectives. This strategic plan is useful for planning case management solutions as they provide a roadmap of current business processes. In addition, if not already included as a part of the agency's overarching plan, the agency should add a section recognizing the development, maintenance, support, and continued development of technology as one of its many key goals. As a result the overarching strategic plan can be used to inform and develop a specific "strategic

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<sup>3</sup> *Id.*

<sup>4</sup> *Id.*, at 14.

## THE PROCUREMENT TEAM WILL

1. Articulate a united vision and determine the scope and focus of your IT project.
2. Identify legal, policy, administrative, funding, technical and political obstacles to achieving automation and integration.
3. Define and sanction project objectives, tasks and timetables.
4. Garner support from other relevant decision-makers (City/County Council).
5. Monitor planning, implementation and management of IT.
6. Define the operational requirements for an automated solution.
7. Oversee systems acquisition.
8. Resolve obstacles to implementation.
9. Review system performance.
10. Make recommendations concerning systems improvements, enhancements and next steps.

(Source: Harris and Romesburg, 2002, p. 26)

IT vision document" that will outline how technology will be used to further the agency's mission. Such documents should be updated with changes in the agency's primary strategic plan so that it continues to reflect and support the agency's mission.

Individual projects should be structured around specific capabilities that further the IT vision (e.g., external information sharing with victim notifications through SAVIN projects, information sharing with local law enforcement, etc.).

A technology plan is needed to specifically discern what user needs are to be addressed, activities to be automated, and data standards to be implemented.<sup>5</sup> The plan should also include system specifications, hardware and software needs, existing systems and systems environment. In the process of reviewing established business processes and translating them into technology solutions it may be found that there are more efficient ways of conducting certain processes, leading to refinement of business processes (but not redefining them). In other words agencies should take the opportunity to re-evaluate what they do, why they do it, and how they do it. Were there limitations of the current system that shaped policy and procedure? Ultimately, Harris and Romesburg state successful technology projects have occurred when "... project leaders and team members followed best practices for planning and managing the projects from idea to inception, such as clearly defining the project; getting the right people involved; setting realistic goals, objectives, and timelines; developing a thorough project plan; accurately and honestly assessing risk; properly negotiating contracts; developing structured implementation and training plans; and establishing benchmarks and performance metrics for assessing and evaluating the project's success."<sup>6</sup>

<sup>5</sup> *Id.*

<sup>6</sup> *Id.*, at 17.

## CONSTRUCTING A PROCUREMENT TEAM

To provide continuity and sound judgment agencies will need to develop a structured team of individuals to address CMS technology needs. This team will provide leadership, management, and support to the overall project while simultaneously gathering input and encouraging support from the many individuals who will be utilizing the system(s) (a.k.a., the end-user). From top-to-bottom, the success of technology implementation will rest largely on the buy-in of all personnel. The procurement team, as we will call it (feel free to use a title that fits your organization), must include a variety of individual backgrounds knowledgeable of technology, law, organizational politics, and intra-agency culture.

Of utmost importance, a leader, sometimes referred to as an executive sponsor,<sup>7</sup> willing to shoulder responsibility for project successes and failures must be selected. This individual must possess a high enough rank within the organization (e.g., Chief Probation Officer) to make final decisions on, and approval for, budgets and other project decisions. This individual will also need to be a spokesperson and advocate, capable of rallying support for technology.

In addition to staffing the procurement team with internal end-users (e.g., frontline probation/parole officers, assistants, etc.), it is also important to consider external stakeholders who may be directly or indirectly affected by the agency's pending changes. This may include the courts and attorneys' offices, law enforcement, institutional corrections, legislators, local and state government, community treatment and assistance organizations, victims of crime, probationer/parolee families or support networks, and the general public (e.g., media).

Once a team has been formed, a decision-making structure must be solidified. For smaller agencies of less than 100 officers a single steering committee will likely suffice. In other words, the procurement team; comprised of agency leadership (e.g., Chief Probation Officer), business experts (e.g., probation officers), and technology specialists (e.g., technology staff or consultants); will serve as the committee of the technology project and be responsible for project decisions. For larger agencies in excess of 100 officers, it may be necessary to break out the steering committee into distinct subcommittees such that there is one committee responsible for project management, one consisting of end-users (e.g., probation officers and other front-line staff), and one consisting of technology specialists.<sup>8</sup> An example of a hierarchy of the decision-making structure is illustrated on next page.

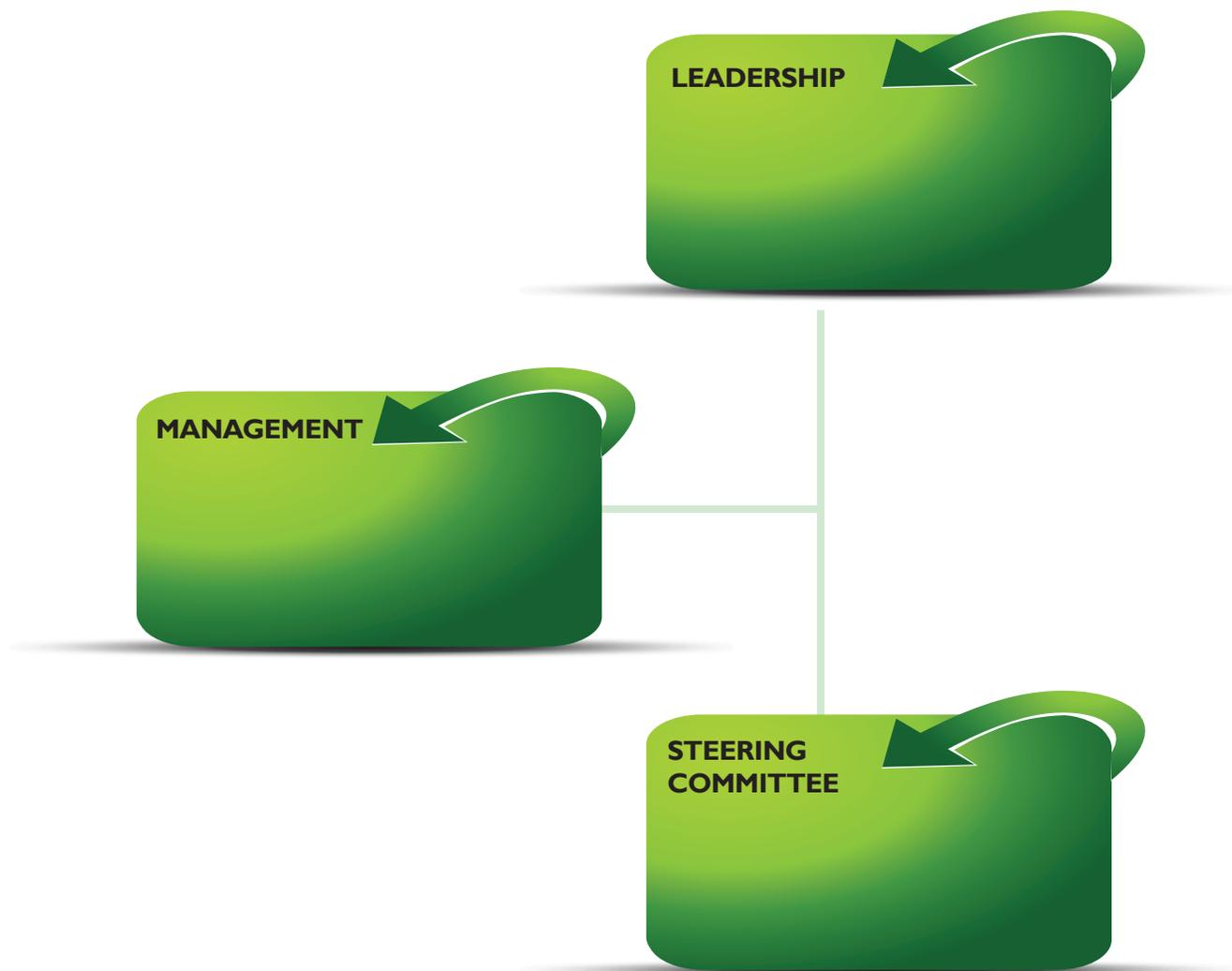
Officer time is limited and, as a result, it's important to maximize the return when orchestrating committee meetings to reduce burnout and apathy. As being on the committee may introduce additional workload to probation/parole officers with little-to-no additional compensation, managing meetings and producing results is imperative. The following tips will help ensure meetings are productive:<sup>9</sup>

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<sup>7</sup> *Id.*

<sup>8</sup> *Id.*, at 28-31.

<sup>9</sup> *Id.*, at 35-36.



1. Appoint a Committee Chair to facilitate discussion and delegate tasks.
2. Create a meeting schedule that is consistent (e.g., third Monday of each month at 1:00 p.m.).
3. The Committee Chair and Project Manager should develop and disseminate a detailed agenda several days prior to each meeting that outlines pertinent topics (keep it focused on a couple of specific topics rather than overloading the meeting) to be discussed and the time allotted for each.
4. Establish a final decision-making strategy (e.g., majority vote) so key decisions can be made at the meeting.
5. Appoint a note taker for each meeting (e.g., select one with a back-up or rotate the responsibility). The previous meeting notes/ minutes should be disseminated with each agenda to create continuity across meetings.
6. Establish a method of dealing with intra-committee conflict (e.g., committee members report disputes to the project manager who reviews the issue, provides recommendations, and makes final determinations).

## Getting Outside Help

In some cases it may be discovered that the agency lacks the expertise to complete a CMS technology project using only in-house staff. This may be the case in small probation or parole departments that have little-to-no technology staff or where staff lack the skills necessary to move forward. In these instances it may be necessary to procure the assistance of outside consultants to support the project. Leadership will want to consider current staff skills, project complexity, and funding availability when considering outside help. In addition, it may be beneficial to mix consultants with current staff to improve the agency's overall expertise, as supplemental staffing, or in pursuit of larger partnerships with other organizations relevant to the project. Agencies will want to also take into consideration standards of related professional associations such as the APPA. IJIS and SEARCH represent two organizations that specialize in justice-related information sharing. Finally, though discussed at greater length later in this report, the federal government has several initiatives aimed at assisting agencies in information sharing (e.g., Global, NIEM, GRA). That said, the agency itself is responsible for the outcomes of the project. It is neither wise nor productive to hand the project off, in its entirety, to an outside source that will not suffer the burden of an inadequate system when the project is complete. Agencies can lean heavily on the expertise and resources made available by organizations such as SEARCH<sup>10</sup> and the IJIS institute<sup>11</sup> for help with justice technology solutions.

## Project Manager

It should be noted the relationship between leadership and management will directly correspond to project outcomes. It is important for the leader (i.e., executive sponsor) to provide the manager with the necessary tools and training, as well as to empower the manager with the authority to make decisions including the scheduling of meetings and delegation of tasks and resources. Failing to do so can lead to blockages in project completion, slowing and even halting project progress. The role of management and leadership is distinct. Whereas management is concerned with the "process by which the elements of a group are integrated, coordinated, and/or utilized so as to effectively and efficiently achieve organizational objectives,"<sup>12</sup> leadership establishes "... direction by developing a vision of the future, align[ing] people through shared values and vision; and motivate[ing] and inspire[ing] people to move them toward the shared vision."<sup>13</sup> In other words, whereas leadership is vital to achieving buy-in for new-age technology, management is essential in the realization of that technology.

The project manager will ideally be a position created within the agency to provide guidance and structure to the project.<sup>14</sup> If promoting from within, and even if the individual possesses

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<sup>10</sup> See <http://www.search.org/>.

<sup>11</sup> See <http://www.ijis.org/>.

<sup>12</sup> Stan Stojkovic, David Kalinich, & John Klofas, *Criminal Justice Organizations: Administration and Management* (Belmont, CA: Thomson Wadsworth, 2008), at 5.

<sup>13</sup> *Id.*, at 6.

<sup>14</sup> Harris & Romesburg, *supra* note 6, at 47.

management experience, it is imperative that the new manager be given the tools and training necessary to be successful. First, the manager should seek out training events in project management at colleges or other organizations and join a professional project management organization (e.g., Project Management Institute - PMI<sup>15</sup>). In addition, the project manager should seek out opportunities to network with project managers of other community corrections agencies (e.g., American Probation and Parole Association – APPA;<sup>16</sup> International Community Corrections Association - ICCA<sup>17</sup>). Finally, a solid project management software package should be provided.

### Project Charter

To make the project an officially recognizable endeavor of your agency, it needs to be identifiable through what's commonly referred to as a Project Charter. The Charter is a document designed

<sup>15</sup> See <http://www.pmi.gov/>

<sup>16</sup> See <http://www.appa-net.org>

<sup>17</sup> See <http://www.iccaweb.org/>

## WHAT MAKES A GOOD MEETING?

- Short and to the point
- Well organized
- Clearly defined and understood meeting objectives
- Everyone contributes fully
- Everyone feels comfortable if they wish to disagree
- Any conflict is constructive and creative
- Decisions are made and action is planned
- The group openly reviews their effectiveness
- Meetings begin and end on time

## HOW TO CONDUCT A MEETING:

- Define the purpose
- Set an agenda
- Set a timeframe with start and end times for the entire agenda, as well as individual agenda items
- Start on time
- Always keep minutes
- Keep everyone focused

[www.telstra.com/business](http://www.telstra.com/business) (as cited in Harris & Romesburg, 2002, p. 35)



to formally recognize the existence of the project, the need it is intended to address, and a description of the project. In other words it describes the who, what, and why of the project. As described by Harris and Romesburg, the project charter includes eight components:<sup>18</sup>

- Business Case Statement
- Background
- Vision Statement
- Scope Statement
- Objectives
- Planning and Methodology
- Initial Timelines
- Preliminary Budget

One of the first tasks of the procurement team should be the creation of a vision statement. This vision statement will describe the tangible benefits that will be realized as a result of the new technology and will be used to develop project objectives. Ideally, the first meeting of the committee will be devoted to the creation of the vision statement. It should involve the input of everyone in the committee and be based on consensus. It may take several revisions but the manager should work with the note taker to record common themes and reiterate a draft of the vision back to the group, repeating the process until there is agreement.

The next step is to give the project a name that effectively describes the intended outcome. A good name should make it very clear to others what the scope of the project is (e.g., a case management system, enhancement, upgrade, etc.).

Next the procurement team will want to conduct a scan of the organization to understand the role/impact the project will have on the organization as a whole as well as to avoid redundancies or duplications of other projects currently in the works. In addition, the committee will want to examine local codes, rules, and ordinances; economic climate; Federal and state legislation; staff availability; agency budget and other sources of funding; organizational structure; agency policies and procedures; internal politics; public opinion; external stakeholders; current technology and standards; and justice information sharing considerations. It may be wise for the project manager to delegate individuals to examine one of the previous issues and report back to the committee accordingly.

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<sup>18</sup> Harris & Romesburg, *supra* note 6, at 52.

There is great diversity in community corrections. Whereas some agencies exist under the judiciary, others exist as an executive branch function.<sup>19</sup> Further, some supervise juveniles and adults while others only supervise one or the other. Finally, some supervise probationers/parolees of all crimes while others only supervise misdemeanants or felons. Such variety makes it impractical to develop a single technological solution that would meet the needs of all community corrections agencies; federal, state, tribal, or local. As a result, each agency will need to consider local laws, codes, and regulations that will impact how they implement technological solutions.

In addition, each agency should consider the general economic climate of the country and within their state and local area. An economic lag or recession can impact the availability of outside help through associations and consultants as well as the availability of funding and the cost of technology. Internally, budget cuts or staff furloughs or layoffs may become problematic.

Information sharing needs and requirements must also be considered early on in project planning. Will the introduction of new technology require changes in how current information exchange processes are conducted? Are there federal or state mandates that require certain pieces of information to be shared across agencies? What of external stakeholders and their system needs? In terms of organizational capability, one must also examine the ability of the agency to build CMS technology solutions internally as opposed to procuring external service providers. In some cases the agency may have the staff to maintain a system, but lack the expertise or manpower to move forward with new technology or standards.

Finally, politics and public opinion should also be assessed. The introduction of new leadership within the agency or local government can cause changes in justice priorities that may have an impact on current technology endeavors. One should also examine staff support within the agency. Are there certain groups that protest technology while others openly support it? Further, public opinion can impact politics and priorities. If properly managed, the project can benefit from public support by garnering and maintaining funding. For example, there is a great deal of interest in improving victim notifications.<sup>20</sup> Clearly, a project that supports this goal could potentially win over the support of the public, thereby enticing political leaders to provide support. Finally, it is also pertinent to seek out potential partner agencies that will mutually benefit from, and support the creation of, a case management system.

As such the development of a marketing plan can be beneficial not just for garnering public and political support, but as means to educate relevant stakeholders as well. This marketing plan (i.e., business case) clearly articulates the need and the benefit of the proposed technological solution as opposed to other alternatives. It briefly describes the benefit for the costs which may include greater accessibility to community corrections data, reduction of system or data errors (e.g., may alleviate errors in over-detention and related lawsuits), savings from reduction of paper usage, more timely responsiveness to case needs, higher quality interview sessions with probationers/parolees as a result of less time spent on administrative tasks (e.g., data entry, drug

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<sup>19</sup> American Correctional Association, *2010-2011 Probation and Parole Directory* (Alexandria, VA, 2010).

