

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

RFP #09ITZ0052
Offender Management Information System

November 23, 2009

AMENDMENT # 4
provides the following:

- Vendor Q & A document (includes answers to clarification questions)
- Extends the RFP response due date to **Tuesday, December 15, 2009 @ 2:00PM (EDT)**
The RFP document has been updated accordingly.

NOTE: A signature line has been included below. A copy of this page signed in ink is required with the Proposal to show that vendors have received this Amendment.

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT

(This page should be signed and returned WITH PROPOSAL. If vendor fails to submit signed Amendment, vendor will still be responsible for adhering to its content)

APPROVED: _____

JACQUELINE SHIRLEY
DIRECTOR
IT CONTRACTS AND PURCHASING DIVISION

Amendment #4
RFP #09ITZ0052 – Offender Management Information System Replacement
Vendor Questions and Answers

- 1. Q. How many offender image capture stations does CTDOC need and at which location(s) are they to exist?**

A. If the definition of “Image Capture Stations” is the ability to capture photos for booking, housing cards, etc. then there are currently 18 stations, one at each Facility. The scope of this RFP does not include any equipment (hardware) of any kind.
- 2. Q. In reference to Section 3.14, on page 408, the State mentions the PLRA. Can CTDOC define what the PLRA act entails and how it relates to the requested software?**

A. The Prison Litigation Reform Act (PLRA) was passed by Congress in 1995. This law requires inmates to file grievances with DOC staff in order to sue in court. This law has played an important role in reducing the number of inmate lawsuits. The Attorney General won an important case before the Supreme Court in 2001 in which the Court held that the PLRA was applicable to all federal lawsuits concerning prison conditions in the case of Porter v. Nussle. Visit the Legal Information Institute [Supreme Court Collection](#) to read the opinion. CTDOC is looking for the ability to generate a report that calculates and maintains balances associated with the PLRA accounts and sub-accounts.
- 3. Q. In reference to section 2.24.13, Integrate Data Structures. What is meant by the phrase “The ability to integrate data structures with customized software”?**

A. CTDOC wants the new system to have the capability to unite, combine, and work completely with the new system data structures in any customization that CTDOC request. A data structure is a way of storing data in a computer so that it can be used efficiently. It is an organization of mathematical and logical concepts of data. Often a carefully chosen data structure will allow the most efficient algorithm to be used.
- 4. Q. In reference to Attachment BC.23 – Parole Requirements: 2.8.4 Disposition of Criminal Charges, what is a ‘detainer score’ and how is it calculated? How is the detainer score related to the disposition process?**

A. The Detainer score is a Classification Risk Score that is calculated according to the DOC classification manual. The Detainer score is calculated by combining or incorporating separate but interrelated factors: charges that an inmate has pending either in Connecticut or another jurisdiction; a detainer hold by Connecticut authorities or officials outside the state, bond amount, purge amount and time to serve on a sentence in another jurisdiction after discharge from a Connecticut sentence.

Normally, an inmate with a Family Court habeas will not receive a detainer score. If the habeas has a bond amount to be posted prior to release or states “Do Not Release without...”, a detainer score will be assigned accordingly. No detainer score will be assigned to a CUSCOM inmate in a Connecticut facility that is only serving time from the sending jurisdiction or where the sending jurisdiction's sentence exceeds his Connecticut sentence.

The detainer rating will increase as the seriousness rating of the offense, and/or length of time to serve in another jurisdiction, and/or bond amount rises. For example, an inmate with a pending

four (4) rated offense charge would be assigned a detainer four (4) score. An important issue is the equivalency of felony and/or misdemeanor charges in other jurisdictions relative to the felony and/or misdemeanor rating in Connecticut. Other jurisdictions use different terminology than Connecticut and it may be necessary to contact that jurisdiction to determine the actual severity of the pending charge or detainer hold.

All pending charges, including out of state warrants which are not lodged as detainers, must be rated on the pending charge/detainer factor. This includes all charges pending even if the other jurisdiction has indicated that they will not extradite the inmate, except that if official documentation from another state exists which informs us that they will not extradite and the charge equates to a risk level 3 or lower offense; then the detainer score for this (these) charge(s) shall be removed.

In regard to how the detainer score is related to the parole disposition process, in most cases, the presence of a detainer does not prohibit the granting of parole. Essentially, a “parole to detainer” allows for events to occur on the effective parole date, which would otherwise have occurred on the sentence expiration date. Panels of the Board routinely grant paroles to:

- Non-aggregated consecutive Connecticut sentences;
- Consecutive or concurrent sentences from other states or the federal government;
- Immigration and Customs Enforcement Detainers; or
- Probation or parole violation warrants from other states or federal government.

All other warrants, however, which fall within the scope of the Interstate Agreement of Detainers, must be resolved through that process prior to parole consideration.

If an offender has a pending warrant at the time of parole consideration or if they are re-incarcerated from parole with a pending criminal charge, the case should alert the assigned parole officer that the charge was resolved and the detainer score is lowered.

5. **Q. In reference to BC.27 – General MIS Functional Requirements: 2.12.1. Allow for Back Dating Information, would CTDOC consider a High Availability Architecture (HAA) approach in order to achieve desired availability level, e.g. protection from power outage, as acceptable proposal?**
- A. CTDOC would expect the new system to have a High Availability Architecture (HAA) design. However, in rare instance if the system is not available, the system should be able to back date information once the system is up and running.
6. **Q. In reference to BC.27 – General MIS Functional Requirements: 2.15.2.15 Keyboard Entry, is a touch screen application required?**
- A. CTDOC does not require a touch screen application but would desire it as an added feature.
7. **Q. In reference to BC.27 – General MIS Functional Requirements: 2.15.2.16 Support Biometric Login, what type of biometric data is envisioned (fingerprint, iris, etc.)?**
- A. CTDOC is open minded to any and all types of biometric data. Vendors can describe their systems’ current and future functionality in this area.

8. Q. **BC.27 – General MIS Functional Requirements: 2.18 Interfaces**
How many interfaces are required? Are the interfaces one way or two way?
What are the specifications for each interface (transportation, message exchange structure, event definition, etc.)? Are interfaces run in real time or via a batch process?
Please describe the data elements that need to be transferred, the validation rules and the relationships between the data elements?
- A. The interfaces mentioned in 2.18 are simply listing of the anticipated interfaces. The State expects that the contracted vendor will work with the State to document details on the needed interfaces. This will include whether the interface is one way or two, specification of the interface (transportation, message exchange structure, event definition, etc.), whether the interface run in real time or via a batch process, and what data is transferred with its validation rules and the relationships between the data elements.
9. Q. **In reference to BC.27 – General MIS Functional Requirements: 2.18.3 API’s for Electronically Information, please provide CTDOC’s standard API definition? How will this differ from interfaces?**
- A. CTDOC is requesting that vendors provide their best API to transmit and receive data.
10. Q. **In reference to BC.27 – General MIS Functional Requirements: 2.18.4 Data from External Systems, is the data that comes through interfaces, (i.e. normalized to Elite data model level or third party data structures) acting as portal?**
- A. CTDOC is expecting to display and view data that is in external system via links.
11. Q. **For COTS implementation, does the vendor need to provide any source code to CTDOC?**
- A. From the contracted vendor, CTDOC will request business logic and workflow for review and source code for storage.
12. Q. **For the Data Download Requirements 1.2.3, the ability to save connection strings for each connection, is this connection information for the third party system such as FTP credential, EMAIL accounts, or DATABASE accounts?**
- A. Yes, there will be a need to save the file so they can be sent out again.
13. Q. **For the Data Download Requirements 2.1 Easy to Define Source File and Destination Folder, please clarify if this means using something other than a text editor to modify configuration files of the various tools that may provide the output. Is manually entering the location path, e.g. directory name, using the GUI form considered satisfactory?**
- A. GUI type of interface is sufficient. Either Text Editor or an equivalent GUI interface can be used to define the source and destination folder/file. It should also accommodate file or folder name with special characters such as space(s).
14. Q. **Regarding BC.24 – Community Supervision Requirements: 2.9.2.2 Multiple Programs assigned to an Offender, please clarify what is meant by this requirement.**
- A. The title in the BC.24 should have read “**Multiple Programs assigned to an Officer**” The State is requesting the ability to assign multiple officers to multiple programs in the caseload Queue.

Example: Two Parole Officers are responsible for the same residential program, so both view the whole program as their caseload.

15. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.1 Alerts for Missed Case Management Activities, please define the business rules/process for the ‘escalation policy’.**
- A. The State is looking for the system to display alerts/queues on the officers’ screens of required time based actions. For example: Within 3 business days (configurable as required) of violating parole, a “Parole Violation Notice” must be served to the offender. Display this as a task/action item on the assigned Parole Officer’s screen until task is completed. If task is not completed within 5 business days (configurable as required) escalate task as an alert to the assigned Parole Manager’s screen as notification that the work is past due.
16. **Q. In BC24, Community Supervision Requirements: 2.2.1. Release Authorization, does this functionality mean that that Community staff determine a prison release date? If not, please clarify this requirement?**
- A. Community Services staff do not determine the release date for an offender. The State is looking for the system to have the ability for the assigned Parole staff to review the case and verify all requirements have been met for the offender to be released, and then on 2.2.1.1 to be able to complete a release authorization with alerts to areas that require them.
17. **Q. In reference to Attachment Section BC02 – 2.6.1 Page # 171, does CTDOC work with any Certified Live Scan vendors for fingerprinting?**
- A. The current Live Scan vendor is Cogent.
18. **Q. Is a Ten-Print Fingerprint System acceptable to CTDOC? Is the Vendor to supply these systems? If so, how many and is there currently a State standard? Should hardware pricing be included in response?**
- A. The State currently uses the Ten-Print Fingerprint System in each of the intake facilities (7). Hardware pricing should not be included in your response.
19. **Q. BC.10 – Classification and Assessment Requirements: 2.1.14 Special Management Descriptive Text(s). In the context of Classification and Assessments Requirements, what comprises Special Management Descriptive Texts? Examples would be helpful.**
- A. Special Management Descriptive Texts are considered as "flags" that designate a special situation or condition to be monitored by staff and shall be maintained as current and accurate. A few examples are Assaultive, High – Security, Profiles, Youth, Transitional Supervision, etc.
20. **Q. BC.10 – Classification and Assessment Requirements: 2.1.23 Need Scores Descriptive Text(s). In the context of Classification and Assessments Requirements, what comprises Need Scores Descriptive Texts? Examples would be helpful.**
- A. Need Scores Descriptive Texts are considered as “flags” that designate a special situation, condition, or review that needs to be monitored by staff or has been verified by staff. A few examples are Medication, Wheelchair, Verified, Unverified, Suicidal, etc.

21. **Q. BC.10 – Classification and Assessment Requirements: 2.6.12 Collect/NCIC checks, do you require the ability to conduct searches from within the proposed system?**
- A. CTDOC does not require the new system to conduct the COLLECT/NCIC checks. As currently there is no Interface with the State Police. If in the future that State Police allow an Interface with CTDOC, then the ability to generate the COLLECT/NCIC checks.
22. **Q. BC.10 – Classification and Assessment Requirements: 2.7.2 Automatic Review if Offender is eligible for Interstate/International transfer. On what basis is the system determining the automatic eligibility? What are the rules around this requirement?**
- A. An inmate may be eligible for an Interstate transfer out of Connecticut if they have at least two years remaining on their sentence and the CTDOC has an Interstate Compact Agreement with the requested state. Currently, CTDOC has a contract with 29 states. For International Transfer, an inmate may be eligible if they have at least 3 years remaining on their sentence.
23. **Q. BC.10 – Classification and Assessment Requirements: 2.7.12 Automatic Review if offender is eligible for Interstate / International Transfer to CTDOC, on what basis is the system determining the automatic eligibility? What are the rules around this requirement?**
- A. An inmate may be eligible for an Interstate transfer to Connecticut if they have at least two years remaining on their sentence and the CTDOC has an Interstate Compact Agreement with the sending state. Currently, CTDOC has a contract with 29 states.
24. **Q. BC.10 – Classification and Assessment Requirements: 2.9.2.9 Interface with the Security and Intelligence System. What is the Security and Intelligence System and what is recorded in this system?**
- A. It is in reference to BC. 16, Offender Association and Intelligence Requirements.
25. **Q. In reference to BC.28 – Reporting Requirements, will the CTDOC have a report developer resource involved during and after the project is completed? If so, please describe.**
- A. CTDOC will only have ad hoc report developers. See Section 2.1.9 Provide Sufficient Training to Trainers from BC.25. The ability to provide sufficient training for CTDOC trainers in the proposed ad hoc reporting and report writing tools suggested by the vendor.
26. **Q. BC.28 – Reporting Requirements: 2.4 Linking Queries Please describe examples of what is meant by linking and combining queries.**
- A. For instance, not all inmates are eligible for a particular community program. CTDOC will need to write one query to identify inmates with all the criteria and also calculate the eligibility date. Then CTDOC will utilize the results of this query to merge with the entire population to generate information that will perform other tasks and generate other reports.
27. **Q. In referenced to Sections 3.15 on page 408, and 3.16 of BC.20, the State mentions a payee and offender PIN. What is a PIN number, how is it assigned and what is it used for?**
- A. A payee PIN number is a system number that is generated and assigned to each payee. The payee pin is for accounting and is a complete and separate number but it is unique.

An offender/inmate pin or number is a unique number that is generated and assigned to an offender once forever. The offender/inmate pin or number is to track the offender/inmate that has been imprisoned in CTDOC facilities. If the offender/inmate is released and then comes back to prison he will not be assigned a new offender/inmate pin number.

28. Q. Does each facility manage a separate and distinct offender checking account?

A. CTDOC has a single database system that contains individual accounts, balances, transactions etc. for each offender across the state. There are no individual checking accounts.

29. Q. What is the offender accounting policy when an offender is transferred?

A. CTDOC has one database system no matter where the offender resides. Upon transfer only the location of the offender is changed.

30. Q. Regarding BC.07 – Warrants and Detainers Requirements: 2.3.8 Letters of Inquiry for pending warrants / detainers, please clarify what is required for the ‘follow-up notification’.

A. The follow-up notification would be an e-mail alert that would be sent to the Records Specialist.

31. Q. In reference to Section 2.4.8 on page 229 , the State Requests “The ability to assign the ASCA numeric code and translation automatically based on the CT State Statute number for which the offender is sentenced” Can CTDOC elaborate more on the ASCA numeric code and translation.? What is the numeric code used for and what is its format?

A. This is single character numeric code like the UCR (Uniform Crime Reporting) code that classifies crimes and is used for statistical purposes. As the UCR code has 5 categories, the ASCA has 6 categories: (Violent Crime, Other Violent Crime, Property, Drug Offense, Other Public Order Offense, and Other Crime). More information on ASCA can be found at ASCA.net

32. Q. In reference to Section 2.11.4, on page 238, the State Requests “The system needs to calculate the jail credit on the current violation.” Can CTDOC provide the formula for jail credit calculations?

A. Please reference Connecticut General Statute 18-98 and 18-98d for an explanation on jail credit but due to case law and other variables there is no simple formula for jail credit application that can be given at this time.

33. Q. In reference to Section 3.6, on page 371, the State Requests “The software application shall provide a daily scheduling page for each investigator to input and track defendants who are due for urinalysis.” What are the criteria determining when/why an offender urinalysis is taken?

A. The State conducts random urinalysis of offenders in its custody or targeted if drug use by an offender is suspected. The State is looking for the system to randomly pick inmates for urinalysis except where certain inmates have been marked in the system as being suspicious.

34. Q. **In reference to Section 4.0 Scope, page 95 Integration with DOC Records, please clarify what does “DOC records” means?**
- A. The DOC Record pertains to the entire set of comprehensive information that CTDOC has on an offender.
35. Q. **In reference to Attachment 12 page 141, “Document COTS Solution Alternatives”, does this means alternative to COTS or options within COTS?**
- A. Within this step of the System Development Methodology, the State will document the alternative solutions available based on proposals received.
36. Q. **Regarding BC.23 – Parole Requirements: 2.3.3. Parole Summary, please clarify how data from other criminal justice agencies is provided.**
- A. Data is currently received electronically from the Department of Correction’s Legacy System, from Court Support Services Division’s Judicial Electronic Bridge (for PSIs, Violation of Probation Warrants, Youthful Offender and Juvenile Records), and Court Operation’s Sentencing Transcript Database and Phobos Legacy System for sentencing information. Other information, such as police reports is manually requested via fax or mail.
37. Q. **Regarding BC.23 – Parole Requirements: 2.6.5 Special Case Status, please clarify what is required to maintain additional specialized cases.**
- A. The State is looking for a solution to classify certain parole cases in special statuses under certain circumstances. For example, if the offender has a DOC mental health classification score of a 3 or more, the system should classify the offender as a special management case for mental health. This would be necessary so the parole officer assigned to the offender’s case can refer the case for a mental health evaluation and if the offender is granted parole, the case is referred to the special management unit for field supervision.
38. Q. **In reference to Section 2.2.4, page 167, the State Requests “*Have the Capability to track and link an individual offender’s emergency contact record to the State of Connecticut Department of Children Families guardian contact.*” Please clarify what the intent is for this “linking” / interface. What does the State expect to occur if “linking” is available?**
- A. This would alert CTDOC that the offender is in the care/custody of the State of Connecticut Department of Children Family Services and they would become the emergency contact for the offender.
39. Q. **In reference to Section 2.2.5 on page 167, the State Requests “*Have the capability to track and link an individual offender’s emergency contact record to the State of Connecticut Department Mental Health or the State of Connecticut Department of Developmental Services conservator contact.*” Please clarify what the intent is for this “linking” / interface. What does the State expect to occur if “linking” is available?**
- A. This would alert CTDOC that the offender is in the care/custody of the State of Connecticut Department Mental Health and Addiction Services or the State of Connecticut Department of Developmental Services with a conservator as the emergency contact.

40. Q. **In reference to Attachment Section BC02 – 2.7.1 Page # 172, does CTDOC currently utilize IRIS recognition technology? If so, which vendor? If not, does our response need to include this cost?**
- A. CTDOC does not currently utilize IRIS recognition technology, but would like the new system to have the capability to interface with future equipment that CTDOC would purchase. The scope of this RFP does not include the purchase of any equipment.
41. Q. **In reference to Section 3.9, on page 407, the State Requests “The ability to request report customization at no cost for two years after software go-live. Vendor should be able to supply a new “canned report” within a two-week period.” Can CTDOC revise this requirement, or specify the number of additional reports that it will need?**
- A. Upon further analysis, CTDOC has determined that 3.9, Future Reports Needs (i.e. report customization and "canned report") business requirement in section BC.20 Inmate Banking and Restitution Requirements of the RFP is no longer needed as a business requirement. Therefore any response(s) from vendors for this item will not be examined by CTDOC.
42. Q. **BC.21 – Commissary Sales and Inventory Requirements: 2.1.11 Interface with Current Oracle PeopleSoft CORE-CT system. Please clarify what is to be interfaced to Peoplesoft and if the interface is required for trust and payroll data?**
- A. Upon further analysis, CTDOC has determined that 2.1.11, People Soft CORE-CT business requirement in section BC.21 - Commissary Sales and Inventory Requirements of the RFP is no longer needed as a business requirement for CTDOC. Therefore any response(s) from vendors for this item will not be examined by CTDOC.
43. Q. **BC.21 – Commissary Sales and Inventory Requirements: 2.1.3 Inventory Valuation, Does this requirement mean value inventory for accounting purposes or to calculate sales price?**
- A. Both. It is a request to have the inventory value computed using the current “actual” item cost as opposed to an “average” cost that may be calculated using several months/years of data.
44. Q. **In Attachment 5, there is mention of Exhibit 1. However, a copy of Exhibit 1 does not seem to be included in the RFP. Could you please provide vendors with this exhibit?**
- A. Exhibit 1 is a performance criteria document that will be part of the negotiated Master Agreement with the successful vendor.
45. Q. **Since the State still needs to provide answers to important clarification questions and given the tight timelines of the current RFP close date and the coming Thanksgiving Holidays, which impact most vendor organizations, will the State consider extending the RFP response due date?**
- A. The State is extend the RFP response due date to Tuesday, December 15, 2009 @ 2:00PM (EDT). The RFP document has been updated accordingly.
46. Q. **Can CTDOC provide a mapping between the twenty-nine business processes and legacy applications that will be replaced?**
- A. Many of the 29 business processes are automated using multiple systems. In some instances this results in a many to many relationship between legacy systems and business processes. Parts of

some business processes are done manually today. All systems supporting the 29 business processes are within the scope of this RFP.

47. **Q. In reference to Section 2.6.4, on page 171, the State Requests “Be able to flag an offender’s fingerprints due to the fact that they have been altered in some way such as burns, cuts or some other form or self-mutilation.” Is a Ten-Print Fingerprint System acceptable to CTDOC?**
- A. Yes a ten-print system is acceptable. The State needs to be able to use its current IAFIS hardware and Case Management system to push data to the IAFIS system.
48. **Q. BC.27 – General MIS Functionality Requirements: 2.11.4. Pick Up Metadata. This requirement seems to be missing detail: The ability to pick up metadata (data about data) from scanned documents. Metadata here would be: Please provide the Metadata information.**
- A. The metadata is defined in sections: 2.11.4.1, 2.11.4.2, 2.11.4.3, and 2.11.4.4 of the RFP.
49. **Q. BC.29 – Data Download Requirements. Is it required to have the history on all downloads retained? If Yes, what is retention policy?**
- A. Currently CTDOC does not retain any history of downloads.
50. **Q. We do not see technology guidelines in attachment 12, per the following requirement. Please clarify.**
- A. "Each description/diagram should be accompanied by a narrative indicating where the proposal meets the State of CT technical guidelines and where exceptions will occur. Refer to Attachment 12 System Development Methodology Requirements, for a detailed description of what to include in the product architecture diagrams.
51. **Q. Attachment Section 4.x (114.x) Page #38-44 Several paragraphs in section 4.2 (page 38) are repeated later in the attachment as sections 4.4.1, 4.5.1 and 4.5.3. Is it sufficient to populate sections 4.4.1, 4.5.1 and 4.5.3 with the response detail for these areas only?**
- A. Yes
52. **Q. Attachment Section 4.4.5 (11.4.5) Page 42"...the vendor will have to perform a gap analysis of the CTDOC requirements with its current established products and services." What format is requested for the gap analysis and to what level of detail are you interested?**
- A. The State does not have a specific format for a gap analysis. Vendors are asked to succinctly list any and all gaps existing between their offered solution and the requirements specified in the RFP.
53. **Q. Would the State please list all expected interfaces/data exchanges it will require? It seems some are listed in BC27 – Management Information Systems Requirements Section 1.3, and others are also listed in BC27 - Management Information Systems Requirements Section 2.18.**
54. **A. The State is looking for all interfaces listed in multiple sections in the RFP. Depending on the type of interface, they are listed in different sections of the RFP.**

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

RFP #09ITZ0052
Offender Management Information System

November 9, 2009

AMENDMENT # 3
provides the following:

- Vendor Q & A document (**all questions not addressed in this document will be answered in a subsequent document and issued via a subsequent amendment**)
- Allows vendors to submit questions of **CLARIFICATION ONLY** regarding answers provided in Amendment #'s 2 & 3 to the RFP for a 3 day period beginning Tuesday, November 10, 2009 and ending on Thursday November 12, 2009 @ 5:00 pm (EST).

NOTE: A signature line has been included below. A copy of this page signed in ink is required with the Proposal to show that vendors have received this Amendment.

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT

(This page should be signed and returned WITH PROPOSAL. If vendor fails to submit signed Amendment, vendor will still be responsible for adhering to its content)

APPROVED: _____

JACQUELINE SHIRLEY
DIRECTOR
IT CONTRACTS AND PURCHASING DIVISION

Amendment #3
RFP #09ITZ0052 – Offender Management Information System Replacement
Vendor Questions and Answers

- 1. Q. Regarding BC.01 – Intake and Booking Requirements: 2.1.1 Locate Offender's Account, does CTDOC currently use fingerprint and retina scanning to locate inmate accounts? Would either integrated fingerprint scanning or iris/retina scanning be considered an acceptable solution to the CTDOC?**

A. Currently, the State does not utilize fingerprint or retina scanning to locate inmate accounts. The desirable solution would be either an integrated fingerprint scanning or iris/retina scanning. It is not the expectation of the State that the vendor responding to this RFP will provide the hardware (retina scan camera or finger print reader). However, the capability to integrate (plug and play) with such equipment for the purposes of locating inmate accounts.
- 2. Q. Regarding BC.01 – Intake and Booking Requirements: 2.2.1 Initiate Booking prior to Offender Arrival, please describe the interface specifications for this requirement. How many systems/agencies does the CTDOC want to interface with to receive this data? What specific data elements does the CTDOC desire to bring into the system? Does CTDOC desire all of these interfaces to be provided during initial system implementation, or just the ability for interfaces to be added at a future date?**

A. The State’s goal is to interface with the judicial system. The data elements would include the offender’s name, number, date of birth, current offense, offense date, bond amount, bond type, next court date etc. The State also wants to interface with Parole and Community Services Module. Data elements would include remand information such as offender name, number, reason for return, type of return, parole officer authorizing the return etc. The State would desire these interfaces upon implementation but would consider the interfaces to be added at a future date.
- 3. Q. Regarding BC.22 – Pre Release Processing Requirements: 2.2.3 Offender Notification, how does CTDOC envision automatically sending a memo to an offender? What is the due date based on?**

A. The State would look into “Kiosks” based platforms where the offender could sign in and retrieve anything sent to him/her. If Kiosks are not available then the memo could be printed in the respective counselor’s office to be delivered to the offender. The due date is based on Community Service eligibility dates. It is not the expectation of the State that the vendors responding to this RFP will provide the hardware required for kiosk based systems.
- 4. Q. Regarding BC.22 – Pre Release Processing Requirements: 2.2.5 Track/monitor pending release on community supervision, please clarify what is meant by the “status of placement” and documented actions.**

A. “Status of placement” should have been worded as “Status of Release”. This would be for offenders who are past their eligibility dates for release on Halfway House or release to a sponsor for Transitional Supervision. An example would be the offender who is beyond their transitional supervision date but the community service officer has not completed the home visit for the sponsor.

5. **Q. Regarding BC.22 – Pre Release Processing Requirements: 2.3.1 Release Process , please provide further clarification to understand the ability to “update Parole releases automatically from the hearing process.”**
- A. This does not apply to the actual paperwork to release the inmate on parole but rather the notification to indicate the outcome of the Parole hearing, example: voted to parole, denied parole, new parole hearing date etc.
6. **Q. Regarding BC.24 – Community Supervision Requirements: 2.4.1.1 Entering a new case note, please clarify the need for the following: if GPS signal present, to save the location and require entry of the interaction date (Default to the current date)**
- A. If there is a GPS receiver (hardware) connected to the laptop being used to make an entry into the offender management system, then based on the tracking signal, the system would automatically record the GPS coordinates of the laptop, at the time the entry is made. Additionally, the date and time of the entry should be automatically saved (default to current date and time) with the ability to over-ride. Currently the date of the entry has to be manually entered.
7. **Q. Would it be possible to get the MS Word versions of Attachments 3 to 15, where a letter or checklist is involved, and for Amendment #1?**
- A. Word versions of certain attachments were released on November 2, 2009.
8. **Q. Regarding BC.17 – Visitation Requirements: 2.2.7 Visitor Updates, what is the CTDOC policy that restricts changes to visitor records?**
- A. The State’s policy is that Victims, current offenders, and employees cannot visit an inmate without special approval. The State would like to grant access to designated staff only to make such changes.
9. **Q. Regarding BC.24 – Community Supervision Requirements: 2.2.2.7 Override, please clarify this requirement. Where are the overrides to apply?**
- A. The State is looking for the ability to override any system determined/calculated value/result with a tracking mechanism. Example: A case is assigned a maximum supervision level by the system, but upon review by Parole Officer and Parole Manager it is determined the case is Medium level. The ability to over-ride the system determined level and to track the specific change including the user that made it.
10. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.4 Track Multiple Active Statuses, please define what is meant by ‘multiple active statuses’? In the example, 3 statuses are mentioned. Can an offender be active on these 3 statuses at one time? Can the department provide more examples where such ‘multiple statuses’ are used?**
- A. An offender under supervision of DOC may have multiple concurrent statuses and all must be tracked. Example: An offender can be serving time on Special Parole and Transitional Supervision while residing in a Halfway House (Community Release) and be on Probation. In this example there would be 4 statuses active at the same time (Special Parole, Transitional supervision, Community Release, and Probation). The State is looking for the system tracked these.

11. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.8 Customize Alerts, please provide examples of how alerts need to be customized based upon office caseload and performance issues.**
- A. The State is looking for the ability for officers and/or Parole Managers to configure alerts and make specific cases a priority. Example 1: Parole Officer is aware that an offender may be using illegal drugs and wants an immediate alert if the offender misses an assigned program, or if there is positive urine.
Example2: The Parole Manager is aware that an officer has a sensitive case and wants to know if the offender misses any appointments immediately or if a note wasn't entered in the required time frames.
12. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.17 Cross Data Searching, further clarification is needed to determine the required functionality. If possible, please provide business rules or examples.**
- A. The State is looking for the ability to input data on multiple known associates of the offender such as girlfriends/ sponsors etc. and to be able to cross reference that data as needed to alert appropriate staff.
Example 1: The State currently receives requests from sponsors who attempt to house multiple offenders simultaneously. Example 2: The State does not allow victims to sponsor offenders. Example 3: The State has permanently banned some sponsors from sponsoring any offender.
13. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.23 Sex Offenders, is an interface required to a Sex Offender Registry?**
- A. The State is looking the ability to mark a case that is on the sex offender registry and would have a preference for the ability to automatically determine if the case is listed on the registry as not being in compliance.
<http://www.icrimewatch.net/index.php?AgencyID=54567&disc=54567>
14. **Q. Regarding BC.24 – Community Supervision Requirements: 2.5.24 Convert Status of Offenders Release, please define the business rules/process for the 'transition placement' and 'transition supervision'.**
- A. Transitional Supervision is an early release mechanism for inmates serving 2 years or less who have completed at least 50% of their time.
Transitional Placement is a release mechanism for offenders who are not eligible for parole, are currently in a halfway house or residential center and maintain good performance. These offenders may be released at the discretion of the Commissioner of Correction within 18 months of their end of sentence.
15. **Q. Regarding BC.24 – Community Supervision Requirements: 2.10 Termination Process, please clarify what File 17 is and if possible, provide a sample.**
- A. File 17 referenced in this requirement pertains to an NCIC screen for supervised offenders in the community. The State is looking for a field for the officer to note that the file 17 was cancelled upon completion of supervision.

16. **Q. Can CTDOC confirm what the expectation is for vendors to identify the key resources on the project team?**
- A. The State expects vendors to identify key vendor resources on the project team. The State will work with the contracted vendor through the duration of the project for any modifications based on the needs of the project.
17. **Q. Can the CTDOC provide a list of legacy systems that will be replaced?**
- A. A list will be provided to the contracted vendor.
18. **Q. Can CTDOC confirm the full scope of the legacy applications which are scheduled to be replaced, is fully included in the requirements as defined by the twenty-nine business processes?**
- A. All reasonable efforts have been made to include all the requirements.
19. **Q. Can CTDOC provide a list of installed hardware currently used to support the Sentencing and Time Computation (STC) Project?**
- A. At this time, the State is unable to provide this information.
20. **Q. Can CTDOC include system configuration diagrams?**
- A. At this time, CTDOC is unable to provide any system configuration diagrams per our contracts with other agencies and vendors.
21. **Q. Can CTDOC provide a current list of system software installed on the hardware used to support STC?**
- A. Per our vendor contracts CTDOC can not provide this information at this time.
22. **Q. Regarding BC.07 – Warrants and Detainers Requirements: 2.4.3 Generate Paperwork, please define all documents required for "Speedy Trial Paperwork".**
- A. The paperwork consist of a two page form that includes the offenders name, number, current sentence information, pending charges, and the name of the agency holding the pending information. There is also a signature line when the inmate can opt for or decline a speedy trial.
23. **Q. Regarding BC.07 – Warrants and Detainers Requirements: 2.4.5 Tracking Paperwork, how is it determined when the court receives the paperwork?**
- A. Currently the paperwork is sent to the court via certified mail. Once the signature card is returned to CTDOC it is recorded that the court received the paperwork.

24. **Q. Regarding BC.07 – Warrants and Detainers Requirements: 2.6.7 180 day Interstate Agreement Alert, is the response from the other state entered into the system by a CTDOC staff member or are you looking to give other states the ability to interface with the system to meet this requirement?**
- A. We will not give the other states the ability to interface with our system. IAD paperwork is sent out by certified mail. The 180 days will start when CTDOC receives the signed receipt from the other state.
25. **Q. Regarding BC.07 – Warrants and Detainers Requirements: 2.7.3 Records Alert – Consignment to Connecticut, is a consignment a form of Hold?**
- A. Consignment could be a form of hold. An inmate that has been borrowed from another state to answer CT charges has to return to the sending state once his/her CT charges have been disposed of.
26. **Q. Regarding BC.23 – Parole Requirements: 2.1.3 Create an Electronic Parole File, please clarify what the electronic file consists of and what is the purpose / process of this file?**
- A. The Electronic Parole File consist of demographic information about the inmate, hearings and release information, such as parole eligibility date, parole hearing date, the parole hearing location, parole hearing continuation information, special conditions, current sentence information, current offense information, criminal history and the requesting and receiving documents require for a parole case (police reports, PSI's, sentence transcripts, juvenile information, etc..)
27. **Q. Regarding BC.23 – Parole Requirements: 2.2.2 Timeframe for case assignment, what is the parole officer's role with the case prior to the hearing?**
- A. The parole officer's role prior to the hearing is to investigate the case and create a report that the Parole Board will review at the Parole Hearing.
The investigation includes such activities as interviewing the inmate, verifying that there are no pending criminal charges or detainers, verifying parole eligibility, requesting and reviewing any offense information, and reviewing the DOC master file.
28. **Q. Regarding BC.23 – Parole Requirements: 2.2.8 Victim Outreach Referrals, what are the details of the victim advocate record?**
- A. The victim advocates record such information as the offender's name and inmate number, the inmate's parole hearing date and location of the hearing, the inmate's parole eligibility date, the victim's name, the victim's phone number, the victim's address, the attempts to contact the victim (placed phone calls or if a letter was mailed to the victim's last known address), whether or not the victim is planning to attend the hearing, whether or not the victim would like to speak at the parole hearing, whether the victim was able to be contacted, if the victim submitted a victim impact statement, and if the victim wants to be notified of the results of the parole hearing.

29. **Q. Regarding BC.23 – Parole Requirements: 2.6.8 Parole Status, please provide additional information to fully understand this requirement.**
- A. Connecticut has several different forms of parole with different requirements for each type of parole. It is possible that an inmate may have several hearings for different parole releases. An example would be an inmate who has a terminal illness and is granted medical parole. The inmate may then have a discretionary parole hearing in which he/she are voted to parole. An inmate may be reviewed for transfer parole (54-125h). The system must have the ability to track the outcome of these hearings and keep an accurate status on what forms of parole the offender is currently release on / voted to.
State statues govern the forms of parole which are articulated in detail 54-124a to 54-133 inclusive. <http://www.cga.ct.gov/2009/pub/chap961.htm#Sec54-125.htm>
30. **Q. Regarding BC.23 – Parole Requirements: 2.6.9 Probation Status, please provide clarification to determine if CTDOC is requesting probation functionality or parole supervision? Is this community functionality for parole or probation?**
- A. The community functionality is for parole use. This requirement is intended to automatically send probation the offender’s electronic record (both hearing information (parole summary) and field information (the field parole officer’s interactions with the inmate).
31. **Q. Regarding BC.23 – Parole Requirements: 3.3 Parole Board Report Levels, please provide the information required in this report.**
- A. Section 3.3 refers to the ability to assign user levels to the reports articulated in sections 3.4 to 3.10. For example, in section 3.6, the ability to generate a report that can articulate how many cases a parole officer processed in a specific time frame would be a managerial level report and only available for managers to run.
32. **Q. Regarding BC.23 – Parole Requirements: 3.8 Offenders requiring a Mental Health Evaluation Report and 3.9 Offenders requiring a Problem Sexual Behavior Evaluation, will these requirements require an interface to the UCONN medical system? Where are the mental health sub-codes stored? How is this process currently handled?**
- A. The State is looking for a solution that can automatically request mental health evaluations or problem sexual behavior evaluations. The mental health sub codes are currently stored in the Department of Correction’s Legacy System. The process is currently handled by running queries off of the DOC Legacy system to identify inmates that are eligible for parole in the upcoming months. The BOPP then requests the evaluations manually via email or fax. UCONN and Special Services then email or fax the completed evaluations back to BOPP.
33. **Q. Regarding BC.23 – Parole Requirements: 3.11 Views on the system, please clarify what is meant by ‘multiple views’.**
- A. The multiple views are articulated in sections 3.11.1 to 3.11.4. Views are lists of inmate electronic files (or cases) in the system. A view pane shows:
- Rows for each inmate electronic record that would display the offender’s inmate number, name, and any other type of information the user wants displayed via the columns.
 - Columns allow the user to select what type of information about the offender they want to display, such as end of sentence date, date of next scheduled level reduction, date of last disciplinary report etc.

The view should allow the user to select, sort, or categorize the inmate electronic files by clicking on the column in the view.

A view can show all files in the system, at a specific correctional institution, by a specific status (such as serving a felony conviction), or only a selection of inmate electronic files based on the user's role.

34. **Q. In reference to Section 1.0 Introduction, page 94, are process maps/flows available for the 28 Business Categories?**
- A. At this time the State is unable to provide process maps/flows for the 28 Business categories. A high level description is included at the beginning of each business category.
35. **Q. In reference to Section 1.0 Introduction, page 94, Is there BPR activity planned (if not already executed) as part of requirements scope?**
- A. The State has started an extensive business processing re-engineering/business process management (BPR/BPM) effort across all offender management processes. As part of this project, the State expects these activities to continue in the near future.
36. **Q. Does the CTDOC intend to use any integration tool (MS BizTalk, iWay Service Manager etc.) for message exchange?**
- A. CTDOC is not locked into using any particular integration tool. Vendors should provide their best integration tool for CTDOC review.
37. **Q. Is the scope of External Interfaces defined in terms of number of Agencies/number of unique messages to be received from or transmitted to?**
- A. The scope of External Interfaces will be defined with a minimal of 20 agencies with many alerts and with many messaged received and transmitted from different agencies and many departments with in CTDOC.
38. **Q. Can CTDOC provide the approximate number of the end users to be trained prior to Deployment?**
- A. We plan on using Train the Trainers methodology. There will be approximately 150 - 200 employees to be trained by the vendor.
39. **Q. Does CTDOC have any specific preference on deployment model—phased rollout or big bang?**
- A. The State will utilize a phased rollout deployment.
40. **Q. In reference to Attachment Section BC09 – 2.3.6 Page # 254, does CTDOC have special laminating devices for offender ID production? If so, which? If not, does our response need to include the selection of and cost of the equipment?**
- A. The State has laminating devices in all the facilities. (Not sure of brand name) Currently, an offender ID is printed out then laminated one at a time. The scope of this RFP does not include cost for any equipment.

41. Q. **In reference to Attachment Section BC11 – 2.2.22 Page # 320, does CTDOC currently have digital surveillance equipment at all control points? If not, does our response need to include the selection of and cost of such equipment or simply the ability to display the digital image of the offender?**
- A. CTDOC does not have surveillance equipment at all control points. The scope of this RFP does not include any equipment, just the ability to display the digital image of the offender.
42. Q. **In reference to Attachment Section BC27 – 2.13.1 Page # 508, what are the Key Performance Indicators that CTDOC would like to measure in the analytic reports?**
- A. The State is looking for broad, configurable set of key performance indicators which are likely to change over time. Please provide high-level capability available within your system to handle such a need. If you have certain Key Performance Indicators built into analytical reports right out of the box please list those key performance indicators.
43. Q. **In reference to Attachment Section Infrastructure, what is the expected range of concurrent users?**
- A. BC.27 section 2.20.6 CTDOC lists the ability to accommodate up to 1,500 concurrent users.
44. Q. **In reference to Attachment Section Infrastructure, how many years of data are to be migrated into the new application?**
- A. At least 35 years of data.
45. Q. **In reference to Sections 2.3.1;2.3.2; 2.3.3, page 161, the State refers to CTDOC *Administrative Directive 6.7 - Searches Conducted in Correctional Facilities*. Can this document be provided?**
- A. The Administrative Directive 6.7 Searches Conducted in Correctional Facilities document may be obtained by going to <http://www.ct.gov/doc/site/default.asp>, Administrative Directives, Chapter 6 Security and Control.
46. Q. **In referenced to Section 2.8.1, on page 172, the State Requests “*Have the ability to notify a user that an electronic Mitt has been received and allows the user to view and accept with the option to print if necessary. If the Mitt is accepted, the Mitt will be automatically imported into the CTDOC system.*” Can CTDOC supply the electronic format for the Mitt and the information contained within the Mitt?**
- A. There is no electronic format for the mitt as currently this process is not in place. Some of the information contained in the mitt that the State would like to receive is the offender’s name, number, date of birth, current offense, offense date, bond amount, bond type, next court date and any special conditions imposed by the court
47. Q. **In reference to Section 2.6, on page 208, does CTDOC utilize the Appriss VINE system? If so, can CTDOC indicate what functionality is handled by the VINE system?**
- A. In January 2010 the State will start to implement the VINE system with a target date of August 2010 to go online.

48. Q. Can CTDOC provide the algorithms for the calculation of Statutory Good Time?

A. Sentences imposed prior to October 1, 1976 - Statutory Good Time is authorized to be awarded in advance, pro rata, at the rate of 60 days per year for the first five (5) years and Enhanced Statutory Good Time at 90 days per year for the sixth and subsequent years, based on the sentence imposed by the court.

Sentences imposed on or after October 1, 1976, excluding sentences for any offense committed on or after July 1, 1981 - Statutory Good Time is authorized to be awarded in advance, pro rata, at the rate of 10 days per month for the first five (5) years and Enhanced Statutory Good Time at 15 days per month for the sixth and subsequent years, based on the sentence imposed by the court. Sentences for an offense committed on or after July 1, 1981, and prior to July 1, 1983 - Statutory Good Time is authorized to be awarded in advance, pro rata, at the rate of 10 days per month for the first five (5) years and Enhanced Statutory Good Time at 12 days per month for the sixth and subsequent years, based on the sentence imposed by the court. Sentences for an offense committed on or after July 1, 1983, but prior to October 1, 1994 - Statutory Good Time, when authorized, is awarded as the sentence is served, pro rata, at the rate of 10 days per month for the first five (5) years. Enhanced Statutory Good Time, when authorized, is awarded as the sentence is served, pro rata, at the rate of 12 days per month for the sixth and subsequent years. Pre-sentence Credit, Pre-sentence Good Time, Statutory Good Time and time served shall count toward satisfying the first five (5) years in order to determine when Enhanced Statutory Good Time commences. Sentences for an offense committed on or after October 1, 1994 - Statutory Good Time is NOT authorized.

49. Q. In reference to Section 2.11.5, on page 238, the State Requests “*The system needs to calculate a parole eligibility date for a Violation of Probation greater than 2 years, not counting in the original sentence or the previous violation of probation sentence.*” Can CTDOC provide the formula for parole eligibility?

A. Based on the offense it is either 50 or 85% of the sentence minus any jail credit.

50. Q. In reference to Section 2.11.6, on page 238, the State Requests “*The system needs to calculate a transitional supervision date for a Violation of Probation sentence 2 years or less, not counting in the original sentence or the previous violation of probation sentence.*” Can CTDOC provide the formula to calculate the transitional supervision eligibility date for Violation of Probation?

A. The calculation would utilize the Violation of Probation term which would be entered separately from the Sentencing Mitt. Take the Violation of Probation sentence and times it by 50%. Then subtract any Jail Credit (if any) from the calculation. Add the calculated time to the Sentence start date. That should give the Transitional Supervision eligible release date.

51. Q. Regarding Report Requirement 3.2, is it CTDOC’s intent to store Federal Offenders within the same database as state/county offenders, or does this report interface outside systems?

A. The State will utilize the same system/database for both state and federal offenders. Federal offenders are assigned a state offender number when admitted to our facilities.

52. **Q. Attachment BC.21 – Commissary Sales and Inventory Requirements: 3.27 Analysis of Net Worth Report - Please clarify the definition of this report. Is this a cash flow statement?**
- A. No, it is not a cash flow statement. It is the P&L for each individual facility serviced by the commissary district.
53. **Q. In reference to II.3.3.1 Requirements Testing Traceability Matrix, is the traceability requirement limited to Requirement of Testing only? Is there any requirement of maintaining traceability from RFP Requirement Specs to Design Specifications?**
- A. For Commercial Off the Shelf (COTS) or Modified Off the Shelf (MOTS) solution, the State is looking for traceability between high-level and detailed requirements of the product to the matching parts of test plan and test cases. For a custom built solution, the State is looking for traceability between high-level requirements and detailed requirements of the software product to the matching parts of high-level design, detailed design, test plan, and test cases.
54. **Q. In reference to Attachment Section BC02 – 2.6.2 Page # 171, does CTDOC have any touchpad fingerprinting equipment in place? If so, which? If not, does our response need to include the selection of and cost of the equipment?**
- A. CTDOC currently uses COGENT LIVESCAN SYSTEMS. The scope of this RFP does not include any equipment.
55. **Q. In reference to Section 2.2.7 and 2.2.8 page 159, what is a 3-digit current resident code and what is the purpose of this 3-digit code?**
- A. The 3-digit current resident code is the Tax Code for the State of CT. The purpose is to allow booking staff to enter a 3-digit code instead of spelling out the whole town. In our current system the town field is only 7 characters and many of our towns would not be fully displayed.
56. **Q. In reference to BC.28 – Reporting Requirements, does the CTDOC have a specific report writing tool or tools that are currently used for generating reports? If so, please describe.**
- A. Currently, the State uses mainframe SAS as the primary report writing tool. The Stat also has some application(s) that download data into MS Access 97 for reporting purposes. In the near future Report Viewer, Active Reports or Crystal Reports might be used as reporting tools for browser based applications.
57. **Q. In reference to BC.28 – Reporting Requirements, does the CTDOC have a preference for an industry standard reporting tool that it has experience with, i.e. Crystal Reports, Oracle Discoverer, etc?**
- A. The preference is not set yet.
58. **Q. In reference to Section 4.4.7 II.4.7 LEGACY DATA MIGRATION, is the scope of the data migration defined in terms of the number of legacy sources and the number of data files /tables to be migrated to the new system?**
- A. At this time, the State is able to provide a general overview of the record types within the legacy systems to be migrated. The State expects that the contracted vendor will work with the State to document details and execute data conversion, data cleansing and scrubbing, data consolidation, and data migration.

The Department of Correction has a wide variety of data sources and several different file structures in disparate systems. A significant part of data resides in mainframe-type files. These are VSAM and flat text files. There are approximately 26,471,292 mainframe records. Other data types include Oracle relational data (150 GB), Lotus notes document files (80 GB), several MS Access databases, and 1.5 million inmate photos.

59. **Q. In reference to Section 2.8.1, on page 363, the State Requests “The ability to calculate eligible offenders based on facility criteria.” Can CTDOC provide the criteria for eligibility?**
- A. An offender may be reviewed for outside clearance if he/she meets the following criteria; Overall Risk level 1 or 2; no sex offender treatment need score greater than 1; no level 4 convictions in the past or current offense; Mental Health and Medical need scores less than three (3) unless cleared by Health Services; within 36 months of end of sentence or voted to parole date; no return from an escape within 1 year; no Class A disciplinary reports within 120 days and no Class B disciplinary reports within 60 days; no detainer score greater than 1; no history of being classified as an overall risk level 5. The vendor solution should be able to determine eligible offenders according to these criteria.
60. **Q. In reference to Attachment Section Infrastructure, what are the disk space requirements for current data volumes and the expected annual growth rate?**
- A. CTDOC has a wide variety of data sources and several different file structures in disparate systems. A significant part of data resides in mainframe-type files. These are VSAM and flat text files. There are approximately 26,471,292 mainframe records. Other data types include Oracle relational data (150 GB data only), Lotus notes document files (80 GB), several MS Access databases, and 1.5 million inmate photos. The expected annual growth is 10%.
61. **Q. Will the CTDOC be providing its own server hardware for the OMS or does CTDOC want all recommended server hardware to be included in the proposal?**
- A. The State will be providing its own server hardware for the OMS. The scope of this RFP does not include any equipment.
62. **Q. Will the CTDOC be sourcing its own database licenses directly (i.e. Oracle, MSSQL, etc.) or does the CTDOC want the licenses to be included in the proposal?**
- A. CTDOC does not need the licenses to be included in the proposal.
63. **Q. In reference to BC.28 – Reporting Requirements, does the CTDOC want the report writer licenses to be included within the proposal or do they have these report writing tools already licensed?**
- A. CTDOC does not need the report writer licenses to be included within the proposal.
64. **Q. In reference to Attachment Section Infrastructure, what server monitoring tool does the State’s data center utilize?**
- A. CTDOC has several monitoring tools available including Advance Host Monitor, Dell Open Manager, Sisco, SiscoWorks, and Oracle Grid Control.

65. **Q. In reference to section, ESTABLISH AND CONDUCT APPLICABLE VENDOR BENCHMARKS, “The State will determine the nature and scope of any benchmarking that it may deem to be necessary or appropriate to the evaluation of vendor System proposals.” Can additional information be provided as it relates to planned benchmarking?**
- A. The State may use benchmarking based on necessity and responses received from the vendors.
66. **Q. It has been mentioned that CTDOC intends to use NIEM1.0 compliant XML messages for message exchange with external agencies. Is there any restrictions on the messages that conforms to higher version of NIEM (NIEM 2.0)**
- A. There are no restrictions on messages that conform to a higher version of NIEM (NIEM 2.0) and CTDOIT (CT Department of Information Technology) standards are NIEM 2.0 which CTDOC must follow.
67. **Q. Please confirm that prime bidders are able to identify the percentage of contract value they propose to set aside for minority/small business.**
- A. Yes, prime bidders are able to identify the percentage of contract value they propose to set aside for minority/small business partners.
68. **Q. Regarding Section 2.2.22 Ownership of the System and Workflows. Can the State provide further clarifications on what "Title" means in this section, and what the State of Connecticut can do with this right of "Title."**
- A. This is an issue that will be addressed with the successful vendor at the time of contract negotiations.
69. **Q. Please confirm the last page of Attachment # 5 - Information Processing Systems Agreement does not need to be signed and returned within the vendor’s proposal.**
- A. No, the last page of Attachment 5 does not need to be signed or returned with vendor proposals. Attachment 5 is a sample of the agreement that the State will negotiate with the successful vendor at the time of contract negotiations.
70. **Q. Were any 3rd party companies used to create the RFP? If so, can the State identify the companies? Will the firm or company who did assist be entitled to provide a competitive analysis to RFP #09ITZ0052?**
- A. The State did utilize the services of an IT consultant in creating the RFP document and no this consultant is not entitled to provide a competitive analysis nor response to this RFP #09ITZ0052.
71. **Q. In reference to Attachment 7 - Contract Compliance Regulations and Notification to Bidder (Page # 1 of 9). Effective July 1, 1988, Twenty-five (25%) of the average total value of all contracts let for each of the previous three fiscal years must be set aside. Does this mean 25% of “this specific project” (RFP # 09ITZ0052) must be set aside per the Connecticut General Statutes “State’s Small Business Set-Aside” program?**
- A. The Connecticut General Statutes referred to in Attachment 7 are to be adhered to by State agencies. State agencies have the responsibility of “setting-aside” 25% of their total

contracting dollars for applicable purchases to be made from State certified Small Business entities. So, no it does not mean that 25% of this specific project must be set-aside.

72. **Q. Reference - (Page 141) Attachment 12 - “Business Requirements - Conduct Proof of Concept” Please clarify what does the POC means at Business Requirement Stage?**
- A. The purpose of the Proof of Concept (POC) is to create a small-scale, but “live” application of the solution, and verify that the critical requirements will in fact be addressed by the potential solution. A POC is not a “full blown” system or user acceptance test cycle. It is typically a targeted (usually small) set of transactions and test cases which are sufficient enough for the project team to confirm that the solution can in fact satisfy the requirements deemed critical and/or high risk before significant investment is made in the solution.
73. **Q. Reference - (Page 141) Attachment 12. Do vendors need to follow the activities defined in the diagram or can vendors provide alternative activities to achieve the goal of implementation?**
- A. Vendor’s must have the ability to align with the State of Connecticut’s System Development Methodology framework, e.g. a phase end gate meeting and signoff before proceeding to the next phase and must meet the intent of mandatory deliverables within each phase. If a vendor’s organization has its own System Development Methodology it must be described within the vendor’s proposal. Please see Attachment 2, section 4.3 II.3 for more information on how vendors are to describe their own SDM practices.
74. **Q. In the proposal evaluation process will vendors be given special consideration if they partner with an MBE/WBE/Small Business company? If yes, does the share of MBE/WBE/Small business have to be at least 25% to be given the special consideration OR can it be less?**
- A. As stated in Attachment 7 – Contractor Compliance Regulations and Notification to Bidder, *”During the evaluation process, special consideration will be given to those Bidders who provide documentation to evidence their utilization of a certified small minority or women’s business and/or demonstrate the Bidder’s commitment to, whenever possible, utilize a certified small minority or women’s business. Bidders should identify the certified small minority or women’s business, the goods or services the business will supply and the percentage of the overall contract amount that will be set-aside in the Technical Proposal, as well as identifying a specific dollar amount in the Business (Cost) Proposal. Note that no dollar amounts are to appear in the Technical and Business Proposal.”* Also see answer to question #68.

**STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108**

**RFP #09ITZ0052
Offender Management Information System**

November 2, 2009

AMENDMENT # 2
provides the following:

- Vendor Q & A document (all questions not addressed in this document will be answered in a subsequent document and issued via a subsequent amendment)
- Changes to the Procurement Schedule as follows (refer to question #10 of Vendor Q & A):

November 06, 2009	Last Day to Submit Vendor Questions Due to State – 5:00 PM EDT. Questions may be submitted anytime beginning RFP issue.
December 8, 2009	Proposal Submissions Due – 2:00 PM EDT

- List of RFP documents in Word format:
 - Mandatory Vendor Questionnaire – Attachment 1
 - Vendor Response Table of Contents – Attachment 2, Section 1.1
 - Comparable Application Products and Services – Attachment 2, Section 3.4.2
 - Vendor Customer References – Attachment 2, Section 3.6
 - Vendor Validation and Authentication Statement – Attachment 4
 - Vendor Checklist – Attachment 8
 - Sample Transmittal Letter – Attachment 11
- RFP document in Excel format:
 - Cost Worksheets – Attachment 3
- Revised Attachment 24 – BC10 (refer to question #35 of Vendor Q&A)
- Revised Attachment 26 – BC12 (refer to question #36 of Vendor Q&A)
- Revised Attachment 29 – BC15 (refer to question #50 of Vendor Q&A)

NOTE: All the above referenced documents can be found on the IT Contracts & Purchasing Homepage of the DOIT Web Site in the Notice to Vendors section:

<http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=>

- List of Teleconference attendees (refer to question #20 of Vendor Q &A)
- Revised Attachment 2 (refer to question #'s 5, 30 & 31 of Vendor Q & A)

NOTE: All corrections indicated above have been made accordingly in the attached revised RFP document

NOTE: A signature line has been included below. A copy of this page signed in ink is required with the Proposal to show that vendors have received this Amendment.

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT

(This page should be signed and returned WITH PROPOSAL. If vendor fails to submit signed Amendment, vendor will still be responsible for adhering to its content)

APPROVED: _____

JACQUELINE SHIRLEY
DIRECTOR
IT CONTRACTS AND PURCHASING DIVISION

Amendment #2
RFP #09ITZ0052 – Offender Management Information System Replacement
Vendor Questions and Answers

1. Q. **Can the State provide a list of vendors that responded to the RFI that was previously completed for this project?**
- A. The RFI was a separate effort and is not connected to this RFP. Any information that vendors would like to gather from that RFI must be requested via Freedom of Information (FOI). FOI requests can be sent in writing via e-mail and must request specific information. Those written requests can be sent to Jacqueline Shirley at DOIT, whose e-mail address can be found in the RFP document, or to the contact person at the Department of Correction that was named in the RFI document.
2. Q. **The State has provided a number of the RFP attachments in Word format for vendor use. Can the State provide the following list of RFP related documents in either Word or Excel format:**
- 1) **Mandatory Vendor Questionnaire – Attachment 1**
 - 2) **Vendor Response Table of Contents – Attachment 2, Section 1.1**
 - 3) **Comparable Application Products and Services – Attachment 2, Section 3.4.2**
 - 4) **Vendor Customer References – Attachment 2, Section 3.6**
 - 5) **Cost Worksheets – Attachment 3**
 - 6) **Vendor Validation and Authentication Statement – Attachment 4**
 - 7) **CHRO Forms – Attachment 7**
 - 8) **Vendor Checklist – Attachment 8**
 - 9) **Vendor Certifications – Attachment 9**
 - 10) **Sample Transmittal Letter – Attachment 11**
- A. From the list above the State can provide the following documents in Word format for:
- 1) Mandatory Vendor Questionnaire – Attachment 1
 - 2) Vendor Response Table of Contents – Attachment 2, Section 1.1
 - 3) Comparable Application Products and Services – Attachment 2, Section 3.4.2
 - 4) Vendor Customer References – Attachment 2, Section 3.6
 - 6) Vendor Validation and Authentication Statement – Attachment 4
 - 8) Vendor Checklist – Attachment 8
 - 10) Sample Transmittal Letter – Attachment 11

The State can provide the following documents in Excel format for:

- 5) Cost Worksheets – Attachment 3

The State cannot provide Word or any other format except pdf for the following:

- 7) CHRO Forms – Attachment 7
- 9) Vendor Certifications form– Attachment 9

The Word and Excel formatted documents have been posted to the IT Contracts and Purchasing homepage of DOIT's web site in the Notice to Vendors section and can be accessed from the following link: <http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=>

3. Q. **It is understood from the RFP document that the Department of Correction (DOC) has been using different IT products. Does DOC have a preference for a particular technology, say, Java, .NET, etc.?**
- A. The State is not locked into using any one technology or platform or middleware solution. There would be a preference to leverage licenses that the Department of Correction already owns. This will be considered in evaluating the total cost of ownership for the solution. All solutions must meet the State of Connecticut's Enterprise Wide Technology Standards (EWTA). Currently the State is using the IBM MQSeries messaging middleware. There would be a preference to leverage licenses that the Department of Correction already owns. This will also be important in evaluating total cost of ownership for the solution. All proposed solutions must meet the State's EWTA standards.
4. Q. **In reference to a licensing set-up is DOC looking for site-wide licenses or per user licenses?**
- A. DOC is looking for enterprise-wide licensing with no restrictions on the number of users or locations.
5. Q. **After reviewing the definitions of "E" (Existing) and "M" (Major Modification/Custom Development), vendors would value clarification on how to address requirements that are mostly satisfied out of the box, but require a small amount of customization (e.g. coding, not code table configuration) to satisfy the remainder of the requirement. The RFP's definition begins to differentiate between significant and minor levels of customization, yet both categories require a single response of "M" regardless. This will not provide the CTDOC with an accurate representation of the level of compliance of the proposed solution. Could a more granular approach be considered, with two responses applicable, one for significant customization, i.e. 320 person hours+, the other for minor levels of customization?**
- A. The State recognizes the need for small amount of coding to customize out of the box features to satisfy specific Department of Correction requirements. The State also recognizes that there is a distinction between minor and major modification to existing features/modules. Hence the State is expanding the definition of Existing (E), which is one of the four options that vendors must select as a response to each of the requirements within the Business Category (BC) documents.

The expanded definition of Existing (E) shall now be (1) The vendor's solution meets or exceeds the functional requirement 'out of the box' as an existing component of its base product without any effort over and above code table configuration OR (2) The vendor's solution meets or exceeds the functional requirement with minor coding modification to an existing component of its base product. Minor coding modification is defined as less than 320 person hour effort. **IMPORTANT:** Existing – "E" may only be used for existing components or features and may not be used for new or custom development even if the vendor believes that the requirement can be met with less than 320 person hours of effort. If a vendor selects Existing – "E" for requirements that entail minor modification, the vendor is asked to put "minor modification" in the comments section for that requirement (designated text box below the selection). The above definition has been updated in Attachment 2 of the RFP (Vendor Proposal Format and Content Requirements).

6. Q. **Will CTDOC be entertaining proposals from system integrators that might be pulling different solutions, best-of-breed solutions together into one integrated solution?**
- A. The State is open to proposals from system integrators. The RFP is designed to be inclusive of multiple solutions as long as the submitting party is providing the integrated solution even if the underlying components are from different companies.
7. Q. **Does CTDOC expect a proposal to cover all requested components?**
- A. CTDOC would expect that the submitted proposal would cover a large majority (if not all) of the requested components.
8. Q. **Can CTDOC release any budget information on the project?**
- A. The State does not release this information to vendors.
9. Q. **Does the CTDOC have support maintenance as part of the core bid, or is it a separate budget?**
- A. The budget set for this project includes all aspects of the RFP including licensing, customization, maintenance, training, and any other cost associated with the vendor. It is the expectation of the State that the maintenance cost for the first year upon implementation of each module will be included as part of the warranty.
10. Q. **Could the State consider an extension to the December 1, 2009 deadline for submitting?**
- A. Given the expansion of the definition of Existing (E), which is one of the four options that vendors must select as a response to each of the requirements within the Business Category (BC) documents, the **State is extending the last Day to Submit Vendor Questions and the Proposal submission date by one week each.** The new dates are as follows:

November 06, 2009	Last Day to Submit Vendor Questions Due to State – 5:00 PM EDT. Questions may be submitted anytime beginning RFP issue.
December 8, 2009	Proposal Submissions Due – 2:00 PM EDT

NOTE: The RFP document has been updated accordingly

11. Q. **Does off shore development or configuration require vendor’s staff to be U.S. citizens?**
The State does not restrict development and/or configuration work performed offshore by vendor’s staff that are non US citizens or residents. However, the State does not allow any of its confidential information to be sent off-shore.
12. Q. **Is there somewhere that the State can steer us to look for a list of qualified MBEs that could potentially be on a project with us?**
- A. The MBE/SBE and WBE program, otherwise known as Supplier Diversity Program in the State of Connecticut, is run and administered by the Department of Administrative Services. Vendors are asked to go to the Department of Administrative Services Web site, click on the Supplier Diversity link, to get the information about the program. Also, a searchable component

is available for all of MBEs, WBEs and SBEs that are registered with the State of Connecticut through the Department of Administrative Services.

13. **Q. Does a vendor registered as a minority business in another State qualify as a minority business within the State of Connecticut for purposes of this procurement?**
- A. A vendor must be registered within the State of Connecticut through the Department of Administrative Services with an MBE/SBE or WBE designation.
14. **Q. Would the State be willing to provide vendors an un-protected copy of the MS Word attachments included in this RFP?**
- A. Given the importance of maintaining the integrity of the documents including preventing any un-indented modifications to the contents the State is unable to provide un-protected versions of these documents.
15. **Q. What is the State's position on owning intellectual property- configuration versus customization? What would the State retain versus what a vendor may incorporate into a future product?**
- A. This would be negotiated with the awarded vendor as part of the contract negotiation process.
16. **Q. Has the State determined additional dates for the procurement schedule such as a date to begin negotiations, the project start date, etc...?**
- A. At this time the State has not determined dates beyond what is provided in the original published RFP.
17. **Q. In reference to BC20, Inmate Banking and Restitution Requirements, and BC21, Commissary Sales and Inventory Requirements, will the Inmate Banking and Trust module be linked directly to an actual bank account, or will it just be held within the system?**
- A. For BC20 Inmate Banking and Restitution Requirements and BC21 the Commissary Sales and Inventory Requirements the application will hold the banking account and inventory activities within the system.
18. **Q. Is the State expecting audio recording equipment to be provided by the vendor for purposes of recording parole hearings? Or is the expectation the State will attach audio files such as WMA/MP3 format within the application?**
- A. The State is not expecting the vendor to provide any recording equipment (hardware). At a minimum, the State is looking for the ability to attach digital audio/video files. The State would have a preference for a vendor solution that offers the ability to automatically record and attach files within the application with a click of a button.
19. **Q. In reference to BC-23 - Parole Hearings section 2.6.4, for town mappings, is the State looking for a general GPS system solution?**
- A. Parole and Community Services District Offices are responsible for supervising offenders within their designated towns and cities in Connecticut. The State is looking for a system to have the ability to assign approved parole cases to the appropriate parole and community district offices based on the offender's proposed residence.

20. **Q. Will the State produce a list of vendors that participated in the teleconference call? Can the State post the list before October 30th?**
- A. That list is being provided as part of this Amendment and has been made part of the RFP document.
21. **Q. Will the State provide additional detail/information on the process of evaluating vendor responses for proposals?**
- A. No, the State has provided general guidelines and evaluation criteria that will be used to review vendor responses to the RFP.
22. **Q. Has the State established any critical dates for project implementation/completion? Also, does the State have a predetermined order of implementation for each business category?**
- A. The State has no predetermined hard date for project completion. The State will establish an implementation schedule in corroboration with the contracted vendor. Several factors such as the movement or migration of data from the existing systems to the new system, the design of the contracted vendor's product, etc... will influence the implementation timeline.
23. **Q. Can the State provide a description of file structures, record layouts, and entity relationships for every record type in every legacy system to be migrated into the new system?**
- A. At this time, the State is able to provide a general overview of the record types within the legacy systems to be migrated. The State expects that the contracted vendor will work with the State to document details and execute data conversion, data cleansing and scrubbing, data consolidation, and data migration. The Department of Correction has a wide variety of data sources and several different file structures in disparate systems. A significant part of data resides in mainframe-type files. These are VSAM and flat text files. Other data types include Oracle relational data (150 GB), Lotus notes document files (80 GB), several MS Access databases, and 1.5 million inmate photos.
24. **Q. Will this project require data cleansing/scrubbing and transformation? Example: Is it possible that in one system hair color is known as brown and in another system as BRO and yet another system as BRN?**
- A. Yes, the State systems use multiple identifiers both textual and numerical that may be varying from system to system. This project will require the contracted vendor to perform intensive data cleansing/scrubbing, transformation, consolidation and migration. Data transformation will also require compliance with the naming standards. In collaboration with other criminal justice agencies with the State, Department of Correction is moving towards a federal standard for naming and sharing of information (such as NIEM). The State expects that the vendor system will be in compliance with these standards.
25. **Q. Who developed the current Offender Management System? If it was outsourced, who was the vendor and what was the contract duration and value?**
- A. The current, core Offender Management System is a mainframe system that was developed over 30 years ago by DOC programmers and consultants.

26. Q. **In Attachment 5 (INFORMATION PROCESSING SYSTEMS AGREEMENT) under the Term of Agreement section , it lists that the contract will be for three years with options to extend for one or more times for a combined total period not to exceed 5 years. However, the cost proposal asks for cost of four years. What are the base period of the contract and the option periods for the contract?**
- A. The base period of the agreement is three years which shall become effective upon its approval as to form by the Office of the Attorney General of the State of Connecticut. The State may extend this Agreement in its sole discretion, prior to termination one or more times for a combined total period not to exceed 5 years beyond the original 3 year term.
27. Q. **In a number of areas in the Business Category Requirements, the RFP States that Health Care Support Services are among the Interfaces with other Business Functions. Which attachment details the Health Care Support Services requirements?**
- A. The requirements for a Health Care Support System or Module are out of scope for purposes of this RFP and hence are not included. Interfacing of the future offender management system to the Health Care Support System is within scope of this RFP.
28. Q. **RFP Attachment 2, Section 1 “Overview” on page 1 of 24 explains that “the Offender Management system must be in compliance with the Connecticut Department of Correction (CTDOC) and the Department of Information Technology (DOIT) enterprise information systems architecture standards and principles.” Where can vendors find and review those standards and principles?**
- A. RFP Attachment #13 Enterprise-wide Technical Architecture Requirement contains the information and the link to the DOIT website for the Enterprise Information System Architecture Standards and Principles.
29. Q. **RFP Attachment 2 sections 3.4 – 3.6 on pages 9-11 of 24 explains the company qualifications, financial, and reference information that is required. Where more than one company is bidding as a team, should the company and product information be presented for each company, clearly identifying which company is prime and which companies are sub-contractors?**
- A. Yes
30. Q. **Regarding RFP Attachment 2, section 3.11, “I.D.1 REGULATORY AND QUALITY OVERVIEW” on page 15. The instructions to proposers for this section explain “Vendor may provide a brief overview regarding how their *existing products and services can satisfy the intended solution.*” This does not seem to relate specifically to regulatory and quality topics. Can the State please elaborate on what “Regulatory and Quality” topics that you expect the response to include?**
- A. The heading for section 3.11 in Attachment 2 was incorrect. The correct heading is “Existing Products and Services Overview. That correction has been made in the RFP document attached to this Amendment.

31. Q. **Regarding RFP Attachment 2, 4.3 “II.3 SOFTWARE DEVELOPMENT METHODOLOGY (SDM) PRACTICES” on page 17, the RFP explains that “only project and software management practices and principles that comply with established State of Connecticut SDM will be acceptable.” Where can vendors find an explanation of State of Connecticut project and software management practices and principles?**
- A. The heading for section 4.3 II.3 of Attachment 2 should read “System Development Methodology (SDM) Practice”. That section of the attachment has been corrected to provide the appropriate references to system development methodology. The revised RFP document is attached to this amendment. All the information that the State can provide about its System Development Methodology is located in Attachment 12 – System Development Methodology Requirements of the RFP.
32. Q. **At the Vendor Teleconference on Friday, October 1, 2009 the State explained that it believes that a COTS solution is the right approach for this RFP. However, in answering one of the vendor’s questions the State also explained that all solutions will be considered providing they meet most of the State’s requirements. Does the State consider the transfer of an Offender Management System that has been successfully implemented in another State as a viable solution for this RFP provided that it meets most of the State’s requirements as explained on the Vendor Teleconference? And will the State consider a proposal that involves the transfer of an Offender Management System that has been successfully implemented in another State alongside of other proposals that involve COTS products?**
- A. The State would consider transfer of an Offender Management System that has been successfully implemented in another State provided the cost of ownership, timeline and post production maintenance structure is competitive with Commercial off the Shelf (COTS) or Modified Off the Shelf (MOTS) products. The State would also consider a blended approach i.e. a fully integrated system that has components from another state’s system along with some custom developed components.
33. Q. **Please confirm that DOC requires a fully developed, installed in production Corrections Application COTS Package and not a built from scratch custom solution.**
- A. DOC would consider a custom developed solution provided the cost of ownership, timeline and post production maintenance structure is competitive with Commercial Off the Shelf (COTS) or Modified Off the the Shelf (MOTS) products. DOC would also consider a blended approach i.e. a fully integrated solution that has many COTS/MOTS components along with some custom developed components.
34. Q. **Does DOC have a preference for the implementation priority of the Core Processes, Support Processes, and Collaborative Processes that are shown in Attachment 14 of the RFP?**
- A. In general terms the priority would be the Core Processes first, followed by the Support Processes, then the Collaborative Processes last. However, DOC will work with the contracted vendor to determine the ideal order for implementation. The order may me driven by many factors including, data conversion needs, vendor’s system design, resource availability, etc.

35. Q. **Regarding Attachment BC.10 – Classification and Assessment Requirements, between 2.1.21 Community Resources Need Score and 2.1.22 Override Need Score, there is a Vendor Comments Need Score Calculations row, with Comments box. Is this meant to be here?**
- A. This is an error in the RFP document. It should read “Vendor Comments:” This has been corrected in the RFP document and the revised document is attached to this Amendment.
36. Q. **Regarding Attachment BC.12 – Population Management Requirements Between 2.5 Medical Trip Tracking and History and 3 Query and Report Requirements, there is a single line item, with no response table associated with it? Is this item meant to be in another section?**
2.6. Mass Facility Transfers
The ability to automatically create, add, delete or modify the entire facility population for mass movement during an emergency situation. This function would be limited to the OCPM staff.
- A. The item in question is at the correct location. However, there should be a comment section next to to the item. This has been corrected in the RFP document and the revised document is attached to this Amendment.
37. Q. **Regarding Attachment BC.20 – Inmate Banking and Restitution: 2.7 Manage Open Trust Account please clarify what is required as ‘obligate account’.**
- A. An obligate account is an account where money is owed to CTDOC by an offender. When an offender receives incoming funds, the amount in the offender’s obligate account is paid back to CTDOC before the offender can receive access to whatever is left of their incoming funds.
38. Q. **Regarding Attachment BC.20 – Inmate Banking and Restitution: 2.8.6 Assign Offender to Work. Please clarify what is meant by the corresponding classification.**
- A. The job classification assigned to an inmate within BC.15 “Offender Employment” will drive the appropriate job assignments that an inmate may be given. This job classification assigned from BC.15 will also be applied to payroll. The two must correspond.
39. Q. **Regarding Attachment BC.20 – Inmate Banking and Restitution: 3.1.1 Offender’s First and Last Name. Please clarify what is required by ‘the first three bytes’. Would this be something like Jon for Jones?**
- A. Yes, the State would like the capability to query against the database using only the first three characters of the last name.
40. Q. **Regarding Attachment BC.21 – Commissary Sales and Inventory: 2.2.5.2 Check for Controlled Item. Please clarify what the DOC defines as a ‘controlled item’.**
- A. A control item is generally an item that has restrictions on quantity and/or frequency of purchase. This control may be applied to all inmates or selective inmates. For example a TV is a controlled item which may only be purchased once by an inmate during an incarceration. Special approvals are needed for exceptions in special situations such as a broken TV.

41. **Q. Regarding Attachment BC.21 – Commissary Sales and Inventory: 2.14.1 Commissary Scanners, is DOC looking for barcode and/or bubble sheet scanners?**
- A. The Commissary Scanners referenced in BC.21 “Commissary Sales and Inventory” applies to bubble sheet Scanners.
42. **Q. What are the circumstances that generated the RFP?**
- A. Please see section 1.3 (BACKGROUND) in the main body of the RFP which outlines the circumstances that generated the RFP.
43. **Q. Are there any dedicated project resources on the CTDOC side and, if so, what type and what other responsibilities do they have?**
- A. The State has planned for what it believes will be the required level of project resources on the State’s side. However, the State can not provide these details at this time. The State will provide this information to the contracted vendor.
44. **Q. How many other projects are going to be going on at the same time as this one; hardware/software/device upgrades or implementation of new corrections programs and services, new facilities, etc?**
- A. DOC has several concurrent projects with the Offender Management Replacement Project being one of the highest priorities.
45. **Q. CTDOC is offering space to the vendor’s project team. In the Department’s view, how much time does it anticipate having the vendor PM on site?**
- A. CTDOC can not go into details at this time. A time will be determined after the contract is awarded.
46. **Q. It appears from the RFP that the State intends to reach an agreement with a vendor on the agreement terms after bid award. What is the State’s position on vendors submitting clarifications and exceptions or proposed language to the proposed terms and conditions? Can a vendor provide such information without the Department rejecting vendor’s proposal?**
- A. Please see section 3.4 - IMPLEMENT NECESSARY AGREEMENTS of the RFP document for instructions on how vendors can list acceptions to the State’s agreement terms and conditions.
47. **Q. Would the State be open to a custom developed solution if the solution can be developed and implemented within the budget allocated for this project?**
- A. The State would consider a custom developed solution provided the cost of ownership, timeline and post production maintenance structure is competitive with Commercial Off the Shelf (COTS) or Modified Off the the Shelf (MOTS) products. The State would also consider a blended approach i.e. a fully integrated solution that has many COTS/MOTS components along with some custom developed components.

48. Q. **Regarding Attachments: BC.01 – Intake and Booking Requirements: 2.2.7 Address Information CTDOC requests the ability to collect address information including a 3-digit current residence code. Is this part of the Zip Code? If not, how is the 3-digit current residence code determined? This is also required for requirement 2.2.8 Emergency / Next of Kin Contact.**
- A. The 3 digit code referred to here is from the State Tax Codes that identifies the towns and cities. Information on this may be found at <http://www.ct.gov/dmv/cwp/view.asp?a=814&Q=245252>
49. Q. **BC.04 – Housing Requirements: 2.3.3 Counts/Vacancies, the ability to provide users with collect counts at any time by department, facility, satellite or housing unit, including offenders housed in community release facilities. Does CTDOC mean ‘correct counts’ rather than ‘collect counts’?**
- A. The collect count refers to real time count numbers. At any time the count changes, the system would show and adjust the facility or community release numbers.
50. Q. **BC.15 – Offender Employment Requirements
In the Query and Report Requirements section, there are 9 requirements. However, the numbering jumps from 3.6 Offender work evaluations to 3.9 Offender Notification. Is this just an error in numbering or are there items missing?**
- A. This is a numbering error. This has been corrected in the RFP document and the revised document is attached to this Amendment.
51. Q. **BC.15 – Offender Employment Requirements: 2.8.1 Calculate Eligible Offenders that meet criteria. Please define the criteria: security status, time until end of sentence, etc.?**
- A. Criteria is defined as: Overall risk level 1 or 2, No sex offender treatment score greater than a 1, No level four convictions, past or current offense, Mental Health and Medical need scores less than three unless cleared by Health Services, Within 36 months of end of sentence or voted to parole date, No return from escape within 1 year, No Class A disciplinary reports within 120 days and no Class B disciplinary reports within 60 days, No detainer score greater than a 1, No special management information that would impact public safety, No discretionary release denials or return within the past 30 days, and no history of classification as an overall risk level 5.
52. Q. **BC.15 – Offender Employment Requirements: 2.8.5 Track Location of Offenders on Work Release. Please clarify what you mean by tracking: GPS, RFID or the vendors assumed location based on schedule?**
- A. Tracking as indicated by location in the schedule.
53. Q. **BC.17 – Property Management Requirements: 2.6.1 Approved Purchased Items
Which items, purchased from the Commissary, would automatically be recorded and updated to the offender’s property list?**
- A. Section BC.03 is entitled - Property Management Requirements and as Stated this should be configurable by each item sold by Commissary and be modified on current CTDOC policies.

54. **Q. BC.21 – Commissary Sales and Inventory Requirements: 2.4 Offender's Order Capabilities**
Please clarify what is meant by remote order processing for optical scan?
- A. Currently there are three Commissary Warehouses in the State of Connecticut supporting all DOC facilities. The remote ordering feature referenced in the RFP would allow processing commissary orders via bubble sheet scanners, kiosks or computer terminals, at remote locations (other than the commissary warehouses). A user with networked equipment (computer, kiosks or bubble sheet scanner/reader) at any location can login to enter/update/view status of commissary orders.
55. **Q. BC.21 – Commissary Sales and Inventory Requirements: 3.10 Sales Report**
Please clarify what is meant by gross number sold, net number sold.
- A. “Gross number sold” is the count of a commissary item sold in a given time period before accounting for returns (if any). “Net number sold” is the count of a commissary item sold in a given time period after accounting for returns (if any). It is possible that the “gross number sold” is equal to the “net number sold” in a time period.
56. **Q. BC.21 – Commissary Sales and Inventory Requirements: 3.19 Pick-up List Report**
How does CTDOC determine who is allowed to pick up commissary?
- A. In some DOC facilities, inmates are allowed to walk up to the commissary window and pick up their completed commissary orders. The Pick-up List Report will identify inmates with orders ready for pick up. The system should allow for the report to be run by housing unit, wing, or facility so the appropriate DOC staff can see information specific to inmates assigned so they may release the appropriate inmates for commissary pickup.

**RFP #09ITZ0052 – Offender Management Information System Replacement
 VENDOR TELECONFERENCE ATTENDEE LIST
 Tuesday, October 1, 2009 @1:00 PM**

NAME/TITLE	COMPANY NAME & ADDRESS	E-MAIL ADDRESS	TELEPHONE NUMBER
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Kent Hofstad Regional Sales Director South Central US	DCS, Inc.	kent@dsc911.com	(830) 625-4077
Vikesh Kohli Relationship Manager	Tata Consultancy Services (TCS) 50 Utley Drive Camp Hill, PA 17011	vikesh.kohli@tcs.com	(717) 737-1451
Mary T. Rooney-Lucas President & CEO	DCS, Inc.	mary@dcs911.com	
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Bryan Moses	Digital Solutions, Inc. 5000 Sixth Avenue Altoona, PA 16602	bmoses@dsiiti.com	(888) 222-3081 (814) 937-1173
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Scott Sorensen	Column Technologies, Inc. 130 William Street, 8 th Floor New York, NY 10038		(201) 213-0376
Peter Stoecklin Vice President	Marquis Software Development, Inc. 1611 Jaydell Circle, Suite G Tallahassee, Florida 32308	stoepec@attglobal.net	(850) 877-8864 x118

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

RFP #09ITZ0052
Offender Management Information System

September 24, 2009

AMENDMENT # 1
provides the following:

- Adds the information below to pages 4 and 7 of the RFP document:

Attachments 15 through 43 are available in Microsoft Word format at the IT Contracts & Purchasing Homepage of the DOIT Web Site in the Notice to Vendors section:

<http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=|>

NOTE: A signature line has been included below. A copy of this page signed in ink is required with the Proposal to show that vendors have received this Amendment.