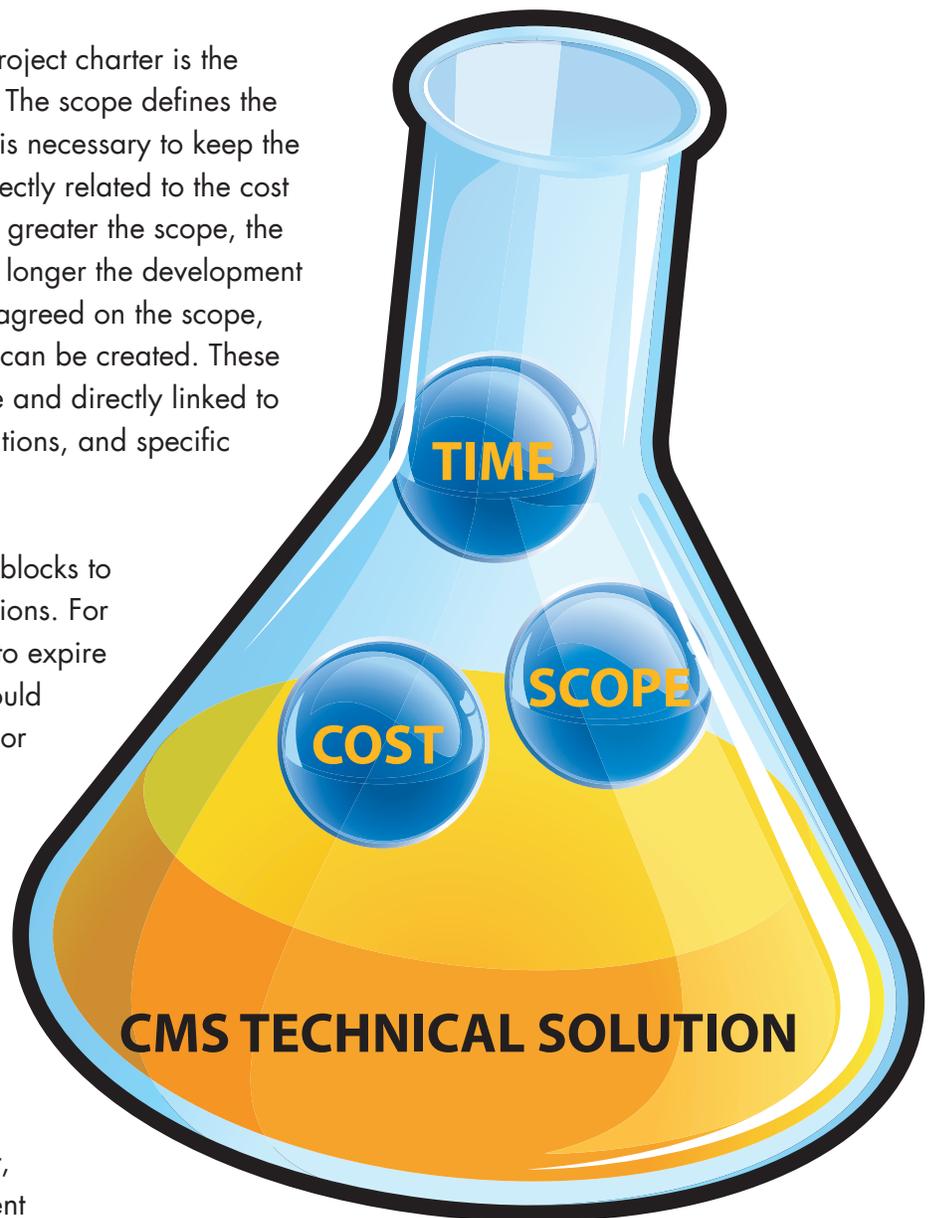
<sup>20</sup> See [http://www.ijis.org/programs/community\\_information.html](http://www.ijis.org/programs/community_information.html)

tests), improved potential for statistical analyses, improved routing to home visits reducing fuel usage, increased officer safety, and improved information sharing with justice and community organizations.<sup>21</sup>

The Charter should include documentation of the current system(s) (or documentation of current paper-based processes if no system exists), organizational structure, and any other relevant historical information. Particularly noteworthy are lessons learned from past technology projects that may be informative for the current project. If there were failures in the past what contributed to those problems? Is there a lack of documentation for current systems? If so, how will this be remedied with the current solution?

The next step in constructing a project charter is the development of a project scope. The scope defines the boundaries of the project which is necessary to keep the project focused. The scope is directly related to the cost and timeliness of the project: the greater the scope, the more costly the solution, and the longer the development time.<sup>22</sup> Once the committee has agreed on the scope, primary measureable objectives can be created. These objectives should be quantifiable and directly linked to specific costs figures, time allocations, and specific tasks for completion.

Make note of any potential roadblocks to implementation or other assumptions. For example, if funding is expected to expire prior to the project's end that would represent one clear roadblock. For an example of an assumption, it may be assumed that an update to the system will not occur until 2 years post-implementation. Finally, the charter should include a general timeframe for completion, a preliminary budget, project planning methods (e.g., needs assessment, risk assessment, etc.), procurement



<sup>21</sup> For example in Kent County, Rhode Island probation officer Lisa Proto was able to reduce her time spent gathering documents to conduct home visits from hours to minutes by adopting a system designed by data analysts and programmers of Providence Plan, a nonprofit organization. For more see John Hill, *New System Greatly Helps Probation Officers* (2009). Retrieved August 31, 2011 from [http://www.projo.com/news/content/PROBATION\\_MAPPING\\_12-27-09\\_SIGJB5D\\_v84.36f4fc6.html](http://www.projo.com/news/content/PROBATION_MAPPING_12-27-09_SIGJB5D_v84.36f4fc6.html).

<sup>22</sup> Harris & Romesburg, *supra* note 6, at 58.

team organizational chart/ roster, and a signature from the executive sponsor. Once completed the charter should be widely disseminated to all relevant parties both internal and external to the agency.

## TECHNOLOGY RESOURCES/ NEEDS ASSESSMENT

Prior to determining a given agency's technological needs it must first assess its current technological assets. What lessons can be learned from previous experiences that may inform future decision making? The development of a successful software solution depends greatly on an agency's ability to translate their daily workflow into specific functions and processes. At no point should a technological support agency dictate the business of a community corrections agency. A given agency's system doesn't exist in isolation, rather it is, like synapses in the human body, the vehicle from which information is disseminated and official intra-organization communication occurs. Poorly matched software solutions can be costly to the agency by causing errors in the proper collection of supervision fees and other collections. There may exist reports and obligations that currently go unmet (e.g., instance reports to the state) or opportunities missed (e.g., federal grants). In addition, if systems are incapable of handling the caseload sizes, workload demands and number of transactions of a given agency it can lead to unexpected crashes and organizational paralysis. Based on experiences in the Texas court system, Matt Bieri of Tyler Technologies describes six recommended strategies for seeking out technological solutions:<sup>23</sup>

- Perform a thorough technology requirements analysis to identify current and future needs.
- Canvass personnel for an on-the-ground viewpoint.
- Investigate the service provider as closely as the software.
- To what timeframes, manpower and other material resources will the service provider commit? What kind of resources are they willing and able to devote?
- What are their policies and procedures for handling customer feedback, trouble-shooting and problem-solving?
- What are the available communication channels and are they easily utilized?

While increasing speed and efficiency of standard operational tasks is often the goal of improved systems, it's important to identify specific areas and processes that could benefit. Are there processes currently being handled on paper that could be automated electronically? In addition, agencies should gather input from individuals who will be utilizing the system on a daily basis, including partner agencies that must interface with your agency's data/information.

RevQ, Inc. provides the following guiding questions pertaining to payment collections (language adapted for use in community corrections):<sup>24</sup>

- How, when, and by whom can/should the [agency] contact the [client]?

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<sup>23</sup> Matt Bieri, "Texas' Arlington Municipal Court's Caveat: Avoid Tech Headaches by Refining how you shop for Software and Vendors," *8 Courts Today*, 39-41 (2010).

<sup>24</sup> Rev Q., Inc., "Automatic court collections: Practical Approaches and Tools to Improve Collections and Court Order Compliance from RevQ, a Workflow Automation Provider," *8 Courts Today*, 26-28 (2010).

- How and when should the [agency] use notices or use the phone?
- What if the [client] can only pay a portion of the obligation?
- How long can and will the [agency] allow them to pay off the obligation?
- What penalties, fees or interest can the [agency] charge on delinquent cases?
- What forms of payment can and will the [agency] accept?
- What efforts does the [agency] undertake and at what point (if any) should the case be sent to a third party?

Improvements in business processes' efficiency, and sometimes automation, can lead to not only improved services for clientele, but cost savings for the organization as well.

### **Business Process Mapping**

To determine organizational technology needs the agency must define its current business processes and the current technological environment.<sup>25</sup> A business process is "a series of logically related activities or tasks performed together to produce a defined set of results."<sup>26</sup> To define local business processes it is helpful to create a visualization using what's commonly called business process mapping. This map depicts how people and information interact within the agency. "... business processes are at the center of all successful technology initiatives, as they are what technology seeks to enhance or improve."<sup>27</sup>

The committee, specifically the end-users (i.e., probation officers), will need to document current business practices to inform the technological solution.<sup>28</sup> The project manager should first ensure there is an adequate representation of frontline staff to properly document agency processes. Using multiple meetings (lasting up to a full work day each) the committee will need to breakdown their workflow into distinct processes, sub-processes, and finally specific activities. Project managers will need to take care when defining informal processes that may exist without official documentation. In such instances the operations either need to be formalized, individuals familiarized with appropriate formal procedure, or new formal procedures created. A technological solution cannot replicate informal processes accurately. Finally, it's quite possible for officers to define/illustrate the same process differently. The project manager will need to work with the committee to reconcile these differences. If feasible, it may be beneficial to display

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<sup>25</sup> Harris & Romesburg, *supra* note 6, at 68; A. Young, "Designing Software to meet the Increased Demands of Community Corrections," 22 *The Journal of Offender Monitoring*, 17-18 (2010).

<sup>26</sup> See <http://www.businessdictionary.com/definition/business-process.html>

<sup>27</sup> *Id.*, at 68.

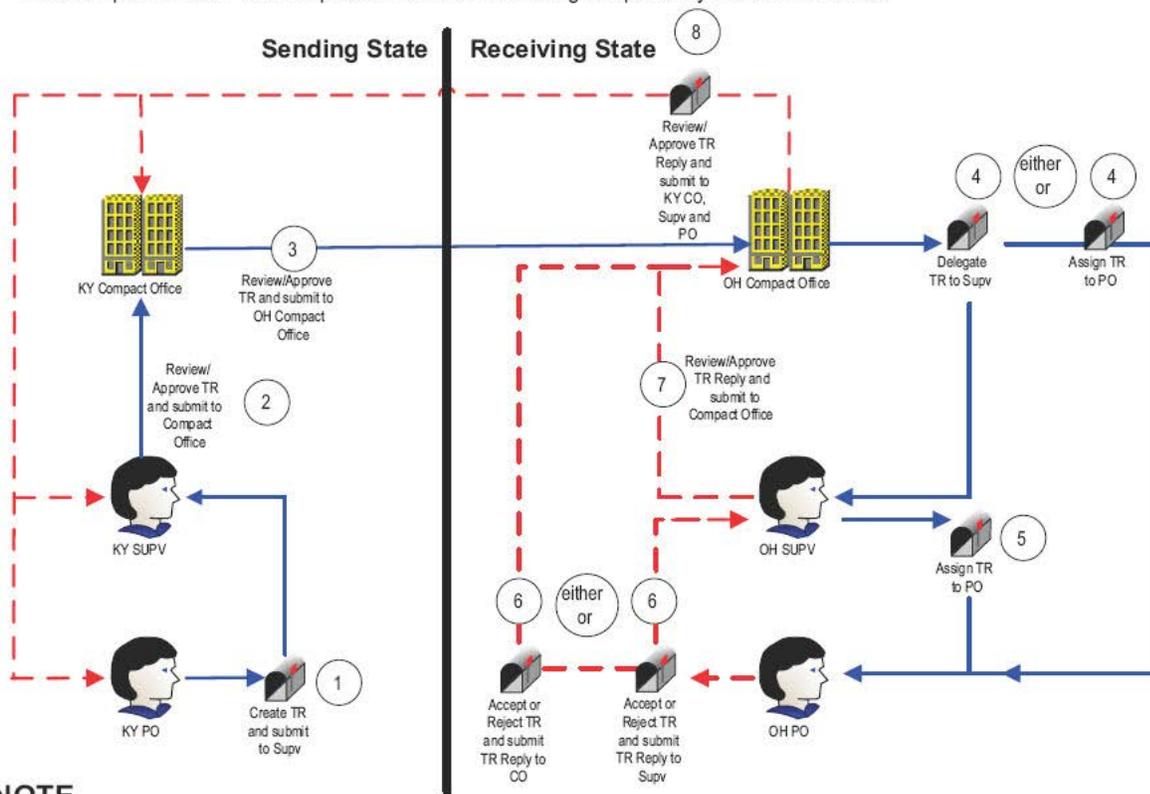
<sup>28</sup> The American Probation and Parole Association's (APPA) report *Functional Standards Development for Automated Case Management Systems for Probation* is a resource that agencies can use to inform or guide their own business process definitions, taking care to incorporate localized deviations. The report is available online at <http://www.appa-net.org/eweb/docs/appa/pubs/FSDACMS.pdf>.

illustrations of the business processes in an area where all agency staff can offer additional input (a week should suffice). If desired and available, the business process maps can be represented/constructed electronically using Microsoft's Visio<sup>29</sup> or a related software program. In addition, JIEM (Justice Information Exchange Model) is typically used by technologists in documenting business processes as they relate to information exchanges between two or more agencies.<sup>30</sup> Once all relevant business processes are complete they should be rolled into a single document or catalogue for future reference (i.e., business process report).

**EXAMPLE: ICAOS' ICOTS OFFENDER TRANSFER REQUEST AND REPLY PROCESS<sup>31</sup>**

**Transfer Request and Reply Process**

This example shows a PO to PO process with the POs having a supervisory interest in the case.



**NOTE**

Solid lines are Transfer Request.  
 Dashed lines are Transfer Request Reply.  
 All circled numbers are Action Items with the exception of the last one which is only a notification.

 Indicates an email was sent.

It should be noted that there will sometimes be resistance to business process mapping. This resistance may be the result of a desire to preserve autonomy or out of fear that the process mapping will result in job loss if inefficiencies are exposed. This can be especially problematic

<sup>29</sup> See <http://office.microsoft.com/en-us/visio/>.

<sup>30</sup> For more information on JIEM refer to Chapter IV (p. 41) or see <http://search.org/programs/info/jiem/>.

<sup>31</sup> Appriss, Inc., *ICOTS: Interstate Compact Offender Tracking System: User's Guide* (Louisville, KY, 2010).

when no central control exists for IT projects. It's important to highlight the goals of the mapping exercise as a tool for technological advancement, not a justification for layoffs or micromanagement.

### **Current Technological Environment**

It is necessary to obtain documentation on the current technological infrastructure of the agency. This means gathering descriptions of information systems, networks, accessible databases, transaction history, existing configurations of system applications, bandwidth limitations, and the relationship between applications including connection with external sources.<sup>32</sup> Using the expertise of technology staff (internal or external to the agency), a technology report should be produced outlining the agency's current technology environment.

<sup>32</sup> Harris & Romesburg, *supra* note 6, at 72-73.

## **SWOT ANALYSIS**

### **(STRENGTHS, WEAKNESSES, OPPORTUNITIES, AND THREATS)**

A useful tool for organizing focus groups around agency revitalization is known as SWOT. SWOT stands for Strengths, Weaknesses, Opportunities, and Threats. It is a tool for identifying strengths and weaknesses of the agency or system, as well as determining potential opportunities and threats that may exist from pursuing a given project. It is a straight-forward approach that can provide a lot of valuable information concerning where to focus the project's goals and objectives. Harris and Romesburg (2002, p. 83) provide several stages to conducting a SWOT analysis:

1. Gather a group of users from within a particular functional area to talk about a specific aspect of the current environment.
2. Provide them with relevant sections of the business process report at least a week in advance of the focus group meeting.
3. Advise participants to familiarize themselves with both the current business processes, as well as the current technology presented in the report.
4. Ask the focus group to describe strengths of the current business processes and technology.
5. Ask the focus group to describe weaknesses of the current business processes and technology.
6. Ask the focus group to describe opportunities that exist to improve current business processes and technology. Ideally, these opportunities will be the basis of the current project.
7. Ask the focus group to describe threats (e.g., funding, time) that may emerge during the course of the project and what steps can be taken to minimize issues.

A SWOT Matrix Worksheet is provided in Appendix A of this document which can help organize the focus group findings. The questions provided are generic examples and should be altered to fit your agency's needs.

With the technology and business process reports in hand, it is time to connect the dots between current processes and how existing technology is used to meet those process needs. Are there inefficiencies in the technology's ability to meet certain process needs? Are there redundant processes that could be better streamlined through automated technology solutions? The procurement team will need to spend considerable time and thought on how processes and technology are currently working and if they are working towards a unified goal. As the committee (i.e., procurement team) works through this exercise, technological processes should be incorporated into the business processes report so that the new revised business processes report contains both the literal business processes and the technological means, if available, to support them. Once the new document is complete it should be disseminated to a broad range of internal and external stakeholders for review and comment. A combination of interviews and focus groups should suffice.<sup>33</sup> The project manager will then need to compile feedback and assess, with the procurement team:<sup>34</sup>

- Current business processes that could be improved or automated using existing technology
- Current business processes that could be improved or automated using newly available technology
- Changes in current business processes as a result of improved technological solutions
- Changes in technological needs a result of changes in business processes
- Benefits and efficiency gained as a result of refined business processes and/or technological solutions if implemented

In addition, the committee should consider what recommendations and improvements should be implemented, how implementing those changes will result in a net benefit for the agency, the responsiveness of the agency as a whole to support change, and any other issues that may result.