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT

(This page should be signed and returned WITH PROPOSAL. If vendor fails to submit signed Amendment, vendor will still be responsible for adhering to its content)

APPROVED: _____

JACQUELINE SHIRLEY
DIRECTOR
IT CONTRACTS AND PURCHASING DIVISION



STATE OF CONNECTICUT

DEPARTMENT OF INFORMATION TECHNOLOGY

www.ct.gov/doi

REQUEST FOR PROPOSALS

for

RFP # 09ITZ0052

STATE OF CONNECTICUT

DEPARTMENT OF CORRECTION

Offender Management Information System Replacement

Date Issued: September 21, 2009

Date Due: December 8, 2009 @ 2:00 p.m. Eastern Time

Send all sealed responses to:

**State of Connecticut
Department of Information Technology
Contracts & Purchasing Division
Attn: Jacqueline Shirley
101 East River Drive
East Hartford, CT 06108**

REQUEST FOR PROPOSAL

APPROVED _____

Jacqueline Shirley
Director, IT Contracts & Purchasing Division
(Original Signature on Document in CPD Files)

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NOTE:

Attachments 15 through 43 are available in Microsoft Word format at the IT Contracts & Purchasing Homepage of the DOIT Web Site in the Notice to Vendors section:

<http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=>

1 FOREWORD

1.1 PREFACE

The Department of Information Technology (DOIT) is responsible for “The purchase and provision of supplies, materials, equipment and contractual services, as defined in section 4a-50” (CGS Sec 4a-2). Within DOIT, the Contracts and Purchasing Division (CPD) is responsible for processing and authorizing all procurement activities for Information Technology and micro-graphic hardware, equipment, software and contractual services.

The DOIT Vision is “That the State of Connecticut’s information technology is integrated, eliminating duplication and redundancy, while allowing for the sharing of information and the consolidation of reports throughout all the State agencies.” This vision is the umbrella under which all State purchases will be governed.

1.2 OBJECTIVE

The State of Connecticut’s Department of Information Technology (DOIT), IT Contracts & Purchasing Division (CPD), is issuing this Request for Proposals (RFP) on behalf of CT Department of Correction (CTDOC) for the Offender Management Information System Project to meet the following objectives;

- Replace the existing disparate CTDOC Offender Management Information Systems with a modern, market leading, fully integrated system to support all CTDOC institutions (Jails and Prisons), Board of Parole and Pardons and the division of Community Supervision.
- Provide new capabilities and automate many manual processes to incorporate the following features:
 - Inter-agency information sharing (Public Safety, Judicial, Federal etc.)
 - Single data entry environment (Data is entered once vs. multiple times)
 - Automated workflow and task management with alerts / messaging
 - Robust reporting, querying and dashboards with drill down features
 - Imaging and Document Management with easy storing and search
 - All-inclusive, intelligent, easy user experience customized by role & individual
 - Future ability to incorporate newer safety features such as RF ID Tags

1.3 BACKGROUND

1.3.1 OVERVIEW

CTDOC is one of only six state correctional agencies in the country with a combined system of pre-trial jails for accused offenders and prisons for sentenced inmates.

CTDOC is the largest department in the State of Connecticut with operations throughout the state and an annual operating budget of nearly \$650 million. The department employs over 7,000 employees in its supervision of approximately 19,000 incarcerated offenders and 5,000 community-supervised offenders (not including probation). The department’s responsibilities extend beyond the incarceration of offenders; it encompasses their physical and mental health needs as well as housing, employment and educational programs to enhance the offenders’ re-integration into society.

CTDOC Offender Management Information System

The offender/case management consists of the Business Categories (BC) identified in the CTDOC Offender Process Map (Level 0).

The CTDOC operations are located throughout the state of Connecticut at various locations.

- 18 state jails and prison facilities ranging from minimum to super maximum security and encompassing a variety of program functions. This includes 16 adult male facilities, 1 adult and youth female facility and 1 youthful male offender facility. At the CTDOC, the jails are referred to as correctional centers (CC) and the prisons are referred to as sentenced correctional institutions (CI).
- 5 Parole Offices located throughout Connecticut (by region).
- One Central Office located in Wethersfield, Connecticut.
- One Training Academy located in Cheshire, Connecticut.
- Board of Pardons and Paroles (BoPP) located in Waterbury, Connecticut.

Additional information about CTDOC can be found at our web site, including organizational descriptions and charts at the following site: <http://www.ct.gov/doc/site/default.asp>.

1.3.2 PROJECT HISTORY

The CTDOC has a long history in using computers and information systems to support its business operations and responsibilities. The mission critical core system that currently exists was developed over 30 years ago on an older mainframe based technology. Other peripheral systems are utilized – homegrown and COTS that support several functions.

CTDOC wants a state of the art SOA(Service Oriented Architecture) based system capable of handling robust, re-configurable enterprise-wide workflow(s) with integrated alerts and a high performance system operating in near real time (instead of batch processing). A system should have data structures that simplify storage/access/reporting capabilities for a 360 degree view of the inmate. The system should be packaged in a highly intuitive, rich user-friendly interface.

CTDOC received detailed product and cost information from several Commercial-Off-The-Shelf (COTS) solution providers as part of the Request for Information (RFI) phase of the project which was conducted in late 2008.

1.4 EVALUATION

An evaluation team will review all vendor responses to this RFP. The evaluation team shall review the entire Business and Technical Proposal first, without reference to the Cost Proposal. The Business and Technical Proposal will be scored in accordance with a weighting scheme established and approved prior to the opening of any proposal. The Cost Proposal will only be scored for vendors whose Business and Technical Proposal achieve a predetermined minimum score.

After the scoring process CTDOC may conduct Vendor Demonstration Days and/or Proof of Concept.

1.5 IMPLEMENTATION

As a result of the evaluation process, if the proposal of a given vendor is the most advantageous, the State shall select that vendor to negotiate a contract with the State for the implementation of the vendor's proposal.

2 ADMINISTRATIVE REQUIREMENTS

2.1 VENDOR INSTRUCTIONS

2.1.1 CONFORMITY TO INSTRUCTIONS

Vendors must conform with all RFP instructions and conditions when responding to this RFP. The State, at its discretion, may reject any nonconforming proposal.

2.1.2 PROPOSAL RESPONSES TO THIS RFP

Vendors desiring to participate in this RFP process must submit proposals with the format and content as detailed in *Attachment 2 – Vendor Proposal Format and Content Requirements*. Vendors must respond to all requirements set forth in this RFP.

The requirements for this RFP, are found in the following attachments:

Attachment 06	DOC Offender management Information System Requirements Specifications
Attachment 15	BC.01 Intakes / Booking
Attachment 16	BC.02 Offender Party Information and Identification
Attachment 17	BC.03 Property Management
Attachment 18	BC.04 Housing
Attachment 19	BC.05 Inmate Calendaring & Event Scheduling
Attachment 20	BC.06 Inmate Records
Attachment 21	BC.07 Warrants and Detainers
Attachment 22	BC.08 Sentencing and Time Calculation
Attachment 23	BC.09 Nutritional Services
Attachment 24	BC.10 Classification and Assessment
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Attachment 31	BC.17 Visitation
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Attachment 35	BC.21 Commissary Sales and Inventory
Attachment 36	BC.22 Pre-Release Processing
Attachment 37	BC.23 Parole
Attachment 38	BC.24 Community Supervision
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<http://www.ct.gov/doit/cwp/view.asp?a=1306&Q=254998&doitNav=>

2.1.3 IDENTIFYING RFP COMMUNICATIONS

All proposals and other communications with the State regarding this RFP must be submitted in writing in sealed envelopes or cartons clearly identifying:

- ◆ The appropriate RFP reference, such as “RFP # 09ITZ0052”,
- ◆ The applicable proposal due date and time
- ◆ The name and address of the originating vendor , and
- ◆ An indication of the envelope contents (e.g., "BUSINESS & TECHNICAL PROPOSAL," "NEGATIVE RESPONSE," "QUESTIONS," "COST PROPOSAL”, and so forth).

Any material received that does not so indicate its RFP related contents will be opened as general mail, which may not ensure timely receipt and acceptance.

2.1.4 VENDOR QUESTIONS AND STATE REPLIES

The DOIT Contracts and Purchasing Division will reply to any written vendor questions which it receives in accordance with *Section 3.1* and no later than the Vendor Questions Due date specified in *Section 3.1.1*.

All vendor questions must be submitted via e-mail and clearly identify tht RFP # in the subject line of email. In the body of the email, identfy who you are and the company you represent, reference attachment section and page number followed by the vendor question.

Copies of this RFP will be made available only on the Internet, from the DOIT web page (www.ct.gov/doit). Access the RFP by selecting the IT Contracts & Purchasing tab and then click on Bid/Proposal Notices. The State may, in its sole discretion, orally communicate responses to vendors if it is likely that written responses will not reach them prior to the proposal due date. However, oral communications notwithstanding, the State shall be bound only by the written document which follows.

2.1.5 ACCEPTANCE OF ADMINISTRATIVE REQUIREMENTS

Vendor proposals must include unequivocal statements accepting the administrative requirements of this RFP, and must reflect compliance with such requirements. Any failure to do so may result in the State's rejection of the proposal. These statements must be included in the Transmittal Letter.

2.1.6 DEVIATING FROM RFP SPECIFICATIONS

The State will reject any proposal that deviates significantly from the specifications of this RFP. Vendors submitting proposals with any minor deviations must identify and fully justify such deviations for State consideration.

2.1.7 EXCLUSION OF TAXES FROM PRICES

The State of Connecticut is exempt from the payment of excise and sales taxes imposed by the Federal Government and/or the State. Vendors remain liable, however, for any other applicable taxes.

2.1.8 VENDOR CONTACT(S)

The proposal must provide the name, title, address, telephone number and email address of the contact person(s) respectively responsible for clarifying proposal content and for approving any agreement with the State. This information must be included in the Transmittal Letter.

2.1.9 VALIDATION OF PROPOSAL OFFERINGS

The proposal shall be a binding commitment which the State may include, at its sole discretion, by reference or otherwise, into any agreement with the vendor. Therefore, each proposal copy must be validated by signature of a person having such authority to commit the vendor. The signer's authority in this regard must be authenticated by a signed statement to that effect by an appropriate higher-level company official. A Vendor Proposal Validation and Authentication Statement, attached to this RFP as *Attachment 4*, must be used for this purpose.

2.1.10 PROPOSAL COMPLETENESS

To be acceptable, proposals must contain all required information and statements in the form requested by this RFP. Vendor proposals must submit "none" or "not applicable" responses to any RFP question and information request, when such a response is the only appropriate response, *Attachment 2-Vendor Proposal Format and Content Requirements*, for additional detail on responding to requirements.

2.1.11 RESTRICTIONS ON CONTACTS WITH STATE PERSONNEL

From the date of release of this RFP until the right to negotiate a contract is awarded as a result of this RFP, all contacts with personnel employed by or under contract to the State of Connecticut are restricted. During the same period, no prospective vendor shall approach personnel employed by or under contract to the State, any other State agency participating in the evaluation of proposals, or any other related matters. An exception to this restriction will be made for vendors who, in the normal course of work under a current and valid contract with other State agencies, may need to discuss legitimate business matters concerning their work with the contracting agency.

Violation of these conditions may be considered sufficient cause by the State of Connecticut to reject a vendor's proposal, irrespective of any other consideration.

2.2 OTHER CONDITIONS

2.2.1 OTHER RIGHTS RESERVED

The State of Connecticut, at its sole discretion in determining that its best interests would be served, reserves the right to:

- 1) Amend or cancel this RFP at any time prior to contract award,
- 2) Modify deadlines through amendments to this RFP,
- 3) Refuse to accept, or return accepted proposals that do not comply with procurement requirements,
- 4) Reject the proposal of any vendor in default of any prior contract or for misrepresentation of material presented,
- 5) Reject any proposer's response that is received after the deadline,
- 6) Reject any proposal which is incomplete or in which there are significant inconsistencies or inaccuracies,
- 7) Accept or reject any or all proposals submitted for consideration in whole or in part; and to waive technical defects, irregularities, or omissions,
- 8) Allow no additions or changes to the original proposal after the due date specified herein, except as specifically requested and authorized by the State of Connecticut,
- 9) Require organizations, at their own expense, to submit written clarification of proposals in a manner or format that the State of Connecticut may require,

- 10) Require organizations, at their own expense, to make oral presentations at a time selected and in a place provided by the State of Connecticut. Invite vendors, but not necessarily all, to make an oral presentation to assist the State of Connecticut in their determination of award. The State of Connecticut further reserves the right to limit the number of vendors invited to make such a presentation. The oral presentation shall only be permitted for purpose of proposal clarification and not to allow changes to be made to the proposal,
- 11) Negotiate separately any service in any manner necessary,
- 12) Contract with one or more vendors who submit proposals,
- 13) Consider cost and all factors in determining the most advantageous proposal for the State of Connecticut, and
- 14) Contract for all or any portion of the scope of work or tasks within this RFP.

2.2.2 REMEDIES AND LIQUIDATED DAMAGES

Remedies associated with nonperformance, substandard performance, or unacceptable performance will include liquidated damages and non-financial remedies. Examples of remedies include, but are not limited to:

- 1) Corrective action plans to be developed and implemented by the vendor, subject to State of Connecticut approval.
- 2) Accelerated monitoring of vendor performance by the State of Connecticut or its designee, including access to vendor facilities, records, and personnel.
- 3) Additional or ad hoc reporting by the vendor, at no cost to the State of Connecticut, to address performance issues.
- 4) Pass-through of a proportional share of federal disallowances and sanctions/penalties imposed on the State and resulting from the vendor's performance or non-performance under the system services agreement.
- 5) Liquidated damages.

2.2.3 SYSTEM NON-ACCEPTANCE

Failure of the System to be accepted by the State of Connecticut as proposed by the vendor may result in the forfeiture of the Holdback by the vendor to the State, as specified below, or other remedies or measures permitted by contract or by law.

2.2.4 CONTROL OF RFP EVENTS AND TIMING

The timing and sequence of procurement events associated with from this RFP will be determined solely by the State.

2.2.5 PROPOSAL EXPENSES

The State of Connecticut assumes no liability for payment of any costs or expenses incurred by any vendor in responding to this RFP.

2.2.6 OWNERSHIP OF PROPOSALS

All proposals submitted in response to this RFP and upon receipt by the State shall become the sole property of the State.

2.2.7 ORAL AGREEMENT OR ARRANGEMENTS

Any alleged oral agreements or arrangements made by vendors with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

2.2.8 HOLDBACK REQUIREMENTS

Payments for deliverables accepted by DOIT shall be subject to a twenty-percent (20%) holdback. The State of Connecticut shall hold the twenty-percent until the State of Connecticut has accepted the deliverable and thereafter, releasing one-half the holdback. Once the warranty period has expired, in accordance with the provisions of *Attachment 5 – Information Processing Systems Agreement*, the State of Connecticut will release the remaining holdback.

The successful vendor will be required to complete milestones by due dates presented in the Vendor's response to the RFP requirements. If the Vendor fails to complete a milestone by the agreed upon due date, the State of Connecticut shall have the discretion to withhold any payment due until the Vendor has completed a subsequent milestone in accordance with its proposed due dates or the State of Connecticut has accepted the deliverable whichever occurs first.

2.2.9 VENDOR PRESENTATION OF SUPPORTING EVIDENCE/SURETY

Vendors must be prepared to provide any evidence of experience, performance ability, and/or financial surety that the State deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

2.2.10 VENDOR DEMONSTRATION OF PROPOSED PRODUCTS

Vendors must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided at a site approved by the State and without cost to the State.

2.2.11 VENDOR MISREPRESENTATION OR DEFAULT

The State will reject the proposal of any vendor and void any award resulting from this RFP to a vendor who materially misrepresents any product and/or service or defaults on any State contract.

2.2.12 STATE FISCAL AND PRODUCT PERFORMANCE REQUIREMENTS

Any product acquisition resulting from this RFP must be contingent upon contractual provisions for cancellation of such acquisition, without penalty, if the applicable funds are not available for required payment of product and/or service costs or if the product and/or service fails to meet minimum State criteria for acceptance.

2.2.13 CONFORMANCE OF AWARDS WITH STATE STATUTES

Any award resulting from this RFP must be in full conformance with State of Connecticut statutory, regulatory and procedural requirements.

2.2.14 ERRONEOUS AWARDS

The State reserves the right to correct inaccurate awards, including canceling an award and contract, resulting from its clerical errors.

2.2.15 CORPORATE REPORTING

Upon request by the State of Connecticut and/or DOIT, the vendor must provide:

- 1) A Certificate of Authority, Certificate of Legal Existence or Certificate of Good Standing, as applicable, from the Connecticut Secretary of the State's Office, prior to the execution of the contract;
- 2) A tax clearance statement from the Department of Revenue Services within sixty (60) days of the execution of the contract; and,
- 3) A statement from the Department of Labor regarding employee contributions within sixty (60) days of the execution of the contract.

2.2.16 PRIME VENDOR

The State of Connecticut will only enter into a contract with a prime vendor who will be required to assume full responsibility for the delivery/installation of the products, and/or services indentified in this RFP, whether or not the equipment, products, and/or services are manufactured produced, or provided by the prime vendor.

2.2.17 USE OF SUBCONTRACTORS

Responding vendors must indicate on the Vendor Checklist - Attachment 8, the names of any intended subcontractors. In accordance with Conn. Gen. Stat. § 4d-32, the Contractor shall not award or execute a subcontract for work under the contract without having first obtained written approval of the Chief Information Officer (CIO) of the Department of Information Technology (DOIT) or its designee of the selection of the subcontractor, and of the provisions of the subcontract. The Contractor shall deliver a copy of each executed subcontract or amendment to the subcontract to the CIO who shall maintain the subcontract or amendment as a public record, as defined in Conn. Gen. Stat. § 1-200. The subcontract must contain the following provisions in order for the CIO to approve it:

1) 4d-31 - Subcontracts to include State Comptroller's Specifications

The Subcontractor shall Perform in accordance with all specifications established by the State Comptroller to ensure that all policies, procedures, processes and control systems, including hardware, software and protocols, which are established or provided by the Contractor or Contractor Parties, shall be compatible with and support the State's core financial systems, including but not limited to, accounting, payroll, time and attendance, and retirement systems.

2) 4d-40 - General Assembly access to State Agency Records Under Subcontracts

In accordance with Conn. Gen. Stat. § 4d-40, the subcontractor shall ensure that the Joint Committee on Legislative Management and each nonpartisan office of the General Assembly shall continue to have access to DOIT records that is not less than the access that said committee and such offices have on July 1, 1997.

3) 4d-44 - Continuity of Systems

The subcontractor acknowledges that the Systems and associated services are important to the function of State government, and that they must continue without interruption. Pursuant to Conn. Gen. Stat. §4d-44, if the work under the Agreement, any subcontract, or amendment to either, is transferred back to the State or to another subcontract at any time for any reason, then for a period of six (6) months, or for a mutually agreeable time from the date transfer was initiated, the subcontractor shall cooperate and comply fully with Conn. Gen. Stat. § 4d-44 as if the subcontractor were in fact the Contractor, and do and perform all acts and things that the State deems to be necessary or appropriate, at subcontractor's then-current labor rates for such services, to ensure continuity of state agency information system and telecommunication system facilities, equipment and services so that there is no disruption or interruption in Performance as required or permitted in the Agreement.

The subcontractor shall make a full and complete disclosure of and delivery to the State or its representatives of all Records and "Public Records," as that term is defined in Conn. Gen. Stat. §4d-33, as it may be amended, in whatever form they exist or are stored and maintained and wherever located, directly or indirectly concerning the Agreement.

The subcontractor shall follow the following applicable and respective procedures in order to ensure the orderly transfer to the State of: (1) such facilities and equipment: Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the subcontractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all Systems related to or arising out of the Agreement, subcontract or amendment, no later than 10 days from the date subcontractor shall deliver the Systems to the State, during the State's business hours, in good working order and in appropriately protective packaging to ensure delivery without damage. Concurrent with this delivery, the subcontractor shall also deliver all Systems-related operation manuals and other documentation in whatever form they exist and a list of all Systems passwords and security codes; (2) all software created or modified pursuant to the Agreement, subcontract or amendment: all software, including all applicable licenses, purchased, created or modified pursuant to the Agreement, subcontract or amendment--Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the subcontractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all software, including all applicable licenses, purchased, created or modified pursuant to the Agreement, subcontract or amendment no later than 10 days from the date that the work under the Agreement is transferred back to the State or to another Contractor for any reason. The subcontractor shall deliver to the State, during the State's business hours, the software, including its source code, if applicable, in good working order, readily capable of being maintained and modified, and housed in appropriately protective packaging or hardware to ensure delivery without damage. Concurrent with this delivery, the subcontractor shall also deliver all related operation manuals and other documentation in whatever form they exist and a list of all applicable passwords and security codes. The subcontractor shall deliver record layouts, including field attributes, field descriptions, key field identification and any available documentation to support the Department with moving their data into a replacement application; and (3) all Public Records, as defined in Conn. Gen. Stat. §4d-33, which the subcontractor possess or create pursuant to the Agreement, subcontract or amendment-- Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the subcontractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all Records and Public Records created or modified pursuant to the Agreement, subcontract or amendment no later than the latter of (1) the time specified in the section in the Agreement concerning Termination for the return of Records and (2) 10 days from the date that the work under the Agreement is transferred back to the State or to another Contractor for any reason. The subcontractor shall deliver to the State those Records and Public Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT. The subcontractor shall deliver to the State, during the State's business hours, those Records and Public Records and a list of all applicable passwords and security codes, all in appropriately protective packaging to ensure delivery without damage. Upon Termination of the Agreement for any reason, the subcontractor and Contractor shall provide the State a copy of any and all data provided, created, or in any way handled by the subcontractor and Contractor under the terms of the Agreement. In addition, upon Termination of the Agreement for any reason, any and all data provided to the Contractor and subcontractor that originated in any way from the State shall be expunged from any and all media not owned by the State. The expungement shall include all types of media, including but not limited to, hard drives, removable media including backup media, and volatile and non-volatile memory of all types. Expungement is intended to mean removal in such a way as to make restoration or retrieval impossible. If the subcontractor employs former State employees, the subcontractor shall facilitate the exercising of any reemployment rights that such State employees may have with the State, including, but not limited to, affording them all reasonable opportunities during the workday to interview for State jobs.

4) 4a-60(h) - Non-discrimination

The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes: (1) The subcontractor agrees and warrants that in the performance of the subcontract, such subcontractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited

to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The subcontractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such subcontractor that such disability prevents performance of the work involved; (2) the subcontractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the subcontractor agrees to provide each labor union or representative of workers with which such subcontractor has a collective bargaining agreement or other contract or understanding and each vendor with which such subcontractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the subcontractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the subcontractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the subcontractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the subcontractor as relate to the provisions of this section and section 46a-56. If the contract is a public works contract, the subcontractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project. "Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements. Determination of the subcontractor's good faith efforts shall include but shall not be limited to the following factors: The subcontractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects. The subcontractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes: (1) The subcontractor agrees and warrants that in the performance of the subcontract such subcontractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the subcontractor agrees to provide each labor union or representative of workers with which such subcontractor has a collective bargaining agreement or other contract or understanding and each vendor with which such subcontractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the subcontractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the subcontractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) the subcontractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the subcontractor which relate to the provisions of this section and section 46a-56.

For the purposes of this entire Non-Discrimination section, "contract" includes any extension or modification of the contract, "contractor" includes any successors or assigns of the contractor, "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced, and "mental disability" means one or more

mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders. For the purposes of this section, "contract" does not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

2.2.18 FREEDOM OF INFORMATION ACT

Due regard will be given for the protection of proprietary information contained in all proposals received; however, vendors should be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act (FOIA) and all rules, regulations and interpretations resulting there from. **It will not be sufficient for vendors to merely state generally that the proposal is proprietary in nature and not therefore subject to release to third parties. Any proposal that makes such a general or overarching claim may be subject to disqualification. Those particular sentences, paragraphs, pages or sections which a vendor believes to be exempt from disclosure under the Act must be specifically identified as such.**

Convincing explanation and rationale sufficient to justify each exemption consistent with the Act's Section 1-210 of the Connecticut General Statutes, must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the vendor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above cited statute. Please refer also to *Section 2.2.22 - Ownership of the System*.

Between the vendor and the State, the final administrative authority to release or exempt any or all material so identified rests with the State.

ALL SUCH MATERIAL MUST BE SUBMITTED IN A SEPARATE SEALED ENVELOPE AND MARKED "CONFIDENTIAL". THIS INCLUDES ANY INFORMATION REQUESTED IN AN ELECTRONIC FORMAT.

2.2.19 SECURITY CLEARANCE

A vendor receiving an award from this RFP must understand that all employees, including subcontracted personnel, shall be subject to all applicable Federal, State of Connecticut, Connect Justice Information Systems (CJIS), and Department of Information Technology (DOIT) security procedures.

2.2.20 AUTHORIZED TO WORK ON PROJECT

A vendor receiving an award from this RFP must certify that all personnel are legally authorized to work on the project, pursuant to State and Federal guidelines, policy, mandates, and statutes, and further attest, under penalty of perjury, that all proposed project staff, whether named in the proposal or not, are one of the following:

- ◆ A citizen or national of the United States
- ◆ A Lawful Permanent Resident
- ◆ An Alien authorized to work until all project responsibilities have been fulfilled

Vendor must agree that each individual proposed at any time to perform activities on the project will be subject to an individual certification of authorization to work on the project. Any individual on the proposed project team that is eligible to work in the United States under an H1B Visa must have sufficient time remaining on their Visa to ensure that such an individual is able to complete the requirements of this RFP before their Visa expires.

For submitted personnel to be eligible to actively participate in the project, they must be able to successfully pass a U.S. or Canadian background check, and must complete a State of Connecticut background check.

2.2.21 KEY PERSONNEL

The vendor must certify that all personnel named in their proposal shall actually work on the contract in the manner described in their proposal. No changes, substitution, additions or deletions shall be made unless approved in advance by the State, which approval shall not be unreasonably withheld. In addition, these individuals shall continue for the duration of the Contract, except in the event of resignation or death. In such event, the substitute personnel shall be approved by the State of Connecticut.

During the course of the Contract, the State of Connecticut reserves the right to approve or disapprove the vendor's or any subcontractor's staff assigned to the Contract, to approve or disapprove any proposed changes in staff, or to require the removal or reassignment of any Contractor employee or subcontractor employee found unacceptable by the State. Replacement of personnel who leave the Project shall be made within thirty (30) days. Replacement of any personnel shall be with personnel of equal ability and qualifications and subject to approval by the State.

Any key personnel assigned by the vendor tasked with management of the project must employ the use of MS Project for the purposes of reporting project status to the State of Connecticut.

2.2.22 OWNERSHIP OF THE SYSTEM AND WORKFLOWS

The vendor, upon acceptance by the State of Connecticut of any computer code developed or customized as a result of this RFP, shall relinquish all interest, title, ownership, and proprietary rights (collectively, "Title") in and to the computer code and transfer said Title to the State and its designated agencies.

The vendor agrees not to copyright or disclose proprietary State of Connecticut processes and workflows. Generic processes and workflows discovered during the execution of this RFP project work may be incorporated into vendor's products and services provided that written approval is obtained from DOIT and DPS.

2.2.23 ENCRYPTION OF CONFIDENTIAL DATA

All contracted vendors shall encrypt any and all State stored data that is now, or hereafter, classified as confidential or restricted by the State. This encryption shall, without additional cost to the State, apply to all such data stored on non State owned and/or managed devices. The method used to encrypt data shall be compliant with then current State of Connecticut Architecture and Standards.

2.2.24 RIGHTS TO AUDIT

Responding vendors agree to provide the State of Connecticut and/or their representatives' access to vendor documents, papers, or other records pertinent to the RFP response in order to make audits, examinations, excerpts and transcripts.

2.2.25 WARRANTY

The vendor shall represent and warrant in the proposal that the System shall function according to the RFP requirements and vendor's written specifications and that it shall be free from defects in materials and workmanship for a minimum period of one year after the State of Connecticut's acceptance of the System.

Vendor shall represent and warrant that the vendor shall modify, adjust, repair and/or replace said System as the State of Connecticut deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

2.2.26 INDEPENDENT PRICE DETERMINATION

The vendor must warrant, represent, and certify in the Transmittal Letter that the following requirements have been met in connection with this RFP:

- ◆ The costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.
- ◆ Unless otherwise required by law, the costs quoted have not been knowingly disclosed by the vendor on a prior basis directly or indirectly to any other organization or to any competitor.
- ◆ No attempt has been made or will be made by the vendor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- ◆ The vendor did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the State of Connecticut participated directly or indirectly in the vendor's proposal preparation.

2.2.27 OFFER OF GRATUITIES

The vendor must warrant, represent, and certify in the Transmittal Letter that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. Any contract and/or award arising from this RFP may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the vendor, the vendors agent(s), representative(s) or employee(s).

2.2.28 READINESS OF OFFERED PRODUCTS

The vendor must warrant, represent and certify in the Transmittal Letter that all System products (software, hardware, operating system, etc.), as applicable, offered to the State in the proposal must be currently manufactured and available for general sales, lease, or licenses on the date the proposal is submitted. Any proprietary products must be identified as such.

2.2.29 INSPECTION OF WORK PERFORMED

The vendor will prepare and maintain all financial records and records of services performed as are necessary to substantiate claims for payment under this award/contract. The State of Connecticut, the Auditors of Public Accounts or their duly authorized representatives, shall have the right at reasonable times, upon reasonable notice to the vendor, to examine all books, records, and other compilations of data which pertain to the performance and/or charges applicable to the provisions and requirements of this award/contract.

The vendor will preserve and make available such books, records and data for a period of three years from the date of final payment under this award/contract.

The vendor will further retain such documents which are pertinent to any actions, suits, proceedings or appeals commenced during the three year period or until they have reached final disposition. The vendor shall also make this a requirement of any subcontractors whom the vendor engages and, accordingly, this requirement shall be included in the contract and shall survive the termination or expiration of the contract.

During and after the installation of the products and System, the State, and its authorized representatives, shall be allowed access to inspect all Vendor materials, documents, work papers, equipment or products, deliverables, or any such other items which pertain to the scope of work for this RFP and contract. This requirement also applies to any subcontractors who may be engaged by the vendor.

2.2.30 DATE/TIME COMPLIANCE

Contractor warrants that Hardware, Software and Firmware Products or each developed, modified or remediated item of Hardware, Software, Firmware ("item") or each service delivered under this Contract shall be able to:

- ◆ accurately assess, present or process date/time data (including, but not limited to, management, manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) before, during and after January 1, 2000.
- ◆ properly exchange date/time data when used in combination with other information technology, provided that other information technology not covered by this Contract is Year 2000 Compliant;
- ◆ perform as a System, as so stipulated in the Contract, and the warranty shall apply to those items as a System.
- ◆ where appropriate, respond to two digit date input in a way that resolves the ambiguity as to century in a disclosed, defined and predetermined manner.

Notwithstanding any provision to the contrary in any warranty or warranties, the remedies available to the State under this Date/Time Compliance Warranty shall include the obligation to repair or replace any Product and/or item whose non-compliance with this Warranty or defect is discovered by Contractor or the State, all at the expense of Contractor. If the State becomes aware thereof it must be made known to Contractor in writing.

This Warranty remains in effect through the 365 days following the termination of this Contract. This provision shall not be construed to extend the Warranty Term of this Contract, except as services for defects to the System and all Products shall be required under any Maintenance Term.

Nothing in this Warranty shall be construed to limit any rights or remedies the State may otherwise have under this Contract with respect to defects.

In addition, Contractor warrants that Products or items modified or remediated to achieve Date/Time compliance shall remain unaffected with respect to their functioning or performance except for processing and exchanging date data. Contractor further warrants that Products or items not being modified or remediated directly shall remain unaffected with respect to their normal functioning or performance.

2.2.31 CORPORATE GOVERNANCE

The vendor must state in the Transmittal Letter whether it complies fully with the August 2002 corporate governance rules proposed by the New York Stock Exchange (www.nyse.com/pdfs/corp_gov_pro_b.pdf). Any non-compliance must be identified and explained.

3 TYPICAL ACTIVITIES CONDUCTED AFTER RFP ISSUANCE

3.1 VENDOR COMMUNICATION

3.1.1 PROCUREMENT SCHEDULE

The following schedule has been established for this procurement, however, the ultimate timing and sequence of procurement events resulting from this RFP will be determined by the State.

Event Date	Event
September 21, 2009	RFP Issued
October 1, 2009	Vendor Teleconference – 1:00 PM EDT
November 6, 2009	Last Day to Submit Vendor Questions Due to State – 5:00 PM EDT. Questions may be submitted anytime beginning RFP issue.
TBD	Response(s) to Vendor Questions
December 15, 2009	Proposal Submissions Due – 2:00 PM EDT
TBD	State Review of Vendor, Business, Technical Proposals Conclude
TBD	State Review of Cost Proposals Conclude
TBD	Estimated Start of Contract Negotiations
TBD	Estimated Vendor Project Start Date

3.1.2 VENDORS' TELECONFERENCE

A Vendors' Teleconference will be held on **October 1, 2009 and will begin at 1:00 PM Eastern Daylight Time (EDT)**. Vendors may attend the teleconference by dialing in **(773) 756-4618 and using the pass code: DOC**. Vendors planning to submit a proposal are **not required** to attend this teleconference. The State may record and/or transcribe the Vendors' teleconference. Vendors must identify themselves by announcing the individual name and the company they represent each time they begin speak during the teleconference. Oral questions raised at the Vendors' teleconference may be answered orally; however, responses will not be official, and may not be relied upon, until a written reply is issued through the DOIT Contracts and Purchasing Division.

3.1.3 VENDORS' QUESTIONS

The State intends to answer questions from any vendor that is considering a response to this RFP. Questions received by the Contracts and Purchasing Division (CPD) up to the vendor deadline of **November 6 2009 at 5:00 PM EDT** will be answered. Address any inquires to Jacqueline Shirley. Only written inquiries will be accepted via e-mail sent to Jacqueline.Shirley@ct.gov. To properly process vendor questions, vendors shall ensure that the RFP number **09ITZ0052** is on the subject line of the electronic mail message. Questions shall be included as Microsoft Word or compatible format, as an attachment. Response to vendor questions will be posted on the DOIT procurement website as soon after the question deadline as possible.

3.2 RFP RESPONSE COORDINATION AND REVIEW

The State will open only those proposals received by the date and time specified in *Section 4.1 – Proposal Submission*.

Proposals received after the due date will be returned unopened. Vendors who are hand-delivering proposals will not be granted access to the building without a photo ID and should allow extra time for security procedures. Immediately upon opening, the State will review each proposal for vendor compliance with the instructions and conditions set forth in this RFP and the attachments hereto. DOIT, at its option, may seek vendor retraction and clarification of any discrepancy/contradiction found during its review of proposals. The Evaluation Team will evaluate only proposals complying with the submission and formatting requirements of this RFP.

3.3 PROPOSAL EVALUATION

3.3.1 PROPOSAL REVIEW TEAM

A State proposal review team will be established consisting of CTDOC and DOIT personnel.

3.3.2 EVALUATION PROCESS

The State will conduct a comprehensive, fair and impartial evaluation of proposals received in response to this procurement. The evaluation process will include not only evaluations of the entire vendor RFP responses, but may include evaluations of vendor references, on-site demonstrations and other relevant sources of information regarding a vendor and its products and services.

The State will evaluate requested proposal information against all RFP requirements, using criteria and methodology pre-established in coordination with the planned users of a given service. Proposals will be evaluated in accordance with *Attachment 10 – Evaluation and Selection Criteria*. Additionally, the CTDOC Proposal Review Team will also evaluate the responding vendor's:

- ◆ Understanding of the RFP as shown by the thoroughness of the vendor's proposal and the vendor's ability to provide packaged software for CTDOC as specified.
- ◆ How well the vendor's product functionality matches defined business requirements.
- ◆ How well the vendor's proposed product design and technology matches defined technical requirements.
- ◆ How well the vendor is able to adapt to changes required by State and Federal regulations.
- ◆ The vendor's ability to align with the State of Connecticut's System Development Methodology framework, e.g. a phase end gate meeting and signoff before proceeding to the next phase and must meet the intent of mandatory deliverables within each phase.
- ◆ The vendor's plan for converting data from the existing CTDOC applications / systems into the vendor's proposed CTDOC application.

3.3.3 ESTABLISH AND CONDUCT APPLICABLE VENDOR BENCHMARKS

The State will determine the nature and scope of any benchmarking that it may deem to be necessary or appropriate to the evaluation of vendor System proposals.

3.3.4 BENCHMARKING PURPOSE AND SCOPE

The State may use benchmarks to demonstrate and validate a vendor's proposal, to satisfy given operating requirements, and to ascertain the adequacy and timeliness of vendor responses to user requirements.

The State may employ two benchmark phases:

- ◆ vendor conducted and documented tests which are not monitored by the State, and
- ◆ actual demonstrations to the State of the vendor's ability to perform as required

3.3.5 UNMONITORED VENDOR-DOCUMENTED BENCHMARKS

State benchmarks often require vendors to conduct and document, within set time frames, the actual operation of their proposed service and the operation of sample functional sequences using State supplied information.

3.3.6 LIVE DEMONSTRATION OF BENCHMARKS TO STATE

The State usually requires vendors to conduct benchmark demonstrations at a mutually agreed upon site and at no cost to the State. Such demonstrations may be conducted at the site where the vendor conducted the unmonitored tests described above, or at a more convenient operating site which meets minimum State demonstration requirements. Should the demonstration, inspection or benchmark site be beyond the regional area of Hartford, Connecticut then the vendor will be responsible for necessary travel, meals and lodging arrangements and expenses for a team of up to three (3) individuals. The evaluation of any and all live demonstrations that shall be subject to a review and approval by the State's existing Ethics Commission or its successor.

Vendors must indicate agreement that the State will be permitted to videotape demonstrations, inspections, and/or benchmarks. The State will limit the use of such videotapes to staff training, retraining, etc.

Further, the State reserves the right to request that vendors make additional presentations, either in person or by telephone, to the Evaluation Team to clarify their proposal and respond to questions from the Evaluation Team regarding their proposal. The State also reserves the right to require additional written documentation to support and clarify information provided in the proposal. Failure to respond to such requests may, at the discretion of the Evaluation Team, result in disqualification of the vendor from further consideration.

3.4 IMPLEMENT NECESSARY AGREEMENTS

The offered agreement, *Attachment 5 - Information Processing Systems Agreement*, shall be the agreement pertaining to this issued RFP. In that the State offered agreement is viewed as being most reasonable to the vendor, the State will not accept any request by the vendor to modify a specific provision unless there are compelling reasons for doing so, and that without the provision being modified the vendor will not consider contract approval. In any such case, vendor should state the rationale for the specific provision's unacceptability (define the deficiency); provide recommended verbiage (consistent with verbiage used throughout the agreement) for the State's consideration; and state how such recommended verbiage corrects the claimed deficiency and maintains fairness to both parties, as part of the proposal.

IT IS NOT ACCEPTABLE to simply replace a State provision with a vendor's "preferred" provision.

If for some reason the Contracts and Purchasing Division (CPD) cannot reach consensus with the vendor within a reasonable time, CPD shall offer the agreement to the next best proposal and so on until either the agreement is executed or the State decides to start the RFP process again.

3.5 NOTIFICATION OF AWARDS

The State will notify vendors who submit proposals as to any award issued by the State as a result of this RFP.

4 PROPOSAL REQUIREMENTS

4.1 PROPOSAL SUBMISSION

Vendor proposals in response to this **RFP # 09ITZ0052** MUST be received at:

**Department of Information Technology
Division of Contracts and Purchasing
ATTN: Jacqueline Shirley
101 East River Drive, Room 4074
East Hartford, CT 06108**

No later than **December 15, 2009 at 2:00 PM (EDT)** in order to be considered. Postmark dates will not be considered as the basis for meeting any submission deadline. Therefore, any vendor proposal received after the deadline will not be accepted. Receipt of a proposal after the closing date and/or time as stated herein shall not be construed as acceptance of the proposal as the actual receipt of the document is a clerical function. If delivery of proposals is not made by courier or in person, the use of certified or registered mail is suggested. **Proposals will not be publicly opened on or before the due date.**

The submittal of proposals shall constitute, without any further act required of the vendors of the State, acceptance of the requirements, administrative stipulations and all of the terms and conditions of the RFP and all its attachments.

5 PARTICIPATING STATE OF CONNECTICUT AGENCIES

Connecticut Department of Correction (CTDOC) Application proposals will be reviewed and evaluated by State personnel from the CTDOC and the Department of Information Technology (DOIT).

CTDOC Offender Management Information System

Attachment 1 – Mandatory Vendor Questionnaire

In order to respond to this RFP and have your proposal included in the evaluation process, a vendor should be able to answer "Yes" to the following questions.

If a proposal is submitted with any "No" responses or if the Questionnaire is returned incomplete or is missing altogether, the State may reject said proposal.

Vendor Name: _____

Vendor Address: _____

	Yes	No
1. Is your company, agents or subcontractors free from any pending civil litigation, arbitration or other similar actions as a result of work performed by the company or its agents or subcontractors?	_____	_____
2. Has your company been free from premature termination from any project, award or contract for cause?	_____	_____
3. Has your company been free from being subject of any liquidated damages at anytime during the last three (3) years?	_____	_____
4. Is your company free from any suspensions or disbarments?	_____	_____

Person certifying the above information:

Name: _____

Signature: _____

Title: _____

Attachment 2 - Vendor Proposal Format and Content Requirements

1 OVERVIEW

This RFP is expected to result in an award for a software vendor to provide an automated, web-based system (or components of a system) to support jail/prison management, Pardons and Paroles and community supervision. The Offender Management system must be in compliance with the Connecticut Department of Correction (CTDOC) and the Department of Information Technology (DOIT) enterprise information systems architecture standards and principles.

A vendor's proposal must be submitted in three (3) separate sections as follows:

- Section I - Vendor, Business, and Technical Proposal**
- Section II - Project Management, Planning and Staffing Proposal**
- Section III - Financial Proposal**

The three (3) sections of the proposal will be secured into two (2) bound covers as follows: **Section I & II** in one bound cover; **Section III** in the other bound cover.

Vendors shall submit their proposal according to the specifications supplied in the section titled *General Format Requirements*, located below. A valid proposal shall constitute the collection of the three mandatory sections of which there shall be:

- A. One (1) signed, printed and bound original proposal**
- B. Six (6) additional printed and bound copies of the original proposal**
- C. Two (2) CD-ROM-based electronic copies of the original proposal**

The entire proposal must contain the requested content and be organized in the sequence provided per section 1.1, *VENDOR'S RESPONSE – TABLE OF CONTENTS*. Vendors are requested to identify each section and subsections with clearly distinguished and labeled "tabs" so that specific sections can be easily referenced.

Please note that while a vendor may cross reference portions of the "Financial Proposal" from within the "Vendor, Business, and Technical Proposal" or the "Project Management, Planning and Staffing Proposal", any and all specific references to financial information, professional fees or other cost information must reside solely within the "Financial Proposal".

CTDOC Offender Management Information System

1.1 VENDOR’S RESPONSE - TABLE OF CONTENTS

Binders must correspond with the following three (3) tables of content for Parts I, II and III. Please refer to *Section 3* of this document for a detail description of each section.

Table of contents for Vendor, Business, and Technical Proposal:

Section I – Vendor, Business, and Technical Proposal			
I.A.1	Completed and Executed Mandatory Forms and Documents		
I.A.1.1	Transmittal Letter		
I.A.1.2	Vendor Checklist		
I.A.1.3	Mandatory Vendor Questionnaire		
I.A.1.4	Vendor Validation and Authentication Statement		
I.A.1.5	CHRO Forms		
I.A.1.6	Vendor Certifications		
I.A.2	Executive Summary		
I.A.3	Company Overview		
I.A.4	Summary of Qualifications		
I.A.4.1	Offender Management Related Products and Services		
I.A.4.2	Comparable Application Products and Services		
I.A.5.1	Financial Overview		
I.A.5.1.1	Financial Status		
I.A.5.1.2	Copy of Annual Statement (Public Companies Only)		
I.A.6	Vendor Customer References		
I.B.1	Overview of the Proposed Solution		
I.B.2	The following attachments:		
	Offender Management Information System Requirements Specifications		
	Attachment 15	BC.01	Intakes / Booking
	Attachment 16	BC.02	Offender Party Information and Identification
	Attachment 17	BC.03	Property Management
	Attachment 18	BC.04	Housing
	Attachment 19	BC.05	Inmate Calendaring & Event Scheduling
	Attachment 20	BC.06	Inmate Records
	Attachment 21	BC.07	Warrants and Detainers
	Attachment 22	BC.08	Sentencing and Time Calculation
	Attachment 23	BC.09	Nutritional Services
	Attachment 24	BC.10	Classification and Assessment
	Attachment 25	BC.11	Movements and Transfers
	Attachment 26	BC.12	Population Management
	Attachment 27	BC.13	Violations and Disciplinary Actions
	Attachment 28	BC.14	Grievance/Complaints
	Attachment 29	BC.15	Offender Employment
	Attachment 30	BC.16	Offender Associations / Intelligence
	Attachment 31	BC.17	Visitation
	Attachment 32	BC.18	Education
	Attachment 33	BC.19	Programs and Activities
	Attachment 34	BC.20	Inmate Banking / Restitution
	Attachment 35	BC.21	Commissary Sales and Inventory
	Attachment 36	BC.22	Pre-Release Processing

CTDOC Offender Management Information System

	Attachment 37	BC.23	Parole
	Attachment 38	BC.24	Community Supervision
	Attachment 39	BC.25	System Training and Documentation
	Attachment 40	BC.26	Operations Incident Reports
	Attachment 41	BC.27	General MIS Functional Requirements
	Attachment 42	BC.28	Reports
	Attachment 43	BC.29	Data Download Requirements
I.B.3	High Level Business and Functional Requirements		
I.C.1	Architecture Overview		
I.D.1	Regulatory and Quality Overview		
I.E.1	Training Overview		
I.F.1	Support and Maintenance Overview		

CTDOC Offender Management Information System

Table of contents for Project Management, Planning and Staffing Proposal:

Section II – Project Management, Planning and Staffing Proposal

- II.1 Executive Summary**
- II.2 Meeting the Requirements for Project Management, Planning and Staffing**
 - II.2.1 Satisfying Milestone Driven Work Plans**
 - II.2.2 Phased Go/No Go phased decision points**
 - II.2.3 Sign off and approval meetings**
 - II.2.4 Change Management Process**
 - II.2.5 Communication Plans**
 - II.2.6 Project Planning using MS Project (or similar product) outling– Schedule, Task & Resources**
- II.3 Software Development Methodology (SDM) Practices**
 - II.3.1 Design Phase**
 - II.3.2 Construction Phase**
 - II.3.3 Product Testing**
 - II.3.3.1 Requirements Testing Traceability Matrix**
 - II.3.3.2 Unit Testing**
 - II.3.3.3 System Testing**
 - II.3.3.4 Regression Testing**
 - II.3.3.5 User Acceptance Testing**
 - II.3.3.6 Interface Testing with/without Emulators**
 - II.3.3.7 Bug Tracking and Test Deviation Logs**
 - II.3.4 Training Plan**
- II.4 Vendor Software Management Practices**
 - II.4.1 Configuration and Change Management**
 - II.4.2 Deployment and Release Management**
 - II.4.3 Customization and Configuration of Customer Software**
 - II.4.4 Application and Architecture Support**
 - II.4.5 Gap Analysis**
 - II.4.6 Risk and Issue Management**
 - II.4.7 Legacy Data Migration**
- II.5 Project Plan & Schedule**
 - II.5.1 Project Plan Document**
 - II.5.2 Project Schedule (Gantt Chart)**
 - II.5.3 Project Resources**
 - II.5.4 Project Organization Chart**
- II.6 Biographical Summaries**
- II.7 Team Resumes**
- II.8 Example Software Development Life Cycle Documents (Optional)**

Table of contents for Financial Proposal:

Section III – Financial Proposal

- III.1 Executive Summary**
- III.2 RFP Attachment 03 - Vendor Proposal Cost Worksheets**

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2 GENERAL FORMAT REQUIREMENTS

The content of the Vendor’s response between hardcopy and electronic submissions must be exactly the same.

2.1 BINDING THE PROPOSAL

The original hardcopy, which must be clearly identified and signed, and each additional hardcopy of the proposal must be bound using loose leaf style binders; with the proposal sections being bound as described above.

Proposals that are submitted that use Spiral, Wire Form, GBC or Perfect Bound, type of binding materials are not acceptable.

Each hardcopy binder cover slip must include the responding Vendor’s name, address and the RFP number 09ITZ0052 as reference in the lower right corner. Titles for the appropriate sections shall be centered on the cover slip. The spine of each binder must contain the proper section title, with the RFP number reference and the submitting Vendor’s name.

2.2 FORMATTING THE PROPOSAL’S CONTENT

The State is providing the following formatting expectations to ensure a uniformity of presentation. The body of the narrative material shall be presented using the following formatting guidelines:

1. Text shall be on 8 ½” x 11” paper in the “portrait” orientation, except where a supplied template is in “landscape” orientation,
2. Text shall be single spaced,
3. The State prefers a San Serif baseline font for the body of the document with a font pitch no smaller than 11 points,
4. The margin at the binding edge of any document shall be a minimum of one and one half inches (1 ½”), all other margins shall be one inch (1”),
5. Inline graphics or illustrations shall be clean and crisp in appearance must be captioned appropriately,
6. Any graphics or illustration may have a smaller text spacing, pitch and font size but must be legible,
7. Oversize attachments or appendices should not exceed more than one fold to conform to 8 ½” X 11” ,
8. Resumes must be in a consistent format; but, they do not need to conform to the formatting guidelines for the proposal itself.

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2.3 ELECTRONIC VERSIONS (CD-ROM)

The vendor is expected to provide the State with two sets of electronic versions of the proposal. These electronic versions are to be submitted using CD-ROM media, formatted for use with computers using the Microsoft Windows operating system. The two sets are to be submitted in the following manner:

- | | |
|---------------------|---|
| <i>CD-ROM Set 1</i> | CD-ROM 1: Section I – Vendor, Business, and Technical Proposal
Section II – Project Management and Staffing Proposal |
| | CD-ROM 2: Section III- Financial Proposal |
| <i>CD-ROM Set 2</i> | CD-ROM 1: Section I – Vendor, Business, and Technical Proposal
Section II - Project Management and Staffing Proposal |
| | CD-ROM 2: Section III- Financial Proposal |

Each CD must be submitted in a protective case and must be clearly labeled on the cover and spine in a manner consistent with the hardcopy submission. In addition, the CD itself must be labeled with the RFP reference and the caption “*CD ROM n of 2*”, where *n* is the sequence number of the CD in the set.

Electronic versions of the proposal are to be submitted in the original Microsoft Word or Excel 2003 (or higher) format as well as rendered in the PDF file format. The PDF document must be created with Fast Web View; tagged PDF must be enabled, and the electronic version must contain a master table of contents supporting hyperlinks to each entry in the table of contents and a link to the master table of contents on each page.

Also, electronic versions of the vendor worksheet attachments and appendices (e.g. Attachment 3 & Appendices A, B, C & D) are expected to be submitted in the original Microsoft Word or Excel 2003 (or higher) format as well as rendered in PDF file format.

The contents of the CD-ROMs must be organized intuitively. For example, vendors can create directory and subdirectories to categorize content in a logical way. It’s desirable that there are no files in the root directory of the CD-ROM other than the home directory for each of the sections that are appropriate for that CD.

Vendor marketing materials or other information related to the content of the RFP may be included as part of the electronic version.

2.3.1 CORRUPTED PDF DOCUMENTS

When creating PDF versions of the proposal for electronic submission, vendors shall take care to ensure that all sections of the proposal are properly rendered and contain no corrupted text or illustrations and that all necessary fonts are embedded within the PDF document.

Corrupted text can occur when fonts used in a PDF document do not exist on the reader’s computer and font substitution is used by the PDF reader¹. Adobe recommends that: “*For precise control over the appearance of text in a PDF file, you can embed fonts using either Acrobat PDF Writer or Acrobat Distiller. Acrobat viewers can display and print embedded fonts in PDF files, even if they are not installed on the computer on which the files are viewed.*”

¹ Please refer to: <http://www.adobe.com/support/salesdocs/1006759.html> for additional information.

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3 SECTION I – VENDOR, BUSINESS, AND TECHNICAL PROPOSAL

All proposals in response to this RFP must specify the vendor's unequivocal acceptance of all the mandatory requirements of this RFP and must reflect written compliance to all its requirements.

Proposals must include a Table of Contents that includes sections and subsections with page numbers. Vendors are encouraged to ensure that the Table of Contents is updated prior to publishing the proposal.

3.1 I.A.1 COMPLETED AND EXECUTED MANDATORY FORMS AND DOCUMENTS

These mandatory documents are included in RFP Attachments. They are required to be completed, signed and notarized, if necessary. The original mandatory forms and documents will be included in the signed master/original bound proposal. Additional print and electronic versions of the proposal will contain copies of the original.

3.1.1 I.A.1.1 TRANSMITTAL LETTER

Proposals must include a Transmittal Letter addressed to the Director, Contract and Purchasing Division, DOIT, which must be in the form of a standard business letter, signed by an individual authorized to legally bind the vendor.

The letter shall include the name, title, mailing address, telephone number and extension, fax number as well as a valid email address for the person that the State is to contact to resolve questions or issues regarding the submitted proposal. The transmittal letter must contain specific statements, cross-referenced to the State administrative requirements stipulated in *Section 2* of the RFP, to establish the vendor's full acceptance of all such requirements.

The vendor may use *RFP Attachment 11 - Vendor Transmittal Letter* as a template for this letter.

3.1.2 I.A.1.2 VENDOR CHECKLIST

Include completed *RFP Attachment 08 - Vendor Check List*. The Vendor Check List must immediately follow the Transmittal Letter.

3.1.3 I.A.1.3 MANDATORY VENDOR QUESTIONNAIRE

Include completed *RFP Attachment 01 - Mandatory Vendor Questionnaire*.

3.1.4 I.A.1.4 VENDOR VALIDATION AND AUTHENTICATION STATEMENT

Include completed *RFP Attachment 04 - Vendor Validation and Authentication Statement*.

3.1.5 I.A.1.5 CHRO FORMS

Include completed *RFP Attachment 07 - CHRO Contract Compliance Monitoring Report*.

3.1.6 I.A.1.6 VENDOR CERTIFICATIONS

Include completed *RFP Attachment 9 - Vendor Certifications*.

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3.2 I.A.2 EXECUTIVE SUMMARY

This RFP expects that an Executive Summary will be part of each of the three Sections. This is to permit a vendor to briefly summarize the most salient aspects of each section of the proposal in terms of satisfying the requirements presented in this RFP. The Executive Summary must provide a high-level overview of the vendor’s proposal in such a way as to demonstrate a broad understanding of the RFP requirements. The vendor must summarize their understanding of the objectives of the State in issuing this RFP, the intended results of the Project, the scope of work and any issues which the vendor believes needs to be addressed in this Project. The Executive Summary shall not mention the dollar amount proposed for the project.

3.3 I.A.3 COMPANY OVERVIEW

Vendors must provide historical, financial, sales, and organizational information and, if applicable, similar information for proposed subcontractors:

Provide a brief summary of the company discussing size, markets, customer base, company organization, strengths and achievements. If the company is a subsidiary of another company, the name and address of the parent company must be provided.

The State of Connecticut is seeking organization and client profile information, which may include their resellers or implementation partners. The minimum information required is:

1. Formal Company Name
2. Company Trade Name (If Different)
3. Physical Address
4. Mailing Address
5. Company Representative Contact Information
 - a. RFP Response Contact Person
 - b. Title
 - c. Daytime Telephone & Extension
 - d. Electronic Mail Address
 - e. Company Web Site
6. Number of Business Locations
7. Address and Description of offsite Development Center(s)
 - a. Address
 - b. Management Structure / Organization Chart
8. Number of Employees
9. Number of Active Government Clients or Customers
10. Years of Experience with Offender Management/Correctional Software or any projects of similar scope and Complexity
11. References (Name, Title, Mailing Address, Work Phone, Email Address) – See section 3.6.

The state desires that this information be provided in a tabled format, for example:

COMPANY PROFILE – SAMPLE SOLUTIONS, INC.	
Formal Company Name	Sample Solutions, Inc.
Company Trade Name	Sample Consulting
Physical Address	123 Easy Street, Suite 1000 Anytown, CA 90266

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Mailing Address	P.O. Box 123456 Anytown, CA 90266-1234
Corporate Tax Identification	35-1234567
<i>and so forth...</i>	

3.4 I.A.4 SUMMARY OF QUALIFICATIONS

Qualifications must contain a detailed description of the proposing firm and subcontractors (if applicable).

3.4.1 I.A.4.1 OFFENDER MANAGEMEMENT/CORRECTIONAL RELATED PRODUCTS AND SERVICES

Corrections Management Solutions Experience

Please provide a response to each of the following bulleted items. The purpose of this section is to better identify experiences dealing with projects of similar size, scope, and complexity as the OMS project.

- Please describe your firm’s experience and qualifications for offender institutional automation systems.
- Please describe your firm’s experience and qualifications for community supervision automation systems.
- Please describe your firm’s experience and qualifications for offender case management automation systems across multiple agency divisions.
- Please describe your firm’s experience and approach to conversion of offender-related data based on similar implementations.
- Please describe your company’s approach to client-specific enhancements.
- Please describe your firm’s approach to software maintenance of your solution(s). Please include how, and at what frequency, your firm provides maintenance and upgrade services in support of your system products. Please also include discussion regarding your approach to user assistance services via a Help Desk or Customer Support Service as well as on-call support. Also provide information on frequency of new releases and support for historical / prior versions.
- If your company has responded to Requests For Proposals (RFPs) issued by Government entities (state, county, or local) within the past three (3) years, please provide a brief paragraph on the RFPs your company responded to and the corresponding results. A copy of the requirements document(s) to which your company responded may be requested at a later date. Vendors must list the most recent systems installed to date, up to a maximum of five (5). Details of other relevant information technology experience, which would be valuable in the completion of this project, may be provided. If applicable, provide relevant experience and qualifications for all proposed subcontractors.

3.4.2 I.A.4.2 COMPARABLE APPLICATION PRODUCTS AND SERVICES

In the table below, please provide requested details concerning the solution product or products that you would propose to meet the requirements of the CTDOC OMS project. The purpose of this section is to understand how long your product has been in the market.

#	Product Name and Primary Function	When First Developed	When / Where First Deployed	Number of Installs To Date	Max Number of Users at largest location	Number of Offenders at largest location
1						
2						
3						
4						

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For each solution product listed in the above table, please provide:

- The history of the product, including major upgrades or feature enhancements, timing of those upgrades, and reasons for the upgrades;
- The specific industry standards that the product was designed to, including any exceptions to those stated standards; and
- A detailed understanding of how the product is licensed or sold (by concurrent user, named user, processor, location, etc.)
- What is the maintenance window if any and the update process required for your system?

3.5 I.A.5.1 FINANCIAL OVERVIEW

Elaborate on company trends, current sales data, or any other financial information that may differentiate vendor from other proposals.

3.5.1 I.A.5.1.1 FINANCIAL STATUS

Sales in dollars for the three most recent years must be given, along with a financial statement (e.g. Profit & Loss) for the last fiscal year. Vendors must also provide revenue attributable to the sale of integrated information technology systems, either produced or integrated over the three most recent years. All financial penalties and liquidated damages imposed in the last three (3) years must be disclosed. If none, state so.

3.5.2 I.A.5.1.2 COPY OF ANNUAL STATEMENT (PUBLIC COMPANIES ONLY)

If the vendor submitting the RFP response is publicly traded, or any of the subcontractors specified, please attach the most recent financial report(s) or annual statement(s).

3.6 I.A.6 VENDOR CUSTOMER REFERENCES

Qualified vendors may be required to provide a demonstration of installed systems. Such systems must be fully operational and similar in scope, function, and complexity to the applications described in this RFP. At a minimum, the demonstration must show the vendor's ability to meet system response time requirements, as well as the performance characteristics for the individual components described in this RFP.

Vendors must provide three (3) Client references with installed systems comparable to that being proposed for the State of Connecticut. Reference information must include:

State/County/ City Name:	
Agency Name:	Contact Name:
	Title:
	Role on project:
	Email address:
Address:	Phone #:
	Fax #:
Project Name:	
Project Objectives:	

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Components/Modules in scope: (including description)	
Size of System:	
# of Offenders tracked:	# Community Supervision
# of Users:	# of Geographically-disbursed Locations:
# of Workstations:	
Project Measurements:	
Total Est. Cost:	Total Actual Cost:
Total Est. Hours:	Total Actual Hours:
Est. Start & Completion Dates:	
From:	To:
Actual Start & Completion Dates:	
From:	To:

Complete the following items as applicable to the cited client reference:			
1. Data Conversion:		Media type converted:	
Avg. record size converted:		# of records converted:	
Time frame to complete conversion:	From:	To:	
Methods/techniques used in conversion:			
2. Software Maintenance:			
Role/responsibilities of Bidder in provision of software maintenance:			
Maintenance period supported:	From:	To:	
3. Success Statistics:	If the answer to any of the following questions is yes, provide a textual understanding following the reference form to explain the situation.		
Project/contract terminated prior to successful conclusion?	Yes		No
Total billings increased by more than 10%:	Yes		No
Delivery schedule increased by more than 90 days:	Yes		No

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3.7 I.B.1 OVERVIEW OF THE PROPOSED SOLUTION

Vendors are asked to briefly summarize the proposed solution including how they intend on satisfying the requirements for a Connecticut Department of Correction (CTDOC) Offender Management Information System. While this narrative should not be lengthy, it should provide the reader with a general understanding of the nature of the proposed solution and, specifically, how the responding vendor believes this will meet the objective of this RFP and the requirements found therein.

3.8 I.B.2 RFP ATTACHMENT 6 - VENDOR RESPONSE TO THE DEPARTMENT OF CORRECTION'S OFFENDER MANAGEMENT INFORMATION SYSTEM REQUIREMENTS

The Connecticut Department of Correction (CTDOC) has created high-level functional requirements for each of the major Offender Management system processes/components called Business Categories (BC). These BC documents are listed below and attached within the RFP. Responding vendors are expected to thoroughly review and respond to each of the BC documents within the designated sections.

The Evaluation Committee will use each proposer's response to the BC requirements to judge how well the proposer's software solution will address each of the requirements described and how the proposer will customize its software to meet the requirements.

Honest responses to these questions are important because embellished claims of functionality or capabilities supported may lead to disqualification.

Attachment 15	BC.01	Intakes / Booking
Attachment 16	BC.02	Offender Party Information and Identification
Attachment 17	BC.03	Property Management
Attachment 18	BC.04	Housing
Attachment 19	BC.05	Inmate Calendaring & Event Scheduling
Attachment 20	BC.06	Inmate Records
Attachment 21	BC.07	Warrants and Detainers
Attachment 22	BC.08	Sentencing and Time Calculation
Attachment 23	BC.09	Nutritional Services
Attachment 24	BC.10	Classification and Assessment
Attachment 25	BC.11	Movements and Transfers
Attachment 26	BC.12	Population Management
Attachment 27	BC.13	Violations and Disciplinary Actions
Attachment 28	BC.14	Grievance/Complaints
Attachment 29	BC.15	Offender Employment
Attachment 30	BC.16	Offender Associations / Intelligence
Attachment 31	BC.17	Visitation
Attachment 32	BC.18	Education
Attachment 33	BC.19	Programs and Activities
Attachment 34	BC.20	Inmate Banking / Restitution
Attachment 35	BC.21	Commissary Sales and Inventory
Attachment 36	BC.22	Pre-Release Processing
Attachment 37	BC.23	Parole
Attachment 38	BC.24	Community Supervision
Attachment 39	BC.25	System Training and Documentation
Attachment 40	BC.26	Operations Incident Reports
Attachment 41	BC.27	General MIS Functional Requirements
Attachment 42	BC.28	Reports
Attachment 43	BC.29	Data Download Requirements

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Please respond to each requirement in the BC document (sample below) by selecting one of the four options: Existing (E), Major Modification/Custom Development (M), Third Party (TP) or Cannot Meet (CM) to the right of the title for each requirement. Click on the *Please Select One Option* and a down arrow will be available which will display your options. Select your option. For detailed criteria on each selection please see the table below. Each requirement *must* have an option selected.

DOC Requirements	Vendor Responses
1.1.1 Locate Offender's Account The ability to search the data base to locate an individual offender's prior periods of incarceration, both for transaction entry and for query, using key search criteria such as offender name, name-sounds-like with returned values, SPBI number, social security number, offender ID, aliases, date of birth, finger print and retina scan.	- Please Select One Option -
1.1.2 Display Offender List When possible offender matches are found, the ability to display a prioritized listing of key identifying information such as offender ID, name, social security number, date of birth, photo and aliases and have the ability to confirm which offender the user wants to reactivate if offender has been previously incarcerated.	- Please Select One Option -

Additionally, a free text field (limited at 2000 characters) is provided beside each DOC Requirement to describe how the proposed solution will meet the objective. Include specific application features, application workflow, limitations etc. as appropriate. Descriptions are not necessarily required for each and every individual line item but could differentiate prospective vendors during the scoring process and hence are strongly recommended. Descriptions that are same or shared across multiple requirement line items may be entered once in the first line item and then referenced within the other line items.

A free text field (no character limitation) for Vendor Comments is provided at the end of each requirements section which may be used to include any additional information or describe features that go above and beyond what is requested. This free text field

IMPORTANT: Unless otherwise explicitly noted by the proposed vendor all selections below (except CM) are assumed to be included within the fixed price bid provided.		
Response Code	Response Title	Response Description
E	Existing	<p>The vendor's solution meets or exceeds the functional requirement 'out of the box' as an existing component of its base product without any effort over and above code table configuration</p> <p style="text-align: center;">OR</p> <p>The vendor's solution meets or exceeds the functional requirement with minor coding modification to an existing component of its base product. Minor coding modification is defined as less than 320 person hour effort. IMPORTANT: Existing – "E" may only be used for existing components or features and may not be used for new or custom development even if the vendor believes that the requirement can be met with less than 320 person hours of effort. If a vendor selects Existing – "E" for requirements that entail minor modification, the vendor is asked to put "minor modification" in</p>

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IMPORTANT: Unless otherwise explicitly noted by the proposed vendor all selections below (except CM) are assumed to be included within the fixed price bid provided.		
Response Code	Response Title	Response Description
		the comments section for that requirement (designated text box below the selection).
M	Major Modification/Custom Development	The vendor’s solution does not meet the functional requirement ‘out of the box’, but will meet the functional requirement with a significant programming modification (320 person hours+ effort) OR The vendor’s solution does not currently meet the functional requirement ‘out of the box’ or with any level of programming modification. The vendor will meet this functional requirement by developing custom software to the base product.
TP	Third Party	The vendor’s solution does not currently meet the functional requirement out of the box or with any level of customization, but will meet the functional requirement by integration of third party solution(s).
CM	Cannot Meet	The vendor cannot meet this functional requirement. In any case where this response is supplied, please provide the reason why the requirement cannot be met immediately following the requirement table.

3.9 I.B.3 HIGH LEVEL BUSINESS AND FUNCTIONAL REQUIREMENTS

Vendors may provide a brief overview regarding how their existing products and services can satisfy the intended solution.

This section should also address any gaps, assumptions, clarifications etc. that a responding vendor may wish to include. The vendors should prevent duplicating items already included or covered within responses to RFP Attachment 6 (Offender Management Requirements Specification) or in any of the Business Category attachments. Direct vendor experiences relevant to deploying systems with comparable requirements, etc. may also be included.

3.10 I.C.1 ARCHITECTURE OVERVIEW

Vendor must present a detailed architecture design for the proposed application along with a text description and annotated diagram (or diagrams). Descriptions and diagrams must clearly identify middleware products, interfaces, message formats and component function. Each description/diagram should be accompanied by a narrative indicating where the proposal meets the State of CT technical guidelines and where exceptions will occur. Refer to *Attachment 12 System Development Methodology Requirements*, for a detailed description of what to include in the product architecture diagrams.

The State is now requiring the use of XML as "the" format for most inter-application messaging. You must explain how your proposed application utilizes XML for this purpose. You must explain how your application utilizes XML between components for intra-application messaging.

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You must identify the source of the XML Schema or Document Type Definitions (DTDs) utilized in your design. CTDOC will be interfacing applications that use NIEM 1.0 XML compliant messaging.

If application hosting is not being proposed the implemented solution must comply with the Department of Information Technology's Enterprise-wide Technical Architecture (EWTA) guidelines and standards. Please refer to **Attachment 13 Enterprise-Wide Technical Architecture Requirements**. For additional information refer to <http://www.ct.gov/doit/cwp/view.asp?a=1245&O=253976&doitNav=|>, or <http://www.ct.gov/doit> and select Technical Architecture, for additional information on the EWTA's domain architecture. Rationale for any proposed exceptions to DOIT EWTA standards must be noted in the vendor's response. Exceptions to EWTA standards or guidance must be summarized separately as an addendum or exhibit to the architecture description. .

If vendor can supply more than one unique product type, version or level of their software that meets or exceeds the requirements in this RFP, vendor must clearly state the existence of multiple products, explain the major differences between them and take these additional steps:

- ◆ Provide separate Product Version and Architecture sections for each.
- ◆ Identify where appropriate in the Technical Requirements Checklist that multiple architectural solutions exist.
- ◆ Provide clear and separate statements in any proposal sections or sub-sections where there are differences between product versions.
- ◆ Provide separate cost schedules and total cost if different in Cost Proposal.
- ◆ Identify which is the vendor's preferred solution and why.

Provide product version information which must include, but not be limited to, product name, version number, date version was released for general use and number of installed customer entities.

If product has any Web accessibility, it must comply with the State of Connecticut's "*Universal Web Site Accessibility Policy for State Web Sites*" and vendors are required to explain how their solution meets this requirement. Information on this policy can be found at <http://www.ct.gov/doit/cwp/view.asp?a=1306&q=255004>.

Describe a 24x7 fault tolerant load-balanced architecture solution and how CTDOC can be deployed on it.

3.11 EXISTING PRODUCTS AND SERVICES OVERVIEW

Vendor may provide a brief overview regarding how their existing products and services can satisfy the intended solution.

Proposal should address any gaps, assumptions, or clarification in requirements not covered by the *RFP Attachment 6 Department of Correction Offender Management Requirements Specifications*, direct vendor experiences relevant to deploying systems with comparable requirements, etc.

3.12 I.E.1 TRAINING OVERVIEW

Vendor may provide a brief overview regarding training and must state their responsibility for the content and delivery of all training and provide examples of their training methodology including their standard strategy. This section should also address any gaps, assumptions, clarifications etc. that a responding vendor may wish to include. Vendors should prevent duplicating items already included or covered within responses provided in System Training and Documentation Requirements Business Category. Direct vendor experiences relevant to training within other similar projects may also be included.

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3.13 I.F.1 SUPPORT AND MAINTENANCE OVERVIEW

Vendor may provide a brief overview regarding how their existing products and services can satisfy the intended solution.

Proposal should address any gaps, assumptions, clarifications etc. that a responding vendor may wish to include. Vendors should prevent duplicating items already included or covered within responses to the *RFP Attachment 6 Department of Correction Offender Management Requirements Specification* or in any of the Business Category attachments.

4 SECTION II PROJECT MANAGEMENT, PLANNING AND STAFFING PROPOSAL

4.1 II.1 EXECUTIVE SUMMARY

This RFP expects that an Executive Summary will be part of each of the three Sections. This is to permit a vendor to briefly summarize the most salient aspects of each section of the proposal in terms of satisfying the requirements presented in this RFP. The Executive Summary must provide a high-level overview of the vendor's proposal in such a way as to demonstrate a broad understanding of the RFP requirements. The vendor must summarize their understanding of the objectives of the State in issuing this RFP, the intended results of the Project, the scope of work and any issues which the vendor believes needs to be addressed in this Project. The Executive Summary shall not mention the dollar amount proposed for the project.

4.2 II.2 MEETING THE REQUIREMENTS FOR PROJECT MANAGEMENT, PLANNING AND STAFFING

Vendor may provide a brief overview regarding how organization can satisfy the intended management, planning, and staffing solution. Briefly describe previous project experiences.

Describe the project management methodology to be utilized for all planning and management activities related to the project.

Provide a complete list of software tools and respective version numbers vendor will use to support all project management planning and reporting activities.

Considering the vendor's current products and services, how is configuration and change managed for each product deployed at a customer site? Describe your change request process. Describe how you integrate or accommodate customer change request processes. How do you document change? Explain and provide examples of an Impact Assessment for a change request. Explain how you execute a change request and track changes to a product or configuration. Are the configurations and change management procedures documented by vendor?

Describe your Risk and Issue Management procedures. Identify potential risks for this initiative outside of the risks identified in this RFP. Explain how you will be able to identify risks, and mitigate their impact. What policies or procedures have the vendor or customers put into place to mitigate risks? What practices do you recommend?

Provide a statement of acknowledgement that design, construction, testing, implementation, and post implementation/maintenance will use System Development Methodology best practices, including but not limited to: detailed project planning with clearly defined tasks, resources, and timelines, go/no go decision points at key phases of the project, a formal communication plan, risk management and a formal change management process with concomitant updates to the requirements traceability matrix.

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Describe your strategy at executing and satisfying “Milestone Driven Work Plans”. Provide evidence on how you have been able to meet the time, quality, and cost expectations of large multi-phase projects. Vendor payments will be tied with satisfying project milestones and deliverables, and not by billing for “Time & Materials”. Describe the fair and reasonable provisions you would like to see in a Milestone Driven Work Plan.

The project plan should include, but not be limited to, Gantt charts showing the time lines, recommended tasks, task dependencies, deliverables, risks, milestones, and resource allocations. It should address what resources will be assigned what major milestones and how these milestones will be completed. Discuss all the elements necessary to satisfy vendor’s SDM. This plan should be sufficiently detailed to execute a gap analysis, the data conversion and implementation of the CT DOC-Offender Management Information System application. DOIT requires that the project plan document be submitted as a Microsoft Project file.

Proposal should address resources provided as well as responsibilities/duties for each resource. Attach organization’s job class descriptions for the members of the project team.

Proposal should identify the following project resources:

- ◆ Roles – what project roles, quantity of staff, and duration are needed for the vendor proposal?
- ◆ Resources – what resources (e.g. equipment, State of Connecticut staff, software for project delivery) are needed, when, and how many? Consider what equipment will be necessary for meetings, demos, training, and testing. What resources is vendor providing?
- ◆ Access/Space – what type of access to staff and space be needed? Consider if on-site space is needed to interact with teams. If so, what kind of space (e.g. 2 cubicles or conference room space at CTDOC.)

It is acceptable to attach multiple organization charts, particularly if vendor team composition will be different during project intervals (e.g. design, construction, testing)

4.3 II.3 SYSTEM DEVELOPMENT METHODOLOGY (SDM) PRACTICE

Describe your established SDM practices. Are these practices utilized by your organization documented in Standard Operating Procedures, Practice Manuals, and/or project/software management reference guides? Please elaborate.

Briefly explain SDM, describing the phases, milestones, deliverables, etc and its ability to align with State of Connecticut SDM phases: Business Issue, Business Requirements, Design, Construct, Test, Implement, and Post Implementation/Maintenance. Can your SDM methodology support differing roll-out strategies such as “Waterfall”, “Iterative”, or “Hybrid” oriented?

Can the organization demonstrate that they have “working hands-on” experience with this SDM? Do all projects use this SDM? Did the projects provided as references in Section 3.6 use this SDM?

Only project and software management practices and principles that comply with established State of Connecticut SDM will be acceptable. Will your organization be able to adapt practices and procedures, if necessary, to accommodate State of Connecticut SDM requirements? Information on the State’s System Development Methodology is located in Attachment 12 – System Development Methodology Requirements of the RFP.

4.3.1 II.3.1 PRODUCT DESIGN

Describe your methodology and tools for assessing a gap analysis and producing general and detailed design specification documents from validated and approved requirements. Describe factors assessed in development of test strategies and plans.

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Describe your customization and configuration of customer software process and procedures. Do you use templates or checklists during your configuration process? How do you verify or validate the requested changes are completed? Are the customization and configuration of customer software procedures documented by vendor?

The State of Connecticut envisions legacy migration from a MainFrame environment. Describe your methodology for migrating legacy data into a new environment and testing the accuracy of the migrated data.

4.3.2 II.3.2 PRODUCT CONSTRUCTION

Describe your methodology and tools for constructing the application. Describe your familiarity with code and unit testing, test cases, creating back out and recovery plans, and planning for production support and user training.

4.3.3 II.3.3 PRODUCT TESTING

Vendor must comply with State of Connecticut SDM best practices for testing including Integration Testing, System Testing, User Acceptance Testing, Performance Testing, and Recover testing. Describe your experience with this type of testing. Describe any standard tools you use in the course of product testing. Provide a sample of any documents you use to capture test results and the results that should be obtained for the application to be considered to be operating within normal parameters. Can the organization demonstrate that they have “working hands-on” experience with this test methodology? Which of the projects referenced in Section 3.6 used this test methodology? Describe the test error reporting summaries provided to the State.

4.3.3.1 II.3.3.1 Requirements Testing Traceability Matrix

The Requirements Test Traceability Matrix is a document/tool that shows how requirements will be tested and to verify that all requirements will be tested. It helps to identify gaps in the test plan. The CTDOC Project Manager will work with the vendor’s test manager to produce this document. Describe how the vendor dealt with requirements traceability with regards to other projects.

4.3.3.2 II.3.3.2 Unit Testing

Describe how unit testing is managed and performed, including when, who, and whether test results are documented. Is the unit testing procedures documented by vendor?

4.3.3.3 II.3.3.3 System Testing

Assume system testing will be required for the proposed Offender Management Information system. Describe how system testing is managed and performed. Describe the documented test evidence, including summary reports that are used to validate testing. Are the systems testing procedures documented by vendor?

Can the organization demonstrate that they have “working hands-on” experience with this test methodology? What projects have utilized this test methodology?

4.3.3.4 II.3.3.4 Regression Testing

Assume regression testing may be required for established vendor components that will be used for the proposed CTDOC solution. Assume vendor’s core product may require full system testing, if complete system/product testing was not previously conducted and documented evidence is available.

Describe how regression testing is managed and performed. Describe the documented test evidence, including summary reports that are used to validate testing. Are the regressions testing procedures documented by vendor?

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4.3.3.5 II.3.5.5 User Acceptance Testing

Assume user acceptance testing (UAT) will be required for CT DOC Offender Management System. Assume that UAT scenarios will be defined by customer and communicated via the CTDOC project manager. Describe how UAT is managed and performed. Describe the documented test evidence, including summary reports that are used to validate testing. Assume CTDOC project manager will coordinate UAT testing. Are the UAT procedures documented by vendor?

4.3.3.6 II.3.3.6 Interface Testing with/without Emulators

Interface testing is comparable to system testing. However, the other end of the interface may or may not be ready to test at same time as the vendor solution. Describe vendor experiences with interface testing? Describe experiences with producing an emulator to perform the remote interface communication. Assume most interface messaging will be XML.

4.3.3.7 II.3.3.7 Bug Tracking and Test Deviation Logs

Describe experience with bug tracking and test deviation logs. Describe software or procedures used. Describe bug severity levels, resolution, etc. Describe logging of bugs and defects during unit, system, interface, regression, and UAT testing. Describe how project team procedures for defect assignment and resolution. Are these procedures documented by vendor? The vendor will deliver bug tracking and test deviation logs to state.

4.3.4 II.3.4 TRAINING PLAN

Describe the aspects of a training plan that will support logistics of the Department of Correction facilities, Community Supervision Offices, the Board of Pardons and Paroles, and other law enforcement agencies. What has been this firm's best training techniques and methods? Describe techniques and approach to training user base using the best cost and time savings approaches available.

4.4 II.4 VENDOR SOFTWARE MANAGEMENT PRACTICES

Describe your software development facility(s) considering location(s), environment(s), security, staff, etc. Describe the functions that occur at facilities (e.g. development, support, help desk, hosting, and training.) Describe how multiple products, releases, customer configurations, etc. are managed. Describe tools and procedures used. What procedures and practices are followed? Are these procedures documented by vendor?

4.4.1 II.4.1 CONFIGURATION AND CHANGE MANAGEMENT

Considering the vendor's current products and services, how is configuration and change managed for each product deployed at a customer site? Describe your change request process. Describe how you integrate or accommodate customer change request processes. How do you document change? Explain and provide examples of an Impact Assessment for a change request. Explain how you execute a change request and track changes to a product or configuration. Is the configuration and change management procedures documented by vendor?

4.4.2 II.4.2 DEPLOYMENT AND RELEASE MANAGEMENT

The vendor should describe their practices around deployment and release management. Discuss controls established at customer sites as well as established at vendor's place of business.

Vendor must provide details of their product maintenance policies and procedures. It should include, but not be limited to, descriptions of schedules upgrades and for emergency fixes. Vendor and DOIT responsibilities must be clearly stated.

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4.4.3 II.4.3 CUSTOMIZATION AND CONFIGURATION OF CUSTOMER SOFTWARE

Describe your customization and configuration of customer software process and procedures. Do you use templates or checklists during your configuration process? How do you verify or validate the requested changes are completed? Are the customization and configuration of customer software procedures documented by vendor?