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<sup>33</sup> *Id.*, at 79-87.

<sup>34</sup> *Id.*, 74.



# CHAPTER TWO:

## DEVELOPMENT OR PROCUREMENT: PROS AND CONS

Once the *procurement team* or committee has thoroughly analyzed their agency's needs and determined the CMS technological solutions to be implemented it is time to consider how this work should be completed. Generally speaking there are three likely scenarios that may occur; 1) in-house development of a new system or enhancement, or 2) procurement of a new system or enhancement from an outside service provider, or 3) purchase an off-the shelf solution and customize according to agency-specific needs. It should be noted only software applications are referred herein as it is assumed community corrections agencies will procure the necessary hardware from outside organizations (discussion of hardware requirements will occur later in this guide). To *build or not to build*, that is the question. Or more precisely, should an agency build their technological solutions in-house or purchase it from an outside service provider? As this is an important consideration, we specifically highlight the decision within this chapter.

For many small community corrections agencies the choice may be obvious; purchasing the solution is the only option because the agency lacks technology staff to do otherwise.<sup>1</sup> However, for larger community corrections agencies that exist in tandem with the judiciary, or a state department of corrections, they may possess access to a large, skilled, technology department. The first obvious consideration to make is cost. An agency that chooses to build technological solutions internally must incur all costs associated with the project including planning, development, testing, documentation, training, implementation, and future maintenance. A service provider, on the other hand, can re-package and re-use a similar case management system application for multiple community corrections agencies. This relates to a lower cost for each community corrections agency while still producing a healthy profit for the service provider.<sup>2</sup> Finally, in some cases it may be viable to buy the initial off-the-shelf software from the service provider but create custom applications through internal technology staff. This method inherits the benefits of both build vs. buy. Harris and Romesburg breakdown the pros and cons of build vs. buy succinctly (note we added a missing third option to *buy and customize*):<sup>3</sup>

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<sup>1</sup> Alternatively, in some cases it may be beneficial for smaller agencies to form a cooperative agreement to pursue a shared technological solution with other small or large agencies.

<sup>2</sup> Harris & Romesburg, *supra* note 6, at 104.

<sup>3</sup> *Id.*, at 105.



Agencies must consider both direct and indirect costs. Direct costs concern the physical costs of purchasing a solution. When purchasing a solution the agency will have to make decisions as to whether to use the product as is, alter business practices to fit the product, or alter the product to fit the agency's business processes. The more a solution must be customized, the greater the cost of the final product. If available solutions require a great deal of customization to fit an agency's needs, then the difference in cost between an in-house build as opposed to off-the-shelf solutions is greatly reduced; when excessive customization is needed then give building the solution more consideration. That said, service providers offer a range of products which involve various levels of customization to meet the needs of a variety of clients of varying sizes and with varying needs. Researching what the various service providers offer is an important step to understanding all of the available options.

Indirect costs represent the costs of maintaining a system outside of technological parameters. In other words, when building a solution one must consider the cost associated with hiring a team of full-time technology staff to develop and maintain the solution. As Harris and Romesburg explain, at a minimum the agency will need "...four employees: a software engineer, database manager, network specialist and help desk/support technician."<sup>4</sup> The costs of training new technology staff due to turnover, not to mention the time it would take for the team to recover and get back up to speed, also represents other hidden costs in efficiency. Finally, the system will need upgrades and enhancements in the future. The greater the customization of the initial system the more costly the upgrades will be later.

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<sup>4</sup> *Id.*, at 106.



## A NOTE ON VENDOR-HOSTED SOLUTIONS

Agencies may consider having their computer and application systems hosted by the vendor (including cloud computing). This means the hardware, software, and data will physically exist outside of the agency's physical location. This requires a great deal of trust between the agency and the vendor as the vendor retains responsibility for all system services and security.

Agencies should consider the following when procuring a vendor-hosted solution:

- Require the vendor to comply with the agency's records retention schedule of the contracting agency, as relevant to the data being hosted.
- Require the vendor to provide an eye readable copy of each case record stored locally at the agency for access in the event of a system or network issue. Determine if an operational back-up system is necessary and viable.
- Require that the vendor agree to transfer the data, along with all relevant system documentation, in its custody to the agency or another hosting vendor at the end of hosting contract. The transfer should include field-by-field and file-by-file descriptions defining every piece of data. The vendor should provide technical support and service for a minimum of six months following the end of the contract.

For an example of a vendor-hosted solution policy see <http://www.maine.gov/oit/policies/RemoteHostingPolicy.htm>.

If deciding to build internally using an agency's dedicated IT staff considerations should be made for the impact the development of the new system will have on the technology department. Unless resources are added to specifically focus on the current technology project, IT staff will be required to balance their standard IT duties with the addition of system development. In other words, does the technology department have the resources to devote to the project? In addition, does the technology department possess the skills needed to implement a modern technology solution or are they more suited to maintaining current systems? Even if staff possess the skills do they have the time to devote to a new project or are they consumed by other priorities?

Another area of consideration that is too often minimized, or neglected entirely, is the support for training and user manuals. Training and documentation are critical components of change management and project success. These resources require specific skills of experts in the field and should be included in initial budgeting and adequately funded.

A final point of consideration, agencies should expect customized builds will typically feature longer life cycles (e.g., up to 6 years) than service provider-based solutions. Service providers generally have more experience developing and installing specific solutions which can reduce implementation time. That said, the decision to build or buy will depend on the uniqueness of the solution being sought. In-house development processes should be compared to service provider-based alternatives and justifications provided to leadership for the decision to build or buy. The following chapters assume procurement is the course of action that has been chosen. However, resources provided throughout this guide, including example bid specifications and standards, may serve as a useful reference for agencies that chose to build their solution internally.



# CHAPTER THREE:

## MAKING THE LEAP: PREPARING FOR AN RFP

### DEVELOP A PROJECT PLAN

Before jumping into developing the Request for Proposal (RFP), a project plan that effectively guides the agency through the procurement, implementation, and future maintenance of the CMS solution is necessary. This project plan will keep the agency and, later, the service provider on track (note the project plan will likely get revised post-award) and minimize deviations from the core objective of the project. Previously we discussed developing the *project charter*, the project plan will serve as an extension of that work by providing exact details on what, and how, the project is to be accomplished. That said, project plans are not static documents to be developed solely by positions of authority. Rather, the project plan should rely on the expertise and experience of the procurement team and be flexible to changes in key decision-making or technological needs.<sup>5</sup> As a result, the plan will need to be periodically reviewed and updated accordingly. In addition to the project charter previously discussed, there are five components that should be addressed in the project plan: 1) Scope and Objectives, 2) Project Timeline, 3) Project Budget, 4) Risk Management, and 5) Communications Plan.

### Scope and Objectives

Though discussed briefly previously, it's worth reiterating now that the greater the scope the more expensive and prolonged the implementation. Therefore, it's imperative the procurement team develop a specific statement of scope that explicitly puts boundaries on the extent of the project's goals. Using previously developed planning documents; the committee should specifically state what solutions are "in" scope of this project and what are "out" of scope. For example, is this solution specifically for frontline probation officers or only officers' supervisors? In other words, will the end-user require the ability to look at multiple, or aggregate, probation officer caseloads and reports in addition to individual cases, or merely access to their own caseload? What tools could be developed specifically for supervisors that may differ from what's available to the probation officer? Would this be in or out of scope? Describe customized features, reports, and interfaces, as well as the use of technologies such as electronic signature pads, laptops for field

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<sup>5</sup> *Id.*, at 116.

work, kiosks for offender reporting, and scanners. Will the proposed solution aim for a paperless process? Gathering statistics? In addition, any grant-based requirements should be listed in the scope statement. Using the scope statement as a center piece of the project, the committee should create specific deliverables based on components of the scope statement. It may be useful to create a tree diagram that visually depicts the relationship between the overall scope and the individual deliverables. With specific deliverables identified, the committee can also distinguish individual objectives that must be met to achieve project success. Objectives should be specific (e.g., the new solution will enable the user to run a pre-defined recidivism report).

### **Project Timeline**

Using the scope statement and related objectives, activities, and deliverables; the procurement team will need to develop a cohesive project timeline. Though technological implementation can get complex in terms of the ordering of events, a logical sequence of activities should be documented. Specific due dates should be provided for large tasks instrumental to the project's timeliness. Adequate time should be provided for all stages of development, particularly early on when initial activities can impact the success of later implementation. A general rule of thumb would be to allow at least time and a half of what you initially believe to be adequate. In general, there should be some estimate of the time it will take for all activities, even if it remains tentative throughout the project's life-cycle. This is true of systems purchased on the open market or developed in house.

### **Project Budget**

Agencies may begin their foray into procurement of a technological solution in varying ways (e.g., money allocated at a set amount specifically for technology, a desire to buy technology with no knowledge of the potential cost, receipt of a grant to purchase a technological solution). Regardless, an agency will need to develop an estimated budget for the project. The project can be described in terms of four components:<sup>6</sup>

1. Gather Internal and External Cost Data.
2. Create a Project Budget of Initial Costs.
3. Estimate Recurring Costs and Include in Budget.
4. Plan for Ongoing Updates to Project Budget.

Start budgeting by examining internal and external costs.<sup>7</sup> In other words, what costs will come from within the agency's responsibility such as personnel, office space, and agency networks. External costs relate to external expenditures including the procurement of hardware, software, and services from service providers, and outside consultants. Contacting other agencies who have recently implemented a similar solution, outsourcing the budget responsibility to a consultant

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<sup>6</sup> *Id.*, at 138.

<sup>7</sup> *Id.*, at 139.

with experience in technology procurement, or issuing a *Request for Information* (RFI) to solicit price estimates from service providers each represent reliable methods of obtaining accurate cost estimates.

### **Risk Management**

Harris and Romesburg encourage agencies to develop a risk management plan.<sup>8</sup> Previously we highlighted a tool known as SWOT analysis which included assessment of weaknesses and threats. The project manager and *procurement team* should compile these weaknesses and threats into a plan of action to minimize their impact on project success. The identified risks should be categorized based on likelihood and potential severity. When possible, a tentative response plan should be constructed that outlines how the team will respond if one of the potential threats becomes a reality. This forward planning should help reduce the impact of a given crisis.

### **Communications Plan**

Finally, a communications plan is needed to outline how information about the project, and status updates, will be handled and by whom.<sup>9</sup> It is already known there are many internal and external stakeholders who will be interested in the project and its implementation. In addition, the agency staff in general, grantors, and the general public will also need to be informed. The project manager should either construct or delegate a consistent schedule of status updates to be disseminated and the method in which it will be conveyed (e.g., e-mail, website, social media sites such as Twitter and/or Facebook). The communications plan can also support project documentation by providing a record of project accomplishments and milestones.

## **PROCUREMENT PROCESS SUMMARY**

The process of procuring a solution typically takes anywhere from four to ten months to complete after initiating the request for proposals (RFP). The purpose of procurement, and incidentally the RFP, is to identify a product and service that best meets the needs of the agency. Though beyond the scope of this guide, the procurement of technology is often guided by local laws or regulations and, as a result, agencies will need to observe these conditions at the outset of their procurement endeavor. Failure to do so can lead to what is referred to as a bid protest in which one or many service providers object to a specific aspect of the RFP (Harris & Romesburg, 2002, p. 174).<sup>10</sup> Such protests may involve legal action which can delay the procurement process until the matter has been resolved. Agencies should ask themselves about 1) specific procurement thresholds (e.g., if value exceeds a specific amount it must undergo a competitive procurement), 2) advertising requirements (e.g., the agency must advertise the RFP in at least one publication for a designated period of time), 3) delivery (e.g., electronic or mail), 4) pre-proposal conference after the RFP's release (i.e., sometimes required), and 5) bid opening process (i.e., what establishes the

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<sup>8</sup> *Id.*, at 149.

<sup>9</sup> *Id.*, at 160.

<sup>10</sup> *Id.*, at 174.

initial communication between service provider and the agency). Below are ten tips for agencies to consider when purchasing a technological solution.

## TENTIPS FOR BUYING TECHNOLOGY<sup>11</sup>

### **1. Consider procurement strategies outside the traditional RFP.**

One of the great myths of government procurement is that competitive bidding laws are designed to ensure that the government gets the best price. Clearly this is not the case. If it were, taxpayers would not be paying \$600 for toilet seats and the private sector, which depends on the bottom line, would have adopted similar procurement procedures. In fact, competitive bidding laws were passed to eliminate corruption, ensure fairness and transparency, and allow equal access among private vendors to government contract opportunities. Saving money was a secondary goal at best. The good news is that many state and local governments have moved aggressively to streamline the procurement process. These changes are much more attuned to promoting efficiency and cost savings, while at the same time protecting the goals of fairness and equal access. In many instances these reforms have been a direct response to the challenges of acquiring complex technology solutions. The bad news is that many government agencies have failed to embrace these changes. A recent study by *Government Technology News* and the Aberdeen Group consulting firm found that, despite the adoption of reforms, “bureaucracy is getting in the way of sound and efficient procurement ... practices” and that “complying with procurement regulations – not achieving cost savings – is the primary driver of [procurement] strategies in the public sector.” What can you do? Find out what alternatives to the traditional RFP are available. Find out what progressive procurement techniques are being used by other agencies in your jurisdiction. Is the project appropriate for a more informal RFI-type process? Are vendor interviews and sole sourcing permissible? Above all, if you use a central procurement or purchasing office, make sure that the process is tailored to your particular needs and the characteristics of your project. Don’t let your project be shoe-horned into a “one size fits all” process, RFP or otherwise.

### **2. Think like a vendor.**

As you craft your project and the resulting procurement effort, analyze them from the vendor’s perspective. Keep in mind two concepts: (1) profit margin and (2) risk and reward. Vendors are in business to make a profit for their owners and shareholders. By doing this in a way that also serves the interests of their customers, they can grow, prosper and continue to provide valuable goods and services. To do this, a vendor must make a reasonable profit on its investment of time, resources and money. At the same time, not every cost involved in a project can be calculated

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<sup>11</sup> Jim McMillan ([jmcmillan@ncsc.org](mailto:jmcmillan@ncsc.org)) of the National Center for State Courts (NCSC) and Curtis DeClue ([curtde@msn.com](mailto:curtde@msn.com)), an attorney whose practice focuses on technology and intellectual property issues, developed this brief top ten list for buying technology. Shared with permission.

in advance. Every project contains potential problem situations that may or may not develop. If they do develop, however, the vendor will be expected to resolve them. In addition to analyzing fixed, known costs, a reputable vendor will analyze each proposal to determine its potential exposure to the costs associated with these problem situations. A service provider must make financial provisions for such costs and it expects to be rewarded appropriately for assuming the risks of agreeing to fix such problems if they occur. Here are just two examples of how these concepts, considered from the vendor's perspective, might affect your procurement effort.

With respect to profit margins, many hardware components have become commodities. As a result, it is quite possible that a vendor will buy hardware components from the same third-party supplier and at about the same price that is available to you. The only difference is that the vendor will add a profit margin to this cost to determine the price that will be included in its proposal. By buying these components directly, you eliminate this mark-up.

With respect to risk and reward, nothing creates more risk for a vendor than the unknown. If the project requirements are vague, if the schedule is uncertain, if the project is dependent on numerous factors that the vendor cannot control, the vendor will have to make provisions for these unknowns in its pricing. And, yes, that means that the price will go up! Reducing the unknowns in a procurement effort will reduce the risk factors for a vendor and will allow it to lower its pricing. Not all risk factors can be eliminated, however. In particular, performance guarantees which push the technological envelope represent a major risk factor for a vendor. You may determine that such performance standards are essential to your project. If this is the case, make sure that these performance standards are as clear and precise as possible and accept the fact that you will pay a price for requiring a vendor to meet these guarantees.

### **3. Limit and phase the project scope.**

The biggest problem that almost all Requests for Proposals or other government purchases suffer from is the size of the scope of the project. What do we mean by the scope? It is simply the list of problems that technology is asked to solve. It is easy to make a statement like we would like to build a paperless [justice agency] but it is very difficult to implement. Therefore it is better to break a project and hence the RFP into phases that build one upon another. This approach gives the [justice agency] information on the costs of each phase, informs the staff what is to be accomplished in each phase, provides flexibility in contracting if funding runs short, and creates proper expectations for the total project.

Also, there is often management or organizational problems that a [justice agency] would like to use technology to solve, but those issues are not enumerated in the RFP. It is best to list those issues because the technology and implementation approach can then be adjusted to address them.

#### **4. Longer is not better.**

Long (several hundred page) Requests for Proposals have not proven to help [justice agencies] to achieve more successful projects. [Justice agencies] have developed very detailed RFP's only to find that first, they inhibit vendors from competing for their business due to the cost of responding to the request and second, they are extremely difficult to administer as part of the subsequent contract. Instead one should focus on the business problem that you wish to solve. Let the technology companies do the work of proposing the solution. They often have innovative approaches that are well proven in other [justice agencies] and other industries but, for many reasons, may not have been tried in your [justice agency].

#### **5. What do you do best?**

[Justice agencies] often leave vendors in the dark as to what they want their staff's roll to be in the project. Does your [justice agency] have a good trainer? Do you have a good project manager or web master? If they should be part of the project let everyone know in the RFP. Also, [justice agencies] often do not tell vendors what staff is being dedicated to the project in the RFP. If there is no [justice agency] or government staff assigned to oversee or work with the project, with requisite reallocation of other duties, then this nearly guarantees project failure. Vendors look for this in RFP's and if this information is not provided then good companies will pass on your project because it is an indication that your [justice agency] is not committing resources to the project's success.

#### **6. Use Technology to Improve the Process of Educating Vendors**

One of the most important aspects of any procurement is the educational process. By this we mean the disseminating of procurement documentation, the process by which vendors gather information and the process by which vendors ask questions and you provide answers. Though less obvious than direct project costs, resources devoted to this process can be sizable. For you, it amounts to expensive staff time and resources. For a vendor, just the costs of sending personnel to vendor meetings and question and answer sessions can be sizeable. These are costs that must be recovered and are therefore simply passed along in the project proposal. Use technology to reduce these costs for both you and potential vendors. Disseminate documents electronically. Set up web-based chat rooms for vendor questions. Use video conferencing for vendor meetings and question and answer sessions. Put a virtual facility tour on your web-site.

#### **7. Haste Makes Waste - Give Vendors Adequate Time to Respond.**

Nothing is more frustrating to a vendor than to have 30 days to respond to a lengthy, complex project document, knowing full well that you have been working on the project for a year or more. It is understandable that once you have finally gotten to the procurement stage, you are anxious to move forward as quickly as possible. Unfortunately this haste may mean that you are short-changing your project. Compressing the response time unrealistically has a number

of negative consequences. Proposals are not well thought out; solutions are inadequate; and, responses are sloppy. Without time for proper analysis, a vendor may assess inordinate risk to the project and unnecessarily increase its price (See Tip No. 2 above). Some vendors may assume that an overly-aggressive response schedule means that you don't have a good grasp of the complexities of the project. Others may assume that the short response time means that the procurement process is simply a formality to allow you to officially designate a vendor that has already been determined. In either case, reputable vendors with quality solutions may simply decide not to participate in the process. Allow vendors enough time to give your project the same thoughtful analysis that you gave to it.

### **8. Position your project for the future.**

Larry Webster of NCSC always likes to quote Wayne Gretsky as saying that the reason he is a great hockey player is because he skates to where the puck is going and not where it has been. One overarching goal of any technology project is to position your [justice agency] to build upon that purchase for the future [For example, if purchasing a case management system, can the database be linked with the courts or local law enforcement through information sharing capabilities (i.e., NIEM awareness) to enhance public safety?]. It is worth spending a few more dollars now to gain experience with the technology and expand upon it in the future.

### **9. Use standards.**

Technology standards for hardware and software set by governmental IT or purchasing department need to be re-evaluated before they are used in an RFP. What was the dominant technology two years ago may now be obsolete because the company went bankrupt or another technology has caused a significant disruption in the marketplace. An example of this occurred when the Internet browser was first introduced. The browser became the standard computer interface for the public to deal with your court. Now that same browser interface is becoming the standard for court technology systems because there is less work and cost involved in supporting the individual system users. However, standards are an excellent starting point for development of RFP's and can be used as a foundation for your technology project.

### **10. Or more ...**

Computer hardware specification is a moving target. Each month a new type and amount of memory or a new computer processor chip is being introduced. What was standard two months ago is now not available and costs extra to obtain. So the trick to writing specifications is to simply add phrases such as "or more" or "or greater". For example, the PC must contain a 3.0 Gigahertz processor or greater. This sets your acceptable minimum standard and allows the vendor flexibility to give you the best equipment at the best price.

Though primarily focused on a competitive RFP herein, there are different options depending on the unique needs of the agency and the technological solution of interest. For example, it may be beneficial to utilize an RFI (request for information) to obtain generalized information concerning a particular product, application, or service. An RFI can be useful if the agency is unsure what the general costs of a given solution should be and needs additional information from service providers to properly budget for its upcoming project. As a result, the RFI can be used preemptively to prepare the RFP. In addition, an RFQ (request for qualifications) can be used to ascertain what service providers exist that can meet your minimum qualification standards. Other procurement-based tools include the ITB (invitation to bid) and sole-source. An ITB is a strict *take it or leave it* approach to procurement in which service providers must implement the solution as described without any negotiation or modification. ITB's are rarely used and best reserved for advanced technological organizations. The sole-source procurement is when an agency finds that there is only one service provider who can meet its technological needs and is, as a result, a noncompetitive process. This sort of procurement often applies to system upgrades by the original system service provider. Note, an invalid sole-source can be protested and the project delayed if not appropriately justified.

Along with the RFP, agencies will need to develop or provide functional bid specifications which consist of detailed descriptions of the system capabilities. In other words, the agency needs to describe exactly what they expect from the solution and its application(s). Agencies will want to use these specifications to measure the service provider's progress and success in implementation. The American Probation and Parole Association previously developed a list of functional standards that agencies can use for guidance while supplementing with their own specifications and the additional bid specifications provided in Appendix B of this guide.<sup>12</sup> The functional standards concern:

- Case Processing (including case initiation, case planning, scheduling, monitoring and compliance, document generation, case closure)
- Management (management and statistical reporting, security and data integrity)
- File and Document Management
- Integrated Criminal Justice Information Systems (ICJIS)
- Financial Standards
- Case Initiation (including identification numbers, search capability, adding client records, client master record, cases, charges, risk/needs assessments, investigation reports, victim information, and staff assignments/transfers)
- Case Planning Requirements (including notes, violations/warrants, case plans, interstate compact supervision, and expunge/seal)

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<sup>12</sup> See <http://www.appa-net.org/eweb/docs/appa/pubs/FSDACMS.pdf>.

- Scheduling Requirements (including schedule/calendar, appointments, hearings, and ticklers/alerts)
- Monitoring and Compliance Requirements (including court ordered conditions, community work service, drug tests, referrals, juvenile placements, clinical treatment records, and electronic monitoring)
- Document Generation Requirements
- Case Closing Requirements
- Management Statistics Requirements (including reporting, specific report types, statistics, and workload operations)
- Program Management
- Security and Data Integrity Requirements (including technical architecture, system sizing and response issues, security, data integrity, documentation/help, auditing and utilities, configuration, and service provider support)
- Integrated Criminal Justice Information Systems Requirements (including data exchanges and integration, and agency collaboration)
- System Requirements (including APPA standards, system structure, look and feel)
- Detention Requirements (including intake/booking, housing, property, health information, operations, alternatives to detention, release)
- Financial Requirements (including accounting record, receipt processing, disbursement process, check printing, financial display screens/reports, financial external interfaces, and administrative fees)

Agency management should assess the need for management reports and how their data will support management decisions. Ideally, executive management will build a library of performance reports with clear definitions which will support their funding and reporting requirements to funding agencies. Vital documents to review include legislative mandates, past operational reviews, financial and data audits, and data typically associated with managing grants and grant applications. The most effective IT systems are built around the data that provides the outcomes needed to make sound management decisions. In addition, the ability to provide performance feedback to staff should be included. This feedback should be in line with that necessary for the larger system needs but done so at the officer or case agent level.

In addition to these sources agencies may look to similar agencies for additional guidance in creating specifications unique to their technological need. Regardless, the agency's *procurement team* or committee should review all specifications and make a determination as to which meet their needs that already exist and what specifications need to be developed. In the RFP there should be a space provided next to each specification to allow the service provider to respond to its ability to implement the given request, as well as each specification's importance to the agency.

# CHAPTER FOUR:

## AN INTRODUCTION TO INFORMATION SHARING

**T**oo often information sharing becomes an anecdotal reference in CMS solution procurement. It would be beneficial to require service providers to demonstrate past experience and successes in supporting information exchanges as a component of the RFP (e.g., references). The process of information exchange can be explained in terms of five dimensions:

**Process:** A process represents a group of sequential events leading to some logical outcome (e.g., risk assessment leads to risk classification). The exchange of information occurs at some conclusive point of a process, referred to as a *triggering event*. The triggering event is associated with a *subsequent event* which may lead to another process. Processes begin and end with an event, can include multiple events, may exist parallel to other processes (e.g., probationer receives substance abuse treatment while also being tested for substance abuse) or in sequence.

**Event:** The triggering event represents a distinct decision or action that causes the exchange of information to occur (e.g., probationer submits an application for state transfer and sending state sends application to receiving state for approval). A subsequent event occurs in reaction to a triggering event (e.g., the receiving state rejects state transfer application from the sending state). Subsequent events can occur as a result of inaction (e.g., sending state does not receive correspondence from receiving state). The exact trigger event depends on the nature of the exchange and information to be shared.

**Agency:** The agency is the entity to which information is being sent from or received by (e.g., court to probation, jail to probation, prison to parole). The term “agency” should be considered loosely as it could be used to indicate departments within an organization or other derivatives.

**Condition:** Conditions are factors that influence whether an exchange occurs and possibly with whom (e.g., juvenile or adult referral, felony or misdemeanor, gang or non-gang affiliated, etc.).

**Information:** Information represents the raw data exchanged between one or more agencies. Data may be organized within various documents or reports.

When procuring a new system it is important to require a system that is capable of easily sharing information with other, disparate, systems. Systems that are “open” or expose underlying data and capabilities through mechanisms such as Open DataBase Connectivity (ODBC)<sup>13</sup>, File Transfer Protocol (FTP)<sup>14</sup>, or web services<sup>15</sup> are generally simpler to integrate with other systems when the need to share information arises. Closed or proprietary systems that do not provide access to the underlying data or capabilities make it very difficult and expensive to share information. Procuring an “open” system is absolutely ideal and will position the system for flexibility and agility in the future.

The U.S. Attorney General through the U.S. Department of Justice, Office of Justice Programs, created the Global Justice Information Sharing Initiative to support local, tribal, state, and federal information sharing across the country.<sup>16</sup> Global, a group or groups which represent more than 30 organizations across multiple justice agency domains, serves as a Federal Advisory Committee (FAC) which advises the U.S. Attorney General on information sharing initiatives. Global provides recommendations for information sharing at all levels of government on technology standards and best practices, privacy and security policies, and cost-effective means to implementation. Global is supported by multiple workgroups comprised of subject matters experts that examine specific areas of concern in justice information sharing:<sup>17</sup>

- Global Infrastructure/Standards Working Group (GISWG): The GISWG mission is to develop a conceptual framework that supports national justice information sharing and, to that end, to identify strategies and tactics that will implement the framework. For example, successful data exchange fundamentally depends on developing and adopting standards that enable transparent integration of disparate systems. GISWG facilitates a coordination process to identify ongoing and developing information sharing standards within the justice

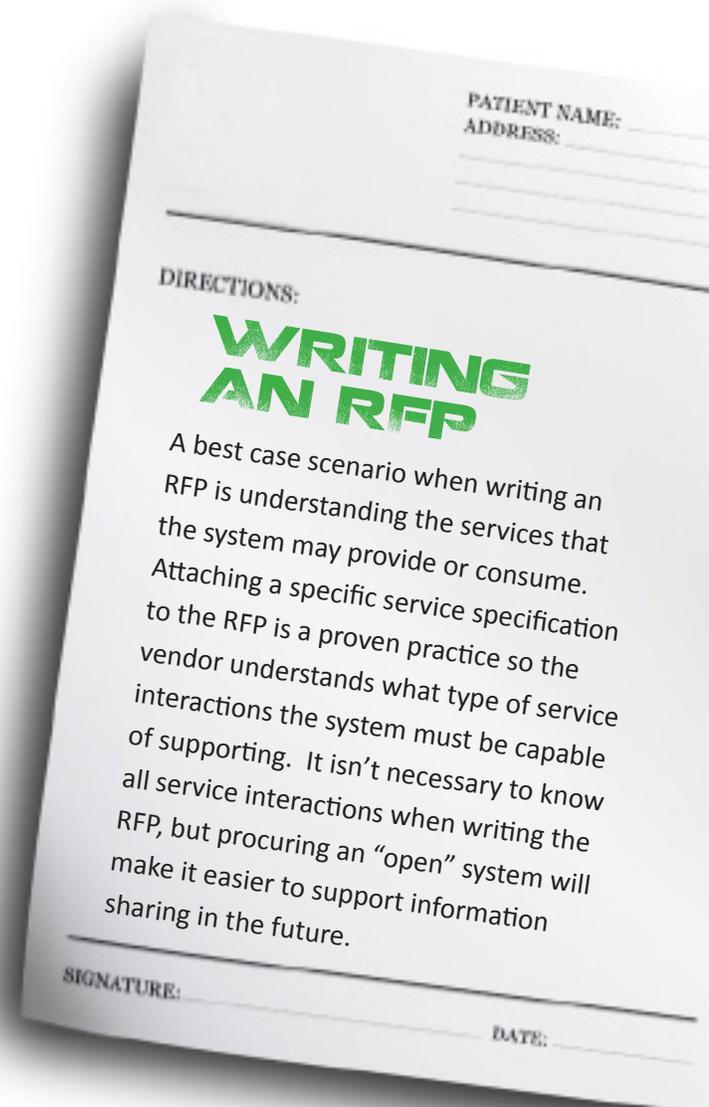
<sup>13</sup> <http://en.wikipedia.org/wiki/ODBC>

<sup>14</sup> <http://en.wikipedia.org/wiki/FTP>

<sup>15</sup> [http://en.wikipedia.org/wiki/Web\\_services](http://en.wikipedia.org/wiki/Web_services)

<sup>16</sup> <http://www.it.ojp.gov/default.aspx?area=globalJustice&page=1019>.

<sup>17</sup> Information lifted from flyer: Office of Justice Programs, *Global Justice Information Sharing Initiative* (Washington, D.C.: U.S. Department of Justice, 2004). Please note that the DOJ is currently in the process of consolidating the GISWG and GSWG into a single working group known as the Global Standards Council (GSC).



community. This effort includes publishing, cataloging, and sharing these standards to promote collaborative efforts and offers blueprints to those beginning the information exchange planning process.

- **Global Intelligence Working Group (GIWG):** The goal of this group is to promote the understanding and assimilation of core principles, concepts, and practices in intelligence-led policing and the management of the intelligence function by providing guidance and long-term oversight via implementation and institutionalization of the National Criminal Intelligence Sharing Plan. This goal is supported by the creation of the Criminal Intelligence Coordinating Council (CICC), whose members serve as advocates for local law enforcement in their efforts to develop and share criminal intelligence for the promotion of public safety and the security of our nation.
- **Global Privacy and Information Quality Working Group (GPIQWG):** In an effort to ensure that personal information will not be inappropriately disseminated or misused and that there are safeguards against the collection and use of inaccurate information, this group concentrates on issues of information privacy, criminal history records, criminal intelligence information, juvenile justice information, and civil justice information. Although the justice system has been addressing information privacy as impacted by advancing technological capabilities, privacy may become one of the most important technological issues of the twenty-first century.

## NEW DEVELOPMENTS ON THE HORIZON

**GLOBAL STANDARDS COUNCIL (GSC):** The GSC will soon replace the GISWG and GSWG (T. Clark, personal communication, January 3, 2012). The GSC is a working group, formed by the Global Advisory Committee (GAC) chair with the approval of the GAC and BJA, which will formalize a body of standards for justice information sharing (S. Came, personal communication, January 4, 2012). The GSC has assumed a governance role for existing Global standards (e.g., GRA, GFIPM) and will coordinate the development of model business processes, policies, and service specifications. The GSC will utilize and maintain an online collaboration site to share and review standards as they are developed.

**SPRINGBOARD:** Springboard, a Consensus Standards Cooperative, is an IJIS Institute standards-based interoperability (SBI) program designed to help advance information sharing associated with the justice, public safety and homeland security operational environments (A. Jarral, personal communication, January 2, 2012). Through this program, the IJIS institute will work with sponsor organizations to provide an environment to industry for the testing and evaluation of information sharing and interoperability standards.

- Global Security Working Group (GSWG): Security of the entire information exchange enterprise is only as strong as the weakest link. This group pursues security measures for today's enhanced information sharing abilities and works to inform the justice and justice-related communities of acceptable integrated justice system security measures. Of particular importance is determining effective security standards for legacy systems, as well as the new and enhanced networks and systems to which they are joined.

If there's one thing to learn about information exchange it is the technology community's affinity for acronyms. Truth is acronyms work best in moderation but we have an overabundance of them both within the justice community and abroad. Let's break down some of the key information structures and tools you're most likely to encounter in information sharing initiatives,<sup>18</sup> what they mean, and how they can be used to further agency information sharing needs and goals.<sup>19</sup>

### *Global Reference Architecture (GRA)*

Developed by the Global Infrastructure/Standards Working Group, the GRA (previously known as the Justice Reference Architecture or JRA) is a service-oriented reference architecture for justice information sharing.<sup>20</sup> The GRA is a description of core concepts in justice-related information sharing and the relationship between those concepts as well as the high-level components (e.g., software, hardware, infrastructure, policies, and practices) needed to facilitate an exchange. A reference architecture represents a set of documents designed for technology staff, developers, architects, and program managers to expedite the planning process of an exchange. This tool helps promote consistent methods of exchanging information across jurisdictions. Adhering to the service-oriented architecture (SOA), the GRA:

1. Implements a layer of technology between the partnering agencies that effectively isolates the two systems so that each agency's system continues to operate independently of the others (eliminating any potential dependencies that may otherwise occur as a by-product of information exchange).
2. Follows reputable open-industry standards as opposed to proprietary standards which allow for maximum flexibility in agency participation and independence.
3. Is governed by a formal structure that promotes a common approach and technology across information exchanges as opposed to project-by-project solutions that can become redundant and disparate.