4.4.4 II.4.4 APPLICATION AND ARCHITECTURE SUPPORT

Describe your practices and procedures for application and architecture support. Consider on-site, off-site, 3rd party, help-desk, emergency, routine, etc. Describe your job/service ticket system including policy on prioritization, call back, etc. Can tickets/requests be created by customer via web interface? Describe your policies and procedures on Service Level Agreements. Are the application and architecture procedures documented by vendor?

4.4.5 II.4.5 GAP ANALYSIS

In response to this RFP, the vendor will have to perform a gap analysis of the CTDOC requirements with its current established products and services.

Describe your gap analysis processes and procedures. Describe whether you are able to use a previous gap analysis as a basis or starting point for the next project iteration. Are the gap analysis procedures documented by vendor?

4.4.6 II.4.6 RISK AND ISSUE MANAGEMENT

Describe your Risk and Issue Management procedures. Identify potential risks for this initiative outside of the risks identified in this RFP. Explain how you will be able to identify risks, and mitigate their impact. What policies or procedures have the vendor or customers put into place to mitigate risks? What practices do you recommend?

4.4.7 II.4.7 LEGACY DATA MIGRATION

The vendor must identify, define and show examples of the methodology and tools it proposes to use to fulfill CTDOC data migration requirements. The vendor must include plans, conversion program methods, conversion acceptance criteria, a recommended conversion site, and any other elements consistent with their methodology:

- ◆ If conversion is to be performed by a third party, vendor must specify conversion vendor and include business address.
- ◆ Specify all security measures to be employed.
- ◆ Indicate approach to maintaining data integrity and quality assurance during the conversion effort, such as the use of balancing programs.
- ◆ Describe measures to ensure adequate access to live data during the conversion effort.
- ◆ If additional software is planned, identify package.

4.5 II.5 PROJECT PLAN & SCHEDULE

The CTDOC implementation project plans and schedules should incorporate, at a minimum, all of the concepts/elements detailed in *Sections II.3 & II.4* of this document.

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4.5.1 II.5.1 PROJECT PLAN DOCUMENT

The project plan should include, but not be limited to, Gantt charts showing the time lines, recommended tasks, task dependencies, deliverables, risks, milestones and resource allocations. It should address what resources will be assigned what major milestones and how these milestones will be completed. Discuss all the elements necessary to satisfy the vendors SDLC. This plan should be sufficiently detailed to execute the CTDOC initiative.

Plan should address tasks including: ongoing project administration tasks and management overhead, such as status meetings, report submissions, cost and quality reviews, project start-up, documentation, and so on.

4.5.2 II.5.2 PROJECT SCHEDULE (GANTT CHART)

Vendor should produce a project schedule (Gantt chart) using MS Project 2003. The project schedule should address the major milestones necessary to implement the CTDOC Offender Management Information System application. Show all critical project tasks, resources and dependencies. Plan should show critical path elements.

4.5.3 II.5.3 PROJECT RESOURCES

Proposal should address resources provided as well as required. The responsibilities/duties for each role should be well defined. Attach organization's job class descriptions for the members of the project team.

Proposal should identify the following project resources:

- ◆ Roles – what project roles, quantity of staff, and duration are needed for the vendor proposal?
- ◆ Resources – what resources (e.g. equipment, State of Connecticut staff, software for project delivery) are needed, when, and how many? Consider what equipment will be necessary for meetings, demos, training, and testing. What resources is vendor providing?
- ◆ Access/Space – what type of access to staff and space be needed? Consider if on-site space is needed to interact with teams. If so, what kind of space (e.g. 2 cubicles at CTDOC, meeting rooms).

4.5.4 II.5.4 PROJECT ORGANIZATION CHART

It is acceptable to attach multiple organization charts, particularly if vendor team composition will be different during project intervals (e.g. start-up, testing)

4.6 II.6 BIOGRAPHICAL SUMMARIES

Provide a ½ page maximum biographical summary for each member of the project team.

4.7 II.7 TEAM RESUMES

Attach resumes (3 pages maximum) for each member of the project team. Keep resumes as short as possible with emphasis on work experience, technical proficiencies, and projects during the last five (5) years. Include resource names and proposed project title on each page

Please specifically identify any member of your team that rely on any form of Work Visa for their authority to work in the United States; please specify the type of Visa, the Visa's expiration date and finally, the individual's formal sponsor as recognized by the Immigration and Naturalization Service.

Resumes should clearly indicate the relevant dates of each project and the amount of participation on the project as a fraction of a full-time equivalent. For example, if proposed developer only worked on a project half of this time, this would be reflected as "0.5 FTE" whereas a fulltime participant would be "1 FTE".

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4.8 II.8 EXAMPLE SOFTWARE DEVELOPMENT LIFE CYCLE DOCUMENTS (OPTIONAL)

(This section is optional but will be helpful. If samples are provided, keep total page count for all samples to no more than 60 pages maximum.)

Attach any SDLC document samples that will demonstrate that SDLC practices discussed in this proposal are followed. A sample can be an entire document, a document sub section, or a table of contents. Proposal should elaborate on document or excerpt purpose/intent if it is not obvious. Any customer proprietary information should be removed from or concealed within document samples.

5 SECTION III – FINANCIAL PROPOSAL

Vendors must show all costs to the State of Connecticut for their proposed solution. For this RFP, the proposal shall be fixed price. If the vendor has determined a fixed price by estimating time and materials, the vendor will have the opportunity to detail these calculations and assumptions in the Cost Worksheets. They must also agree that any costs not included in this proposal, for software or service or equipment or any other product or resource necessary to implement a vendor's proposal solution, which was "forgotten" or not included with the proposal submission will be the responsibility of the vendor. The State of Connecticut reserves the right to infer or consider costs, which in the State's opinion, have not been included in the vendor's proposal that may contribute to the State's total cost of ownership.

Vendors must show costs by Business Categories (BC) units/components defined by the State of Connecticut in the Cost Worksheets. Cost shown should be all-inclusive for individual BCs and not require additional BCs to be purchased. If the design of modules/components within the vendor's proposed solution cannot map back one-to-one with the State of Connecticut defined BCs and hence multiple BCs must be purchased then the vendor must show costs by the smallest grouping of BCs that must be purchased for a viable solution.

It is required that this information be presented in accordance with *Attachment 3* of this RFP:

- ◆ The cost information must include details of unit prices by product component being proposed, quantity, and extended prices by product component, subtotals and any applicable discounts. One time costs such as freight charges and installation charges must be included by product as appropriate.
- ◆ Indicate in your proposal that the proposal is valid for at least one (1) year and prices will be effective for at least one (1) year. A responding vendor further agrees that any across the board price decreases announced by the vendor for any products offered under the proposal will be passed on to the State of Connecticut.
- ◆ Cost Proposals must rely on the worksheets found in *Attachment 3*. The pricing worksheets provide the format for presenting item-by-item pricing for hardware, software, conversion, maintenance, etc. Vendors must offer a Firm Fixed Price for the core system and a fixed hourly rate for all time and materials for related services when appropriate.
- ◆ Pricing worksheets must be provided for any proposed system alternative(s). Vendors must include all necessary software, and maintenance to implement fully functional systems in the cost proposal. Submit a separate *Attachment 3* for each cost proposal alternative and specify that more than one alternative is available in the Financial Executive Summary.
- ◆ All License fees for application and support licenses must clearly indicate the license type(s) i.e. Lump sum, Perpetual or Periodic Payment License.

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- ◆ All Maintenance and Support fees must clearly indicate when such fees are payable including the commencement and timing following any initial maintenance and support provide under the initial purchase.
- ◆ Vendor must fully disclose and explain any fees, charges, costs that are dependent upon other factors including but not limited to hardware, software, management, staff, training, etc.

5.1 III.1 EXECUTIVE SUMMARY

The Cost Proposal Executive Summary should recapitulate the proposal as broken down in *Attachment 3, Vendor Proposal Cost Worksheets*. Keep the summary to 1 to 2 pages maximum. Use *Attachment 3* to specify additional cost elaboration details. Clearly summarize the cost proposal and any additional costs elements that will interest the State of Connecticut. Please consider the following bullets below if any are applicable:

- ◆ Include any assumptions, qualifications, or explanations that will provide additional clarifications for understanding the cost proposal.
- ◆ Describe any price protection applicable to product service/maintenance payments during the periods cited in the above system cost worksheets.
- ◆ Specify the basis and extent of any applicable product discounts (e.g., government, educational, multiple system installations) that may be available to the State but are not already reflected in your system cost worksheets. If your cost offerings already reflect any discounts, specify the type and percent of the discount(s) reflected. The State reserves the right to make additions or reductions in awards as a result of this RFP. Indicate your agreement to maintain the same discount rate as proposed.
- ◆ State the supply costs or specialty equipment required. Please provide source, reusability, and unit cost of any supplies needed for use by any proposed product. Please refer to *Appendix 3* for the worksheet for any such costs.

5.2 III.2 RFP ATTACHMENT 03 - VENDOR PROPOSAL COST WORKSHEETS

The *RFP Attachment 3, Vendor Proposal Cost Worksheets* will be placed into this section of the financial proposal. The worksheet should be filled out completely per the instructions within the attachment. An incomplete or partially filled in worksheet may disqualify or negatively affect a proposal. There are provisions within the cost worksheets to allow a vendor to explain or qualify any category price. The *RFP Attachment 10 - Evaluation and Selection Criteria* document explains the RFP scoring process. Only qualified vendor, business, and technical proposals will have their cost proposals opened and examined.

Attachment 3 - Cost Worksheet Templates

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Cost Worksheet 2 - Application Software Cost	2
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Cost Worksheet 4 - Software Maintenance Cost	4
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WORKSHEET INSTRUCTIONS

- * Vendors should use the following worksheets as a template to use for supplying cost data.
- * Vendors should separate the costs for base applications from maintenance applications.

**Worksheet #1
FOUR YEAR TOTAL COST SUMMARY**

This worksheet should summarize cost provided on other worksheets (App, Customizations, Maint, Training and Other Costs). Numbers on this worksheet should directly correspond to the subtotals in each of the other worksheets. The Years (Year 1, Year 2, Year 3 and Year 4) referenced in this tab and the rest of the workbook reflect 12 month intervals beginning the month after successful delivery and implementation of Business Categories at CTDOC. The cost in this worksheet are to be entered under each year as though the entire set of Business Categories will be purchased and implemented at the same time. However, for all practical purposes, the purchase/implementation is expected to be staggard over multiple years and hence Year 1 may begin in different calendar years for different Business Categories. It is expected that the maintenance cost for Year 1 will be included as part of warranty and shall start upon a module's/component's acceptance and placement into production. Please review Attachment 5 (Information Processing Systems Agreement) for details.

Item Description	Year 1	Year 2	Year 3	Year 4	Total
<i>Base Application Costs</i>					
Application Customization					\$0
Training					\$0
Other					\$0
SUBTOTALS	\$0	\$0	\$0	\$0	\$0
<i>Maintenance Application Costs</i>					
Application Software					\$0
Other					\$0
SUBTOTALS		\$0	\$0	\$0	\$0

Worksheet #2
APPLICATION SOFTWARE COST

Cost shown should be all inclusive for individual BCs and not require additional BCs to be purchased. If the design of modules/components within the vendor's proposed solution cannot map back one-to-one with the State of Connecticut defined BCs and hence multiple BCs must be purchased then the vendor must show costs by the smallest grouping of BCs that must be purchased for a viable solution. Cost for Reporting, Downloads etc. should be entered in the "Customizations" tab.

CTDOC Business Category	Software Product	Product ID	Type of License	# of Licenses	License Price	Discount	Total Software Price
Intake / Booking							\$0.00
Offender Party Information / Identification							\$0.00
Property Management							\$0.00
Housing							\$0.00
Inmate Calendaring / Event Scheduling							\$0.00
Inmate Records							\$0.00
Warrants and Detainers							\$0.00
Sentencing and Time Calculation							\$0.00
Nutritional Services							\$0.00
Classification and Assessment							\$0.00
Movements and Transfers							\$0.00
Population Management							\$0.00
Violations and Disciplinary Actions							\$0.00
Grievance/Complaints							\$0.00
Offender Employment							\$0.00
Offender Associations / Intelligence							\$0.00
Visitation							\$0.00
Education							\$0.00
Programs and Activities							\$0.00
Inmate Banking / Restitution							\$0.00
Commissary Sales and Inventory							\$0.00
Pre-Release Processing							\$0.00
Parole							\$0.00
Community Supervision							\$0.00
Operations Incident Reports							\$0.00

TOTAL \$0.00

Worksheet # 3
APPLICATION CUSTOMIZATION COSTS
Including Interfaces, downloads & Reports

Customizations (if any) should be listed by each CTDOC defined Business Category (BC). If the design of modules/components within the vendor's proposed solution cannot map back one-to-one with the State of Connecticut defined BCs and hence multiple BCs must be purchased then the vendor must show costs by the smallest grouping of BCs that must be purchased for a viable solution.

Business Category	Description	Cost

TOTAL

\$0.00

Worksheet # 4
SOFTWARE MAINTENANCE COSTS

Cost shown should be all inclusive for individual BCs and not require additional BCs to be purchased/maintained. If the design of modules/components within the vendor's proposed solution cannot map back one-to-one with the State of Connecticut defined BCs and hence multiple BCs must be purchased then the vendor must show costs by the smallest grouping of BCs that must be purchased for a viable solution. It is expected that the maintenance cost for Year 1 will be included as part of warranty and shall start upon a module's/component's acceptance and placement into production. CTDOC runs 24/7/365 operations and provides MIS Helpdesk support Monday thru Friday 8 AM EST/EDT to 4 PM EST/EDT (except holidays) and pager support at all other times. Please review Attachment 5 (Information Processing Systems Agreement) for details on the level of support desired.

CTDOC Business Category	Support Product ID (if any)	Level of Support (Example: 24/7/365 or 8/5+24hr pager etc.)	General Comments (if any)	COST		
				Year 2	Year 3	Year 4
Intake / Booking						
Offender Party Information and Identification						
Property Management						
Housing						
Inmate Calendaring and Event Scheduling						
Inmate Records						
Warrants and Detainers						
Sentencing and Time Calculation						
Nutritional Services						
Classification and Assessment						
Movements and Transfers						
Population Management						
Violations and Disciplinary Actions						
Grievance/Complaints						
Offender Employment						
Offender Associations / Intelligence						
Visitation						
Education						
Programs and Activities						
Inmate Banking / Restitution						
Commissary Sales and Inventory						
Pre-Release Processing						
Parole						
Community Supervision						
Operations Incident Reports						
SUBTOTALS				\$0.00	\$0.00	\$0.00

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Worksheet # 5
TRAINING COSTS

CTDOC has outlined training and documentation requirements within Attachment 39
 (System Training and Documentation Requirements BC.25)

Description	Qty	Unit Price	Sub-Total	Discount	Total
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -
			\$ -		\$ -

TOTAL \$0.00

Worksheet # 6
COST WORKSHEET - OTHER

List any other costs not included in the previous worksheets

Description	Year 1	Year 2	Year 3	Year 4
SUBTOTAL	\$0.00	\$0.00	\$0.00	\$0.00

\$0.00

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ATTACHMENT 4 - VENDOR PROPOSAL VALIDATION AND AUTHENTICATION STATEMENT

Vendor Organization: _____

FEIN # _____ (the "Company").

The person responsible for the validation of the Company's proposal must fully complete and sign this statement where indicated and attach it to your company's response to the RFP. By doing so, the signer attests that the given proposal represents:

1. Full and unconditional acceptance of all stipulated administrative requirements of this RFP, # 09ITZ0052
2. Complete and valid information as of the proposal due date,
3. Product and term offerings that are valid until such date as the State of Connecticut is specifically notified otherwise, but not less than one (1) year from the proposal due date; and prices that are valid for at least twelve (12) months from the proposal due date,
4. The Company shall comply with all State requirements regarding proposal contents and formats, and
5. The Company has read and understands the principles, standards and best practices of the State's Enterprise – Wide Technical Architecture. As noted in Attachment 2, vendors should summarize any non-EWTA compliant proposals or approaches, a copy of which is to be attached to the vendor's response to this attachment.

Validating Official: _____

Signature

Printed Name and Title

By signing this proposal, I confirm that this proposal constitutes a complete, authentic and bona-fide offer to the State of Connecticut, which the Company is fully prepared to implement as described. The Company official who validated this proposal was authorized to represent the Company in that capacity on the date of his/her signature.

Authenticating Official: _____

Signature

Printed Name and Title

Any modifications to this form will subject the Company's proposal to the risk of being deemed a "contingent" proposal, thus subject to rejection by the State.

ATTACHMENT 5 - INFORMATION PROCESSING SYSTEMS AGREEMENT

The State's preferred Information Processing Systems Agreement is included in this Attachment to this RFP. It represents a contract that the State believes is equitable to both the State and the selected contractor.

The State reserves the right to incorporate into this Agreement any and/or all terms and conditions that may be deemed to be fair or beneficial to the State. The State further will not waive, modify or entertain modifications to Sections 24-50 of this Attachment as currently written in this RFP.

If the contract negotiations cannot be successfully concluded, the State may, at its sole discretion, proceed to withdraw the offer and offer a contract to another competing firm, or follow any other course of action that it deems necessary or advisable to provide for the carrying out of its statutory responsibilities.

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This Information Processing Systems Agreement hereinafter referred to as the "Agreement" is made by and between the **STATE OF CONNECTICUT**, acting by its **Department of Information Technology**, hereinafter referred to as the "State," located at **101 East River Drive East Hartford, CT 06108**, and _____ hereinafter referred to as the "Contractor," having its principal place of business at _____.

The terms and conditions of this Agreement are contained in the following sections:

Now therefore, in consideration of these presents, and for other good and valuable consideration, the receipt and sufficiency of which the parties acknowledge Contractor and the State agree as follows:

1. TERM OF AGREEMENT

This Agreement shall become effective upon its approval as to form by the Office of the Attorney General of the State of Connecticut and shall continue for 3 years from date of approval. The State may extend this Agreement in its sole discretion, prior to Termination in accordance with the provisions of Section 30. **TERMINATION OF AGREEMENT**, one or more times for a combined total period not to exceed 5 years beyond the original 3 year term.

2. DEFINITIONS

- a) "Acceptance Date" as used herein, shall mean completion of the Implementation Phase including signoff approval by the Project Administrator.
- b) "Claims" as used herein, shall mean all actions, suits, claims, demands, investigations, and proceedings of any kind, open, pending, or threatened, whether mature, un-matured, contingent, known or unknown, at law or in equity in any form
- c) "Connecticut System Development Methodology (SDM)" as used herein, shall mean the State of Connecticut's standard methodology for defining requirements, designing, constructing and implementing IT systems.
- d) "Contractor Parties" as used herein, shall mean a Contractor's members, directors, officers, shareholders, partners, managers, principal officers representatives, agents, consultants, employees or any one of them or any other person or entity with whom the Contractor is in privity of oral or written Agreement and the Contractor intends for such other person or entity to Perform under the Agreement in any capacity.
- e) "Deliverable" as used herein, shall mean any product, whether software, hardware, documentation, license, information, or otherwise, or any service, whether development, integration, administrative, maintenance, consulting, training, data warehousing, operations, support, hosting, or otherwise, or any warranty, that is an element of the Contractor's overall approach and solution to the requirements of this Agreement, whether produced by the Contractor or by a third party as a supplier or subcontractor to the Contractor.
- f) "Department" as used herein, shall mean the Department of Correction.
- g) "Force Majeure" as used herein, shall mean events that materially affect the cost of the Goods or Services or the time schedule within which to perform and are outside the control of the party asserting that such an event has occurred, including but not limited to, labor troubles unrelated to Contractor, failure of or inadequate permanent power, unavoidable casualties, fire not caused by the Contractor, acts of terrorism, extraordinary weather conditions, disasters, riots, acts of God, insurrection of war.
- h) "Implementation Phase" as used herein, shall mean the sixth phase of Connecticut's System Development Methodology, in which the system or system modifications are installed and made operational in

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the production environment.

i) “Improvements” as used herein, shall mean Contractor changes made to Deliverables from time to time either to provide additional functions for Department use or to correct errors and other Performance deficiencies noted by the Department and reported to the Contractor.

j) “Licensed Software” as used herein, shall mean computer program (s) acquired from Contractor under an agreement where the Department acquires the right to use the product but does NOT acquire the licensor’s (1) title to the product nor, (2) liability for payment of any tax levied upon the product, nor (3) liability for payment of any liability/casualty premium for the product.

k) “Performance” as used herein, shall mean the Contractor shall Perform as set forth in Exhibit 1. For purposes of this Agreement to perform and the performance in Exhibit 1 is referred to as “Perform” and the “Performance.”

l) “POP” (Primary Operation Period) as used herein, shall mean the days and hours of normal system operations and availability, which is to be 24 hours per day, 7 days a week.

m) “PPM” (Prime Period Maintenance) as used herein, shall mean maintenance services and/or technical support. There is not a daily Prime Period Maintenance time. For all upgrades and patches, CT DOC will determine the proper time to shutdown and made the new system unavailable so upgrades and patches can be applied.

n) “Product Schedule” as used herein, which is attached to and made part of this Agreement, shall mean that document which establishes the component or unit pricing, and price schedules and terms as applicable, for every Deliverable available pursuant to this Agreement.

o) “Project Implementation Schedule” as used herein, which is attached to and made part of this Agreement, shall mean that document which itemizes phases, tasks, Deliverables and date of completion including where Department signoffs are to be taken.

p) “Project Implementation Summary” as used herein, which is attached to and made part of this Agreement, shall mean that document which sets forth the services and Deliverables that are available pursuant to this Agreement.

q) “Purchase Order” as used herein, shall mean a document issued but their Department for one or more products or Deliverables in accordance with the terms and conditions of this Agreement.

r) “Records” as used herein, shall mean all working papers and such other information and materials as may have been accumulated by the Contractor in performing the Agreement, including but not limited to, documents, data, plans, books, computations, drawings, Specifications, notes, reports, records, estimates, summaries and correspondence, kept or stored in any form.

s) “Site” as used herein, shall mean a location of a computer system or systems consisting of one processing unit (PU) or multiple interconnected processing units.

t) “Specifications” as used herein, shall mean the Contractor’s published technical and non-technical detailed descriptions of a Deliverable’s capabilities and/or intended use.

u) “System” as used herein, shall mean Contractor furnished or otherwise supplied software and documentation that collectively and in an integrated fashion fulfill the business and technical requirements of this Agreement.

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v) "Warranty Period" as used herein, shall mean the twelve (12) months following acceptance by the Department of the System after successful completion of all System Acceptance Tests.

3. ACQUIRING DELIVERABLES

a) Subject to the terms and conditions of this Agreement, Contractor shall sell, transfer, convey and/or license to the Department any duly ordered Deliverable. Such Deliverables shall be available in the Product Schedule and listed in Purchase Orders issued by a Department. Purchase Orders may contain, as appropriate, the following related information:

- 1) delivery site and Department contact person
- 2) identity of this Agreement by reference number
- 3) Contractor contact person and contact information
- 4) For software Deliverables:
 - a. installation PU and operating system
 - b. product number, description and quantity
 - c. applicable rate, license term, and quantity extensions
 - d. applicable installation and other one-time charge rate(s)
 - e. applicable maintenance and support provisions and rate(s)
 - f. applicable product maintenance and support zone & surcharge rate(s)
- 5) For services:
 - a. description of service
 - b. quantity of hours or days to be purchased, by service level classification
 - c. applicable Project Implementation and quality assurance plans
 - d. training
- 6) Total Cost

b) Any Purchase Order which has been accepted by the Contractor is subject to the terms of this Agreement and shall remain in effect until such time as the Purchase Order obligations are fulfilled or until Department acceptance of full Performance of all requirements contained therein, or extended or terminated sooner under the terms of this Agreement. Neither party will be bound by any additional terms different from those in the Agreement that may appear on a Purchase Order or other form document issued by either party.

c) Contractor may supplement the Product Schedule at any time to make additional products, services and related terms available to the State, provided that the effective date of each supplement is stated thereon. Any supplement must be transmitted to the State with a cover letter documenting formal approval of the supplement by a Contractor representative then legally empowered to so act.

d) Notwithstanding any other provision of this Agreement, no material change may be made to the list of Products on the Product Schedule that alters the nature or scope of the Products or their intended use. Any change in the Products listed in the Product Schedule is conditioned upon the new products being of a similar nature and having a similar use as the defined Products. An update of the Products or the addition of Products that are related to or serve similar functions as the Products is permissible only with the prior approval of the

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State. Upon State receipt of ninety (90) calendar days' prior written notice, Contractor may update the Deliverable price schedule pricing by amending the Product Schedule effective July 1 of any State of Connecticut fiscal year, provided: (1) the Product Schedule amendment is transmitted and approved in the same manner as described for supplements in Subsection 3.c., (2) no software license, or Deliverable maintenance or service rate is increased within the first year of any Deliverable acceptance,

and (3) any such price increase shall not exceed the lesser of five percent (5%) or the consumer price index in any State of Connecticut fiscal year. In no case shall any such increase exceed Contractor's published prices then applicable to local governments and other States. State shall provide Contractor written acknowledgement, for Contractor's Records, of such received amendment.

e) Deliverables ordered prior to the effective date of any Product Schedule pricing increase shall enjoy protection from rate increase during their initial terms.

f) Contractor shall provide State with a discount on any Product Schedule pricing according to Contractor's discount policy in effect when a Purchase Order is placed or according to the discount shown on the Product Schedule, whichever is greater.

g) The Department is authorized to use any Licensed Software to develop and/or enhance said Department's systems, only in the pursuit of its own business interests. Any such Licensed Software shall be non-exclusive and non-transferable.

h) Notwithstanding the foregoing restrictions on use, the Department may use the Licensed Software Deliverable on another PU or Site in the following circumstances:

- 1) If the Department determines that a designated PU or Site cannot be used because of equipment or software inoperability, or initiation of a disaster recovery test or a disaster recovery event.
- 2) If the Department designated PU is replaced by a Department, said Department may designate a successor PU and use the Deliverable on that PU regardless of speed and performance. Prior to such other use, Department shall give Contractor written notice of such intended use and such other use shall be subject to Contractor's written consent. Such consent shall not be unreasonably withheld or delayed and shall have no cost or charge to the State associated with it.
- 3) If the Department designated PU is removed to another location, the Department may move any Licensed Software Deliverable and supporting materials to that location which physically replaces the original location. Prior to such moving of any such Deliverable and supporting materials, the Department shall give Contractor written notice of such intended movement and such movement shall be subject to Contractor's written consent. Such consent shall not be unreasonably withheld or delayed and shall have no cost or charge to the State associated with it.

4. PROJECT ADMINISTRATOR

a) The Department shall designate a Project Administrator, who may be replaced at the discretion of the Department. The Project Administrator shall have the authority to act for the Department under this Agreement, for any Deliverable(s) initially acquired/installed from the Contractor and such authority shall continue to be in effect throughout the term of this Agreement.

b) Any additions to or reductions in the Deliverables and prices for work completed in the Performance of the Project Implementation Schedule must be executed according to the provisions of Section 5. CHANGE ORDERS.

5. CHANGE ORDERS

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a) The Department may, at any time, with written notice to Contractor, request changes within the general scope of the Project Implementation Schedule. Such changes shall not be unreasonably denied or delayed by Contractor. Such changes may include modifications or other changes specifically required by new or amended State and/or Federal laws and regulations.

Such changes may be related to functional requirements and processing procedures. Other changes may involve the correction of system deficiencies.

Prior to expiration of any Warranty Period, any changes to the Deliverables(s) that are required due to System deficiencies or if the System does not fully perform in accordance with this Agreement, shall be made by Contractor without charge to the Department or the State. Any investigation that is necessary to determine the source of the problem requiring the change shall be done by Contractor at its sole cost and expense

b) The written change order request shall be issued by the Department. As soon as possible after Contractor receives a written change order request, but in no event later than fifteen (15) calendar days thereafter, the Contractor shall provide the Department with a written statement that the change has no price impact on the Contractor or that there is a price impact, in which case the statement shall include a description of the price increase or decrease involved in implementing the change. The cost or credit to the Department resulting in a change in the work shall specify the total cost by the number of hours or days times the applicable service rate, itemized by each applicable service rate scale, as specified within the Product Schedule.

c) No change order shall become effective, nor will there be any change in the Project Implementation Schedule, until Contractor's receipt of a Purchase Order. No employee, officer, or representative of the Department, including the Department Project Administrator, or the Contractor shall circumvent the intent of this section.

6. DELIVERY, INSTALLATION & DEINSTALLATION

a) Department shall undertake at its own expense to prepare and make available to Contractor the site of installation of any hardware Deliverable in accordance with Contractor furnished Specifications. If preparation for installation has not been completed, the State shall so notify Contractor as soon as possible but no later than ten (10) days prior to the scheduled hardware Deliverable installation date. If the State installation site requirements do not meet Contractor Specifications, the State shall be charged, at prices in effect at the time of the State's order, for any extra work and ancillary materials required to complete installation.

b) Contractor shall provide such pre-installation and post-installation hardware Deliverable compatibility system surveys, consultation, reference manuals and onsite operational training as to facilitate proper installation and operation of all Deliverables. Additional Contractor assistance, if requested by the State and issued in a Purchase Order, shall be furnished at the State expense at Contractor's published rates.

c) Contractor represents and warrants that it shall complete installation of the System in accordance with the Project Implementation Summary.

d) Department ordered System de-installation, relocation and reinstallation of any System previously installed at a Department site or the Department's designated site shall be at Department's expense according to Contractor's prices then in effect for such services.

7. DELIVERABLE EVALUATION & ACCEPTANCE

a) Except as may be stipulated within Section 4. PROJECT ADMINISTRATOR, any Deliverable furnished by Contractor under the terms of this Agreement shall be subject to an evaluation and acceptance period at the Department installation site. For a Deliverable installed by Contractor, said period shall commence on the Department next work day following receipt of written notification from the Contractor to the Department that

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the Deliverable is installed and ready to undergo evaluation and acceptance testing. The evaluation and acceptance testing is defined by the evaluation and acceptance testing team.

For a Deliverable installed by Department, said period shall commence on the next work day following the successful installation of the Deliverable by Department.

b) Should any Deliverable fail to be satisfactory due to Force Majeure, the evaluation and acceptance period then shall be immediately reinitiated or rescheduled at a later date upon mutual agreement between Contractor and Department.

c) Successful completion of the Deliverable evaluation and acceptance period shall be determined by Department in accordance with the Project Implementation Schedule. The Department agrees to complete any required Contractor acceptance certificate.

d) If the Department does not accept any Deliverable within sixty (60) days of installation, due to the Deliverable being unsatisfactory as specified in Subsection 6.a., the Department may then release the Deliverable to Contractor and be relieved of all financial obligations therefore.

8. PAYMENTS & CREDITS

a) The Department shall pay any charges for Deliverables per the Project Implementation Schedule, promptly after receipt of the Contractor's properly documented invoice and acceptance of Deliverables by the Department. Charges for services shall apply starting with the relevant Acceptance Date; charges for associated services shall apply starting with the relevant dates specified in the Project Implementation Schedule.

b) Payment of Contractor charges for any license term or license maintenance and support term shall entitle the Department to use the software license Deliverable, free of any usage charges, at the Department's convenience at any time during the applicable term, excluding the time required for maintenance and support.

c) Contractor may assign any license payments (but not any associated service payments), in whole or in part, upon prior written notice to the Department and compliance with the requirements of the State's Comptroller's Office concerning such assignments. No Deliverable assignment by Contractor shall relieve Contractor of any obligations under this Agreement without prior written Department consent in each such instance. Notwithstanding any such assignment, Contractor represents and warrants that the Deliverable shall be and remain free of any repossession or any Claims by Contractor or its successors and assigns, subject to the terms and conditions of this Agreement, provided the Department is not in default hereunder.

d) Contractor shall furnish separate invoices for each Purchase Order and each license charge, maintenance and support charge or other charge shall be included as separate line items on such invoices.

e) It shall be the responsibility of the Department to pay any charges due hereunder within forty-five days after acceptance of the Deliverable or services being rendered, as applicable, after having received the properly documented invoice.

f) Where the license term specified in the Attachment is perpetual, charges for maintenance and support are as follows:

1) If the license fee specified in the Attachment is payable in periodic payments, there shall be no additional charge for maintenance and support during the period for which such periodic payments are payable.

2) If the license fee specified in the Attachment is payable in one lump sum, there shall be no additional

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charge for maintenance and support during the twelve (12) months following the Deliverable Acceptance Date, or during the Warranty Period if applicable.

- 3) For the year after the period for which periodic payments are payable, or twelve (12) months after the Deliverable Acceptance Date or immediately after the Warranty Period if applicable, as the case may be, Contractor shall continue to provide the Department with maintenance and support services provided the Department elects to pay Contractor the applicable maintenance and support charges then in effect.
 - 4) For each subsequent year, Contractor's obligation to provide maintenance and support services and Department's obligation to pay the maintenance and support charges then in effect shall be deemed to be automatically renewed unless cancelled in writing by the State at least thirty (30) days prior to such renewal date.
- g) Notwithstanding this Section 8., properly documented invoices for Deliverables shall be paid as follows:
- 1) The Department shall pay Contractor within forty-five (45) days after Department has accepted such Deliverables, and received Contractor's properly documented invoice, in accordance with the Project Implementation Schedule has been received
 - 2) There shall be a twenty percent (20%) holdback from the monies that are due for each Deliverable accepted by the Department.
 - 3) Upon successful completion of the System evaluation and acceptance period, determined by the Department, Department shall pay Contractor one-half of the holdback monies.
 - 4) Upon successful completion of the Warranty Period the remaining one-half of the holdback monies will be paid to the Contractor.

9. SOFTWARE MAINTENANCE & SUPPORT

a) After acceptance of any software Deliverable by the Department and subject to the terms, conditions, and charges set forth in this Agreement, Contractor represents and warrants that maintenance and support services for any software Deliverable shall be provided to the Department as follows:

- 1) Contractor shall provide such reasonable and competent assistance as necessary to cause the Deliverable to perform in accordance with applicable portions of the Specifications
- 2) Contractor shall provide Improvements which may be available to Contractor to any Deliverable
- 3) Contractor shall update any Deliverable, if and as required, to cause it to operate under new versions or releases of the operating system(s), database system(s), application server(s), or report server(s) specified by CTDOC or the Contractor as well as any other policy changes.

b) Maintenance and support services shall be provided by the Contractor on an annual basis and shall automatically renew for successive twelve (12) month periods unless thirty (30) days' prior written notice of termination is provided to the Contractor by the Department before the end of the initial term or any renewal term of maintenance and support services. Telephone support services are to include no customization or training, but technical support issues only.

c) Contractor shall maintain sufficient and competent Deliverable support services staff to satisfy the Contractor obligations specified herein for any Deliverable.

d) Contractor shall have full and free access to any Deliverable in the development environment to provide

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required services thereon and access necessary and agreed to by CDOC on a as needed bases on any other environment including staging and production.

e.) Contractor to indicate provisions for modifying, enhancing and supporting system and applications software (including the database software) that are proposed in the RFP.

f.) Contractor to provide a list of any platform requirements and specifications required to provide product support for technical support.

g.) Contractor to include a complete description of services available to enhance software as new federal and state reporting requirements are made.

h.) If any Licensed Software Deliverable becomes not usable due to the computer manufacturer's release and the installation of (1) a new PU operating system or (2) an updated version of the present PU operating system or (3) a change to the present PU operating system and the Contractor is unable to provide changes to the Deliverable to cause it to operate according to Specifications within thirty (30) days of written notification by the Department to Contractor of such failure to operate, any such Deliverable so affected shall have its paid maintenance and support period, periodic-payment license period or limited term license period extended an additional period of time equal to the period of time the Deliverable was not usable. If, after the expiration of thirty (30) days from the date of said notification, the Deliverable remains not usable, then the applicable license may be terminated at the option of said Department without further obligation or liability

i.) Once the system is operational and after the warranty period, it is anticipated that selected contractor to provide Level 2 support. This means that CTDOC help desk staff will serve as Level 1 support, receiving the call or email message and attempting to handle the issue/problem either real-time or through a referral to another CTDOC staff member. If the issue cannot be resolved by CTDOC staff, then it will be referred to the contractor by CTDOC staff (but not by the user that made the initial call). The nature of the issue could be anything having to do with the application. We would anticipate that the contractor would log the request and route it to the appropriate contractor staff member as well as an email to CTDOC of the log/case #. If the CTDOC person contacting the contractor deems the issue to be an emergency, then the issue should receive immediate attention from the contractor. Otherwise, the issue would probably be responded to on a first come, first serve basis.

j.) For critical issues CTDOC needs a 24 x 7 discrete pager number for the Contractor to respond within 15 minutes. For non-critical issues CTDOC needs a single point of contact person during normal CTDOC business hours which are 8:00 am to 4:00 pm Eastern Standard Time (EST). CTDOC also desires that the Contractor have a toll-free telephone number for support.

k.) The Contractor to support all levels of support including Level 1 and Level 2 help desk and technical support for all areas of application.

l.) The Contractor to provide CTDOC during the warranty period and post warranty period a minimum of 2 hour response time to CTDOC that the investigation of the issue/problem has began.

m.) The Contractor to totally assure CTDOC that the new system operations to remain operative and that downtime caused by an issue will not be caused by lack of service.

Total downtime:

Less than 4 hours per support incident during normal business hours

Less than 8 hours per support incident outside normal business hours

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- n.) The Contractor to provide an evaluation procedure for issues/problems.
- o.) To provide to CTDOC access to the Contractor's help center operations for reporting and tracking problems and how the Contractor's service staff will be dispatched.
- p.) The State of Connecticut will allow the Contractor to use online meeting tools which allow for online troubleshooting, desktop sharing, and remote control, as well as other remote tools in order to satisfy the four (4) hour response requirement. The Contractor agrees to propose over a Secure Link provided and managed by CTDOC any proposed remote monitoring services. Contractor will by no means disable the use of any client software by use of remote control software, regardless of contract outcome. Any change to client software or configuration is to be approved by the client representative at the time of support session. The Contractor will plan for appropriate travel time when scheduling onsite meetings with the client. Should inclement weather be forecast, the Contractor would advise the client as soon as the Contractor becomes aware that travel may be affected. Contractor employees will not be expected to travel in unsafe conditions, but will make other arrangements for support as soon as possible. For a perpetual license, the amount shall be 1/6 times the related annual maintenance and support charge, or two (2) times the related monthly maintenance and support charge, as the case may be, whether payable or not by a Department, for each succeeding four (4) hour period that said reasonable and competent assistance is not provided by Contractor.

10. SYSTEM RELIABILITY

- a) The system reliability is to be available 24 hours a day by 7 days a week of 365 days in a year with the possible exception of reasonable maintenance windows determined by CTDOC.

11. HARDWARE MAINTENANCE & SUPPORT

- a) Department shall be responsible for the site hardware for this new project.

12. SYSTEM WARRANTIES

- a) Contractor represents and warrants that the System shall conform to the terms and conditions of this Agreement and Contractor's proposal, and be free from defects in material and workmanship upon acceptance of the System by the Department and for a minimum period of the Warranty Period.

Additionally, during the Warranty Period, Contractor shall modify, adjust, repair and/or replace such Deliverable(s), at no charge to Department, as necessary to maintain ongoing System reliability according to Section 10. SYSTEM RELIABILITY.

- b.) The Contractor agrees to warrant any and all application software proposed to be free of errors for a minimum period of one year after acceptance of such software. During this period, to correct any errors discovered at the contractor's own expense and within a reasonable amount of time from notification of such discovery by CTDOC.
- c.) The Contractor agrees to the ability of the warranty to cover all components of the systems, including all programs, screens, reports, subroutines, utilities, file structures, documentation, interfaces, or other items provided by the Contractor. This warranty will apply to the base package, plus any customized programs, screens, reports, subroutines, interfaces, utilities, file structures, documentation, or other items proposed and delivered by the Contractor specifically for this procurement.
- d.) The Contractor agrees that all corrections made to the system during the warranty period will be considered an integral part of the proposed system and will be available to CT DOC under the normal license agreement at no additional charge.

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- e.) The Contractor agrees to provide a procedure or mechanism whereby CT DOC may develop routines to perform specific functions. Use of this procedure will not void the warranty.
- f.) The Contractor agrees to describe the warranty support services available to CTDOC.
- g.) The Contractor agrees to publish his Warranty and Maintenance guide.
- h.) If the System does not conform to Section 10. SYSTEM RELIABILITY, the Department shall give Contractor written notice of performance deficiencies. Contractor shall then have not more than a thirty (30) calendar day period to correct the applicable Deliverable deficiency and restore the functioning of the Deliverable to a level of operation that meets or exceeds the requirements of this Agreement. If during the Warranty Period such Deliverable or System performance, or service level, continues to fail to meet these specifications, then the Contractor shall be in material default of this Agreement.
- i.) In addition to as may otherwise be provided in this Agreement, any material default by the Contractor during the Warranty Period, the State may, by written notice to Contractor signed by the Project Administrator, terminate this Agreement. In event of such termination, the Contractor shall reimburse Department of all monies paid by Department to Contractor under this Agreement.

13. OTHER WARRANTIES

a) Contractor hereby warrants its ownership and/or marketing rights to the software license Deliverables. Unless stated otherwise in an Attachment, Contractor hereby warrants that a software Deliverable installed by Contractor, or installed by the Department in accordance with Contractor's instructions, shall function according to the Specifications on the Acceptance Date for such Deliverable, and that Contractor shall modify and/or replace such Deliverable as necessary to maintain ongoing reliability according to Section 9. SOFTWARE MAINTENANCE & SUPPORT. This latter warranty shall not apply to any software Deliverable deficiency caused by maintenance by a person other than the Contractor or its representative.

b) If the ongoing performance of the software Deliverable does not conform to Section 9. SOFTWARE MAINTENANCE & SUPPORT provisions of this Agreement, the Department shall give Contractor written notice of performance deficiencies. Contractor shall then have not more than a ten (10) calendar day cumulative cure period per twelve (12) month period to correct such deficiencies. If the cumulative number of days in a twelve (12) month period is exceeded, and said performance continues to be in nonconformance with said Section 9., the Contractor shall be in material default of this Agreement and the State at its option may thereupon:

- 1) In addition to the options listed below, if during the Warranty Period, terminate this Agreement in accordance with Subsection 12.c.
- 2) Request Contractor to replace said Deliverable at Contractor's expense with a functional Deliverable or competent service.
- 3) Terminate the Deliverable license or service without Department penalty, further obligation or financial liability. In the event of such termination, the Department shall be entitled to a refund of monies paid to the Contractor according to the following schedule:

- a. Termination of a lump-sum payment perpetual license:

- Period that terminated Deliverable license has been in effect with Acceptance Date in:

- 1st - 12th month: 100% of license fee paid to be refunded

- 13th - 24th month: 75% of license fee paid to be refunded

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25th - 36th month: 50% of license fee paid to be refunded

37th month and over: 25% of license fee paid to be refunded

- b. Termination of associated services or a periodic payment license or a lump-sum payment non-perpetual license:

All fees paid by the Department to the Contractor applicable to the period following default shall be refunded to the Department.

- c. The Contractor neither excludes nor modifies the implied warranties of merchantability and fitness for a particular purpose concerning the Deliverables offered under the terms and conditions of this Agreement.

14. PATENT, COPYRIGHT, LICENSE & PROPRIETARY RIGHTS

a) Contractor hereby grants the Department, at no additional cost, rights to copy and use any patented, copyrighted, licensed or proprietary software Deliverable solely in the pursuit of its own business interests. Department shall promptly affix to any such copy a reproduction of the patent, copyright, license or proprietary rights information notice affixed to the original Deliverable. The Department shall maintain the confidentiality of any such Licensed Software Deliverable consistent with its privileged nature, and shall not divulge the Deliverable or make it available to any third party, except as may be noted elsewhere in this Agreement. This obligation survives termination of this Agreement.

b) In the event any software Deliverable becomes the actual or prospective subject of any said claim or proceeding, Contractor may, at its discretion:

- 1) Modify the Deliverable or substitute another equally suitable Deliverable (providing such alternative does not degrade the Department's Deliverable dependent performance capability)
- 2) Obtain for said Department the right to continued Deliverable use
- 3) If Deliverable use is prevented by injunction, take back the Deliverable and credit the Department for any charges unearned as a result of enjoined use as follows:

a. Where the license specified in the applicable Attachment is less than perpetual, Contractor shall promptly refund the Department the amount of the fees paid to the Contractor for the portion of the applicable term found to be infringing.

b. Where the license specified in the applicable Attachment is perpetual:

- (1) Periodic Payment License: Contractor shall promptly refund the Department the amount of the fees paid to the Contractor for the portion of the applicable term found to be infringing.
- (2) Lump-Sum Payment License: Contractor shall promptly refund the Department any Deliverable maintenance and support charges paid by the Department to the Contractor applicable to the infringement period plus a sum computed as follows:

Period that infringing Deliverable license has been in effect with Acceptance Date in:

1st - 12th month: 100% of license fee paid

13th - 24th month: 75% of license fee paid

25th - 36th month: 50% of license fee paid

37th month and over: 25% of license fee paid

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c) Contractor shall have no liability for any infringement claim or proceeding based on the Department's use of a Deliverable for which it was neither designed nor intended and Contractor has provided written notification to said Department of such inappropriate use.

15. CONFIDENTIALITY; NONDISCLOSURE

a) All material and information provided to the Contractor by the State or acquired by the Contractor in performance of the Contract whether verbal, written, recorded magnetic media, cards or otherwise shall be regarded as confidential information and all necessary steps shall be taken by the Contractor to safeguard the confidentiality of such material or information in conformance with federal and state statutes and regulations. The Contractor agrees that it is prohibited from releasing any and all information provided by the Department or providers or any information generated by the Contractor without the prior express written consent of the Department.

b) The Department shall exercise at least the same degree of care to safeguard any Licensed Software Deliverable as the Department does its own property of a similar nature and shall take reasonable steps to assure that neither the Licensed Software Deliverable nor any part thereof received by Department under this Agreement shall be disclosed for other than its own business interests. Such prohibition on disclosures shall not apply to disclosures by the Department to its employees or its representatives, provided such disclosures are reasonably necessary to Department's use of the Deliverable, and provided further that Department shall take all reasonable steps to insure that the Deliverable is not disclosed by such parties in contravention of this Agreement.

c) The Department shall use any Licensed Software Deliverable only in the pursuit of its own business interests. The State shall not sell, lease, license or otherwise transfer with or without consideration, any such Deliverable to any third party (other than those non-designated third parties that have need to know and agree to abide by the terms of this Section 15.) or permit any third party to reproduce or copy or otherwise use such Deliverable. The State will not create derivative works, translate, reverse engineer or decompile the Licensed Software Deliverable, in whole or in part, nor create or attempt to create, by reverse engineering or disassembling of the design, algorithms or other proprietary trade secrets of the Deliverable software.

d) Contractor hereby agrees that:

- 1) All Department information exposed or made available to Contractor or its representatives is to be considered confidential and handled as such.
- 2) Any such Department information is not to be removed, altered, or disclosed to others in whole or in part by Contractor and its representatives.
- 3) All Department security procedures shall be adhered to by Contractor and its representatives.

e) It is expressly understood and agreed that the obligations of this Section 14 shall survive the termination of this Agreement.

16. ENCRYPTION OF CONFIDENTIAL DATA

Contractor at its own expense, shall keep and maintain in an encrypted state any and all electronically stored data now or hereafter in its possession or control located on non-state owned or managed devices that the State, in accordance with its existing state policies, classifies as confidential or restricted. The method of encryption shall be compliant with the State of Connecticut Enterprise Wide Architecture (EWTA). This shall be

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Contractor's continuing obligation for compliance with the EWTA standard as it may be amended from time to time.

In the event of a breach of security or loss of State of Connecticut data, the Contractor shall notify the Department which owns the data, the State and the Connecticut Office of the Attorney General as soon as practical but no later than 24 hours after the Contractor discovers or has reason to believe that a breach or loss has occurred or that such data has been compromised through breach or loss.

17. DELIVERABLE REPLACEMENTS & UPGRADES

a) The State may order replacement of any Deliverable license with any other Deliverable license then available to the State. Contractor shall provide the State with a discount or credit according to Contractor's policy then in effect or according to the credit shown below, whichever is greater:

1) Replacement Deliverable that was provided by the Contractor under a lump sum payment perpetual license

Period license of replaced Deliverable has been in effect starting with Acceptance Date:

1st - 12th month: 75% of license fee paid shall be credited toward fee for Replacement Deliverable

13th - 24th month: 50% of license fee paid shall be credited toward fee for Replacement Deliverable

25th - 36th month: 25% of license fee paid shall be credited toward fee for Replacement Deliverable

37th month and over: No credit toward fee for Replacement Deliverable

2) Replaced Deliverable that was provided by the Contractor under a periodic payment license:

License fee payments for a replaced Deliverable shall terminate on the Acceptance Date of the replacement Deliverable.

3) Replaced Deliverable that was provided by the Contractor under a lump-sum payment non-perpetual license:

There shall be a prorated adjustment of the license fee payment for a replaced Deliverable as of the Acceptance Date of the replacement Deliverable.

b) The license fee for any replacement Deliverable applies commencing on the Acceptance Date of such Deliverable.

c) Contractor shall keep current any installed Deliverable that it has supplied throughout its license term by delivering, at no cost or expense to a Department, the most current release of said Deliverable to the Department, provided that said Department has paid or will pay the most recent applicable annual maintenance charges.

18. RISK OF LOSS & INSURANCE

a) The Department shall not be liable to Contractor for any risk of Deliverable loss or damage while Deliverable is in transit to or from a Department installation site, or while in a Department's possession, except when such loss or damage is due directly to Department gross negligence.

b) In the event Contractor employees or agents enter premises occupied by or under control of a Department in the performance of their responsibilities, Contractor shall indemnify and hold said Department harmless from and defend it against any loss, cost, damage, expense or liability by reason of tangible property damage or

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personal injury, of any nature or any kind, caused by the performance or act of commission or omission of said employees or agents. Without limiting the foregoing, Contractor shall maintain public liability and property damage insurance within reasonable limits covering the obligations contained herein, and shall maintain proper workers' compensation insurance in accordance with Section 50. WORKERS' COMPENSATION.

19. DELIVERABLE ALTERATIONS

a) Alterations of any hardware Deliverable may be made only with the prior written consent of Contractor and/or manufacturer. Such consent shall not be unreasonably withheld or delayed and shall be provided without cost to customer or Department.

b) All inventions or improvements to the computer programs and/or base software developed by the Contractor pursuant to this Agreement shall become the property of the State. The State shall retain all ownership rights to any such inventions or improvements. The Contractor shall receive a non-exclusive, royalty-free license for any software, software enhancement, documentation or invention developed under this Agreement. The Contractor may sublicense any software, software enhancement, invention or improvements developed by the Contractor pursuant to this Agreement to third parties on the same royalty-free basis as provided by the State to the Contractor hereunder.

c) If any Deliverable Alteration interferes with the normal and satisfactory operation or maintenance and support of any Deliverable or increases substantially the costs of maintenance and support thereof or creates a safety hazard, the Department shall, upon receipt of written notice from Contractor, promptly restore the Deliverable to its pre-altered condition.

d) Any Alteration of a Licensed Software Deliverable by the Department without prior written consent of Contractor shall void the obligations of Contractor under Section 9. SOFTWARE MAINTENANCE & SUPPORT for the Deliverable. Contractor shall indicate in any prior written consent, which parts of the Deliverable being altered will continue to be subject to Section 9. SOFTWARE MAINTENANCE & SUPPORT and which will not. The State understands and agrees that Contractor may develop and market a new or substantially different product that either uses or performs all or part of the functions performed by an installed Deliverable or System. Nothing contained in this Agreement gives the State any rights, with respect to such new or different product, not granted to other product users.

20. FORCE MAJEURE

Neither party shall be responsible for delays or failures in its obligations herein due to any cause beyond its reasonable control. Such causes shall include, but not be limited to, strikes, lockouts, riot, sabotage, rebellion, insurrection, acts of war or the public enemy, acts of terrorism, unavailable raw materials, telecommunication or power failure, fire, flood, earthquake, epidemics, natural disasters, and acts of God.

21. SOURCE CODE ESCROW

a) Contractor agrees to store their own intellectual property, at the expense of the Department, during the term of this Agreement at a third party site, as set forth in the pricing provided by the supplier, a copy of the most current source code, and any documentation and written instructions required to interpret said source code, for all Licensed Software Deliverables. Said third party site, source code, documentation and instructions will be affirmed to the Department in writing by Contractor within fourteen (14) days of a request of the Department. Contractor shall immediately arrange for the surrender of such source code, documentation and instructions to Department:

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1) If Contractor becomes insolvent or commits any act of bankruptcy or makes a general assignment for the benefit of creditors;

OR

2) If Contractor or its successors or assignees discontinues support of the Deliverables for any reason.

b) Contractor shall arrange so that the Department shall have the right at any time to contact the so identified third party and shall also arrange so the Department's audit personnel shall have full and free access to examine any such source code, documentation and written instructions for the purposes of ascertaining the existence of the source code and related documentation and instructions and for the verification of the continued validity of the instructions from the Contractor to the third party to release the source code, documentation and instructions to the Department under the circumstances specified in this section.

c) In no event shall a Department use the source code, documentation and written instructions for purposes other than satisfying Department needs. Title to any source code released to the State in compliance with this Section 20. shall remain with Contractor and the State shall continue to treat the released materials as valuable and proprietary trade secret information of Contractor in accordance with the terms of this Agreement, which terms shall expressly survive the termination or expiration of this Agreement. The State agrees that any released source code shall be used solely for the business purposes of Department and shall not be disclosed to any third party pursuant to this Agreement.

23. REMEDIES AND LIQUIDATED DAMAGES

23.1 UNDERSTANDING AND EXPECTATIONS

The Contractor agrees and understands that the Department or the State may pursue contractual remedies for both programmatic and financial noncompliance. The Department, at its discretion, may impose or pursue one or more remedies for each item of noncompliance and will determine sanctions on a case-by-case basis. The Department's pursuit or non-pursuit of a tailored administrative remedy shall not constitute a waiver of any other remedy that the Department may have at law or equity. The remedies described in this Section are directed to the Contractor's timely and responsive performance of the Deliverables.

23.2. ADMINISTRATIVE REMEDIES

a) Contractor responsibility for improvement: The Department expects the Contractor's performance to continuously meet or exceed performance criteria over the term of this Agreement. Accordingly, Contractor shall be responsible for ensuring that performance for a particular activity or result that fails to meet the requirements of the Project Implementation Summary or this Agreement must improve within thirty (30) days of written notice from the Department regarding the deficiency.

b) Notification and interim response: If the Department identifies areas of Contractor performance that fail to meet performance expectations, standards, or schedules, but which, in the determination of the Department, do not result in a material delay in the implementation or operation of the System, the Department will notify Contractor of such deficiency or exception. Contractor shall within three (3) business days of receipt of written notice of such a non-material deficiency, provide the Department Project Manager a written response that

1) Explains the reasons for the deficiency, the Contractor's plan to address or cure the deficiency, and

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the date and time by which the deficiency will be cured, or

- 2) If Contractor disagrees with the Department's findings, its reasons for disagreeing with the Department's findings. Contractor's proposed cure of a non-material deficiency is subject to the approval of the Department. Contractor's repeated commission of non-material deficiencies or repeated failure to resolve any such deficiencies may be regarded by the Department as a material deficiency and entitle the Department to pursue any other remedy provided in this Agreement or any other appropriate remedy the Department may have at law or equity.

c) Corrective Action Plan: the Department may require the Contractor to submit to the Department a detailed written plan (the "Corrective Action Plan") to correct or resolve the deficiency. The Corrective Action Plan must provide a detailed explanation of the reasons for the cited deficiency, the Contractor's assessment or diagnosis of the cause, and a specific proposal to cure or resolve the deficiency. The Corrective Action Plan must be submitted within ten (10) business days following the request for the plan by the Department and is subject to approval by the Department, which approval shall not unreasonably be withheld. Notwithstanding the submission and acceptance of a Corrective Action Plan, Contractor remains responsible for achieving all oral and written performance criteria.

The acceptance of a Corrective Action Plan under this Section shall not excuse prior substandard performance, relieve Contractor of its duty to comply with performance standards, or prohibit the Department from assessing additional remedies or pursuing other approaches to correct substandard performance.

d) Additional remedies: the Department at its own discretion may impose one or more of the following remedies for each item of noncompliance or sub-standard performance and will determine the scope and schedule of the remedy on a case-by-case basis. Both Parties agree that a state or federal statute, rule, regulation or guideline will prevail over the provisions of this Section unless the statute, rule, regulation, or guidelines can be read together with this Section to give effect to both.

- 1) Corrective Action Plans
- 2) Additional, more detailed, financial, programmatic and/or ad hoc reporting by the Contractor, at no cost to the Department, to address performance issues
- 3) Pass-through of a proportional share of federal disallowances and sanctions/penalties imposed on the State and resulting from the Contractor's performance or non-performance under this Agreement
- 4) Assess liquidated damages pursuant to 21.3., below, and deduct such damages against Contractor payments as set-off

The Department will formally notify the Contractor of the imposition of an administrative remedy in accordance with paragraph (b) of this Section. Contractor is required to file a written response to such notification in accordance with paragraph (b) of this Section.

e) Review of administrative remedies: Contractor may request a review of the imposition of the foregoing remedies. Contractor must make the request for review within ten (10) business days of receipt of written notification of the imposition of a remedy by the Department.

23.3 LIQUIDATED DAMAGES

The Parties acknowledge and agree that the damages that are to be expected as a result of a breach of contract by the Contractor are uncertain in amount or very difficult to prove. Accordingly, the Parties do intend and now agree to liquidate damages in advance and stipulate that the amount set forth in this Section is reasonable and an

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appropriate remedy as liquidated damages and not as a penalty. If the Contractor breaches this Contract, then Contractor shall pay State liquidated damages in an amount equal to [for example, three times the commercial price of _____].)a) In no event shall either party be liable for special, indirect or consequential damages except as may otherwise be provided for in this Agreement.

24. GENERAL PROVISIONS

a) Section headings and document titles used in this Agreement are included for convenience only and shall not be used in any substantive interpretation of this Agreement.

b) If any term or condition of this Agreement is decided by a proper authority to be invalid, the remaining provisions of the Agreement shall be unimpaired and the invalid provision shall be replaced by a provision which, being valid comes closest to the intention underlying the invalid provision.

c) The terms of all Deliverable(s), maintenance service rates/pricing, and associated offerings in this Agreement are equivalent to or better than those for comparable Contractor offerings to any other state or local government customer under like terms and conditions.

If during the life of this Agreement Contractor provides more favorable terms for said offerings to another such customer, this Agreement shall thereupon be deemed amended to provide same to the State.

d) The failure at any time by either party to this Agreement to require performance by the other party of any provision hereof shall not affect in any way the full right to require such performance at any time thereafter. The waiver by either party of a breach of any such provision shall not constitute a waiver of the provision itself, unless such a waiver is expressed in writing and signed by a duly authorized representative of the waiving party.

e) In any case where the consent or approval of either party is required to be obtained under this Agreement, such consent or approval shall not be unreasonably withheld or delayed. No such consent or approval shall be valid unless in writing and signed by a duly authorized representative of that party. Such consent or approval shall apply only to the given instance, and shall not be deemed to be a consent to, or approval of, any subsequent like act or inaction by either party.

f) The Department agrees not to remove or destroy any proprietary markings or proprietary legends placed upon or contained within any Deliverable.

g) Except as may be otherwise provided for in this Agreement, the Department shall not assign, mortgage, alter, relocate or give up possession of any lease Deliverable or Licensed Software Deliverable without the prior written consent of Contractor.

h) If the Department desires to obtain a version of the Licensed Software Deliverable that operates under an operating system not specified in the Specifications, Contractor shall provide said Department with the appropriate version of the Deliverable, if available, on a 60-day trial basis without additional charge, provided a Department has paid all applicable maintenance and support charges then due. At the end of the 60-day trial period, a Department must elect one of the following three options:

- 1) Department may retain and continue to use the old version of the Deliverable and return the new version to Contractor and continue to pay the applicable license fee and maintenance and support charge for the old version;

OR

- 2) Department may retain and use the new version of the Deliverable and return the old version to Contractor, provided that any difference in the applicable license fee and maintenance and support charge for the new version and such fee and charge for the old version is paid or refunded to the

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appropriate party;

OR

- 3) Department may retain and use both versions of the Deliverable, provided Department pays Contractor the applicable license fees and maintenance and support charges for both versions of the Deliverable.

i) Contractor covenants and agrees that it will not, without prior written consent from the State, make any reference to the Department or the State in any of Contractor's advertising or news releases.

j) Any Deliverable developed under this Agreement shall be the sole property of the State and the State shall have sole proprietary rights thereto. Contractor acknowledges and agrees that any program, process, equipment, proprietary know-how or other proprietary information or technology (and all associated documentation) that is produced or is the result of Contractor's performance of any work under this Agreement shall be owned solely by the State upon creation and Contractor shall have no rights in such property and Contractor agrees to execute any and all documents or to take any actions which may be necessary to fully effectuate the terms and conditions of this Section.

k) Neither Department nor Contractor shall employ an employee of the other party to this agreement for a period of one year after separation of that employee from the payroll of the other party or from the termination or expiration of this contract, whichever is later.

l) The Department, DOIT, the Connecticut Attorney General, or any of their duly authorized representatives, shall have access to any books, documents, papers and records of the Contractor, which are directly pertinent to the work to be performed under this contract, for the purpose of making audits, examinations, excerpts and transcriptions.

m) Time is of the essence: In consideration of the time limits for compliance with State law and Department procedures, time is of the essence on the performance of the Services under this Agreement.

25. COMMUNICATIONS

Unless notified otherwise by the other party in writing, correspondence, notices, and coordination between the parties to this Agreement as to general business matters or the terms and conditions herein should be directed to:

State: Connecticut Department of Information Technology
Contracts & Purchasing Division
101 East River Drive
East Hartford, CT 06108

Contractor: As stated in page one of this Agreement.

Details regarding Contractor invoices and all technical or day-to-day administrative matters pertaining to any Deliverable should be directed to:

Department: The individual specified in the applicable Purchase Order

Contractor: The individual designated by Contractor in their Proposal or as the Contractor may otherwise designate in writing to the Department.

26. AUDIT REQUIREMENT FOR STATE GRANTS

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For purposes of this paragraph, the word “contractor” shall be read to mean “non-state entity,” as that term is defined in Conn. Gen. Stat. § 4-230. The contractor shall provide for an annual financial audit acceptable to the Department for any expenditure of state-awarded funds made by the contractor. Such audit shall include management letters and audit recommendations. The State Auditors of Public Accounts shall have access to all Records and accounts for the fiscal year(s) in which the award was made. The contractor will comply with federal and state single audit standards as applicable.

27. WHISTLEBLOWER PROVISION

This Contract may be subject to the provisions of §4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of this Contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense.

The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty.

In accordance with subsection (f) of such statute, each large state contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

28. PUBLIC RECORDS PROVISION

The Contract may be subject to the provisions of section 1-218 of the Connecticut General Statutes. In accordance with this section, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.

29. FORUM AND CHOICE OF LAW

The Contract shall be deemed to have been made in the City of East Hartford, State of Connecticut. Both Parties agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

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30. TERMINATION OF AGREEMENT

Termination, Cancellation and Expiration.

a) Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may Terminate the Contract whenever the Agency makes a written determination that such Termination is in the best interests of the State. The Agency shall notify the Contractor in writing of Termination pursuant to this section, which notice shall specify the effective date of Termination and the extent to which the Contractor must complete Performance under the Contract prior to such date.

b) Notwithstanding any provisions in this Contract, the Agency, through a duly authorized employee, may, after making a written determination that the Contractor has breached the Contract, Cancel the Contract in accordance with the provisions in the Breach section of this Contract.

c) The Agency shall send the notice of Termination or Cancellation via certified mail, return receipt requested, to the Contractor at the most current address which the Contractor has furnished to the Agency for purposes of correspondence, or by hand delivery. Upon receiving such notice from the Agency, the Contractor shall immediately discontinue all services affected in accordance with the notice, undertake all commercially reasonable efforts to mitigate any losses or damages, and deliver to the Agency all Records.

The Records are deemed to be the property of the Agency and the Contractor shall deliver them to the Agency no later than thirty (30) days after the Termination, Cancellation or Expiration of the Contract or fifteen (15) days after the Contractor receives a written request from the Agency for the Records.

The Contractor shall deliver those Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT.

d) Upon receipt of a written notice of Termination or Cancellation from the Agency, the Contractor shall cease operations as directed by the Agency in the notice, and take all actions that are necessary or appropriate, or that the Agency may reasonably direct, for the protection and preservation of the Goods and any other property. Except for any work which the Agency directs the Contractor to Perform in the notice prior to the effective date of Termination or Cancellation, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further subcontracts, purchase orders or commitments.

e) In the case of any Termination or Cancellation, the Agency shall, within forty-five (45) days of the effective date of Termination or Cancellation, reimburse the Contractor for its Performance rendered and accepted by the Agency in accordance with Exhibit 1, in addition to all actual and reasonable costs incurred after Termination or Cancellation in completing those portions of the Performance which the Contractor was required to complete by the notice. However, the Contractor is not entitled to receive and the Agency is not obligated to tender to the Contractor any payments for anticipated or lost profits. Upon request by the Agency, the Contractor shall assign to the Agency, or any replacement contractor which the Agency designates, all subcontracts, purchase orders and other commitments, deliver to the Agency all Records and other information pertaining to its Performance, and remove from State premises, whether leased or owned, all such equipment, waste material and rubbish related to its Performance as the Agency may request.

f) For breach or violation of any of the provisions in the section concerning Representations and Warranties, the Agency may Cancel the Contract in accordance with its terms and revoke any consents to assignments given as if the assignments had never been requested or consented to, without liability to the Contractor or Contractor Parties or any third party.

g) Upon Termination, Cancellation or Expiration of the Contract, all rights and obligations shall be null and

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void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive Termination, Cancellation or Expiration of the Contract. All representations, warranties, agreements and rights of the parties under the Contract shall survive such Termination, Cancellation or Expiration to the extent not otherwise limited in the Contract and without each one of them having to be specifically mentioned in the Contract.

h) Termination or Cancellation of the Contract pursuant to this section shall not be deemed to be a breach of contract by the Agency.

31. STATE COMPTROLLER'S SPECIFICATIONS

In accordance with Conn. Gen. Stat. § 4d-31, this Agreement is deemed to have incorporated within it, and the Contractor shall deliver the Goods and Services in compliance with, all specifications established by the State Comptroller to ensure that all policies, procedures, processes and control systems, including hardware, software and protocols, which are established or provided by the Contractor or Contractor Parties, are compatible with and support the State's core financial systems, including but not limited to, accounting, payroll, time and attendance, and retirement systems.

32. CIO SUBCONTRACT APPROVAL

In accordance with Conn. Gen. Stat. § 4d-32, the Contractor shall not award a subcontract for work under this Agreement without having first obtained the written approval of the Chief Information Officer of the Department of Information Technology or their designee of the selection of the subcontractor and of the provisions of the subcontract.

The Contractor shall deliver a copy of each executed subcontract or amendment to the subcontract to the Chief Information Officer, who shall maintain the subcontract or amendment as a public record, as defined in Conn. Gen. Stat. § 1-200.

33. GENERAL ASSEMBLY ACCESS TO DOIT RECORDS

In accordance with Conn. Gen. Stat. § 4d-40, the Joint Committee on Legislative Management and each nonpartisan office of the General Assembly shall continue to have access to DOIT records that is not less than the access that said committee and such offices have on July 1, 1997.

34. CONTINUITY OF SYSTEMS

This Section is intended to comply with Conn. Gen. Stat. §4d-44. The Contractor acknowledges that the Systems and associated services are important to the function of State government and that they must continue without interruption. Pursuant to Conn. Gen. Stat. §4d-44, if the work under the Agreement, any subcontract, or amendment to either, is transferred back to the State or to another Contractor at any time for any reason, then for a period of six (6) months, or for a mutually agreeable time from the date transfer was initiated, the Contractor shall cooperate fully with the State, and do and perform all acts and things that the State deems to be necessary or appropriate, at Contractor's then-current labor rates for such services, to ensure continuity of state agency information system and telecommunication system facilities, equipment and services so that there is no disruption or interruption in Performance as required or permitted in the Agreement. The Contractor shall not enter into any subcontract for any part of the Performance under the Agreement without approval of such subcontract by the State, as required by Conn. Gen. Stat. §4d-32, and without such subcontract including a provision that obligates the subcontractor to comply fully with Conn. Gen. Stat. §4d-44 as if the subcontractor were in fact the Contractor. The Contractor shall make a full and complete disclosure of and delivery to the State or its representatives of all Records and "Public Records," as that term is defined in Conn. Gen. Stat. §4d-33, as it may be amended, in whatever form they exist or are stored and maintained and wherever located, directly or indirectly concerning the Agreement

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The parties shall follow the following applicable and respective procedures in order to ensure the orderly transfer to the State of: (1) such facilities and equipment: Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all Systems related to or arising out of the Agreement, subcontract or amendment, no later than 10 days from the date Contractor shall deliver the Systems to the State, during the State's business hours, in good working order and in appropriately protective packaging to ensure delivery without damage.

Concurrent with this delivery, the Contractor shall also deliver all Systems-related operation manuals and other documentation in whatever form they exist and a list of all Systems passwords and security codes;

(1) all software created or modified pursuant to the Agreement, subcontract or amendment: all software, including all applicable licenses, purchased, created or modified pursuant to the contract, subcontract or amendment--Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all software, including all applicable licenses, purchased, created or modified pursuant to the Agreement, subcontract or amendment no later than 10 days from the date that the work under the Agreement is transferred back to the State or to another Contractor for any reason.

The Contractor shall deliver to the State, during the State's business hours, the software, including its source code, if applicable, in good working order, readily capable of being maintained and modified, and housed in appropriately protective packaging or hardware to ensure delivery without damage. Concurrent with this delivery, the Contractor shall also deliver all related operation manuals and other documentation in whatever form they exist and a list of all applicable passwords and security codes. The Contractor shall deliver record layouts, including field attributes, field descriptions, key field identification and any available documentation to support the Department with moving their data into a replacement application; and (3) all Public Records, as defined in Conn. Gen. Stat. §4d-33, which the Contractor or Contractor Parties possess or create pursuant to the Agreement subcontract or amendment-- Unless a shorter period is necessary or appropriate to ensure compliance with subsection (a) above, in which case that shorter period shall apply, the Contractor shall deliver to the State, F.O.B. East Hartford, Connecticut or other State location which the State identifies, all Records and Public Records created or modified pursuant to the Agreement, subcontract or amendment no later than the latter of (1) the time specified in the section in this Agreement concerning Termination for the return of Records and (2) 10 days from the date that the work under the Agreement is transferred back to the State or to another Contractor for any reason.

The Contractor shall deliver to the State those Records and Public Records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT. The Contractor shall deliver to the State, during the State's business hours, those Records and Public Records and a list of all applicable passwords and security codes, all in appropriately protective packaging to ensure delivery without damage.

Upon Termination of the Agreement for any reason, the Contractor shall provide the State a copy of any and all data provided, created, or in any way handled by the Contractor under the terms of this contract. In addition, upon Termination of the Agreement for any reason, any and all data provided to the Contractor that originated in any way from the State shall be expunged from any and all media not owned by the State. The expungement shall include all types of media, including but not limited to, hard drives, removable media including backup media, and volatile and non-volatile memory of all types. Expungement is intended to mean removal in such a way as to make restoration or retrieval impossible.

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If the Contractor employs former State employees, the Contractor shall facilitate the exercising of any reemployment rights that such State employees may have with the State, including, but not limited to, affording them all reasonable opportunities during the workday to interview for State jobs. The Contractor shall include language similar to this section in all of its Agreements with its subcontractors and applicable Contractor Parties so that they are similarly obligated.

35. RIGHTS TO PUBLIC RECORDS

In accordance with Conn. Gen. Stat. § 4d-34, (a) neither the Contractor nor Contractor Parties shall have any Title in or to (1) any public records which the Contractor or Contractor Parties possess, modify or create pursuant to a contract, subcontract or amendment to a contract or subcontract, or (2) any modifications by such contractor, subcontractor, employee or agent to such public records; (b) neither the Contractor nor Contractor Parties shall impair the integrity of any public records which they possess or create; and (c) public records which the Contractor or Contractor Parties possess, modify or create pursuant to this Agreement or other contract, subcontract or amendment to a contract or subcontract shall at all times and for all purposes remain the property of the State. For purposes of this section, “public records” shall have the meaning set forth in Conn. Gen. Stat. § 1-200, as it may be modified from time to time.

36. PUBLIC RECORDS AND FOIA

In accordance with Conn. Gen. Stat. § 4d-35, any public record which a state agency provides to the Contractor or Contractor Parties shall remain a public record for the purposes of subsection (a) of section 1-210 and as to such public records, the State, the Contractor and Contractor Parties shall have a joint and several obligation to comply with the obligations of the state agency under the Freedom of Information Act, as defined in section 1-200, provided that the determination of whether or not to disclose a particular record or type of record shall be made by such state agency.

37. DISCLOSURE OF PUBLIC RECORDS

In accordance with Conn. Gen. Stat. § 4d-36, neither the Contractor nor Contractor Parties shall disclose to the public any public records (a) which they possess, modify or create pursuant to this Agreement or any contract, subcontract or amendment to a contract or subcontract and (b) which a state agency (1) is prohibited from disclosing pursuant to state or federal law in all cases, (2) may disclose pursuant to state or federal law only to certain entities or individuals or under certain conditions or (3) may withhold from disclosure pursuant to state or federal law. This provision shall not be construed to prohibit the Contractor from disclosing such public records to any Contractor Parties to carry out the purposes of its subcontract. For purposes of this section, “public records” shall have the meaning set forth in Conn. Gen. Stat. § 1-200, as it may be modified from time to time.

38. PROFITING FROM PUBLIC RECORDS

In accordance with Conn. Gen. Stat. § 4d-37, neither the Contractor nor Contractor Parties shall sell, market or otherwise profit from the disclosure or use of any public records which are in their possession pursuant to this Agreement or any contract, subcontract or amendment to a contract or subcontract, except as authorized in this Agreement. For purposes of this section, “public records” shall have the meaning set forth in Conn. Gen. Stat. § 1-200, as it may be modified from time to time.

39. CONTRACTOR’S OBLIGATION TO NOTIFY DOIT CONCERNING PUBLIC RECORDS

In accordance with Conn. Gen. Stat. § 4d-38, if the Contractor or Contractor Parties learn of any violation of the provisions of Conn. Gen. Stat. §§ 4d-36 or 4d-37 they shall, no later than seven calendar days after learning of such violation, notify the Chief Information Officer of such violation.

40. TANGIBLE PERSONAL PROPERTY

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a) The Contractor on its behalf and on behalf of its Affiliates, as defined below, shall comply with the provisions of Conn. Gen. Stat. §12-411b, as follows:

(1) For the term of the Contract, the Contractor and its Affiliates shall collect and remit to the State of Connecticut, Department of Revenue Services, any Connecticut use tax due under the provisions of Chapter 219 of the Connecticut General Statutes for items of tangible personal property sold by the Contractor or by any of its Affiliates in the same manner as if the Contractor and such Affiliates were engaged in the business of selling tangible personal property for use in Connecticut and had sufficient nexus under the provisions of Chapter 219 to be required to collect Connecticut use tax;

(2) A customer's payment of a use tax to the Contractor or its Affiliates relieves the customer of liability for the use tax;

(3) The Contractor and its Affiliates shall remit all use taxes they collect from customers on or before the due date specified in the Contract, which may not be later than the last day of the month next succeeding the end of a calendar quarter or other tax collection period during which the tax was collected;

(4) The Contractor and its Affiliates are not liable for use tax billed by them but not paid to them by a customer; and

(5) Any Contractor or Affiliate who fails to remit use taxes collected on behalf of its customers by the due date specified in the Contract shall be subject to the interest and penalties provided for persons required to collect sales tax under chapter 219 of the general statutes.

b) For purposes of this section of the Contract, the word "Affiliate" means any person, as defined in section 12-1 of the general statutes, that controls, is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten per cent of the voting securities of the other person. The word "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest.

c) The Contractor represents and warrants that each of its Affiliates has vested in the Contractor plenary authority to so bind the Affiliates in any agreement with the State of Connecticut. The Contractor on its own behalf and on behalf of its Affiliates shall also provide, no later than 30 days after receiving a request by the State's contracting authority, such information as the State may require to ensure, in the State's sole determination, compliance with the provisions of the Act.

41. INDEMNIFICATION AND HOLD HARMLESS

a) The Contractor shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims arising, directly or indirectly, in connection with the Contract, including the acts of commission or omission (collectively, the "Acts") of the Contractor or Contractor Parties; and (2) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Contract. The Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this section. The Contractor's obligations under this section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the Bid or any Records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or un-copyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the Performance of the Contract.

b) The Contractor shall reimburse the State for any and all damages to the real or personal property of the State

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caused by the Acts of the Contractor or any Contractor Parties. The State shall give the Contractor reasonable notice of any such Claims.

c) The Contractor's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the Contract, without being lessened or compromised in any way, even where the Contractor is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.

d) The Contractor shall carry and maintain at all times during the term of the Contract, and during the time that any provisions survive the term of the Contract, sufficient general liability insurance to satisfy its obligations under this Contract. The Contractor shall name the State as an additional insured on the policy and shall provide a copy of the policy to the Agency prior to the effective date of the Contract. The Contractor shall not begin Performance until the delivery of the policy to the Agency.

e) The rights provided in this section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.

f) This section shall survive the Termination, Cancellation or Expiration of the Contract, and shall not be limited by reason of any insurance coverage.

42. NON-WAIVER OF IMMUNITY

Sovereign Immunity. The parties acknowledge and agree that nothing in the Solicitation or the Contract shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the Contract. To the extent that this section conflicts with any other section, this section shall govern.

43. SUMMARY OF STATE ETHICS LAWS

Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Agreement.

44. CAMPAIGN CONTRIBUTION RESTRICTION

For all State contracts as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See attached SEEC Form 11 – Attachment 1.

45. EXECUTIVE ORDERS

The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance

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with their respective terms and conditions. The Contract is also subject to the provisions of Executive Order No. Nineteen of Governor M. Jodi Rell, promulgated June 19, 2008 requiring the use of a System Development Methodology (SDM) for all information technology (IT) projects in the Executive Branch.

46. NONDISCRIMINATION PROVISIONS

References in this section to "contract" shall mean this Contract and references to "contractor" shall mean the Contractor.

The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes:

(1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

"Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to

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comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

The contractor shall include the provisions of sections (a) and (b) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes:

(1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56.

The contractor shall include the provisions of section (g) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of

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Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

For the purposes of this entire Non-Discrimination section, "contract" includes any extension or modification of the contract, "contractor" includes any successors or assigns of the contractor, "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced, and "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders. For the purposes of this section, "contract" does not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

47. OWNERSHIP OF DATA

It is understood and agreed by Contractor that any and all data hosted by Contractor on behalf of the State of Connecticut will remain the sole property of the State and the State retains any and all ownership of such data. It is further understood that at no time will Contractor have ownership of any data held within the system.

48. HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA)

a) This Section may or may not apply. If an appropriate party or entity determines that it does apply, then for purposes of this Section the following definitions shall apply:

- (1) "Business Associate" shall mean the Contractor.
- (2) "Covered Entity" shall mean the Agency.
- (3) "Designated Record Set" shall have the same meaning as the term "designated record set" in 45 C.F.R. §164.501.
- (4) "Individual" shall have the same meaning as the term "individual" in 45 C.F.R. §160.103 and shall include a person who qualifies as a personal representative as defined in 45 C.F.R. § 164.502(g).
- (5) "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and parts 164, subparts A and E.
- (6) "Protected Health Information" or "PHI" shall have the same meaning as the term "protected health information" in 45 C.F.R. § 160.103, limited to information created or received by the Business Associate from or on behalf of the Covered Entity.
- (7) "Required by Law" shall have the same meaning as the term "required by law" in 45 C.F.R. § 164.103.
- (8) "Secretary" shall mean the Secretary of the Department of Health and Human Services or his designee.
- (9) "More stringent" shall have the same meaning as the term "more stringent" in 45 C.F.R. §160.202.
- (10) "This Section of the Contract" refers to the HIPAA Section of this Contract, in its entirety.
- (11) "Security Incident" shall have the same meaning as the term "security incident" in 45 C.F.R. § 164.304.
- (12) "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. part 160 and parts 164, subpart A and C.

b) If the Contactor is a Business Associate under the Health Insurance Portability and Accountability Act of

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1996 (“HIPAA”), the Contractor shall comply with all terms and conditions of this Section of the Contract. If the Contractor is not a Business Associate under HIPAA, this Section of the Contract does not apply to the Contractor for this Contract.

c) The Contractor and the Agency shall safeguard the use, publication and disclosure of information on all applicants for, and all clients who receive, services under the Contract in accordance with all applicable federal and state laws regarding confidentiality, which includes but is not limited to the requirements of HIPAA, more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E.

d) The Agency is a “covered entity” as that term is defined in 45 C.F.R. § 160.103.

e) The Contractor, on behalf of the Agency, performs functions that involve the use or disclosure of “individually identifiable health information,” as that term is defined in 45 C.F.R. § 160.103.

f) The Contractor is a “business associate” of the Agency, as that term is defined in 45 C.F.R. §160.103.

g) Obligations and Activities of Business Associates

(1) Business Associate shall not use or disclose PHI other than as permitted or required by this Section of the Contract or as Required by Law.