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<sup>18</sup> Note many of the upcoming initiatives and services are occasionally referred to as a summative resource known as the Global Information Sharing Toolkit (GIST). For additional information on Global initiatives and resource products visit [www.it.ojp.gov](http://www.it.ojp.gov).

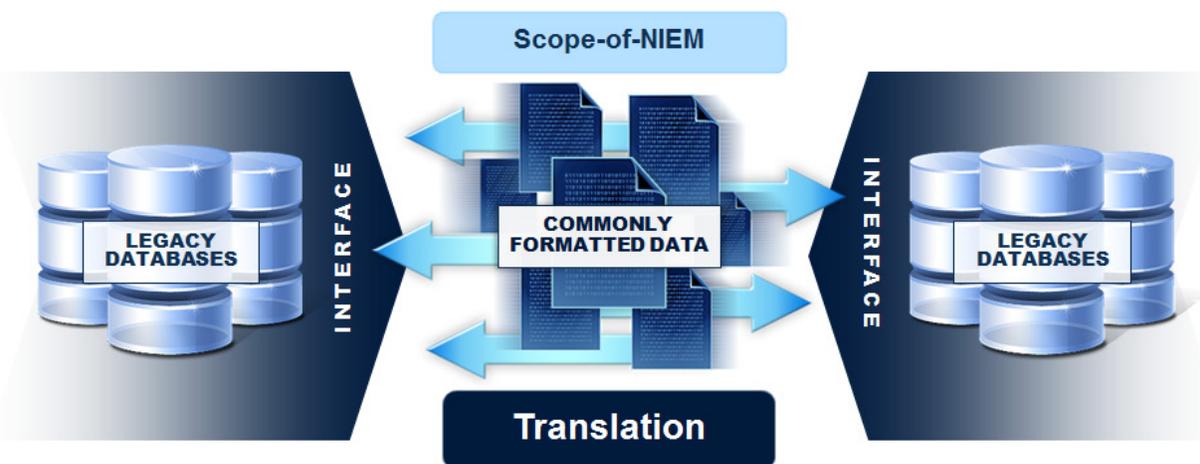
<sup>19</sup> For guidance on assessing your agency's readiness for information sharing please refer to Anthony M. Cresswell, Theresa A. Pardo, Donna S. Canestraro, Sharon S. Dawes, & Dubravka Juraga, *Sharing Justice Information: A Capability Assessment Toolkit* (Albany, NY: University at Albany, Center for Technology in Government, 2005).

<sup>20</sup> Global Infrastructure/Standards Working Group, *Justice Reference Architecture (JRA): Specification* (Washington, D.C.: U.S. Department of Justice).

In addition, the GRA provides improved agility and responsiveness by reducing interdependencies between agencies exchanging information. In other words, a change or upgrade in one partner agency's system will not impact the operation of another agency's system(s). The GRA further promotes a more equal sharing of the costs associated with information exchange by utilizing a shared infrastructure as opposed to offloading the burden on one agency. Finally, the GRA's reliance on open standards provides for greater flexibility allowing agencies with very different technological systems, service providers, or products to communicate.<sup>21</sup> The GRA can assist agencies in developing an RFP for information exchanges in terms of establishing requirements and standards.

### *National Information Exchange Model (NIEM)*

The National Information Exchange Model (NIEM) is a local, state, tribal, and federal interagency initiative designed to facilitate the exchange of information between one or more agencies with diverse systems and needs,<sup>22</sup> not a tool for system development.<sup>23</sup> NIEM was instigated on February 28, 2005 in coordination between the U.S. Department of Justice and the Department of Homeland Security. The model leverages standards provided by Global and utilizes the Global Justice XML Data Model (GJXDM) to facilitate information sharing across multiple domains including justice, emergency and disaster management, intelligence, and homeland security. NIEM is governed by an Executive Steering Committee (ESC), policy advisory panel, NIEM Program Management Office (PMO), and a stakeholder committee. The ESC is comprised of key public decision makers from local, state, and federal agencies with a vested interest in NIEM and information sharing. The ESC provides strategic guidance to the PMO which is responsible for implementation oversight and development of NIEM.



Though an oversimplification, NIEM functions like a translator between one or more agency systems by standardizing each agency's information to reflect established standards and

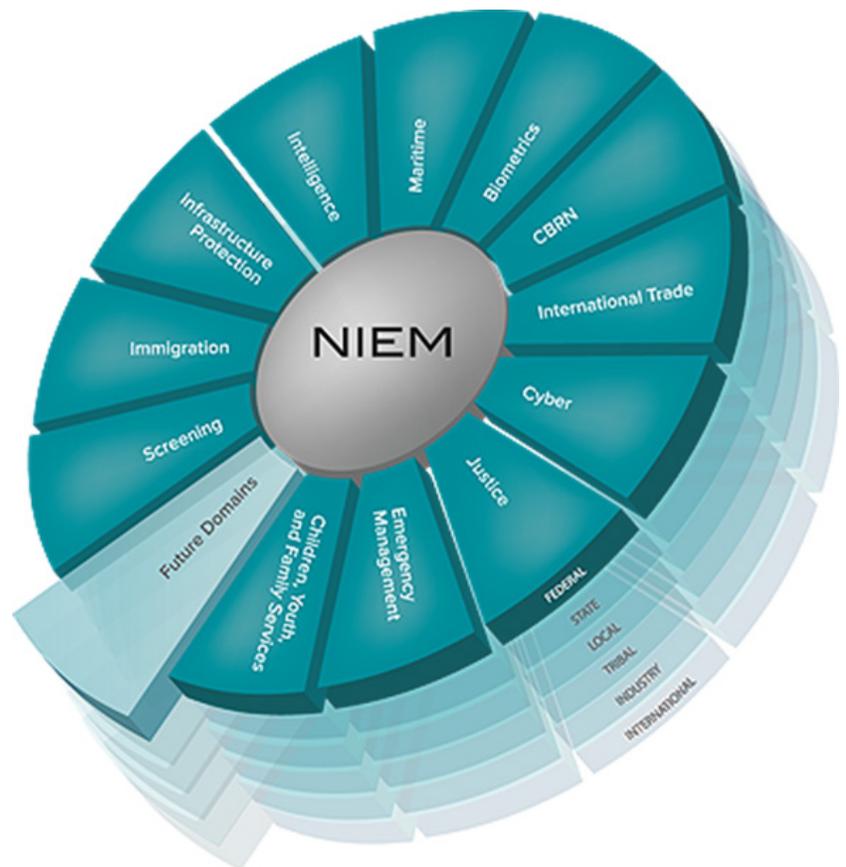
<sup>21</sup> See <http://it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015>.

<sup>22</sup> See <http://www.niem.gov/>.

<sup>23</sup> It is erroneous for a vendor to claim that a case management system is NIEM compliant or conformant as NIEM does not govern an agency's case management data structure or elements. What NIEM does is facilitate the agreement of common definitions and terms across entities and domains. An 'exchange' can be conformant by correctly utilizing the NIEM elements and definitions when appropriate. That said, NIEM does not feature an exhaustive dictionary of common elements and therefore entities occasionally rely on what's known as "extensions". These extensions allow agencies in an individual exchange to develop a common term and definition if none such currently exists.

definitions as represented within the NIEM framework. Once standardized, information can be shared across agencies within the same domain (e.g., justice) or across domains (e.g., justice and homeland security) and eventually converted to meet the given system's needs. The figure on the previous page is an illustration of an information exchange between two agencies using NIEM.<sup>24</sup>

Much like an interpreter in a court room, NIEM must be used to carefully define information between two or more parties in an exchange. NIEM features an ever growing vocabulary of elements that are either globally recognized or specific to a given domain. This established dictionary helps agencies expedite the information sharing process by quickly exchanging common information (e.g., name, address, etc.) and focusing more time on those elements of an exchange that are not pre-defined. Uncommon elements not represented within NIEM require a project-specific solution called an "extension" that effectively provides a project-specific, temporary, customization. To the right is an illustration of the various domains associated with NIEM.<sup>25</sup>



NIEM avoids creating dependencies across entities because it keeps agency systems isolated from one another by providing a middle-ware application of some sort (e.g., web service, portal) to translate the data and facilitate the exchange. This means if one system receives an upgrade or other change it does not upset the other agency systems involved in the exchange, though that system's contribution may be negated until it is back online and appropriate elements redefined in NIEM if necessary. As a result NIEM is also the most flexible solution for instigating information exchanges as it can support exchanges between diverse systems operated by various service providers without the need to modify either system. NIEM makes no attempt to normalize all information across all agencies; rather it focuses on standardizing those elements needed to cross organizational boundaries and the subset of data needed for interagency information sharing.

The process of implementing an exchange through NIEM involves six general phases:<sup>26</sup>

1. Conduct Business Analysis and Requirements Review: This step defines the business requirements associated with an information exchange for which NIEM is used.

<sup>24</sup> <http://www.niem.gov/grants.php>

<sup>25</sup> <http://www.niem.gov/elearning.php>

<sup>26</sup> <http://www.niem.gov/library.php>

It incorporates scenario-based planning, which is the recommended methodology for elaborating the business context of events, incidents, or circumstances in which information exchange takes place.

2. Complete Information Exchange Mapping and Data Modeling: This uses established methodology to map and model operational information exchanges. Moreover, it describes the process a community of interest (COI) follows to map its data sources to NIEM and identify IEPDs (Information Exchange Package Documentation) available for reuse and/or gaps between its data source and NIEM. COIs can use the NIEM repository to search and discover existing data components to decrease the time needed to construct IEPDs.
3. Build and Validate IEPDs: This step addresses the importance of using common documentation standards, such as IEPDs, to ensure that there is consistency in the way information is captured, stored, and exchanged and that uniform methodologies exist to support the generation of the IEPDs. Once the COI validates its IEPD, it may submit the IEPD to its domain-specific area (proceed to Step 5) or nominate data components for inclusion into universal or common (proceed to Step 4).
4. Data Harmonization and Promotion: The appropriate NIEM governance stakeholders form a team to review an IEPD submission and determine whether any of the data components should be included in universal or common. The team evaluates the submission and makes a recommendation regarding which, why, how, and when to integrate the proposed changes into NIEM.
5. Publish and Implement IEPDs: Once an IEPD is approved, it is stored in the NIEM repository. Other stakeholders or CIOs can then search and discover published IEPDs for reuse or extend for a specific instance of the information exchange.
6. Garner Feedback and Enhance and Expand IEPDs: This step describes how the COIs work with the PMO to ensure existing IEPDs remain up to date and compliant with NIEM.

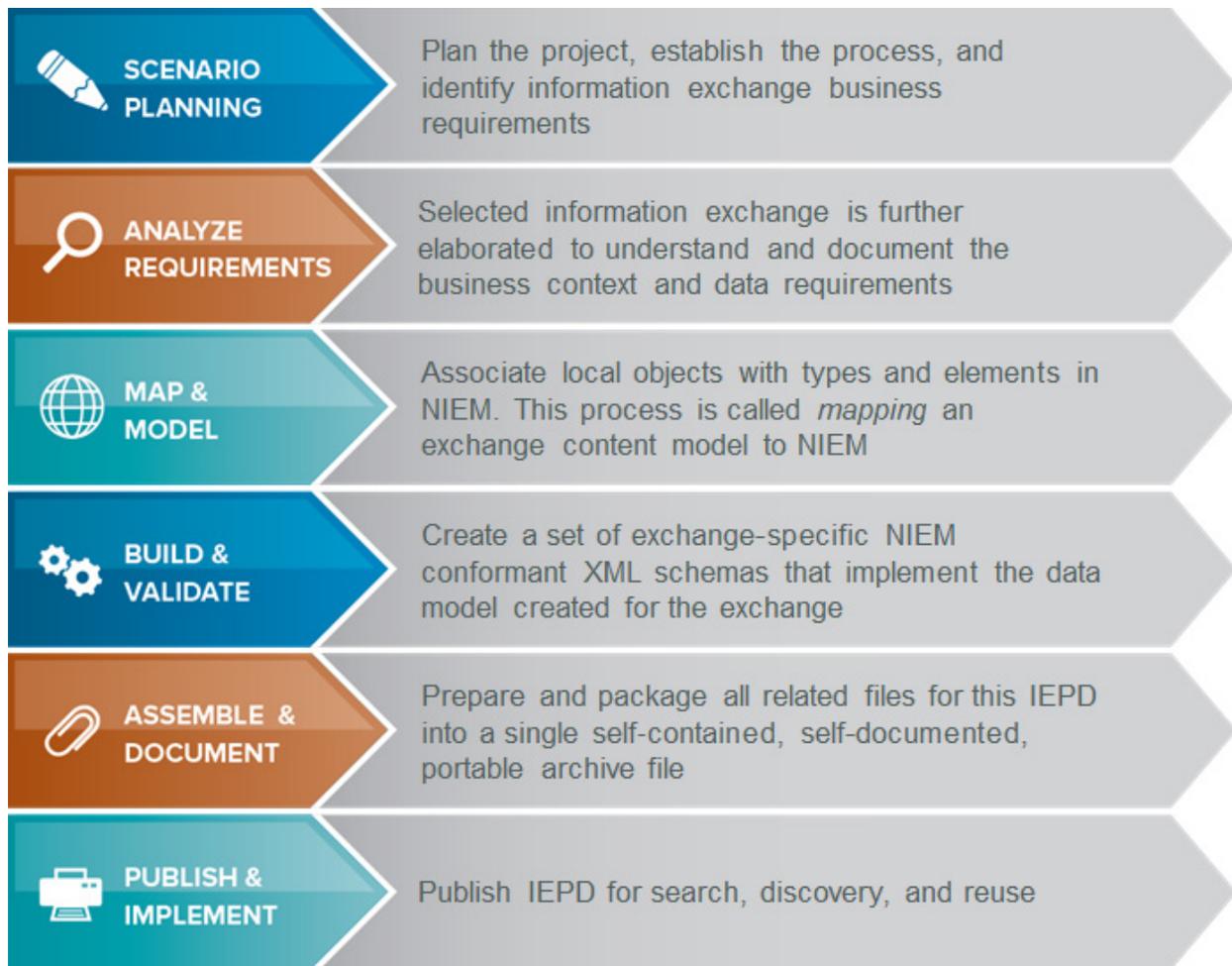
#### *Information Exchange Package Documentation (IEPD)*

An IEPD is a set of data artifacts used to support a specific information exchange. The IEPD contains documentation that defines the content of a specific exchange through process mapping, business and data requirements, exchange model, schema generation, and instance documentation. It contains both the theoretical business process mapping as well as the technical documentation to reflect the proposed exchange. IEPDs are created and posted on the IEPD clearinghouse so that they can be reused, in whole or in part, in future exchanges in hopes of reducing development time and costs.<sup>27</sup> Note that the IEPD represents the proposed exchange and not the physical exchange itself (i.e., implementation). The process of NIEM IEPD development is displayed on the next page.<sup>28</sup>

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<sup>27</sup> See <http://it.ojp.gov/framesets/iepd-clearinghouse-noClose.htm>.

<sup>28</sup> <http://www.niem.gov/iepdLifecycle.php>



### *Justice Information Exchange Model (JIEM)*

The Justice Information Exchange Model was developed by the Bureau of Justice Assistance and SEARCH to assist justice agencies in the sharing of information. JIEM is a combination of three interrelated components: 1) JIEM Methodology, 2) JIEM Reference Model, and the 3) JIEM Modeling Tool (SEARCH). JIEM Methodology refers to a structured approach to documenting the information to be exchanged. This involves capturing the exact information to be shared as well as the communicator and the recipient of that information, the timing of the exchange, responses that may occur as a result of the exchange, relative importance, and privacy considerations. The JIEM Reference Model is a repository of various information exchanges conducted in the past that contain business functions common to many jurisdictions and defined or refined from previous JIEM exchanges. In other words, the Reference Model is a collection of previous experiences that may prove useful in new exchanges without the need to duplicate work that has already been completed – why reinvent the wheel when it’s right in front of you. Finally, the JIEM Modeling Tool is a software package that allows practitioners to build a model of their proposed information exchange. This tool is used to ensure compliance to Global Justice XML Data Model and NIEM standards and results in the development of an IEPD that can be used for implementation, as

well as replication in other jurisdictions.<sup>29</sup> JIEM standardizes the process of creating information exchanges between justice agencies while also developing a growing library of IEPDs that can be used to replicate exchanges in other jurisdictions in the country without the need to start from the beginning.

### **INTEGRATED CRIMINAL JUSTICE INFORMATION SHARING (ICJIS)**

Since the tragic events of 9/11 state and local agencies have actively been engaged in developing plans to integrate their information systems. ICJIS requires participating agencies to utilize an online based infrastructure capable of instantly sharing offender related information including arrest, prosecution, disposition, incarceration, community supervision, and release. Information includes a variety of data elements on the individual including name, date of birth, height, weight, hair color, fingerprints, mug shots, and criminal history. The scope of ICJIS is within criminal justice related decision-making and concerns local, tribal, state, and federal justice agencies.<sup>30</sup> The integration of information also includes sharing pertinent data with non-justice agencies including community-based social service organizations, educational institutions, and the general public.



ICJIS is concerned only with sharing critical information at key decision-making points in the justice system. It does not require the sharing of sensitive or agency-specific information that does not relate to an information exchange goal. A variety of technological solutions can be used to create a state information exchange system including data warehouses, consolidated information systems, and middle-ware applications. It's up to the agencies to decide on the appropriate

<sup>29</sup> See <http://www.search.org/programs/info/jiem/tool/>

<sup>30</sup> National Association of State Chief Information Officers, *Concept for operations for integrated justice information sharing* (Lexington, KY, 2003).

method of implementation, though the use of NIEM to support a middle-ware service is strongly encouraged. Using NIEM reduces dependencies between systems while also providing the greatest flexibility in sharing data across diverse agency systems.

### **LOGICAL ENTITY EXCHANGE SPECIFICATION (LEXS)**

The Logical Entity Exchange Specification (LEXS) was created to support the primary objectives of the U.S. Department of Justice (DOJ) Law Enforcement Information Sharing Program [LEISP] and to minimize the impact of changing requirements and varied demands for information sharing on the sources and consumers of law enforcement data.<sup>31</sup> While LEXS originated in response to law enforcement needs, it is in use by a broader audience and not exclusively applicable to use by the law enforcement community.

LEXS is intended to specifically address two aspects of information sharing:

- define and consistently describe units of information to be shared
- define interfaces and protocols to provide (publish), search, and retrieve such information, as well as, to subscribe to (subscription) and receive notification of such information

LEXS is based on the structures, standards, and usage guidelines of the National Information Exchange Model (NIEM), including NIEM Naming and Design Rules (NDR), and is built in the style of NIEM Information Exchange Package Documentation (IEPD). LEXS, however, is not a traditional IEPD. An IEPD is a collection of XML schemas and other documentation that represents a specific information exchange; in contrast, LEXS provides a framework that can be used by a number of different communities to create IEPDs documenting a number of different exchanges. LEXS promotes broad information sharing since any information consumer from any community that understands LEXS can understand and process a basic level of information in **any** LEXS-conformant exchange.

LEXS provides a flexible, NIEM-based framework used for the creation of NIEM-conformant IEPDs for information sharing, for publishing information and for system-to-system federated searches and for subscribing to and being notified of information.

LEXS supports four specific types of operations:

- **LEXS Publication and Discovery (LEXS PD):** LEXS PD supports the action of publishing sharable information to a data repository. LEXS PD provides the structures required to represent the data and metadata associated with publishing data. The data

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<sup>31</sup> For more information on LEXS please visit <http://www.lexs.gov>

repository receives and records the published information, generally, for the purpose of analysis, making it easier, faster, and less expensive to share data. In publishing data, a source system can submit one or multiple data items in a single, one-way action to a data consumer. LEXS also provides a “publish with acknowledgment” option where a source system can request a response to acknowledge the receipt of the publish message.

- **LEXS Search and Retrieval (LEXS SR):** LEXS SR supports searching for and retrieving shared information from a data repository. LEXS SR provides a number of requests and corresponding responses that support data search and retrieval. SR requests fall into two broad categories, data requests and service provider requests. LEXS data requests provide the mechanisms for retrieving data and metadata from partner systems. LEXS service provider requests ask for system information about partner systems including capabilities, data owners, and availability.

In LEXS, search and retrieval of data is a multi-step process. A search request uses information that broadly identifies the target being sought and results in a response that returns possible candidates for the user to examine further. In general, a search query is followed by a request for a specific data item, rendered data item, or attachment. For instance, a search request for information about a person might be issued using a first and last name. Usually this is not enough information to specifically identify a single person. As a result of the search, the queried systems respond with information related to any person having the specified first and last name. The intent is that the user can narrow the search by reviewing the search response and then request more detailed information on a specific data item or a limited set of data items.

- **LEXS Subscribe and Notify (LEXS SN):** LEXS SN includes a number of requests, responses, and notifications that support event-driven interaction between partner systems. The Subscribe and Notify category of operations provides a mechanism for systems to exchange information in a way that is different from Publish or Search and Retrieve discussed above. In general, a system asks to be notified when a situation or an event occurs. The subscription request is acknowledged by a response confirming the subscription and, in the future, when a subscribed to event or situation occurs, the notifying system will send a notification message to the subscribing system. Subscriptions can also be renewed or cancelled.

A subscription can be requested concerning a specific data item, a set of search terms, or a more general topic. The situation that triggers a notification depends on the subscription. For example, with a Data Item Retrieval Subscription, it is the situation of the data item specified in the subscription being retrieved that causes the notification to be sent. Note that all subscriptions are to future new or modified data; a subscription will not result in notifications for data items that were already present in a partner system at the time of subscription.

Subscriptions may be initiated by individual users, by agencies, or by agencies on behalf of users. When an agency subscribes, it may then take responsibility for notifying appropriate users. Agencies may subscribe on behalf of users to save users from managing subscriptions or because the agency makes decisions on what subscriptions are appropriate for specific users.

- **LEXS Domain Exchange (LEXS DE):** LEXS DE is for use when LEXS PD, SR or SN do not provide the necessary capabilities required for an information exchange, but when the organizational or data structures of LEXS are beneficial. The information to be exchanged may utilize LEXS data elements or metadata, or may be information that cannot be represented by existing LEXS constructs.

The LEXS DE uses the LEXS Domain Attribute element to represent the data being exchanged. The Domain Attribute element is a LEXS extension point which contains name, value, and/or XML block elements that can be used to represent information that is useful to specific service providers or consumers but that is not part of the LEXS specifications. Domain Attribute is included in a number of LEXS objects to provide a place for domain-specific information. In the case of Domain Exchange, Domain Attribute may contain domain-specific information or may contain LEXS constructs. For example, an organization may use Domain Exchange in a hybrid publish/retrieve process, where a LEXS entity is sent out in a manner similar to a publish operation, but requires a response that is more like an SR response than a PD acknowledgement. In this case, the Domain Exchange operations can be used to send one or more LEXS entities and get one or more LEXS entities back.

LEXS specifies a set of schemas that establish consistent definitions supporting publication, search, retrieval, subscription, and notification at a data level and a structural level. LEXS data elements and structures are organized into components that support the underlying actions required to accomplish operations fundamental to information sharing. All LEXS-conformant implementations are based on well-defined structures allowing for a common understanding of what data is available and how it is organized. The LEXS specification was designed and built based on input from a number of programs and, therefore, LEXS is not limited to a specific exchange or a small set of exchanges. LEXS has been designed for use by a broad audience.

LEXS utilizes a generic paradigm for information sharing called the data item. A data item is whatever the source considers a logical unit of information. For example, to an incident-based reporting system, a logical unit of information is an incident report that may contain activities, people, places, and things. To a prison system, a logical unit of information is an inmate record that may contain only information about a person. The data item concept provides a single, generic container that can be used to encapsulate different types of data needed by various communities. The data item can be thought of as a collection of structured entities, attributes of these entities, relationships between these entities and unstructured textual information.

Since no set of NIEM subset and extension schemas can support all communities due to varying needs, LEXS supports multiple *levels of understanding*. There is a base level of data that all LEXS implementations understand, plus a well-defined extension mechanism that allows communities to plug in additional content, referred to as *structured payload*, without impacting anyone's understanding of the base level. Since all LEXS implementations understand the base level, communities only have to develop an Information Exchange Package once in order to be able to share information with all other LEXS implementations. Where additional content is required for a selected community, modules can be written to deal specifically with information in the structured payload rather than rewriting the implementation for a completely different exchange.

LEXS defines a high level set of commonly understood, structured base objects which represent real-world objects such as person, location, or vehicle. For each base object, LEXS specifies NIEM content which provides a wide range of data representation capabilities. LEXS includes a large number of NIEM roles and associations and defines additional roles and associations needed by the LEXS community to provide detailed context for all data. These base objects, roles, and associations provide a great deal of flexibility to communities so each can define their own data items. LEXS groups these base objects and their applicable roles into entities. For example, a LEXS person entity includes a person base object and roles such as subject, witness and victim.

LEXS also provides mechanisms so that sources can indicate that two entities are the same, or may be the same, in order to make local information known globally. For example, a data source may have an incident report involving Joe Smith and another incident report involving Joe Smith where the underlying person is known to be one and the same (i.e. same record in the database). So LEXS lets the data source indicate that it knows that both reports refer to the same person. As another example, a data source may have an incident report with Jane Doe and another incident report with Mary Doe, and through some analysis (either due to an investigator making the determination or perhaps through some form of automated entity resolution) the data source indicates that the underlying person is believed to be the same. In this case, LEXS lets the data source indicate that Jane Doe and Mary Doe may be the same person.

### **Law Enforcement National Data Exchange (N-DEx)**

The Law Enforcement National Data Exchange (N-DEx) is the national data sharing system for Sensitive but Unclassified, Law Enforcement Sensitive, and Controlled Unclassified Information class criminal justice data.<sup>32</sup> Developed by the Federal Bureau of Investigation's (FBI), Criminal Justice Information Services (CJIS) Division and governed under the auspices of the CJIS Advisory Policy Board as established by Title 28, Code of Federal Regulations (C.F.R.), Chapter I, Part 20, Subpart C, 20.35, N-DEx is endorsed and supported by the following organizations:

- Global Justice Information Sharing Initiative (GLOBAL) Advisory Committee (GAC)
- U.S. Department of Justice
- Federal Bureau of Investigation

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<sup>32</sup> For more information on N-DEx please visit <http://www.fbi.gov/about-us/cjis/n-dex/n-dex>.

- CJIS Advisory Policy Board
- International Association of Chiefs of Police
- National Sheriff's Association
- Major Cities Chiefs
- Major County Sheriff's Association
- American Probation and Parole Association
- Association of State Correctional Administrators
- Interstate Commission for Adult Offender Supervision
- Corrections Technology Association
- IJIS Institute

Deployed as a part of the CJIS System of Services N-DEx is a fee free, secure, nationwide, computerized information sharing system available to "criminal justice agencies" and agencies performing the "administration of criminal justice" as defined by Title 28, C.F.R., Chapter I, Part 20, Subpart A. N-DEx is designed to be a national, regional, and local criminal justice data system interrelater, and affords the opportunity for disparate federal, state, local, and tribal criminal justice systems to share data nationally. N-DEx contained information is intended to encompass all data contents commonly associated with a Service Call, Incident (Case)/Arrest, Missing Person Occurrence, Booking, Holding, Incarceration, Pretrial Investigation, Presentence Investigation, Supervised Release, and Warrant Investigation.

Recognizing that using established standards reduce overall participation cost for initial system retrofit, reduce cost for on-going maintenance, expedite implementation, reduce confusion, reduce information sharing errors and delays, and facilitate evolution of complementary Commercially available Off-The-Shelf (COTS) tools and products, N-DEx is a standard based system. N-DEx is based on the structures, standards, and usage guidelines of the National Information Exchange Model (NIEM), including NIEM Naming and Design Rules (NDR), and is built in the style of NIEM Information Exchange Package Documentation (IEPD). N-DEx uses the Logical Entity Exchange Specification (LEXS) to structure, define, and consistently describe units of information to be shared, and to define interfaces and protocols required to share (publish), search, and retrieve criminal justice information, as well as, to subscribe to (subscription) and receive notification of such information. N-DEx IEPDs reflecting internalization of these standards are located at <http://it.ojp.gov> and may be used for local to local sharing of data in addition to national sharing of data through N-DEx participation. Further and to ensure conformance with national standards, N-DEx provides tools for implementation and development of LEXS and N-DEx conformant instances, see <https://contesa.ittl.gtri.org/contesa>.

Scaled to support 4,500 simultaneous users, ingest 1 million records per day, and warehouse approximately 730 million records N-DEx currently maintains a user-base of approximately

## FUSION CENTERS AND INFORMATION SHARING

A fusion center is a collaborative partnership between two or more entities which provide intelligence information and expertise to a center which processes information and allows for greater detection, prevention, and safety concerning criminal and terrorist activity. Nearly all 50 states have established fusion centers using federal, state, or local funds.

Fusion centers generally provide the following support:

- Contribute or conduct national or state-level topical risk assessments
- Disseminate pertinent alerts, warnings, and notifications
- Collect, analyze, and disseminate information and reports to local agencies

For more information visit <http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1181>.

18,000 criminal justice users and over 114 million records from 34 systems that represent 3,987 criminal justice agencies, with United States population coverage of 34.94%. Containing approximately one seventh of the records anticipated, N-DEx users already have access to 700 million entities, e.g., people, places, things, and enjoy a person resolution rate of 15%— indicating that 15% of person entities contained in N-DEx exist in multiple N-DEx records.

### PRIVACY AND SECURITY CONCERNS

Protected by the U.S. constitution, each citizen has a right to privacy. As justice agencies have become increasingly engaged in data exchanges with other entities the concern over privacy has grown. Failure to develop and adhere to adequate privacy policies not only exposes individuals to potential harm (e.g., identity theft) but can needlessly waste funds through information exchange projects that must be cancelled.<sup>33</sup> Two such cancelled projects include the Federal Total Information Awareness (TIA) program and Florida Multistate Anti-Terrorism Information Exchange (MATRIX).<sup>34</sup> To support justice agencies in serving privacy needs Global produced several resources. The Global Privacy Resources document suggests state, tribal, and local entities engage in a six-stage reiterative process:<sup>35</sup>

1. Educate and Raise Awareness
2. Assess Agency Privacy Risks
3. Develop the Privacy Policy
4. Perform a Policy Evaluation
5. Implement and Train
6. Conduct an Annual Review

The first stage in the development of privacy policy is making agency executives aware of the need and concerns of privacy, especially when developing information exchange partnerships with external agencies. That said, privacy should be examined closely at any time personal identifying information is collected, including the entry

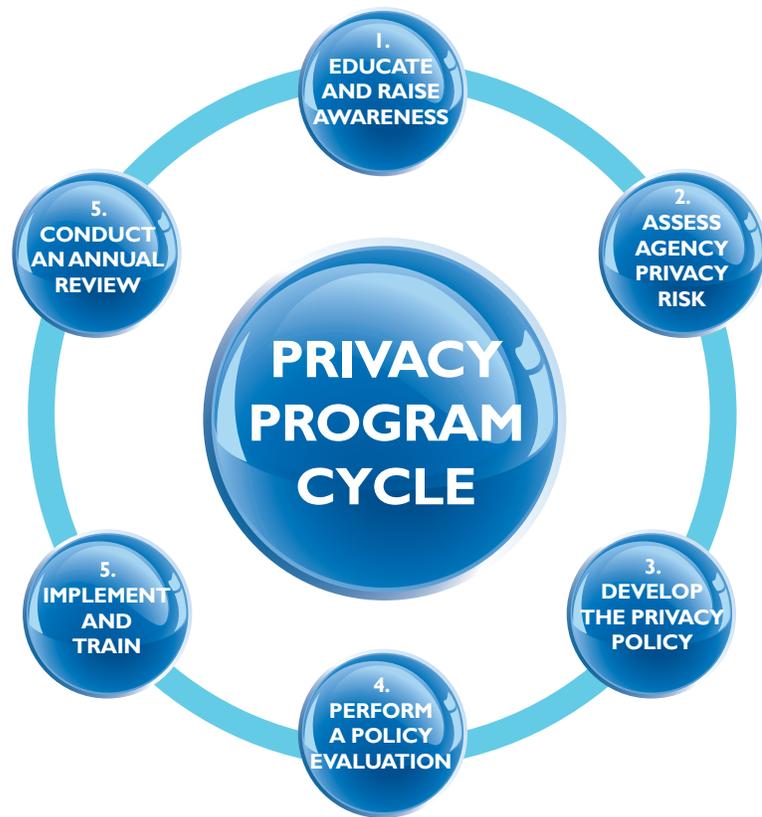
<sup>33</sup> IJIS Institute, *Using technology to improve privacy protection in justice information systems* (2009), Retrieved from [http://www.kms.ijis.org/db/share/public/Library/Publications/ijis\\_wp\\_tech\\_privacyprotection\\_ijis\\_20090708.pdf](http://www.kms.ijis.org/db/share/public/Library/Publications/ijis_wp_tech_privacyprotection_ijis_20090708.pdf)

<sup>34</sup> *Id.*, at 1.

<sup>35</sup> U.S. Department of Justice, *Global privacy resources* (Washington, D.C.).

of data into an internal agency case management system(s).<sup>36</sup>

The second stage concerns assessing privacy risks. Developed by SEARCH, a privacy impact assessment (PIA) consists of a series of inquiries concerning the collection of personal information and how it is stored, protected, shared, and managed.<sup>37</sup> The PIA consists of 43 questions across eight categories (a.k.a., Fair Information Principles/FIP) including purpose, collection, data quality, use limitation, security safeguards, openness principle, individual participation, and accountability.<sup>38</sup>



At stage three one will have determined there is a need for a privacy policy. Though

legal expertise is needed to craft and interpret policy, there are 10 steps that outline the development of a privacy policy which include 1) identify necessary resources to develop and implement a privacy and civil liberties policy (e.g., designate a leader/project champion, identify members, delegate managerial tasks), 2) identify stakeholders (e.g., justice agencies, community organizations, media, etc.), 3) develop guidance statements (e.g., vision, mission, values statements), 4) develop a project charter (i.e., a document that summarizes the project and membership), 5) perform necessary analyses (e.g., information flow analysis, legal analysis, technological and legal gap analysis), 6) determine applicability and draft the policy, 7) vet the policy during development, 8) obtain formal adoption of the policy, 9) roll out necessary outreach and training, and 10) ensure accountability (e.g., auditing, monitoring).<sup>39</sup>

The remaining three stages concern evaluating the policy, implementation and training, and performing an annual review. The Policy Review Checklist developed by Global can serve as a useful tool as agencies review their privacy policies, ensure adequate training, and support

<sup>36</sup> Global Justice Information Sharing Initiative, *Privacy and civil liberties policy development guide and implementation templates* (Washington, D.C., U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance), Retrieved from [http://it.ojp.gov/documents/Privacy\\_Guide\\_Final.pdf](http://it.ojp.gov/documents/Privacy_Guide_Final.pdf).