(2) Business Associate shall use appropriate safeguards to prevent use or disclosure of PHI other than as provided for in this Section of the Contract.

(3) Business Associate shall use administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of electronic PHI that it creates, receives, maintains, or transmits on behalf of the Covered Entity.

(4) Business Associate shall mitigate, to the extent practicable, any harmful effect that is known to the Business Associate of a use or disclosure of PHI by Business Associate in violation of this Section of the Contract.

(5) Business Associate shall report to Covered Entity any use or disclosure of PHI not provided for by this Section of the Contract or any Security Incident of which it becomes aware.

(6) Business Associate shall insure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by Business Associate, on behalf of the Covered Entity, shall agree to the same restrictions and conditions that apply through this Section of the Contract to Business Associate with respect to such information.

(7) Business Associate shall provide access, at the request of the Covered Entity, and in the time and manner agreed to by them, to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524.

(8) Business Associate shall make any amendments to PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 C.F.R. § 164.526 at the request of the Covered Entity, and in the time and manner agreed to by them.

(9) Business Associate shall make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created or received by, Business Associate on behalf of Covered Entity, available to Covered Entity or to the Secretary in a time and manner agreed to by them or designated by the Secretary, for purposes of the Secretary determining Covered Entity’s compliance with the Privacy Rule.

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(10) Business Associate shall document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. §164.528.

(11) Business Associate shall provide to Covered Entity, in a time and manner agreed to by the parties, information collected in accordance with subsection 10 of this Section of the Contract, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.

(12) Business Associate shall comply with any State law that is More Stringent than the Privacy Rule.

(i) Permitted Uses and Disclosure by Business Associate

(1) General Use and Disclosure. Except as otherwise limited in this Section of the Contract, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Contract, provided that such use or disclosure would not violate the Privacy Rule if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.

(2) Specific Use and Disclosure.

(A) Except as otherwise limited in this Section of the Contract, Business Associate may use PHI for the proper management and administration of Business Associate or to carry out the legal responsibilities of Business Associate.

(B) Except as otherwise limited in this Section of the Contract, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.

(C) Except as otherwise limited in this Section of the Contract, Business Associate may use PHI to provide Data Aggregation services as defined in 45 C.F.R. §164.501, to Covered Entity as permitted by 45 C.F.R. § 164.504(e)(2)(i)(B).

(j) Obligations Of Covered Entity

(1) Covered Entity shall notify Business Associate of any limitations in its notice of privacy practices of Covered Entity, in accordance with 45 C.F.R. 164.520, or to the extent that such limitation may affect Business Associate's use or disclosure of PHI.

(2) Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual to use or disclose PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI.

(3) Covered Entity shall notify Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(k) Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by the Covered Entity, except that Business Associate may use and disclose PHI for Data Aggregation, and management and administrative activities of Business Associate, as

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permitted under this Section of the Contract.

(1) Term and Termination (1) The term of this Section of the Contract shall be effective as of the date the Contract is effective and shall Terminate or Expire when all of the PHI provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.

(2) Upon Covered Entity's knowledge of a material breach of this Section by Business Associate, Covered Entity shall either proceed in accordance with the Breach section of this Contract or, if neither Cancellation nor a cure is feasible, then Covered Entity shall report the breach to the Secretary.

(A) Effect of Termination, Cancellation and Expiration. Except as provided above, upon Termination, Cancellation or Expiration of this Contract, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.

(B) In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon documentation by Business Associate that return or destruction of PHI is infeasible, Business Associate shall extend the protections of this Section of the Contract to such PHI and limit further uses and disclosures of PHI to those purposes that make return or destruction infeasible, for as long as Business Associate maintains such PHI. Infeasibility of the return or destruction of PHI includes, but is not limited to, requirements under state or federal law that the Business Associate maintains or preserves the PHI or copies thereof.

(m) Miscellaneous Provisions

(1) A reference in this Section of the Contract to a section in the Privacy Rule means the section as in effect or as amended.

(2) The Parties shall take such action as is necessary to amend this Section of the Contract from time to time as is necessary for Covered Entity to comply with requirements of the Privacy Rule and HIPAA.

(3) The respective rights and obligations of Business Associate under this section of the Contract shall survive the Termination or Cancellation of this Contract.

(4) This Section of the Contract shall be construed as broadly as necessary to implement and comply with the Privacy Standard. Any ambiguity in this Section of the Contract shall be resolved in favor of a meaning that complies, and is consistent with, the Privacy Standard.

(5) Covered Entity makes no warranty or representation that compliance with this Section of the Contract will be adequate or satisfactory for Business Associate's own purposes. Covered Entity shall not be liable to Business Associate for any Claim related to or arising from the unauthorized use or disclosure of PHI by Business Associate or any Contractor Parties or any other party to whom Business Associate has disclosed PHI pursuant to this Section of the Contract.

Business Associate is solely responsible for all decisions made, and actions taken, by Business Associate regarding the safeguarding, use and disclosure of PHI within its possession, custody or control.

49. TERMS AND CONDITIONS

Any terms, conditions or provisions contained in a Purchase Order, Product Schedule Update, Statement of

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Work or any other similar document shall be of no force and effect and shall in no way affect, change or modify any of the terms and conditions of this Agreement.

50. WORKERS' COMPENSATION

Contractor agrees to carry sufficient workers' compensation and liability insurance in a company, or companies, licensed to do business in Connecticut, and furnish certificates if required.

51. ENTIRETY OF AGREEMENT

This Agreement includes the SIGNATURE PAGE OF AGREEMENT. To the extent the provisions of the previously mentioned Deliverable Pricing Schedule, the Project Implementation Summary, the Project Implementation Schedule and any aforementioned Attachment do not contradict the provisions of Sections 1 through 48 of this Agreement, said documents are incorporated herein by reference and made a part hereof as though fully set forth herein. This Agreement, as thus constituted, contains the complete and exclusive statement of the terms and conditions agreed to by the parties hereto and shall not be altered, amended, or modified except in writing executed by an authorized representative of each party.

THE REMAINDER OF THIS PAGE IS LEFT BLANK INTENTIONALLY

SIGNATURE PAGE OF AGREEMENT

This Agreement is entered into by authority of Sections 4d-2, 4d-5 and 4d-8 of the General Statutes.

FOR: _____ FOR: STATE OF CONNECTICUT

BY: _____ BY: _____

NAME: _____ Richard Bailey
TITLE: _____ Deputy Chief Information Officer
_____ Department of Information Technology
_____ duly authorized

DATE: _____ DATE: _____

APPROVED AS TO FORM:

Attorney General of the State of Connecticut

DATE: _____

Attachment 6 – Department of Correction Offender Management Requirements Specification

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CTDOC Offender Management Information System

1.0 Introduction

This document and the referenced appendices contain the Business and Technical Requirements for the State of Connecticut's Department of Correction's (CTDOC) Offender Management Information System Project.

The goal of this project is to provide CTDOC with a new offender management information system that supports end to end offender management, automates workflows and provides robust reporting.

CTDOC is interested in retiring several of its current systems and replacing them with a new Offender Management System (OMS). A core goal of this modernization is to provide extensive new functionality without taking away existing features/capabilities.

CTDOC has undertaken extensive effort in gathering high-level requirements for the new system. These requirements are componentized into 28 Business Categories (BC) which map to offender related business processes within CTDOC. An executive summary for each business category is provided within this document under section 6.0 (Current Processes). These summaries by design have a system feature slant to them.

Each of the 28 BC documents are attached as part of this RFP. There is an expectation that the chosen vendor will gather and document detailed requirements as part of delivering the new system.

2.0 Primary Users

The primary intended users of the OMS are:

- The Connecticut Department of Correction (CTDOC) including community supervision
- The Connecticut Board of Pardons and Paroles

Other users include:

- Court Operations
- Probation Officers
- Local & State Law Enforcement Agencies
- General Public (certain view only information)
- University of Connecticut, Correctional Managed Health Care

3.0 Business Objectives

- Streamline Business Processes through Business Process Design and Re-engineering delivering consistency and efficiency across the agency from Admission through Release
- Implement a comprehensive offender management information system that significantly increases business process automation
- Transition from an architecture of disparate systems to an integrated set of components supporting end to end functionality
- Automate workflows/tasks and incorporate alerts/messaging
- Create a single data entry environment across the enterprise (enter once and utilize multiple times)
- Build robust reporting, querying and dashboards with drill down features

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- Retire outdated systems
- Mitigate the risk of legacy system failure by replacing it with a new technology platform

4.0 Scope

- Streamlining administrative processes
- End to end system managing from admission through release
- Agency Data Consolidation
- Basic canned reports
- Robust work-flows for 5 key business process functions (Ex: Intake, Classification, Parole consideration, Release, community supervision)
- Integration with email for alerts, progression, approvals etc
- Electronic Mittimus
- Migrate data from multiple legacy systems into a single unified agency wide data repository
- Offense Information from other law enforcement
- Integration with DOC records
- Robust reporting, querying and dashboards with drill down
- Workflow supporting creation, collaboration and approval
- E-storage (including scanning), organization, transmission, retrieval and archival
- Integration with email/Office
- Security and auditing

5.0 Current Processes

Intake / Booking

The reception and initial commitment of an offender into the system is an essential phase that verifies and gathers accurate demographic information. This also establishes the foundation of need for the offender's supervision period. The intake assessment and interview provides the first DOC contact with the offender to determine immediate security and clinical needs. During this time, the offender is oriented to rules, regulations, services, and program/activities for their supervision. Concurrently, for sentenced inmates the official committal or revocation documents are processed to determine incarceration length and all relevant aspects of initial time calculation.

The offender is processed through a variety of clinical, programmatic and testing profiles to determine the needs and parameters of management for the offender's period of supervision. Upon completion of the initial intake interview and health care screening, the initial housing assignment is determined. Further diagnostic testing and health care exams are then conducted. Based on the combination of custody level, programmatic, and clinical requirements, this information is then used to determine the institution (and security level) where the offender will be placed. The offender will then be scheduled for transfer to an institution/housing unit that can manage the particular offender profile.

Offender Party Information and identification.

The purpose of the Offender Identification Business Category is to ensure that an offender is accurately identified throughout the custody lifecycle (including multiple incarcerations) within CTDOC. This involves linking any aliases or other identifying elements to the offender's system record with the ability look-

CTDOC Offender Management Information System

up/verify identity of an offender at any point of encounter with an offender while in custody (administration of medication, movement of offenders, feeding etc.)

These requirements describe functionality for collecting, searching, displaying and updating offender personal identification, emergency or next of kin contact, photograph identification, face sheet creation, alias identification, fingerprint identification, retina scans, court documentation etc. A majority of the initial data collection, verification and creation of offender account is done as part of the Intake/booking process.

Property Management Requirements

This process group describes functions for tracking offender property and establishes a personal property list for male and female offenders based on custody level. Items are described and assigned to an ascribed location (e.g., cages, boxes) with a unique locator number. All items issued to offenders by the facility are tracked. Established functions include the receipt, transfer, storage, maintenance, release, and disposal of offender personal property.

Housing Requirements

Housing assignments initially occur during booking when housing is first assigned. Offenders can be reassigned to different housing units after initial classification or when certain status changes take place. Staff can initiate a house assignment change or when information is received from various processes such as classification, disciplinary, medical or intelligence indicates a need for a housing assignment change.

Housing units are set up with restrictions that are predefined by each facility.

Inmate Calendaring and Event Scheduling Requirements

Scheduling an offender for events is an essential phase that determines an offender's movement in and out of the facility. An offender can be scheduled for many events to include court, parole hearings, and programs. Based on viewing an offender's calendar will assist in allowing an offender to be removed from his housing location.

In addition, offenders are scheduled for privileged phone calls. Privileged phone calls are defined as any phone call placed by a staff member for an offender on a non-monitored telephone. Scheduling refers to immediate or future designated times, such as a death in the family or an attorney call.

An offender can be set up for many events at the same time but can only attend one of the events. Some events take precedent over other events with courts scheduling being a priority. Even in the court process an offender can only attend one court location. The exception to that would be in some instances you can have a Superior Court in a geographical area is in the same location as a Judicial District court. In these cases the offender can be set up for court on the same day in these different courts.

Inmate Records Requirements

The Offender Record holds all the information on an offender throughout his/her entire incarceration(s). An offender records is created when an offender first enters the CTDOC custody. An offender's record will hold all his/her charged information, sentencing information, classification, disciplinary reports, photo, program information and other miscellaneous information. An offender record will be archived after an offender has not been back in our custody within 3 years for misdemeanor offenses and 25 years for a felony offense after an offender discharges.

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Warrants and Detainers Requirements

This process area deals with processing and tracking potential and actual warrants or detainers placed on CTDOC offenders by other law enforcement agencies and the corresponding effects on an offender's housing level, commitment status, release and probation or parole. It also deals with the release procedure permitting another law enforcement agency to assume custody of a CTDOC offender.

CTDOC issued applications for warrants, parole warrants and detainers are used to notify other law enforcement agencies when an offender has escaped or absconded from the jurisdiction of the CTDOC. CTDOC warrants, in conjunction with the Board, are also used to issue/cancel escape warrants, warrants as detainers only, and parole holds. It is also used to create All Points Bulletins (APBs) and Escape Bulletins. The current process creates, maintains, and tracks warrants for parole.

Sentencing and Time Calculation Requirements

The function of sentencing and calculation encompasses the initial projection of an offender's release date based upon the length of incarceration and application of credit time using applicable statutes and case law. The projected release date continues to be recalculated during the incarceration and/or supervision period. In addition, amendments to the original sentence or other actions may occur that can reduce or increase the length of incarceration and/or supervision. An accumulative history of sentencing data is maintained.

Nutritional Services Requirements

The Food Services Unit has the enormous responsibility of preparing meals for each inmate three times a day, 365 days a year. This translated into 20,857,170 meals being served during fiscal year 2007/2008. This was achieved by means of cook/chill food service technology. Meals are also provided on a daily basis for work details, court trips and meals for Judicial Marshals. This process allowed the Food Production Center at York CI to provide cook/chill items to all DOC facilities. The Food Services Unit is committed to the Connecticut economy by purchasing produce from local farms, as well as procuring products made in the State of Connecticut.

Classification and Assessment Requirements

Classification is the ongoing process of collecting and evaluating information about each inmate to determine the inmate's risk and need level for appropriate confinement location, treatment, programs, and employment assignment whether in a facility or the community.

The Department of Correction's classification system is centrally managed by the Director of Offender Classification and Population Management and locally managed at the facility level by the Unit Administrator. The term "Unit Administrator" refers to the person in charge of a correctional institution, correctional center, pre-release center, or community service region. The term "facility" refers to any place of correctional confinement, and encompasses correctional institutions, correctional centers, community release programs, and other correctional units maintaining custody of inmates.

The system is based upon objective principles and criteria designed to reduce arbitrary or inconsistent decisions. Classification decisions should balance inmate, departmental, and public interest while preparing inmates for their reintegration to society. The classification system shall not be used to discriminate, based on race, creed, color, or national origin.

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Movements and Transfers Requirements

This process area will record the assignment of offenders within the CTDOC which may include transfers from institution to community, institution to institution, community to institution and community to community. Each location is responsible for the processing of offenders in and out of their location, which may include posting of the offender's arrival and departure to calculate various count information.

For community supervision this encompasses assigning an offender to an officer's caseload, to transfer cases between offices and track caseload supervision counts.

Institutional movements and transfers include the planning and execution of the movement of offenders within an institution and temporary movements including bed moves, off-counts (courts, medical, work release, etc.).

Population Management Requirements

The current transfer program draws from multiple classification, records and disciplinary screens. The Offender Classification and Population Management Unit (OCPM) is responsible for the administrative management of the offender population through oversight of inmate classification, time computation and record keeping, movement of all inmates within the system, and the assessment of offenders serving sentences greater than two years. OCPM Unit staff members conduct classification and records audits throughout the Department and provide training and technical assistance for both DOC personnel and many outside criminal justice agencies. The OCPM Unit is responsible for determining appropriate confinement assignments while ensuring maximum application of all available resources, completing 71,132 inmate transfers in fiscal year 2007/2008. OCPM also participates in the Corrections Compact for interstate transfers with 31 other states and the Federal Bureau of Prisons. OCPM assessment counselors collaborate with parole staff in interviewing and evaluating the inmates during the assessment process. Resources utilized this fiscal year by OCPM include assisting the Court Support Services Division (Jail Re-interview Program) designed to release low risk pre-trial offenders.

Violations and Disciplinary Actions Requirements

This process requires formal and informal procedures based on the seriousness of the events. The process of administering the violation process and its procedures are different from the legal process wherein the same event may travel through the judicial system as it completes a separate discipline route. Therefore the appropriate documentation and tracking of all events that occur is important for legal and administrative purposes. The statistical tracking assists administrators in determining high-risk concerns and problem offenders. The information also identifies trends and security gaps.

Grievance / Complaints Requirements

The purpose of this business function is to ensure any offender under the department's supervision may appeal departmental decisions, actions, conditions, or policies, or individual treatment which they can demonstrate as having an adverse effect upon their welfare. The final decisions of the department cannot be appealed and conclude the offender's departmental administrative remedy. This is currently a manual process.

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Offender Employment Requirements

The purpose of the offender employment business category is to consider, interview and assign offenders to jobs while incarcerated. An offender is not entitled or expected to work, however CTDOC provides offenders job assignment opportunities based on certain requirements outlined in facility specific job catalogs, work experience, disciplinary history and special management concerns. A reasonable expectation is placed on the offender to submit requests to areas of interest to be considered for job placement. Area supervisors inform the Classification committee of an anticipated vacancy to be filled by an offender who has been reviewed and interviewed for job placement. The classification of offenders to job assignments is an important phase during initial incarceration and throughout incarceration as this process assists the offender in working toward goals to aid in discharge planning.

Offender Associations / Intelligence Requirements

This process group captures Offender Association information in an offender's file and is secured with restricted access to detailed information.

The identification process begins during the Intake process with monitoring and evidence collection continuing throughout an offender's supervision term. Before an association can be documented, evidence collected must be reviewed by appropriate staff and association type determined.

This process group describes functional requirements pertaining to phone calls as well as legal and personal correspondence of offenders.

Visitation Requirements

This process group describes functions for visitor application, scheduling a visit, processing all visit attempts, suspension, termination or denial of visits or visitor including clergy, legal representation and professional privileged.

Education Requirements

The Unified School District #1 (USD #1) is a legally vested school district and must comply with the same State and Federal mandates as all other public schools. Offenders under 18 years of age are mandated to attend school. The USD #1 enrolls approximately 10,600 students per school year with an average daily enrollment of 2,800 students. Within the DOC there are 18 schools, one located in each of the correctional facilities, that provides instruction from certified academic and vocational instructors. The USD #1 curriculum is based on the State of Connecticut Department of Education Frameworks.

Programs and Activities Requirements

Programs within a correctional setting promote the need for self-improvement and pro-socialization. Programs also increase public safety by providing the offender with work/training skills, thereby reducing the risk of recidivism once the offenders are released from supervision. Offender programs can address a wide variety of education needs, treatment needs, life skills and vocational skills. The primary goals of the training incentive programs are to help offenders acquire or improve appropriate skills, attitudes, and behaviors which will promote pro-social choices, reduce criminal behavior, and facilitate successful community re-integration after release from supervision.

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Offenders may be assessed to participate in programs based on their Offender Accountability Plan, current offense, recidivism, needs assessment, and historical criminal record information. Assignments to programs must be consistent with the offender's current classification, security, and supervision requirements as well as the needs of the program or facility. Once an offender is placed into a program, his / her performance within that program is monitored for progress based on a definitive set of performance measures.

Substance abuse treatment within correctional and community settings promote the need for recovery from substance abuse disorders. Substance abuse treatment also increases public safety by resolving a strong motivator for criminal behavior. Substance abuse treatment removes the primary obstacle of successful reintegration to the community, and should be provided in a continuum from the correctional setting into the community.

Offenders may be referred to participate in substance abuse treatment programs based on their Offender Accountability Plan and substance abuse treatment needs assessment. Once placed in treatment, performance is monitored and documented by industry standards as a functional piece of the treatment.

CTDOC offers two separate but related services for offenders. One is Substance Abuse Assessments for individuals sentenced to two years or more, as well as court ordered and BoPP mandated assessments. The assessment tools are the Addiction Severity Index (ASI), the Texas Christian University Drug Screen (TCUDS), and the Adult Substance Use Survey (ASUS) tool.

Treatment Programs – CTDOC renders substance abuse services to incarcerated offenders based on varying levels of need: moderate, severe and chronic. Modes of treatment programming include: outpatient, intensive outpatient, residential and therapeutic communities. Treatment modalities include cognitive behavioral therapy, therapeutic community, recovery groups and relapse prevention co-occurring disorders DUI treatment. Referrals come from self, Offender Accountability Plan, Board of Pardons and Parole and Parole technical violators unit.

Substance abuse treatment information is recorded and maintained to provide for appropriate treatment and continuity of care. Treatment data is required by statute to be reported to the CT Department of Addiction Services. Information regarding substance abuse treatment need and subsequent program involvement plays a critical role in release planning. The Offender Accountability Plan has substance abuse as one of the cornerstones identified for referrals. Accurate and timely access to treatment data, discharge summaries and re-entry plans allow for appropriate aftercare planning and referral.

Inmate Banking / Restitution Requirements

CTDOC acts as trustee of all monies received on behalf of offenders upon transfer to custody as well as during their supervision period and until the offender is discharged. This process group provides offenders the ability to conduct their financial transactions. It also provides the CTDOC staff the ability to maintain control of the medium of exchange for goods and services during the institutional supervision period, which is an essential element to security. Account information is used by CTDOC staff to process withdrawals for various programs and services. Governmental agencies and/or legal representatives use this information to determine the offender's financial status. It is important to note that this process is cash-less, or some variation that limits how much staff must handle currency.

Commissary Sales and Inventory Requirements

The offenders use the Commissary as a means to purchase special items like hygiene products, radios, and food. Commissary purchases involve offender requests for approved items and money being debited from offender's account.

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Pre-Release Processing Requirements

Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. Board Supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions. Incarcerated probationers (120-day) may require that the offender receive approval by the court authority.

Offenders may discharge directly from an institution or from community supervision. Once discharged the offender is no longer under the supervision of CTDOC. However, discharged offenders may still be under legal obligation to report to probation and may be tracked by GPS indefinitely based on statutory requirements.

Parole Requirements

Parole eligible sentenced inmates committed to CTDOC (inmates who are sentenced to more than 2 years incarceration), are given a parole orientation which consists of an overview of parole, risk assessment (CT Salient Factor Score), parole eligibility date and recommended programs. This is the foundation for future parole evaluation. Required case documentation such as police reports, Pre-Sentence Investigations, Youthful Offender / Juvenile information etc. are obtained for use in inmate orientation and are stored for future parole hearings.

Scheduling of inmates for parole hearings is done approximately 9 months before their eligibility date. The hearing is conducted approximately 6 months before the parole eligibility date. Parole officer interviews the inmate and completes a parole summary, which includes type of hearing, current offense and sentence information, personal information (including education and employment history), criminal history (including probation, parole and community release), institutional history (disciplinary infractions and program history), parole plan/sponsor information. Based on inmates background/classification score mental health and/or sex offender evaluation are requested and conducted by contracted service providers. If case involves victim(s) the case is referred to the Office of Victim Services for any victim input. The completed parole package is reviewed and certified by a parole manager and placed on the final docket for the parole hearing. Docket for upcoming hearings are posted on the BoPP website. Notifications are also sent to various criminal justice agencies in Connecticut.

Parole officer will present the case to a panel of the parole board. Determination is made by the panel to grant, deny or continue. Denial may take several forms such as a re-hear, permanent denial, mandatory re-hearing etc. If parole is granted, the panel will set a voted to parole (VTP) date and conditions of parole. The inmate's case is then referred to CTDOC Parole and Community Services Division to begin their investigation and eventual supervision in the community. Parole may be rescinded at any time prior to actual release to parole based on new information not known at the hearing or inmate misconduct after the hearing.

Any violation of parole conditions including new arrests may result in re-incarceration. Community Services Division sends notice of violation(s) to BoPP. The inmate being re-incarcerated is entitled to a probable cause hearing (conducted within 14 business days) unless waived by the inmate. Based on results of the probable cause hearing (if required) and at discretion of BoPP a warrant for re-imprisonment may be issued or denied. If a warrant is issued a parole officer from BoPP will conduct a final revocation hearing. This will include interviewing the inmate, examining circumstances, making recommendations or referring back to full panel for a re-release decision.

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Community Supervision Requirements

Community Supervision encompasses Community Contracted Residential (Halfway House or Transitional Housing) and Non-Residential Programs, Approved Sponsor and parole district offices. District offices provide various levels of supervision which include electronic monitoring (GPS & EMP) and employment verification, intensive, enhanced, regular and minimum.

System Training and Documentation Requirements

CTDOC will need to train all CTDOC users on the new system so they can perform their CTDOC job, duties and tasks and responsibilities. The detailed documentation describing all functions of the system will help with the training / knowledge transfer and act as a reference for FAQ.

Operations Incident Reports Requirements

The initial response and logging of an Incident involves all the activities associated with offender misconduct, or staff misconduct that involves an offender. The CTDOC shall ensure all incidents and emergencies are reported in a complete and accurate manner and routed through the chain of command for review, investigation and efficient disposition. An exclusive tracking system is established to log and track all incidents. Correctional facilities and non-custodial areas of the CTDOC shall initial, report, log and track all incidents. All incidents are categorized based on severity of incident and emergency. Identifying the different levels of incidents provides direction for notification and procedural completion. This is currently a manual process.

Management Information Systems Functional Requirements

The purpose of this section is to support requirements crossing most of the process groups or is critical to offender case management.

Reports Requirements

The current process of obtaining reports is to run canned reports from multiple systems.

Data Download Requirements

A user-friendly tool is provided to extract data from the system so the data can be transported via FTP or other mechanism to other agencies or to be used for other purpose. The tool can also import data from other system to be used (either for analysis or for updating) in the system.

Attachment 7 - Contract Compliance Regulations and Notification to Bidder

Section 4a-60g through 4a-60j of the Connecticut General Statutes sets forth the State's Small Business Set-Aside program and the percentage of applicable purchases that must be set-aside for certified small businesses. Effective July 1, 1988, Twenty-five (25%) of the average total value of all contracts let for each of the previous three fiscal years must be set aside.

The Department of Information Technology is requesting that vendors responding to this RFP set aside a portion for a small, minority or women's business enterprise as a supplier of goods, a supplier of services and/or as a subcontractor. Prospective Vendors may obtain a list of firms certified to participate in the Set-Aside program by contacting the Department of Administrative Services (DAS), 165 Capitol Avenue Hartford, Connecticut 06106, Room G8A, Business Connections/Set-Aside Unit, Telephone (860)-713-5236. The DAS web site may be accessed at <http://www.das.state.ct.us/busopp.asp>.

Bidders may fulfill this obligation through a subcontract for any services related to this contract by utilizing small, minority or women-owned businesses as suppliers of goods or services.

During the evaluation process, special consideration will be given to those Bidders who provide documentation to evidence their utilization of a certified small minority or women's business and/or demonstrate the Bidder's commitment to, whenever possible, utilize a certified small minority or women's business. Bidders should identify the certified small minority or women's business, the goods or services the business will supply and the percentage of the overall contract amount that will be set-aside in the Technical Proposal, as well as identifying a specific dollar amount in the Business (Cost) Proposal. Note that no dollar amounts are to appear in the Technical and Business Proposal.

Additionally, Vendors are to complete the Commission on Human Rights and Opportunities Contract Compliance Monitoring Report that appears at the end of this Attachment and submit the completed, signed Report (labeled CHRO-4) with the Proposal

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**CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS**

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the CONN. GEN. STAT.; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the CONN. GEN. STAT. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies which establish a procedure for the awarding of all contracts covered by Sections 4a-60 and 46a-71(d) of the CONN. GEN. STAT.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the Contract Compliance Requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors, and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the CONN. GEN. STAT. as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n.” Minority groups are defined in section 32-9n of the CONN. GEN. STAT. as “(1) Black Americans... (2) Hispanic Americans... (3) persons who have origins in the Iberian Peninsula... (4) Women... (5) Asian Pacific American and Pacific Islanders; (6) American Indians...” A business owned by an individual(s) with a physical disability is also a minority business enterprise as provided by Section 32-9e of the CONN. GEN. STAT. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (A) the bidder’s success in implementing an affirmative action plan;
- (B) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 inclusive, of the Regulations of Connecticut State Agencies;
- (C) the bidder’s promise to develop and implement a successful affirmative action plan;
- (D) the bidder’s submission of EEO-1 data indicating that the composition of its workforce is at or near parity when compared to the racial and gender composition of the workforce in the relevant labor market area; and,
- (E) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and included with the Proposal submitted in response to this RFP.

The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidder's compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder's "good faith efforts" to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 32-9e CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a non-profit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 32-9e CONN. GEN. STAT.

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2) **Description of Job Categories (as used in Part IV Bidder Employment Information)**

<p><u>Officials, Managers and Supervisors</u> - Occupations requiring administrative personnel who set broad policies, exercise over-all responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes officials, executives, middle management, plant managers, department managers, and superintendents, salaried forepersons who are members of management, purchasing agents and buyers, and kindred workers.</p> <p><u>Professionals</u> - Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: accountants and auditors, airplane pilots and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, personnel and labor relations workers, physical scientists, physicians, social scientists, teachers, kindred workers.</p> <p><u>Technicians</u> - Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post high school education, such as is offered in technical institutes and junior colleges, or through equivalent on-the-job training. Includes: draftspersons, engineering aides, junior engineers, mathematical aides, nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical sciences), and kindred workers.</p> <p><u>Sales Workers</u> - Occupations engaging wholly or primarily in direct selling. Includes: advertising agents and sales persons, insurance agents and brokers, real estate agents and brokers, stock and bond salespersons, demonstrators, sales people and sales clerks, and kindred workers.</p> <p><u>Office and Clerical Workers</u> - Includes all clerical type work regardless of level of difficulty,</p>	<p><u>Skilled Workers</u> - Manual workers of relatively high skill level having a thorough and comprehensive knowledge of the processes in their work. They exercise considerable independent judgment and usually receive an extensive period of training. Includes: building trades hourly paid forepersons and lead persons who are not members of management, mechanics and repair people, skilled machining occupations, composers and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.</p> <p><u>Semi-Skilled Workers</u> - Workers who operate machine or processing equipment or perform other factory type duties of intermediate skill level which can be mastered in a few weeks and require only limited training.</p> <p><u>Unskilled Workers</u> - Workers in manual occupations which generally require no special training. Perform elementary duties that may be learned in a few days and require application of little or no independent judgment. Includes: garage laborers, car washers and greasers, gardeners (except farm) and grounds keepers, longshore persons and stevedores, wood cutters and choppers, laborers performing lifting, digging, mixing, loading, and pulling operations, and kindred workers.</p> <p><u>Service Workers</u> - Workers in both protective and non-protective service occupations. Includes: attendants (hospital and other institution, professional, and personal service), barbers, cleaning workers, cooks (except house-hold), counter and fountain workers, fire fighters, police officers and detectives, security workers and doorkeepers, stewards, janitors, porters, food servers and kindred workers.</p> <p><u>Apprentices</u> - Persons employed in a program including work training and related instruction to learn a trade or craft which is traditionally</p>
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<p>where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. Includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office workers, office machine and computer operators, shipping and receiving clerks, stenographers, typists and secretaries, telegraph and telephone operators, and kindred workers.</p>	<p>considered an apprenticeship, regardless of whether the program is registered with a state or federal agency. Trainees - Persons engaged in a formal training for craft worker when not trained under an apprenticeship program. Includes: operatives, laborer and service occupations. Also includes persons engaged in formal training for official, managerial, professional, technical, sales, office, and clerical occupations.</p>
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3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

<p>White (not of Hispanic Origin) - All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East. Black (not of Hispanic Origin) - All persons having origins in any of the Black racial groups of Africa. Hispanic All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p>Asian or Pacific Islander All persons having origins in any of the original peoples of the Far East, Southeast Asia, Indian subcontinent or Pacific Islands. Includes China, India, Japan, Korea, Philippine Islands, & Samoa. American Indian or Alaskan Native All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number (FEIN) or Social Security Number (SSN)
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Is bidder a small contractor? <input type="checkbox"/> Yes <input type="checkbox"/> No
Bidder Parent Company (if any)	-Is bidder a minority business enterprise? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, check ownership category <input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Asian American
Other Locations in CT (if any)	<input type="checkbox"/> American Indian/Alaskan Native <input type="checkbox"/> Iberian Peninsula <input type="checkbox"/> Individual(s) with a Physical Disability <input type="checkbox"/> Female -Is bidder certified as above by the State of CT (DAS)? <input type="checkbox"/> Yes <input type="checkbox"/> No

PART II - Bidder Non-Discrimination Policies & Procedures

1. Does your company have a written Equal Employment Opportunity statement posted on company bulletin boards? <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a of the Conn. Gen. Stat.? <input type="checkbox"/> Yes <input type="checkbox"/> No
2. Does your company have a written sexual harassment in the workplace policy posted on company bulletin boards? <input type="checkbox"/> Yes <input type="checkbox"/> No	8. Do you, upon request, provide reasonable accommodation to employees or applicants for employment who have physical or mental disability? <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Do you notify all recruitment sources in writing of your company non-discrimination employment policy? <input type="checkbox"/> Yes <input type="checkbox"/> No	9. Does your company have a mandatory retirement age for all employees? <input type="checkbox"/> Yes <input type="checkbox"/> No

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<p>4. Do your company advertisements contain a written statement that you are an Equal Opportunity Employer? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA</p>
<p>5. Do you notify the CT State Employment Service of all employment openings with your company? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>11. If your company has apprenticeship programs, do they meet the equal opportunity requirements of the apprenticeship standards of the CT Dept. of Labor? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA</p>
<p>6. Does your company have a collective bargaining agreement with workers? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>6b. Have you notified each union, in writing, of your commitments under the non-discrimination requirements of contracts with the State of CT? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>12. Does your company have a written affirmative action plan? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>13. Is there a person in your company who is responsible for Equal Employment Opportunity? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide name and phone number:</p>

PART III - Bidder Subcontracting Practices

<p>1. Will the work of this contract include subcontractors or suppliers? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>1a. If yes, list all the subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise (as defined on page 1). Attach additional sheets if necessary.</p> <p>1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
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CTDOC Offender Management Information System

CONTRACT COMPLIANCE REGULATIONS (CHRO) <i>Page 4 of 4</i>	STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES (CHRO)	CHRO-4
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PART IV - Bidder Employment Information

JOB CATEGORY	OVERALL TOTALS		WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN / PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE	
	F	M	F	M	F	M	F	M	F	M	F	M
Officials/Managers												
Professionals												
Technicians												
Sales Workers												
Office/Clerical												
Craft Workers												
Laborers (Unskilled)												
Service Workers												
TOTALS ABOVE												
Total One Year Ago												
FORMAL ON-THE-JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN)												
Apprentices												
Trainees												

According to the above employment report, is the composition of your workforce at or near parity when compared with the racial and gender composition of the workforce in the relevant labor market area?

Yes No

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PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percentage used)				2. Check (✓) any of the requirements listed below that you use as a hiring qualification.		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination.
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Minority/Community Organizations					Personal Recommendation	
Labor Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishment	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatement of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

Signature	Title	Date Signed	Telephone
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ATTACHMENT 8 – VENDOR’S CHECKLIST

This signed CHECKLIST is required to be submitted with your proposal. Please place a check mark next to each completed item in the right hand column

1	We have listed our contact person’s name, title, address, phone #, email, etc. including the Company’s FEIN number.	
2	We have provided the RFP response in properly marked, sealed envelopes or boxes before the proposal due date and time.	
3	We have provided our proposal following the page and text formats required.	
4	We have completed the Vendor Questionnaire (Attachment 1).	
5	We have completed the Transmittal Letter as required with an original signature.	
6	We have included the required forms and signed face sheets for each amendment issued after issuance of the RFP.	
7	We have provided a Table of Contents.	
8	We have provided one or more Executive Summaries.	
9	We have provided original signatures on both the Vendor Proposal Validation and Authorization Statement.	
10	We have included a completed Functional, Non-functional, and Business Requirements Vendor Response Form as instructed in Attachment 2.	
11	We have included a description of ourselves, including a company annual report or un-audited financial statement as required by the RFP and a description of relevant experience.	
12	We have included 3 references with name, address, email and telephone.	
13	Where we have exceptions or additions in pricing or costs, we have explained them in sufficient detail to allow the State to determine the complete cost of our service proposal.	
14	We have included the number of electronic copies as instructed in Attachment 2.	
15	We have included the number of hardcopies as instructed in Attachment 2.	

CTDOC Offender Management Information System

16	<p>We have addressed all the mandatory requirements listed in the RFP:</p> <ul style="list-style-type: none"> BC.01 Intake / Booking BC.02 Offender Party Information and Identification BC.03 Property Management BC.04 Housing BC.05 Inmate Calendaring, Event Scheduling, Conflict Resolution and alerts BC.06 Inmate Records BC.07 Warrants and Detainers BC.08 Sentencing and Time Calculation BC.09 Nutritional Services BC.10 Classification and Assessment BC.11 Movements and Transfers BC.12 Population Management BC.13 Violations and Disciplinary Actions BC.14 Grievance/Complaints BC.15 Offender Employment BC.16 Offender Associations / Intelligence BC.17 Visitation BC.18 Education BC.19 Programs and Activities BC.20 Inmate Banking / Restitution BC.21 Commissary Sales and Inventory BC.22 Pre-Release Processing BC.23 Parole BC.24 Community Supervision BC.25 System Training and Documentation BC.26 Operations Incident Reports BC.27 General MIS Functional Requirements BC.28 Reports BC.29 Data Download 	
17	<p>We have provided a cross-walk between the requirements document and the sections of our response that pertain to these crosswalks.</p>	
18	<p>We have completed and submitted all required Vendor Certification documents.</p>	
19	<p>We have completed, signed and returned the Commission on Human Rights and Opportunities Compliance Monitoring Report. (Pages 6 & 7 of Attachment 7)</p>	

**State of Connecticut, Department of Information Technology
Request for Proposals**

CTDOC Offender Management Information System

20	We have read and understand the State of Connecticut Conceptual Architecture Principles and Requirements for Technical Architecture. We have also read and understand the nine domain architecture documents that comprise the Enterprise Wide Technical Architecture.	
21	We acknowledge that the proposal is the sole property of the State of Connecticut.	
22	We will comply with Executive Order No. Nineteen and will use a System Development Methodology that is equal to or meets the intent of the State of Connecticut System Development Methodology: We have completed Attachment 12A	
23	We, _____, (Company Name) accept the terms and conditions of this RFP. Any exceptions that we have taken to this RFP are attached in writing to the Transmittal Letter.	
24	It is our intention to use _____ (provide name of intended Subcontractor) to perform work under the contract that results from this RFP.	

VENDOR
NAME: _____

SUBMITTED
BY: _____
Print Name

Signature Date

ATTACHMENT 9 - VENDOR CERTIFICATIONS

- 1) OPM Ethics Form 1 – Gift and Campaign Contribution Certification.
- 2) OPM Ethics Form 5 – Consulting Agreement Affidavit.
- 3) OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary
- 4) Plain Language Summary of State Ethics Laws for Current and Potential State Contractors.
- 5) SEEC FORM 11 - Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban.
- 6) Nondiscrimination Certification Requirement
- 7) Nondiscrimination Certification Forms A – E (See Explanation below)

EXPLANATION OF FORMS:

Form A. Representation: For use by an individual when entering into any contract, regardless of contract value.

Form B. Representation: For use by an entity when entering into any contract valued at less than \$50,000 for any year of the contract.

Form C. Affidavit: (Recommended) For use by an entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity certifies through an affidavit that a complying nondiscrimination policy is currently in place.

Form D. New Resolution: For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity has a complying nondiscrimination policy adopted by a new resolution of the board of directors, shareholders, managers, members, or other governing body.

Form E. Prior Resolution: For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity has a complying nondiscrimination policy adopted by a prior resolution of the board of directors, shareholders, managers, members, or other governing body.



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: Initial Certification Annual Update (Multi-year contracts only.)

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) **"Contract"** means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, **"Execution Date"** means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, **"Execution Date"** means the date this certification is signed by the Contractor;
- 3) **"Contractor"** means the person, firm or corporation named as the contractor below;
- 4) **"Applicable Public Official or State Employee"** means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) **"Gift"** has the same meaning given that term in C.G.S. § 4-250(1);
- 6) **"Planning Start Date"** is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) **"Principals or Key Personnel"** means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any **Gifts** to any Applicable Public Official or State Employee.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding Gifts by providing for any other principals, key personnel, officials, or employees of the Contractor, or its or their agents, to make a Gift to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:



STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Lawful Campaign Contributions to Candidates for Statewide Public Office:

Table with 5 columns: Contribution Date, Name of Contributor, Recipient, Value, Description. Includes multiple horizontal lines for data entry.

Lawful Campaign Contributions to Candidates for the General Assembly:

Table with 5 columns: Contribution Date, Name of Contributor, Recipient, Value, Description. Includes multiple horizontal lines for data entry.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name

Signature of Authorized Official

Subscribed and acknowledged before me this ____ day of _____, 200__.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only
Department of Information Technology
Awarding State Agency
Planning Start Date
Contract Number or Description



STATE OF CONNECTICUT
AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

Affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq

INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.

IMPORTANT NOTE:

Contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

AFFIRMATION:

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website at http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf

Signature

Date

Printed Name

Title

Firm or Corporation (if applicable)

Street Address

City

State

Zip

Department of Information Technology
Awarding State Agency

Plain Language Summary of State Ethics Laws for Current and Potential State Contractors

Note: The following is a summary of the major ethics laws and related provisions applicable to current and potential state contractors. For more detailed information or to discuss any questions you may have, contact the Office of State Ethics at (860) 566-4472.

RESTRICTIONS ON THE BENEFITS YOU MAY GIVE TO STATE PERSONNEL

GIFTS: In general, no one doing business with or seeking business from a state or quasi-public agency may give a gift to an official or employee of that agency. Connecticut's gift ban is strict, but has some exceptions. For example, under the Ethics Code, you may give: (1) food and drink up to \$50 per person per year, if the person paying, or his or her representative, is in attendance; and (2) tangible gifts up to \$10 per item up to \$50 per person per year. Also exempt are certain items such as informational materials, or plaques costing less than \$100. For a complete list of the Code's gift exceptions, consult Conn. Gen. Stat. § 1-79(e) or contact the Office of State Ethics.

IMPORTANT RECENT CHANGE IN LAW: As of July 1, 2004, gifts for "major life events," including a wedding or the birth of a child, which were previously exempt from the gift ban, are now subject to the strict gift limits outlined above if the gifts are provided by any individual or entity doing business with or seeking business from the state.

NOTE: State agencies may have stricter gift rules than the provisions of the Ethics Code (for example, an agency policy may ban all food and drink). Be sure to obtain a copy of the agency's ethics policy before you provide any benefit to an agency official/employee.

NECESSARY EXPENSES: Under the Ethics Code, you may not pay a fee or an honorarium to a state official or employee for making a speech or appearing at your organization's event. You may, however, under limited circumstances, pay the "necessary expenses" of such a state servant. These expenses are limited to: necessary travel, lodging for the nights before, or and after the speech, meals and conference fees. There may be reporting requirements attached to the giving and taking of necessary expenses, so contact the Office of State Ethics if you need more information. **NOTE:** Before providing necessary expenses, check with the state agency's ethics officer to determine if the agency allows such payments.

GIFTS TO THE STATE: The Ethics Code allows limited "gifts to the state" which facilitate state action or functions (for example, donating a piece of equipment to the agency).

NOTE: Recent legislation was passed that may impact gifts to the state. Please contact the Office of State Ethics before giving a gift to the state to determine if such donations are acceptable.

RULES ON HIRING STATE PERSONNEL

Before you hire a current or **former** state employee, you should be aware of certain provisions of the Ethics Code. First, if you are considering hiring a current state employee, especially from a state agency with which you do business or by which you are regulated, you should know the following:

A current state employee must not accept outside employment that impairs his independence of judgment regarding his state duties, or that encourages him to disclose confidential information learned in his state job. Also, a current state employee may not use his or her state position for financial gain, however inadvertent that use may be. Therefore, for example, a current state employee who exercises any contractual, supervisory or regulatory authority over you or your business may not be able to work for you.

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Second, if you are considering hiring a **former** state employee, you should be aware of the Ethics Code's post-state employment, or revolving door, laws:

If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for one year after leaving state service.

NOTE: The former State Ethics Commission established a limited exception to this provision which allows the former employee to return to his or her former agency within the one year period for the sole purpose of providing technical expertise (for example, to help implement a previously awarded contract). This is a fact-specific exception that applies in very limited circumstances: therefore, you should contact the Office of State Ethics for further assistance if you think this exception applies to you.

If a state official or employee was substantially involved in, or supervised, the negotiation or award of a contract valued at \$50,000 or more, and the contract was signed within his or her last year of state service, and you or your business was one of the parties to the contract, then you and/or your business are prohibited from hiring him or her for one year after he or she leaves state employment.

A former state official or employee can **never** represent anyone other than the state regarding a particular matter in which he or she was personally and substantially involved while in state service and in which the state has a substantial interest.

Third, there are approximately 75 state officials or employees who may not negotiate for, seek or accept employment with any business subject to regulation by their agency, and may not accept employment with such a business for one year after leaving state service. Under that section of the law, it is also illegal for a business in the industry to employ such an individual.

CONFLICT OF INTEREST RULES THAT APPLY TO YOU AS A STATE CONTRACTOR

Under Conn. Gen. Stat. §1-86e of the Ethics Code, no state contractor, including a consultant or other independent contractor, can use the authority provided under the contract, or confidential information acquired in the performance of the contract, to obtain financial gain for himself, his employee, or a member of his immediate family. Also, a state contractor cannot accept another state contract that would impair his independence of judgment in the performance of the first contract. Finally, a state contractor cannot accept anything of value based on an understanding that his actions on behalf of the state would be influenced.

It is important to call the Office of State Ethics at (860) 566-4472 to discuss the application of this law, or any of the other ethics laws, to your specific situation.

OTHER ETHICS PROVISIONS THAT MAY APPLY TO YOU

Contractors seeking large state contracts are required to execute affidavits regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. You need to check the web sites of both the Department of Administrative Services, www.das.state.ct.us, and the Office of Policy and Management, www.opm.state.ct.us, for copies of these affidavits and for other updated information regarding state contractors. Also, because the particular agency with which you wish to contract may have specific rules that you must follow, you need to check with that agency as well.

If you or your business provides "investment services" as defined in the Code of Ethics, and you make a political contribution in connection with the Office of the Treasurer, you may be prohibited from contracting with that office. See Conn. Gen. Stat. § 1-84(n).

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Finally, if you or your business spends or receives \$2,000 or more in a calendar year for activities that constitute lobbying under the Ethics Code, whether to affect legislation or the actions of an administrative state agency, then you and/or your business may have to register as a lobbyist with the Office of State Ethics, and more ethics rules will apply to you. Contact the Office of State Ethics, or review the lobbyist registration information at www.ct.gov/ethics.

Recent legislation (Public Act 05-287) prohibits anyone who is a party (or who is seeking to become a party) to a state construction, procurement, or consultant services contract over \$500,000 from:

- (1) Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage over other bidders;
- (2) intentionally or recklessly charging a state agency for work not performed or goods or services not provided, or falsifying invoices or bills; or
- (3) intentionally violating or trying to circumvent the state competitive bidding and ethics laws.

Recent legislation (Public Act 05-287) also requires any prospective state contractor to affirm in writing that he or she has been provided with a summary of the state's ethics laws and that his key employees have read and understood the summary and agree to comply with the applicable provisions of the ethics law.

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban

No state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

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Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.

"Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

NONDISCRIMINATION CERTIFICATION REQUIREMENT

By law, a contractor must provide an awarding State agency with written representation or documentation that certifies the contractor complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. The appropriate form must be submitted to the awarding State agency prior to contract execution.

Accordingly, attached are forms A – E. Form A is *always* used for contracts with an individual who is not an entity, regardless of the contract value. Form B is *always* used for contracts with an entity when the contract value is less than \$50,000. Form C is *recommended* for contracts valued at \$50,000 or more with an entity. If Form C is not used, either Form D or E must be used; both require a resolution (new or prior).

Definitions:

- individual: a person who is not an entity
- entity: corporation, limited liability company, or partnership

Explanation of Forms:

- **Form A. Representation:** For use by an individual when entering into any contract, regardless of contract value.
- **Form B. Representation:** For use by an entity when entering into any contract valued at less than \$50,000 for any year of the contract.
- **Form C. Affidavit:** (Recommended) For use by an entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity certifies through an affidavit that a complying nondiscrimination policy is currently in place.
- **Form D. New Resolution:** For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity has a complying nondiscrimination policy adopted by a new resolution of the board of directors, shareholders, managers, members, or other governing body.
- **Form E. Prior Resolution:** For use by a entity when entering into any contract valued at \$50,000 or more for any year of the contract and the entity has a complying nondiscrimination policy adopted by a prior resolution of the board of directors, shareholders, managers, members, or other governing body.

Exemptions:

The entities listed below are exempt and, therefore, not required to submit a nondiscrimination certification form when entering into a contract with the State:

1. political subdivisions of the State of Connecticut, including, but not limited to municipalities;
2. quasi-public agencies, as defined in C.G.S. § 1-120;
3. other states of the United States, including, but not limited to, the District of Columbia, Puerto Rico, U.S. territories and possessions, and federally recognized Indian tribal governments, as defined in C.G.S. § 1-267;
4. the federal government;
5. foreign governments; and
6. an agency of a subdivision, agency, state or government listed in items 1-5.



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Representation
By Entity
For Contracts Valued at Less Than \$50,000

Written representation that complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at less than \$50,000 for each year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN ENTITY:

I, _____ , _____ , of _____ ,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of _____ ,
Name of State or Commonwealth

represent that I am authorized to execute and deliver this representation on behalf of

_____ and that _____
Name of Entity Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Authorized Signatory

Date

Printed Name



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – New Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

CERTIFICATION OF RESOLUTION:

I, _____, _____, of _____,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of _____,
Name of State or Commonwealth

certify that the following is a true and correct copy of a resolution adopted on the _____ day of _____, 20____ by the governing body of _____,
Name of Entity

in accordance with all of its documents of governance and management and the laws of _____, and further certify that such resolution has not been modified
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of _____ comply with the
Name of Entity
nondiscrimination agreements and warranties of Connecticut General Statutes
§§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this _____ day of _____, 20____.

Authorized Signatory

Date

Printed Name



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Prior Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by a prior resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at \$50,000 or more for any year of the contract. Complete all sections of the form. Attach copy of previously adopted resolution (State of CT, Nondiscrimination Certification, Form D: New Resolution). Submit all documentation to the awarding State agency prior to contract execution.

CERTIFICATION OF PRIOR RESOLUTION:

I, the undersigned, am a duly authorized corporate officer or member of _____
Name of Entity

I have reviewed the attached prior resolution. I certify that:

- (1) the attached prior resolution complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended; and
- (2) the prior resolution remains in full force and effect on the date this documentation is submitted to the awarding State agency.

Authorized Signatory

Title

Printed Name

Date

RESERVED FOR STATE USE

I, the undersigned head of the awarding State agency, or designee, certify that the attached prior resolution complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signature of Agency Head (or designee)

Date

Attachment 10 – Evaluation and Selection

EVALUATION AND SELECTION PROCEDURES

1.1 GENERAL CONSIDERATIONS

All proposals that are properly submitted will be accepted by DOIT. However, DOIT reserves the right to request necessary clarifications, reject any or all proposals received, or cancel this RFP, as determined to be in best interest of the Department of Correction Offender Management Information System Project.

Only those proposals that are determined to be sufficiently responsive will be evaluated. Failure to comply with the instructions or failure to submit a complete proposal may deem a proposal not sufficiently responsive. DOIT may reject any proposal that is incomplete, non-responsive, or in which there are significant inconsistencies or inaccuracies.

DOIT also reserves the right to waive minor irregularities in proposals, providing such action is in the best interest of the Department of Correction Offender Management Information System Project.

Where DOIT does waive minor irregularities, such waiver shall in no way modify the RFP requirements or excuse the vendor from full compliance with RFP specifications and other contract requirements if the vendor is awarded the contract.

DOIT shall consider unacceptable, and may reject without further review, proposals not containing the minimum mandatory proposal requirements or proposals that do not meet these requirements.

Minimum Mandatory Proposal Requirements are as follows:

1. Proposals must be submitted no later than the proposal due date and time as specified in this RFP.
2. The Technical, Business and Operational Proposal transmittal letter shall be submitted as defined in this RFP.
3. The vendor must have followed the proposal submission requirements defined in this RFP.
4. Mandatory forms identified in this RFP must be included in the proposal.
5. The proposed system must meet all Federal requirements as well as all requirements specified in this RFP.
6. The vendor must assume prime contractor responsibilities for all project activities.

CTDOC Offender Management Information System

2. EVALUATION METHODOLOGY

Each proposal will be evaluated and scored by an Evaluation Team composed of designees from the Project Management Team.

The Evaluation Team members will have experience in information processing systems and/or offender management related functions. Members will be drawn from interested departments and agencies. The Evaluation Team will conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this procurement

DOIT or the Evaluation Team may designate other professional staff (Technical Advisors and Subject Matter Experts from DOC and/or DOIT) to assist in the evaluation phases. These designated persons may act as observers and offer technical or programmatic advice during the evaluation and selection process. The following evaluation criteria categories will be used to develop more detailed criteria that will be used during the evaluation process:

1. The vendor's qualifications, including but not limited to, financial position, from the Audited Financial Statements that are required to be submitted with the proposal legal standing, ethics compliance, small business or minority certification, CHRO compliance.
2. The proposing firm's documented experience in successfully completing projects of a similar size and scope, ideally, in the same or comparable line of business, to those required by this RFP.
3. The proposing firm has developed and deployed offender management information systems for other governmental entity.
4. The vendor's general approach, including systems integration, resourcing, and architecture, with an overall plan to meet the requirements of this RFP.
5. The vendor's detailed responses outlining product features, workflow, customization, flexibility etc. of the proposed system in meeting/exceeding the requirements outlined within this RFP
6. The vendor's detailed approach, including plans to conduct a gap analysis, methodology to modify the proposed application, and detailed plans to perform the services required by the requirements of this RFP.
7. Qualifications and experience of personnel assigned to the project with emphasis on documented experience in successfully completing work on projects of a similar size and scope in the same or comparable line of business to those required by this RFP. An Offender Management Information System Project core team for the project must be identified and resumes/background experience must be submitted.
8. Business and personnel reference checks may be made as part of the evaluation process. Reference checks may not be limited to specific customer references cited in the proposal. Moreover, in the case of a proposed modification of an existing application, evidence of successful systems implementation or certification may be required.
9. The Proposing firm's speed of delivery and ability to modify a system compatible with DOIT's and DOC's Information Technology standards as outlined in this RFP.
10. The overall ability of the Proposing firm, as judged by the Department, to begin and successfully complete the project within the proposed schedule. This judgment will include, but will not be limited

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to, such factors as staff commitment to the project, project management and control plan, project organization and availability of staff.

11. The vendor's total Fixed Price for the Offender Management Information System Project.

3 PROPOSAL RECEIPT AND REVIEW

Proposals will be reviewed to initially determine if minimum submission requirements have been met. The review will verify that the proposal was received before the date and time specified in this RFP. The proposals will be reviewed to assure the submission of the correct number of copies, the presence of all required signatures, and sufficient responsiveness of the proposal to the needs outlined in this RFP to permit a complete evaluation. Failure to meet minimum submission requirements could result in the proposal being rejected and not included in the evaluation process.

Upon receipt, the proposal information will be disclosed to the Evaluation Team members only. The proposals will not be publicly opened. The potential for negotiation of a "Best and Final Offer" necessitates this privacy.

4 EVALUATION OF PROPOSALS

Only proposals that meet the minimum mandatory proposal requirements will be considered for evaluation. During the evaluation process, the Evaluation Team reserves the right to initiate discussions with vendors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals. However, proposals may be accepted and evaluated without such discussion. The Evaluation Team reserves the right to waive minor irregularities.

4.1 BUSINESS, TECHNICAL AND OPERATIONAL PROPOSAL EVALUATION CRITERIA

The evaluation of qualified Business, Technical and Operational Proposals will be scored in each of the areas identified below.

Qualifications/Background
Financial Stability
Project Management
Key Personnel
Business Requirements Merit - Overall and by Business Category
Technical Merit
Approach and Implementation
References

After completing independent proposal evaluations, the Evaluation Team members will meet as a total team to score the proposals. At this time, the Business, Technical and Operational evaluation points given by each evaluator will be discussed. As a result of discussion, the Evaluation Team will come to a consensus score on each individual evaluation criterion.

4.2 EVALUATION OF COST PROPOSALS

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The evaluation and awarding of points for the Cost Proposal from, *Attachment 3*, will be for both project cost (overall and/or by Business Category) and the participation of certified Small or Minority or Business Enterprises in project activities.

4.3 COMBINED PROPOSAL EVALUATION

Proposal scores for the Business, Technical and Operational Proposals will be summed with the Cost Proposal scores. The proposal receiving the highest score will be selected as the successful vendor.

5 GENERAL CONTRACT NEGOTIATION AND AWARD PROCESS

5.1 ORAL PRESENTATIONS OR PRODUCT DEMONSTRATIONS

Vendors who submit a proposal in response to this RFP may be required to give an oral presentation or demonstration of their proposal to the Proposal Review Team. The purpose of such presentations or demonstration is to provide an opportunity for vendors to clarify or refine their proposal. Original proposal submissions cannot be supplemented, changed, or corrected in any way. No comments regarding other vendors or proposals are permitted, and vendors may not attend the presentations or demonstrations of their competitors.

The vendor may conduct product demonstrations, or, at its option, the Proposal Review Team may request access to the proposed application in order to explore and test the features and functions of the proposed product independent of the vendor.

Oral Presentations or demonstrations have no intrinsic point value in the proposal evaluation process. However, on the basis of a demonstration of a proposed system, the score for a proposed solution may decrease, based on the judgment of the Proposal Review Team.

Vendors must clearly understand that it is the Proposal Review Team's sole option to determine which vendors, if any will be invited to make an oral presentation. Vendors shall not construe the list of firms invited, if any, to imply acceptance or rejection of any proposal(s).

5.2 BEST AND FINAL OFFER

The Proposal Review Team may determine if it is in the best interest of the project to seek a "Best and Final Offer" from vendors submitting acceptable or potentially acceptable proposals. The "Best and Final Offer" would provide a vendor the opportunity to update its original proposal to make it more acceptable to the Department of Correction Offender Management Information System Project. The Evaluation Team reserves the right to determine whether or not to exercise this option.

5.3 COST BY BC COMPONENTS

Vendors must show costs by Business Categories (BC) units/components defined by the State of Connecticut in the Cost Worksheets. Cost shown should be all-inclusive for individual BCs and not require additional BCs to be purchased. If the design of modules/components within the vendor's proposed solution cannot map back one-to-one with the State of Connecticut defined BCs and hence multiple BCs must be

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purchased then the vendor must show costs by the smallest grouping of BCs that must be purchased for a viable solution. The Proposal Review Team may determine if it is in the best interest of the project to purchase individual BCs or by groups.

6 CONTRACTOR AWARD

If the Proposal Review Team, through the DOIT CIO, awards the right to negotiate a contract as a result of this procurement, the successful prime contractor shall be advised of the award intention by letter. The successful prime contractor must then indicate agreement to enter into a contract with DOIT in the most expeditious manner feasible.

The contract awarded for the services purchased as a result of this RFP will be originated by DOIT. The contract shall incorporate in its provisions this RFP, the successful prime contractor's proposal, and any other documents deemed pertinent.

Attachment 11 – Vendor Transmittal Letter (Sample Format)

_____, 2009

State of Connecticut
Department of Information Technology
Division of Contracts and Purchasing
Ms. Jacqueline Shirley, Director
101 East River Drive, Room 4074
East Hartford, CT 06108

Ms. Shirley:

[Name of Vendor] is pleased to have the opportunity to submit a proposal for _____, RFP # 09ITZ0052. We look forward to the opportunity of doing business with the State of Connecticut. Our point of contact for any RFP issues or questions will be:

First Name, Last Name: _____
Title: _____
Name of Vendor: _____
Division/Department: _____
Address 1: _____
Address 2: _____
City, State, Zip Code: _____
E-Mail Address: _____
Telephone & Ext: _____
Fax Number: _____

We attest that we understand, accept and will comply with all of the administrative requirements stipulated in *Section 2* of the RFP # 09ITZ0052. We certify that:

- (1) No cost proposal information has been disclosed in the Section I – Vendor, Business, and Technical Proposal; and, Section II – Project Management and Staffing Proposal.
- (2) The costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.
- (3) The costs quoted have not been knowingly disclosed by our firm on a prior basis directly or indirectly to any other organization or to any competitor.
- (4) No attempt has been made or will be made by our firm to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- (5) We did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of the State of Connecticut participated directly or indirectly in the vendor’s proposal preparation.

State of Connecticut, Department of Information Technology
Request for Proposals

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- (6) No elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement.

- (7) All products offered to the State of Connecticut within this proposal are currently manufactured and available for general sales, lease, or licenses at the time of RFP submission.

- (8) Our firm complies fully with the August 2002 corporate governance rules proposed by the New York Stock Exchange (www.nyse.com/pdfs/corp_gov_pro_b.pdf).

Sworn as true to the best of knowledge and belief subject to the penalties of false statement.

Name

Signature

Date

Sworn and subscribed before me on this _____ day of _____, 2007

Commissioner of the Superior Court
Notary Public

Attachment 12 – System Development Methodology Requirements

STATE OF CONNECTICUT

BY HER EXCELLENCY

M. JODI RELL

GOVERNOR

EXECUTIVE ORDER NO. 19

WHEREAS, the State of Connecticut spends millions of dollars each year on the acquisition, design, development, implementation, and maintenance of information systems vital to the health, safety, and welfare of its citizens; and

WHEREAS, ensuring information systems deliver as expected and within established costs and timelines requires the use of a consistent set of development practices and methods; and

WHEREAS, use of a System Development Methodology is a best practice used extensively by industries and sectors; and

WHEREAS a System Development Methodology can help ensure that information systems meet state and agency mission objectives, are compliant with current and planned technical architecture, and are easily maintained and cost-effective to enhance.

NOW THEREFORE, I, M. Jodi Rell, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the constitution and by the statutes of this state, do hereby **ORDER** and **DIRECT** that:

The Department of Information Technology (DOIT) issue and publish a System Development Methodology (SDM) and an SDM Policy for the development of information systems;

Executive branch agencies, and all information technology vendors and consultants retained by Executive Branch agencies to develop and deliver technology, with the exception of State institutions of higher education, conform to the DOIT SDM and the DOIT SDM Policy when planning and executing IT projects; and

The Department of Information Technology shall periodically report to the Office of the Governor on the implementation of the SDM and the SDM Policy and their benefits to the State of Connecticut.

Dated at Hartford, Connecticut, this 19th day of June, 2008.



M. JODI RELL
Governor



By Her Excellency's Command



Susan Bysiewicz, Secretary of the State

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Attachment 12 – System Development Methodology Requirements

On June 19, 2008, Governor M. Jodi Rell issued Executive Order 19 requiring the use of the Department of Information Technology (DOIT) System Development Methodology (SDM) for all information technology (IT) projects in the Executive Branch. In addition, the Department of Information Technology has issued a policy requiring the use of the SDM. All technology projects are required to utilize the SDM lifecycle framework, with the exception of the any technology effort with a duration of 2 weeks or less and labor cost of 50 hours or less.

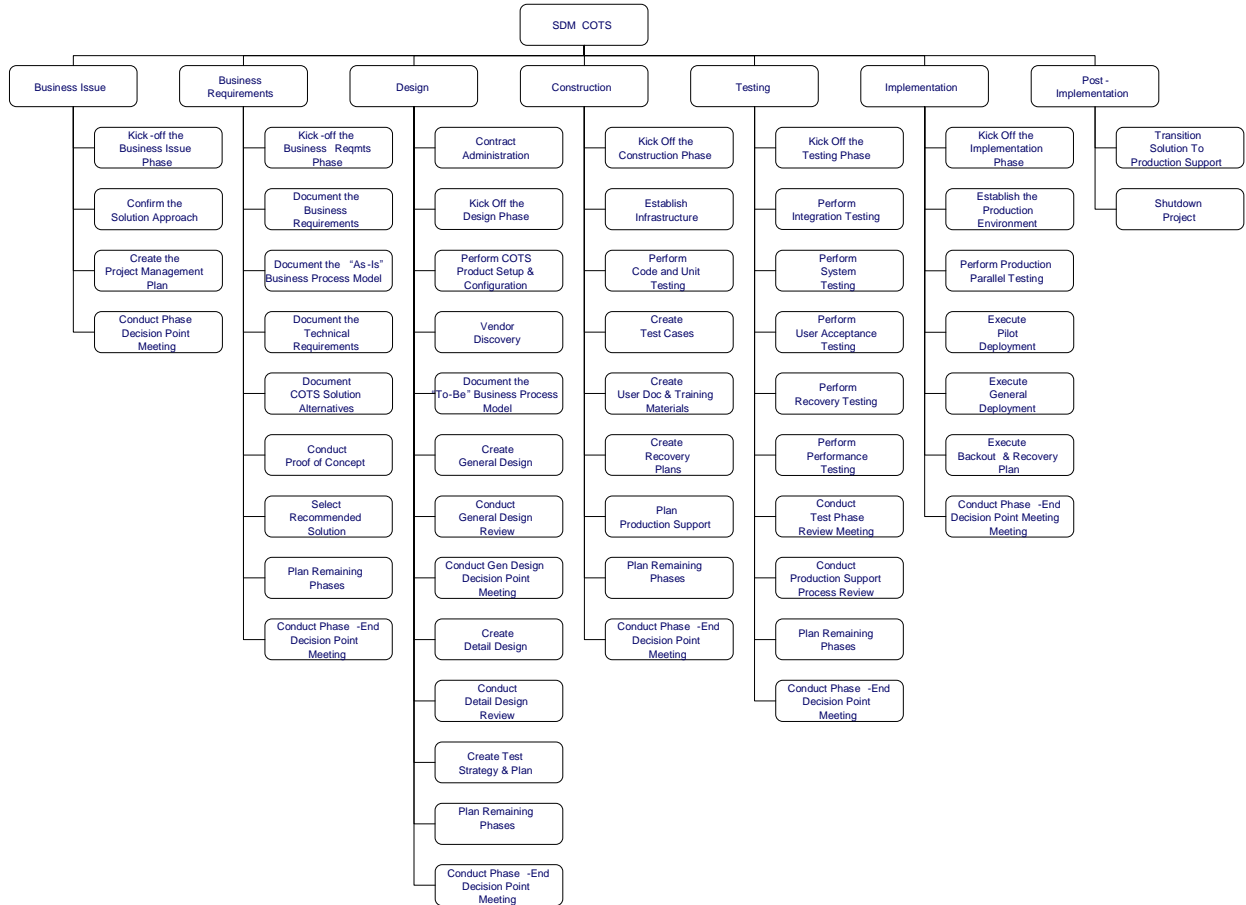
The following variations of the SDM methodology should be used based on the characteristics outlined below:

	SDM Standard	SDM COTS	SDM LITE	SDM RAD	SDM Enhancement Checklist
Duration	Greater than 6 months or	Greater than 6 months or	6 months or less and	Delivers functionality every 30 days and	8 weeks or less and
Implementation Costs	Greater than \$400,000 or	Greater than \$400,000 or	\$400,000 or less and	\$400,000 or less and	\$50,000 or less and
Agency Impact	All Agencies Impacted	All Agencies Impacted	Single Agency	Single Agency	Single Agency
# of Application Interfaces	Multiple	Multiple	No more than 1	No more than 3	No more than 1
State of Connecticut Enterprise-Wide Technical Architecture	Alignment is uncertain	Alignment is uncertain	Largely aligned; Minor areas of uncertainty	Fully Aligned or Officially Exempted	Fully Aligned or Officially Exempted
Commercial Off-The-Shelf Products	Not Applicable	Applicable	Applicable	Not Applicable	Not Applicable

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Attachment 12 – System Development Methodology Requirements

SDM Commercial Off The Shelf (COTS) Activity Breakdown



Attachment 12 – System Development Methodology Requirements

SDM PROJECT IMPLEMENTATION SCHEDULE

Instructions: The completed Project Implementation Schedule should be inserted as Attachment 12A . The foundation of the Project Implementation Schedule is the Work Breakdown Structure (WBS). In most cases, the WBS is developed using MS Project. A generic SDM-COTS MS Project Template is attached (12A). The generic WBS is modified by the project team to reflect specific task names, duration, predecessors, etc. These are modified by the project manager based on the needs and resource assignment to the project.

A planning best practice is that no detailed tasks contained in the schedule should have a duration of more than 10 days (2 weeks) so that deliverables are constantly produced.

Invoice and payment schedules may be itemized in the Project Implementation Schedule.

COTS_MS_Project_Template - Attachment 12A COTS MS Project Template.mpp

ID	Task Name	% Complete	Predecessors	Duration	Start	Finish	T	W	T	F	S	S	M	T	W	T
1	THIS IS A GENERIC WORK BREAKDOWN STRUCTURE FOR ALL 7 SDM PHASES. TASK NAMES, DURATION, PREDECESSORS, ETC. CAN BE MODIFIED BY THE PROJECT MANAGER BASED ON THE NEEDS AND RESOURCE ASSIGNMENT TO THE PROJECT.	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
2	A PLANNING BEST PRACTICE IS THAT NO DETAILED TASK CONTAINED IN THE SCHEDULE SHOULD HAVE A DURATION OF MORE THAN 10 DAYS (2 WEEKS) SO THAT DELIVERABLES ARE CONSTANTLY PRODUCED. PLANS THAT TRACK HOUR BY HOUR DELIVERABLES IS TYPICALLY TOO LOW OF A LEVEL.	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
3	SDM Phase 1 - Business Issues Phase	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
4	1.01: Kick-off the Business Issues Phase	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
5	Create the Phase Kick-off Presentation	0%	5	1 day?	Wed 8/20/08	Wed 8/20/08										
6	Review Team Member Roles & Responsibilities	0%	5	1 day?	Thu 8/21/08	Thu 8/21/08										
7	Review Overall Project Goals, Objectives, Scope, and Benefits	0%	5	1 day?	Thu 8/21/08	Thu 8/21/08										
8	Review Business Issue Phase Goals, Objectives, Tasks, and Responsibilities	0%	5	1 day?	Thu 8/21/08	Thu 8/21/08										
9	Review Lessons Learned From Prior Projects	0%	5	1 day?	Thu 8/21/08	Thu 8/21/08										
10	Review Team Procedures and Standards	0%	5	1 day?	Wed 8/20/08	Wed 8/20/08										
11	1.02: Confirm the Solution Approach	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
12	Execute the Request for Information (RFI) Process	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
13	Identify Viable Solution Approaches	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
14	Describe Viable Solution Approaches	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
15	Compare/Contrast Viable Solution Approaches	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
16	Create High-Level Cost/Benefit Estimates	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
17	Recommend a Solution Approach	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
18	1.03: Create the Project Management Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
19	Create the Project Description	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
20	Document the Project Organization	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
21	Create the High-Level Project Timeline	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
22	Create the Detailed Project Schedule for the Business Requirements Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
23	Create the Project Budget Summary	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
24	Create the Communications Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
25	Create the Risk Management Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
26	Document Key Success Factors	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
27	Document Key Planning Assumptions	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
28	Create the Cost Benefit Analysis (CBA) Document	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
29	1.04: Conduct Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
30	Create the Phase-End Decision Point Meeting Presentation	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
31	Create the Project Profile	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
32	Distribute the Business Issue Phase-End Decision Point Presentation to the P	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
33	Distribute the Project Profile to the PSC	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
34	Conduct the Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
35	Execute the Communication Plan	0%		0 days	Wed 8/20/08	Wed 8/20/08										
36	SDM Business Issues Phase Deliverables	0%	28	0 days	Wed 8/20/08	Wed 8/20/08										
37	Cost-Benefit Analysis (CBA) (Required)	0%	22	0 days	Wed 8/20/08	Wed 8/20/08										
38	Detail Business Requirements Phase Schedule (Required)	0%	30	0 days	Wed 8/20/08	Wed 8/20/08										
39	Phase-End Decision Point Presentation (Required)	0%	5	0 days	Wed 8/20/08	Wed 8/20/08										
40	Phase Kick-off Presentation (Required)	0%	18	0 days	Wed 8/20/08	Wed 8/20/08										
41	Project Management Plan (Required)	0%	31	0 days	Wed 8/20/08	Wed 8/20/08										
42	Project Profile (Required)	0%	20	0 days	Wed 8/20/08	Wed 8/20/08										
43	Project Steering Committee (Required)	0%	20	0 days	Wed 8/20/08	Wed 8/20/08										
44	Project Team Wheel (Required)	0%	12	0 days	Wed 8/20/08	Wed 8/20/08										
45	Request for Information (Optional)	0%	11	0 days	Wed 8/20/08	Wed 8/20/08										
46	Solution Approach Document (Required)	0%	11	0 days	Wed 8/20/08	Wed 8/20/08										
47	SDM Phase 2 - Business Requirements Phase	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
48	2.01 Kick-off the Business Requirements Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08										

Project: SDM Template- Final Version
 Date: Mon 8/21/08

Task Split

Progress Milestone

Summary Project Summary

External Tasks External MileTask

Split

LINK TO REFERENCE DOCUMENTS

ID	Task Name	% Complete	Predecessors	Duration	Start	Finish	T	W	T	F	S	S	M	T	W	T
104	Update the Cost Benefit Analysis with any Changes	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
105	Update the Project Team Wheel with any Changes	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
106	Update the Communication Plan with any Changes	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
107	Update the Quality Strategy & Plan with any Changes	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
108	Create the Deployment Strategy & Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
109	2.10 Conduct Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
110	Create the Phase-End Decision Point Meeting Presentation	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
111	Distribute the Business Requirements Phase-End Decision Point Presentation	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
112	Conduct the Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
113	Execute the Communication Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
114	SDM-COTS Business Requirements Phase Deliverables	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
115	Business Process Models - "As-Is" (Required)	0%	67	0 days	Wed 8/20/08	Wed 8/20/08										
116	Functional Requirements Workbook (Required)	0%	57,66	0 days	Wed 8/20/08	Wed 8/20/08										
117	Non-Functional Requirements Workbook (Required)	0%	62,63,64,65,66	1 day?	Thu 8/21/08	Thu 8/21/08										
118	COTS Solution Evaluation Criteria (Optional)	0%	83	0 days	Wed 8/20/08	Wed 8/20/08										
119	Deployment Strategy & Plan (Required)	0%	108	0 days	Wed 8/20/08	Wed 8/20/08										
120	Phase-End Decision Point Presentation (Required)	0%	110	0 days	Wed 8/20/08	Wed 8/20/08										
121	Phase Kick-off Presentation (Required)	0%	5	0 days	Wed 8/20/08	Wed 8/20/08										
122	Proof of Concept Evaluation Form (Optional)	0%	90	0 days	Wed 8/20/08	Wed 8/20/08										
123	Quality Strategy & Plan (Required)	0%	107	0 days	Wed 8/20/08	Wed 8/20/08										
124	Solutions Alternatives Document (Required)	0%	95	0 days	Wed 8/20/08	Wed 8/20/08										
125	Solution Recommendation (Required)	0%	70	0 days	Wed 8/20/08	Wed 8/20/08										
126	Technical Requirements Workbook (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
127	Technical Requirements Document (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
128	SDM Phase 3 - Design Phase	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
129	3.01 Contract Administration	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
130	Contract Negotiation	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
131	Contract Award	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
132	Contract Management (on-going)	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
133	3.02 Kick off the Design Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
134	Create the Phase Kick-off Presentation	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
135	Review Team Member Roles & Responsibilities	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
136	Review Overall Project Goals, Objectives, Scope, and Benefits	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
137	Review Design Phase Goals, Objectives, Tasks, and Responsibilities	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
138	Review Lessons Learned from the Business Requirements Phase and from Previous Phases	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
139	Review Team Procedures and Standards	0%	135	1 day?	Thu 8/21/08	Thu 8/21/08										
140	Establish and Finalize Change Management Plan	0%	135	1 day?	Wed 8/20/08	Wed 8/20/08										
141	3.03 Perform COTS Product Setup & Configuration	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
142	Procure Development Infrastructure for COTS Product	0%	143	1 day?	Wed 8/20/08	Wed 8/20/08										
143	Install Development Infrastructure for COTS Product	0%	143	1 day?	Thu 8/21/08	Thu 8/21/08										
144	Install COTS Product	0%	143	1 day?	Thu 8/21/08	Thu 8/21/08										
145	Configure & Verify the COTS Product	0%	143	1 day?	Thu 8/21/08	Thu 8/21/08										
146	3.04 Vendor Discovery	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
147	Conduct Discovery Work Session	0%	148	1 day?	Wed 8/20/08	Wed 8/20/08										
148	Document the Product Configuration Requirements	0%	148	1 day?	Thu 8/21/08	Thu 8/21/08										
149	Document the Product Interface Requirements	0%	148	1 day?	Thu 8/21/08	Thu 8/21/08										
150	Document the Data Conversion Requirements	0%	148	1 day?	Wed 8/20/08	Wed 8/20/08										
151	Identify Business Process Impacts	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
152	Deliver COTS Product Training to Project Team	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
153	Create COTS Product Integration Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
154	3.05 Create "To-Be" Business Process Model	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
155	Create "To-Be" Business Process Model	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
156	Conduct "To-Be" Business Process Model Signoff	0%	156	1 day?	Thu 8/21/08	Thu 8/21/08										

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 Date: Mon 8/12/08

Task Split

Progress Milestone

Summary Project Summary

External Tasks External MileTask

LINK TO REFERENCE DOCUMENTS

ID	Task Name	% Complete	Predecessors	Duration	Start	Finish	T	W	T	F	S	S	M	T	W	T
243	Conduct the Go/No-Go Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
244	Execute the Communications Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
245	Execute the Phase-End Decision Point Meeting Sign Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
246		0%		1 day?	Wed 8/20/08	Wed 8/20/08										
247	SDM Design Phase Deliverables	0%														
248	Vendor Contract/Master Agreement (Required)	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
249	COTS Product Installation & Training (Required)	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
250	"To-Be" Business Process Model (Optional)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
251	Configuration Management Plan (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
252	Conversion Design Document (Optional)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
253	Phase Kick-off Presentation (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
254	PSC Phase-End Decision Point Presentation (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
255	Release Strategy & Plan (Optional)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
256	System Design Document - General Design (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
257	System Design Document - Detailed Design (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
258	System Security Profile (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
259	Test Strategy & Plan (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08										
260	SDM Phase 4- Construction Phase	0%		5 days?	Wed 8/20/08	Tue 8/26/08										
261	4.01 Kick off the Construction Phase	0%		2 days?	Wed 8/20/08	Thu 8/21/08										
262	Create the Phase Kick-off Presentation	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
263	Review Team Member Roles & Responsibilities	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
264	Review Overall Project Goals, Objectives, Scope, and Benefits	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
265	Review Construction Phase Goals, Objectives, Tasks, and Responsibilities	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
266	Review Lessons Learned From the Design Phase and From Prior Projects	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
267	Review Team Procedures and Standards	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
268	Review Phase Exit Criteria	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
269	4.02 Establish Infrastructure	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
270	Procure Needed Infrastructure Components for all Environments	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
271	Create Environment Migration Checklist	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
272	Install the Infrastructure Components	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
273	Load Application into Development Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
274	Load Application into Test Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
275	Load Application into Training Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
276	4.03 Perform Code and Unit Testing	0%		5 days?	Wed 8/20/08	Tue 8/26/08										
277	Prepare the Development Team(s)	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
278	Create Test Data and Load into Test Databases	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
279	Application 1	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
280	Application 2	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
281	Application x	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
282	Code and Unit Test Custom Software and Package Extensions	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
283	Application 1	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
284	Application 2	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
285	Application x	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
286	Package Function 1	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
287	Package Function 2	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
288	Package Function x	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
289	Code and Unit Test Legacy Interface Software	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
290	Application 1	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
291	Application 2	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
292	Application x	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
293	Code and Unit Test Software for Operating and Supporting the Solution	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
294	Code and Unit Test Data Conversion Routines	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
295	Execute Code Merges	0%	295	1 day?	Wed 8/20/08	Wed 8/20/08										
296	Conduct Code Reviews	0%		1 day?	Thu 8/21/08	Thu 8/21/08										

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Progress Milestone

Summary Project Summary

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ID	Task Name	% Complete	Predecessors	Duration	Start	Finish	T	W	T	F	S	S	M	T	W	T
352	Integration Test Cases (Required)	0%	302,303	0 days	Wed 8/20/08	Wed 8/20/08										
353	Performance Test Cases (Required)	0%	302,309	0 days	Wed 8/20/08	Wed 8/20/08										
354	Phase-End Decision Point Presentation (Required)	0%	340	0 days	Wed 8/20/08	Wed 8/20/08										
355	Regression Test Cases (Required)	0%	302,310	0 days	Wed 8/20/08	Wed 8/20/08										
356	System Bill of Materials (Required)	0%	299	0 days	Tue 8/26/08	Tue 8/26/08										
357	System Test Cases (Required)	0%	308,302	0 days	Wed 8/20/08	Wed 8/20/08										
358	Test Data (Required)	0%	278	0 days	Wed 8/20/08	Wed 8/20/08										
359	Training Plan (Required)	0%	316	0 days	Wed 8/20/08	Wed 8/20/08										
360	User Acceptance Test Cases (Required)	0%	302,311	0 days	Wed 8/20/08	Wed 8/20/08										
361	User Documentation & Training Materials (Required)	0%	317	0 days	Wed 8/20/08	Wed 8/20/08										
362	SDM Phase 5 - Testing Phase	0%		6 days?	Wed 8/20/08	Wed 8/27/08										
363	5.01 Kick-off the Testing Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
364	Review Team Member Roles & Responsibilities	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
365	Review Overall Project Goals, Objectives, Scope, and Benefits	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
366	Review Testing Phase Goals, Objectives, Tasks, and Responsibilities	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
367	Review Lessons Learned From the Construction Phase and From Prior Project	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
368	Review Team Procedures and Standards	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
369	Review Success Criteria	0%		3 days?	Wed 8/20/08	Fri 8/22/08										
370	5.02 Perform Integration Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
371	Verify the Integration Test Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
372	Migrate the Application to the Integration Test Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
373	Create/Migrate the Test Data to the Integration Test Environment	0%		1 day?	Wed 8/20/08	Fri 8/22/08										
374	Conduct Integration Testing	0%		3 days?	Wed 8/20/08	Wed 8/20/08										
375	Integration Test Pass 1	0%	375	1 day?	Wed 8/20/08	Wed 8/20/08										
376	Integration Test Pass 2	0%		1 day?	Thu 8/21/08	Thu 8/21/08										
377	Integration Test Pass X	0%	376	1 day?	Fri 8/22/08	Fri 8/22/08										
378	Update the Defect Management Tool	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
379	Create the Integration Test Summary	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
380	Obtain Integration Testing Sign-Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
381	Establish the "Golden Build" for System Testing	0%		3 days?	Wed 8/20/08	Fri 8/22/08										
382	5.03 Perform System Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
383	Verify the System Test Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
384	Migrate the Application to the System Test Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
385	Create/Migrate the Test Data to the Systems Test Environment	0%		1 day?	Wed 8/20/08	Fri 8/22/08										
386	Conduct System Testing	0%		3 days?	Wed 8/20/08	Wed 8/20/08										
387	System Test Pass 1	0%	387	1 day?	Wed 8/20/08	Wed 8/20/08										
388	System Test Pass 2	0%	388	1 day?	Thu 8/21/08	Fri 8/22/08										
389	System Test Pass X	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
390	Update the Defect Management Tool	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
391	Create the System Test Summary	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
392	Obtain System Testing Sign-Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
393	Establish the "Golden Build" for User Acceptance Testing (UAT)	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
394	Update the System Bill of Materials Document	0%		3 days?	Wed 8/20/08	Fri 8/22/08										
395	5.04 Perform User Acceptance Testing (UAT)	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
396	Verify UAT Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
397	Migrate the Application to the UAT Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
398	Create/Migrate the Test Data to the UAT Environment	0%		3 days?	Wed 8/20/08	Fri 8/22/08										
399	Conduct User Acceptance Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
400	UAT Pass 1	0%	400	1 day?	Thu 8/21/08	Thu 8/21/08										
401	UAT Pass 2	0%	401	1 day?	Fri 8/22/08	Fri 8/22/08										
402	UAT Pass X	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
403	Update the Defect Management Tool	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
404	Create the UAT Summary	0%		1 day?	Wed 8/20/08	Wed 8/20/08										
405	Obtain UAT Sign-Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08										

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Summary Project Summary

External MileTask

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ID	Task Name	% Complete	Predecessors	Duration	Start	Finish	T	W	T	F	S	S	M	T	T
481	Testing Phase Summary (Required)	0%	430	0 days	Wed 8/20/08	Wed 8/20/08									
482	User Acceptance Tests Executed (Required)	0%	405	0 days	Wed 8/20/08	Wed 8/20/08									
483	SDM Phase 6 - Implementation Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
484	6.01 Kick-Off the Implementation Phase	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
485	Review Team Member Roles & Responsibilities	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
486	Review Implementation Phase Goals, Objectives, Tasks, and Responsibilities	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
487	Review Any Lessons Learned From the Testing Phase and From Prior Projects	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
488	Review Team Procedures and Standards	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
489	Review Phase Exit Criteria	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
470	6.02 Establish the Production Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
471	Migrate Infrastructure to Production Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
472	Migrate Application Software to the Production Environment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
473	Convert and Load Static Solution Data	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
474	Activate the New Solution	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
475	Execute Regression Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
476	Execute Production Support Processes	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
477	Execute the Go/No-Go Meeting for Solution Deployment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
478	Conduct the Communication Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
479	6.03 Perform Production Parallel Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
480	Conduct Parallel Testing	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
481	Update the Defect Management Tool	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
482	Create the Parallel Test Summary	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
483	Obtain Parallel System Testing Sign-Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
484	Deactivate the Legacy Solution	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
485	6.04 Execute Pilot Deployment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
486	Activate and Train Pilot Users	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
487	Execute Product Support Processes	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
488	Conduct Go/No-Go Meeting for Pilot Deployment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
489	Execute Communications Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
490	Prepare for Subsequent Deployments	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
491	6.05 Execute General Deployment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
492	Activate and Train General Deployment Users	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
493	Execute Product Support Processes	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
494	Conduct Go/No-Go Meeting for General Deployment	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
495	Execute Communications Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
496	6.06 Execute Implementation Back Out & Recovery Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
497	Execute Implementation Back Out & Recovery Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
498	Conduct a Post-Mortem	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
499	Meal with the Project Steering Committee (PSC)	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
500	6.07 Conduct Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
501	Create the Implementation Phase-End Decision Point Presentation to the PSC	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
502	Distribute the Implementation Phase-End Decision Point Presentation to the PSC	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
503	Conduct the Phase-End Decision Point Meeting	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
504	Execute the Communications Plan	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
505	Execute the Phase-End Decision Point Meeting Sign Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
506	SDM Implementation Phase Deliverables	0%	483	0 days	Wed 8/20/08	Wed 8/20/08									
507	Parallel Test Summary (Optional)	0%	483, 496, 501	0 days	Wed 8/20/08	Wed 8/20/08									
508	Phase-End Decision Point Presentation (Required)	0%		0 days	Wed 8/20/08	Wed 8/20/08									
509	SDM Phase 7 - Post Implementation	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
510	7.01 Transition the Solution to Production Support	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
511	Schedule and Run Solution Operations	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
512	Get Production Support Sign-Off	0%		1 day?	Wed 8/20/08	Wed 8/20/08									
513		0%		1 day?	Wed 8/20/08	Wed 8/20/08									
514		0%		1 day?	Wed 8/20/08	Wed 8/20/08									

Project: SDM Template- Final Version
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Task Split

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ATTACHMENT 13 - ENTERPRISE-WIDE TECHNICAL ARCHITECTURE REQUIREMENT

1.0 ARCHITECTURE OVERVIEW (I.C.1)

Vendor must present a detailed architecture design for the proposed application along with a text description and annotated diagram (or diagrams). Any descriptions and diagrams must clearly identify middleware products, interfaces, message formats and component function. Each description/diagram should be accompanied by a narrative indicating where the proposal meets the State of CT technical guidelines and where exceptions will occur. Refer to **Section 1.3 Product Architecture** within this document for a detailed description of what to include in the product architecture diagrams.

If application hosting is not being proposed the implemented solution must comply with the Department of Information Technology's Enterprise-wide Technical Architecture (EWTA) guidelines and standards. Please refer to <http://www.ct.gov/doit/cwp/view.asp?a=1245&Q=253976&doitNav=|>, or <http://www.ct.gov/doit> and select Technical Architecture, for additional information on the EWTA's domain architecture. Rationale for any proposed exceptions to DOIT EWTA standards must be noted in the vendor's response. Exceptions to EWTA standards or guidance must be summarized separately as an addendum or exhibit to the architecture description.

Vendors are required to submit detailed product technical specifications organized as defined in this section.

If vendor can supply more than one unique product type, version or level of their software that meets or exceeds the requirements in this RFP, vendor must clearly state the existence of multiple products, explain the major differences between them and take these additional steps:

- ◆ Provide separate Product Version and Architecture sections for each.
- ◆ Identify where appropriate in the Technical Requirements Checklist that multiple architectural solutions exist.
- ◆ Provide clear and separate statements in any proposal sections or sub-sections where there are differences between product versions.
- ◆ Provide separate cost schedules and total cost if different in Cost Proposal.
- ◆ Identify which is the vendor's preferred solution and why.

Provide product version information which must include, but not be limited to, product name, version number, date version was released for general use and number of installed customer entities.

If product has any Web accessibility, it must comply with the State of Connecticut's "*Universal Web Site Accessibility Policy for State Web Sites*" and vendors are required to explain how their

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solution meets this requirement. Information on this policy can be found at <http://www.ct.gov/doit/cwp/view.asp?a=1306&q=255004>.

1.1 ARCHITECTURE OF PROPOSED PRODUCTS

Enterprise Wide Technical Architecture (EWTA) – Technical Guidelines

Vendors are required to comply with the State of Connecticut Enterprise-wide Technical Architecture (EWTA) standards. EWTA standards are available at (insert EWTA web link). If vendor can supply more than one unique product type, version or level of their software that meets or exceeds the requirements in this RFP, vendor must clearly state the existence of multiple products, explain the major differences between them and take these additional steps:

- ◆ Provide separate Product Version and Architecture statements for each.
- ◆ Complete a Functional Requirements Vendor Response Form for each.
- ◆ Provide clear and separate statements in any proposal sections or sub-sections where there are differences between product versions.
- ◆ Provide separate cost schedules and total cost if different.
- ◆ Identify which is the vendor’s preferred solution and why.

1.2 PRODUCT VERSION

Provide product version information which must include, but not be limited to, product name, version number, date version was released for general use and number of installed customer entities.

If product has any Web accessibility, it must comply with the State of Connecticut’s “*Universal Web Site Accessibility Policy for State Web Sites - Version 4.0*” and vendors are required to explain how their solution meets this requirement. Information on this policy can be found at www.doit.state.ct.us/purchase/main/staccess.htm.

1.3 PRODUCT ARCHITECTURE

Vendor must present a detailed architecture design for the proposed product along with a text description and annotated diagram (or diagrams). Descriptions and diagrams must clearly identify Middleware products, interfaces, message formats and component function. Each description/diagram should be accompanied by a narrative indicating where the proposal meets the State of CT technical guidelines and where exceptions will occur.

1. Server descriptions—general functions and operational software components deployed (e.g., IIS, FTP, other services activated).
2. Network—servers and the zones (user, DMZ, server zone, database zone at minimum) in which the servers are hosted, firewalls, network protocols, port

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- requirements (specific port, range, configuration capability). This description should include both internal (agency, DOIT, etc.) and external environments (as appropriate).
3. Describe each server to server connection and communications dialog with protocols, type of message or content and paths. The diagrams should also show the (numbered) sequence of the communications dialog. These descriptions should include both internal (agency, DOIT, etc.) and external environments (as appropriate).

If your design does not use message-based interfaces between components or systems, you must explain your rationale for such a design. You must explain what the impact would be if you are required to use message-based interfaces between components or systems.

The State is now requiring the use of XML as "the" format for most inter-application messaging. You must explain how your proposed design utilizes XML for this purpose. You must explain how your design utilizes XML between components for intra-application messaging. You must identify the source of the XML Schema or Document Type Definitions (DTDs) utilized in your design.

The implemented solution must comply with the Department of Information Technology's Enterprise-wide Technical Architecture (EWTA) guidelines and standards.

1.4 SECURITY

1. Protocols.

Only HTTP and HTTPS traffic (port 80 and port 443) will be allowed from the client to the Presentation layer through the State's firewall systems for Internet based applications. Extranet applications must use the State VPN for communications between the client and Presentation layer.

Applications requiring additional ports opened on the State's firewall systems are strongly discouraged. In all cases, no direct client access to either the Business Logic layer or Database layer will be permitted.

If a specific technical solution requires that additional firewall ports be opened, then the presentation of that technical solution must include and clearly identify the advantages to the state for taking on such an additional security risk.

Applications and solutions will be designed to allow for the configuration of ports utilized at implementation, however, applications and solutions will not utilize or implement dynamic allocation of ports.

2. Presentation Layer Input Validation

Safeguards must be included in all applications to protect the State's data and technical resources. Presentation layer coding must include (at a minimum) specified user input validation checks to guard against unauthorized access. See EWTA on the DOIT website and Section 4 of this document regarding Open Web Application Security Project (OWASP) presentation layer input validation guidelines.

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3. Web Authentication

The State's direction is to allow users to input the same username and password to access different services. This strengthens the State's goal of providing a common look and feel environment in which users perceive they are interacting with State government as a whole, as opposed to many agencies and departments individually. The State has adopted a single sign-on solution utilizing Novell E-Directory, ID Mgr, Access Mgr services.

The use of a secondary or alternate sign-on process is not allowed. All agency-specific secondary sign on processes are in addition to, not in lieu of, the above mentioned authentication products. Multiple factor authentication is also allowed as a complement to the single sign-on solution the use of Active Directory for authentication is limited to Exchange, legacy support and file and print scenarios. Agencies should have a complete and uniform vetting process for employee identifications, role establishment and association. A formal set of more complete guidelines has been developed and is available.

4. Security Review. The State reserves the right to test all applications from a security perspective and require that any vulnerability identified by such testing be subject to remediation. Testing will occur prior to implementation and may occur post implementation (possibly on a recurring basis).

1.1.1 DOCUMENTATION

All system architectures, applications and application components will be documented at a level sufficient to allow for individuals other than the original developer(s) to maintain, support and enhance the application solution. Described in Section 1.2.

1.1.2 SOURCE CODE

The State retains the right to review application source code prior to implementation and while in production status.

1.1.3 DEVELOPMENT, TEST AND PRODUCTION SERVERS, MONITORING AND LOGGING

All web-based applications must be tested in an appropriate n-tiered environment to ensure compatibility, reliability and reasonable performance under load while operating in the State's production environment. It is anticipated that the sophistication and completeness of the testing environment, tools and procedures will be proportional to the size and complexity of the target system. The test environment configuration, tools and procedures will be presented to the agency and the production hosting organizations for review and approval. Applications in development or test status will not be permitted on production servers.

1.1.4 DISASTER BACKUP AND RECOVERY (DBAR)

All critical applications will be designed with Disaster Recovery and Business Continuity in mind. The planning and documentation of such critical applications will include the necessary DBAR content.

2 CONCEPTUAL ARCHITECTURE PRINCIPLES

Online version can be viewed at <http://www.ct.gov/doit/LIB/doit/downloads/conarch.pdf>

2.1 BUSINESS ORIENTED

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1. Information is valued as an enterprise asset, which must be shared to enhance and accelerate decision-making.
2. The planning and management of the State's enterprise-wide technical architecture must be unified and have a planned evolution that is governed across the enterprise.
3. Architecture support and review structures shall be used to ensure that the integrity of the architecture is maintained as systems and infrastructure are acquired, developed and enhanced.
4. We should leverage data warehouses to facilitate the sharing of existing information to accelerate and improve decision-making at all levels.
5. IT systems should be implemented in adherence with all security, confidentiality and privacy policies and applicable statutes.
6. The enterprise architecture must reduce integration complexity to the greatest extent possible.
7. Systems must be designed, acquired, developed, or enhanced such that data and processes can be shared and integrated across the enterprise and with our partners.
8. We will consider re-use of existing applications, systems, and infrastructure before investing in new solutions. We will build only those applications or systems that will provide clear business advantages and demonstrable cost savings
9. New information systems will be implemented after business processes have been analyzed, simplified or otherwise redesigned as appropriate.
10. Adopt a total cost of ownership model for applications and technologies which balances the costs of development, support, disaster recovery and retirement against the costs of flexibility, scalability, ease of use and reduction of integration complexity.
11. Create a small number of consistent configurations for deployment across the enterprise.
12. A standardized set of basic information services (e.g., email, voicemail, e-forms) will be provided to all employees.

2.2 TECHNOLOGY ORIENTED

1. Applications, systems and infrastructure will employ reusable components across the enterprise, using an n-tier model.
2. The logical design of application systems and databases should be highly partitioned. These partitions must have logical boundaries established and the logical boundaries must not be violated.
3. The interfaces between separate application systems must be message-based; this applies to both internal and external systems.

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4. We must deploy application systems that are driven by business events.
5. We should separate on-line transaction processing (OLTP) from data warehouse and other end-user computing.
6. The State shall adopt and employ consistent software engineering practices and methods based on accepted industry standards.

2.3 BUSINESS CONTINUITY ORIENTED

1. IT solutions will use industry-proven, mainstream technologies.
2. Priority will be given to products adhering to industry standards and open architecture.
3. An assessment of business recovery requirements is mandatory when acquiring, developing, enhancing or outsourcing systems. Based on that assessment, appropriate disaster recovery and business continuity planning, design and testing will take place.
4. We must implement a statewide backbone network that provides a virtual, enterprise-wide local area network
5. The underlying technology infrastructure and applications must be scalable in size, capacity, and functionality to meet changing business and technical requirements.

3 PROGRAMMING GUIDELINES - SECURITY VULNERABILITIES FOR WEB-BASED APPLICATIONS

The State's obvious security objective is to protect citizen information. Code addressing web presentation layer vulnerabilities in development is required to provide this protection.

The State directs developers to the Open Web Application Security Project (OWASP) * Top Ten web site - http://www.owasp.org/index.php/OWASP_Top_Ten_Project#Top_Ten_Overview

Writing code addressing the Top Ten vulnerabilities is required to meet the state's minimum standards for web application security. The Top Ten follow in brief:

1. Invalidated input - Information from web requests is not validated before being used by a web application. Attackers can use these flaws to attack backend components through a web application.
2. Broken access control - Restrictions on what authenticated users are allowed to do are not properly enforced. Attackers can exploit these flaws to access other users' accounts, view sensitive files, or use unauthorized functions.
3. Broken authentication and session management - Account credentials and session tokens are not properly protected. Attackers that can compromise passwords, keys, session cookies, or other tokens can defeat authentication restrictions and assume other users' identities.

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4. Cross site scripting (XSS) flaws - The web application can be used as a mechanism to transport an attack to an end user's browser. A successful attack can disclose the end user's session token, attack the local machine, or spoof content to fool the user.
5. Buffer overflows - Web application components in some languages that do not properly validate input can be crashed and, in some cases, used to take control of a process. These components can include CGI, libraries, drivers, and web application server components.
6. Injection flaws - Web applications pass parameters when they access external systems or the local operating system. If an attacker can embed malicious commands in these parameters, the external system may execute those commands on behalf of the web application.
7. Improper error handling - Error conditions that occur during normal operation are not handled properly. If an attacker can cause errors to occur that the web application does not handle, they can gain detailed system information, deny service, cause security mechanisms to fail, or crash the server.
8. Insecure storage - Web applications frequently use cryptographic functions to protect information and credentials. These functions and the code to integrate them have proven difficult to code properly, frequently resulting in weak protection.
9. Denial of service - Attackers can consume web application resources to a point where other legitimate users can no longer access or use the application. Attackers can also lock users out of their accounts or even cause the entire application to fail.
10. Insecure configuration management - Having a strong server configuration standard is critical to a secure web application. These servers have many configuration options that affect security and are not secure out of the box.

The State does not dictate how developers will address vulnerabilities, only that they be able to demonstrate that vulnerabilities are addressed.

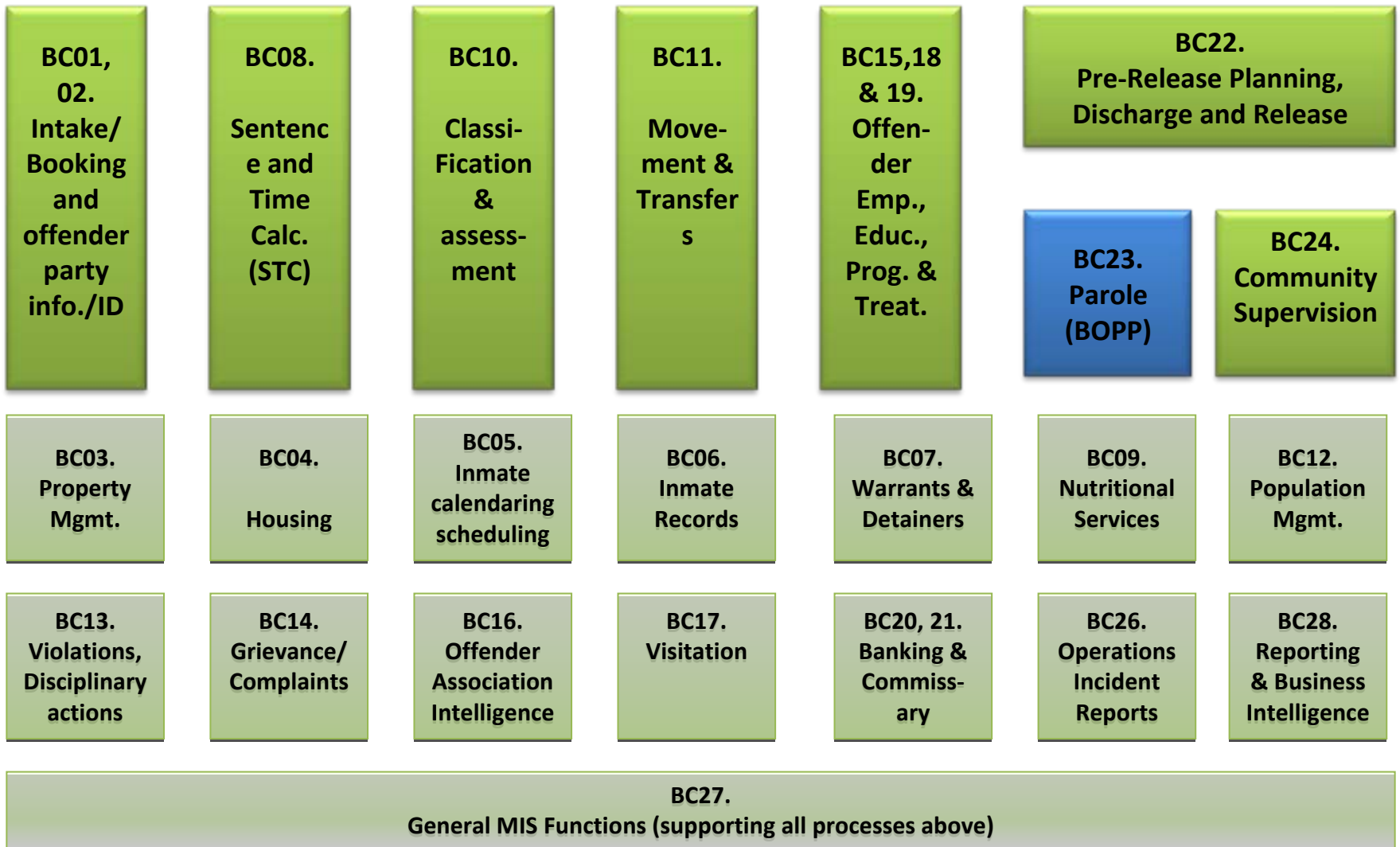
Recognizing other vulnerabilities exist outside those listed above, the state expects web developers to apply best development practices in building secure applications.

It is also required that developers address new vulnerabilities as they are identified.

Note:

* The State is not a member of OWASP. It respects their findings, but does not endorse any methodology, product, or company represented on their website.

Attachment 14 - CTDOC OFFENDER PROCESS MAP (LEVEL 0)



LEGEND:



CORE PROCESSES



SUPPORT PROCESSES



COLABORATIVE PROCESSES

BC 25. System Training & Documentation and BC 29. Data Download are not included due to not being business processes.

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BC.01 – Intake / Booking Requirements

The initial reception and logging of an offender (at the beginning of each instance of an offender’s incarceration) is an essential phase formally activates the offender into the correctional system. This involves all the activities associated with the initial gathering, verifying and entering accurate offender information. It establishes the foundation for the offender's supervision period. The intake assessment and interview provides the first DOC contact with the offender to determine immediate security and clinical needs. During this time, the offender is oriented to rules, regulations, services, and program/activities for their supervision. Concurrently, for sentenced offenders the official committal or revocation documents are processed to determine incarceration length and all relevant aspects of initial time calculation.

The offender is processed through a variety of clinical, programmatic and testing profiles to determine the needs and parameters of management for the offender's period of supervision. Upon completion of the initial intake interview and health care screening, the initial housing assignment is determined. Further diagnostic testing and health care exams are then conducted. Based on the combination of custody level, programmatic, and clinical requirements, this information is then used to determine the institution (and security level) where the offender will be placed. The offender will then be scheduled for transfer to an institution/housing unit that can manage the particular offender profile.

1. General Requirements (Summary)

1.1 Critical System Functions

- 1.1.1 Create or Activate Offender’s Account
- 1.1.2 Collect, Verify and Update Offender Booking Information
- 1.1.3 Shakedown Process
- 1.1.4 Initial Intake Assessment

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Property Management
- 1.3.2 Classification and Assessment
- 1.3.3 Health Care Support Services
- 1.3.4 Housing
- 1.3.5 Offender Identification

2. Functional Requirements

2.1 Create or Activate Offender’s Account

The booking officer triggers this process by receiving the offender and accessing the CTDOC system to either locate or create the offender’s base record and is able to add, change, delete, or query vital information related to the offender’s base record.

DOC Requirements	Vendor Responses
2.1.1 Locate Offender’s Account	- Please Select One Option -
The ability to search the data base to locate an individual offender’s prior periods of incarceration, both for transaction entry and for query, using key search criteria such as	

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<p>offender name, name-sounds-like with returned values, SPBI number, social security number, offender ID, aliases, date of birth, finger print and retina scan.</p>	
<p>2.1.2 Display Offender List</p>	<p>- Please Select One Option -</p>
<p>When possible offender matches are found, the ability to display a prioritized listing of key identifying information such as offender ID, name, social security number, date of birth, photo and aliases and have the ability to confirm which offender the user wants to reactivate if offender has been previously incarcerated.</p>	
<p>2.1.3 Re-Admit Offender with prior Recidivist Information</p>	<p>- Please Select One Option -</p>
<p>The system will provide the ability to link the records of a new admission with prior commitments. The user will have the option to list all prior incarcerations of an individual offender. System should allow repeat offenders to be re-admitted under their previous Offender ID Number. The prior department location and jurisdiction for returning offenders should be provided automatically by the system.</p>	
<p>2.1.4 Create a new Offender's Life Cycle Record</p>	<p>- Please Select One Option -</p>
<p>When an offender match is not found, the ability to establish a new life cycle record for an offender who does not exist in the system and assign a unique Offender ID number which will be associated with the offender for their lifetime. This is a computer-generated number created by the entry of the first status code for a cycle.</p>	
<p>2.1.5 Offender's Life Cycle with CTDOC</p>	<p>- Please Select One Option -</p>
<p>A cycle begins with a person's first contact with CTDOC on a charge and remains open until all original and any subsequent and contiguous charges are completed. This may include breaks in period of control or interest – i.e. the case of reverse and remand where the cycle remains active pending further court action or a court probation suspension. The cycle ends when the DOC relinquishes all interest in the offense(s) described above.</p>	
<p>2.1.6 Link Identifying Information to Life Cycle and Offender ID</p>	<p>- Please Select One Option -</p>
<p>The ability to link offender's key identifying information such as social security number, name, date of birth, FBI ID, SPBI Id and aliases to the offender's life cycle record and unique Offender ID number.</p>	

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<p>2.1.7 Edit for Offender, SSN, FBI and SPBI ID Numbers</p>	<p>- Please Select One Option -</p>
<p>The process of entering offenders into the system for the first time will be edited to prevent the same primary key number from being re-entered for more than one offender. If the number entered for the offender already exists, that record will be brought to the screen and the user will be prompted to verify that the record is correct. The user will then be able to update the record with current information.</p>	
<p>2.1.8 Consistent Offender ID Numbers</p>	<p>- Please Select One Option -</p>
<p>The system should provide for a centralized assignment of Inmate ID numbers that are consistent throughout the entire system.</p>	
<p>2.1.9 Photos</p>	<p>- Please Select One Option -</p>
<p>The ability to have the capability to take multiple photo(s) for each offender during the intake process. The ability to have the capability to add new photo(s) when needed.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.2 Collect, Verify and Update Offender Booking Information

Once the offender's account is activated, the booking officer triggers this process in the CTDOC system to collect, verify and update vital information relative to an incoming offender's identity, personal information, offense, address, emergency/next of kin contact and employer information. Additionally, the booking officer initiates a separate property process to collect and inventory the offender's cash and valuables if needed.

DOC Requirements	Vendor Responses
<p>2.2.1 Initiate Booking prior to Offender Arrival</p>	<p>- Please Select One Option -</p>
<p>Ability to allow for intake data entry process to begin prior to offender arrival such as accepting data from Judicial and/or CT Parole and Probation through an interface.</p>	
<p>2.2.2 Identification Information</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the ability to collect, update and display information that identifies an offender such as social security number, SBI number, SBI verification code, FBI number, offender name (last, first, middle), aliases (multiple), date of birth, place of birth, current facility and admission type. Some Offenders can have multiple identifiers, the system should record/store this information.</p>	

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The system should automatically set admission date when offender is booked and Photo(s) are taken with the ability to override.	
2.2.3 Special Needs	- Please Select One Option -
The ability to have the ability to triage offender based on multiple factors such as gender and age and alert for special situations such as separation, special management, medical/mental health concerns.	
2.2.4 Personal Information	- Please Select One Option -
The ability to collect, update and display the offender's personal information. Including gender, birthplace, citizenship, date of birth, education level, race/ethnicity, skin color, eye color, hair color, height, weight, complexion, build, marital status, number of dependents, religion, alcohol use, drug use, medical insurance, social security number, motor vehicle license number, veteran status primary language, the languages the offender speaks and master file location. For recidivists, ability to display prior facility location, jurisdiction, and last admission date.	
2.2.5 Offense Information	- Please Select One Option -
The ability to have the functionality to collect, update and display the offender's offense information including all offenses (primary, secondary, etc) along with bond amount(s), legal offender status, jurisdiction, docket number(s) and next court date(s)	
2.2.6 Personal Accommodations	- Please Select One Option -
The ability to have the functionality to collect, update and display any language barriers and obvious impediments. User should be able to make special notations as to whether the offender is obese, deaf, and blind, confined to a wheel chair, uses a prosthetic limb, or needs a language interpreter.	
2.2.7 Address Information	- Please Select One Option -
The ability to collect, update and display the offender's address information including street number, street name, apartment number, state, zip code, multiple phone numbers and a 3-digit current residence code along with type of address such as home or mailing. The system should accept "homeless" as an address if offender does not have a home or mailing address. Should keep history of prior address	
2.2.8 Emergency / Next of Kin Contact	- Please Select One Option -
The ability to provide and enter information	

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about the person(s) who should be contacted in case of an emergency relative to an offender. The system should collect, update and display the offender's emergency contact(s) and next of kin information such as name, relationship, multiple phone numbers, street number, street name, apartment number/building number, state, zip code and a 3-digit current residence code. Should also keep history	
2.2.9 Employer Information	- Please Select One Option -
The ability to collect, update and display the offender's employer information such as job held, employer name, street number, street name, state, zip code and phone number.	
2.2.10 Verify Postal Information	- Please Select One Option -
The ability to electronically verify, standardize and override (if needed) all address information based upon current and future US Postal Service data.	
2.2.11 Property Inventory	- Please Select One Option -
The ability to collect, update and display the offender's personal cash and valuables inventory. (Refer to Property Management Business Category)	
2.2.12 Intake Completion Indicator	- Please Select One Option -
The ability to automatically record a completion indicator at each stage of intake to show completion. Where data entered into the automated system signals a completion stage, the completion indicator is to be automatically marked and displayed to the user.	
2.2.13 Intake Process Complete	- Please Select One Option -
The ability to automatically alert the booking officer that all stages of the intake process has been completed so that the offender can move on to the Shakedown Process.	
2.2.14 Share Data Between Facilities	- Please Select One Option -
The ability to support multiple intake centers, and allow for distribution of intake data entry between intake centers, sentenced facilities, central office and other CTDOC offices.	
Vendor Comments:	

2.3 Shakedown Process

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Once the offender's booking information is saved and the cash and valuable property is inventoried, the CTDOC system will automatically alert the booking officer on what type of shakedown is allowed. At this time, the offender is escorted to the shakedown officer who will inventory clothing not allowed in facility while completing the strip or pat-down search.

DOC Requirements	Vendor Responses
2.3.1 Felony Shakedown	- Please Select One Option -
The ability to have the functionality to identify if the offender is charged with a felony and is eligible for a strip search based on charges defined in CTDOC Administrative Directive 6.7 - Searches Conducted in Correctional Facilities.	
2.3.2 Misdemeanor Shakedown	- Please Select One Option -
The ability to have the functionality to identify if the offender is charged with a Misdemeanor and is eligible for a pat down search based on charges defined in CTDOC Administrative Directive 6.7 - Searches Conducted in Correctional Facilities.	
2.3.3 Misdemeanor Shakedown Exceptions	- Please Select One Option -
The ability to determine which misdemeanors are excluded and require the offender to be strip search. The system should have the ability to override when reasonable suspicion exists as defined in CTDOC Administrative Directive 6.7 - Searches Conducted in Correctional Facilities.	
2.3.4 Property Inventory	- Please Select One Option -
The ability to collect, update and display the offender's personal property clothing inventory. (Refer to Property Management Business Category).	
Vendor Comments:	

2.4 Initial Intake Assessments

Once shakedown process is complete, staff determine the offender's needs and completes an initial assessment and requirements based on information collected and stored in the CTDOC system. Including current and prior offense history, history of institutional violence, alcohol/drug abuse, current detainers/open charges and escape history so that appropriate housing can be assigned.

DOC Requirements	Vendor Responses
2.4.1 Immediate Assessment	- Please Select One Option -

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The ability to have the functionality to allow booking officer to alert appropriate staff that an incoming offender requires immediate medical, psychological, problematic, if the offender has gang related tatoos or needs suicidal attention.	
2.4.2 Initial Medical and Mental Health Assessment	- Please Select One Option -
The ability to have the functionality to collect, update and display medical and mental health screening information. Assessment questions should be user-definable and table driven. (Refer to Health Care Support Services Business Category).	
2.4.3 Initial Classification Assessment	- Please Select One Option -
The ability to have the functionality for user to input/view intake results in order to determine initial classification and scoring with override capability. Assessment questions should be user-definable and table driven. (Refer to Classification and Assessment Business Category).	
2.4.4 Initial Housing Assignment	- Please Select One Option -
The ability to have the functionality for user to view intake results in order to recommend initial housing assignment with override capability. (Refer to Housing Business Category).	
Vendor Comments:	

3 Query and Reporting Requirements

DOC Requirements	Vendor Responses
3.1 All Offender by Institution	- Please Select One Option -
The ability to produce a report to list all offenders sorted by name, institution or unit. The report will include offender name, alias, DOC offender number, current status, institution, unit, cell, bed, birth date, place of birth, sex/ethnic, SBI number, social security number, current admission date, parole date, max date, county of commitment and commitment type. The departmental report will be sorted by name within major institution and unit, with a sub-total and page break on change	

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<p>in major institution. The report will be sorted by any combination of the following: offender name, DOC number, district office, institution, age, sex, offense (e.g., sexual assault) offense type (e.g., sex offenders), complex, county of commitment, commitment type, max date, custody level, gang or group affiliation, county/state and parent or regional institution. Users should be able to sort and filter the report using a variety of elements (e.g., list all sex offenders not housed at ADTC, not born in the U.S.A, etc).</p>	
<p>3.2 List of All Offenders and Parolees</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report to list all offenders and/or all parolees by current name. The report will include offender name, alias name flag, offender number, previous institution, current status, current institution or parole location, birth date, place of birth, sex, ethnicity, SBI number, SSN, current admission date, parole date, max date, county of commitment and commitment type. The report will be sorted by any combination of the following: offender name, DOC offender number, district office, institution, county/state, gang or group affiliation, age, sex, offense, offense type (e.g., sex offenders), complex, parent or regional institution, county of commitment, commitment type, max date, custody level, and status. Users should be able to sort and filter the report using a variety of elements (e.g., list all sex offenders who are housed at a particular facility, not born in the U.S.A, not employed).</p>	
<p>3.3 Keep Separates Report</p>	<p>- Please Select One Option -</p>
<p>The system should provide the ability to generate a report that lists keep separates, sorted by institution, including offender name, number, location, and their designated keep separates name, number and location.</p>	
<p>3.4 Keep Separates Exception Report</p>	<p>- Please Select One Option -</p>
<p>The ability to provide and generate an exception report of offenders who should be kept separated but are housed in the same unit or area.</p>	
<p>3.5 AD SEG/Detention Summary</p>	<p>- Please Select One Option -</p>
<p>To provide users with the ability to produce a list of offenders by unit/institution/department who are assigned to or are pending assignment to either or both Administrative Segregation or Detention. The report will include type of detention, date of appearance, basic offender</p>	

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<p>data, dates of segregation/detention, charge(s), sanction(s), pending charges and sanctions, next review date and release date.</p>	
<p>3.6 Offender First and Last Name</p>	<p>- Please Select One Option -</p>
<p>The ability to define the first three bytes of any last name should be defined as a secondary key field. The last name should be the secondary key used to look-up offender's record and should cross-reference a previously assigned offender number.</p>	
<p>3.7 Prior Periods of Incarceration</p>	<p>- Please Select One Option -</p>
<p>The ability to search for prior periods of incarceration and maintain all records related to each separate and distinct incarceration. Prior incarcerations should be accessible through an archive and retrieval mechanism on all transactions for offender's re-entering CTDOC jurisdiction, including recovery of medical, disciplinary, classification, financial, location, profile (separation), and SRG transactions for earlier incarcerations.</p>	
<p>3.8 Movement history Dates</p>	<p>- Please Select One Option -</p>
<p>The ability to search for admission dates and discharge dates with the ability to enter date ranges in order to obtain an offender list.</p>	
<p>3.9 Database Searches</p>	<p>- Please Select One Option -</p>
<p>The ability to allow the user to search the offender database using a variety of search fields. For example, CTDOC Offender Number, Name, Alias, SBI and FBI Numbers, Social Security Number, Date of Birth Driver's License Number may be used as a search field.</p>	
<p>Vendor Comments:</p>	
<p></p>	

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BC.02 – Offender Identification Requirements

The purpose of the Offender Identification Business Category is to ensure that an offender is accurately identified throughout the custody lifecycle (including during community supervision and across multiple incarcerations) within CTDOC. This involves linking any aliases or other identifying elements to the offender’s electronic record with the ability to look-up/verify the identity of an offender at any point of encounter with an offender while in custody (administration of medication, movement of offenders, feeding etc.)

These requirements describe functionality for collecting, searching, displaying and updating offender personal identification, emergency or next of kin contact, photograph identification, face sheet creation, alias identification, fingerprint identification, retina scans, court documentation etc. A majority of the initial data collection, verification and creation of offender account is done as part of the Intake/booking process. However, this section is separate from intake/booking since the lookup and update of the offender ID information takes place throughout the offender’s incarceration within DOC

An identification system should allow an offender to place his/her finger on a fingerprint pad and have the system identify the person. If an offender is not identified then the offender will receive a new account.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Offender Personal Identification
- 1.1.2 Emergency Contact / Next of Kin Contact and Identification
- 1.1.3 Photograph Identification
- 1.1.4 Face Sheet
- 1.1.5 Alias Identification
- 1.1.6 Fingerprint Identification
- 1.1.7 Retina Scan Identification
- 1.1.8 Court Documentation

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Intake / Booking Classification
- 1.3.2 Warrants and detainers
- 1.3.3 Offender association and intelligence

2. Functional Requirements

2.1 Offender Personal Identification

This process supports the need for correction officers and staff to quickly and easily identify an offender. The CTDOC system should provide a user interface that includes search, capture, update and display capabilities for the various identification requirements listed below.

DOC Requirements	Vendor Responses
2.1.1 Personal ID Information	- Please Select One Option -
The functionality to search and display an individual offender’s ID, name including name-sounds-like with returned values, SPBI (SID)	

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number, NCIC identifiers/codes, FBI Number, social security number, aliases, date of birth, finger print and retina scan.	
2.1.2 Additional Identifiers	- Please Select One Option -
The functionality to search, collect, update and display an individual offender's FBI identity number, ICE number, multiple SID numbers, military ID number, CT driver's license number / identification card, DCF number, and should provide for multiple secondary values (aliases) for these identity numbers as necessary including history if numbers changed or multiple numbers have been used.	
2.1.3 Personal Identifiers	- Please Select One Option -
The ability to search, collect, update and display ethnicity, national origin, religion, known SRG affiliation, scars, tattoos, body marking descriptions, primary language, place of birth and date of birth. Also the ability to note if the offender is a Twin.	
Vendor Comments:	

2.2 Emergency Contact / Next of Kin Contact Identification

This process is triggered by correctional officers and staff that track, view and update the offender's emergency contact and next of kin including history of prior next of kin / emergency contacts. The CTDOC system should provide a user interface that includes search, capture, update and display capabilities for the various contact requirements listed below.

DOC Requirements	Vendor Responses
2.2.1 Link Contact Information to Offender	- Please Select One Option -
System should link an individual offender to their emergency contact and next of kin contact records, with the ability to search the database to identify contact records associated to one or more offenders.	
2.2.2 Update Contact Information	- Please Select One Option -
Emergency contact information should be date stamped by the system. Counselors or other staff can then be automatically alerted to identify "old" contact information that should be subsequently updated at user defined intervals.	
2.2.3 Protective Order / Victim Exclusion	- Please Select One Option -

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Flag a person with an active protective order or who is the victim of the current offense who was chosen to be an Emergency Contact / Next of Kin. There should be a user-defined capability to override to this exclusion, with a comment field as to the reasons why.	
2.2.4 DCF Contact Information	- Please Select One Option -
Have the Capability to track and link an individual offender's emergency contact record to the State of Connecticut Department of Children Families guardian contact.	
2.2.5 Mental Health or DDS Contact Information	- Please Select One Option -
Have the capability to track and link an individual offender's emergency contact record to the State of Connecticut Department Mental Health or the State of Connecticut Department of Developmental Services conservator contact.	
Vendor Comments:	

2.3 Photograph Identification

This process is triggered by staff that must take, print, and electronically store digitized photos or "mug shots" of offenders. The CTDOC system should utilize the latest digitized photo capture technology that is automatic and integrated into the system. Also have the ability to search offender photos and have the capability to sort photos based on one or more classification sub-codes.

DOC Requirements	Vendor Responses
2.3.1 Capturing Photos	- Please Select One Option -
Have a process for recording digital photographs in various poses (side view, scars, tattoos, etc.). Allow the user to select the photos that will be stored on the system. Always default any photo view to the "mug shot" of the offender. These photos can be viewed on the system and printed in several different sizes that would include offender ID cards, housing unit cards, wristbands, or full sized photos.	
2.3.2 ID Card	- Please Select One Option -

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<p>Support creation and update of an identification card with a magnetic strip or chip (or support an equivalent, similar in cost, alternative identification technology) that retains identification information for use in a commercially available reader incorporating a digital photograph of the offender. Along with the photo, the ID card should display offender number, facility, first and last name, job assignment, height, weight, date of birth, dietary indicator and any special classification management flags, (i. e. high security, protective custody, etc). Photo ID's can be color-coded and have certain prominent markings that outline special categories such as special diet.</p>	
<p>2.3.3 Housing Labels</p>	<p>- Please Select One Option -</p>
<p>Support creation and update of housing labels so that they can be affixed to a housing card. The labels should consist of a scaled photo, photo date, offenders name and number, personal descriptions (race, weight, height) date of birth, latest admission date, along with a blank field to add text.</p>	
<p>2.3.4 Photo Editing</p>	<p>- Please Select One Option -</p>
<p>To have the capability to take additional photos or delete photos with the proper security clearance. Also maintain historical photos with date of photo.</p>	
<p>2.3.5 Photo Inquiry</p>	<p>- Please Select One Option -</p>
<p>Always have the most current offender photo on all screens. Photos should be displayed chronologically within a photo type. Have the capability to view, e-mail or print individual or batch photos.</p>	
<p>2.3.6 Wrist Band</p>	<p>- Please Select One Option -</p>
<p>Support creation of offender wristbands. The wristbands should contain a scaled photo along with offender number, facility, first and last name, height, weight, date of birth, dietary indicator and any special classification management flags (e.g. high security, protective custody, etc).</p>	
<p>2.3.7 Self Made Tattoos</p>	<p>- Please Select One Option -</p>
<p>Be able to notify staff that a self-mutilation disciplinary report was issued and additional photos need to be taken.</p>	
<p>2.3.8 Import and Email Photos</p>	<p>- Please Select One Option -</p>

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Ability to take, import and email photos to a particular facility or parole office using a mobile device.	
2.3.9 Escape or Fugitive Flyer	- Please Select One Option -
Screen display and print a one page containing photo, identifying text and a "Wanted" or "Fugitive" banner and instructions for contacting authorities.	
2.3.10 Line-Up	- Please Select One Option -
Print a two-page group of photos. Page 1 contains only photos and page 2 includes photos and identifying text. User needs the ability to request the number of photos in the line-up along with specified identifiers such as height, weight, race, age, tattoos, etc).	
2.3.11 Storage of Photos	- Please Select One Option -
Photos of face, profile, tattoos, scars and marks should be linked to offender's record making them immediately available for viewing and identification. All previous photo's taken of an offender shall be kept in history.	
2.3.12 Release Photos	- Please Select One Option -
Be able to produce a photo to be given to the offender upon their release to the community. The photo should have the offender's name, date of birth, driver's license number, social security number or any other user defined number that is in the system listed on the side of the photo.	
Vendor Comments:	

2.4 Face Sheet

This process is triggered by correction officers and staff who must display and/or print a face sheet or summary of the most critical information about an offender on one screen from information previously entered in the database. The user must be able to access this process on-demand so that a face sheet could be generated and printed quickly.

DOC Requirements	Vendor Responses
2.4.1 Data Elements	- Please Select One Option -
The face sheet should display the offender's name, number, photo, other identifiers, physical information, demographic/background information, custody status, location, open charges, detainers, offense history flags,	

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sentencing and parole eligibility data, keep separates flag, emergency contact, and flags for suicide history, etc.	
2.4.2 Face Sheet Most Serious Offense	- Please Select One Option -
Display the most serious offense on the face sheet. Determine if the offender is serving multiple terms and if so, which the most serious offense is.	
2.4.3 Data Element Field Customization	- Please Select One Option -
Provide the ability for users to add additional data element fields to be displayed on a face sheet.	
Vendor Comments:	

2.5 Alias Identification

This process is triggered by staff that capture, search and store alias information. Have the ability to tie many names or moniker combinations, date of birth and social security numbers to a specific offender. Have the functionality to store, report, and search for an offender under multiple identities.

DOC Requirements	Vendor Responses
2.5.1 Capture, Search and Store Alias First and Last Names	- Please Select One Option -
Provide a user interface that collects alias first and last names and ties these names to one or more offenders. Provide the ability to record the source of the alias. Able to search for alias name by offender name, number, date of birth and social security number.	
2.5.2 Alias	- Please Select One Option -
Be able to query the alias (es) of the offender and display all the aliases associated with the offender.	
2.5.3 Legal Name Change	- Please Select One Option -
Provide the ability to enter a legal name change for the offender as an alias and will still use the previous name the primary identifier.	
2.5.4 Alias Edits and Corrections	- Please Select One Option -

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<p>Provide the ability to edit alias data entry to prevent the same alias from being entered more than once for the same offender. also have the capability to allow approved users to correct inaccurate entries.</p>	
Vendor Comments:	

2.6 Fingerprint Identification

Staff who capture, search and store fingerprints to assist in the positive identification of offenders trigger this process. The CTDOC system should provide a user interface that includes searches, capture, update and display capabilities for the various fingerprint identification requirements listed below.

DOC Requirements	Vendor Responses
<p>2.6.1 Capturing and Storing Fingerprints</p> <p>Use the latest digital technology for recording digital fingerprint records. The fingerprint records should be attached to offender's master record making them immediately available for viewing and printing.</p>	<p>- Please Select One Option -</p>
<p>2.6.2 Reading and Searching Fingerprints</p> <p>Be capable of using the latest touch pad technology to scan an offender's fingerprint so that staff can quickly identify an offender.</p>	<p>- Please Select One Option -</p>
<p>2.6.3 Sharing Fingerprints</p> <p>Have the capability to view, e-mail, or print one or more fingerprint cards including batch capabilities by date.</p>	<p>- Please Select One Option -</p>
<p>2.6.4 Altered Fingerprints</p> <p>Be able to flag an offender's fingerprints due to the fact that they have been altered in some way such as burns, cuts or some other form or self-mutilation.</p>	<p>- Please Select One Option -</p>
<p>2.6.5 Missing Fingerprints</p> <p>Be able to record that fingerprints could not be taken due to a physical deformity such as missing arms or hands.</p>	<p>- Please Select One Option -</p>
<p>2.6.6 Palm Prints</p>	<p>- Please Select One Option -</p>

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<p>Have a process for recording digital palm print recordings. The palm print records should be attached to offender's master record making them immediately available for viewing and printing.</p>	
<p>Vendor Comments:</p>	

2.7 Retina Scan Identification

Staff that capture, search and store retina scan records to assist in the positive identification of offenders' triggers this process. The CTDOC system should provide a user interface or mechanism that staff can easily use to scan the offender's retinas for use in quick identification and tracking.

DOC Requirements	Vendor Responses
<p>2.7.1 Capturing Retina Scan Data</p> <p>Use the latest biometric iris recognition technology for recording and storing a retina scan record. The retina scan record should be attached to offender's master record making them immediately available for viewing.</p>	<p>- Please Select One Option -</p>
<p>2.7.2 Reading and Searching Retina Data</p> <p>Be capable of using the latest biometric iris recognition technology to scan an offender's retina so that staff can quickly identify an offender.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

2.8 Court Documentation

This process is triggered by the latest technology for automatically recording all court documentation in the system. The CTDOC system should also provide a user interface for staff that includes search, capture, accept, update and display capabilities for the various court documentation requirements listed below.

DOC Requirements	Vendor Responses
<p>2.8.1 Electronic Mittimus (Mitt)</p>	<p>- Please Select One Option -</p>

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<p>Have the ability to notify a user that an electronic Mitt has been received and allows the user to view and accept with the option to print if necessary. If the Mitt is accepted, the Mitt will be automatically imported into the CTDOC system.</p>	
Vendor Comments:	

3. Report and Data Base Requirements

Allow the user to search the offender database using a variety of search fields. For example, CTDOC Offender Number, Name, Alias, SBI and FBI Numbers, Social Security Number, Date of Birth Driver's License Number may be used as a search field.

DOC Requirements	Vendor Responses
<p>3.1 Personal Identifiers Produce a report to list all the offenders identifiers listed in 3.1.</p>	<p>- Please Select One Option -</p>
<p>3.2 Photo Retake Reminders Be able to generate a report of offenders that require a photo retake and have the flexibility to change the frequency between photo updates.</p>	<p>- Please Select One Option -</p>
<p>3.3 Capture, Search and Store Alias Other Names Provide a user interface that collects one or more alias names and ties these names to one or more offenders. Be capable of searching for alias other names by offender name, number, date of birth and social security number.</p>	<p>- Please Select One Option -</p>
<p>3.4 Capture, Search and Store Alias Birth Dates Provide a user interface that collects alias birth date and ties these names to one or more offenders. Be capable of searching for alias birth date by offender name, number and social security number.</p>	<p>- Please Select One Option -</p>
<p>3.5 Capture, Search and Store Alias Social Security Numbers</p>	<p>- Please Select One Option -</p>

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<p>Provide a user interface that collects alias social security number and ties these names to one or more offenders. Be capable of searching for alias social security number by offender name, number and birth date.</p>	
<p>3.6 Date of Birth or Social Security Number</p>	<p>- Please Select One Option -</p>
<p>Search on record multiple dates of births and social security numbers along with the source of each.</p>	
<p>3.7 Height, Weight, Scars, Marks and Tattoos</p>	<p>- Please Select One Option -</p>
<p>Be able to search on height, weight and other physical information, including scars, marks, and tattoos. Alternately, the user should have the ability to enter this data.</p>	
<p>3.8 Search by Mark or Characteristic</p>	<p>- Please Select One Option -</p>
<p>Provide the ability to search the database based on information that has been entered. For example, users should be able to list all offenders with only one arm or with a certain tattoo. The user should have the ability to set the display sequence of the entered data so that the user preferred identifiers could be moved to the top of the list.</p>	
<p>Vendor Comments:</p>	
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BC.03 – Property Management Requirements

The Property Management business category function is to track and manage property brought with the offender during the Intake processing, issued by the CTDOC, or received from approved sources throughout the offender's CTDOC supervision.

This business category describes the functionality for tracking offender property and establishes a personal property list for male and female offenders based on custody level. Items are described and assigned to an ascribed location (e.g., cages, boxes) with a unique locator number. All items issued to offenders by the facility are tracked. Established functions include the receipt, transfer, storage, maintenance, release, and disposal of offender personal property.

The results of this business category are to track all offender property upon admission/transfer or at any time during supervision to better control contraband and maintain security.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Initial inventory recording and handling of inmate's cash and valuable property.
- 1.1.2 Initial inventory recording and handling of inmate's personal property.
- 1.1.3 Storage and disposition of inmate's personal property not retained during incarceration.
- 1.1.4 Tracking and listing inmate's personal property retained while incarcerated.
- 1.1.5 Record and maintain issued and stored property being transferred with the offender.
- 1.1.6 Record and Track all durable property purchased by offender during incarceration.

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Movements and Transfers
- 1.3.2 Intake
- 1.3.3 Discipline
- 1.3.4 Housing
- 1.3.5 Inmate Scheduling and Calendar
- 1.3.6 Commissary
- 1.3.7 Banking
- 1.3.8 Offender Association and Intelligence
- 1.3.9 Grievances

2. Functional Requirements

2.1 Initial inventory, recording and handling of inmate's cash and valuable property

The offender arrives at the CTDOC facility and the booking officer collects valuable property or any money belonging to the offender. The system generates labels with the offender's name and identifying number that was assigned upon arrival at the facility. One label is placed on the envelope in which the money is stored prior to placement in a drop safe. The second label is placed on the envelope in which the valuable property is stored prior to placement in a holding box. The offender electronically signs a receipt that is automatically generated by the system for the items collected.

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DOC Requirements	Vendor Responses
2.1.1 Cash Valuables	- Please Select One Option -
The ability to allow for recording of cash, recording of money orders or the recording of a bank check taken from offenders at time of Intake.	
2.1.2 Valuable Property	- Please Select One Option -
The ability to record location and condition of offender property (e.g. Drivers/State Identification, Social Security Card, and expensive jewelry).	
2.1.3 Signature of Staff and Offender	- Please Select One Option -
The ability to record offender's signature, staff signature along with date(s) on property records. Should print copy for offender.	
Vendor Comments:	

2.2 Initial inventory, recording and handling of inmate's personal property

The offender is escorted to the shakedown area where the offender's personal property such as clothing is removed. Once the offender has been searched and issued institutional clothing, all personal property taken from the offender is inventoried in the offender's presence and entered into system by the Intake officer.

DOC Requirements	Vendor Responses
2.2.1 Clothing Inventory	- Please Select One Option -
The ability to allow for the recording of the entire offender's personal property. The recording of the personal property should be on a computerized form and allow for electronic signature. The ability to indicate what property can be retained by the offender that is allowed into the facility under CTDOC guidelines/Directive 6.10. Any property not retained will be stored, sent out by mail at inmate expense, visit pickup, discarded or donated.	
2.2.2 Completion of Inventory	- Please Select One Option -
The ability to trigger an alert to the property Officer if the offender's inventory has not been completed.	
2.2.3 Signature of Staff and Offender	- Please Select One Option -

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The ability to record offender's signature, staff signature along with date(s) on property records. Should print copy for offender.	
Vendor Comments	

2.3 Storage and disposition of inmate's personal property not retained during incarceration
The property officer inventories personal property not allowed in the facility. This includes stored property as well as any confiscated items and method of disposition.

DOC Requirements	Vendor Responses
2.3.1 Identification Labels	- Please Select One Option -
The ability to provide the ability to generate ID labels to identify and track the storage of the offender's property. Label should include the inmate name, DOC number, facility, inmate photo, inmate's signature, date and time and listing of property stored in the box.	
2.3.2 Valuable Photograph	- Please Select One Option -
The ability to allow for incorporating photographs with description and condition of each valuable property item being stored.	
2.3.3 Personal / Court Clothing	- Please Select One Option -
The ability to track court clothing and include description/condition of items and location stored. The ability to also notify user when inmate's cases have been resolved so that court clothing can be disposed in accordance with CTDOC directive.	
Vendor Comments:	

2.4 Tracking and listing inmate's personal property retained while incarcerated
Throughout the offenders incarceration officers can electronically view a listing of personal property retained by offender during his/her incarceration. Items being retained include clothing and durable items (TV, CD player, etc).

DOC Requirements	Vendor Responses
2.4.1 Temporary Storage	- Please Select One Option -

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The ability to record when property has been placed in temporary storage and reason, then generate ID labels to better identify and track the temporary storage of the offender's property. (E.g. Out to Medical, A/D Segregation or Court).	
2.4.2 Removal from Temporary Storage	- Please Select One Option -
The ability to record when property has been removed from temporary storage and is issued back to the offender.	
2.4.3 Removal of Items	- Please Select One Option -
The ability to record disposition of offender property (e.g. worn out items, abandonment or destruction).	
2.4.4 Property Issues	- Please Select One Option -
The ability to record disposition of missing property (e.g. lost, stolen, or confiscated and reason). The ability to record any inmate requests regarding property questions/issues.	
2.4.5 Track Property History	- Please Select One Option -
The ability to track all property transactions together from admission to release for each incarceration.	
Vendor Comments:	

2.5 Record and maintain issued and stored property being transferred with the offender.

When offender is scheduled for a transfer to another facility, the sending facility generates a list detailing property that is eligible to be transferred with offender. The list will include issued and stored property. The list will also flag any property items not allowed in the receiving facility. The offender packs all personal property in clear plastic bags and brings all property to a designated area where it is checked, then inventoried by the property officer. The offender's property is then packed in boxes labeled with the offender's name and number and designation of the new facility.

DOC Requirements	Vendor Responses
2.5.1 Transfer of Approved Property	- Please Select One Option -
The ability to display the latest property inventory form so staff can verify any discrepancies. The ability to cross reference offender's property inventory to the policy	

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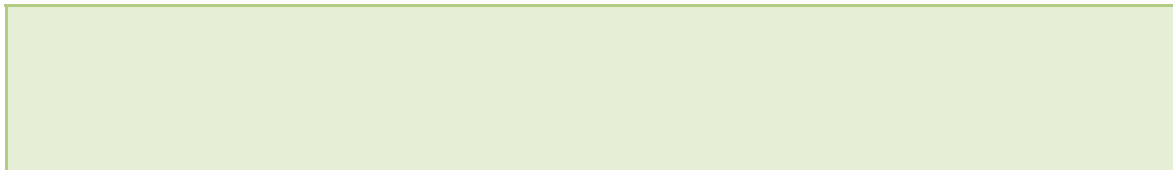
approved property information for the receiving facility and flag any unauthorized property.	
2.5.2 Transfer of Property	- Please Select One Option -
The ability to record what property is being transferred with an offender.	
2.5.3 Returned Property	- Please Select One Option -
The ability to allow staff to update the electronic property form and record property that has been issued back to the offender after a transfer. The property officer issuing the property to the inmate and the inmate receiving the property will electronically sign the form.	
Vendor Comments:	

2.6 Record and Track all durable property purchased by offender during incarceration

The Commissary Sales Module accesses offender's file to automatically record all durable property purchased during incarceration such as a TV or CD player identifying manufacturer's model and serial number. Once complete, the system generates a receipt acknowledging that the property purchased has been automatically inventoried and is given to the offender.

DOC Requirements	Vendor Responses
2.6.1 Approved Purchased Items	- Please Select One Option -
The ability to automatically record and update the offender's property list for specified Commissary purchases based on policy.	
2.6.2 Approved Electronic Items	- Please Select One Option -
The ability to track electronics and generate requested report.	
2.6.3 Photograph Selected Items	- Please Select One Option -
The ability to have the option to allow property officer to take photos of selected inventoried items.	
Vendor Comments:	

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3. Report and Query Requirements

DOC Requirements	Vendor Responses
<p>3.1 Inmate Property Confirmation Sheet System prints a form containing the entire inmate's inventoried property along with signature lines for both the inmate and property officer.</p>	<p>- Please Select One Option -</p>
<p>3.2 Facility Property List System generates a report that lists all inmates that have a specified property item. This is needed for frisks or shakedowns in facility.</p>	<p>- Please Select One Option -</p>
<p>3.3 Inmate Source Property List System generates a source report showing where each item in the inmate's possession came from.</p>	<p>- Please Select One Option -</p>
<p>3.4 Inmate Property List System generates a report that lists the amount, location and disposition of each property item.</p>	<p>- Please Select One Option -</p>
<p>3.5 Inmate Storage Property List System generates a report that lists all items stored as either bulk or valuable.</p>	<p>- Please Select One Option -</p>
<p>3.6 Inmate Cell Inventory List System generates a report that lists all items that have been recorded as stored in the inmate's cell.</p>	<p>- Please Select One Option -</p>
<p>3.7 Inmate Monthly Disposal List System generates a monthly report that lists all inmates with their disposed property, disposal date and reason for disposal.</p>	<p>- Please Select One Option -</p>

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<p>3.8 Property Time Limits</p> <p>Ability to also produce a report to list when property stored exceeds time limits.</p>	<p>- Please Select One Option -</p>
<p>3.9 Database Searches</p> <p>The system must allow the user to search the offender database using a variety of search fields.</p>	<p>- Please Select One Option -</p>
<p>3.9.1 Property Search</p> <p>The ability to be able to search for user defined criteria (e.g. property type – electronic items, state issued property, commissary purchases).</p>	<p>- Please Select One Option -</p>
<p>3.9.2 Property Limit</p> <p>The ability to be able to search for property stored longer than a user-defined period of time.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

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BC.04 – Housing Requirements

Housing assignments initially occur during an offender's booking process. Offenders can be reassigned to different housing units/cells after initial classification, re-classification or when certain offender status changes take place. Staff can undertake a house assignment change when information from other processes such as classification, disciplinary, medical or intelligence indicates a need for a housing assignment change.

Housing units and cells are set up with restrictions/conditions/features that are predefined by each facility.

When a housing assignment or change has been requested, the system will automatically recommend a new housing assignment for the offender based on new/updated information. Correctional staff will access a user interface to review the recommended housing assignment and make changes as necessary. When making a housing assignment recommendation(s), the system should flag any separation restrictions that might exist. Additionally, when a staff member overrides a specific location the system should flag separation problem(s) if any.

In some situations, the offender may have already been moved due to an emergency. This would be an example of where correctional staff would override the housing assignment recommendation provided by the system. When physical movement outside the facility is required, need the ability to initiate a transaction within the Movement and Transfer module. When the new housing assignment is complete, the transaction is logged into the system and all relevant facility and housing counts are updated.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Assign offender to facility housing
- 1.1.2 Assign facility cells / beds
- 1.1.3 Facility Counts
- 1.1.4 Relationships among locations

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Movements and Transfers
- 1.3.2 Classification
- 1.3.3 Scheduling
- 1.3.4 Sentence and Time Calculation
- 1.3.5 Offender Employment
- 1.3.6 Education
- 1.3.7 Program and Activities

2. Functional Requirements

2.1 Assign offender to a facility housing

The system needs to be able to assign an offender to a housing unit based on different needs. There are different types of housing units.

DOC Requirements	Vendor Response
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<p>2.1.1 Facility Housing</p> <p>The ability to define and maintain detailed housing information unique to each facility. This includes the number of housing units in each facility, the number of cells in each housing unit and the number of beds in each cell.</p>	<p>- Please Select One Option -</p>
<p>2.1.2 Intake/Orientation Housing</p> <p>The ability to recommend optimal housing assignment by matching an offender's intake results with classified housing units, cells and beds with the ability for staff to approve or override.</p>	<p>- Please Select One Option -</p>
<p>2.1.3 Specialized Housing</p> <p>The ability to recommend initial housing assignments for returning offenders with Medical/Mental Health need scores greater than four (4), and for offenders classified to Special Management. (Chronic, SRG) using intake results with staff approval and override capability.</p>	<p>- Please Select One Option -</p>
<p>2.1.4 Housing Availability and Vacancies (this should be # 3 on this table)</p> <p>The ability to automatically derive and maintain housing, cell and bed availability for each facility and unit. Availability can be by custody level, or male or female institutions.</p>	<p>- Please Select One Option -</p>
<p>2.1.5 Housing Characteristics (this item should move up to be 2nd in this table)</p> <p>The ability to maintain a list of beds per facility and the bed characteristics (e.g. Level, General Population, Administrative Segregation, Custody Level, Gender, Mental Health, type of occupancy, handicap, inside facing etc.)</p>	<p>- Please Select One Option -</p>
<p>2.1.6 Recall from Work Assignments</p> <p>The ability to record movements of offenders who are recalled from work and to track such information so the counts are automatically adjusted.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

2.2 Assign facility cells / beds

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Within a housing unit, offenders are assigned to a bed. The bed can be within a cell or in a dormitory setting.

DOC Requirements	Vendor Response
<p>2.2.1 Cell and Bed Assignment</p> <p>The ability to enter a cell and bed assignment for an offender with provision to utilize or derive the following information that will assist by making recommended cell and bed assignments/availability. Recommended custody level of the offender based on the objective classification risk and need scores, institutional and unit criteria, length of stay for the offender, keep separates, security information, intelligence alerts, escape history, and special needs (such as medical condition, high risk or notorious offender, etc.)</p>	<p>- Please Select One Option -</p>
<p>2.2.2 Cell and Bed Assignment History</p> <p>The ability to record an offender's bed/cell reassignment within the facility or when transferred to another facility. The offender's name, number, facility, housing unit, cell, bed, date assigned and time assigned must be recorded. The system shall also keep an offender's housing history for each period of incarceration.</p>	<p>- Please Select One Option -</p>
<p>2.2.3 Temporary Bed Vacancy</p> <p>The ability to hold a bed for an offender that is out of the facility for the day (e.g. court appearance/medical appt).</p>	<p>- Please Select One Option -</p>
<p>2.2.4 Held Beds</p> <p>The ability to hold a bed for an offender that is out of the facility for an extended period of time which is determined by the user/facility. The held beds will be reported in the population count and vacancy count.</p>	<p>- Please Select One Option -</p>
<p>2.2.5 Cell Availability</p> <p>The ability to automatically update cell availability when an offender is transferred, released or given a new cell assignment and display all available beds in each facility housing location.</p>	<p>- Please Select One Option -</p>
<p>2.2.6 Override Recommended Assignment</p> <p>The ability to provide and override the recommended housing, cell and bed assignment.</p>	<p>- Please Select One Option -</p>
<p>2.2.7 Override Reason</p>	<p>- Please Select One Option -</p>

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The ability to provide and track the reason for any housing, cell or bed assignment override.	
Vendor Comments:	

2.3 Facility Counts

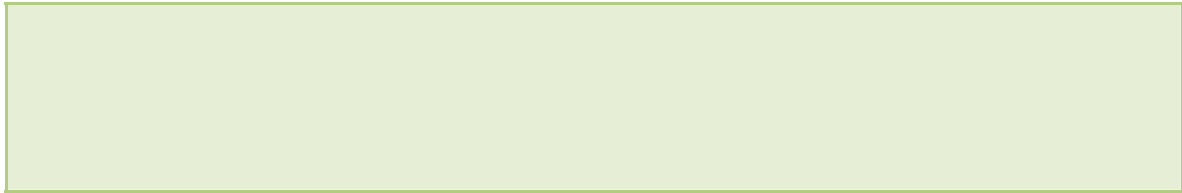
Facility Counts are conducted periodically during the day.

DOC Requirements	Vendor Response
2.3.1 Daily Bed Count	- Please Select One Option -
The ability to keep an active daily bed count of usable and non-usable beds.	
2.3.2 Unusable Beds	- Please Select One Option -
To have the ability to record the inoperable status of units, beds, or cells and to update such housing as it becomes operable with a caveat that notes maintenance and sanitation information that affects the availability of housing (e.g., cell needs maintenance, plumbing, electrical, etc.). A history of cells/beds that are unusable should be maintained by the system with information regarding how long and why cells/beds are not available.	
2.3.3 Counts/Vacancies	- Please Select One Option -
The ability to provide users with collect counts at any time by department, facility, satellite or housing unit, including offenders housed in community release facilities. The availability of housing units, cells and beds must be systematically generated, maintained and updated anytime the status of any housing area changes due to transfers, releases, inoperable beds, etc.	
2.3.4 Counts/Vacancies	- Please Select One Option -
The ability to generate multiple types of count information / documents based on each facility's guidelines (summary and detail) to account for offenders: Physically present in the facility by specific location such as housing unit, work detail,	

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<p>medical, etc. Physically out of the facility by specific status/location such as furlough, escorted trip, medical, out to court</p>	
<p>2.3.5 Daily Facility Count</p>	<p>- Please Select One Option -</p>
<p>The ability to generate and retain count reports for each physical count online for 60 days, and generate hard copy count reports for each count of the day, for all facilities.</p>	
<p>2.3.6 Daily Work Site Count</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a roster of offenders that are working throughout the facility.</p>	
<p>2.3.7 Recall from work assignments</p>	<p>- Please Select One Option -</p>
<p>The ability to record movements of offenders who are recalled from work and to track this information so the counts are automatically adjusted accordingly.</p>	
<p>2.3.8 Physical Counts</p>	<p>- Please Select One Option -</p>
<p>To provide the ability to enter a physical count, by facility or unit, of offenders so it can be validated against the system generated "head count" for the same area. This feature will be time dependent to force head counts at prescribed times. A physical count reconciliation report will go to OCPM.</p>	
<p>2.3.9 Offender Count Display</p>	<p>- Please Select One Option -</p>
<p>The ability to provide and inquire a "head count" of offenders, sorted by facility and then events, at any point in time. There will be a display screen that will provide the operator with current information on the status of all offenders assigned to a particular location (facility/unit, floor, wing, level, and cell). This status screen will display the following minimal information: Last name of offender, First name and middle initial of offender, offender number, Location (Facility/Unit, Floor, Unit Cell, Bed) to which each offender is assigned, Current whereabouts of any offender (e.g., in, kitchen, clinic etc.), Special Status (e.g., lock-down, restrictions, etc.). From the status board, the operator must have the capability of reviewing the detailed status of an individual offender including all alerts and keep separates.</p>	
<p>Vendor Comments:</p>	

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2.4 Relationships among Locations

The ability to provide the option to define facilities and satellite units in a parent-child relationship. Similarly, satellites/wings/units, cells, and beds must be integrated hierarchically, with the bed being the base unit (i.e. each cell must be comprised of designated beds, and each unit must be comprised of designated cells). Changes made by the user to any level must update all other levels. Addition of a new bed must automatically increase cell capacity and unit capacity by one. Similarly, a change in the custody status of the unit must change the custody status of each cell and bed. The facility code must default to the data entry site when lower hierarchy locations are entered.

DOC Requirements	Vendor Response
<p>2.4.1 Overflow Units</p> <p>To provide the ability to enter and define beds for a housing unit without defining a cell for the bed.</p>	<p>- Please Select One Option -</p>
<p>2.4.2 Group Reassignments</p> <p>Users need to be able to make group reassignments of beds. For example, there are occasions when the status of an entire housing unit changes, such as from general population to administrative segregation.</p>	<p>- Please Select One Option -</p>
<p>2.4.3 Facility/Location Criteria</p> <p>To provide the ability to inquire, add, change, or delete specific assignment criteria for each facility, satellite, or location. The criteria may be based on length of sentence, type of present and/or prior offenses, age of offender, behavioral characteristics (agitator, instigator, extremely assaultive, aggressive, homosexual, etc.), and previous failure at the facility, escape risk, and similar factors.</p>	<p>- Please Select One Option -</p>
<p>2.4.4 Flag Inappropriate Housing Assignments</p> <p>To provide the ability to flag the user when an offender is assigned to a housing unit with a security level that is inconsistent with the objective classification score and/or for offenders who do not meet the institutional criteria of the assigned facility. The ability to also provide the ability to flag the user for user defined inappropriate housings such as keep separates in the same facility, Protective Custody case double celled with Non-Protective Custody case, etc. This will require a high level</p>	<p>- Please Select One Option -</p>

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of integration among the offender identification and security, classification, and movement systems.	
2.4.5 Waiting Lists	- Please Select One Option -
To provide the ability to integrate a waiting list of approved facility reassignments into specified housing units. This can include inmates assigned to specific jobs, education or programs. Users need the ability to access a centralized institutional waiting list so that vacancies can be tracked.	
Vendor Comments:	

3. Report & Data Base Requirements

DOC Requirements	Vendor Response
3.1 Display Admissions	- Please Select One Option -
To provide the ability to inquire and access a list of inmates who have been admitted within a user specified and maintainable time period by department, institution, or unit. The offender's DOC number, inmate name (last, first, middle), custody status, housing and bed/cell assignment must be recorded.	
3.2 Inoperable Beds	- Please Select One Option -
The ability to provide inquiry capabilities to inoperable beds by custody level, gender, housing unit and institution.	
3.3 Count Sheet	- Please Select One Option -
The ability to automatically generate a count sheet that can be compared to physical counts.	
3.4 Housing changes	- Please Select One Option -
The ability to generate a report for offenders that are housed in a housing unit longer than a predetermined day limit.	
3.5 Housing	- Please Select One Option -

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The ability to generate a report that lists all offenders in a housing unit and the date assigned to the housing unit.	
Vendor Comments:	

BC.05 – Offender Event Schedule, Calendar, Alerts and Conflict Resolution Requirements

Scheduling an offender for events is an essential phase that determines an offender's movement in and out of the facility as well as within the facility. An offender can be scheduled for many events including court, parole hearings, medical and programs. Offenders are also scheduled for privileged phone calls. Privileged phone calls are defined as any phone call placed by a staff member for an offender on a non-monitored telephone.

Events on the offender's calendar may be scheduled for future designated dates and times or may be set to begin immediately. Triggers that may drive immediate scheduling include death in the family or an attorney call. Access to the offender's calendar at various control checkpoints/stations will allow an offender to move from his/her housing location.

An offender may be scheduled for multiple events for the same time but generally would attend one at any given time. Some events take precedence over others such as court appearance. Even court appearances may require prioritization since an offender may be scheduled to appear in different courts at the same time but can only attend one court location. The exception to this would be instances where a Superior Court in a geographical area is in the same location as a Judicial District court.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Identify and Schedule Offenders for Orientation/Assessment
- 1.1.2 Schedule offender for Privilege Phone Calls
- 1.1.3 Schedule offender for Employment/Education/Programs
- 1.1.4 Schedule offender for medical appointments
- 1.1.5 Schedule offender for court
- 1.1.6 Schedule offender for video conference
- 1.1.7 Schedule offender for parole hearing
- 1.1.8 Schedule offender for release
- 1.1.9 Schedule transport of offender
- 1.1.10 Schedule offender for social and professional visits
- 1.1.11 View Calendar
- 1.1.12 Archive Calendar
- 1.1.13 Add/Update/Delete a scheduled event
- 1.1.14 Schedule Alerts
- 1.1.15 Resolve Schedule Conflicts

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Classification
- 1.3.2 Violations & Disciplinary
- 1.3.3 Sentence and Time Calculation
- 1.3.4 Movements and Transfers
- 1.3.5 Housing
- 1.3.6 Intake and Booking
- 1.3.7 Programs and Activities

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- 1.3.8 Offender Management
- 1.3.9 Population Management
- 1.3.10 Visitation
- 1.3.11 Education
- 1.3.12 Pre-Release
- 1.3.13 Parole Hearings
- 1.3.14 Offender Employment
- 1.3.15 Community Release
- 1.3.16 Property
- 1.3.17 Warrants and Detainers

2. Functional Requirements

2.1 Orientation / Assessment

Upon intake or a transfer to a new facility offenders must attend an orientation session. Review of the Department and unit's expectations, facility programs and work opportunities, and discussion of the rules and regulations of the Department and the unit, which shall include distribution of written materials. Offenders are shown certain video's including the "Sexual Assault Prevention for Offenders". An offender is assigned a counselor at this process.

DOC Requirements	Vendor Response
2.1.1 Orientation Scheduling The ability to set up offenders (single or group) for an orientation upon either intake or transfer into a facility at a user defined time frame.	- Please Select One Option -
2.1.2 Assessment Scheduling Though all sentenced offenders go through an assessment process, for those offenders sentence to a defined period of time (currently greater than 2 years) an intensive assessment is completed in the Assessment Unit at MacDougall/Walker CI. Certain criteria must be met before an offender can be transferred up to the Assessment Unit to being the Assessment process such as no court date within 30 days, no active DR sanctions, and medically cleared.	- Please Select One Option -
2.1.3 Assessment Criteria The ability to identify sentenced offenders to a defined period of time with certain criteria such as no pending court appearances for 30 days, Mental Health and/or Medical Score greater than 3, etc. and schedule the identified group of individuals for an event such as assessment process.	- Please Select One Option -
2.1.4 Assessment Process	- Please Select One Option -

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The ability to schedule an offender for a multiple day event such as an Assessment cycle (currently 10 days) to include interview with counselor, education testing, medical appt, parole orientation, etc.	
2.1.5 Assessment Completion	- Please Select One Option -
The ability to schedule an offender for a transfer upon completion of the assessment cycle.	
2.1.6 System Notification	- Please Select One Option -
The ability to notify the appropriate designated/resident housing unit for offenders upcoming scheduled appearance through e-mail. The ability to group all offenders for a single housing unit within one notice for the day/week/month etc.	
2.1.7 Conflict Resolution	- Please Select One Option -
The ability to schedule on pre-defined priorities if more than one event occurs on the same day/time. The ability to send an alert to the event that could not be scheduled. Maintain requests (even if denied due to conflict) incase the higher priority event is later cancelled.	
Vendor Comments:	

2.2 Privilege Phone Calls

Privilege phones call cover attorney, Department of Children and Families (DCF), halfway house, interviews, etc. An offender or his/her attorney requests privilege phone calls. If requested by the attorney there is no limit but if requested by an offender they are limited to 2 calls per month.

DOC Requirements	Vendor Response
2.2.1 Event Scheduling	- Please Select One Option -
The ability to set up a date and time for a phone call and document the details of the phone call i.e. if completed, duration of call, time of call, etc.	
2.2.2 System Notification	- Please Select One Option -
The ability to notify housing unit for offender's upcoming phone call through e-mail. The ability to group all offenders for a single housing unit within one notice for the day/week/month etc.	

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2.2.3 Conflict Resolution	- Please Select One Option -
The ability to schedule on pre-defined priorities if more than one event occurs on the same day/time. The ability to send an alert to the event that could not be scheduled. Maintain requests (even if denied due to conflict) in case the higher priority event is later cancelled.	
Vendor Comments:	

2.3 Employment / Education / Programs

An offender can be assigned to employment within a facility. While incarcerated, if an offender is under 21 and does not have a high school diploma or has special needs he/she is required to attend school. Other offenders can request to attend school. There are many programs that an offender can participate in. Programs are recommended to an offender based on classification assessments.

DOC Requirements	Vendor Response
2.3.1 Event Scheduling	- Please Select One Option -
The ability to automatically update an offender's calendar once he/she has been assigned/enrolled to a job/school/program through the duration of the assignment and for the specific dates/days and begin/end times.	
2.3.2 System Notification	- Please Select One Option -
The ability to notify the housing unit for an offender's upcoming scheduled event. The ability to group all offenders for a single housing unit within one notice for the day/week/month etc.	
2.3.3 Conflict Resolution	- Please Select One Option -
The ability to schedule on pre-defined priorities if more than one event occurs on the same day/time. The ability to send an alert to the event that could not be scheduled. Maintain requests (even if denied due to conflict) in case the higher priority event is later cancelled.	
Vendor Comments:	

2.4 Medical Appointments

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Most facilities have medical departments in the facility but at certain times an offender has to go out of the facility to a medical appointment.

DOC Requirements	Vendor Response
2.4.1 Event Scheduling The ability to set up an offender for a medical appointment and location either within the facility or outside the facility.	- Please Select One Option -
2.4.2 System Notification The ability to notify the housing unit for offender's upcoming medical appointment. Based on the appointment location a notification can be sent to movements and transfers to determine transportation. The notification to movements and transfers should occur any time an inmate must leave the facility.	- Please Select One Option -
2.4.3 Conflict Resolution The ability to schedule on pre-defined priorities if more than one event occurs on the same day/time. The ability to send an alert to the event that could not be scheduled. Maintain requests (even if denied due to conflict) in case the higher priority event is later cancelled.	- Please Select One Option -
Vendor Comments:	

2.5 Court Trips

An offender at anytime can be scheduled for court for a variety of reasons. It can be to attend court for his/her current offense, to be arrested on new charges, for any legal motions, etc.