<sup>37</sup> SEARCH, *Guide to conducting privacy impact assessments for state, local, and tribal information sharing initiatives* (n.d.), Retrieved from <http://www.ojp.usdoj.gov/BJA/pdf/PIAGuide-Feb09.pdf>.

<sup>38</sup> See complete PIA: *Id.*, at 13-22.

<sup>39</sup> Global Justice Information Sharing Initiative, *10 steps to a privacy and civil liberties policy* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance). Retrieved from [http://it.ojp.gov/documents/10\\_steps\\_to\\_a\\_privacy\\_policy.pdf](http://it.ojp.gov/documents/10_steps_to_a_privacy_policy.pdf).

implementation.<sup>40</sup> In addition, several documents are available to assist with implementation strategies including both the technical aspects of privacy as well as building, or renewing, community trust.<sup>41</sup> Global suggests agencies review and update their privacy policies annually. A yearly review is necessary to adjust policy in relation to changes in law, technology, and public expectations. As a result updates in training and to case management systems may be necessary. Security must also be taken into consideration when sharing data between, and especially outside of, justice organizations.<sup>42</sup> Security can be categorized into four groups: authentication, authorization, information integrity, and confidentiality. To address security through NIEM, technologists can use metadata (that is, data that describes other data) to attach relevant information to specific objects. This mechanism allows one to add security markings to data objects included in NIEM as part of the exchange between one or more agencies.<sup>43</sup>

Finally, The Global Federated Identity and Privilege Management (GFIPM) concept, funded by the DOJ and DHS, represent one method of ensuring the right individuals are able to access the appropriate information at the right time within a given information exchange.<sup>44</sup> GFIPM is a federated model designed for justice agencies that is secure, scalable, and cost-effective. It is a federated identity management concept that distinguishes the management of user identities from the management of system applications allowing for the use of a single logon for access to multiple systems while maintaining appropriate user privileges and restrictions (i.e., enhancing privacy and security).

## QUALITY ASSURANCE

With the success of information exchange also comes some risk in terms of data quality that each partner assumes from the other. Failure to ensure the quality of information being shared can lead to complications in administering justice and promoting public safety. For example, poorly inputted data could erroneously result in notifications to victims, or lack thereof, incorrect treatment reports of probationer/parolees, and so on. Though the errors may be minute, their impact could have a substantial impact on an individual's life. Take for example the cutoff points of a risk assessment instrument which could mean the difference between being placed in intensive supervision or standard probation. Data quality is influenced by human error, technical issues, the volume of information being handled, and changes in information needs that develop over time. These issues can be exacerbated when data is shared across justice agencies. One can think of

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<sup>40</sup> Global Justice Information Sharing Initiative, *Privacy and civil liberties policy development guide and implementation templates: Policy development checklist* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance), Retrieved from [http://www.it.ojp.gov/documents/privacy\\_policy\\_checklist.pdf](http://www.it.ojp.gov/documents/privacy_policy_checklist.pdf).

<sup>41</sup> See Global Justice Information Sharing Initiative, *Implementing privacy policy in justice information sharing: A technical framework* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance), Retrieved from <http://www.it.ojp.gov/privacy-technical-framework.pdf>; Robert Wasserman, *Guidance for building communities of trust* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Office of Community Oriented Policing Services), Retrieved from [http://www.cops.usdoj.gov/files/RIC/Publications/e071021293\\_buildingcommtrust\\_revision.pdf](http://www.cops.usdoj.gov/files/RIC/Publications/e071021293_buildingcommtrust_revision.pdf).

<sup>42</sup> See <http://it.ojp.gov/documents/wirelesssecurity.pdf>.

<sup>43</sup> See <http://www.niem.gov/pdf/ICISMwithNIEM.pdf>

<sup>44</sup> See <http://gfipm.net>.

data quality in terms of three broad constructs; timeliness, reliability, and completeness. Often reliability and completeness are sacrificed in favor of timeliness. The U.S. Department of Justice posits five broad strategies for agencies to address information quality:

1. Make information quality a priority
2. Incorporate information quality into your strategic plans
3. Assess the level of information quality in your organization
4. Hold the entire organization accountable for information quality
5. Look for further guidance from Global<sup>45</sup>

Global recommends, through the *Information Quality Program Guide*,<sup>46</sup> agencies develop a program specific to information quality and provides nine elements to establish and guide such a program:

1. The Program Champion: Sponsoring the Creation of an IQ [Information Quality] Program (i.e., obtain support of agency leaders and managers)
2. Governance Structure (i.e., determine how the program will be structured including membership, purpose and goals, authority, and a governance charter)
3. Strategic Planning (i.e., develop a vision, mission, values, goals, and objectives to guide the program)
4. Identify Justice Events and Information Products (i.e., identify justice events, products, laws, regulations, and local rules that must be considered)
5. Perform the Analysis – IQ Dimensions and the Information Life Cycle (i.e., breakdown the events into specific life cycles to illustrate the use, flow, disposition, and destruction of information)
6. Complete the IQ Assessment (see *Information Quality Self-Assessment Tool* in the *Information Quality Program Guide*)<sup>47</sup>
7. Evaluate IQ Assessment Findings
8. Education and Training
9. Systematic Monitoring, Evaluation, Review, and Validation (i.e., evaluation of information quality should be ongoing)

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<sup>45</sup> See <http://www.it.ojp.gov/default.aspx?area=globalJustice&page=1151>

<sup>46</sup> Global Justice Information Sharing Initiative, *Information Quality Program Guide* (Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, 2010), at 36-37, Retrieved from <http://www.it.ojp.gov/docdownloader.aspx?ddid=1159>.

<sup>47</sup> *Id.*, at 45-110.

# CHAPTER FIVE:

## DEVELOPING AN RFP: AN RFP TEMPLATE

**T**he following Request for Proposal (RFP) template is offered as a guide in developing your own RFP for purchasing a CMS solution. Note that this represents one example of how one may choose to construct an RFP; however it is not the only way to write an RFP. Within this sample, annotated notes are provided to highlight specific sections or considerations. In addition, areas where information will need to be added are denoted by brackets **[text]** with a description of information needed and in bold. Note your agency will be described as the “requesting-entity” throughout the RFP.

**REQUEST FOR PROPOSAL  
FOR  
A TECHNOLOGICAL SOLUTION  
FOR  
REQUESTING-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: \_\_\_\_\_

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.

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

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 sections. 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.

See APPENDIX B for a list of bid specifications. 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. Using the list provided in APPENDIX B, agencies should develop a table that contains both their priority level for each item as well as a space for the service provider response and an additional column for supporting comments. Also, 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>.

## **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 EXPLANATORY MATERIAL IS ALLOWED.

# CHAPTER SIX:

## MAKING A DECISION: EVALUATING PROPOSALS

In some states, agencies will be required to include their evaluation criteria in the RFP. Regardless of whether it's required or not, agencies will need to develop a method for evaluating RFP's consistently and reliably. Local regulations may dictate how a given agency evaluates proposals. In the RFP sample provided an evaluation criteria was provided, per section 1.5 EVALUATION PROCESS AND SELECTION CRITERIA, in which sections were rated 1-5. This is one of many possible ways to systematically evaluate proposals. Below is another method as described by Harris and Romesburg (with slight increases made to the reference and experience items; agencies should develop their own weighting):<sup>48</sup>

<i>Number</i>	<i>Criteria</i>	<i>Points</i>
1.	Adherence of the proposal to the specified format	3
2.	Completeness of the proposal	5
3.	Quality and depth of reference	10
4.	Level of service and responsiveness that the service provider commits to providing to the agency	13
5.	Financial stability and resources of the service provider	5
6.	Experience and technical expertise of staff	10
7.	Design, capability and functionality of system and application software, as determined by the Evaluation Team	11
8.	Current availability and ability to demonstrate installation of the proposed software applications required by the agency	11
9.	Level of integration between applications and demonstrated interfaces with external systems/devices	5
10.	Capability, design, reliability, warranty and expandability of proposed hardware	5
11.	Economic feasibility and justification of all costs	5
12.	Service provider willingness and ability to negotiate a contract acceptable to the agency	5
13.	Feasibility, timeliness and quality of the software implementation schedule and conversion plans	5
14.	Level of service provider assistance to be provided to the agency during the implementation process	4
15.	The number of hours and extent of user training	5
16.	Quality and extent of the documentation to be provided	3

<sup>48</sup> Harris & Romesburg, *supra* note 6, at 181.

Depending on the size of the agency, it may be necessary to designate a small group to serve as the *evaluation team*. For smaller agencies, this could be the same as the *procurement team*, but it should also include anyone who's required for purchasing decisions and legal counsel. The evaluation team will need to review each proposal using an agreed upon scoring rubric. In addition, the team should compare service providers' responses to the bid specifications and compare their ability to implement the desired requirements. The top two or three proposals with the highest quantitative scores can be invited to present an oral demonstration of their solution. The agency should provide the service providers with an agenda describing what is to be displayed and described. A similar scoring rubric should be constructed to assess the oral demonstration and a combination of the written proposal ratings and presentation ratings should be reviewed to make a selection.

Once a service provider/solution has been selected, the evaluation team should conduct a thorough review of the service provider's background and capabilities. Special attention should be placed on soliciting information pertaining to other organizations satisfaction in working with the service provider. In addition, it will be beneficial, and informative, for agencies to conduct site visits of organizations/agencies who utilize the service provider's product. This is particularly true of agencies that most resemble your own. A final recommendation should be provided to the decision-maker of the agency. Assuming everything remained positive and promising, the next step is to invite the service provider to negotiate a contract and eventually produce a signed contract. If doubts exist, the agency should consider doing a comprehensive review of the other service provider who was selected to provide an oral presentation.

## **CONSTRUCTING THE CONTRACT**

Expect the contract negotiation process to take several months. The process of putting together a contract involves six general steps:<sup>49</sup>

1. The agency prepares a draft primary agreement based upon advice from legal counsel.
2. The primary agreement is supplemented with information from consultants and/or the Project Team about the project's scope.
3. The agency and service provider hold a discussion to identify the appropriate exhibits that must be developed and combined with the agreement.
4. The agency prepares an initial draft of the contract with the related exhibits and provides it to the service provider.
5. Meetings are held between the parties to identify the debatable issues – including pricing – and suggest language changes.
6. A final agreement is reached and the contract is provided to elected officials for ratification (or, in rare instances, a single project sponsor may have signatory authority to approve a document without elected official approval).

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<sup>49</sup> *Id.*, at 188.

The construction of the contract will need to be a collaborative effort from the procurement team, legal counsel, and any other external consultants. Legal counsel will most likely be able to provide a baseline contract agreement with standard legal and local requirements. The service provider may also possess a template contract. None-the-less, the procurement team will need to incorporate project information into the contract, often with assistance from consultants with experience in technology procurement. In general, the contract will consist of a primary agreement and various exhibits. The primary agreement includes:<sup>50</sup>

- Statements of fact
  - Definition of the parties
  - Purpose of the agreement
  - System price
  - References to exhibits
  - Form of the agreement
  - Time for performance under the agreement
- General contracts language
  - Contractor rights
  - City/County rights
  - Grounds/Procedures for termination
    - » Default
    - » Bankruptcy
    - » Convenience
  - Laws to be observed
  - Governing law
  - Permits/Licenses
  - Taxes, insurance, expenses
  - Limitation of liability
  - Indemnification and hold harmless
  - Force Majeure
  - Third-party beneficiaries
  - Nondiscrimination standards
  - Conflict of interests
  - Notices
  - Modifications
- Waiver
- Headings
- Number/Gender
- Severability
- Counterparts
- Order of Precedence
- Patents/Royalties
- News Releases
- Immigration Laws
- Time is of the essence
- Confidentiality
- Bonding
  - » Performance, payment
- Specific project regulations
  - Order/Delivery of hardware
  - Equipment condition
  - Site preparation
  - What constitutes acceptance of hardware and software
  - Rights to source code
  - The role of third-party software applications
  - The role of external equipment/software
  - Documentation standards
  - Training requirements
  - Right to conduct background checks on service provider employees

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<sup>50</sup> *Id.*, at 190.

- Recurring service provider responsibilities
  - Contractor commitments, warranties, representations
  - Basic maintenance
  - Upgrade process
  - Enhancement procedures
- Project management language
  - Problem resolution (Arbitration, other methods)
  - Delivery and installation procedures
  - Certifications
  - Payment terms
  - Management of delays
  - Liquidated damages for contractor-caused delays
  - Storage of materials
  - Change orders
  - Status reporting
  - Contractor obligations
  - The right to replace service provider project manager/employees

The procurement team, along with any advising consultants, will provide project details to the contract through what are known as exhibits. Though the types and number of exhibits to include will vary with a given project, most contracts will include a statement of work (SOW) (i.e., define each task involved in the project), training plan (e.g., train the trainer course, costs, location, etc.), project deliverables (i.e., hardware, software, and services), payment schedule (i.e., frequency, amount paid to the service provider, and when), project timeline, license agreement (i.e., rights the agency has in using the software provided by the service provider), agreement for extended services (i.e., ongoing support from the service provider), the service provider's RFP response, software warranty, subcontractors, interface control document, and documentation.

# CONCLUSION

## IMPLEMENTATION AND THE FUTURE



At this point your agency will have done everything up to signing the contract. Truth is, the work has only just begun. Now that the formalities are out of the way it's time to actually implement the CMS solution. An implementation plan, similar to the project plan, can assist agencies as they move forward with the project. The implementation plan will be the first time the procurement team and the service provider will collectively articulate a long-term plan for technology.<sup>51</sup> Ideally, this plan will build upon the statement of work and other documents contained in the contract but offer a more detailed structure and timeline. This can be accomplished by incorporating the service provider agreement with the project plan in consultation with the service provider. Most of the work should already be done. Further, at this point the service provider should provide a final demonstration and report on any caveats leading into implementation that must be reconciled. The agency will also need to outline actions for noncompliance to the originally proposed agreement (e.g., reduced award fees, penalties, re-competition). Normal plan updates and revisions will again be necessary throughout the project's life-cycle.

In addition to developing the implementation plan, consideration should be given for conducting quality assurance (QA) tests to ensure that the hardware and software solutions provided operate as promised. In some cases, the service provider will supply the agency with various sample tests to work from. If the agency possesses a capable technology department, they may be able to conduct their own testing; otherwise it may be necessary to contract a technology consultant. Testing should confirm the solution works as agreed upon in the contract and proposal and may involve explicit checks to ensure business processes are accurately reflected in the system. Though many types of tests will be needed for a given solution, three types of tests that should occur include 1) functionality, 2) reliability, and 3) performance.<sup>52</sup> Functionality refers to testing the solution to ensure it reflects the documentation, and proposal for the RFP contained within the

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<sup>51</sup> *Id.*, at 207.

<sup>52</sup> *Id.*, at 214.

contract, and usually occurs post-implementation. A typical functionality test will take anywhere from 30 to 90 days to complete. Reliability testing concerns the system/solution's ability to handle the demands of the agency without slow-down, lag, or cessation of service. In other words, can the system handle the volume of traffic/transactions, the demands, placed on it by the agency and staff? Reliability testing usually runs while the system is in use over a course of a week and supplemented with a one year simulation. Finally, performance testing refers to the raw speed of the solution (e.g., conducting a user search, report generation). To test performance the service provider or technology staff will run various scripts or observe various user inputs to assess the response time of the system. The agency may wish to assign a scoring rubric that can be shared with the service provider in evaluating the solution.

Technology is an amorphous construct that continues to evolve and prosper. Even if the solution is top of line, working superbly, and passing all quality assurance tests with excellence, the agency will need to make ongoing assessment of technology a mainstay of its overall strategic plan. This includes allowing for future upgrades and enhancements as needed. The procurement team should continue to hold meetings but at a reduced frequency (e.g., quarterly, semi-annually, annually). A few project closeout tasks should be attended to including a project evaluation that covers the success or concern of the various quality assurance checks mentioned previously as well as any other issues.<sup>53</sup> Solutions should be developed with the service provider, if needed. A meeting should be held with all internal and external stakeholders to discuss the project's completion and its accomplishments. A final report should detail the costs of the project, a summary of lessons learned, and recognition for the staff responsible for project success. There should also be mention of what ongoing efforts will continue including ongoing monitoring of the system, user satisfaction assessments, updates to the project plan, preparation for needed upgrades or enhancements, information sharing needs and exchanges, and ongoing systems training for the end-users.

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<sup>53</sup> *Id.*, at 230.