DOC Requirements	Vendor Response
2.5.1 Event Scheduling The ability to set up an offender for a court appearance for a specific location on a specific date and time.	- Please Select One Option -
2.5.2 System Notification The ability to notify the housing unit for offender's upcoming court appearance based on the court location, a notification can be sent to movements and transfers to determine transportation.	- Please Select One Option -

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2.5.3 Conflict Resolution	- Please Select One Option -
<p>If multiple courts are set up for the same day, the system must allow court appearances for courts in the same area. If different locations then the system needs to prioritize the location based on predefined rules. The ability to send an alert to the event that could not be scheduled.</p>	
Vendor Comments:	

2.6 Video Conference

Many hearings can be conducted by use of video conferencing. Currently family matters, claims commissions, habeas matters, administrative segregation hearings, immigration, parole hearings and juvenile hearing s are using video conferencing.

DOC Requirements	Vendor Response
2.6.1 Event Scheduling	- Please Select One Option -
<p>The ability to set up an offender’s video conference date to include the type of hearing being conducted and the time of the hearing and location.</p>	
2.6.2 System Notification	- Please Select One Option -
<p>The ability to notify the housing unit of the offender’s upcoming videoconference.</p>	
2.6.3 Conflict Resolution	- Please Select One Option -
<p>If multiple events are set up for the same day, the system must allow the videoconference unless the offender is scheduled for another court appearance. The ability to send an alert to the event that could not be scheduled.</p>	
Vendor Comments:	

2.7 Parole Hearings

Offenders are scheduled for a parole hearing when a case has been completed and placed on a parole hearing docket. Parole hearings can be conducted either by video conference at their current facility or at another facility or in person.

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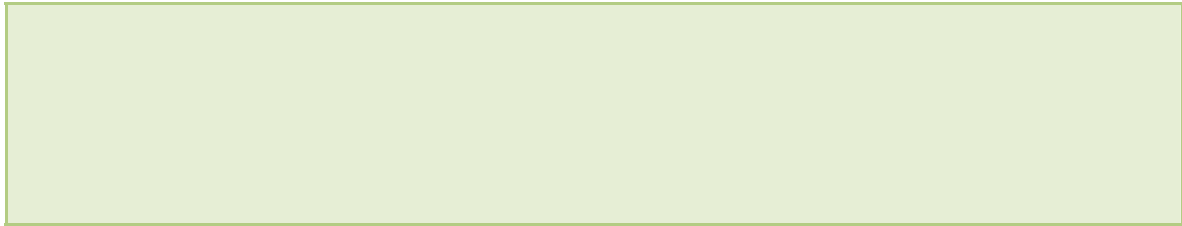
DOC Requirements	Vendor Response
2.7.1 Event Scheduling	- Please Select One Option -
The ability to schedule a parole hearing for an offender at a facility location. Offenders with the earliest parole eligibility date will be scheduled first and the hearings will have a maximum capacity to be determined by parole.	
2.7.2 System Notifications	- Please Select One Option -
The ability to notify the housing unit of offender's upcoming parole hearing.	
2.7.3 Conflict Resolution	- Please Select One Option -
The ability to override any previously scheduled event with the exception of a court appearance. The ability to send an alert to the event that could not be scheduled.	
Vendor Comments:	

2.8 Scheduled Release

An offender can be scheduled for release either by completing their sentence or community release.

DOC Requirements	Vendor Response
2.8.1 Event Scheduling	- Please Select One Option -
The ability to schedule an offender as he approaches his/her release date. For end of sentence the system should schedule the offender based on the discharge date. Once the community releases office sets a firm release date the system should capture that date.	
2.8.2 System Notifications	- Please Select One Option -
The ability to notify the housing unit when an offender is being released. If an offender is scheduled for discharge and has a pending warrant a notification should be sent to records to notify the agency holding the warrant.	
2.8.3 Conflict Resolution	
Does not apply	
Vendor Comments:	

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2.9 Event History

For each event the system must have the ability to keep the history.

2.9 Event History	- Please Select One Option -
For each event the system must have the ability to keep the history.	
Vendor Comments:	

2.10 CTU Scheduling and Movement

The Central Transportation Unit (CTU) is responsible to transport offenders. This could include transporting an offender from the sentenced facilities to the jails if the offender is scheduled for a court appearance, to a halfway house, or to a medical appointment. Authorized staff can change the schedules for offender transportation.

The schedule listing should include the current date (default), current time (default), pickup time, scheduled arrival times, vehicles, offenders, officers, location where vehicle will initiate transportation, destination where vehicle will terminate transportation, and number of offenders being transported (calculated). As an offender is added onto a schedule event that requires transportation real time updates occur.

DOC Requirements	Vendor Response
2.10.1 Transportation Required	- Please Select One Option -
Based on the offender's facility and his scheduled event the ability to automatically set the offender up for transport by CTU.	
2.10.2 Profile Check	- Please Select One Option -
The ability to automatically check an inmate profile/separation and send an alert if a conflict exists between inmates and scheduled facility or anyone else scheduled for the same court.	
2.10.3 Derived Recommended Schedule	- Please Select One Option -
The ability to recommend transportation schedules based on the availability of each vehicle, the type of vehicle needed, and staffing.	

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2.10.4 Custody Status	- Please Select One Option -
The ability to determine the staffing to offender ratio based on the overall custody level based on DOC directives.	
2.10.5 Flag Exceptions	- Please Select One Option -
The ability to flag exceptions when court dates and/or the dates and times of other movement requests are changed based on a change in the offenders classification or medical/mental health issues.	
2.10.6 Flag Potential Overtime	- Please Select One Option -
The ability to flag any trips, which are likely to result in overtime custody requirements based on user, defined elements.	
2.10.7 Transport Logs	- Please Select One Option -
The ability to generate an institutional transport log automatically based on entered scheduled transfers. Actual time in and out for transport trips will be maintained along with reasons for delay, cancellation, or refusal, if necessary.	
Vendor Comments:	

2.11 Professional/ Privileged/Special Visits

A privileged visit is a special meeting between an offender and his attorney or an elected government official. A professional visit is a special meeting between an offender and a credentialed individual. A special meeting allows exceptions to the authorized visiting list; number of visitors; the schedule of visits; and/or length of visits.

DOC Requirements	Vendor Response
2.11.1 Event Scheduling	- Please Select One Option -
The ability to set up a date and time for a professional/privileged/special visits. This will include the person authorizing the visit.	
2.11.2 System Notifications	- Please Select One Option -
The ability to notify the housing unit that when an offender is scheduled for the professional/privileged/special visits.	

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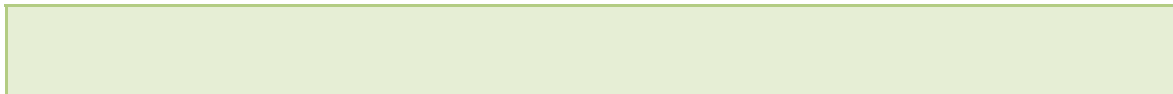
2.11.3 Conflict Resolution	- Please Select One Option -
The ability to send an alert to the event that could not be scheduled.	
Vendor Comments:	

2.12 Offender Calendar

An offender calendar should list every activity that an inmate is scheduled for.

DOC Requirements	Vendor Response
2.12.1 Offender Calendar	- Please Select One Option -
The ability to view the offenders schedule either by day, week, month, and year.	
2.12.2 Calendar Management	- Please Select One Option -
The ability to manually over-ride pre-defined priority of events for a specific or group of offenders.	
2.12.3 Cancellations	- Please Select One Option -
The ability to cancel scheduled offender movements by individual offender or by scheduled event. To include reason and authorizing staff.	
2.12.4 Limit Scheduled Events	- Please Select One Option -
The ability to schedule offenders for a limited number of visits to various departments within the institutions and add any additional offenders to the next available time periods.	
2.12.5 Conflict Resolution	- Please Select One Option -
The ability to override a scheduled event with the exception of a court scheduled event.	
Vendor Comments	

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3. Report & Database Search Requirements

DOC Requirements	Vendor Response
3.1 View Offender's Calendar	- Please Select One Option -
The system must produce a report to list all events associated for one or multiple offenders (view daily, weekly monthly, yearly).	
3.2 View Calendar for Facility / Wing / Housing Unit	- Please Select One Option -
The system must produce a report to list all offenders and their scheduled events in a specified housing location (view daily, weekly monthly, yearly, today, specific date, specific date range, specific date and time range).	
3.3 View All Scheduled Events for Offender	- Please Select One Option -
The system must produce a report to list all events by type of event sorted by date (court trips, facility transfers, etc).	
3.4 View All Scheduled Events for Facility / Wing / Housing Unit	- Please Select One Option -
The system must produce a report to list all events for all offenders in a specified housing location (court trip, phone call, etc...).	
3.5 View All Scheduled Events for a Specified Date	- Please Select One Option -
The system must produce a report to list all events for all offenders on a specified date.	
3.6 Query on Past/Future Dates	- Please Select One Option -
The ability to query on past and future schedule dates by offender, type/reason of event, date or destination of the scheduled event.	
3.7 Security Information	- Please Select One Option -

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<p>The ability to access offender identification, security and classification data so transportation supervisors are flagged for offenders that are transporting with special management criteria (e.g., high profile, high risk, problem offenders, gang affiliations, etc).</p>	
<p>3.8 Keep Separate Information</p>	<p>- Please Select One Option -</p>
<p>The ability to access offender identification, security and classification data so transportation supervisors are flagged for offenders that are transporting who have established profiles.</p>	
<p>3.9 Escape Information</p>	<p>- Please Select One Option -</p>
<p>The ability to display offenders with a history of escape who are scheduled for an event. The date, time, place, custody status at time of escape, and circumstances to be easy to retrieve by the scheduling officer.</p>	
<p>3.10 Record and Inquire Changes</p>	<p>- Please Select One Option -</p>
<p>The ability to record, inquire and access changes in transportation schedules after the count has closed.</p>	
<p>3.11 Flag Exception Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a listing of all offenders on the exception report for transportation so CTU can determine if the transportation for the scheduled event can be handle by the facility or CTU.</p>	
<p>Vendor Comments:</p>	
<p></p>	

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BC.06 – Offender Records Requirements

The Offender Record holds all the information on an offender throughout his/her entire incarceration(s). An offender's record is initially created when an offender first enters the CTDOC custody. It is updated throughout the offender's incarceration and/or community supervision (as appropriate). An offender's record holds detailed information on all charges, sentencing, classification, disciplinary reports, photo, programs, inmate correspondence, and other miscellaneous items. An offender record will be archived after an offender has not been back in our custody within 3 years for misdemeanor offenses and 25 years for a felony offense after an offender discharges.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Create Offender's Master File
- 1.1.2 360 Degree View of Offender
- 1.1.3 Criminal History
- 1.1.4 Court Information
- 1.1.5 Offender Record Maintenance
- 1.1.6 Victim Notification
- 1.1.7 Emergency Contact
- 1.1.8 File Transfer
- 1.1.9 Home Address
- 1.1.10 Archive Records

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

The offender record will interface with all business functions. As other business functions are updated the information will pass to the offender record.

2. Functional Requirements

2.1 Create Offender's Master File

An electronic record of the offender's activities is created when an offender is admitted or readmitted into one of our jails/facilities. An offender's master file will store and display current information but has the capability to view prior incarcerations.

DOC Requirements	Vendor Comments
2.1.1 Offender Master File – New Admit	- Please Select One Option -
For New Admissions the system must create an offender's master file after an offender has been booked in by intake.	
2.1.2 Offender Master File – Re-Admit	- Please Select One Option -

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For Re-admissions the system must activate the offender's previous master file keeping the previous information in history.	
2.1.3 Offender Photo	- Please Select One Option -
The ability to view all photos of an offender on the offender record.	
2.1.4 Scan Documents	- Please Select One Option -
For documents that cannot electronically be sent (i.e. judgment mitts) we need the ability to scan the documents to be electronically stored.	
Vendor Comments:	

2.2 360 Degree View of Offender

Once the offender's record has been created the record will hold all the information on the offender. Staff will be able to view the record and depending on the user profile some staff will see more of the record than other staff. View of the offender can be accessible to the public with limited information.

DOC Requirements	Vendor Comments
2.2.1 Offender Status	- Please Select One Option -
The ability to show the current status of the offender – <i>Active</i> if currently incarcerated/supervised or <i>Closed</i> if no longer in our custody/supervision. Status should also show if the offender is sentenced or un-sentenced.	
2.2.2 Offender Name	- Please Select One Option -
The ability to show current name the offender was committed under.	
2.2.3 Offender Personal Characteristics	- Please Select One Option -
The ability to show all personal characteristics for the offender.	
2.2.4 Offender Primary Offense	- Please Select One Option -

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The ability to display the offender's primary offense.	
2.2.5 Offender Housing	- Please Select One Option -
The ability to display the current housing location for an offender.	
2.2.6 Offender Classification	- Please Select One Option -
The ability to display the current classification and needs score for the offender.	
2.2.7 Offender Disciplinary	- Please Select One Option -
The ability to display the total number of disciplinary reports, the latest Class A DR, and the latest Class B DR.	
2.2.8 Offender Release Date	- Please Select One Option -
The ability to display the maximum release date and for applicable inmates an estimated release date.	
2.2.9 Program Eligibility Date	- Please Select One Option -
The ability to display the program eligibility date (i.e. parole eligibility, halfway house eligibility, community supervision eligibility)	
2.2.10 Bond Amount	- Please Select One Option -
The ability to display the total bond amount.	
2.2.11 Voted to Parole Date	- Please Select One Option -
The ability to display an offender's voted to parole date.	
2.2.12 Total Effective Term	- Please Select One Option -
The ability to display an offender's total effective term.	

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2.2.13 Precaution Button	- Please Select One Option -
The ability to display a Precaution Button. Once the button is hit it will display any special management concerns and for some user profiles will display any keep separates for the offender.	
2.2.14 DNA Felony	- Please Select One Option -
The ability to display if offender is eligible and if so when DNA was taken.	
2.2.15 Sex Offender Registration	- Please Select One Option -
The ability to display if offender is eligible and if so when an offender has registered as a sex offender.	
2.2.16 Latest Admission	- Please Select One Option -
The ability to display the date of the latest admission and the type of admission.	
2.2.17 View Option	- Please Select One Option -
The ability to check off other business categories to view additional information. For example, I can view overall information on an inmate but if I want to see his sentence information and classification information then I would check off those business categories and this information would follow the overview information.	
Vendor Comments:	

2.3 Criminal History

An offender's criminal history is a key factor to how an offender is classified and housed.

DOC Requirements	Vendor Comments
2.3.1 RAP Sheet Check	- Please Select One Option -

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The system must display the current Rap Sheet and NCIC information that was last run on the offender that would be scanned into the system.	
2.3.2 Warrants/Detainers	- Please Select One Option -
The system must display any active warrants/detainers lodged against the offender.	
2.3.3 Pre Sentence Investigation Reports (PSI)	- Please Select One Option -
The ability to retrieve from judicial and store the offenders PSI. For hard copies received the ability to scan and store the PSI.	
2.3.4 Police Reports	- Please Select One Option -
The ability to scan and store police reports.	
2.3.5 Protective Orders	- Please Select One Option -
The ability to scan and store protective orders. In the future we would like the system to tie into the judicial system for these records.	
Vendor Comments:	

2.4 Court Information

Un-sentenced offenders are being held as they are not able to make bond. Sentenced offenders can have cases pending and active court dates. All court and bond information needs to be maintained in the offender's record.

DOC Requirements	Vendor Comments
2.4.1 Court Dates	- Please Select One Option -
The system must display any future court dates to include the court location.	
2.4.2 Bond Amount	- Please Select One Option -

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The system should display any bond information.	
2.4.3 Bond Type	- Please Select One Option -
The system must display the bond type.	
Vendor Comments:	

2.5 Offender Record Maintenance

The offender record will be maintained throughout his/her incarceration and/or community supervision. As new information is gathered on the offender the system must be able to capture the additional information. The system must have the ability to track the user who updated information with a time stamp.

DOC Requirements	Vendor Comments
2.5.1 Alias Information	- Please Select One Option -
The ability to display all alias names for the offender.	
2.5.2 Offender Number Information	- Please Select One Option -
The ability to display all identification numbers associated with the offender. This will include Social Security numbers with an indicator noting a verified SS #, other state ID numbers, duplicate offender numbers, FBI #, etc...	
2.5.3 Dates of Birth	- Please Select One Option -
The ability to store multiple dates of birth with an indicator noting a verified date of birth.	
2.5.4 Work Assignments	- Please Select One Option -
The ability to display if the offender is currently in a job and list the type of job working.	
2.5.5 Program Assignments	- Please Select One Option -

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The ability to display any programs the offender is currently participating in.	
Vendor Comments:	

2.6 Victim Notification

A victim has the right to ask to be notified when there is any change in the inmate's status, when applying for a release program or when discharging from DOC custody.

DOC Requirements	Vendor Comments
2.6.1 Victim Information	- Please Select One Option -
The ability to accept and retain each offender's actual and threatened victim of offence information, including: offender identification; victim(s) names; victim's ethnicity; victim's date of death if applicable; identification as State, public safety or other criminal justice employee; last known address and telephone number; gender; either crime victim, witness or threatened status; age at the time of the crime; contact name, e.g. if a minor or incapable of communicating; name address and relationship of family members; name, address and relationship of survivors, and a text field for notes. An offender can be mapped to multiple victims and one victim can be mapped to multiple offenders.	
2.6.2 Victim Notification Flag	- Please Select One Option -
The ability to accept and retain yes and no notification status (default is yes) for victims, family members and survivors to be notified upon offender status change: transfers; parole hearing; psychological panel hearing; release on parole or discharge; escape and death.	
2.6.3 Victim Notification Updates	- Please Select One Option -
The ability to accept and retain and report victim entries as transactions, allowing entry of subsequent changes to initial entry for victims, i.e. addresses, desires for notification, etc., and noting transactions date, effective date, entering user, requester if not the victim or initial requester, etc.	
2.6.4 Victim Notification Form Letters	- Please Select One Option -

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<p>The ability to prepare form letters and mailing labels for identified victims, for each proposed change in an offenders status, including: parole hearing; psychological panel hearing; release on parole or discharge; escape, death and proposed movement, including relevant information within the system in the body of the form letter, e.g. offender identification, date of proposed change, date of crime, hearing date, time and location, etc.</p>	
<p>2.6.5 Victim Notification Form Letters</p>	<p>- Please Select One Option -</p>
<p>The ability to allow table driven business rules to provide maintainable logic for preparing notification letters e.g. notify parents if victim is a minor, etc. Should we include history of all victim contact?</p>	
<p>2.6.6 Victim Notification History</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a history of all victim notifications.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.7 Emergency Contact

An offender may give contact information in case the DOC had to make contact in case of an emergency.

DOC Requirements	Vendor Comments
<p>2.7.1 Emergency Contact</p>	<p>- Please Select One Option -</p>
<p>The ability to display any emergency contact information and maintain any prior contact information.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.8 File Transfer

The inmate master file is moved to the facility where the inmate is housed.

DOC Requirements	Vendor Comments
<p>2.8.1 File Transfer</p>	<p>- Please Select One Option -</p>

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The ability to display where the current hard copy of the master file is located.	
Vendor Comments:	

2.9 Home Address

Upon intake an offender is asked for his home address. This information is self reporting.

DOC Requirements	Vendor Comments
2.9.1 Home Address	- Please Select One Option -
The ability to display the offender's current home address and maintain any prior addresses.	
Vendor Comments:	

2.10 Archive Record

All archived data needs to be stored. There are certain guidelines for offender who are charged with a misdemeanor offense or offenders charged with a felony offense.

DOC Requirements	Vendor Comments
2.10.1 Misdemeanor Offense	- Please Select One Option -
The ability to know that all offenses the offender was held for or sentenced to were only misdemeanor offenses. These files will only be archived for three years providing the offender has not been returned to custody. Once archived, access to these records will be restricted and will not be part of an active record should an offender return back to custody.	
2.10.2 Felony Offense	- Please Select One Option -
The ability to know that any offenses the offender was held for or sentenced to were felony offenses. These files will only be archived for twenty five years providing the offender has not been returned to custody. Once archived, access to these records will be restricted and will not be part of an active	

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record should an offender return back to custody.	
Vendor Comments:	

3. Report and Database Search Requirements

DOC Requirements	Vendor Comments
3.1 Misdemeanor Offense	- Please Select One Option -
3.2 The system must produce a report to list all offenders that have not been in DOC custody within the last 3 years who had a misdemeanor offense.	
3.3 Felony Offense	- Please Select One Option -
3.4 The system must produce a report to list all offenders that have not been in DOC custody within the last 25 years who had a felony offense.	
3.5 Victim Notification	- Please Select One Option -
The system must generate a daily report of new victims added to the system.	
3.6 Victim Notification	- Please Select One Option -
The system must generate a report listing either victim by facility, by name, or by inmate.	
Vendor Comments:	

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BC.07 – Warrants and Detainers Requirements

The purpose of the Warrants and Detainers process group is to authorize law enforcement agencies to regain custody of an offender or to assume custody from a releasing authority.

This process area deals with processing and tracking potential and actual warrants or detainers placed on CTDOC offenders by other law enforcement agencies and the corresponding effects on an offender's classification, housing level, commitment status, release and probation or parole. It also deals with the release procedure permitting another law enforcement agency to assume custody of a CTDOC offender.

CTDOC issued applications for warrants, parole warrants and detainers are used to notify other law enforcement agencies when an offender has escaped or absconded from the jurisdiction of the CTDOC. CTDOC warrants, in conjunction with the Board of Pardons and Parole, when applicable, are also used to issue/cancel escape warrants, warrants as detainers only, and parole holds. It is also used to create All Points Bulletins (APBs) and Escape Bulletins. The current process creates, maintains, and tracks warrants for parole.

The results of this process are that appropriate offender custody information is maintained.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Search for existing warrants and detainers.
- 1.1.2 Recording of pending warrants / detainers / information.
- 1.1.3 Detainer Types
- 1.1.4 Speedy Trial
- 1.1.5 Update Warrant / Detainers / Information
- 1.1.6 Interstate Detainers
- 1.1.7 System Alerts

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Sentence and Time Calculation
- 1.3.2 Classification and Assessment
- 1.3.3 Parole Hearing Requirements
- 1.3.4 Community Supervision Requirements
- 1.3.5 Pre-Release Processing
- 1.3.6 Housing
- 1.3.7 Movements and Transfers
- 1.3.8 Offender Event Schedule and Calendar

2. Functional Requirements

2.1 Search for Existing Warrants / Detainers

When an offender is admitted into the custody of the CTDOC or is approaching an eligible release date, interfaces with state law enforcement authorities automatically check/verify if there are any outstanding warrants or detainers. If the authority has confirmed that an outstanding warrant or detainer exists, an electronic message is sent back to the CTDOC so that a pickup

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date can be scheduled with the interested party. Once a pickup date has been established, CTDOC records staff enters this date into the system.

DOC Requirements	Vendor Responses
2.1.1 Existing warrants and detainers The ability to search for and retrieve existing warrants and detainers for an offender. The system should support interface capabilities with other law enforcement agencies that enter pending information through NCIC.	- Please Select One Option -
2.1.2 Interface with COLLECT (CT On-Line Law Enforcement Communications Teleprocessing) During the classification process and release process, the ability to interface with COLLECT to confirm the presence of any pending charges or detainers.	- Please Select One Option -
2.1.3 Interface with PRAWN (Paperless Re-Arrest Warrant Network) During the classification process and release process, the ability to interface with PRAWN to confirm the presence of any pending charges or detainers.	- Please Select One Option -
Vendor Comments:	

2.2 Recording of Pending Warrants/Detainers/Information

All Pending Warrants/Detainers/Information need to be recorded for an offender.

DOC Requirements	Vendor Responses
2.2.1 Recording of pending warrants / detainers/information The ability to allow recording a pending warrant/detainer or information including: party initiating; contact name, address, telephone and e-mail addresses; case number; type of detainer code; type of Hold code; date entered into system; and date of Hold or Detainer document to also include a free text area for notes.	- Please Select One Option -
2.2.2 Notification of pending warrants / detainers/information	- Please Select One Option -

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The ability to generate a notification form to be given to the offender for acknowledgement of the new warrant/detainer or information.	
2.2.3 Scanning of pending warrants / detainers/information	- Please Select One Option -
The ability to scan a paper copy of any warrant, detainer, or information to be included in the offender's record.	
2.2.4 Acknowledgement form of pending warrants / detainers/information	- Please Select One Option -
The ability to generate an acknowledgement form to the sending agency when a new warrant, detainer or information has been placed.	
2.2.5 Record Offenders signature of pending warrants / detainers/information	- Please Select One Option -
The ability to record if the offender signed for the warrant/detainer/information or if the offender refused acknowledgment of the warrant/detainer/information to include the date.	
Vendor Comments:	

2.3 Detainer Types

The ability to allow for entry and tracking of multiple numbers of varying lengths and types of detainers (e.g., case number, indictment number, receipt number, docket number, immigration warrant number). The type shall be coded to allow for easy retrieval.

DOC Requirements	Vendor Responses
2.3.1 Immigration Detainers	- Please Select One Option -
The ability to record and track the status of immigration detainers. Users shall be able to display, with an option to print, a list of the offenders with immigration detainers by unit, institution, or department. Each offender's name, location, offender number, ICE registration or case number, ICE status, and the date the detainer was filed shall be displayed.	
2.3.2 Immigration Detainer Status	- Please Select One Option -

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The ability to track and record any requests for responses from the ICE.	
2.3.3 Flag Immigration Detainer Status	- Please Select One Option -
The ability to flag the user when ICE has not responded to the request within a user-defined number of days. A form shall be generated to be sent to ICE.	
2.3.4 Federal Detainers	- Please Select One Option -
The ability to record and track the status of federal detainers.	
2.3.5 Federal Detainer Status	- Please Select One Option -
The ability to provide the ability to track and record any requests for responses from the federal authorities (US Marshal's or Bureau of Prisons).	
2.3.6 Federal Detainer Status Update	- Please Select One Option -
The ability to allow us to update the status of a federal detainer (i.e. unsentenced to sentenced)	
2.3.7 Offender Status with Federal Detainer	- Please Select One Option -
The ability to generate a form for an offender with a federal detainer who has a change in his CT status.	
2.3.8 Letters of Inquiry for pending warrants / detainers	- Please Select One Option -
The ability to generate letters of inquiry to law enforcement agencies where pending warrants or detainers may exist and record the date and generate follow-up notification (based on NCIC, etc).	
Vendor Comments:	

2.4 Speedy Trial

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A sentenced offender who has pending in this state any untried indictment or information against such prisoner, can request a Speedy Trial (based on state law) to have his/her case brought to trial within 120 days of the court receiving written notice of his/her place of confinement and the offender request for final disposition.

DOC Requirements	Vendor Responses
2.4.1 Speedy Trial Eligibility	- Please Select One Option -
If an offender requests a speedy trial, the ability to automatically check for eligibility (sentenced status and offense cannot be VOP). If multiple offenses and one includes a VOP the offender is still eligible for a speedy trial on all offenses except the VOP.	
2.4.2 Speedy Trial Eligibility Status Change	- Please Select One Option -
If an offender has multiple detainers/warrants/information and becomes sentenced any pending cases are now eligible for a speedy trial. System needs to automatically produce the speedy trial forms on the remaining cases. The ability to automatically check for eligibility (offense cannot be VOP). If multiple offenses and one includes a VOP the offender is still eligible for a speedy trial on all offenses except the VOP.	
2.4.3 Generate Paperwork	- Please Select One Option -
The ability to automatically generate Speedy Trial paperwork when a detainer/warrant/information with an applicable offense has been recorded. Electronic signature shall be allowed for both offender and administrator.	
2.4.4 Record Acknowledgment	- Please Select One Option -
System shall also record date and acknowledgement of paperwork (accept or refuse paperwork).	
2.4.5 Tracking Paperwork	- Please Select One Option -
The ability to track when the paperwork was sent to the court and record when the court received the paperwork. Would like to send the speedy trial document electronically and include an electronic signature.	
Vendor Comments:	

2.5 Update Warrant / Detainer/ Information

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Upon electronic notification from the court or law enforcement, the records staff reviews warrant or detainer information on a user interface and has the option to update these fields if necessary.

DOC Requirements	Vendor Responses
2.5.1 Warrant Updates	- Please Select One Option -
The ability to allow for updating information on any warrant/detainer/information such as electronic signature and photos, maintaining, and retrieving (print and email capabilities) warrant information (e.g. issue date/time, warrant type, supervision type, case number). The types of warrants are absconder, escape, and new offense.	
2.5.2 Warrant Responses	- Please Select One Option -
The ability to allow for recording of responses to letters of inquiry and update warrants, detainers, or information accordingly.	
2.5.3 Withdrawal of Warrant	- Please Select One Option -
The ability to allow for recording information regarding the withdrawal of a detainer/warrant.	
Vendor Comments:	

2.6 Interstate Detainers

The ability to provide the ability to record and track the filing of a speedy disposition request under the terms of the Interstate Agreement on Detainers for out of state detainers.

DOC Requirements	Vendor Responses
2.6.1 Interstate Agreement on Detainers Eligibility	- Please Select One Option -
The system should check for eligibility (sentence status) and have edits to prevent recording ineligible speedy disposition requests (for example, for parole violators or probation violators).	
2.6.2 Tracking Days	- Please Select One Option -
The ability to provide the ability to track the number of days after an offender files for a speedy disposition and to flag the user (and/or produce an exception report) when the user defined time limit expires.	
2.6.3 Status Of Interstate Detainers	- Please Select One Option -

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<p>The ability to provide the ability to distinguish between interstate detainers on which the offender has been sentenced and those that are pending. Offenders do not need to be extradited upon release if they have already been sentenced on the detainer through the Interstate Agreement on Detainers.</p>	
<p>2.6.4 Interstate Agreement on Detainers Forms</p>	<p>- Please Select One Option -</p>
<p>The ability to generate instructions and documents necessary to assist the offender or law enforcement agency in resolving an existing detainer (e.g. Forms 1 – 9, IAD 180-day (if inmate request)). The ability to only generate and pre-fill user defined fields for Forms 1 – 4, a cover letter to go with forms 1 - 4.</p>	
<p>2.6.5 Interstate Agreement on Detainers Checklist Form</p>	<p>- Please Select One Option -</p>
<p>The ability to generate and keep track of the form process for the IAD. This form can be printed upon request. Once the mail process has been completed an electronic message shall be sent to the Interstate Office.</p>	
<p>2.6.6 Interstate Agreement on Detainers Forms</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for electronic signature for the offender and warden or designee to sign the IAD forms.</p>	
<p>2.6.7 180 day Interstate Agreement Alert</p>	<p>- Please Select One Option -</p>
<p>Once IAD paperwork, initiated by the inmate is sent to the other state, if there has been no response from the other state within 180 days an alert needs to be sent to records so they can notify the other state.</p>	
<p>Vendor Comments:</p>	

2.7 System Alerts

During an offender’s discharge process, a formal system alert process is automatically initiated to see if any warrants or detainers were received such as additional bonds amounts or pending charges. The appropriate staff such as records, classification or parole would receive any system alerts generated. If there were no system alerts received, the records office staff can proceed with the offender’s discharge process.

DOC Requirements	Vendor Responses
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<p>2.7.1 Records Alert – Pending Warrants / Detainers</p>	<p>- Please Select One Option -</p>
<p>The ability to alert users during the release process if any pending warrants or detainers are outstanding. This information shall also be available to users using the release process along with the ability to print.</p>	
<p>2.7.2 Records Alert – Withdrawal of Warrants / Detainers</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for recording information regarding the withdrawal of a warrant or detainer and send an alert to records, classification, parole and other interested parties.</p>	
<p>2.7.3 Records Alert – Consignment to Connecticut</p>	<p>- Please Select One Option -</p>
<p>The ability to alert users when an offender here on consignment receives a sentence and has been in our custody more than 2 weeks or user defined time after receiving the sentence.</p>	
<p>2.7.4 Records Alert – Consignment from Connecticut</p>	<p>- Please Select One Option -</p>
<p>The ability to alert users when an offender on consignment to another state has been out of our custody longer than a user defined amount of time. Alerts should continue monthly after the initial alert.</p>	
<p>2.7.5 Classification Alert – Validate Score</p>	<p>- Please Select One Option -</p>
<p>The ability to alert and pass information to Offender Classification when a detainer is recorded or resolved so that the offender's objective classification score can be automatically re-scored.</p>	
<p>2.7.6 Parole Alert – Warrant Cancelled</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for warrant cancellation and recording of disposition (e.g. date, jurisdiction) (i.e. Board Decision, Sentence Update, Revocation Hearing) and send an alert to parole and other interested parties.</p>	
<p>2.7.7 Immigration Detainer Alert</p>	<p>- Please Select One Option -</p>
<p>If an offender has an Immigration Detainer and his/her sentence expires or if un-sentenced and the case is disposed of an electronic alert needs to be sent to ICE for that agency to issue a remand</p>	
<p>2.7.8 Federal Detainer Alert</p>	<p>- Please Select One Option -</p>
<p>If an offender has a Federal Detainer and his/her sentence expires or if unsentenced and the case is disposed of an electronic alert needs to be sent to the US Marshals for that agency to issue a remand.</p>	

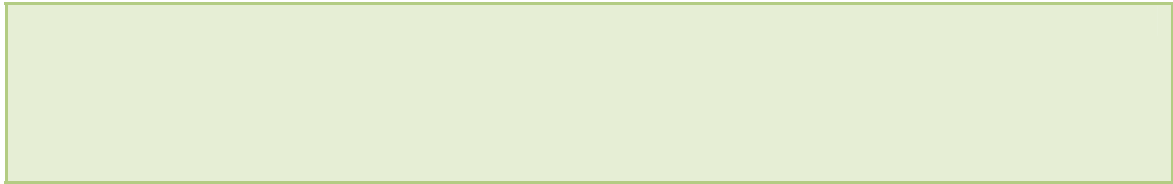
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Vendor Comments:

3. Report and Data Base Requirements

DOC Requirements	Vendor Responses
3.1 Interstate Agreement on Detainers	- Please Select One Option -
The system must provide the ability to produce an on-line checklist of forms required for the IAD process. User should be able to run by status of each form.	
3.2 Active Detainers	- Please Select One Option -
The ability to generate a report of all active detainers.	
3.3 Type of Detainer	- Please Select One Option -
The system should generate a report sorted by type of detainer	
3.4 Court Date	- Please Select One Option -
The ability to produce a report of offenders with an active warrant/detainer who are scheduled for a court appearance. Users should be able to sort the report either by court date and or court location with the status of the pending warrant/detainer.	
3.5 Immigration or Federal Detainer	- Please Select One Option -
The ability to produce a report of offenders with a federal or immigration detainer who do not have a release date in the future or an active bond amount. Users shall be able to display, with the option to print, a list of the offenders with federal detainers by unit, institution or department. Each offender's name, location, offender number, case number, and the date the detainer was filed shall be displayed.	
Vendor Comments:	

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3.6 Data Base Requirements

The ability to search the offender database using a variety of search fields. For example, CTDOC Offender Number, Name, Alias, SID and FBI Numbers, Social Security Number , or Date of Birth.

DOC Requirements	Vendor Responses
<p>3.6.1 Prior Detainers</p> <p>The ability to search for offenders who upon readmission still show an open detainer.</p>	<p>- Please Select One Option -</p>
<p>3.6.2 Active Detainers</p> <p>The ability to search for any offender who has an active detainer.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	
Empty space for vendor comments	

BC.08 – Sentencing and Time Calculation Requirements

CTDOC is one of only six state correctional agencies in the country with a combined system of pre-trial jails for accused offenders and prisons for sentenced offenders.

For the pre-trial population, records is responsible for scheduling the accused offenders for court, keeping track of their court date, bond amounts, and charged offenses. Based on how long they are held in lieu of bond can determine how much pre-trial credit can be applied to the sentence an offender may receive.

The Sentence Computation system is used to determine the release dates for offenders. An offender may be convicted of multiple offenses, with each carrying its own sentence. Multiple sentences may run consecutively or concurrently. Based upon CT Statutes and depending upon the date of offense an offender may earn good time credits towards a sentence. For these sentences and offender will have an estimated release date.

Many sentences fall under the 50% or 85% rule for program eligibility. For sentences less than 2 years the offender may be eligible for Transitional Supervision and for sentences greater than 2 years an offender may be eligible for Parole.

The result of the Sentencing and Calculation process is that the Release Date(s) (Halfway House and Transitional Supervision), Discharge Date(s), Parole Eligibility Date(s) are calculated and recorded for a given offender.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Electronic Court Documents
- 1.1.2 Arresting entity
- 1.1.3 Sentence Docketing
- 1.1.4 Offence Information documents
- 1.1.5 Calculation of effective sentence
- 1.1.6 Calculation and application of jail credits
- 1.1.7 Tracking and projection of all relevant dates
- 1.1.8 Application / Revocation / Restoration of credits.
- 1.1.9 OMPA (Outstanding meritorious performance award)
- 1.1.10 Seven Day Job Credits
- 1.1.11 Violation of Probation
- 1.1.12 Restrictive Housing Status
- 1.1.13 Escapes, Absconders, Inadvertent releases and dead time.
- 1.1.14 Sentence Modifications and amendments
- 1.1.15 Vacated Sentences
- 1.1.16 Time Sheet
- 1.1.17 Merging Records
- 1.1.18 Erasures
- 1.1.19 Pardons
- 1.1.20 Fines
- 1.1.21 DNA
- 1.1.22 Sex Offender registration

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1.2 Interfaces with other Business Functions

- 1.2.1 Classification
- 1.2.2 Warrants/Detainers
- 1.2.3 Disciplinary
- 1.2.4 Admitting and Processing
- 1.2.5 Housing
- 1.2.6 Movements and Transfers
- 1.2.7 Community Services
- 1.2.8 Parole
- 1.2.9 Scheduling
- 1.2.10 Offender and Banking

2. Functional Requirements

2.1 Electronic Court Documents

With data sharing a goal for our agency would be to establish an electronic feed from the courts. Our goal is so we can begin data entry processing to begin prior to an offenders arrival by accepting electronic data from judicial.

DOC Requirements	Vendor Responses
2.1.1 Electronic Court Documents	- Please Select One Option -
Ability to accept an electronic feed if available and populate fields including docket number, next court date, offense code, offense date, bond amount, bond type, special conditions and other court documentation.	
Vendor Comments:	

2.2 Arresting Entity

Connecticut is one of the few states that hold offenders in pretrial status. As such it is imperative to keep track of docket numbers, court dates and bond amounts as presentence credit is based on this information. Upon intake the booking officer will enter in the court information from one continuance mittimus. If multiple continuance mitts are received from the court, records staff will enter in the additional information. Additional continuance mitts can be received from the court anytime an offender is presented in court. As offenders are allowed to bond out at the facility the system needs to be able to add bond amounts for multiple charges to reflect a total bond, type of bond and any special conditions associated with the bond. Based on the total bond and the current charges will determine where an offender is housed in the facility. Scheduling for transportation will be based on the court date and court location. Offenders can also be scheduled for a court appearance based on other documentation to include a temporary surrender, habeas, capias, or family court mitt.

DOC Requirements	Vendor Responses
2.2.1 Court Docket Information	- Please Select One Option -

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Inmates with a pending case need to have their court information documented	
2.2.1.1 Docket Bond Amount	- Please Select One Option -
The ability to hold a dollar value of the docket bond up to 999,999,999.99	
2.2.1.2 Docket Bond Change	- Please Select One Option -
The ability to allow to increase/decrease a bond amount. An alert should be sent to classification when the bond amount changes.	
2.2.1.3 Docket Bond Type	- Please Select One Option -
The ability to accept a code value for the different types of bonds: \$ - cash only % - 10 percent bond ! – No Bond	
2.2.1.4 Docket Bond Status	- Please Select One Option -
The ability to indicate if the bond is unpaid or paid. If paid the date it was paid and the receipt number. The ability to generate a receipt.	
2.2.1.5 Docket Bonding Company	- Please Select One Option -
Indicates the Bond Company that is posting the bond. The ability to maintain a list of approved companies or professional bondsmen.	
2.2.1.6 Docket Number	- Please Select One Option -
The ability to accommodate the Court's docket number of at least 16 characters.	
2.2.1.7 Docket Offense Code	- Please Select One Option -
The ability to accommodate CT State Statute number for which the offender has been charged up to 25 characters, which include parenthesis, and special characters. These offenses should be selectable from a table of charges. If statute numbers expand the ability to allow for more characters.	
2.2.1.8 Docket Offense Code Alert	- Please Select One Option -

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The ability to send an alert to Classification and Population Management if the offense code is for Capital Felony Murder.	
2.2.1.9 Docket Offense Count	- Please Select One Option -
The ability to allow putting in the number of counts for each offense.	
2.2.1.10 Docket Offense Priority	- Please Select One Option -
The ability to use a ranking code or number to classify the seriousness of an offense with respect to other offenses on the docket. Ranking should include a most serious code that can only be assigned to one offense.	
2.2.1.11 Docket Offense Date	- Please Select One Option -
The ability to use a date MM DD YYYY format for when the offense was actually committed.	
2.2.1.12 Docket Court	- Please Select One Option -
The ability to use a date MM DD YYYY format for the court date. The ability to assume that the offender went to court on the scheduled date and allow for a reason to be entered if the offender did not go out to court.	
2.2.1.13 Transfer Docket Court Date	- Please Select One Option -
The ability to allow a case to be transferred to a new court location.	
2.2.1.14 Docket Bond Amount	- Please Select One Option -
The ability to be able to store special conditions associated with a bond. A drop down menu selection along with a free text field would be needed.	
2.2.1.15 Docket Charge Alert	- Please Select One Option -
The ability to send an alert to AP and Operations staff when an offender comes back from court and his offense either went from a felony offense to a misdemeanor offense or from a misdemeanor offense to a felony offense.	
2.2.1.16 Offense Dispositions	- Please Select One Option -

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The ability to record all dispositions that do not result in a sentence. System would have to purge Nolle's after 13 months and conditional discharges and dismissals after 20 days.	
Vendor Comments:	

2.3 Sentence Docketing

When an offender has been found guilty of a crime or pled out to a charge the court will sentence the offender. A judgment mitt will be issued and delivered to the record office for docketing. The records specialist should record details of offender's sentences, including type of sentence, term of sentence, and be able to chain the sentences with either other dockets or other charges.

DOC Requirements	Vendor Responses
2.3.1 Concurrent Charge(s)	- Please Select One Option -
The ability to link one or more charges this docket is concurrent with.	
2.3.2 Concurrent Dockets	- Please Select One Option -
The ability to link one or more docket s this docket is concurrent with. This can either be in state or out of state sentences.	
2.3.3 Consecutive Charge(s)	- Please Select One Option -
The ability to link one or other charges this docket is consecutive to.	
2.3.4 Consecutive Dockets	- Please Select One Option -
The ability to link one docket to one or more dockets this docket is consecutive with. These sentences can either be in state or out of state sentences.	
2.3.5 Docket Max Release Date	- Please Select One Option -
The ability to calculate a date on which the sentence will be fulfilled.	
2.3.6 Docket Number	- Please Select One Option -

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The ability to accommodate the Court's docket number of at least 16 characters. In some cases the mittimus can have two docket numbers.	
2.3.7 Docket Sentence Date	- Please Select One Option -
The ability to record the date of which the sentence was received.	
2.3.8 Docket Sentence Start Date	- Please Select One Option -
The ability to record the date of which the sentence begins. The date needs to be calculated by the system for consecutive dockets.	
2.3.9 Docket Max Sentence Term	- Please Select One Option -
The ability to record the combined maximum term imposed by court in years-months-days and in some cases hours for all charges on the docket.	
2.3.10 Docket Min Sentence Term	- Please Select One Option -
The ability to record the combined minimum term imposed by court in years-months-days and in some cases hours for all charges on the docket.	
2.3.11 Docket Mandatory Sentence Term	- Please Select One Option -
The ability to record the combined mandatory term imposed by court for CT State Statutes that require a mandatory sentence term. These terms can either be concurrent or consecutive.	
2.3.12 Docket Sentence Type	- Please Select One Option -
The ability to have an indicator used to distinguish the type of sentence. Currently we use definite type for a definite sentence, indeterminate type for an indeterminate sentence (ex. 25 years to Life)	
2.3.13 Docket Sequence Number	- Please Select One Option -
The ability to record a number/letter used to order individual dockets within an offender's record.	
2.3.14 Docket Sequence Renumber Option	- Please Select One Option -
The ability to include a feature that renumbers all dockets when another docket is added, deleted or erased.	

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2.3.15 Maintenance Log	- Please Select One Option -
The ability to automatically record all Docket and Charge changes with User ID, Date/Time stamp and before/after information.	
Vendor Comments:	

2.4 Offense Information Elements

A judgment mitt will also include offense information. An offense date will determine which sentence structure an offender will serve and will also determine what type of credits if any the offender may earn. An offense code will determine how an offender will be classified. The ability to have the capability to show all information on a judgment mitt for each charged offense.

DOC Requirements	Vendor Responses
2.4.1 Offense Fine Amount	- Please Select One Option -
The ability to record the amount of fine imposed for a charge.	
2.4.2 Offense Priority	- Please Select One Option -
The ability to use a ranking code or number to classify the seriousness of an offense with respect to other offenses on the docket. Ranking should include a most serious code that can only be assigned to one offense.	
2.4.3 Offense Sentence Maximum Term	- Please Select One Option -
The ability to record the maximum term imposed by the court in years-months-days, and in some cases hours for each offense.	
2.4.4 Offense Sentence Minimum Term	- Please Select One Option -
The ability to record the minimum term imposed by the court in years-months-days and in some cases hours for each offense. Offenders with definite sentences will have no Offense Minimum Term.	
2.4.5 Offense Sentence Suspended After Term	- Please Select One Option -

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The ability to record the length of time in years-months-days and in some cases hours to be served.	
2.4.6 Offense Code	- Please Select One Option -
The ability to accommodate CT State Statute number for which the offender has been sentenced up to 25 characters, which include parenthesis, and special characters. These offenses should be selectable from a table of charges. If statute numbers expand the ability to allow for more characters.	
2.4.7 NCIC Offense Code	- Please Select One Option -
The ability to assign the NCIC numeric code and translation automatically based on the CT State Statute number for which the offender is sentenced.	
2.4.8 ASCA Offense Code	- Please Select One Option -
The ability to assign the ASCA numeric code and translation automatically based on the CT State Statute number for which the offender is sentenced.	
2.4.9 Offense Type	- Please Select One Option -
Based on the CT State Statute number for which the offender is sentenced the ability to automatically list the offense type.	
2.4.10 Offense Class	- Please Select One Option -
Based on the CT State Statute number for which the offender is sentenced the ability to automatically list the offense class.	
2.4.11 Offense Code Validation	- Please Select One Option -
The ability to validate sentence information from the court against statutory offense data and identify sentencing discrepancies (error checking against charge codes).	
2.4.12 Offense Counts	- Please Select One Option -
The ability to record the total number of counts for each listed charge.	
2.4.13 Offense Begin Date	- Please Select One Option -

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The ability to use a date (year, month, day) format for when the offense was first committed.	
2.4.14 Offense End Date	- Please Select One Option -
The ability to use a date (year, month, day) format for when the last offense was actually committed.	
2.4.15 Probation Term	- Please Select One Option -
The ability to record the total years, months, days of probation ordered by the court.	
2.4.16 Special Parole Term	- Please Select One Option -
The ability to record the total years, months, day of Special Parole ordered by the court.	
2.4.17 Fine Amount	- Please Select One Option -
The ability to record the total dollar amount of a fine ordered by the court	
2.4.18 How Served	- Please Select One Option -
The ability to allow us to select if this sentence is the initial sentence, a concurrent sentence or a consecutive sentence.	
2.4.19 Concurrent Charge(s)	- Please Select One Option -
The ability to have an indicator to point to which other sentence/offense this current sentence is concurrent with.	
2.4.20 Consecutive Charge(s)	- Please Select One Option -
The ability to have an indicator to point to which other sentence/offense this current sentence is consecutive with.	
2.4.21 Status	- Please Select One Option -
The ability to indicate the status of the sentence (Imposed, Revised, Corrected, Vacated, Modified, and Expunged).	

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2.4.22 As of Date	- Please Select One Option -
The ability to indicate the date associated with the Sentence Status change.	
2.4.23 Comments Field	- Please Select One Option -
Ability to have a comments field to allow for free text notes about this offense.	
Vendor Comments:	

2.5 Calculation of effective sentence

A system calculated field containing the Offender's ultimate Release Date.

DOC Requirements	Vendor Responses
2.5.1 Total Effective Release Date	- Please Select One Option -
A system calculated field containing the Offender's ultimate Release Date, considering all dockets, charges, concurrent/consecutive sentences, time credits, projected time credits and other miscellaneous factors related to time.	
2.5.2 Total Effective Term	- Please Select One Option -
A system calculated field containing the Offender's total incarceration time in Years-Months-Days and in some cases hours. All factors considered such as all dockets, charges, concurrent/consecutive sentences, time credits, projected time credits and other miscellaneous factors related to time.	
2.5.3 Death Sentence	- Please Select One Option -
Ability to have an indicator to show that an offender is serving a death sentence.	
2.5.4 Death Sentence Alert	- Please Select One Option -
Ability to send an alert to Classification and Population Management when an inmate is sentenced to death.	
2.5.5 Fines	- Please Select One Option -

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Ability to convert a fine amount to days to be served based on CT Laws. This is currently based on the daily cost of incarceration and reviewed each year. Ability to be able to adjust to the new rate.	
Vendor Comments:	

2.6 Calculation and application of jail credits

When an offender is held in lieu of bond he/she may be entitled to jail credit (presentence credit). Jail credit is awarded based on CT General Statutes and case law. The ability to account for days credited to an offender held in lieu of bond during confinement prior to sentencing for each docket the offender is held.

DOC Requirements	Vendor Responses
2.6.1 Jail Credit Days Days held in lieu of bond. The ability to have the ability to calculate pre-sentence credit based on CT laws and regulations and case law. <i>For some offenders (based on date of offense) Jail Credit Good Time can be awarded. Jail Credit Good Time is awarded for fines regardless of the date of offense. The ability to have the following JCGT components:</i>	- Please Select One Option -
2.6.2 JCGT Days JCGT Days accumulated while meeting eligibility requirements.	- Please Select One Option -
2.6.3 JCGT Forfeit JCGT Days revoked from accumulated days.	- Please Select One Option -
2.6.4 JCGT Not Earned JCGT Days NOT accumulated because offender did not conform to eligibility rules.	- Please Select One Option -
2.6.5 JCGT Restored	- Please Select One Option -

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The number of JCGT days restored. This number is taken from JCGT Forfeited.	
2.6.6 Court Ordered Jail Credit	- Please Select One Option -
Ability to have the capability to manually enter jail credits ordered by the court.	
Vendor Comments:	

2.7 Tracking and Projection of all relevant dates

Dates are important as it determines when an offender will discharge from his sentence or when an offender could be eligible for a program release. For some offenses an offender may receive mandatory time and he/she cannot be released or placed into a program release until that time is satisfied. All sentence calculations are based on user-defined rules and formulas for charges with different Offense Dates. Currently CT has 4 different types of calculation methods:

1. Pre-1981 – An indeterminate sentence calculated UP FRONT and eligible for time credits
2. 1981 - 1983 – A definite sentence calculated UP FRONT and eligible for time credits.
3. 1983-1994 (7/1/83 – 10/1/94) – A definite sentence that can accumulate days AS EARNED and eligible for time credits.
4. Post – 1994 (after 10/1/94) – A definite sentence that can only accumulate Jail Credit, Time Served, and Dead Time.
5. The system must allow for any new type of calculation methods.

DOC Requirements	Vendor Responses
2.7.1 Estimated Docket Release	- Please Select One Option -
A system calculated estimated release date for offenders who committed their crime on or after July 1, 1983 and prior to October 1, 1994. The system calculates the date by simulating the granting of one or more selected time credits. Its purpose is to provide a reasonable approximation of an offender's future release date in order to facilitate scheduling furloughs, Community release and other program participation.	
2.7.2 Maximum Release Date	- Please Select One Option -
The ability to calculate the projected maximum release date for each sentence. For offenders with definite sentences, this is the only formal release date.	
2.7.3 Minimum Release Date	- Please Select One Option -

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For offenders with indeterminate sentences, the projected minimum release date or earliest date the offender may be released from Correction's custody by the Board of Pardons and Parole.	
2.7.4 Mandatory Release Date	- Please Select One Option -
The date the mandatory portion of a sentence has been satisfied.	
2.7.5 Time Served	- Please Select One Option -
The ability to calculate the days of time served up to current date and time remaining to be served until maximum release date.	
2.7.6 Full Auto Recalculation	- Please Select One Option -
The ability to automatically recalculate a release date and program eligibility date if a sentence term is changed.	
2.7.7 Parole Eligibility Date	- Please Select One Option -
The date an offender is eligible for parole as calculated by the system for each docket. Based on eligibility (sentences greater than 2 years) and calculated as a percentage (currently 50% or 85%) of term.	
2.7.8 Transitional Supervision Date	- Please Select One Option -
The date an offender is eligible for transitional supervision as calculated by the system for each docket. Based on eligibility (currently sentences less than 2 years) and calculated as a percentage (currently 50%) of term.	
2.7.9 Halfway House Eligibility Date	- Please Select One Option -
The date an offender is eligible for Halfway House release as calculated by the system for each docket. Based on current eligibility (within 18 months of release date or 18 months of voted to parole date).	
Vendor Comments:	

2.8 Application / Revocation / Restoration of credits

Some offenders may be eligible to earn credits on their sentence based upon their offense date.

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If certain offenders obey all the rules and regulations he may earn Statutory Good Time (SGT) at the rate of 10 days a month for the first five years and 12 days a month for the sixth and subsequent years. SGT credits can also be forfeited, restored and based on offenders classification may not even be earned.

If a sentenced offender has an outstanding performance like saving someone's life or personal achievement such as completing a program an offender may earn up to a 120 day award for each incarceration.

There are certain jobs within facilities that can entitle an offender to earn one day for every 7 consecutive days worked.

The ability to account for days awarded to an offender's time during confinement.

- Statutory Good Time Credits (SGT) – the system determines eligibility for offenders with an offense date prior to October 1, 1994 and uses these credits in calculating an offender's release date. Time credits may also be forfeited, unearned or restored as a result of an offender's behavior. Ability to be flexible enough to allow new Time Awards, case law, and rules to be defined as they occur. Credits are earned based on a Calendar month.

DOC Requirements	Vendor Responses
2.8.1 SGT Earned	- Please Select One Option -
The total amount of Statutory Good Time an offender has earned on a specific sentence. The ability to total each SGT entry or adjustment including both "batch: and "on-line" transactions, and is not affected by forfeitures or restorations.	
2.8.2 SGT Forfeit	- Please Select One Option -
The ability to record the total amount of SGT forfeited by an offender for each sentence. When a sanction of Loss of Good time is ordered in the disciplinary process the ability to automatically forfeit the time and send an alert to records staff.	
2.8.3 SGT Initial Posting	- Please Select One Option -
The ability to automatically give a pro-rated credit for first month according to number of days served.	
2.8.4 SGT Not Earned	- Please Select One Option -
The ability to record the number of days an offender could have earned but was denied due to classification or other issues.	
2.8.5 SGT Posting	- Please Select One Option -

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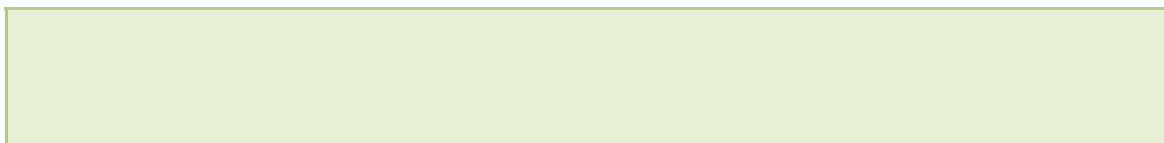
The ability to record SGT based on CT statutes.	
2.8.6 SGT Restored	- Please Select One Option -
The ability to allow to restore forfeited SGT. The total amount of forfeited SGT that has been restored needs to be recorded.	
2.8.7 SGT Owed	- Please Select One Option -
For offenders with a date of offense after 7/1/83 and prior to 10/1/94 and in the custody of the CTDOC on or after 10/1/97 that receive a sanction of loss of good time in excess of what they have earned the offender goes into "owed" status. Every month that the offender receives SGT, the earned credit reduces the SGT Owed. Once the offender is no longer in owed status then the SGT earned will reduce his release date. The system needs to keep track of the SGT days owed.	
Vendor Comments:	

2.9 OMPA (Outstanding Meritorious Performance Award)

Outstanding Meritorious Performance Award (OMPA) – for offenders with a date of offense prior to 10/1/94 system can account for days awarded to an offenders time for Outstanding Meritorious Performance behavior during confinement and use these credits in calculating an offenders release date. Time credits may also be forfeited as a result of an offender’s behavior. System has the following OMPA components.

DOC Requirements	Vendor Responses
2.9.1 OMPA Granted	- Please Select One Option -
The total number of days of Outstanding Meritorious Performance Award credited to an offender on a specific sentence. The ability to prevent from awarding more than 120 days per each incarceration.	
2.9.2 OMPA Forfeited	- Please Select One Option -
The ability to record the number of days of OMPA the offender forfeited for not obeying the rules.	
Vendor Comments:	

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2.10 7 Day Job Credits

7 day Job Credits – for offenders with a date of offense prior to 10/1/94 the system can track days credited to an offender’s time for 7 days of continuous work performed. The total number of days accumulated towards an offenders 7-Day Good Time needs to be recorded.

DOC Requirements	Vendor Responses
2.10.1 7-Day Credit Days System needs to post one day of job credit for every seven consecutive days of work.	- Please Select One Option -
2.10.2 7-Day Credit Days – start job Ability to allow entering a start date when a job starts.	- Please Select One Option -
2.10.3 7-Day Credit Days - end job Ability to allow entering an end date when a job ends.	- Please Select One Option -
2.10.4 7-Day Credit Days - transfer Upon a transfer, system needs to remove offender from job.	- Please Select One Option -
2.10.5 7-Day Credit Days - adjustments System needs override capabilities to post 7-day adjustments manually.	- Please Select One Option -
Vendor Comments:	

2.11 Violation of Probation

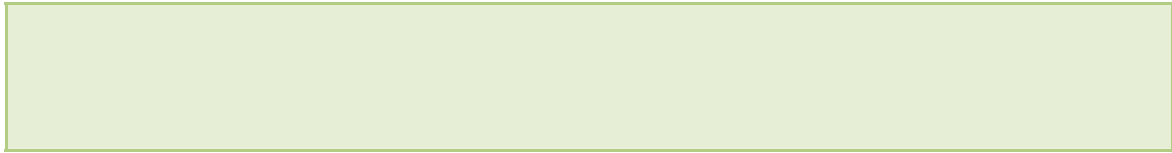
When an offender is on probation he/she should abide by certain rules and conditions. If these are violated then the person can be arrested for violating his/her probation. If the person is sentenced for the violation of probation and has served time on the original sentence then the

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violation is just a continuation of the original sentence. The docket number remains the same as the original sentence. The system needs to bring forward all the original credits served for that docket.

DOC Requirements	Vendor Responses
<p>2.11.1 Original Sentence The system needs to bring forward or copy the original sentence or the previous violation of probation sentence.</p>	<p>- Please Select One Option -</p>
<p>2.11.2 Sentence credits The system needs to bring forward all the credits earned on the original sentence or the previous violation of probation sentence.</p>	<p>- Please Select One Option -</p>
<p>2.11.3 Time Served The system needs to bring forward all the time served on the original sentence or the previous violation of probation sentence.</p>	<p>- Please Select One Option -</p>
<p>2.11.4 Jail Credit The system needs to calculate the jail credit on the current violation.</p>	<p>- Please Select One Option -</p>
<p>2.11.5 Parole Eligibility Date The system needs to calculate a parole eligibility date for a Violation of Probation greater than 2 years, not counting in the original sentence or the previous violation of probation sentence.</p>	<p>- Please Select One Option -</p>
<p>2.11.6 Transitional Supervision Date The system needs to calculate a transitional supervision date for a Violation of Probation sentence 2 years or less, not counting in the original sentence or the previous violation of probation sentence.</p>	<p>- Please Select One Option -</p>
<p>2.11.7 Total Effective Sentence The system needs to send an alert when the suspended after term exceeds the maximum term.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

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2.12 Restrictive Housing Status

When an offender has been classified in a Restrictive Housing status they are not eligible to earn statutory good time. After inmates satisfy the program phases as outlined in the Classification BC eligible inmates can go back to earning good time.

DOC Requirements	Vendor Responses
2.12.1 Restrictive Housing Start Date	- Please Select One Option -
The ability to enter a start date into restrictive housing status.	
2.12.2 Restrictive Housing End Date	- Please Select One Option -
The ability to enter an end date from restrictive housing status.	
Vendor Comments:	

2.3 Escapes, Absconders, Inadvertent Releases and Dead Time

When an offender is not in the custody of the Department of Correction or the Board of Pardons and Parole serving his sentence he will be considered an escapee, absconder, or an inadvertent release. An escapee is under the supervision of the CTDOC either in a facility or in a community program. An absconder is an offender who is out on parole and does not report to his/her officer. An offender released in error, either by the department or by the court is declared an inadvertent release. While an offender is in this status he/she is not serving his sentence and will be hit with dead time. The ability to record and set an alert flag when an Offender is "at large" from Correction's or Parole's custody after escaping, absconding, or being declared an inadvertent release.

DOC Requirements	Vendor Responses
2.3.1 SGT Indicator	- Please Select One Option -
The ability to post applicable SGT up to the day of escape and then prorate SGT when returned from escape.	
2.3.2 Dead Time	- Please Select One Option -

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The ability to add the number of days to the offenders release date for each day the offender is not in custody.	
2.3.3 Flag Indicator	- Please Select One Option -
The ability to have an indicator that flags that an offender is in escape/absconder/inadvertent release status.	
Vendor Comments:	

2.4 Sentence Modifications and Amendments

A sentence can be modified or we can receive either a corrected or revised judgment mitt. A sentence modification can result in either a reduction of the sentence, an immediate release, a discharge on a certain date, or can be denied. If documentation is missing on a judgment mitt, or if the court wants to order presentence credit not entitled by statute then the court will send either a corrected or revised judgment mitt.

DOC Requirements	Vendor Responses
2.4.1 Term change	- Please Select One Option -
The ability to allow changing the term of a sentence and recalculate the release date and program eligibility dates.	
2.4.2 Court ordered release	- Please Select One Option -
The ability to allow discharging a sentence upon notice and calculate the time served up to the discharge date.	
2.4.3 Court ordered jail credit	- Please Select One Option -
The ability to allow the entering of court ordered jail credit and note this differently than earned jail credit.	
2.4.4 Corrections/Revisions	- Please Select One Option -
The ability to allow updating of a sentence component with any changes from the court.	
2.4.5 Sentence Modification Alert	- Please Select One Option -

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The ability to send an alert to classification and Victim Services, if applicable notifying them of the release dates change.	
Vendor Comments:	

2.5 Vacated Sentences

The court can vacate a sentence, most often done when an offender receives a new trial through the appeal process. When a sentence is vacated it has to be treated as if it never occurred.

DOC Requirements	Vendor Responses
2.5.1 Vacated Sentences	- Please Select One Option -
The system needs to display “vacated” for a sentence that use to exist.	
2.5.2 Display Vacated Sentences	- Please Select One Option -
The system needs to hide the vacated sentence so that a user cannot see the sentence that was vacated.	
2.5.3 Alert for Vacated Sentences	- Please Select One Option -
The ability to send an alert to classification staff and victim services when a sentence has been vacated.	
Vendor Comments:	

2.6 Time Sheet

A time sheet is a document given to the offender to show him/her when he/she will discharge from all sentences. The time sheet will show the term the offender is serving and a release date for all sentences.

DOC Requirements	Vendor Responses
2.6.1 Time Sheet Creation	- Please Select One Option -

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<p>A time sheet should be created for each offender. An time overview sheet needs to include the offenders name, number, housing location, count, offense, offense class and type, docket number, sentence term, fine amount, parole eligibility % flag, jail credit days, sentence start date, total term, parole or transitional supervision eligibility date, voted to parole date, maximum release date and the estimated release date.</p>	
<p>2.6.2 Time Sheet Adjustments</p>	<p>- Please Select One Option -</p>
<p>The ability to allow authorized users to adjust any time/credit elements and record all adjustments with date, time, and user ID.</p>	
<p>2.6.3 Adjustment Code</p>	<p>- Please Select One Option -</p>
<p>An action code related to the type of time-keeping adjustment e.g. Increase/Decrease SGT, Forfeit OMPA, etc...</p>	
<p>2.6.4 Adjustment Comments</p>	<p>- Please Select One Option -</p>
<p>Ability to have a text area to record reason for making a correcting adjustment or some other comment related to this specific time adjustment.</p>	
<p>2.6.5 Adjustment Date</p>	<p>- Please Select One Option -</p>
<p>Ability to record the date of the time sheet adjustment.</p>	
<p>2.6.6 Adjustment Days</p>	<p>- Please Select One Option -</p>
<p>The ability to show the total number of days involved in a particular time adjustment.</p>	
<p>2.6.7 Time Sheet entry deletion</p>	<p>- Please Select One Option -</p>
<p>The ability to be able to delete any entry on the time sheet and recalculate a new release date.</p>	
<p>2.6.8 Time Sheet Deletion</p>	<p>- Please Select One Option -</p>
<p>The ability to be able to delete an entire time sheet.</p>	
<p>2.6.9 Time Sheet Tracking</p>	<p>- Please Select One Option -</p>

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The ability to be able to record when an entry has been deleted to include the user name, location, date and time.	
Vendor Comments:	

2.7 Merging Records

There are times when an offender is admitted under a new number and then it's discovered that there was an existing record. The files need to be merged into one record.

DOC Requirements	Vendor Responses
2.7.1 Merging Records	- Please Select One Option -
The ability to have the ability to merge records when determined that an offender has multiple numbers.	
2.7.2 Merged Numbers	- Please Select One Option -
The ability to have the ability to record the offender numbers that were merged when determined that an offender has multiple numbers.	
2.7.3 Delete Record	- Please Select One Option -
The ability to have the ability to delete the record that was merged with the correct offender number.	
Vendor Comments:	

2.8 Erasures

If notification is received either from the courts or the state police that a record has been erased the offenders record needs to be erased.

DOC Requirements	Vendor Responses
2.8.1 Erasure Records	- Please Select One Option -

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The system needs to have the capability to flag/hide the record so no information can be given out for that record.	
Vendor Comments:	

2.9 Pardons

An active offender or someone who previously was incarcerated either sentenced or un-sentenced can apply for a full or partial pardon. If granted then the offenders record has to be erased.

DOC Requirements	Vendor Responses
2.9.1 Partial Pardon	- Please Select One Option -
If an offender receives a partial pardon the system needs to delete the record where the pardon was granted.	
2.9.2 Full Pardon	- Please Select One Option -
If an offender receives a full pardon the system needs to delete the offender's entire record.	
Vendor Comments:	

2.10 Fines

In addition to a sentence or in lieu of a sentence the court can impose a fine. If the offender cannot pay the fine then the offender will be held until the fine is paid. An offender earns a reduction of his fine based on the daily cost of incarceration. For offenders that are serving a sentence with a fine to follow, the court needs to be notified 30 days prior to the expiration of the term of the sentence so a hearing can be set up to determine if the offender still has the ability to pay the fine.

DOC Requirements	Vendor Responses
2.11 Fine Rate	- Please Select One Option -

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The ability to allow for the rate change as it can change yearly based on the daily cost of incarceration.	
2.12 Fine Worksheet	- Please Select One Option -
The ability to create a worksheet to show how the fine was served showing a daily reduction. This worksheet will be sent to the court for proof of serving the fine.	
2.13 Fine Alert	- Please Select One Option -
For offenders serving time with the fine to follow, the system needs to print out a court hearing form 30 days prior to the offenders release date so that records staff can send it to the courts.	
2.14 Fine Amount Owed	- Please Select One Option -
If an offender is serving a fine and receives a sentence, the fine stops and the offender begins to serve the sentence. The capability to know how much was owed on the fine when the other sentence starts, hold that amount, then continue the fine when the other sentence has expired.	
Vendor Comments:	

2.15 DNA

If an offender is convicted of a felony offense or certain misdemeanor offenses DNA is required to be taken on an offender.

DOC Requirements	Vendor Responses
2.15.1 DNA eligibility	- Please Select One Option -
The ability to indicate if DNA is required.	
2.15.2 DNA date	- Please Select One Option -
The ability to store when DNA was taken.	
2.15.3 DNA Refusal	- Please Select One Option -

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The ability to record if an offender refused to have his/her DNA taken to include the date the offender refused.	
2.15.4 DNA Purge	- Please Select One Option -
The ability to record a date when DNA was purged. Purge of DNA automatically removes the DNA draw date from the system. Once purged the system needs to hide this information.	
Vendor Comments:	

2.16 Sex Offender Registration

If an offender is convicted of certain offenses an offender has to register as a sex offender for a certain amount of time.

DOC Requirements	Vendor Responses
2.16.1 Sex Offender Requirement	- Please Select One Option -
The ability to indicate if Sex Offender Registration is required.	
2.16.2 Sex Offender Date	- Please Select One Option -
The ability to indicate the date when the offender registered as a sex offender.	
Vendor Comments:	

3. Report and Database Requirements

DOC Requirements	Vendor Responses
3.1 Commitment Report	- Please Select One Option -

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<p>The ability to generate a summary report of commitment data for each offender committed the day before.</p>	
<p>3.2 Discharge Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a discharge report for offenders within 45 days of end of sentence.</p>	
<p>3.3 Court Schedule Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report for offenders scheduled for court. The report can be run either by offender number, offender name, court date, facility, housing, or court location. If an offender is sentenced or has multiple cases pending in different court jurisdictions then a notation needs to be included to alert that the "offender must return from court".</p>	
<p>3.4 DNA Felony Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of all offenders, who are within 45 days of discharge who have a felony conviction and no Y in the felony flag field.</p>	
<p>3.5 Length of Sentence</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of all offenders and their length of sentence. Need to have the capability to also average the sentence length.</p>	
<p>3.6 Frequency Distribution of Crime Types</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of all offenders and their crime types.</p>	
<p>Vendor Comments:</p>	
<p></p>	

CTDOC Offender Management Information System

BC09 - Food Services Requirements

The purpose of the Nutritional Services category is to obtain accurate and essential information for the Food Service department that will enable us to effectively manage every offender's diet in an efficient and cost effective manner throughout his incarceration.

The required information will also facilitate or standardize all operational aspects needed for our daily activities. This includes population counts for meal production, tracking all offender movement, offender worker classification, medical clearance process and training documentation for all offender workers.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Identify Offenders Requesting or Requiring Special Diets at Intake
- 1.1.2 Review Offender Classification Information
- 1.1.3 Therapeutic Diets prescribed by Medical
- 1.1.4 Food Service Accessibility
- 1.1.5 Commissary Restrictions
- 1.1.6 Court Meals
- 1.1.7 Notification to Maintenance of Concerns
- 1.1.8 Bar Code Readers

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking System
- 1.3.2 Housing System
- 1.3.3 Sentence and Time Calculation System
- 1.3.4 Offender Records System
- 1.3.5 Classification and Assessment
- 1.3.6 Violation and Disciplinary Action System
- 1.3.7 Offender Event Schedule, Calendar, Alerts System
- 1.3.8 Programs and Activities
- 1.3.9 Offender Banking and Restitution System
- 1.3.10 Commissary
- 1.3.11 Health Care Support Services System

2. Functional Requirements

2.1 Offender Intake AP/AD

During the admission process, there is specific information that needs to be obtained to keep continuity within the Food Service department. The majority of this information can be generated at the county jail level upon intake or when offenders are transferring into new facilities. Offenders wishing to participate in the common fare program need to be identified and issued a corresponding identification (ID) designating this. Offenders who wish to work in the facility also need to be identified during this process and forwarded to classification. Religious affiliation should also be noted to provide us with an accurate list for any religious based meals that we

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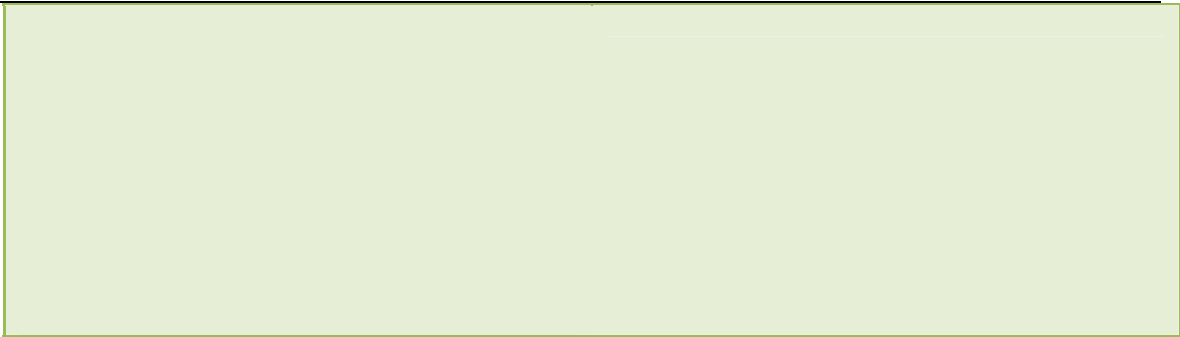
need to provide. Food Service Staff should also be notified daily of offenders transferring in and out of the facility that impact common fare, special diets, courts and the overall population count. When an offender is evaluated by medical and a therapeutic diet for an offender is issued, a corresponding ID should also be provided through the A/P room. We suggest a color coded system identifying each of the different diets offered. The ID's that are issued should be universal for all correctional facilities state wide. If an offender has an existing ID and needs to be issued a new one for either common fare or a therapeutic diet, appropriate staff will need to confiscate the old one to avoid duplicates. Offenders who violate programs will need to be charged a set fee for a new regular Offender ID.

DOC Requirements	Vendor Responses
<p>2.1.1 Input Common Fair, Religious Affiliation, Therapeutic Requests or Designations.</p>	<p>- Please Select One Option -</p>
<p>The ability to allow appropriate staff, during the intake process, to enter into an offender's electronic system the choice to participate in the common fare program, religious affiliation or if designated by medical to require a therapeutic diet. The ability to add this information to the system's database, and electronically update the special diets list, and notify Food Services Staff of the change. The ability to choose the common fair request, religious affiliation, the therapeutic designation, etc from a drop down menu.</p>	
<p>2.1.2 Multiple Colored ID's</p>	<p>- Please Select One Option -</p>
<p>The ability to have the functionality to allow for multi colored ID's to be printed using a preformatted template to designate which special diet they are participating in. This ID would be utilized at any facility that the offender transfers to, until the expiration of the diet, and /or the release of the offender.</p>	
<p>2.1.3 Input Therapeutic Diets</p>	<p>- Please Select One Option -</p>
<p>The ability to have the functionality to allow appropriate staff the ability to Identify Special Diets offenders, once they have been prescribed a therapeutic diet by Medical. The system should allow staff the capability to make the appropriate colored Offender Therapeutic Diet ID's. This ID would be utilized at any facility that the offender transfers to, until the expiration of the diet, and /or the discharge of the offender.</p>	
<p>2.1.4 Notify Appropriate Staff Change of Diet Status</p>	<p>- Please Select One Option -</p>

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<p>The ability to notify appropriate staff when a special diet is requested, issued, removed or changed. The ability to track the start and end dates of the special diets.</p>	
<p>2.1.5 Exchange of ID</p>	<p>- Please Select One Option -</p>
<p>The ability to verify when a new ID is given by appropriate staff that the old one is confiscated by a staff member and a set fee is applied to program violators that do not return the old ID. This will eliminate duplicate ID's that can be used to manipulate meal choices. If an offender violates program requirements or loses their ID, the system must ensure that the old ID has been taken before a new one is issued at a set fee. This will eliminate duplicate ID's that can be used to manipulate meal choices.</p>	
<p>2.1.6 Tracking of Offender Movements in/out of Facility</p>	<p>- Please Select One Option -</p>
<p>The ability to allow Food Service Staff to be notified of offenders transferring in or out of facility that have an impact on special diets and regular production counts. This would also include tracking and updating inmates going to court for the day.</p>	
<p>2.1.7 Accurate Population Counts</p>	<p>- Please Select One Option -</p>
<p>The ability to view and print if needed, an accurate running population counts to Food Service Staff to avoid over production in meal preparation.</p>	
<p>2.1.8 Tracking of Offenders Participation in Special Diet Programs</p>	<p>- Please Select One Option -</p>
<p>The ability to track offenders who participate in a special diet program (common fare, Ramadan, etc.) and that violate or request to be removed from the special diet program. If an offender violates the special diet program, then the ability to monitor the status of the offenders' time until such a time when he/she may re-sign to participate. The ability to follow the offenders' special diet status if/when transferred, so that the appropriate staff of the receiving facility can determine the offender's eligibility. This needs to be tracked by the system to avoid adding a violator prior to when he/she is eligible again to participate.</p>	
<p>Vendor Comments:</p>	

CTDOC Offender Management Information System



2.2 Review Offender Classification Information

The ability for designated Food Service Staff to research certain offender information from a database to help determine offender's suitability for a kitchen detail as well as access to prior offender work history within the D.O.C.

DOC Requirements	Vendor Responses
<p>2.2.1 Identify prior Kitchen Workers Upon Readmission</p>	<p>- Please Select One Option -</p>
<p>During the intake process at the county jails, the ability to identify offenders with prior kitchen experience or that are requesting kitchen jobs upon admission. This information should be entered or updated into the system, and electronically notify the Classification Committee for possible rehiring.</p>	
<p>2.2.2 Notification of Kitchen Workers to Medical for Clearance</p>	<p>- Please Select One Option -</p>
<p>Once offenders are screened and approved by the classification staff to work in the kitchen, the ability to notify medical of the "Kitchen Worker Candidate List" to allow medical to clear the offenders for kitchen work. Once the offenders are cleared for work, then the ability to record and store the date, facility and time of approval by medical. This should be maintained with the offender for his/her current incarceration and transfer with them to the receiving facility. This would save the time for medical to re-check and re-clear the offender for kitchen work. The system should also have the ability to identify any offenders who are placed on the candidate list, and have already been screened and medically cleared to work (in Food Service) at any other facility during their present incarceration. The system should automatically add those offenders to the "Cleared Candidate Waiting list" and electronically send the list to food service staff directly, by-passing medical. This would eliminate redundant screening and Medical</p>	

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clearing processes.	
2.2.3 Notification to Food Service Staff of Medical Clearance	- Please Select One Option -
Once the offenders are cleared by Medical, then the ability to notify Food Service Staff that medical has cleared those offenders for kitchen work. This will allow food service the capability to hire from a pool of cleared offenders without delay.	
2.2.4 Notification to Classification if Offender not cleared for Kitchen Work	- Please Select One Option -
If an offender is not cleared to work in the Kitchen due to a Medical issue, the ability to notify the Classification Committee so that the offender may be put back on the classification list for other facility employment.	
2.2.5 Notification to Classification Committee	- Please Select One Option -
To allow the food service staff the ability to notify the classification committee in order to send new offender hires, removals and Offender Work evaluations. If a Disciplinary Report has been written by Food Service Staff, then the system to have ability to notify the Classification Committee and designated custody staff that there has been one written. The ability for appropriate food service staff to deny any offender worker candidate based on past offender work or disciplinary history.	
2.2.6 Ability to Hire or Refuse an Offender for Kitchen Employment	- Please Select One Option -
The ability to allow Food Service Staff to review and hire or refuse an offender from the Offender Kitchen Waiting List. The ability to track the offenders name, offender number and Housing Unit. This should allow the food service staff to check an appropriate choice (Hired/ Refused), and notify the information to the Classification Committee. The ability to update the Kitchen Worker Candidate waiting List accordingly.	
2.2.7 Intake Facilities able to place Holds on Kitchen Workers	- Please Select One Option -
The ability for appropriate food service staff, at the intake facilities, the ability to put a hold on 10 sentenced offender workers to stop the transfer of these inmates unless an issue arises. The system should have the functionality to generate and maintain a no transfer list of those requested offenders.	

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Vendor Comments:

2.3 Therapeutic Diets Requested/Designated by Medical

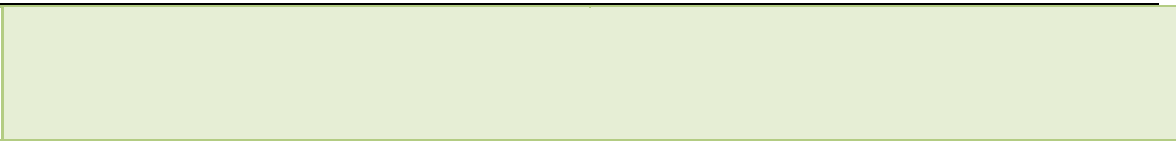
The ability to allow Medical staff to notify food service staff of essential information such as Therapeutic Diets requests, designations or removals for an offender, Medical Clearance of Kitchen Worker Candidates, and Annual Re- clearance of existing kitchen workers.

DOC Requirements	Vendor Responses
2.3.1 Tracking of Annual Physical Clearance Due	- Please Select One Option -
The ability to notify both medical staff and food service staff when an offender’s kitchen worker’s annual physical is due. The ability to track and identify the kitchen worker(s) by offender name, offender number, offender housing location and annual physical due date.	
2.3.2 Therapeutic Diet Screen	- Please Select One Option -
The ability to track a therapeutic diet prescription screen utilizing the guidelines set forth by the DOC director of clinical service. Once an offender is designated to require a therapeutic diet, then the ability to choose the appropriate therapeutic diet, for the offender, by choosing one of the approved diets from a drop down menu.	
2.3.3 Electronic Signatures	- Please Select One Option -
The ability to allow Medical Staff to electronically sign the prescribed diet by using individual electronic signatures and track the start and end date.	
2.3.4 Notification to the Director of Clinical Services and Registered Dietitian for Review	- Please Select One Option -
The ability to notify the DOC Director of Clinical Services, and the DOC Clinical Registered Dietitian, all allergy and multiple diet prescriptions that are outside normal guidelines for review and approval. Special menus (therapeutic diet production sheet) should be provided by the dietitian, to food	

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<p>service staff to accommodate these diets, if approved.</p>	
<p>2.3.5 Notification of Approved Special Diets to Food Services Staff</p>	<p>- Please Select One Option -</p>
<p>The ability to notify approved diets to food services staff containing the offenders' name, offender number, offenders housing location and the special diet approved. The list should be allowed to be sorted alphabetically, by special diet, or housing location and the ability to print this form if needed.</p>	
<p>2.3.6 Notification to Appropriate Staff to Print New ID's</p>	<p>- Please Select One Option -</p>
<p>The ability to notify appropriate facility staff to have the new medical diet ID's printed and laminated.</p>	
<p>2.3.7 Notification to Medical of Expiring Therapeutic Diet</p>	<p>- Please Select One Option -</p>
<p>The ability to notify medical of therapeutic diet expiration and to allow medical access to review, reissue, and if necessary, revise the diet.</p>	
<p>2.3.8 Notification to Food Service Staff of Offender signed up for Sick Call</p>	<p>- Please Select One Option -</p>
<p>The ability to notify medical and food service staff of any kitchen worker that has signed up for medical sick call. The ability to notify food service staff if a kitchen worker is excused from work and provide the date of the offender's clearance to return to work. The system should allow the Food Service Staff the ability to print a list of those names if needed.</p>	
<p>2.3.9 Female Offender Special Diets</p>	<p>- Please Select One Option -</p>
<p>The ability to notify the food service staff at York C.I. (Female Facility), of any Special Diets that may be issued for Pregnancy, Child birth, or Recovery of Female offenders. The list should include Offender Name, Offender Number, Offender Housing, type of diet issued, start and end dates of the diet.</p>	
<p>Vendor Comments:</p>	
<p></p>	

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2.4 Food Service Accessibility

The ability to allow appropriate food service staff access to the data of other departments in order to generate and maintain lists pertinent to Food Service Operations. The ability for Food Service Staff to view and run reports that are used by Food services. The ability to allow Food Service Staff the capability to access an Offenders' Records, such as: Offender Disciplinary history, Offender Training records, Offender Religious Designation, Offender Housing, Offender movement sheets, and Offender General Information. Food Service Staff should have the capability to generate, update and electronically submit work reports, kitchen worker candidate waiting lists, hire/ removal reports, Out of Count sheets, kitchen work assignment rosters, kitchen worker training documentation, participation lists of Special Religious meals, and offender payroll.

DOC Requirements	Vendor Responses
2.4.1 System Functionality	- Please Select One Option -
The ability for food service staff to view and print if needed, Offender information such as prior work history; Disciplinary history; Housing; percentage of time remaining; classification scores, face sheet; etc., of any Offender. Food Service Staff should have the ability to enter and or modify new data such as: adding removing Common Fare participants; hiring/removing kitchen workers; adding Candidates to the candidate waiting list; etc.	
2.4.2 Flag Essential Kitchen Workers	- Please Select One Option -
Food Service staff should have the ability to flag offender kitchen workers to identify essential workers for facility lockdowns; putting hold on essential workers in a county jail, etc.	
2.4.3 Medical	- Please Select One Option -
The ability to view and print the list generated by the Medical Department, of Offenders who are prescribed special Therapeutic Diets by Medical or Mental Health staff. The ability to view and print a list of Youthful Offenders and Diabetic Offenders who require a Snack bag in addition to regular meals. The ability to notify the Food Service Staff of any Offenders who would need a late breakfast meal due to fasting (blood work).	
2.4.4 Religious Services Special Diets	- Please Select One Option -

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<p>Food Service Staff should have the ability to view and print a variety of religious services participation lists pertaining to special meals and/or services provided by the Food Service Department. Lists should be searchable by Offender name, Offender Number, Religious Designation, Religious Holidays, and/or Sign.</p>	
<p>2.4.5 Offender Accounts</p>	<p>- Please Select One Option -</p>
<p>Food Service Staff should have the ability to electronically maintain and submit Offender Payroll Sheets to Offender Accounts directly. The Offender pay sheet should be automatically generated by cross referencing the kitchen job assignment Roster. However the Food Service Staff should have the ability to add and remove offender workers manually from the Offender Pay sheet, if needed.</p>	
<p>2.4.6 Housing</p>	<p>- Please Select One Option -</p>
<p>The system should allow Food Service Staff the ability to print housing reports that provide a breakdown of diet needs such as: Regular, Common Fare, Therapeutic Diets, Religious Services Participation, etc, for the purpose of providing "Feed Back" (feeding offenders in the housing unit) trays when needed. The system should have the ability for Food Service Staff the ability to notify the housing units of offender kitchen worker report times, early wake up list, essential lockdown workers needed, etc.</p>	
<p>2.4.7 Offender Attending a Program</p>	<p>- Please Select One Option -</p>
<p>The ability to notify Food Services Staff if a kitchen worker is participating in a program that would interfere with their scheduled work time. This notification would include the dates and times of participation, and length of program.</p>	
<p>2.4.8 Offender Participating in an Education Program</p>	<p>- Please Select One Option -</p>
<p>The ability to notify Food Services Staff of any course, class or testing that a kitchen worker is scheduled to attend. This notification would include date and times of participation, and length of course, class or testing. In addition, the ability to notify Food Services Staff of any Offenders (including Kitchen Workers) who are scheduled to take GED testing, in the event that they would need feedback meals.</p>	
<p>2.4.9 Off Count Sheet: Kitchen</p>	<p>- Please Select One Option -</p>

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<p>The ability to notify facility staff of an “Off Count Sheet” for Offender Kitchen Workers, to use when the facility is taking count, if an offender is going to remain in the kitchen during count time. The count sheet should include the following information: offender name, offender number, housing location, and a place to record Offender’s attendance during the taking of the count.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.5 Commissary Restrictions

If an offender is on a specific diet, such as a medically prescribed diet, therapeutic diet, religious diet or common fare diet, then the offender should be limited in the purchasing of certain commissary items that would not be allowed with the specific diet.

DOC Requirements	Vendor Responses
<p>2.5.1 Notification to Commissary Staff of Special Diets</p>	<p>- Please Select One Option -</p>
<p>The ability for Food Service Staff, Medical Staff and Religious Service Staff to notify commissary when offenders request to be placed on Common Fare, or are prescribed a Therapeutic Diet by an authorized Physician.</p>	
<p>2.5.2 Restrict Purchases from Commissary</p>	<p>- Please Select One Option -</p>
<p>The ability to restrict the purchase of certain food items by offenders who have been prescribed specific therapeutic diets (Registered Dietitian to set the restrictions), religious diets (Religious Coordinators to set the restrictions) or common fare diets (restriction on meat items). The System should automatically to restrict food from being purchased through commissary, which is not allowed due to Offender religious dietary requirements (religious coordinators to set the restrictions). The System should automatically restrict food from being purchased through commissary, which is not allowed due to an Offenders choice to participate in the Common</p>	

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Fare program (Meat Items).	
Vendor Comments:	

2.6 Court Meals

The ability to communicate with custody regarding the feeding of all offenders regardless of which facility they originated. The ability to allow for input at any facility, by any staff that is responsible for the feeding of offenders on court trips.

DOC Requirements	Vendor Responses
2.6.1 Track Offender for Court Movement	- Please Select One Option -
The ability to track an offender from facility to facility and notify Food Services Staff at the offender's arrival into a facility notifying them whether or not a meal has to be provided. The ability to track if an offender has been provided meal by his sending facility and if so, which meal it was (breakfast, lunch, or dinner).	
2.6.2 Notification to Food Service Staff of Offender Arrival or Return	- Please Select One Option -
The ability to notify food service staff that an inmate has arrived or returned from a court trip. The notification should include the following information: Offender Name, Offender Number, Facility of Origin, Common fare Diet (if applicable), Type of Therapeutic Diet (if applicable), Court house, Court location and Holding Facility Location. This information would allow Food Services to be able to plan for necessary feeding type.	
2.6.3 Intake Staff Updates	- Please Select One Option -
The ability to allow intake staff the ability to update an offender's court trip report, when an offender has been fed at their location. This information should then follow the offender for the remainder of the court trip and return to the originating facility.	
2.6.4 Intake Staff Review	- Please Select One Option -

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<p>The ability to allow the intake staff the ability to review if an offender has been fed prior to his arrival, or if he/she needs a meal prior to departure, by viewing the Court trip information.</p>	
<p>2.6.5 Track Individual Meals in Real Time</p>	<p>- Please Select One Option -</p>
<p>The ability to allow Food Services Staff to track and account for all individual meals provided at the facility. The ability to track the feeding in real time. The system should allow food service to be able to trace, enter, and account for all meals in real time.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.7 Notification to the Maintenance Department of Concerns

The ability to notify the maintenance department staff regarding all aspects of repairs, preventative maintenance, and capital improvements with the corresponding time and date.

DOC Requirements	Vendor Responses
<p>2.7.1 Submit and Track Work Orders for Repairs</p>	<p>- Please Select One Option -</p>
<p>The ability for Food Service Staff to submit work orders to the maintenance department and track the time and date sent with electronic signatures and ability to track the status and progress of work orders and repairs.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.8 Bar code writers and readers

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The ability to issue and track bar codes associated with the offenders ID and offender number. The ability to have a corresponding bar code and card reader at each kitchen to be used to track and account for all meals served and to track the kitchen workers attendance and payroll.

DOC Requirements	Vendor Responses
<p>2.8.1 Print bar code when ID printed</p> <p>The ability to print a bar coded ID, upon intake or new special diet issued, on the offender ID.</p>	<p>- Please Select One Option -</p>
<p>2.8.2 Bar Code Reader</p> <p>The ability to have a bar code reader and turn style passage within each kitchen area to track the actual meal attendance and participation.</p>	<p>- Please Select One Option -</p>
<p>2.8.3 Hand Held Bar Code Reader</p> <p>The ability to have a hand held bar code reader that can track kitchen workers for payroll and attendance as well as Feedback (feeding within the housing unit) facilities or during lock-down status.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

3.0 Reports

The ability to generate reports that require information provided by other departments, such as: Medical, Classification, Religious Services, Offender Programs, & Offender Accounts. The ability to cross reference the data of other departments to generate the information Food services requires such as; Common Fare Participation Lists, Special Diet Lists, Offender Kitchen Worker Candidate Waiting list, Program attendance by kitchen workers, Count Sheets, Kitchen work assignment rosters, Offender Attendance/Pay sheet, etc.

DOC Requirements	Vendor Responses
<p>3.1 Kitchen Worker Candidate Waiting List</p>	<p>- Please Select One Option -</p>

CTDOC Offender Management Information System

<p>The ability to produce a Kitchen Worker Candidate Waiting list of Offenders, who are interested in working in the kitchen, based on the intake review or if requests are submitted by the offender. If the offender has been medically cleared to work in the kitchen at any other facility during their present incarceration, the system should recognize that fact by cross referencing name and offender number, and automatically note that fact on the candidate waiting list.</p>	
<p>3.2 Offender Work Report Notification to the Classification Committee</p>	<p>- Please Select One Option -</p>
<p>The ability to generate, submit and notify the Classification Committee of the kitchen work report. The ability to initiate a blank work report template for any kitchen worker, by clicking on the offender kitchen workers name on the Kitchen Work Roster. The ability to pre-populate the work report template with the offenders name, offender number, job assignment and housing location. The template should allow food service staff to fill in the remaining fields of the report and submit it to the Classification Committee. The system should have the ability to automatically identify current Offender kitchen workers who are due for semi- annual work evaluations, and allow a work report template to be generated with the offender's name, number, housing unit, and job assignment pre- entered in the appropriate fields. The Food Service staff should have the capability of submitting a removal form when an Offender kitchen worker is removed from the kitchen. If the offender has been removed due to poor performance, the form should trigger a work report with pre entered with the offender's information as described above.</p>	
<p>3.3 Therapeutic Diets</p>	<p>- Please Select One Option -</p>
<p>The ability to view and print, if needed, the Therapeutic Diets list generated by the Medical Department. The list should include the following information: offenders first and last name, offender number, offender's housing, the Special Diet he/she has been prescribed, the Doctor's name who has prescribed the diet, the date that the diet was prescribed and when the diet expires. The food service staff should have the ability to sort the list any of the following ways: alphabetically by offender's last name, by housing, by expiration date or by</p>	

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diet.	
3.4 Pregnancy, Child Birth and/or Recovery Diets	- Please Select One Option -
This report would be York CI specific (female facility) and would include the same information as a regular therapeutic diet list. The difference would be that system would have the ability for Medical to choose this diet, which would allow for Doctors' instructions or prescriptions of any special dietary needs that would apply in this situation.	
3.5 Common Fare Reports	- Please Select One Option -
The ability for food services staff to generate a report with a real time list of participants of the Common Fare meal Program. The ability to sort the list alphabetically by offenders last name, by offender housing and by Religious designation.	
3.6 Facility Population	- Please Select One Option -
The ability to generate a report for a real time list of the facility population. The food service staff should have the ability to sort the list any of the following ways: alphabetically by offenders last name, by housing unit, by Regular or Common Fare Diet, and Religious designation. In addition the staff member should have the ability to sort the facility population of each housing unit by any of the following ways: alphabetically by offenders last name, by housing unit, by Regular or Common Fare Diet, and Religious designation.	
3.7 Early Wake-Up List	- Please Select One Option -
The ability for food services staff to generate a report to identify offender kitchen workers that will be needed to be woken up early for the breakfast feeding. The list should be sent electronically to the housing units.	
3.8 Offender Kitchen Worker Roster	- Please Select One Option -
The ability to view and print (if needed) an Offender Worker assignment roster for use within the food service operation.	
3.9 Meal Attendance Report	- Please Select One Option -
The system should have the capacity to provide an accurate Meal attendance report based upon data received by the reading of Offenders ID cards or turn style counting that attended a meal service.	
3.10 Court Trips Report	- Please Select One Option -

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<p>The ability to provide an accurate real time report of all scheduled offender court trips, medical trips, or any other trip wherein a bagged meal would need to be provided by Food Services. This report should automatically update and notify food service staff. It should be viewable and printable by food service.</p>	
<p>3.11 Medical Sick Call of Kitchen Workers</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of the kitchen workers that have attended, or will be attending, sick call at the facility. The report should include the offender's name, offender number, offender housing, date added/attended sick call, date(s) excused from work, and potential date of return to work.</p>	
<p>3.12 Medical Fasting List</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of any offender placed on a medical fast that would need to be provided a late breakfast meal.</p>	
<p>3.13 Program Attendance of Kitchen Workers</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of kitchen workers who are attending programs within the facility. The report should include the offender's name, offender number, offender housing, Program name, Program start and end dates and Program start and end times.</p>	
<p>3.14 Worker Lock down list</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of the essential offender kitchen workers that would be needed by Food Services to ensure production of meals in the event of a facility lockdown. When generated, this list should be sent to housing and custody staff to notify them to expedite the escorting of those offenders to the kitchen area.</p>	
<p>3.15 Worker Hold List for Jails</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report to identify essential offender kitchen workers that would be in a hold capacity in a pre-sentenced facility. This list should be sent to the classification committee to allow those who are held to be identified.</p>	
<p>3.16 Religious Meal attendance list</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate a report for food service staff to use as an attendance list for special meals provided for a variety of specific Religious Holidays and Fasts. This report should have the capability to sorted and printed by Religion, Holiday, or Offender's Religious designation (Example: Passover, Strawberry Festival). Also should be capable of displaying those who sign up with religious services in order to participate in a volunteer religious fast or meal (example: Ramadan).</p>	
<p>3.17 Hire and Removal Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report of offenders hired or removed from the kitchen worker list. This list should also be sent to classification upon the hiring of new kitchen workers, and the removal of current kitchen workers. The report would cross reference the kitchen worker candidate waiting list, and job classification list to update the lists automatically.</p>	
<p>3.18 Job Refusal Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate and send a refusal report to the classification committee when an offender worker refuses a job offer by food services. This would allow the system to automatically update the kitchen worker candidate waiting list.</p>	
<p>3.19 School Participation Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a list of kitchen workers who are attending school courses, classes, or testing within the facility. The report should include the offender's name, offender number, offender housing, courses, classes, testing name, start and end dates, and start and end times.</p>	
<p>3.20 State Wide "TOTAL" Report</p>	<p>- Please Select One Option -</p>
<p>The ability to query, view, and print totals of any of the above Food Service reports, based on the data of all facilities throughout the system. The system should allow the food services staff the ability to input a variety of options for the parameters of the "totals" report. The parameters of the query should include report name, facility name(s), facility level(s), by geographical location or all facilities. The report should have the ability to include any specified facilities in a group, and provide the total of data of the report specified, in the format of report requested.</p>	
<p>Vendor Comments:</p>	

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BC.10 – Classification and Assessment Requirements

Classification is the ongoing process of collecting and evaluating information about each offender to determine the offender's risk and need level for appropriate confinement location, treatment, programs, and employment assignment whether in a facility or the community. This is in concert with the Department's Offender Accountability Plan, which identifies and provides specific treatment and custodial needs, to assist offenders in developing the necessary skills for successful re-entry to the community.

The Department of Correction's classification system is centrally managed by the Director of Offender Classification and Population Management and locally managed at the facility level by the Unit Administrator. The term "Unit Administrator" refers to the person in charge of a correctional institution, correctional center, pre-release center, or community service region. The term "facility" refers to any place of correctional confinement, and encompasses correctional institutions, correctional centers, community release programs, and other correctional units maintaining custody of offenders.

The classification system is based upon objective principles and criteria designed to reduce arbitrary or inconsistent decisions. Classification decisions should balance offender, departmental, and public interest while preparing offenders for their reintegration to society. The system shall provide the ability to inquire, add, change, and delete information related to the objective classification of offenders for institutional work, program, and housing assignments based on weighted, scored criteria. The system should calculate risk and need scores based on current and historical offender data and recommend an overall custody level based on the risk score(s). Attached Hyperlink will bring you to the classification manual for specific details to calculate Risk and Need Scores and eligibilities for early release. <http://www.ct.gov/doc/lib/doc/PDF/PDFReport/ClassificationManualLibraryCopy.pdf>

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Initial Diagnostics for Risk/Needs Assessment
- 1.1.2 Assessment Process at Walker CI
- 1.1.3 Classification Meetings
- 1.1.4 Parole Assessments
- 1.1.5 Regular Reclassification
- 1.1.6 Event Driven Reclassification
- 1.1.7 Interstate/International Transfer Requests
- 1.1.8 Offender Accountability Plan and Treatment and Program Assessment Instrument
- 1.1.9 Special Management Tracking

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply.

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking System
- 1.3.2 Offender Identification System
- 1.3.3 Housing System
- 1.3.4 Offender Event Schedule, Calendar, Alerts System
- 1.3.5 Offender Records System
- 1.3.6 Warrants and Detainers System
- 1.3.7 Sentence and Time Calculation System
- 1.3.8 Offender Management System
- 1.3.9 Movements and Transfer
- 1.3.10 Population Management System
- 1.3.11 Violation and Disciplinary Action System

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- 1.3.12 Grievance – Compliant Functional System
- 1.3.13 Offender Employment
- 1.3.14 Offender Association and Intelligence System
- 1.3.15 Education System
- 1.3.16 Programs and Activities
- 1.3.17 Offender Banking and Restitution System
- 1.3.18 Pre-Release Processing System
- 1.3.19 Parole Hearings System
- 1.3.20 Community Supervision
- 1.3.21 Health Care Support Services System
- 1.3.22 Operations Incidents

2. Functional Requirements

2.1 Initial Diagnostics for Risk/Needs Assessment

Initial assessment of the offender includes Medical, Mental Health, Special Management, bond/detainer, etc. Based on information entered at Intake, the system should be able to run the COLLECT (Ct. On Line Law Enforcement Communication Teleprocessing, which is the ability to generate CT. Criminal Rap Sheets) and NCIC checks, review the offenders DOC history (if applicable) assign the (7) objective classification Risk Scores and (7) Need Scores and determine Overall Risk Score. Classification counselors review and approve the scores calculated by the system.

DOC Requirements	Vendor Responses
2.1.1 Produce Risk and Need Scores	- Please Select One Option -
The ability to calculate and produce an objective Classification Risk and Need Score for an offender by interfacing with several other systems, to gather the required information, and using the Connecticut Classification Manual as a tool to calculate the scores.	
2.1.2 Store Risk and Need Scores	- Please Select One Option -
The ability to historically store all recorded Risk and Need Scores.	
2.1.3 Notify if Risk or Need Score is not calculated	- Please Select One Option -
The ability for the system to send a notification to the appropriate staff if a Risk or Need Score can not be calculated by the system automatically. For scores that are marked for manual calculation the ability for the system to send a notification if the scores are not calculated and entered within an appropriate time frame.	
2.1.4 System Flexibility	- Please Select One Option -

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<p>The ability to add, change, or delete scoring criteria and recalculate scores for all or some offenders based on the changes.</p>	
<p>2.1.5 Severity Risk Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Severity Risk Score by retrieving an offender's current criminal charges through an interface with information entered from the Sentence and Time Calculations System.</p>	
<p>2.1.6 Detainer Risk Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Detainer Score by retrieving an offender's current pending charges, bond, etc., through an interface with the Sentence and Time Calculations System and Warrants and Detainers System.</p>	
<p>2.1.7 Length of Confinement Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Length of Confinement score by retrieving an offender's current total sentence entered by records staff, through an interface with the Sentence and Time Calculations System.</p>	
<p>2.1.8 Violent History Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Violent History Score by retrieving an offender's previously entered criminal charges by records staff through an interface with the Sentence and Time Calculations System.</p>	
<p>2.1.9 Escape History Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Escape History Score by retrieving an offender's previously entered offender movements, to include escapes, absconders from parole, attempted escapes and disciplinary reports for escape, attempted escape entered by records staff or disciplinary report hearing officer through an interface with the Movements and Transfers System and Violations and Disciplinary Actions System.</p>	
<p>2.1.10 Disciplinary History Score</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate and store the Disciplinary History Score by retrieving an offender's disciplinary history through an interface with the Violations and Disciplinary Actions System.</p>	
<p>2.1.11 Security Risk Group Affiliation Score</p>	<p>- Please Select One Option -</p>

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The ability to automatically calculate and store offender's prior/current security risk group affiliation by retrieving an offender's Security Risk Group Affiliation through an interface with the Offender Association and Intelligence System. .	
2.1.12 Overall Risk Score	- Please Select One Option -
The ability to calculate and assign the Overall Risk Score based on the highest calculated Risk Score.	
Vendor Comments Including Risk Score Calculations:	

DOC Requirements	Vendor Responses
2.1.13 Override Overall Score	- Please Select One Option -
The ability to allow staff to Override a calculated Overall Risk Score and track and store the staff name, title, date, location and the offenders' name, number, location with reason for the override.	
2.1.14 Special Management Descriptive Text(s)	- Please Select One Option -
The ability to add or update Special Management Descriptive Text(s) selected from a drop down menu. The ability to delete an entry and track who made the deletion and the date deleted.	
2.1.15 Medical Need Score	- Please Select One Option -
The ability to retrieve and store the Medical Need Score based on information received through an interface from the Medical/Mental Health system.	
2.1.16 Mental Health Need Score	- Please Select One Option -
The ability to retrieve and store the Mental Health Need Score based on information received through an interface from the Medical/Mental Health system.	
2.1.17 Education Need Score	- Please Select One Option -
The ability to automatically calculate and store the Education Need Score by retrieving an offender's education history through an interface from the Education system.	

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2.1.18 Vocational Need Score	- Please Select One Option -
The ability automatically calculate and store the Vocational Need Score based on information that is received from a self-report from the offender.	
2.1.19 Substance Abuse Need Score	- Please Select One Option -
The ability to automatically calculate and store the Substance Abuse Need Score based on interfacing with information received from the Programs and Activities system.	
2.1.20 Sexual Treatment Need Score	- Please Select One Option -
The ability to automatically calculate and store the Sexual Treatment Need Score by retrieving an offender's criminal history through an interface with information entered by records staff and the disciplinary officer by interfacing with the Sentence and Time Calculations System and Actions and Disciplinary Violations.	
2.1.21 Community Resources Need Score	- Please Select One Option -
The ability to automatically calculate and store the Community Resources Need Score based on information that is received from a self-report from the offender and entered by staff.	
Vendor Comments Need Score Calculations:	

DOC Requirements	Vendor Responses
2.1.22 Override Need Score	- Please Select One Option -
The ability to allow staff to Override a calculated Need Score and track and store the staff name, title, date, location and the offenders' name, number, location with reason for override.	
2.1.23 Need Scores Descriptive Text(s)	- Please Select One Option -
The ability to add and update Need Score Descriptive Text(s) selected from a drop down menu. The ability to delete the entry with the system recording the person making the deletion and the date deleted.	
2.1.24 Record and Store Final Initial Intake Review Results	- Please Select One Option -
The ability to record and store the final results,	

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from the initial intake review on-line, to include the Warden, or designees', name, title, date of approval and facility.	
2.1.25 Produce Risk/Need Score Sheet	- Please Select One Option -
The ability to produce and print (on demand) an on-line initial objective classification risk and need scores sheet for one or several offenders.	
2.1.26 Electronic Signatures	- Please Select One Option -
The ability to allow electronic signatures on the forms that require an offender and staff signatures.	
2.1.27 On - line Appeal Form	- Please Select One Option -
The ability to record an appeal of an initial classification decision on custody level or institutional assignment by the offender. The offender shall have the ability to complete an on-line appeal form which includes the offender's name, number, and housing and assigned institution, custody level, date of assignment, description and reason for appeal, attachment (yes/no), requester, date, approval fields, and date and type of decision. This would require offenders to have access to a computer possibly via kiosk in the housing units or a common area within the facilities.	
2.1.28 Reports used to calculate Risk Scores	- Please Select One Option -
The ability to indicate in a check off format which external reports (such as police reports, pre-sentence investigations) that were used in arriving at a Classification Risk and Need Score.	
2.1.29 System Notification	- Please Select One Option -
The ability to send a notification and produce a list of all offenders that might require having their scores recalculated.	
2.1.30 Classification Score Tracking	- Please Select One Option -
The ability to maintain a record for each initial and reclassification score.	
2.1.31 Classification Entry Tracking	- Please Select One Option -

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<p>The ability to record the user, date, and time of any scoring element entries. Users shall have the ability to display or print all entries. It should also record all dates/times when the risk and need scores were entered into the system.</p>	
<p>Vendor Comments:</p>	

2.2 Assessment Process at Walker CI

The current Walker Assessment process is based on length of sentence. Currently, if an adult, male offender is sentenced to greater than 2 years, then they are submitted for transfer to Walker. Offenders are then assigned as a group and follow a 10 day assessment schedule. The schedule consists of orientation procedures, educational testing, medical and dental exams and Addiction Service Interviews. This cultivates into an Incarceration Plan for the offender to follow. Offender is then transferred to another Institution.

DOC Requirements	Vendor Responses
<p>2.2.1 Identify Offenders</p>	<p>- Please Select One Option -</p>
<p>The ability to identify offenders meeting criteria for Walker Assessment. Though all sentenced offenders go through an assessment process, for those adult, male offenders sentence to a defined period of time (currently greater than 2 years) an intensive assessment is completed in the Assessment Unit at MacDougall/Walker CI. Certain criteria must be met before an offender can be transferred up to the Assessment Unit to begin the Assessment process such as no court date within 30 days, no active DR punitive sanctions, and medically cleared.</p>	
<p>2.2.2 Notification</p>	<p>- Please Select One Option -</p>
<p>The ability to notify facility staff and Walker Assessment Staff of offender's status that is transferring into Walker incase there is any housing assignment issues such as needing Protective Custody, Profile Separation Concerns, Special Management issues, Etc.</p>	
<p>2.2.3 Assign Schedule</p>	<p>- Please Select One Option -</p>
<p>The ability to assign an offender into an assessment schedule and track completion of activities. This should be done with an interface with Inmate Events, Scheduling System.</p>	
<p>2.2.4 Collect Information</p>	<p>- Please Select One Option -</p>

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<p>The ability to collect, analyze and store information gathered by assessment staff, to include storing of information gathered from the inmate. This information could include the inmates' version of the story for which he/she was convicted, to also include updating emergency contact information, Etc.</p>	
<p>2.2.5 Re-Assess Initial Risk/Need Assessment</p>	<p>- Please Select One Option -</p>
<p>The ability to re-assess Initial Risk/Need scores after review of Assessment Staff.</p>	
<p>2.2.6 COLLECT/NCIC Checks</p>	<p>- Please Select One Option -</p>
<p>The ability to conduct COLLECT/NCIC checks.</p>	
<p>2.2.7 Program Recommendations</p>	<p>- Please Select One Option -</p>
<p>The ability to recommend available programming based on collected information.</p>	
<p>2.2.8 Institution Recommendations</p>	<p>- Please Select One Option -</p>
<p>The ability to recommend proper Institutions based on classification risk/need scores, separation issues and program requirements.</p>	
<p>2.2.9 Procedure Changes</p>	<p>- Please Select One Option -</p>
<p>The ability to make changes to any process in the assessment procedure to match the agencies operational specifications.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.4 Classification Meetings

Classification meetings are held for various reasons, which includes initial classification review, regular reclassification review, event driven reclassification review, etc. Meetings may occur at any stage of the offenders' classification assessment and disposition. Classification meetings could be

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held in a committee format or on a one on one between the classification counselor and the offender. An offender or staff member may initiate the meeting. Offenders have the option to refuse to attend a meeting.

DOC Requirements	Vendor Responses
<p>2.3.1 Offender Requests a Meeting</p> <p>The ability to record an offender's request for a meeting.</p>	<p>- Please Select One Option -</p>
<p>2.3.2 Ability to schedule Offender Meeting</p> <p>The ability to set up a meeting based on previously entered requests, referrals and (automatic) scheduled appearances.</p>	<p>- Please Select One Option -</p>
<p>2.3.3 Display Options for Meetings</p> <p>The ability to allow users to display the agenda by the reason for an offender to appear to include the offenders' current housing location, either in numeric order or the order the offender requests were recorded.</p>	<p>- Please Select One Option -</p>
<p>2.3.4 Meetings Adaptability</p> <p>Users shall have the option to change the schedule of the agenda. Users shall also have the option to print an agenda, print meeting worksheets, face sheets and Progress Notes for all offenders scheduled on the meeting.</p>	<p>- Please Select One Option -</p>
<p>2.3.5 Print Offender Pass for Meeting</p> <p>The ability to automatically print an offender pass for each offender scheduled for the next meeting. The pass should include the offender name, number, housing location, destination and reason.</p>	<p>- Please Select One Option -</p>
<p>2.3.6 Meeting Schedule Flexibility</p> <p>Users should have the ability to select a flexible sort order for the agenda.</p>	<p>- Please Select One Option -</p>
<p>2.3.7 Override Capabilities</p> <p>The ability to allow users to set up a default information selection for each appearance reason or issue, and shall provide the capability to override the default and select the information to print for any offender appearance.</p>	<p>- Please Select One Option -</p>
<p>2.3.8 System Flexibility</p>	<p>- Please Select One Option -</p>

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The ability produce schedules for various types of classification, sub meetings and other special meetings.	
2.3.9 Notification for Meeting Conflict	- Please Select One Option -
The ability to flag offender requests' to appear on classification meetings that cannot be granted because the offender is ineligible for what he or she is requesting (e.g., a sex offender requesting level reduction to minimum security status).	
2.3.10 Meeting Denial Letters	- Please Select One Option -
The ability to record denials for requests to appear on classification meetings. Based on user defined rules (e.g., CTDOC criteria), the user shall have the option to automatically produce a form letter to the offender advising of the reason he or she will not appear.	
2.3.11 Record of Denial Letters	- Please Select One Option -
The ability to store and display denial letters that were sent to an offender or staff member that made a request for an offender to be seen at the meeting.	
2.3.12 Automatic Annual/Biannual Meeting Schedule	- Please Select One Option -
The ability to automatically schedule offenders to appear six-months, or one year (or at any user defined period) from the date of their latest Classification Committee appearance.	
2.3.13 Automatic Level Reduction Meeting Schedule	- Please Select One Option -
The ability to automatically schedule offenders to appear at a classification meeting, as they become eligible for level reduction reviews.	
2.3.14 Automatic Community Release Review Meeting Schedule	- Please Select One Option -
The ability to automatically schedule an offender to appear at a classification meeting as they become eligible for a community release review (based on CTDOC eligibility and/or the objective reclassification score).	
2.3.15 Agenda Flexibility	- Please Select One Option -
The ability to allow users to select one, many, all or none of the pre-scheduled appearances for the "final" agenda and to automatically reschedule anyone not selected for the meeting.	
2.3.16 Ability to Pre-Approve Offender	- Please Select One Option -

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Requests for Meetings	
The ability to allow users to preapproved requests, with an explanation in a comment field, particularly for offenders who will not appear in person before the committee. On-line comments shall be printed on the agenda worksheet.	
2.3.17 Automatic Schedule to Classification System upon receipt of Disciplinary Report	- Please Select One Option -
The ability to automatically schedule offenders, to the classification committee meeting, who received a discipline infraction.	
2.3.18 Record Classification Committee Results	- Please Select One Option -
The ability to record Classification Committee results, referrals, postponements, to include updating the custody status, housing location, work assignment, etc. ,who put the person on the agenda and whether the appearance is/was in person or not in person.	
2.3.19 Generate a Committee Results List	- Please Select One Option -
The ability to automatically generate a committee results list and (individual) offender notifications of results, with an option to print, which include the objective classification score and an explanation, a committee member log, referral notices, and an explanation based on entered results or actions of the committee. The list shall be maintained on-line for reference. A purge date will be defined.	
2.3.20 Update Committee Results Online	- Please Select One Option -
The ability to update Committee meeting results on-line to allow users to view it at anytime.	
2.3.21 Approval Date	- Please Select One Option -
The ability to automatically fill the effective dates, based on meeting results, as set up by the user depending on the request (e.g., most work and program assignments take effect the following Friday). If the approval date is not within the user defined number of days, an informational message will appear so the user can verify the date is correct or allow the user to correct the date.	
2.3.22 Utilizing Standard Classification Codes	- Please Select One Option -

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The ability to implement and utilize standard classification codes on a system wide basis.	
2.3.23 Produce Confidential Referral List	- Please Select One Option -
The ability to produce confidential referral notices.	
2.3.24 Notification for Confidential Referral Meeting	- Please Select One Option -
The ability to notify users when confidential referrals are due. Users need the ability to enter the status of the referrals.	
2.3.25 Automatic Schedule for Offenders Discharging	- Please Select One Option -
Any offender that will be discharging, within a designated time frame, shall automatically be scheduled onto the Classification Committee agenda.	
2.3.26 Real Time Updates for Scheduling	- Please Select One Option -
If an offender is scheduled for future meetings as a result of a committee decision, the system shall have ability to automatically schedule the offender.	
2.3.27 Consolidation of Scheduled Appearances	- Please Select One Option -
The ability to consolidate multiple classification committee scheduled appearances and offender appearance requests.	
2.3.28 Automatic Schedule upon Transfer In	- Please Select One Option -
The ability to automatically place offenders transferred into the institution on the next committee meeting agenda.	
2.3.29 Automatic Deletion upon Release	- Please Select One Option -
The ability to delete any open classification requests when an offender is released, either upon discharge or a program.	
2.3.30 Ability to view/edit Classification Meeting Requests	- Please Select One Option -

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The ability to allow users to view/edit classification requests and scheduled appearances for any selected meeting.	
Vendor Comments:	

2.4 Parole Assessments

As a result of an offender’s parole board hearing, the parole board staff initiates this process by accessing a user interface to add, change, delete or display the results of the Parole Board hearing. The user shall also record and track who is awaiting an initial hearing, who is pending revocation and who is pending a panel hearing or full panel hearing. Ideally, the information shall be collected and entered via a user interface by Parole Board staff. If necessary, other authorized CTDOC staff shall have the ability to access the same user interface to record this information.

DOC Requirements	Vendor Responses
2.4.1 Display Individual Decisions	- Please Select One Option -
The ability to notify classification with the results of individual parole decisions.	
2.4.2 Temporary Suspension of Voted to Parole Date	- Please Select One Option -
The ability to notify classification if the offender's voted to parole date is placed on temporary suspension pending a rescission hearing.	
Vendor Comments:	

2.5 Regular Reclassification

Classification staffs conduct a Regular Review to reassess an offender's risk and needs scores after initial classification at a user defined time. In addition to reviewing the Risk and Needs scores, if the offender is sentenced, then the Offender Accountability Plan (OAP) and the Treatment and Programs Assessment Instrument (TPAI) shall be initiated (if applicable).

DOC Requirements	Vendor Responses
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<p>2.5.1 Classification Notification for an Offender to be reviewed</p>	<p>- Please Select One Option -</p>
<p>The ability to flag and send a notification to designated classification members if an offender has not been reviewed within a user defined time period.</p>	
<p>2.5.2 Record of Initiating the Classification Review</p>	<p>- Please Select One Option -</p>
<p>The ability to record the initial reclassification review to include the staff member's name, title, location, date, time and type of classification review and offender name, number and current facility.</p>	
<p>2.5.3 Record of Finalizing the Classification Review</p>	<p>- Please Select One Option -</p>
<p>The ability to record the finalization for an offenders classification review from a drop down menu with a free text field to note justifications of the score. Information recorded should include the staff member's name, title, location, date, time and type of classification review and offender name, number and current facility.</p>	
<p>2.5.4 Classification Notification for an Offender to be Finalized</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification if the reclassification review has not been completely processed and finalized within 14 days.</p>	
<p>2.5.5 Classification Score Sheet</p>	<p>- Please Select One Option -</p>
<p>The ability to produce and print a reclassification objective classification risk and needs score sheet to be provided to the offender, which would include any notations from the final review.</p>	
<p>2.5.6 Classification Recheck</p>	<p>- Please Select One Option -</p>
<p>The ability to recalculate the (7) Risk Scores and (7) Need Scores from any new data entered based on alerts received from other entities.</p>	
<p>2.5.7 Record and store Final Classification Recheck Review Results</p>	<p>- Please Select One Option -</p>
<p>The ability to record and store the final results, from the classification review on-line, to include the Warden, or designees', name, title, date of approval and facility.</p>	
<p>2.5.8 Finalized Transaction Override</p>	<p>- Please Select One Option -</p>

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<p>The ability to provide the ability to allow certain users to override any finalized/closed classification transactions. The ability to track the date, user name with title, and reason.</p>	
<p>2.5.9 Classification History Tracking</p>	<p>- Please Select One Option -</p>
<p>The ability to display the full status history of all calculated Risk and Need Scores.</p>	
<p>2.5.10 Reclassification Score Sheet</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a reclassification review score sheet with an option to print one or several offenders at a time.</p>	
<p>2.5.11 Classification Results Notifications</p>	<p>- Please Select One Option -</p>
<p>The ability to send notifications to appropriate staff based on significant classification review results.</p>	
<p>2.5.12 Offender Accountability Plan (OAP) Recommendation</p>	<p>- Please Select One Option -</p>
<p>The ability to determine based on the length of time the offender has remaining on his/her sentence, how many programs the offender may be recommended for.</p>	
<p>2.5.13 Treatment and Program Assessment Instrument (TPAI) Calculation</p>	<p>- Please Select One Option -</p>
<p>The ability to calculate the TPAI scores by completing a one page questionnaire.</p>	
<p>2.5.14 Specific Program Recommendations</p>	<p>- Please Select One Option -</p>
<p>The ability to recommend the specific programs that the offender should participate in based on the TPAI score.</p>	
<p>2.5.15 Pre-Populate the OAP Form</p>	<p>- Please Select One Option -</p>
<p>Once the system has recommended specific programs, then the ability to generate an OAP form.</p>	
<p>2.5.16 Pre-Populate the Revision OAP Form.</p>	<p>- Please Select One Option -</p>

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If the offenders recommended programs need to be changed, revised or completed, the ability to generate another OAP form.	
2.5.17 Interface with Programs and Activities System	- Please Select One Option -
The ability to interface with the Programs and Activities System to notify them of an offender being added to a program list.	
2.5.18 Interface with Education System	- Please Select One Option -
The ability to interface with the Education System to notify them of an offender being added to an education list.	
Vendor Comments:	

2.6 Event Driven Reclassification

These reviews occur when new information is received (e.g., pre-sentence investigation reports, police reports, receive new court documents, parole reviews, etc.), when disciplinary behavior prompts a risk change, and when any kind of parole board action is taken.

Parole Decisions

DOC Requirements	Vendor Responses
2.6.1 Re-Calculate Early Release Dates upon Parole Approval	- Please Select One Option -
The ability to recalculate Halfway House eligibility dates when information is received from Parole when an offender is Voted to Parole release. If an Offender is approved for Parole, the Voted to Parole release date is utilized as the new maximum release date for calculating the Halfway House Eligibility.	
2.6.2 Re-Calculate Level Reduction Dates upon Parole Approval	- Please Select One Option -

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<p>The ability to recalculate Level Reduction eligibility dates when information is received from Parole when an offender is Voted to Parole release. If an Offender is approved for Parole, the Voted to Parole release date is utilized as the new maximum release date for calculating the level reduction eligibility.</p>	
<p>Vendor Comments:</p>	
<p></p>	

Application for Community Release and Reentry Furlough Reviews

DOC Requirements	Vendor Responses
<p>2.6.3 Classification Notification for an Offender to be reviewed</p>	<p>- Please Select One Option -</p>
<p>The ability to flag and send a notification to designated classification members if an offender meets the requirements to be reviewed for Community Release/Reentry Furloughs within a user defined time period.</p>	
<p>2.6.4 Early Release Review</p>	<p>- Please Select One Option -</p>
<p>The ability to record and track the initial review to include the staff member's name, title, location, date, time and type of early release review and the offender name, number, current facility and housing location and track if additional information is needed, what stage the review process is in and the date the documents were forwarded for supervisors' review.</p>	
<p>2.6.5 Display Application for Community Release Documents</p>	<p>- Please Select One Option -</p>
<p>The ability to generate an electronic Application for Community Release form.</p>	
<p>2.6.6 Print Application for Community Release/Reentry Furlough Documents.</p>	<p>- Please Select One Option -</p>
<p>The ability to print the Application for Community Release/Reentry Furlough documents.</p>	
<p>2.6.7 Record and Store the Reviewers information and Results.</p>	<p>- Please Select One Option -</p>

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<p>The ability to record staff member names, titles, and electronic signatures, of the reviewers and record and maintain their recommendations with the final results.</p>	
<p>2.6.8 Classification Results Notifications</p>	<p>- Please Select One Option -</p>
<p>The ability to send notifications to appropriate staff based on the final decision of the early release review results.</p>	
<p>Vendor Comments:</p>	
<p></p>	

Parole and Community Release Returns

<p>DOC Requirements</p>	<p>Vendor Responses</p>
<p>2.6.9 Parole and Community Release Returns without Prejudice</p>	<p>- Please Select One Option -</p>
<p>If an offender returns to the CTDOC from a pre-release program then the ability to recheck the risk and need scores and re-reviews any special management designations upon readmission.</p>	
<p>2.6.10 Parole and Community Release Returns with New Charges</p>	<p>- Please Select One Option -</p>
<p>If an offender returns to the CTDOC from a pre-release with new charges, then the ability to recheck and recalculate the risk and needs scores and special management designations taking into account the new charge, bond, etc.</p>	
<p>2.6.11 Notification to Board of Pardons and Parole and Community Enforcement of the return of their offender.</p>	<p>- Please Select One Option -</p>
<p>The ability to notify Parole and Community Enforcement that an inmate has readmitted to the CTDOC with comments or new charges listed.</p>	
<p>2.6.12 Collect/NCIC checks</p>	<p>- Please Select One Option -</p>
<p>The ability to conduct Collect/NCIC checks.</p>	

CTDOC Offender Management Information System

Vendor Comments:

Level Reduction

DOC Requirements	Vendor Responses
2.6.13 Calculate Level Reduction Review Dates	- Please Select One Option -
The ability to provide calculate an offender's eligibility date for level reduction reviews based on CTDOC eligibility criteria	
2.6.14 Re-scoring	- Please Select One Option -
The ability to calculate a new score based on any new information that may impact classification (new sentence, detainer, disciplinary report, etc.) and allow a user to accept or decline the new score.	
2.6.15 Notification for Score Change	- Please Select One Option -
The ability to recalculate and identify impacted offenders/offenders based on changes in laws, classification policy or directives.	
2.6.16 Classification Score Sheet	- Please Select One Option -
The ability to generate a new score sheet.	
Vendor Comments:	

Classification Updates

DOC Requirements	Vendor Responses
2.6.17 Send a Notification for Risk Score Change	- Please Select One Option -

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<p>The ability to send a notification to appropriate classification staff, including parole, when new information is received or discovered that changes an offenders' Risk Score.</p>	
<p>2.6.18 Send a Notification for Transfer</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to appropriate classification staff, facility staff and population management staff when an offender needs to be transferred out of the facility due to a Risk or Needs Score change that would make the offender ineligible to remain at the current facility.</p>	
<p>2.6.19 Record and Track Updates</p>	<p>- Please Select One Option -</p>
<p>The ability to record and track any changes to the Risk or Need Scores with the staffs' name, title, date and comment area that is linked to the specific offender.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.7 Interstate/International Transfer Requests.

Offenders may be reviewed for Interstate Transfers under the Interstate Compact Agreement. The system shall record, update, delete and track Interstate and International transfers.

DOC Requirements	Vendor Responses
<p>2.7.1 Notification to the Interstate Compact Office for Interstate/International Request</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to Interstate Compact Office when an offender or facility initiates an Interstate/International Request. Within the notification, the ability to include the offender's name, number, current housing location, staff members' name, title date of request with electronic signatures of requester, requested state or country, citizenship, inmates' maximum release date, special management status, etc.</p>	
<p>2.7.2 Automatic Review if Offender is Eligible for Interstate/International Transfer</p>	<p>- Please Select One Option -</p>

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<p>The ability to automatically determine if an offender is eligible for an Interstate or International Transfer.</p>	
<p>2.7.3 Automatic Print of Acknowledgement Letter</p>	<p>- Please Select One Option -</p>
<p>The ability to record, store and print an acknowledgement response to the offender, who has requested the Interstate/International Transfer, which would indicate if the offender has/has not met the minimum requirements with the staff member's name, title, date and electronic signature.</p>	
<p>2.7.4 Generate of Interstate/International Referral Summary</p>	<p>- Please Select One Option -</p>
<p>The ability to generate, update and store an Interstate/International Referral Summary.</p>	
<p>2.7.5 Record and Store Referral Letter to Out of State Contact</p>	<p>- Please Select One Option -</p>
<p>The ability to create, record and store a referral letter to be sent to the Out of State Contact Liaison Person.</p>	
<p>2.7.6 Send Referral and Offender information electronically</p>	<p>- Please Select One Option -</p>
<p>The ability to electronically send, record and store the referral letter, referral summary, offender information, and medical and mental health information to the Out of State Compact Liaison to include the date sent and name and title of person sending the information and electronic signature.</p>	
<p>2.7.7 Record and Store Responses from Out of State Agencies</p>	<p>- Please Select One Option -</p>
<p>The ability to record and store the responses received from the Out of State Contact Liaisons with the name, date, title, and comments.</p>	
<p>2.7.8 Auto-Fill Transport Request for Out of State Transfer</p>	<p>- Please Select One Option -</p>
<p>The ability to auto-fill the transport request letter to our Correctional Transport Unit (CTU), with the offenders name, number, date of transfer, time of transfer, pick-up location and drop-off location. The letter should also include the staff members' name, title, electronic signature and date request sent.</p>	

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<p>2.7.9 Record, Send and Store Transport Requests for Out of State Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to record, send electronically and store the transport requests initiated and sent to CTU staff.</p>	
<p>2.7.10 Record and Track Offenders Transferred Out of State</p>	<p>- Please Select One Option -</p>
<p>The ability to record and store the offender's name, number, date, time, of transfer out of state and the receiving state.</p>	
<p>2.7.11 Notification to the Interstate Compact Office for Request to Transfer to CTDOC</p>	<p>- Please Select One Option -</p>
<p>The ability to receive a notification to the Interstate Compact Office when an offender, state or country has requested an Interstate/International transfer to CTDOC.</p>	
<p>2.7.12 Automatic Review if Offender is Eligible for Interstate/International Transfer to CTDOC</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically determine if an offender is eligible for an Interstate or International Transfer.</p>	
<p>2.7.13 Automatic Print of Acknowledgement Letter</p>	<p>- Please Select One Option -</p>
<p>The ability to record, store, and print an acknowledgement response to the offender, state liaison or country liaison, who has requested the Interstate/International Transfer.</p>	
<p>2.7.14 Auto-Fill and Print of Additional Information Requested Letter</p>	<p>- Please Select One Option -</p>
<p>If CTDOC is considering accepting an offender for transfer, additional information is required. The system should have the ability to generate the Additional Information Requested Letter.</p>	
<p>2.7.15 Generate Interstate/International Referral Summary</p>	<p>- Please Select One Option -</p>
<p>The ability to generate, update, maintain and store the Interstate/International Requested Referral Summary form.</p>	
<p>2.7.16 Record and Store Response Letter to Out of State Contact</p>	<p>- Please Select One Option -</p>

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<p>The ability to create, record and store the response letter that will be sent to the Out of State Contact Liaison Person of CTDOC decision whether or not we will be accepting the offender to transfer to us.</p>	
<p>2.7.17 Send Referral and Offender information electronically</p>	<p>- Please Select One Option -</p>
<p>The ability to electronically send the response letter to the Out of State Compact Liaison.</p>	
<p>2.7.18 Record and Store Response Letter Date Sent</p>	<p>- Please Select One Option -</p>
<p>The ability to record and store the specific time and date, the Response Letter was sent and include the staff members name and title of sending the information.</p>	
<p>2.7.19 Auto-Fill Transport Request for Receiving the Out of State Transferring Offender</p>	<p>- Please Select One Option -</p>
<p>The ability to auto-fill the transport request letter to our Correctional Transport Unit (CTU), with the offenders name, out of state number, date of transfer, time of transfer, pick-up location and drop-off location (If Applicable). In most cases, the sending state will directly transfer their offender to one of our facilities.</p>	
<p>2.7.20 Record, Send and Store Transport Requests for Out of State Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to record, send electronically and store the transport requests initiated and sent to CTU staff (If Applicable).</p>	
<p>2.7.21 Notification of Offender Transferring Out of State</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a notification letter to the sending facility advising them the specific offender will be transferring out of CTDOC.</p>	
<p>2.7.22 Notification of an Offender Transferring to CTDOC</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a notification letter to receiving facility advising them of the specific offender transferring to CTDOC.</p>	
<p>2.7.23 Record, Store and Send Progress Reports for CTDOC offenders that have transferred Out of State</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate, record, store and send electronically progress reports for offenders transferred out of state.</p>	
<p>2.7.24 Record and Store the received Progress Reports for CTDOC offenders</p>	<p>- Please Select One Option -</p>
<p>The ability to electronically receive, record and store the received progress reports for an offender that has transferred out of state.</p>	
<p>2.7.25 Record, Store and equate any Disciplinary Reports received for CTDOC offenders housed out of state</p>	<p>- Please Select One Option -</p>
<p>The ability to electronically receive, record and store disciplinary reports for our offenders that have transferred out of state. The disciplinary infraction received may not be the same exact charge as CTDOC has, therefore the ability to equate the charge that would correspond closest to one of CTDOC infraction.</p>	
<p>2.7.26 Record, Store and Send Progress Reports for Out of State offenders that have transferred to CTDOC</p>	<p>- Please Select One Option -</p>
<p>The ability to generate, record, store and send electronically progress reports, for offenders that have transferred to CTDOC, to the Out of State Compact Liaison.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.8 Offender Accountability Plan (OAP) and Treatment and Program Assessment Instrument (TPAI)

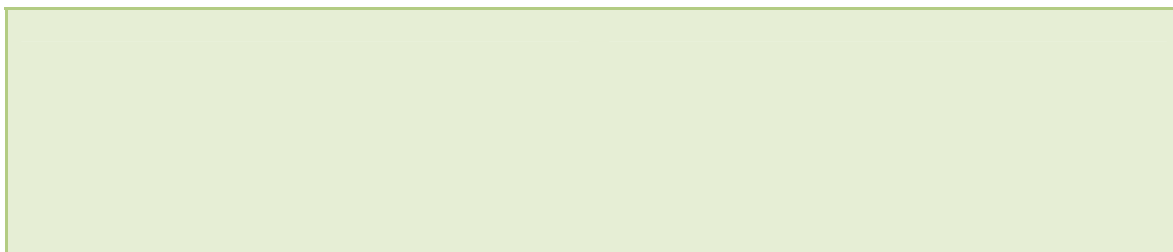
When an offender becomes fully sentenced or during a classification review where an OAP or TPAI has not been initiated, then an OAP and TPAI will be initiated. An OAP is developed for each fully sentenced offender formulating treatment goals and programming needs. This group will be prioritized for placement in those programs identified as addressing the criminogenic needs. Offenders who are assessed as low risk for recidivism will be offered other opportunities, such as involvement in facility activities and work assignments. As a result, facility waitlists for programs and jobs may be reduced.

DOC Requirements	Vendor Responses
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CTDOC Offender Management Information System

<p>2.8.1 Offender Accountability Plan (OAP) Recommendation</p>	<p>- Please Select One Option -</p>
<p>The ability to determine based on the length of time the offender has remaining on his/her sentence, how many programs the offender may be recommended for.</p>	
<p>2.8.2 Treatment and Program Assessment Instrument (TPAI) Calculation</p>	<p>- Please Select One Option -</p>
<p>The ability to calculate the TPAI scores by completing a one page questionnaire consisting of six questions.</p>	
<p>2.8.3 Specific Program Recommendations</p>	<p>- Please Select One Option -</p>
<p>Once the TPAI number is calculated, the ability to recommend the specific programs that the offender should participate in.</p>	
<p>2.8.4 OAP Form</p>	<p>- Please Select One Option -</p>
<p>Once the system has recommended specific programs, then the ability to generate an OAP form listing the offenders' name, number, DOB, Sentence Date, Sentence Length, Parole Eligibility Date, Maximum Release Date and Primary Offenses along with the specific programs recommended. If the offenders recommended programs need to change, be revised or completed then a new form needs to be generated.</p>	
<p>2.8.5 Interface with Programs and Activities System</p>	<p>- Please Select One Option -</p>
<p>The ability to interface with the Programs and Activities System to notify them of an offender being added to a program list.</p>	
<p>2.8.6 Interface with Education System</p>	<p>- Please Select One Option -</p>
<p>The ability to interface with the Education System to notify them of an offender being added to an education list.</p>	
<p>Vendor Comments:</p>	

CTDOC Offender Management Information System



2.9 Special Management Tracking

If an offender becomes disruptive, or information is received or discovered by staff that would jeopardize the safety of staff, offenders or general public then a review for Special Management may be necessary. The review for Special Management would include Administrative Segregation, Special Needs, Chronic Discipline, High Security and Special Monitoring statuses. These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

DOC Requirements	Vendor Responses
2.9.1 Special Management History	- Please Select One Option -
The ability to maintain a history of reviews requested including the staff member's name, title, date, facility requesting the review, type of review requested and the offender's name, number and current facility location.	
2.9.2 Administrative Segregation (A/S)	- Please Select One Option -
An offender may be reviewed for Administrative Segregation due to his/her presence in general population may jeopardize the safety and security of department.	
2.9.2.1 Administrative Segregation (A/S) Placement Request	- Please Select One Option -
The ability to display, update, change and store A/S requests to include the offenders' name, number, housing, reason for review and staff requesting the review.	
2.9.2.2 A/S Placement Alert	- Please Select One Option -
The ability to send a notification to OCPM staff that a request to review an offender for A/S has been initiated.	
2.9.2.3 Access to A/S on-line Memo	- Please Select One Option -
The ability to allow OCPM staff to review, approve or deny the request and print the A/S request.	
2.9.2.4 Notification to Mental Health Staff to Initiate Clearance Form	- Please Select One Option -

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The ability to send a notification to mental health staff via e-mail to initiate a mental health clearance evaluation to determine which facility the offender will be transferred to.	
2.9.2.5 Notification to the requesting Facility and OCPM that Mental Health Clearance form has been completed	- Please Select One Option -
The ability to send a notification to the appropriate staff, the requesting facility and OCPM once mental health staff completed the Mental Health Clearance form.	
2.9.2.6 Review Mental Health Clearance form	- Please Select One Option -
The ability to allow appropriate staff and OCPM staff to review and print the Mental Health Clearance form.	
2.9.2.7 A/S Placement Notification	- Please Select One Option -
The system should send a notification to appropriate staff, at the requesting facility, of OCPM's decision to proceed or not to proceed with the A/S hearing.	
2.9.2.8 Interface with the Movement and Transfer System	- Please Select One Option -
The system shall send a notification to the Movement and Transfer System to schedule the transfer of the offender to the appropriate facility when an A/S hearing is justified.	
2.9.2.9 Interface with the Security and Intelligence System	- Please Select One Option -
The ability to interface with the Security and Intelligence System to view and print Incident Reports from the requesting facility.	
2.9.2.10 Notification of Hearing Form (CN9402)	- Please Select One Option -
The ability to generate a Notification of Hearing Form with the offenders' name, number and current housing location with the ability to update and print the form. The ability to track the name, title, and location of the person completing the Notification of Hearing Form. All forms should be kept in history.	
2.9.2.11 Delivery of Hearing Form	- Please Select One Option -

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The ability to interface with Offender Housing System to send a notification to a designated person at the offenders' current facility to print the current form for delivery of the completed form to the offender for review and signature.	
2.9.2.12 Scan signed copy Notification of Hearing Form	- Please Select One Option -
The ability to scan and store the signed Notification of Hearing form.	
2.9.2.13 Notification of Scan signed copy Notification of Hearing Form	- Please Select One Option -
The ability to notify OCPM staff that the signed copy of the Notification of Hearing form was scanned and available for view and print if necessary.	
2.9.2.14 Notification for A/S Hearing Conflict	- Please Select One Option -
The ability to interface with the Offender Scheduling System to notify any conflicts with the scheduled A/S hearing.	
2.9.2.15 A/S Hearing	- Please Select One Option -
The ability to track and record staff that attended the A/S hearing, date, time and escorting staff.	
2.9.2.16 A/S Restrictive Status Report (CN9404)	- Please Select One Option -
The ability to generate the Restrictive Status Report with information from the Notification Hearing Form and related information from the A/S hearing.	
2.9.2.17 Restrictive Status Report Completion	- Please Select One Option -
The ability to allow the Restrictive Status Report to be updated, changed and record recommendations with electronic signatures along with staff titles and date signed.	
2.9.2.18 Notification for the Restrictive Status Report Finalized	- Please Select One Option -

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The ability to send a notification to appropriate staff once the Director of Offender Classification and Population Management has authorized or denied an offender for A/S placement.	
2.9.2.19 Update Offender's Overall	- Please Select One Option -
For offenders authorized for A/S, the ability to increase an offender's Overall Score to 5.	
2.9.2.20 Complete Restrictive Status Notification of Decision form (CN9405)	- Please Select One Option -
The ability to generate the Restrictive Status Notification of Decision Form with the offenders' name, number, current housing, date, approval date and the specific status that the offender was approved for.	
2.9.2.21 A/S Review / Release Meeting(s)	- Please Select One Option -
The ability to schedule A/S appearances at either periodic intervals or at a user-defined period to schedule reviews and releases.	
2.9.2.22 Facility initiating the A/S Release Request	- Please Select One Option -
The ability to display, update, change and store the staff member names including titles with electronic signatures and recommendations that initiate a request for release of offenders from A/S status.	
2.9.2.23 Notification within the Facility that an A/S release has been initiated	- Please Select One Option -
The ability to send a notification to appropriate staff (within the current facility) advising them that a request has been initiated to release an offender from A/S status.	
2.9.2.24 Notification to OCPM staff that a facility has requested an offender to be released from A/S status	- Please Select One Option -
The ability to send a notification to OCPM staff advising them that the facility has recommended an offender to be released.	
2.9.2.25 Notification to the Facility that an A/S decision has been made	- Please Select One Option -

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The ability to send a notification to the facility notifying appropriate staff that the Director of OCPM, or designee, has authorized an offender to be released, denied, or continued in A/S status.	
2.9.2.26 Update Offender's Overall	- Please Select One Option -
Upon authorized of offender's release from A/S, the ability to update and lower an offender's Overall Risk Level to 4.	
2.9.2.27 Interface with Offender Movements and Transfers System	- Please Select One Option -
The ability to interface with the Movements and Transfers System to add an offender to be transferred out of the facility, if authorized for A/S release and meets eligibility to transfer to another facility.	
Vendor Comments:	

2.9.3 Protective Custody (PC)

Offenders that are reviewed and authorized for PC are kept completely separate from the General Population Offenders. There are three types of PC; emergency, voluntary and involuntary. Emergency PC could include when numerous offenders, such as rival gang members are threatening a specific offender. Voluntary PC requests could include when an offender feels threatened in general population. Involuntary PC could be that an offender is associated with a high-profile case, but believes that he/she can be housed in general population; however, staff believes that his/her safety may be in jeopardy if housed in general population.

DOC Requirements	Vendor Responses
2.9.3.1 Record PC Requests	- Please Select One Option -
The ability to record recommendations for an offender to be placed in PC. The ability to record the person making the recommendation, including name, title, occupation if from outside the CTDOC, reason for the request, date and time.	
2.9.3.2 Record Reviews for PC	- Please Select One Option -
The ability to record approvals/authorizations and denials with related comments relative to the request or recommendation.	
2.9.3.3 Update Special Management	- Please Select One Option -

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Descriptive Text noting the PC Authorization	
The ability to update the Special Management Descriptive Text, from a drop down menu, to reflect the PC designation.	
2.9.3.4 Record Results for PC	- Please Select One Option -
The ability to schedule and record the results of PC hearings related to involuntary and emergency PC cases. The ability to generate an offender hearing notification when a scheduled hearing is entered. The system shall track hearing deadlines and notify the user when deadlines need to be met. When hearing results are entered, the system shall automatically produce an offender notification form for an offender advising of the right to appeal.	
2.9.3.5 Record the Appeal Results	- Please Select One Option -
The ability to record the filing of an appeal and the results. The system shall track appeal deadlines and shall flag the user when deadlines need to be met.	
2.9.3.6 Automatic Update Status	- Please Select One Option -
The ability to automatically change the status of a PC case at the time of the approval/authorization of PC or subsequent to the hearing. Users shall have the option to refer or place the case on the classification committee agenda for confirmation.	
2.9.3.7 Notification	- Please Select One Option -
The ability to pass the PC status information to the offender movement application so that this information can be flagged during internal and external movements.	
Vendor Comments:	

2.9.4 Chronic Discipline (CD)

An offender may be reviewed for (CD) if they are an Overall Level 4, and the offender continues to receive additional disciplinary reports. Currently, if an offender meets the requirements to be reviewed, the facility initiates the review and conducts a hearing at the facility. If the Warden, or designee, approves the CD referral, then a Restrictive Status Report is completed with the supporting documentation will be sent to OCPM for review.

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If the Director of OCPM authorizes the CD placement, then the Adult Male Offenders are transferred to Northern CI or Garner CI. Female and male youth offenders remain at their current facility.

DOC Requirements	Vendor Responses
2.9.4.1 Chronic Discipline (CD) Placement Request	- Please Select One Option -
The ability to display, update, change and store CD requests to include the offenders' name, number, housing, reason for review and staff requesting the review.	
2.9.4.2 CD Review Request using the Restrictive Status Report	- Please Select One Option -
The ability to allow displaying, editing and storing the Restrictive Status Reports that are initiated at a facility and track the offender name, number, housing, reason for review with the staff requesting the review with electronic signatures.	
2.9.4.3 Generate Notification of Hearing Form	- Please Select One Option -
The ability to generate, update, store, a Notification of Hearing with the offenders' name, number and current housing location. An option to print and track name, title, and location of the person completing the Notification of Hearing Form.	
2.9.4.4 Notification of Hearing Form Notification	- Please Select One Option -
The ability to send a notification to designated staff at the offenders' current facility, to print the completed form for delivery to the offender for review and signature.	
2.9.4.5 Scan signed copy CD Notification of Hearing Form	- Please Select One Option -
The ability to scan the signed CD Notification of Hearing into the system.	
2.9.4.6 Display and Print Scan signed copy CD Notification of Hearing Form	- Please Select One Option -
The ability to allow staff to display with print option the signed CD Notification of Hearing form.	
2.9.4.7 Notification for CD Hearing	- Please Select One Option -

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Conflict	
The ability to Interface with Offender Scheduling to notify staff of any conflicts with the scheduled CD hearing.	
2.9.4.8 CD Hearing	- Please Select One Option -
The ability to track and record staff that attended the CD hearing, date, time and the escorting staff.	
2.9.4.9 CD Restrictive Status Report	- Please Select One Option -
The ability to generate the CD Restrictive Status Report with information from the Notification Hearing Form and related information from the CD hearing.	
2.9.4.10 Notification of Scan signed copy CD Notification of Hearing Form	- Please Select One Option -
The ability to send a notification to OCPM staff that the CD Restrictive Status Report has been completed and available to be viewed.	
2.9.4.11 Restrictive Status Report Completion	- Please Select One Option -
The ability to allow the completed Restrictive Status Report to be stored with the recommendations along with staff titles, electronic signatures and date signed.	
2.9.4.12 Notification for Restrictive Status Report Finalized	- Please Select One Option -
The ability to send a notification to appropriate staff once the Director of OCPM has authorized or denied an offender for CD placement.	
2.9.4.13 Update Offender's Discipline Score and Update Special Management Descriptive Text	- Please Select One Option -
If an offender is authorized for CD, then the ability to finalize an offender's Discipline Risk Score to 4 and Overall to 4, at the Directors Level, and add the Chronic Discipline Special Management Descriptive Text noting the CD Status.	

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<p>2.9.4.14 Complete Restrictive Status Notification of Decision form</p>	<p>- Please Select One Option -</p>
<p>The ability to generate the Restrictive Status Notification of Decision Form with the offender's name, number, current housing, date, approval date and which specific status that he/she was reviewed for.</p>	
<p>2.9.4.15 Notification for Completion of Restrictive Status Notification of Decision Form</p>	<p>- Please Select One Option -</p>
<p>The ability to interface with the Offender Housing Module to send the Completed Restrictive Status Notification of Decision form to the appropriate staff where the offender is currently housed for delivery to the offender for signature.</p>	
<p>2.9.4.16 Scan in signed completed Restrictive Status Notification of Decision form.</p>	<p>- Please Select One Option -</p>
<p>The ability to allow staff to scan the signed Restrictive Status Notification of Decision form.</p>	
<p>2.9.4.17 Storage of Signed Restrictive Status Notification of Decision form.</p>	<p>- Please Select One Option -</p>
<p>The ability to display with a print option the signed Restrictive Status form.</p>	
<p>2.9.4.18 Notification for Review for Release from CD Status</p>	<p>- Please Select One Option -</p>
<p>The ability to notify classification staff, when an offender has completed a specified time frame in the CD program.</p>	
<p>2.9.4.19 CD Release Request</p>	<p>- Please Select One Option -</p>
<p>The ability to display, update, change and store the staff member names, titles with electronic signatures and recommendations for release of offenders from CD status. The system shall generate a Restrictive Status Report form requesting the release from CD.</p>	
<p>2.9.4.20 Notification within the Facility that an CD release has been initiated</p>	<p>- Please Select One Option -</p>

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The ability to send a notification to appropriate staff (within the facility) advising them that a request has been initiated to release an offender from CD status.	
2.9.4.21 Notification OCPM staff that the facility has requested a CD release	- Please Select One Option -
The ability to send a notification to OCPM staff advising them that the facility completed the memo and the restrictive status report on-line to request an offender to be released from CD status.	
2.9.4.22 Notification to the Facility that a CD decision has been made	- Please Select One Option -
The ability to send a notification to the facility notifying appropriate staff that the Director of OCPM has authorized an offender to be released, denied or continued on CD status.	
2.9.4.23 Interface with Offender Movements and Transfers System	- Please Select One Option -
If an offender is authorized for CD release and meets eligibility to transfer to another facility, then the ability to interface with the Offender Movements and Transfers System to add an offender to be transferred out of the facility. The ability to remove the Special Management Descriptive Text noting the CD status.	
Vendor Comments:	

2.9.5 Special Needs (SN)

An offender may be reviewed for SN if they have demonstrated behavioral qualities either through the serious nature of their crime, behavior, or through reasonable belief that they pose a threat to the safety and security of staff, other offenders, themselves, or to the public.

DOC Requirements	Vendor Responses
2.9.5.1 SN Placement Request	- Please Select One Option -

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<p>The ability to allow staff to initiate a Special Needs review. This includes an area for staff to list the reasons for review and include the offender's name, number and current housing location, staff member's name, title, electronic signature, facility location, date and time of the request.</p>	
<p>2.9.5.2 SN Placement Request Notification</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to the Offender Classification and Population Management (OCPM) staff, the Deputy Commissioner and the Director of Psychiatric that a request to review an offender for SN has been initiated.</p>	
<p>2.9.5.3 SN Interface with Offender Association and Intelligence</p>	<p>- Please Select One Option -</p>
<p>The ability to interface with the Offender Association and Intelligence System to retrieve, display and print incident reports.</p>	
<p>2.9.5.4 Notification of Hearing Form (CN9402)</p>	<p>- Please Select One Option -</p>
<p>The ability to generate the Notification of Hearing form with the offenders' name, number and current housing location. The ability to keep a history of this form and track the name, title, and location of the person completing the Notification of Hearing Form.</p>	
<p>2.9.5.5 SN Notification of Hearing Form Notification</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to designated staff at the offenders' current facility, to print the completed form for delivery to the offender for review and signature.</p>	
<p>2.9.5.6 Scan signed copy of Notification of Hearing Form</p>	<p>- Please Select One Option -</p>
<p>The ability to allow the signed Notification of Hearing form scanned into the system and store the form.</p>	
<p>2.9.5.7 Notification of Scan signed copy Notification of Hearing Form</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to OCPM staff that the signed copy of Notification of Hearing form was scanned in and available to be viewed and printed if needed.</p>	
<p>2.9.5.8 Notification for SN Hearing</p>	<p>- Please Select One Option -</p>

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Conflict	
The ability to Interface with Offender Scheduling to alert any conflicts with the scheduled S/N hearing.	
2.9.5.9 SN Hearing	- Please Select One Option -
The ability to track and record the staff that attended the SN hearing, date, time and the escorting staff.	
2.9.5.10 Generate the Restrictive Status Report	- Please Select One Option -
The ability to generate the Restrictive Status Report with information from the Notification Hearing Form and related information from the SN hearing.	
2.9.5.11 Restrictive Status Report Completion	- Please Select One Option -
The ability to allow the Restrictive Status Report to be edited and record the recommendations, with electronic signatures, along with staff titles and date signed.	
2.9.5.12 Notification for Restrictive Status Report Finalized	- Please Select One Option -
The ability to send a notification to appropriate staff once the Director of OCPM has authorized or denied an offender for SN placement.	
2.9.5.13 Update Offender's Overall and Special Management Descriptive Text	- Please Select One Option -
If an offender is authorized for SN, then the ability to increase or decrease an offender's Overall Score to 4 and add the Special Needs Special Management Descriptive Text from a drop down menu.	
2.9.5.14 SN Release Request	- Please Select One Option -
The ability to display, edit and store the staff member names, titles with electronic signatures and recommendations for release of offenders from S/N status.	
2.9.5.15 Notification within the Facility that an S/N release has been initiated	- Please Select One Option -

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The ability to send a notification to appropriate staff (within the facility) advising them that a request have been initiated to release an offender from S/N status.	
2.9.5.16 Notification OCPM staff that the facility has requested an S/N release	- Please Select One Option -
The ability to send a notification to OCPM staff advising them that the facility has requested an offender to be released from S/N status.	
2.9.5.17 Notification the Facility that an S/N decision has been made	- Please Select One Option -
The ability to send a notification to the facility notifying appropriate staff that the Director of OCPM has authorized, denied or continued an offender on SN status.	
2.9.5.18 Interface with Offender Movements and Transfers System	- Please Select One Option -
The ability to interface with the Offender Movements and Transfers System to add an offender to be transferred out of the facility, if authorized for SN release, and meets eligibility to transfer to another facility.	
Vendor Comments:	

2.9.6 High-Security (HS)

Offenders may be reviewed for HS status if they are considered to pose a threat to the safety and security of the facility, staff, offenders or the public. These offenders need an increase in supervision within the facility. Offenders that are on HS status are Overall Level 4 or 5. Some of the reasons to be reviewed for HS include Hostage Taking, Threats of Escape, Attempted Escape, Military experience, former Locksmith, etc.

DOC Requirements	Vendor Responses
2.9.6.1 Generate HS Offender Form	- Please Select One Option -

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The ability to generate a HS Offender Form with the offender name, number, facility and housing assignment.	
2.9.6.2 HS Placement Request	- Please Select One Option -
The ability to display, update, edit, and store HS requests	
2.9.6.3 HS Placement Request Notification to OCPM staff and Director of Security	- Please Select One Option -
The ability to send a notification to OCPM staff and the Director of Security that a Unit Administrator or Designee has approved a recommendation for an offender to be managed on HS.	
2.9.6.4 Director Of OCPM Review Notification	- Please Select One Option -
The ability to send a notification to the Director of OCPM, if OCPM staff agrees to proceed with the HS review.	
2.9.6.5 Notification of Decision by Director of OCPM	- Please Select One Option -
The ability to send a notification to OCPM staff, requesting facility staff and the Director of Security once the Director of OCPM authorizes or denies an offender to be managed on HS.	
2.9.6.6 Generate the Notification of Decision Form	- Please Select One Option -
The ability to generate the Notification of Decision Form,	
2.9.6.7 Update Offender's Overall and Special Management Descriptive Text	- Please Select One Option -
If an offender is authorized for HS, then the system shall be able to increase an offender's Overall Score to 4 and add the High-Security Special Management Descriptive Text from a drop down menu.	
2.9.6.8 HS Release Request	- Please Select One Option -

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The ability to display, edit and store the staff member names, titles with electronic signatures and recommendations for release of offenders from HS status.	
2.9.6.9 Notification within the Facility that an HS release has been initiated	- Please Select One Option -
The ability to send a notification to appropriate staff (within the facility) advising them that a request has been initiated to release an offender from HS status.	
2.9.6.10 Notification to Director of Security that the facility has requested a HS release	- Please Select One Option -
The ability to send a notification to the Director of Security that the facility has requested an offender to be released from HS status.	
2.9.6.11 Notification to OCPM staff that the facility and Director of Security has requested an HS release	- Please Select One Option -
The ability to send a notification to OCPM staff advising them that the facility and the Director of Security have requested an offender to be released from HS status.	
2.9.6.12 Notification to the Director of OCPM that OCPM staff proceeds with a HS release request	- Please Select One Option -
The ability to send a notification to the Director of OCPM that OCPM staff wants to proceed with a HS release request initiated and approved from the facility, in conjunction with the Director of Security.	
2.9.6.13 Notification to the Facility and Director of Security that an HS release decision has been made	- Please Select One Option -
The ability to send a notification to the facility and Director of Security notifying the appropriate staff that the Director of OCPM has either authorized, denied or continued an offender on HS status.	
2.9.6.14 Update HS Special Management Descriptive Text if authorized for HS release	- Please Select One Option -

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<p>If an offender is authorized for HS release, then the ability to remove the HS special management descriptive text from the offenders' special management descriptive texts.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.9.7 Special Monitoring Status (SM)

An offender upon completion of a special management program (i.e., Administrative Segregation, Chronic Discipline, Security Risk Group Program, or Special Needs Management), who has been identified as a safety and security concern or any offender who transfers from Northern CI shall be placed on Special Monitoring status as determined by the Unit Administrator. If approved for Special Monitoring status, the Unit Administrator shall authorize the appropriate special management descriptive text for the offender.

DOC Requirements	Vendor Responses
<p>2.9.7.1 SM Automatic Designation and Update Special Management Descriptive Text</p>	<p>- Please Select One Option -</p>
<p>If an offender is released from a Special Management program or transferred out of Northern Correctional Institution, then the ability to update the Special Management Descriptive Text to add reflect the Special Monitoring designation from a drop down menu. The only exception to this rule is if the offender is already designated as a High-Security Offender.</p>	
<p>2.9.7.2 Generate Notification of SM status Form</p>	<p>- Please Select One Option -</p>
<p>The ability to generate the Notification of SM status form with the offenders name, number, facility, housing and date.</p>	
<p>2.9.7.3 Schedule Meeting with Offender that is Initially Designated SM status</p>	<p>- Please Select One Option -</p>
<p>The ability to schedule a meeting for the offender to meet with the facility Counselor Supervisor of Classification, the Deputy Warden of Operations, and the Unit Manager/Supervisor of the assigned unit (where applicable) and any other staff as determined by the Unit Administrator.</p>	

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<p>2.9.7.4 Print the Notification of SM status Form</p>	<p>- Please Select One Option -</p>
<p>The ability to print the Notification of SM status form to allow the offender to sign the form.</p>	
<p>2.9.7.5 Scan and Store Signed Notification of SM status Form</p>	<p>- Please Select One Option -</p>
<p>The ability to allow the signed Notification of SM status form to be scanned and stored for future reference.</p>	
<p>2.9.7.6 Generate the SM Review Form</p>	<p>- Please Select One Option -</p>
<p>The ability to generate the SM review form with the offenders name, number, facility, date and housing location.</p>	
<p>2.9.7.7 Notification to the Deputy Warden of Operations</p>	<p>- Please Select One Option -</p>
<p>The ability to send the completed SM review form to the Deputy Warden of Operations for review.</p>	
<p>2.9.7.8 Notification to Warden, or Designee, of recommendation for removal was initiated</p>	<p>- Please Select One Option -</p>
<p>The ability to send a notification to the Warden, or designee, that the Unit Manager/Supervisor has recommended an offender to be removed from SM status.</p>	
<p>2.9.7.9 Record Warden, or Designee, of Decision</p>	<p>- Please Select One Option -</p>
<p>The ability to record, store and display the decision from the Warden, or Designee, to include the time and date of decision with electronic signatures.</p>	
<p>2.9.7.10 Update SM Special Management Descriptive Text</p>	<p>- Please Select One Option -</p>
<p>If the Warden, or Designee, approves the release of an offender from SM status, then the ability to remove the SM Special Management Descriptive Text.</p>	
<p>2.9.7.11 Notify Facility Staff of Decision of release/continuation on SM</p>	<p>- Please Select One Option -</p>

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status	
The ability to notify facility staff that the Warden, or designee, has made a decision to release an offender from SM status.	
Vendor Comments:	

3. Report and Query Requirements

DOC Requirements	Vendor Responses
<p>3.1 Initial Classification Report</p> <p>The ability to produce a report to list all offenders that received an Initial Intake Classification review at a user defined date or date range. This report should include the offenders' name, number, and housing location, staff that reviewed and finalized the classification risk and need scores and date of finalization.</p>	- Please Select One Option -
<p>3.2 Initial Classification Complete Query</p> <p>The ability to produce a query of offenders that have not received their initial classification intake finalized within the previous two business days. This query should include the offenders' name, number, housing location and date of transfer to facility.</p>	- Please Select One Option -
<p>3.3 Initial Classification Committee Report</p> <p>The ability to produce a report for all offenders that have recently transferred into the facility, within a user defined period, which need to attend the Classification Committee Meeting. This report should include the offenders' name, number, housing location, date transferred to facility, and date of scheduled meeting.</p>	- Please Select One Option -
<p>3.4 Classification Meeting Report Print Flexibility</p>	- Please Select One Option -

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<p>The ability to produce a flexible agenda setup report. Users shall have the option to list what information they want to appear on the agenda (e.g., any or all of the offender's name, number, location and type of review or other data elements may print on one type of published agenda list). The setup report shall list different information for different issues (e.g., certain additional information will be listed if the appearance is for a transfer request, and different information may be listed if the appearance is for a disciplinary infraction).</p>	
<p>3.5 Regular Review Classification Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that require a Regular Review (biannually or annually) within a user defined period. This query should include the offenders' name, number, housing location, and date of previous review, date of regular review required and date of transfer to facility.</p>	
<p>3.6 Level Reduction Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that require a Level Reduction review within a user defined period. This query should include the offenders' name, number, and housing location, date of Level Reduction Eligibility and date of transfer to facility.</p>	
<p>3.7 Transitional Supervision Early Release Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that require a Transitional Supervision Early Release Review (serving 2 years or less) within a user defined period. This query should include the offenders' name, number, and housing location, date of Transitional Supervision Early Release Eligibility and date of transfer to facility.</p>	
<p>3.8 Halfway House Early Release Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that require a Halfway House Early Release Review (within 18 months of End of Sentence or Voted to Parole Date) within a user defined period. This query should include the offenders' name, number, and housing location, date of Halfway House Early Release Eligibility and date of transfer to facility.</p>	
<p>3.9 Administrative Segregation Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that have been authorized for Administrative Segregation placement. This query should include the offenders' name, number, housing location, facility location, and date of</p>	

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placement on A/S.	
3.10 Chronic Discipline Query	- Please Select One Option -
The ability to produce a query of offenders that have been authorized for Chronic Discipline placement. This query should include the offenders' name, number, housing location, facility location, and date of placement on CD.	
3.11 Special Needs Query	- Please Select One Option -
The ability to produce a query of offenders that have been authorized for Special Needs placement. This query should include the offenders' name, number, housing location, facility location, and date of placement on SN.	
3.12 Special Monitoring Query	- Please Select One Option -
The ability to produce a query of offenders that have been authorized for Special Monitoring placement. This query should include the offenders' name, number, housing location, facility location, and date of placement on SM.	
3.13 Security Risk Group Affiliation Query	- Please Select One Option -
The ability to produce a query of offenders that have been designated as a Security Risk Group Member and Security Risk Group Threat Member. This query should include the offenders' name, number, housing location, facility location, gang affiliation and date of designation.	
3.14 Administrative Segregation Release Query	- Please Select One Option -
The ability to produce a query of offenders that have been released from Administrative Segregation placement within a user defined time. This query should include the offenders' name, number, housing location, facility location, and date of release from A/S.	
3.15 Chronic Discipline Release Query	- Please Select One Option -
The ability to produce a query of offenders that have been released from Chronic Discipline placement within a user defined time. This query should include the offenders' name, number, housing location, facility location, and date of release from CD.	
3.16 Special Needs Release Query	- Please Select One Option -
The ability to produce a query of offenders that have been released from Special Needs placement within a user defined time. This query should include the offenders' name, number, housing location, facility location, and date of release from SN.	
3.17 Security Risk Group Renunciation Query	- Please Select One Option -

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<p>The ability to produce a query of offenders that have renounced their affiliation as a Security Risk Group Member and Security Risk Group Threat Member. This query should include the offenders' name, number, housing location, facility location, gang affiliation and date of renunciation.</p>	
<p>3.18 Special Monitoring Release Query</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a query of offenders that have been released from Special Monitoring placement within a user defined time. This query should include the offenders' name, number, housing location, facility location, and date of release from SM.</p>	
<p>3.19 Query Classification Checks</p>	<p>- Please Select One Option -</p>
<p>The ability to measure objective classification results. For example, the system shall have the ability to display the number or percentage of offenders who fail in minimum custody status by overall classification score and also provide percentages for the scores of the same offenders on individual scoring elements.</p>	
<p>3.20 Query Checks</p>	<p>- Please Select One Option -</p>
<p>The ability to retrieve and display all queries generated for look-ups of any charge, risk score, need score, special management descriptive text and any other pertinent classification transaction.</p>	
<p>3.21 Pending Classification Review Checks</p>	<p>- Please Select One Option -</p>
<p>The ability to search classification requests based on the contents of any data field, and shall (on request) be able to limit the search to outstanding classification review requests.</p>	
<p>Vendor Comments:</p>	
<p></p>	

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Movements and Transfers Requirements

The application will be used to process all external and internal moves. Body receipts (transfers), daily movement sheets (work, medical, disciplinary and programs) and scheduled movements (release from segregation or closed custody programs, etc.) will also be tracked.