## APPENDIX A: SWOT MATRIX WORKSHEET

<h1 style="text-align: center;">SWOT</h1> <p style="text-align: center;">(Questions)</p>	<p><i>Strengths (S)</i></p> <p>A. What are our strengths?</p> <ol style="list-style-type: none"> <li>1. What advantages does our team have?</li> <li>2. What does our team do better than anyone else?</li> <li>3. What unique or low-cost resources does our team have access to?</li> <li>4. What do people in the field see as our team's strengths?</li> <li>5. What is the supporting evidence for our team's strengths?</li> </ol>	<p><i>Weaknesses (W)</i></p> <p>B. What are our weaknesses?</p> <ol style="list-style-type: none"> <li>1. What business practices can our team improve?</li> <li>2. What should our team avoid?</li> <li>3. What do people in the field see as our team's weaknesses?</li> <li>4. What supporting evidence substantiates these weaknesses?</li> </ol>
<p><i>Opportunities (O)</i></p> <p>A. What internal opportunities exist?</p> <ol style="list-style-type: none"> <li>1. What opportunities are available to our team within the field?</li> <li>2. What trends exist within the field?</li> <li>3. What evidence supports these trends?</li> </ol> <p>B. What external opportunities exist?</p> <ol style="list-style-type: none"> <li>1. What opportunities are available to our team?</li> <li>2. What are some important trends?</li> <li>3. What evidence supports these opportunities?</li> </ol>	<p><i>Strengths-Opportunities (SO)</i></p> <ul style="list-style-type: none"> <li>• How can we use our internal strengths to pursue and take advantage of external opportunities?</li> </ul>	<p><i>Weaknesses-Opportunities (WO)</i></p> <ul style="list-style-type: none"> <li>• How do we take advantage of external opportunities to help us overcome our weaknesses?</li> </ul>
<p><i>Threats (T)</i></p> <p>A. What internal threats exist?</p> <ol style="list-style-type: none"> <li>1. What obstacles does our team face within the field?</li> <li>2. Are team processes and services changing?</li> <li>3. What changing technology can be seen as a threat?</li> </ol> <p>B. What external threats exist?</p> <ol style="list-style-type: none"> <li>1. What obstacles does our team face?</li> <li>2. What are other organizations doing?</li> <li>3. Could any of our weaknesses seriously threaten the field and our agency?</li> <li>4. What evidence supports the existence of identified threats?</li> </ol>	<p><i>Strengths-Threats (ST)</i></p> <ul style="list-style-type: none"> <li>• How do we use our unique strengths to overcome or avoid potential threats?</li> </ul>	<p><i>Weaknesses-Threats (WT)</i></p> <ul style="list-style-type: none"> <li>• How do we minimize internal weaknesses to avoid external threats?</li> </ul>

<p style="text-align: center;"><b>SWOT</b> <i>(Answers)</i></p>	<p style="text-align: center;"><i>Strengths</i> <i>(S)</i></p>	<p style="text-align: center;"><i>Weaknesses</i> <i>(W)</i></p>
<p><i>Opportunities</i> <i>(O)</i></p>	<p style="text-align: center;"><i>Strengths-Opportunities</i> <i>(SO)</i></p>	<p style="text-align: center;"><i>Weaknesses-Opportunities</i> <i>(WO)</i></p>
<p><i>Threats</i> <i>(T)</i></p>	<p style="text-align: center;"><i>Strengths-Threats</i> <i>(ST)</i></p>	<p style="text-align: center;"><i>Weaknesses-Threats</i> <i>(WT)</i></p>

## APPENDIX B: COMMUNITY CORRECTIONS RFP SYSTEM REQUIREMENTS<sup>54</sup>

### 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

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<sup>54</sup> The following bid specifications are offered as an extensive list of examples to aid in local RFP development. Each specification and subgroup should be vetted and confirmed, not wholly adopted without due consideration of both specifications listed herein and other specifications potentially neglected. If utilized, it is recommended that agencies differentiate individual specifications based on "must haves" and "nice to haves."

- 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 juveniles 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 wither 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 (e.g., 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 (e.g., 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 (e.g., 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 (e.g., 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 3<sup>rd</sup> 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.

**APPENDIX C: VENDOR SOFTWARE DEMONSTRATION SCRIPT<sup>55</sup>**

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<sup>55</sup> Example Provided by Kelly Odestick of the Westchester County Department of Information Technology. The vendor script was taken from New York State and therefore features a strong New York State bias. It is offered as an example only. Agencies should develop a demonstration script that fits their individualized needs. For general guidance on demonstration scripts please visit [http://www.ehow.com/how\\_4666106\\_write-software-test-script.html](http://www.ehow.com/how_4666106_write-software-test-script.html).

Vendor Software Demonstration Script

Integrated Case Management System for  
Large County Probation Departments

## VENDOR DEMONSTRATION

The intent of this demonstration is to provide the evaluators of the each vendor's written response to the Request for Proposal (RFP) with additional information in their evaluation process. The scripts are intended to demonstrate many of the features covered in the Functional and Technical Specifications. It also is intended to demonstrate compliance with the Mandatory Specifications.

The script is however not written in stone. If your system does not address a particular function, just state that it cannot be demonstrated. We have supplied some sample data. PLEASE PRE-ENTER ALL OF THE INITIAL DATA ON PAGE 4 FOR BERNIE WILLIAMS (SAMPLE CASE #2) BUT NOT THE DATA FOR SCOTT WILSON (SAMPLE CASE #1). You will need to pre-enter additional data and cases in some instances to perform the other tasks requested. The questions are intended to highlight some basic system edits, functionality and ease of use.

At the conclusion of the script, please show us any other features that were not included that you wish to demonstrate. Time should be set aside at the end of the demonstration to respond to questions from the evaluation team members.

Contact [INSERT NAME] of the [INSERT AGENCY] at [INSERT E-MAIL] with any questions or comments.

**VENDOR SOFTWARE DEMONSTRATION SCRIPT – SAMPLE DATA**

*Please use the following two sample cases.*

**Sample Case 1**

NAME: WILSON, Scott

DOB: 09/13/51

ADDRESS: 38 Whitehall Road, Albany, NY 12208 (Is there an edit on City and ZIP?)

NYSID#: 4357674T (Need an edit on NYSID#)

CASE#: (Computer Generated?)

CONVICTION CODE: PL 1553000EF04 (Need an edit on Conviction Code)

SOCIAL SECURITY #: 173-89-6584

DATE OF CONVICTION: 11/23/02 (Does the system check for valid dates?)

DATE ORDERED BY COURT: 11/26/02 (Does the system check for valid dates?)

COURT: YONKERS (Can this be selected from a drop down box?)

JUDGE: HARVEY JAILTIME (Can the judge be selected from a drop down box)

DISTRICT ATTORNEY; Kathy Conviction (Can the ADA be selected from a drop down box?)

DEFENSE ATTORNEY: George Neverwonacase

PROBATION OFFICER ASSIGNED: Jim Curtis (Can the PO be selected from a drop down box?)

SUPERVISING PROBATION OFFICER: Don Redpen (Can the SPO be selected from a drop down box?)

DATE ASSIGNED: 11/15/02 (Does the system check for valid dates?)

DETENTION STATUS: ROR (Can the various dispositions be selected from a drop down list box or by radio button settings?)

SENTENCE DATE: 12/23/02 (Does the system check for valid dates or does a cross-edit with, for example, conviction date?)

DATE DUE: 01/17/03 (Can system display a calendar to assist in selecting data?)

CONVICTION CODE: VTL1192002EF00 (Can the system generated the code form an abbreviation e.g. DWI)

TYPE OF REPORT: Pre-Sentence Investigation Report.

## Sample Case 2

NAME: WILLIAMS, BERNIE

DOB: 11/03/72

ADDRESS: 47 Glen Street, Albany, New York 12208

NYSID#: 7568892K

CASE#: (Computer Generated)

CONVICTION CODE: PL 1200000AM03

SOCIAL SECURITY #: 043-56-7032

DATE OF CONVICTION: 10/17/02

DATE ORDERED BY COURT: 10/19/02

COURT: Clifton Park

JUDGE: George Palmer

DISTRICT ATTORNEY; John Pope

DEFENSE ATTORNEY: Joseph Manners

PROBATION OFFICER ASSIGNED: Joe Torre

SUPERVISING PROBATION OFFICER: Don Redpen

DATE ASSIGNED: 10/23/02

DETENTION STATUS: BAIL

SENTENCE DATE: 11/29/02

DATE DUE: 11/23/02

TYPE OF REPORT: Pre-Sentence Investigation Report.

*Please demonstrate the following using your software:*

*Note: any record or records can be used to demonstrate, unless specifically noted in the script.*

### **System Administrator/Supervisor Tasks**

1. Demonstrate how a user can be added to the software including assignment of user id and how passwords are established.

2. In adding the user, demonstrate how the user's access can be configured to accommodate the following:

- Barring access to particular screens;
- Configuring access to particular screens to view, add or modify records.
- Limiting access to view, add or modify only particular cases. This could be just the officer's caseload or multiple caseloads for supervisors or for receptionists getting information on a client's probation officer.

While logged in as the supervisor for Officer Torre, perform the following activities:

- Display a daily calendar;
- Display case notes for Bernie Williams (supervised by Officer Torre) and make an entry. How will Officer Torre know that you made the entry?
- Produce a list of the officer's pending Violation of Probation cases.

3. Demonstrate how access to particular records (e.g., favorable disposition) can be blocked from users while retaining the record for statistical reports.

4. Transfer a single supervision case from one officer to another.

5. Transfer an entire supervision caseload from one officer to another.

### **Centralized Case Data Entry**

1. Receive Pre-Sentence Investigation request from Local/County Court.

2. Enter Case into system (Enter the sample data for Scott Wilson (Sample Case #1) and address the functionality noted in parenthesis next to each field in the script). Also add and display photo of Scott Wilson.

3. Receive order placing Scott Wilson on probation for three years. Enter a new supervision case including the following:

- Sentence Length
- Assignment of Probation Officer
- Probation Conditions Ordered by Court including Alcohol Treatment Program
- Date of First Appointment

4. Show how an Initial Supervision Plan would be prepared for Scott Wilson which would include:

- 28 day detoxification stay
- payment of penalty assessment of \$100 within 90 days
- restitution payments of \$100 per month
- Level II supervision (reports on the first and second Tuesday of the next three months)

### **PRE-SENTENCE INVESTIGATION (PSI) OFFICER TASKS**

1. Demonstrate how the officer checks to see if a prior PSI has been completed.
2. Demonstrate how the officer retrieves the prior record.
3. Demonstrate how the officer schedules an appointment (show how the officer checks his/her calendar).
4. Generate an appointment letter.
5. Generate the Victim Impact Letter.
6. Demonstrate how the Officer can move or copy from the prior PSI to the current PSI.
7. Demonstrate the integration of the application software with Microsoft Word.

### **PROBATION OFFICER - TASKS CASE MANAGEMENT**

A. Display the sample case of Bernie Williams (Sample Case #2)

1. Check for and display associates and family members of Bernie Williams on probation.

2. Add two of Bernie Williams' brothers (Harry and Michael) and a friend of Bernie Williams (Robert Lyman) as associates.
3. Link Scott Wilson (Sample Case #1) as a co-defendant of Bernie Williams.
4. Record FTR (failure to report) for a specific date (11/12/02).
5. Generate a warning letter with an appointment date of 12/18/02.
6. Record a collateral contact for Bernie Williams.  
Information from his landlord and employer on field visit:  
"The landlord indicates that he pays his rent on time and does not cause any trouble"
7. Bernie fails to report for two appointments; Prepare VOP (violation of probation) for FTR (Failure to Report as Required) and absconding with warrant request.

#### Other Functional Tasks

1. Display a list of drug treatment agencies (with contact people and phone numbers) for a sample city.
2. Display a list of probationers who have not reported in thirty days; sixty days.
3. Demonstrate adding a case for the following software modules for an existing client:
  - Pre-Trial Supervision
  - Detention
  - Placement
  - Community Service
4. For Item 3, add data to each case (e.g., a court appearance, a stay in a facility, and community service performed) and then close each case.

## Supervising Probation Officer (SPO) – Report Generation.

A. As a Supervising Probation Officer for Officer Torre and other Officers, do the following:

1. Produce a list of PO Torre's entire caseload by:

- maximum expiration date
- level of supervision (i.e., workload values)
- probationers in Torre's unit living at any common probationer address.

2. a. Display a list of probationers assigned to your officers (Torre, Showalter, Merrill, Martin, Lemmon and Green) who have had no office reports in ninety days.

b. Display a list of PSI reports due for these officers.

3. Produce a pie chart showing the six probation officers (Torre, Showalter, Merrill, Martin, Lemmon and Green) in a unit by:

- workload ratio to each other (n=192,188,176,180,165,140)
- caseload size (number of cases) relationship to one another (n=118, 117, 117, 115, 113,115)

4. Produce a spread sheet or transfer the data to Excel, for a unit with the following columns

- P.O. name (six POs + total)
- (Show the potential all items need not be included)
- number of cases
- Violation of Probations pending
- Arrests pending
- Transfers pending

## RESTITUTION

**A. Sample case Scott Wilson is ordered to pay Restitution of \$2,000 and five percent surcharge of \$100 for a total of \$2,100. Payment Schedule: \$100/month beginning 1/1/02, to be paid in full by 9/30/2003.**

1. Make the restitution payment to the four victims payable as follows:

Victim A: \$ 250

Victim B: \$ 600

Victim C: \$1,000

Victim D: \$ 150

5. Give Victim D first priority for payment and then pay the remaining three victims on a prorated basis.

6. Generate letters to victims notifying them of restitution that will be paid to them.

7. Process a payment of \$100 on 1/1/02. Have the system automatically split the amount of \$100 as \$95.24 restitution and \$4.76 as Surcharge.

5. Disburse \$95.24 to Victim D who gets paid first.

6. Process payment #2 of \$100 received and updated on 2/1/02 and make allocations and disbursements per previously set priorities.

8. Scott Wilson has not sent in the payment for 3/02. Generate a delinquency letter to be mailed in April 2002.

9. Disbursement check for Victim B from February 2002 is returned un-cashed. Flag Victim B for non-disbursement and cancel the returned check.

10. Modify obligations consistent with May 2002 court order reducing the amount owed to Victim C to \$800 is made and adding a new beneficiary Victim E with \$200 owed.

11. Record and allocate payment of \$200 for May 2002 and make disbursement consistent with modified court order and new address received from Victim B. Override automatic system allocations to make up for check returned from Victim B in February. In making disbursements, adjust surcharge per \$100 from \$4.76 to \$2.38.

B. Sample case Bernie Williams has a supervision fee of \$30.00 per month to be paid beginning on January 1, 2003.

1. Process a payment of \$30.00 for January 1, 2003.
2. No payment is made for February 2003. Generate a letter in March 2003 notifying Mr. Williams of the delinquent payment.
3. Payment of \$60.00 is made on March 1, 2003. Post the payment erroneously to a restitution account. Make a correction and update it to a supervision fee account.
4. Receive court order of April 1, 2003, modifying the conditions of probation and suspending the payment of the supervision fee as Mr. Williams is indigent. Update the system to reflect this court order.

## FAMILY COURT - PINS Diversion - Adjusted

Enter the following sample data:

- Name: Smith, Donna
- DOB: 9-2-88
- Address: 755 Madison Avenue, Albany, New York 12208
- Parents Names & addresses: John & Sue Smith, same address;
- Potential Petitioner: Albany School District
- Presenting Problem: Truancy

1. Have SPO Assign the case to an officer on 11/5/02.
2. Generate a pre- filled appointment letter for an initial interview for 11-12-02. Show how calendar is updated with appointment information.
3. Demonstrate how the system automatically determines 90-day expiration date from date of initial interview and red- flags PO prior to expiration to either close case or generate formatted report to court to request extension for another 90 days with another alert to PO for that expiration.
4. Record in a case plan the service needs for child and parents.
8. Record the outcome of the case as follows: case closed as adjusted as child attending school before end of 90 days.

FAMILY COURT - JD Diversion - Adjusted:

Enter the following sample information for the case.

- Appearance Date & time: 11-5-02 @ 3 p.m.
- Date assigned: 11-1-02
- Charge: CPSP 3
- Date of offense: 10-19-02
- Case number automatically generated by computer.
- Name: O'Ryan, Brian
- DOB: 6-1-88
- Address: 324 Sanders Avenue, Scotia, New York 12302
- Parents Names & addresses: John & Sue O'Ryan, same address;

1. Have SPO assign the case to an officer who conducts interview on 11-5-02.
2. Demonstrate how the system can automatically determine the 60-day expiration date from date of initial interview and alerts the PO a week prior to expiration to take action on case with automated choices.
3. Generate formatted report to court to request extension for another 60 days with another notice to the PO for alerting the PO to that expiration.
4. Close case as adjusted without restitution on February 5, 2002.

### Family Offense and Custody Petitions - Adult Intake:

Enter the following data in to the system:

- Petitioner: Mae Jones, 428 New Scotland Avenue, Albany, New York 12208
- Respondents: Joe Williams, 345 Washington Avenue, Rensselaer, New York 12144, Liz Anderson, 325 Myrtle Avenue, Albany, New York 12208
- Children: Marie Anderson, DOB 4-2-96, & Jack Anderson, DOB 8-14-97, same address as paternal grandmother.

On November 9, 2002, Petitioner, Mae Jones, comes in to file a Family Offense petition against her son, Joe Williams, as well as to file for custody of his two children (her grandchildren), Marie and Jack Anderson. The petitioner also needs to file for custody against the mother of the children, Liz Anderson.

1. Generate for Mae Jones from a template populated from the database a Family Offense petition against her son, Joe Williams.
2. Generate for Mae Jones a petition to file for custody of Joe Williams' two children.
3. Generate for Mae Jones a petition to file for custody of Liz Anderson' two children. A peiree petitions need to be generated for one petitioner.
4. Record Permanent Order of Protection issued by court on November 18, 2002 by consent against Joe Williams with special condition that he stay away from his two children.
5. Record and assign custody investigation ordered December 30, 2002 which is due on January 30, 2003.
6. Generate reminder to Officer on 1-23-03 that custody investigation due date is 1-30-03.
7. Record report submitted to court on January 30, 2003 with recommendation that custody is granted to the grandmother and that the mother have supervised visitation at the YWCA.
8. Record court granting custody to Mae Jones and visitation as recommended on February 8, 2003.