Note: The current transfer program draws from multiple classification, records and disciplinary screens.

The ability to inquire, add and change requests related to the transfer/movement of offenders to include institutional work, programs, and housing assignments. The ability to show current and historical data with a retrieval mechanism on all transactions for offender's with-in CTDOC jurisdiction to include classification, records, medical/mental health, disciplinary, location, profile/separation, and SRG information.

1. General Requirements

1.1 Critical Ability Functions

- 1.1.1 External Facility Transfers
- 1.1.2 Internal Facility Movement
- 1.1.3 Court Trip Tracking and History
- 1.1.4 Medical Trip Tracking and History
- 1.1.5 Interstate / International Transfers
- 1.1.6 Extraditions
- 1.1.7 Escape

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply.

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking
- 1.3.2 Property Management
- 1.3.3 Housing Requirements
- 1.3.4 Offender Event Schedule, Calendar, Alerts
- 1.3.5 Sentencing and Time Calculation
- 1.3.6 Classification and Assessment
- 1.3.7 Population Management
- 1.3.8 Violation and Disciplinary Action
- 1.3.9 Offender Associations and Intelligence
- 1.3.10 Visitation
- 1.3.11 Program and Activities
- 1.3.12 Offender Banking and Restitution
- 1.3.13 Pre Release Processing

2. Functional Requirements

2.1 External Facility Transfers

A staff member enters a request to transfer an offender from their current facility to another facility by entering the offender's number into the program. A staff member could request a transfer due to several reasons such as security issues, medical or mental health concerns, assessment, court, new information received or Risk/Need/Overall score changes. The offender transfer request is reviewed using the above data based searches and is either authorized, denied, or continued by the Offender Classification and Population Management (OCPM) staff. OCPM will review the

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request to determine if the transfer is warranted and if a bed is available, they will authorize the offender transfer. OCPM staff schedules the transfer by notifying the requesting facility, the receiving facility and the Correctional Transportation Unit (CTU) supplying the offender name, number, current facility, staff name requesting the transfer, OCPM staff name authorizing the transfer and reason for transfer. The ability to match an offender's assigned or recommended overall level based on the objective classification score with the availability of the appropriate security level of housing (maximum, medium, minimum, restrictive housing etc.), the appropriate institutional or unit criteria (e.g., assignment of minimum status may not guarantee eligibility for all minimum units based on their unique criteria), and other factors.

DOC Requirements	Vendor Response
2.1.1. Suggested Offender Transfer Candidate	- Please Select One Option -
The ability to list appropriate transfer candidates based on certain criteria such as offender classification completion, mental health and medical information, profile/separation, special management concerns. The ability to allow for manual transfer request.	
2.1.2 Profile/Separation Review	- Please Select One Option -
The ability to review profile/separation information and list appropriate transfer locations.	
2.1.3 Suggested Offender Locations	- Please Select One Option -
The ability to list appropriate transfer locations based on the inmate's classification scores and the set criteria of the facilities.	
2.1.4 Disciplinary Review	- Please Select One Option -
The ability to review disciplinary sanctions and the number of disciplinary reports. If sanctions have not been completed, an alert is to be sent to the requesting facility and OCPM. If the number and type of disciplinary reports meet or exceed classification requirements, an alert to be sent to the requesting facility and OCPM.	
2.1.5 Movement Reason	- Please Select One Option -
The ability to record and track the reasons for the movements. The ability to also record the staff member making the request including staff title, date and time of request.	
2.1.6 Eligibility Review	- Please Select One Option -
The ability to review the offender classification for level reduction or community release eligibility. If found that an offender is eligible and review has not been completed, an alert to be sent to the requesting facility and OCPM.	
2.1.7 Close Assignments	- Please Select One Option -

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<p>The ability to automatically close the current program, work and/or education assignments when an offender is transferred to a new facility.</p>	
<p>2.1.8 Authorization Form</p>	<p>- Please Select One Option -</p>
<p>The ability to produce on-line movement authorization form for each offender. The forms to be auto-filled with information from the database with the user being able to input additional information. Users require the ability to display or print the form, which can be used as a body receipt.</p>	
<p>2.1.9 Photo Application</p>	<p>- Please Select One Option -</p>
<p>The ability to integrate imaging technology into the offender movement application so that the technology may be utilized to store and retrieve the photo on-line in order to assist with positive identification.</p>	
<p>2.1.10 Notification of Transfer to Staff</p>	<p>- Please Select One Option -</p>
<p>The ability to generate notification of scheduled transfers to institution staff.</p>	
<p>2.1.11 Hold placed on Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for holds to be placed on transfers at any step in the process.</p>	
<p>2.1.12 Transfer Memo</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a transfer memo by department, unit, or institution based on scheduled movements.</p>	
<p>2.1.13 Admissions, Releases, and Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to inquire by department, institution, unit, parole office, or "out of count status" locations, all admissions, releases and transfers within a user specified time period. The ability to display the max release date for each offender being moved.</p>	
<p>2.1.14 Transfer Updates</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for transfer request editing and/or cancellation.</p>	
<p>2.1.15 Prioritize Transfer</p>	<p>- Please Select One Option -</p>

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<p>The ability to record and prioritize offender movement requests with override capability (e.g. medical priority over classification).</p>	
<p>2.1.16 Intelligence Alerts</p>	<p>- Please Select One Option -</p>
<p>The ability to alert users when a scheduled movement would create an inadvertent release, profile/separation or intelligence conflict through an interface with the Records, Security Division and Classification applications.</p>	
<p>2.1.17 Schedule Conflicts</p>	<p>- Please Select One Option -</p>
<p>The ability to schedule offenders according to user defined priorities, resolving any individual conflicts by rescheduling in the next available time periods.</p>	
<p>2.1.18 Emergency Schedules</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for emergency scheduling of offenders in the event of a disturbance.</p>	
<p>2.1.19 Movements to/from Community Release Centers</p>	<p>- Please Select One Option -</p>
<p>The ability to accurately track and record movements to and from a community release center; specifically, returns from community release centers to facilities or hospitals. Users also need fields to identify an offender who have previously been assigned to a community release program. Movement to update these fields to the community release center. The ability to track offender movement between parole officers/offices and community supervision.</p>	
<p>2.1.20 Returns from Community Release</p>	<p>- Please Select One Option -</p>
<p>The ability to record the reason for a non-disciplinary community release failure or return. The ability to automatically post community release failures to the Classification Committee agenda.</p>	
<p>2.1.21 Escape Returns</p>	<p>- Please Select One Option -</p>
<p>The ability to send an alert to classification, security division, victim services and records when an offender is returned from escape status.</p>	
<p>2.1.22 Temporary Return from Community Release</p>	<p>- Please Select One Option -</p>
<p>The ability to temporarily house community supervision offenders and offenders scheduled for medical appointment within an institution and produce appropriate notification.</p>	

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<p>2.1.23 Offender Property</p> <p>The ability to provide a method for flagging and tracking when an offender has property to be moved.</p>	<p>- Please Select One Option -</p>
<p>2.1.24 Interface with Trust Fund Accounting and Offender Payroll Applications</p> <p>The ability to interface with the Trust Fund Accounting and Offender Payroll applications so that data concerning external movements and transfers will be passed to the offender trust fund accounting application. When a transfer is approved in the offender movement application it will automatically trigger the offender trust fund accounting transfer process.</p>	<p>- Please Select One Option -</p>
<p>2.1.25 Transfer of Offender without physical movement.</p> <p>The ability to allow for transfer of offender without a body (e.g. Offender is in the hospital but supervision re-assigned to another facility).</p>	<p>- Please Select One Option -</p>
<p>2.1.26 Special Management Transfers</p> <p>The ability to identify offenders that have special management classification. (High Security, Administrative Segregation, Protective Custody, Security Risk Groups, Chronic Discipline, Special Needs and Special High Security Transfer status).</p>	<p>- Please Select One Option -</p>
<p>2.1.27 Transfer Request Audit Trail</p> <p>The ability to record the user, date and time of the person making the transfer request.</p>	<p>- Please Select One Option -</p>
<p>2.1.28 Holdovers</p> <p>The ability to make a provision for recording interruptions in trips in which offenders are held in a transfer area for routing across regions or placed in "holdover" cells when the trips cannot be completed during the day.</p>	<p>- Please Select One Option -</p>
<p>2.1.29 Trip Tickets</p> <p>The ability to generate a vehicle-specific trip ticket that includes all the information that is on the schedule for that vehicle plus space for the custody officers to add any problems that were encountered on the trip.</p>	<p>- Please Select One Option -</p>
<p>2.1.30 Access Requests</p> <p>The ability to access requests or authorizations for transportation for any specific past, current or future date or time by offender, vehicle, location where transportation was/will initiate, destination where transportation was/will</p>	<p>- Please Select One Option -</p>

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terminate and name of person requesting transportation.	
2.1.31 Display Schedule	- Please Select One Option -
The ability to inquire into any past, current or future scheduled events for any offender at any site by offender name or offender number, date and time.	
Vendor Comments:	

2.2 Internal Facility Movement

An internal facility movement is initiated for several reasons such as recreation, meals, work, programs, visits, medical or mental health visits, housing reassignment, disciplinary hearings, etc. A staff may initiate a one-time movement request or a scheduled movement event. In each case, an alert will be sent to the housing unit to request a release of the offender or offenders at a designated date and time. If required, the ability will have the option to generate a hall pass to allow the offender clearance to the requested area.

DOC Requirements	Vendor Response
2.2.1 Multiple Same Day Movements	- Please Select One Option -
The ability to record an unlimited number of movements per offender on the same day.	
2.2.2 Summary Information	- Please Select One Option -
The ability to generate summary information of all new arrivals, departures, internal movements, and change in bed assignments (Daily Movement Summary).	
2.2.3 Progress Notes	- Please Select One Option -
The ability to post all movements to progress notes through an interface with the Offender Classification application.	
2.2.4 Multiple Views	- Please Select One Option -
The ability to maintain and access an established schedule in multiple views for a specific event.	
2.2.5 Movement History	- Please Select One Option -

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<p>The ability to record the offender transfer movement including assigned location and previous location, date, time, and reason of movement (e.g. transfer-in, medical, court).</p>	
<p>2.2.6 Movement History Retrieval</p>	<p>- Please Select One Option -</p>
<p>The ability to display an offender's previous movement for a specified time or period of time. The display screen to include the offender name, housing institution, housing unit, cell and bed, dates and time of movement, reason and destination of movement.</p>	
<p>2.2.7 Work and Program Assignments</p>	<p>- Please Select One Option -</p>
<p>The ability to access work and program assignments through an interface with the Offender Classification Application.</p>	
<p>2.2.8 Education Assignments</p>	<p>- Please Select One Option -</p>
<p>The ability to record and track educational program assignment and attendance records. Currently, the school maintains these records.</p>	
<p>2.2.9 Pass Creation</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a hall pass to allow the offender clearance to the requested area.</p>	
<p>2.2.10 Refusal to Comply with Scheduled Movements</p>	<p>- Please Select One Option -</p>
<p>The ability to record no shows or refusals to appear for a scheduled movement (e.g., medical appointments, work, school, etc.). This will include the ability to access records of no shows for work assignments to flag the offender payroll application.</p>	
<p>2.2.11 Recurring Movements</p>	<p>- Please Select One Option -</p>
<p>The ability to record recurring individual and group movements such as meals, recreation, etc.</p>	
<p>2.2.12 Special Movement Logs</p>	<p>- Please Select One Option -</p>
<p>The ability to create and maintain special movement logs on individual offenders. At times, special logs to be maintained for individual special case offenders. For example, a judge may order that an offender on death row be afforded the opportunity to see his attorney or paralegal every day. The Department is required to maintain a daily log and to document reasons when legal access is not available or when the offender does not</p>	

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take advantage of it.	
2.2.13 Movement Holds	- Please Select One Option -
The ability to allow for holds to be placed on movements at any step in the process.	
2.2.14 Suspend Scheduled Movements	- Please Select One Option -
The ability to suspend all movements for counts, lockdowns, etc. The reason for the suspension and a description will be automatically noted for each offender on the schedule for that time. Once the suspension is cleared, the schedule will be recalculated and reactivated.	
2.2.15 Ability-wide Movement	- Please Select One Option -
The ability to inquire by department, institution unit, parole office, any movements for a specific date, time or time period.	
2.2.16 Track Work Release Movements	- Please Select One Option -
The ability to track movements to and from work release programs, staff assigned and the hours the offender is supposed to work.	
2.2.17 Movement Types	- Please Select One Option -
The ability to define types of movement for each event that may take place (e.g., work, school, medical, etc.).	
2.2.18 Group Movements	- Please Select One Option -
The ability to record group movements. Users to enter these movements by offender or unit.	
2.2.19 Emergency Movements	- Please Select One Option -
The ability to record and track emergency and unscheduled movements, including the time and location of the emergency move and the time of return to the previous location.	
2.2.20 Audit Trail	- Please Select One Option -
The ability to automatically fill in the user name, title, location and ID and the date of the movement. The audit trail information to be available upon request.	
2.2.21 Generate documentation for Restrictive Housing Unit Orders	- Please Select One Option -

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The ability to allow for recording and generating supporting documentation for the due process related to Restrictive Housing status.	
2.2.22 Retrieve Digitized Photo	- Please Select One Option -
The ability to retrieve a digitized photograph, on a terminal, of an offender when he/she passes through a control point.	
2.2.23 Special Management Alerts	- Please Select One Option -
The ability to receive an alert from classification when an offender has been approved under Special Management status for transfer.	
2.2.24 Special Management	- Please Select One Option -
The ability to identify offenders that have special management classification. (High Security, Administrative Segregation, Protective Custody, Security Risk Groups, Chronic Discipline, Special Needs and Special High Security Transfer status).	
Vendor Comments:	

2.3 Court Trip Tracking and History

When an offender has a scheduled court date, records staff will enter the future court date into the system. The system will automatically approve the court movement for the specified court date. Offender Classification and Population Management (OCPM) will review and may re-assign the court appearance transfer. When the review is complete, OCPM will notify all the facilities and the Correctional Transportation Unit (CTU) that the finalized court transfer list is available for a specified date. The ability to keep a history of an offender's court appearance.

DOC Requirements	Vendor Response
2.3.1 Receipt of Court Date	- Please Select One Option -
The ability to schedule an offender movement request based on the recording of a court date.	
2.3.2 Automatic Scheduling	- Please Select One Option -
The ability to automatically initiate the court movement based on the scheduled pending court date.	
2.3.3 OCPM Override Capabilities	- Please Select One Option -

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The ability to review and override the movement of any pending court date.	
2.3.4 Alert for Conflicts	- Please Select One Option -
The ability to review offenders that have a profile/separation with other offenders or staff. The ability to send an alert to the requesting facility staff and CTU of any conflicts with an offender that has a pending court movement.	
2.3.5 Facility Notification	- Please Select One Option -
OCPM will send notification of the authorized court transfer list to appropriate staff (Facility & CTU).	
2.3.6 Authorization Form	- Please Select One Option -
The ability to produce on-line movement authorization forms for each offender. The forms to be auto-filled with information from the database with the user being able to input additional information. Users require the ability to display or print the form, which can be used as a body receipt.	
2.3.7 Photo Application	- Please Select One Option -
The ability to integrate imaging technology into the offender movement application. The technology may be utilized to store and retrieve the photo on-line in order to assist with positive identification.	
2.3.8 Retrieve Digitized Photo	- Please Select One Option -
The ability to retrieve a digitized photograph, on a terminal, of an offender when he/she passes through a control point.	
2.3.9 Court Tracking	- Please Select One Option -
The ability to record the court location, transporting unit (CTU, Judicial Marshal or Facility Trip), date, time left, time readmitted and charges listed with bond amount.	
2.3.10 Court Return	- Please Select One Option -
The ability to produce a return court transfer list of offenders returning from a court appearance for a specified date.	
2.3.11 Special Management Transfers	- Please Select One Option -
The ability to identify offenders and notify appropriate staff of offenders with a special management classification. (High Security, Administrative Segregation, Protective Custody, Security Risk Groups, Chronic	

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Discipline, Special Needs and Special High Security Transfer status)	
2.3.12 Tracking Offender Locations	- Please Select One Option -
The ability to track an offender's location.	
Vendor Comments:	

2.4 Medical Trip Tracking and History

When an offender has a scheduled medical appointment, appropriate staff will enter the date into the system. The system will automatically approve the medical trip for the specified date. Offender Classification and Population Management (OCPM) will review and may re-assign the medical trip. When the review is complete, OCPM will notify all the facilities and the Correctional Transportation Unit (CTU) that the finalized medical trip list is available for a specified date. The ability to be able to keep a history of an offender's medical trip.

DOC Requirements	Vendor Response
2.4.1 Automatic Approval	- Please Select One Option -
The ability to automatically approve the medical trip for the specified date.	
2.4.2 Automatic Notification	- Please Select One Option -
The ability to notify the facility when an offender is about to attend a scheduled medical appointment and to initiate proper paperwork.	
2.4.3 OCPM Override Capabilities	- Please Select One Option -
The ability to review and override any movement.	
2.4.4 Alert for Conflicts	- Please Select One Option -
The ability to review offenders that have a profile/separation with other offenders or staff. The ability to send an alert to staff of any conflicts.	
2.4.5 Facility Notification	- Please Select One Option -

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<p>OCPM will send notification of the authorized medical transfer list via interface with appropriate staff (Facilities & CTU).</p>	
<p>2.4.6 Authorization Form</p>	<p>- Please Select One Option -</p>
<p>The ability to produce on-line movement authorization forms for each offender. The forms to be auto-filled with information from the database with the user being able to input additional information. Users require the ability to display or print the form, which can be used as a body receipt.</p>	
<p>2.4.7 Photo Application</p>	<p>- Please Select One Option -</p>
<p>The ability to integrate imaging technology into the offender transfer and movement application so that the technology may be utilized to store and retrieve the photo on-line in order to assist with positive identification.</p>	
<p>2.4.8 Retrieve Digitized Photo</p>	<p>- Please Select One Option -</p>
<p>The ability to retrieve a digitized photograph, on a terminal, of an offender when he/she passes through a control point.</p>	
<p>2.4.9 Tracking</p>	<p>- Please Select One Option -</p>
<p>The ability to record the medical appointment location, transporting unit (CTU or Facility Trip), date, departure time, time returned.</p>	
<p>2.4.10 Return from Appointment</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a return medical list of offenders returning from a medical appearance for a specified date.</p>	
<p>2.4.11 Special Management Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to identify offenders and notify appropriate staff of any special management classification. (High Security, Administrative Segregation, Protective Custody, Security Risk Groups, Chronic Discipline, Special Needs and Special High Security Transfer status).</p>	
<p>Vendor Comments:</p>	
<p></p>	

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2.5 Interstate/International Transfers

Inmates can be transferred to another state or another country.

DOC Requirements	Vendor Responses
2.5.1 Store date	- Please Select One Option -
The ability to enter and store data concerning the transfer of an offender to an out of state institution. The offender number, name, movement initiated date, reason for transfer, date and time movement was completed, and whether the transfer was voluntary or non-voluntary to be recorded.	
2.5.2 Body Receipt	- Please Select One Option -
The ability to produce a body receipt for the transporting officers to sign once they take custody of the offender.	
2.5.3 Transfer review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the Interstate/International Transfers review as described in the Classification and Assessment Business Category.	
Vender Comments:	

2.6 Extraditions

Inmates can be extradited to another state to answer outstanding charges.

DOC Requirements	Vendor Responses
2.6.1 Store Data	- Please Select One Option -
The ability to enter and store data concerning extradition transfers of an offender. The offender number, name, movement initiated date, reason for transfer, date and time movement was completed, and whether the transfer was voluntary or non-voluntary to be recorded.	
2.6.2 Body Receipt	- Please Select One Option -
The ability to produce a body receipt for the transporting officers to sign once they take custody of the offender.	

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Vender Comments:

2.7 Escape

The ability to record releases in error, escapes and any related information, including the date of escape or attempt, date of apprehension, circumstances of escape and apprehension and custody status at the time of escape. Entries for escape and return from escape to automatically update the offender's custody status (change to maximum, effective on the date of escape) and by adding warrants/habeas information through interfaces with the classification and records applications.

DOC Requirements	Vendor Response
2.7.1 Escape Flyer	- Please Select One Option -
The ability to produce an escape flyer to include the offenders name, date of birth, personal demographics, and recent picture. The ability to send the flyer via e-mail to multiple agencies to include state police, fugitive recovery unit and local law enforcement.	
2.7.2 Escape Notifications	- Please Select One Option -
The ability to produce a summary notification form to include detailed information on the offender to include addresses and visiting information. This form can be sent via e-mail to multiple agencies to include state police, fugitive recovery unit and local law enforcement.	
2.7.3 Alert upon Escape	- Please Select One Option -
The ability to send an alert to the state police, security division, victim services, records, local police departments and the fugitive recovery unit when an offender is declared an escapee from a facility or a halfway house.	
2.7.4 Alert once returned from Escape	- Please Select One Option -
The ability to send an alert to classification, security division, victim services, records, and the parole office (if applicable) when an offender is returned from escape status.	
2.7.5 Alert upon Absconder status	- Please Select One Option -
The ability to send and alert to records, fugitive recovery unit, victim services and the parole office when an offender is declared absconder status.	
2.7.6 Alert once returned from Absconder status	- Please Select One Option -

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The ability to send and alert to classification, records, victim services and the parole office when an offender is returned from absconder status.	
2.7.7 Alert upon Inadvertent Release	- Please Select One Option -
The ability to send an alert to records, fugitive recovery unit, victim services and the security division when an offender is declared an inadvertent release.	
2.7.8 Alert once returned from Inadvertent release	- Please Select One Option -
The ability to send an alert to classification, security division, victim services and records when an offender is returned from inadvertent release status.	
Vendor Comments:	

3 Query and Reporting Requirements

3.1 Query Searches

The ability to allow the user to retrieve and review offender information from the offender database using the CTDOC Offender Number. Prior database information to be accessible through an archive and retrieval mechanism on all transactions for offenders within CTDOC jurisdiction.

DOC Requirements	Vendor Response
3.1.1 Incarceration	- Please Select One Option -
The ability to retrieve and review current and prior periods of incarceration.	
3.1.2 Classification	- Please Select One Option -
The ability to retrieve and review all current and prior classification data.	
3.1.3 Disciplinary	- Please Select One Option -
The ability to retrieve and review all current and prior disciplinary data.	

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<p>3.1.4 Treatment Scores</p> <p>The ability to retrieve and review all current and prior treatment score data (mental health, medical, education, alcohol / drug, vocational and sexual treatment).</p>	<p>- Please Select One Option -</p>
<p>3.1.5 Sentencing / Time</p> <p>The ability to retrieve and review all current and prior sentencing/time data.</p>	<p>- Please Select One Option -</p>
<p>3.1.6 Profile / Separation</p> <p>The ability to retrieve and review all current and prior profile / separation data.</p>	<p>- Please Select One Option -</p>
<p>3.1.7 Housing</p> <p>The ability to retrieve and review all current and prior housing data.</p>	<p>- Please Select One Option -</p>
<p>3.1.8 Transfer History</p> <p>The ability to retrieve and review all current and prior housing data.</p>	<p>- Please Select One Option -</p>
<p>3.1.9 Special Management</p> <p>The ability to retrieve and review all current and prior special management data (protective custody, security risk group, chronic discipline, special needs or administrative segregation).</p>	<p>- Please Select One Option -</p>
<p>3.1.10 Scheduling</p> <p>The ability to retrieve and review all current scheduling information.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

3.2 Reports

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DOC Requirements	Vendor Response
<p>3.2.1 Movement Schedule Summary</p> <p>The ability to produce reports for the department, an institution or unit, of any movement that is scheduled for offenders. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, profile/separation information, whether or not transportation is required, and if required, who will transport. Users to also be able to produce a transportation schedule. The schedule to include the current date (default), current time (default), pickup time, scheduled arrival times, vehicles, offenders, officers, destination where vehicle will initiate transportation, destination where vehicle will terminate transportation, and number of offenders being transported (calculated).</p>	<p>- Please Select One Option -</p>
<p>3.2.2 CTU Movement Report</p> <p>The ability to produce a report for CTU of any movement that is scheduled for a specified date. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, profile/separation information whether or not transportation is required, and if required, who will transport. Also to be able to produce a transportation schedule to include the current date (default), current time (default), pickup time, scheduled arrival times, vehicles, offenders, officers, destination where vehicle will initiate transportation, destination where vehicle will terminate transportation, total mileage scheduled, and number of offenders being transported (calculated).</p>	<p>- Please Select One Option -</p>
<p>3.2.3 Unscheduled Movement Requests</p> <p>The ability to produce reports for the department, an institution or unit, or by transporting agency, of any movement not included in the CTU Movement Report. This will include offenders that were scheduled for court appearances or movements after the Movement report was run.</p>	<p>- Please Select One Option -</p>
<p>3.2.4 Court Movement Report</p> <p>The ability to produce a report listing prior movement for any particular date or date range. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, court location, Special Management issues, housing unit, cell and bed,</p>	<p>- Please Select One Option -</p>

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profile/separation information, type of movement, date of movement, time of movement, and who transported the offender.	
3.2.5 Medical Movement Report	- Please Select One Option -
The ability to produce a report listing prior movement for any particular date or date range. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, Special Management issues, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, and who transported the offender.	
3.2.6 Facility Movement Report	- Please Select One Option -
The ability to produce a report listing prior movement for any particular date or date range. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, Special Management issues, housing unit, profile/separation information, cell and bed, location of event, type of movement, date of movement, time of movement, and who transported the offender.	
3.2.7 Vehicle Activity and Schedule	- Please Select One Option -
The ability to generate a report that lists the activity information for any vehicle during a user-specified period of time. Users to also be able to produce a schedule of each vehicle in use by the DOC for any particular date or date range.	
3.2.8 Emergency Movement Rerouting	- Please Select One Option -
For offenders in transit that cannot reach their destination due to an emergency the ability to track and identify these offenders. The ability to generate a report that lists the offenders that were rerouted due to the emergency, including offender names, numbers, emergency location, originating facility, reasons, and dates.	
3.2.9 Facility Program Movement Report	- Please Select One Option -
The ability to produce a report listing the program movement with-in the facility for any particular date or date range. At a minimum, this report to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell/bed, location of event, program title, date of movement, time of movement and issuing staff member.	
3.2.10 Profile / Separation Report	- Please Select One Option -
The ability to produce a report listing any profiles with-in the facility, institution and or departmental. This report is to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell/bed and the profiles DOC number, offender name (last, first, middle), custody level, housing	

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unit, cell/bed and or staff name.	
Vendor Comments:	

CTDOC Offender Management Information System

Population Management Requirements

The application will be used to process all transfer, court and medical movements that help manage the Housing, Sentencing & Time Calculation, and Movement & Transfers Business Categories. It will also include monitoring and auditing classification actions that deal with the Classification and Assessment Business Category.

Note: The current transfer program draws from multiple classification, records and disciplinary screens.

The ability to inquire, add, change and delete requests related to the transfer/movement of offenders. The ability to show current and historical data with a retrieval mechanism on all transactions for offender's within CTDOC jurisdiction to include classification, records, medical/mental health, disciplinary, location, transfers, profile (separation) and special management information.

The ability to inquire, add or change Institutional and/or Departmental counts based on the agencies operational procedures. The ability to use real time transfers, movements, releases or discharges for departmental and facility count. Multiple counts are taken throughout the day and to use these counts to update the system.

The ability to inquire, add, delete or change profiles that exist between offender to staff, offender to offender(s), victim notification or any pertinent information in a secured information screen. Limited access would be allowed.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Facility / Departmental Count
- 1.1.2 Special Management Reviews
- 1.1.3 External Facility Movement
- 1.1.4 Court Trip Tracking and History
- 1.1.5 Medical Trip Tracking and History
- 1.1.6 Mass Facility Transfers

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not Apply

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking
- 1.3.2 Property Management
- 1.3.3 Housing Requirements
- 1.3.4 Offender Event Schedule,Calendar,Alerts
- 1.3.5 Sentencing and Time Calculation
- 1.3.6 Classification and Assessment
- 1.3.7 Movements and Transfers
- 1.3.8 Violation and Disciplinary Action
- 1.3.9 Offender Associations and Intelligence
- 1.3.10 Visitation
- 1.3.11 Program and Activities
- 1.3.12 Offender Banking and Restitution
- 1.3.13 Pre Release Processing

2. Functional Requirements

CTDOC Offender Management Information System

2.1 Facility / Departmental Count

The ability to use real time transfers, movements, releases or discharges for Departmental and Institutional count. The count should be based on agency operational procedures. The ability to show by Department, Institutional and Community Release status the capacity and current physical count to match the agency operational specifications for all physical locations. The ability to show specific Facility Count Information by unit and each units defined housing purpose (general population, segregation, protective custody, etc..) The ability to provide electronic submission and review with electronic signature by appropriate staff.

DOC Requirements	Vendor Response
2.1.1. Count Adjustments	- Please Select One Option -
The ability to adjust the associated counts (In Count, Out Count, Departmental and Institutional Count) when an offender is moved from one location to the other.	
2.1.2 Administrative Changes	- Please Select One Option -
The ability for OCPM to make administrative changes to location codes, capacity and the criteria table to match the agency operational specifications for all physical locations.	
2.1.3 Facility Count	- Please Select One Option -
The ability to show specific Facility Count by unit and each units defined housing purpose (general population, segregation, protective custody, etc..)	
2.1.4. Bed Adjustment	- Please Select One Option -
The ability to adjust the bed count (general population, specific bed location, special management issues, etc.) when an offender is moved from one location to the other.	
2.1.5. Housing Status	- Please Select One Option -
The ability to show the bed count, current bed status (with vacancies and occupants) by each facility to users with appropriate user security.	
2.1.6 Electronic Submission	- Please Select One Option -
The ability to accept physical count data entered by institutional staff, noting the person who reports the physical count, the user who enters the physical count, and the time of entry of the count.	
2.1.7 Multiple Counts	- Please Select One Option -
The ability to support the business practice of taking multiple physical counts per day, comparing and using the physical count to update the current count within the system.	
2.1.8 Historical Collection	- Please Select One Option -
The ability to collect and store all counts for historical retrieval.	
Vendor Comments:	

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2.2 Special Management Reviews

This section for special management will include Administrative Segregation, High Security, Protective Custody, Chronic Discipline, Special Need and Profiles. The ability to allow the user to retrieve and the system to review all current and prior special management data (High security, protective custody, security risk group, chronic discipline, administrative segregation or profiles). Prior special management information should be accessible through an archive and retrieval mechanism on all transactions for offenders within CTDOC jurisdiction. The ability to provide electronic submission and review with electronic signature to appropriate staff.

2.2.1 Administrative Segregation

These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

The system's electronic submission to show the offender name, offender number and supporting information in an appropriate format.

DOC Requirements	Vendor Response
2.2.1.1. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the A/S review as described in the Classification and Assessment Business Category.	
2.2.1.2. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.1.3. Historical Collection	- Please Select One Option -
The ability to collect and store A/S Information for historical retrieval.	
Vendor Comments:	

2.2.2 Protective Custody

These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

The system's electronic submission to show the offender name, offender number and supporting information in appropriate format.

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DOC Requirements	Vendor Response
2.2.2.1. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the PC review as described in the Classification and Assessment Business Category.	
2.2.2.2. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.2.3. Historical Collection	- Please Select One Option -
The ability to collect and store Protective Custody Information for historical retrieval.	
Vendor Comments:	

2.2.3 Chronic Discipline

These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

The system's electronic submission to show the offender name, offender number and supporting information in appropriate format.

DOC Requirements	Vendor Response
2.2.3.1. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the CD review as described in the Classification and Assessment Business Category.	
2.2.3.2. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.3.3. Historical Collection	- Please Select One Option -
The ability to collect and store Chronic Discipline Information for historical retrieval.	
Vendor Comments:	

2.2.4 High Security

These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

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The system's electronic submission to show the offender name, offender number and supporting information in appropriate format.

DOC Requirements	Vendor Response
2.2.4.1. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the HS review as described in the Classification and Assessment Business Category.	
2.2.4.2. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.4.3. Historical Collection	- Please Select One Option -
The ability to collect and store High Security Information for historical retrieval.	
Vendor Comments:	

2.2.5 Special Needs

These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review.

The system's electronic submission to show the offender name, offender number and supporting information in an appropriate format.

DOC Requirements	Vendor Response
2.2.5.1. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the Special Needs review as described in the Classification and Assessment Business Category.	
2.2.5.2. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.5.3. Historical Collection	- Please Select One Option -
The ability to collect and store Special Needs Information for historical retrieval.	
Vendor Comments:	

2.2.6 Offender/Staff Profile/Separation

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These reviews are normally initiated at the facility and would be submitted to the Director of Offender Classification and Population Management for final review. Not all staff would have access to this information. Staff access would be defined by users security level.

An offender may be reviewed for Profile/ Separation for various reasons. Some of the reasons include a voluntary request such as the offender requesting to be kept separate from another offender or at an offender attorneys' request. An involuntary request could be requested due to a fight between two offenders or at a staff members' request. An emergency request could be at the States Attorneys Office request to be kept separate from a co-defendant, staff, etc.

DOC Requirements	Vendor Response
2.2.6.1. Inmate/Inmate Profile/Separation	- Please Select One Option -
The ability to provide electronic submissions and to record on-line recommendations by DOC staff members to create or remove a profile/separation status for two or more offenders. The reason for the separation, offender's name and the offender(s) to be kept separate from, staff member-making recommendation, source of information and staff inputting information shall be recorded.	
2.2.6.2. Staff/Inmate Profile/Separation	- Please Select One Option -
The system's electronic submission against staff to show the offender name, offender number, supporting information, date, employee's name, employee's number and staff inputting information.	
2.2.6.4. Profile/Separation Display	- Please Select One Option -
The ability to display the names, DOC numbers, and current locations of all profile/separation status on the offender facesheet, progress notes, and security information display.	
2.2.6.5. Employee Number	- Please Select One Option -
The ability to use the Employee Number as a means of tracking the employees facility assignment or of any change of facility.	
2.2.6.6. Electronic Review	- Please Select One Option -
The ability to provide electronic submission and review with electronic signature to appropriate staff.	
2.2.6.7. OCPM Review	- Please Select One Option -
The ability to inquire, add, change, and delete requests related to the Profile/Separation review.	
2.2.6.8. Profile/Separation History	- Please Select One Option -
The ability to collect and store information for historical retrieval.	
2.2.6.9. Staff Profile/Separation Deletion	- Please Select One Option -
The ability to delete a staff profile when an employee has ended state service.	

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2.2.6.10. Victim Notification	- Please Select One Option -
The ability to show Victim Notification status with date.	
2.2.6.11. Free Text	- Please Select One Option -
The ability to write free text.	
2.2.6.12. Access	- Please Select One Option -
Staff access would be defined by users security level.	
Vendor Comments:	

2.3 External Facility Movement

The offender transfer request is reviewed and authorized, denied, or continued by the Offender Classification and Population Management (OCPM) staff. OCPM will review the request to determine if the transfer is warranted and if so, they will authorize the offender transfer. Once a decision has been made, OCPM staff schedules the transfer by notifying the requesting facility, the receiving facility and the Correctional Transportation Unit supplying the offender name, number, current facility, staff name that requested the transfer, OCPM staff name authorizing the transfer and reason for transfer. The ability to inquire, add, change, and delete requests related to the External Transfers as described in the Movement & Transfers Business Category.

DOC Requirements	Vendor Response
2.3.1 OCPM Transfer Review	- Please Select One Option -
The ability to review all fields associated in the Movement & Transfers Business Category (E.g. priority, offender classification, special circumstances, mental health information, medical needs associations, profile/separations, ethnicity, etc.)	
2.3.2 OCPM Decisions	- Please Select One Option -
The ability to approve, continue or deny external transfers by offender or group of offenders. The ability to also record the staff members making the request and approving the request, to include their title, date and time of request.	
2.3.3. Special Transport Requirements	- Please Select One Option -
The ability to identify inmates with special transport requirements. (Medical – Inpatient or wheelchair required, Mental Health, Armed escort or additional staff required for transport, State Police escort)	
2.3.4 Cap Number to Destination	- Please Select One Option -
The ability to limit the maximum number of offenders and time frame (user defined) that	

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can be sent to a destination.	
2.3.5. Locations	- Please Select One Option -
The ability to provide a method of scheduling for trips to be made to certain user defined locations (e.g., county courts) on specific user defined days and/or times of the week.	
2.3.6. Confirm Schedule	- Please Select One Option -
The ability to confirm scheduled movements requiring transportation and produce a confirmation notice to the institutions. Institutional users will have the ability to display or print the scheduled movements on the "movement sheet" for that date. OCPM would still require the ability to add, change, or delete any additional movements, including emergencies, subsequent to the confirmation, and a new movement sheet will be automatically outputted to the unit or other affected institution when a change occurs.	
2.3.7. Authorization Form	- Please Select One Option -
The ability to print an Authorization Form when an offenders transfer is approved by OCPM. Form to print at sending facilities records department.	
Vendor Comments:	

2.4. Court Trip Tracking and History

When an offender has a scheduled court date, a mitt will be sent electronically to a record specialist to be entered using the offender number into a user interface. The system will automatically approve the court movement for the specified court date. Offender Classification and Population Management (OCPM) will review and may re-assign the court appearance transfer. When the review is complete, OCPM will notify all the facilities and the Correctional Transportation Unit (CTU) that the finalized court transfer list is available for a specified date. The ability to keep a history of court appearances. The ability to inquire, add, change and delete requests related to the Court Trip Tracking and History as described in the Movement & Transfers Business Category.

DOC Requirements	Vendor Response
2.4.1 OCPM Transfer Review	- Please Select One Option -
The ability to review all fields associated in the Movement & Transfers Business Category (E.g. priority, offender classification, special circumstances, mental health information, medical needs associations, profile/separations, ethnicity,	

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etc.)	
2.4.2 OCPM Decisions	- Please Select One Option -
The ability to approve, continue and deny court trips by offender or group of offenders. The ability to also record the staff member making the request and staff approving request, to include their title, date and time of request.	
2.4.3. Special Transport Requirements	- Please Select One Option -
The ability to identify inmates with special transport requirements. (Medical – Inpatient or wheelchair required, Mental Health, Armed escort or additional staff required for transport, State Police escort)	
2.4.4. OCPM Override Capabilities	- Please Select One Option -
The ability to review and override the movement for any pending court date.	
2.4.5. Cap Number to Destination	- Please Select One Option -
The ability to limit the maximum number of offenders and time frame (user defined) that can be sent to a destination.	
2.4.6. Locations	- Please Select One Option -
The ability to provide a method of scheduling for trips to be made to certain user defined locations (e.g., county courts) on specific user defined days and/or times of the week.	
2.4.7. Confirm Schedule	- Please Select One Option -
The ability to confirm scheduled court trips requiring transportation and produce a confirmation notice to the institutions. Institutional users will have the ability to display or print the scheduled court movements on the "court movement sheet" for that date. OCPM would still require the ability to add, change, or delete any additional movements, including emergencies, subsequent to the confirmation, and a new movement sheet will be automatically outputted to the unit or other affected institution when a change occurs.	
Vendor Comments:	

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2.5. Medical Trip Tracking and History

When an offender has a scheduled medical appointment, appropriate staff will enter the date into a user interface. The system will automatically approve the medical trip for the specified date. Offender Classification and Population Management (OCPM) will review and may re-assign the medical trip. When the review is complete, OCPM will notify all the facilities and the Correctional Transportation Unit (CTU) that the finalized medical trip list is available for a specified date. The ability to keep a history of an offender’s medical trip. The ability to inquire, add, change and delete requests related to the Medical Trip Tracking and History as described in the Movement & Transfers Business Category.

DOC Requirements	Vendor Response
2.5.1 OCPM Transfer Review	- Please Select One Option -
The ability for to review all fields associated in the Movement & Transfers Business Category (E.g. priority, offender classification, special circumstances, mental health information, medical needs associations, profiles, ethnicity, etc.)	
2.5.2 OCPM Decisions	- Please Select One Option -
The ability to approve, continue, deny, edit and delete medical trips by offender or group of offenders. The ability to also record the staff member making the request and staff approving request, to include their title, date and time of request.	
2.5.3. Special Transport Requirements	- Please Select One Option -
The ability to identify inmates with special transport requirements. (Medical – Inpatient or wheelchair required, Mental Health, Armed escort or additional staff required for transport, State Police escort)	
2.5.4. OCPM Override Capabilities	- Please Select One Option -
The ability to review and override any movement.	
2.5.5. Cap Number to Destination	- Please Select One Option -
The ability to limit the maximum number of offenders and time frame (user defined) that can be sent to a destination.	
2.5.6. Locations	- Please Select One Option -
The ability to provide a method of scheduling for trips to be made to certain user defined locations (e.g., UCONN Medical) on specific user defined days and/or times of the week.	
2.5.7. Confirm Schedule	- Please Select One Option -
The ability to confirm scheduled medical trips requiring transportation and produce a confirmation notice to the institutions. Institutional users will have the ability to display or print the scheduled medical movements on the "medical movement sheet" for that date. OCPM would still require the ability to add, change, or delete	

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<p>any additional movements, including emergencies, subsequent to the confirmation, and a new movement sheet will be automatically outputted to the unit or other affected institution when a change occurs.</p>	
<p>Vendor Comments:</p>	

2.6. Mass Facility Transfers

The ability to automatically create, add, delete or modify the entire facility population for mass movement during an emergency situation. This function would be limited to the OCPM staff.

3 Query and Reporting Requirements

3.1 Database Searches

The ability to allow the user to retrieve and the system to review offender information from the offender database using the CTDOC Offender Number. Prior database information to be accessible through an archive and retrieval mechanism on all transactions for offenders within CTDOC jurisdiction.

DOC Requirements	Vendor Response
<p>3.1.1 Incarceration The ability to allow the user to retrieve and the system to review current and prior periods of incarceration.</p>	- Please Select One Option -
<p>3.1.2 Classification The ability to allow the user to retrieve and the system to review all current and prior classification data.</p>	- Please Select One Option -
<p>3.1.3 Disciplinary The ability to allow the user to retrieve and the system to review all current and prior disciplinary data.</p>	- Please Select One Option -
<p>3.1.4 Treatment Scores The ability to allow the user to retrieve and the system to review all current and prior treatment score data (mental health, medical, education, alcohol / drug, vocational and sexual treatment).</p>	- Please Select One Option -
<p>3.1.5 Sentencing / Time The ability to allow the user to retrieve and the system to review all current and prior sentencing/time data.</p>	- Please Select One Option -
<p>3.1.6 Profile / Separation The ability to allow the user to retrieve and</p>	- Please Select One Option -

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the system to review all current and prior profile / separation data.	
3.1.7 Transfers	- Please Select One Option -
The ability to allow the user to retrieve and the system to review current and prior transfers.	
3.1.8 Location	- Please Select One Option -
The ability to allow the user to retrieve and the system to review current and prior locations (facilities).	
3.1.9 Housing	- Please Select One Option -
The ability to allow the user to retrieve and the system to review all current and prior housing data.	
3.1.10 Special Management	- Please Select One Option -
The ability to allow the user to retrieve and the system to review all current and prior special management data (protective custody, security risk group, chronic discipline, high security, special needs or administrative segregation).	
3.1.11 Staff Employee Number	- Please Select One Option -
The ability to allow the user to add, review, update, delete and the system to review all current and prior profile / separation data by staff employee number and offender number. The ability to follow an employee's assignment through their career.	
Vendor Comments:	

3.2. Report Requirements

DOC Requirements	Vendor Response
3.2.1. Movement Schedule Summary	- Please Select One Option -
The ability to produce reports for the department, an institution or unit, of any movement that is scheduled for offenders. At a minimum, this report to have the ability to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, whether or	

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<p>not transportation is required, and if required, who will transport. Users to have the ability to also be able to produce a transportation schedule. The schedule to have the ability to include the current date (default), current time (default), pickup time, scheduled arrival times, vehicles, offenders, officers, destination where vehicle will initiate transportation, destination where vehicle will terminate transportation, and number of offenders being transported (calculated).</p>	
<p>3.2.2. CTU Movement Report</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report for CTU of any movement that is scheduled for a specified date. At a minimum, this report to have the ability to include the offender DOC number, offender name (last, first, middle), custody level, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, whether or not transportation is required, and if required, who will transport. Users to have the ability to also be able to produce a transportation schedule. The schedule to have the ability to include the current date (default), current time (default), pickup time, scheduled arrival times, vehicles, offenders, officers, destination where vehicle will initiate transportation, destination where vehicle will terminate transportation, and number of offenders being transported (calculated).</p>	
<p>3.2.3. Unscheduled Movement Requests</p>	<p>- Please Select One Option -</p>
<p>The ability to produce reports for the department, an institution or unit, or by transporting agency, of any movement that has been requested for offenders that is not scheduled.</p>	
<p>3.2.4. Court Movement Report</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report listing the movement for any particular date or date range. At a minimum, this report to have the ability to include the offender DOC number, offender name (last, first, middle), custody level, Special Management issues, housing unit, cell and bed, type of movement, date of movement, time of movement, whether or not transportation is required, and if required, who will transport.</p>	
<p>3.2.5. Medical Movement Report</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report listing the</p>	

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<p>movement for any particular date or date range. At a minimum, this report to have the ability to include the offender DOC number, offender name (last, first, middle), custody level, Special Management issues, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, whether or not transportation is required, and if required, who will transport.</p>	
<p>3.2.6. Facility Movement Report</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report listing the movement for any particular date or date range. At a minimum, this report to have the ability to include the offender DOC number, offender name (last, first, middle), custody level, Special Management issues, housing unit, cell and bed, location of event, type of movement, date of movement, time of movement, whether or not transportation is required, and if required, who will transport.</p>	
<p>3.2.7. Vehicle Activity and Schedule</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists the activity information for any vehicle during a user-specified period of time. Users to have the ability to also be able to produce a schedule of each vehicle in use by the DOC for any particular date or date range.</p>	
<p>3.2.8. Movement Holdovers</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists trip holdovers, including offender names, numbers, assigned location, locations of holdovers, reasons for holdovers, dates, code indicating whether additional custody officer(s) time was required.</p>	
<p>3.2.9. Profile / Separation Report</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report listing any profiles with-in a facility, institution and or department. This report is to include the offender DOC number, offender name (last, first, middle), custody level, facility code, housing unit, cell/bed and the profiles DOC number, offender name (last, first, middle), custody level, housing unit, cell/bed and or staff name.</p>	
<p>Vendor Comments:</p>	
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BC.13 – Violation and Disciplinary Action Requirements

The purpose of Violation process group is to promote desirable changes in offender behavior and offender conduct and officially document events that lead to individual disciplinary actions.

This process requires formal and informal procedures based on the seriousness of the events. The process of administering the violation process and its procedures are different from the legal process wherein the same event may travel through the judicial system as it completes a separate discipline route. Therefore the appropriate documentation and tracking of all events that occur is important for legal and administrative purposes. The statistical tracking assists administrators in determining high-risk concerns and problem offenders. The information also identifies trends and security gaps.

The results of the Violation process may include changes in level of offender supervision and privileges.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Informal Infraction Tracking History
- 1.1.2 Disciplinary Report Tracking History
- 1.1.3 Disciplinary Hearing, Action, Sanction and History
- 1.1.4 System Alerts

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Housing
- 1.3.2 Classification
- 1.3.3 Movements and Transfers
- 1.3.4 Scheduling
- 1.3.5 Visiting
- 1.3.6 Programs
- 1.3.7 Inmate and Banking
- 1.3.8 Sentence and Time Calculation
- 1.3.9 Offender Employment
- 1.3.10 Parole Hearings
- 1.3.11 Community Supervision
- 1.3.12 Offender Intelligence Associations

2. Functional Requirements

2.1 Informal Infraction Tracking History

A staff member as an alternative to a disciplinary report may initiate an informal disposition. A staff member issues an informal disposition to an offender when he/she is in violation of misconduct such as out of place, housing violation, sanitary violation or not following instructions given by staff. This is done for less serious offences and does not stay on the inmate's permanent record but does help to enforce progressive discipline and the staff member's authority.

DOC Requirements	Vendor Responses
2.1.1 Offence Tracking	- Please Select One Option -
The ability to allow authorized user to record	

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and track informal dispositions.	
2.1.2 Sanction Tracking	- Please Select One Option -
The ability to be able to record sanctions imposed and should allow for recording of all offenders and their role associated to violation.	
2.1.3 Informal History Tracking	- Please Select One Option -
The ability to record and maintain violation history information (e.g. summary of violation, charge, parties involved, location, date, and status).	
2.1.4 Informal Dismissals	- Please Select One Option -
The ability to record and maintain informal dismissals to be viewed only by authorized staff. Maintain history of the party who authorized the dismissal including name and date of dismissal.	
Vendor Comments:	

2.2 Disciplinary Report Tracking and History

Any staff member may initiate a Disciplinary Report. A staff member issues a Disciplinary Report to an offender when he/she is in violation of misconduct. This is done for more serious offences and stays on the Inmates permanent record to enforce the code of penal discipline and the staff member’s authority. There are three classes of offenses depending on the severity of the misconduct (class “A” being the most severe to “B” being less severe and “C” being the least severe).

An inmate may file an appeal regarding a disciplinary action when a guilty finding is received at a disciplinary hearing. The inmate has 15 calendar days to appeal the decision. The authorized authority shall review the inmate’s appeal, where the disciplinary report was adjudicated. The authorized authority shall respond to any appeal within 15 business days of the receipt. Disciplinary action resulting from a guilty plea shall not be subject to an appeal.

DOC Requirements	Vendor Responses
2.2.1 Assign Report Number for Tracking Purposes	- Please Select One Option -
The ability to assign the report number. Number should have the prefix number as the current year, current date, and sequential number either statewide or facility based.	
2.2.2 Involved Parties Tracking	- Please Select One Option -
The ability to allow for recording of all individuals involved such as the author, any witness (staff and/or inmate), investigator, reviewing supervisor, advocate, hearing officer, issuing officer and mental health staff reviewer and their role in the adjudication of	

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the disciplinary report.	
2.2.3 Supporting Documentation Tracking	- Please Select One Option -
The ability to maintain all supporting documentation (if applicable) that are associated with the disciplinary report. This can include incident reports, photos, videos, and scanned documentation.	
2.2.4 Offence Tracking	- Please Select One Option -
The ability to record and maintain rule violation information (e.g. summary of violation, charge, parties involved, location, date, and status).	
2.2.5 Final Outcome	- Please Select One Option -
The ability to allow for recording the events based on notice, advocate and witnesses and results based on due process and allow for recording dismissal, deferral, plea or hearing outcomes (including an appeal requested by the inmate) of the violation process. The ability to also allow for maintaining and printing supporting documentation at the conclusion of the hearing.	
Vendor Comments:	

2.3 Disciplinary Hearing, Action, Sanction and History

An Investigator shall conduct an investigation into the allegation of misconduct of each disciplinary report that goes to a hearing and shall have authority to dispose of a disciplinary report prior to the hearing. The disciplinary investigation shall be initiated the next business day following the day the disciplinary report was issued to the inmate.

DOC Requirements	Vendor Responses
2.3.1 Disciplinary Report Information	- Please Select One Option -
The ability to allow the authorized staff to view and/or update a Disciplinary report by the assigned report number.	
2.3.2 Disciplinary Report Recording	- Please Select One Option -
The ability to allow for recording dismissal, deferral, plea or hearing outcomes of the violation process.	
2.3.3 Delete/Add Charges Disciplinary Report	- Please Select One Option -
The ability to allow authorized staff to	

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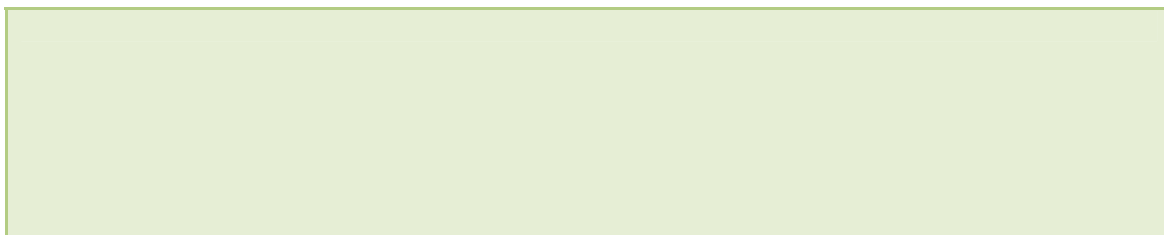
substitute charges, keeping a history of the original offense, or allow to remove a Disciplinary Report from the inmate's record. All changes should be logged with user ID, date, time and reason for removal.	
2.3.4 Loss of Good Time Sanctions	- Please Select One Option -
The ability to send notification to the Sentence and Time Calculation module when a sanction of loss of good time is authorized.	
2.3.5 Disciplinary Hearings	- Please Select One Option -
The ability to track visits and attendance at disciplinary hearings. An interface with the inmate identification and security application is required.	
Vendor Comments:	

2.4 System Alerts

Upon an Inmate receiving a Disciplinary Report the ability to send alerts to the appropriate Staff. This will help with the changes that notify staff of inmate level increases, Chronic Discipline level, and Security Risk Group increases and to certain areas (classification, visiting, parole, jobs, etc).

DOC Requirements	Vendor Responses
2.4.1 Disciplinary Report Issued Alert	- Please Select One Option -
The ability to send an alert to Classification alerting staff that the inmate received a Disciplinary Report.	
2.4.2 Classification Alert	- Please Select One Option -
The ability to send an alert to Classification staff, alerting staff that the disciplinary report has been adjudicated with the overall finding (guilty or not guilty).	
2.4.3 Parole Alert	- Please Select One Option -
The ability to send an alert to the BOPP Parole Officer for inmates with a voted to parole date or during a parole hearing investigation alerting the Officer that the inmate pleaded guilty or was found guilty of an offense.	
2.4.4 Records Alert	- Please Select One Option -
The ability to send an alert to Records if a sanction of loss of good time was ordered for applicable inmates.	
Vendor Comments:	

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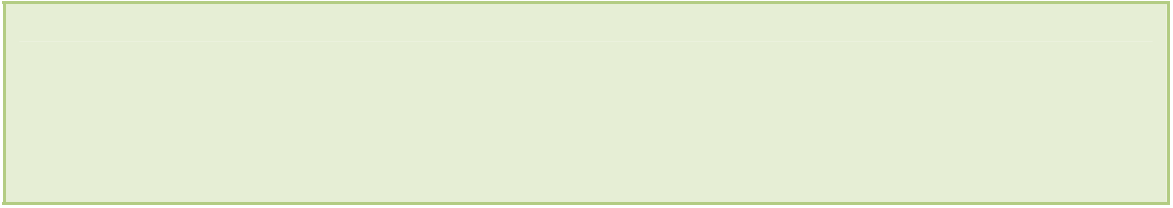
3. Report and Query Requirements

DOC Requirements		Vendor Responses
3.1	Display all Disciplinary Reports Issued	- Please Select One Option -
	The ability to produce a report to show all disciplinary reports on an inmate's record with the most recent shown first. Include all data elements contained on the DR user interface.	
3.2	Display all Sanctions Issued	- Please Select One Option -
	The ability to produce a report to show all inmates on current sanctions in a facility.	
3.3	Display all Pending Disciplinary Reports	- Please Select One Option -
	The ability to produce a report to show all pending disciplinary reports.	
3.4	Display Schedule for inmates being heard	- Please Select One Option -
	The ability to produce a report to show all inmates scheduled for a disciplinary hearing.	
Vendor Comments:		

3.5 Database Searches

DOC Requirements		Vendor Responses
3.5.1	Disciplinary History	- Please Select One Option -
	Search on number of disciplinary reports including offenses, dates, sanctions	
Vendor Comments:		

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BC.14 – Grievance/Complaint Functional Requirements

Administrative Remedies are the means for an offender to request a formal review of any action or decision that is within the scope of authority of the Commissioner of Correction. The Department of Correction provides an offender an avenue to seek formal review of an issue relating to any aspect of an offender's confinement. The Grievance process enables the Department to identify individual and systemic problems to resolve legitimate complaints in a timely manner and to facilitate the accomplishment of its mission.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Application logging and processing
- 1.1.2 Tracking
- 1.1.3 Timeframes
- 1.1.4 Outcome logging
- 1.1.5 Appeals
- 1.1.6 Maintain history of all grievances and outcomes

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Property Management
- 1.3.2 Housing
- 1.3.3 Inmate Calendaring, Event Scheduling, Conflict Resolution and alerts
- 1.3.4 Inmate Records
- 1.3.5 Sentencing and Time Calculation
- 1.3.6 Classification and Assessment
- 1.3.7 Movements and Transfers
- 1.3.8 Population Management
- 1.3.9 Violations and Disciplinary Actions
- 1.3.10 Offender Employment
- 1.3.11 Offender Associations Intelligence
- 1.3.12 Visiting
- 1.3.13 Programs and Activities
- 1.3.14 Health Care Support Services
- 1.3.15 Operations Incident Reports

2 Functional Requirements

2.1 Application logging and processing

Grievances, appeals and property investigation claims submitted at the first level must be sorted and reviewed for accurate processing. It is important to determine exactly what the offender is grieving, appealing and ensure property investigation form is completed correctly. The system must be able to create an initial account for the process of all administrative remedies from start to finish. This process begins with the Administrative Remedies Coordinator collecting forms from facility designated areas each business day. The Coordinator shall log and issue a receipt for each grievance/administrative remedy form collected and supply the offender with the receipt.

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DOC Requirements	Vendor Response
2.1.1 Logging	- Please Select One Option -
The ability to log all grievances, appeals and property investigation forms and assign a number specific to that facility.	
2.1.2 Recording	- Please Select One Option -
The system must record grievance, appeal and property investigation number and shall include information such as date, reason, housing unit, facility, name, number of offender, grievance number and receipt number, staff member who initiated it and limited access for staff member.	
2.1.3 Notations	- Please Select One Option -
The system should also allow a "notes area" for a brief description of the problem.	
2.1.4 Alerts on grievance abuse	- Please Select One Option -
The ability to alert the user when an offender has filed more than seven (7) grievances in a 60-day calendar period.	
2.1.5 Alert on repetitive grievance	- Please Select One Option -
The ability to alert the user of repetitive grievances filed by the offender.	
Vendor Comments:	

2.2 Tracking

The ability to track all grievances, appeals and property investigations.

DOC Requirements	Vendor Response
2.2.1 Display Priority list	- Please Select One Option -
When possible offender matches are found, the system should display a prioritized listing of key identifying information such as offender ID, name, date of birth, photo and aliases.	
2.2.2 Different Grievance Levels	- Please Select One Option -
The system should also track the different level grievance and where the grievance is (Level 1, 2 or 3) along with the grievance number.	
2.2.3 Number of Grievances	- Please Select One Option -
The system should have the capability to track how many grievances an offender has filed during current incarceration.	

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2.2.4 View	- Please Select One Option -
The system should allow for assigned staff to see individual files that are to be kept on each grievance at each level.	
Vendor Comments:	

2.3 Time Frames

The system should keep track of time frames for grievances, appeals and property investigations.

DOC Requirements	Vendor Response
2.3.1 Timeframes	- Please Select One Option -
The system should keep track of how long a staff member has to reply to an offender (30 business days) and alert you after you have accepted their grievance.	
Vendor Comments:	

2.4 Outcome Logging

The system should log and keep track of the outcome of all grievances, appeals and property investigation forms.

DOC Requirements	Vendor Response
2.4.1 Outcome logging	- Please Select One Option -
The system should allow for staff to input the outcome of each grievance (example Rejected, Denied, Upheld, Compromised, and Withdrawn) at each level so that the user can see whether the grievance has been completed or forwarded to the next level.	
2.4.2 Notes	- Please Select One Option -
The system should allow for assigned staff to write notes.	

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Vendor Comments:

2.5 Appeals

Offenders are allowed to appeal level 1-grievance dispositions to the next level of review, which is a level 2 appeal. Only limited subject matters are appealable to level 3.

DOC Requirements	Vendor Response
2.5.1 Appeals level-1	- Please Select One Option -
The system needs to provide capability to identify whether an offender has fully completed a Level 1 Grievance and was given a disposition before being able to appeal that particular decision to a level 2.	
2.5.2 Appeals level-2	- Please Select One Option -
The system needs to provide capability to identify whether an offender has fully completed a Level 2 Grievance and was given a disposition before being able to appeal that particular decision to a level 3.	
2.5.3 Receipts	- Please Select One Option -
The system also needs to provide capability to keep track of the receipt numbers that are given to the inmate after accepting their appeal.	
Vendor Comments:	

2.6 Maintain History

DOC Requirements	Vendor Response
2.6.1 Maintain history of all grievances and outcomes	- Please Select One Option -

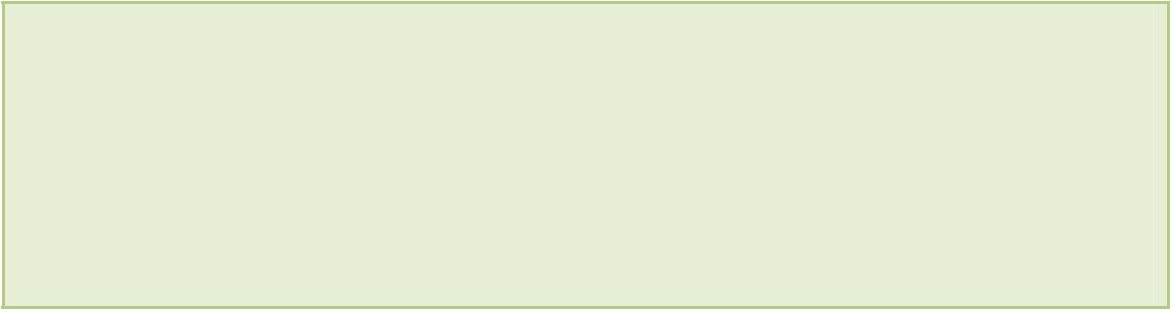
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The system should archive all grievances, appeals and property investigation outcomes.	
Vendor Comments:	

3 Query and Reporting Requirements

DOC Requirements	Vendor Response
3.1 Listing of all grievances/complains by DOC, Facility, Housing Unit, Offender	- Please Select One Option -
The reports requirements needs to be customizable to use any of the fields similar to an access query, for example how many level 1 grievances were filed by a specific inmate over a specific time period were denied regarding staff conduct.	
3.2 Identify	- Please Select One Option -
The system shall provide a report that identifies grievance, appeal and or property/complaint at each level and shall include information such as date, reason, name and number of offender who initiated it.	
3.3 List all three: grievance, appeal property complaint	- Please Select One Option -
The system shall provide a report that lists the number of grievances, appeals and property/complaint at each facility on a monthly and yearly basis.	
3.4 List level of grievances	- Please Select One Option -
The system shall provide a report that lists each level of grievance and shall include date, reason, name and number of offender that initiate the grievance.	
3.5 Appeals	- Please Select One Option -
The system shall provide a report that list all appeals filed by the offender.	
Vendor Comments:	

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BC.15 – Offender Employment

The purpose of the offender employment business category is to consider, interview and assign offenders to jobs while incarcerated. An offender is not entitled or expected to work, however CTDOC provides offenders job assignment opportunities based on certain requirements outlined in facility specific job catalogs, work experience, need, disciplinary history and special management concerns. A reasonable expectation is placed on the offender to submit requests to areas of interest to be considered for job placement. Area supervisors inform the Classification committee of an anticipated vacancy to be filled by an offender who has been reviewed and interviewed for job placement. The classification of offenders to job assignments is an important phase during initial incarceration and throughout incarceration as this process assists the offender in working toward goals to aid in discharge planning.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Available offender Job Catalog
- 1.1.2 Available Jobs
- 1.1.3 Offender Requests Employment
- 1.1.4 Review Offender History
- 1.1.5 Offender Employment Records and Payroll Notification
- 1.1.6 Offender Work Assignments and Schedules
- 1.1.7 Offender Work Evaluations
- 1.1.8 Offender Work Release

1.2 Exceptions or Alternative Paths

- 1.2.1 Hiring an offender out of sequence on the wait list. (staff recommendation)

1.3 Interfaces with other Business Functions

- 1.3.1 Housing
- 1.3.2 Offender Calendaring, Event Scheduling, Conflict Resolution and alerts
- 1.3.3 Classification and Assessment
- 1.3.4 Sentence and Time Calculation
- 1.3.5 Movements and Transfers
- 1.3.6 Violations and Disciplinary Actions
- 1.3.7 Visitation
- 1.3.8 Education
- 1.3.9 Programs and Activities
- 1.3.10 Offender Banking / Restitution
- 1.3.11 Pre-Release Processing
- 1.3.12 Parole
- 1.3.13 Community Supervision

2. Functional Requirements

2.1 Available Offender Job Catalog

Each facility shall develop and maintain an offender job catalog. The job catalog will outline all the jobs that are available for an offender to pursue through the offender request system.

DOC Requirements	Vendor Response
2.1.1 Establish Job Catalog	- Please Select One Option -
The ability for each facility to establish a job	

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catalog of all approved offender jobs available at each facility or location.	
2.1.2 Maintain Job Catalog	- Please Select One Option -
The ability to maintain the job catalog of qualifications, schedules (days and times) and associated pay grades. There are several pay grades - multiple hourly rates, shift rates, qualifications and day rates.	
2.1.3 Update Job Catalog	- Please Select One Option -
The ability to change the job catalog at any time to include removing jobs assignments, adding new job assignments, changing offender requirements for criteria for job assignments and time of job assignments.	
Vendor Comments:	

2.2 Available Jobs

The ability to display all jobs currently vacant at the facility.

DOC Requirements	Vendor Response
2.2.1 Ability to Query all vacant Facility Jobs	- Please Select One Option -
The ability to generate a query of all current vacant facility offender jobs by housing location, job category, or shift times.	
2.2.2 Ability to Query all Future Facility Vacant Jobs	- Please Select One Option -
The ability to generate a query of all future vacant facility offender jobs by housing location, job category or shift times within a user defined time period. The ability to cross reference offenders that are scheduled to discharge within the user defined time period.	
Vendor Comments:	

2.3 Offender Requests Employment

Offenders submit requests to specific departments inquiring about jobs or during a classification committee meeting, usually requested upon intake at the facility. If an offender requests a job directly to a department supervisor or designee, then they will respond to the offender's request and notify the classification committee for consideration on the re-classification docket for job hiring.

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DOC Requirements	Vendor Response
2.3.1 Maintain Offender Employment Requests	- Please Select One Option -
The ability to enter, arrange and maintain an offenders requests by date received, job, school, or vocational requests.	
2.3.2 Update Employment Requests	- Please Select One Option -
The ability to update an offender requests for employment if the offender has transferred to another facility, released to the community or has accepted another job.	
2.3.3 Offender Requests Vocational Work Program	- Please Select One Option -
Offenders submit a request to a specific vocational program supervisor, for consideration into a vocational work program. Eligible offenders are reviewed by the supervisor. If an offender will be considered to be hired by the vocational supervisor, then the ability to allow the supervisor to electronically contact the Classification Committee for assignment into the job.	
2.3.4 Offender Work Wait List	- Please Select One Option -
Offenders are placed on a work wait list upon initial classification. The offender may be placed on a work, school, or vocational wait list.	
2.3.5 Ability to Prioritize Offenders requiring Monetary Payments	- Please Select One Option -
The ability to flag and prioritize those offenders that need a job for monetary purposes (i.e. Restitution, Fine).	
2.3.6 Ability to Prioritize Offenders requiring 7-Day Job	- Please Select One Option -
The ability to flag and prioritize those offenders that need a job to receive the 7-day employment credit.	
2.3.7 Update and Remove Offenders from the Wait List	- Please Select One Option -
The ability to remove offenders from a facility waiting list as an offender transfers to another facility or is released to the community.	
2.3.8 Override Wait List	- Please Select One Option -
The ability for authorized staff to override a waiting list, with a reason code from a drop down listing, for their facility and to assign an offender to a job (this includes skipping the next offender on the waiting list).	
2.3.9 Recommending an Offender for a Specific Job	- Please Select One Option -
The ability to recommend an available job for	

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an offender on the waiting list based on suitability analysis by matching offenders classification, skill-set, or interests with job requirements.	
2.3.10 Staff Requests an Offender for Specific Job	- Please Select One Option -
The ability to take a staff members' request for an offender in a particular job.	
Vendor Comments:	

2.4 Review Offender History

Classification Counselors review an offender's incarceration history prior to job recommendation. Areas that are reviewed include but not limited to: classification history, special management, medical, mental health, disciplinary, prior job assignments and negative and/or positive work evaluations.

DOC Requirements	Vendor Response
2.4.1 Review Classification and Disciplinary History	- Please Select One Option -
The ability to display and review an offender's complete classification and disciplinary history.	
2.4.2 Review Prior Job Assignments	- Please Select One Option -
The ability to list prior job assignments from current and prior incarcerations.	
2.4.3 Review Work Evaluations	- Please Select One Option -
The ability to show any negative and/or positive work evaluations and disciplinary action from current and prior incarcerations.	
Vendor Comments:	

2.5 Offender Employment Records and Payroll Notifications

Offender employment records will be maintained in the offender's electronic record. As an offender is reviewed for a job assignment by the Re-Classification committee his/her record will be updated to reflect either an approval or removal of a job. Once an offender is assigned to or removed from a job offender payroll will be electronically notified.

DOC Requirements	Vendor Response
2.5.1 Record Effective Date	- Please Select One Option -
The ability to record the date of an approval date, effective date, removal and end date of a job.	

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2.5.2 Record Pay Rates and Performance Comments	- Please Select One Option -
The ability to maintain an offenders employment's record including pay rates, reason for termination, general performance comments, etc.	
2.5.3 Notification to Payroll	- Please Select One Option -
The ability to notify payroll with information that includes the offenders name, number, facility, job assignment, work hours, housing code for payroll sheet with effective date.	
2.5.4 Staff entering offender work hours and days worked	- Please Select One Option -
The ability to allow staff supervisors to enter the hours and days worked for an offender.	
2.5.5 Notification to Staff of Double Work Assignment	- Please Select One Option -
The ability to notify appropriate staff that an offender is already assigned to another area.	
2.5.6 Override Work Assignment	- Please Select One Option -
The ability to allow appropriate staff to override the work assignment for offender that is newly reassigned to a new work assignment.	
Vendor Comments:	

2.6 Offender Work Assignments and Schedules

Offender work assignments and schedules are maintained by the classification department, offender pay roll clerk and the individual work areas.

DOC Requirements	Vendor Response
2.6.1 Individual Work Schedules for Offenders	- Please Select One Option -
The ability to provide work assignment and work schedule for each individual offender.	
2.6.2 Allow Staff to View Offender Work Assignments	- Please Select One Option -
The ability to allow staff to view offender work assignments and schedules.	
Vendor Comments:	

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2.7 Offender Work Evaluations

Offenders shall be given an Offender Performance Evaluation after 30 days in a new or promotional assignment and at least semi-annually thereafter and at such times as deemed necessary. A poor offender performance evaluation is forwarded to the Classification department for consideration for removal or reassignment.

DOC Requirements	Vendor Response
2.7.1 Enter and Store Offender Job Performance Evaluations	- Please Select One Option -
The ability to allow supervising staff to enter job performance evaluations and to store them for a used defined time period.	
2.7.2 Notify Staff of Offender Performance Evaluation is Due	- Please Select One Option -
The ability to notify appropriate staff when an offender performance evaluation is due.	
2.7.3 Notify Classification Committee of Poor Performance Job Evaluation	- Please Select One Option -
The ability to notify the classification committee when a poor performance job evaluation was completed for an offender.	
2.7.4 Schedule Offender for Classification Committee Meeting	- Please Select One Option -
The ability to schedule an offender to the next available classification committee if an offender receives a poor performance job evaluation, if the work supervisor requests to remove the offender from the current job assignment.	
Vendor Comments:	

2.8 Offender Work Release

The work release program includes offenders working outside of the facility or having access to the outside grounds. Eligibility of criteria is required for offenders to enroll in the work release program.

DOC Requirements	Vendor Response
2.8.1 Calculate Eligible Offenders that meet criteria	- Please Select One Option -
The ability to calculate eligible offenders based on facility criteria.	
2.8.2 Notification to Classification Committee of Eligible Offender	- Please Select One Option -
The ability to send a notification to the classification committee of eligible offenders.	
2.8.3 Schedule Offender for Classification Committee Meeting	- Please Select One Option -

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The ability to schedule an offender to the next available classification committee if an offender meets the job criteria.	
2.8.4 View Offenders Assigned Outside Clearance	- Please Select One Option -
The ability to view a listing of all offenders assigned to outside clearance or pending an assignment to outside clearance detail.	
2.8.5 Track Location of Offenders on Work Release	- Please Select One Option -
The ability to track the location of an offender on a work release or outside clearance detail.	
2.8.6 Electronic Signature of Offender on Outside Clearance Approval Form	- Please Select One Option -
The ability to have an offender electronically sign an outside clearance approval form, once an inmate is assigned the detail.	
2.8.7 Store Signed Outside Clearance Approval Form	- Please Select One Option -
The ability to electronically store the outside clearance approval form at a user defined time period.	
Vendor Comments:	

3. Query and Report Requirements

DOC Requirements	Vendor Response
3.1 Offender Job Catalog	- Please Select One Option -
The system must produce a report listing all facility specific job catalogs. The report must sort by facility name, facility security level, and available jobs.	
3.2 Classification History/Employment Records	- Please Select One Option -
The ability to run reports on specific offenders applying for a work assignment, and previous work assignments. Poor performance evaluations and disciplinary history should be included in this report.	
3.3 Work Wait list/Vacancy List	- Please Select One Option -

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<p>The system must provide users with the ability to list all or selected work assignments and the offenders currently in the work assignment and/or the number of offenders currently assigned to the detail, number authorized and the number over or under the number authorized. There must be two related reports: The assignment vacancy report will list work detail, pay range, job class, assigned, authorized and vacancy. The assignment vacancy detail report will list offender number, offender name, location, custody status, work detail, start and end dates, pay rate, work week, assigned, authorized and vacancy. The report will provide totals and sub-totals by work detail. The user will be prompted to sort the report by custody status or by housing unit. The system must also provide a report that lists all offenders "closed in all work assignments", (i.e., who are not currently assigned to any work). The system must also provide a statistical summary report.</p>	
<p>3.4 Offender work assignments and schedules</p>	<p>- Please Select One Option -</p>
<p>The system must provide lists of all work assignments and schedules. The system must be able to run a report that specifies an offender's skill or qualifications for certain work assignments. The system must run reports that interface with available jobs and wait list. The system must be able to run a report that maintains offenders that are recommended for a job by staff. The system must be able to run reports that show an offender is within the criteria requirements.</p>	
<p>3.5 Offender Payroll</p>	<p>- Please Select One Option -</p>
<p>The system must provide payroll sheets that show, offender name, CTDOC #, facility, housing location, and work code. The system must be able to run reports for all offenders assigned to a facility job. The system must be able to run a report that shows pay grades, multiple hourly rates, shift rates and day rates.</p>	
<p>3.6 Offender work evaluations</p>	<p>- Please Select One Option -</p>
<p>The system must run reports monthly that list an offender that received poor work evaluations Sort by name, number, housing, facility, date poor report was issues.</p>	
<p>3.9 Offender Notification</p>	<p>- Please Select One Option -</p>
<p>The system must run reports indicating that the offender has been notified if approved for a job assignment. Sort by name, number, housing, facility, date of classification and date of notification.</p>	

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3.10 Keep Separate Report	- Please Select One Option -
The system must have the capability to run a report that lists offenders that must be kept separate. Sorted by facility, offender name, number, housing location and the name, number, housing, facility of the other offender.	
3.11 Outside Clearance Report	- Please Select One Option -
The system must have the capability to run a report on all offenders classified as working on outside clearance.	
Vendor Comments:	

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BC.16 – Offender Association / Intelligence Requirements

The purpose of Offender Associations process group is to identify, report, and collect information about both positive and negative offender associations. Offender Associations plays a critical role in the secure management of offenders particularly when dealing with known enemies and offender participation with security risk individuals.

This process group shall document all of the Offenders Association information in an offender's file and restrict access to the detailed information.

The identification process shall begin during the Intake process, which shall include and not limited to monitoring and evidence collection throughout an offender's supervision term. However, all evidence collected must be reviewed by appropriate staff before a specific association type can be determined.

Once an offender's association has been identified, reported and documented, the offender shall be placed in appropriate housing and/or supervised accordingly.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Input of Intelligence Tracking/History
- 1.1.2 Recording of Evidence
- 1.1.3 Inmate/Staff Separation
- 1.1.4 Street Names (different from standard Alias)
- 1.1.5 Display of Intelligence Tracking/History
- 1.1.6 Confidential Informant
- 1.1.7 Re-incarceration/Transfer of Affiliated Gang Members
- 1.1.8 Reports and Analysis
- 1.1.9 Reports- current members (of designated and watch groups) broken out by designation, facility, state (DOC, parole), housing unit
- 1.1.10 Affiliation/Designation Reviews
- 1.1.11 Annual review of designated gang members including alerts
- 1.1.12 Use of visitation process/function to tie in gang analysis

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking
- 1.3.2 Offender Identification
- 1.3.3 Housing Requirements
- 1.3.4 Classification and Assessments
- 1.3.5 Movements and Transfers
- 1.3.6 Population Management
- 1.3.7 Violation and Disciplinary Actions
- 1.3.8 Visitation Requirements
- 1.3.9 Programs and Activities
- 1.3.10 System Interfaces and Reports
- 1.3.11 Operations Incidents

2. Functional Requirements

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The Security Risk Group Coordinator shall commence this process by obtaining the offender's security risk group package or by accessing the CTDOC system to either locate or create the offender's security risk group record. The SRG Coordinator shall have the authorization to add, change, delete, or query vital information related to the offender's base record.

CT DOC Requirements	Vendor Responses
<p>2.1.1 Input of Intelligence Tracking/History</p> <p>The system shall allow the input and tracking of an offender to include and not limited to gang involvement history, prior gang related incidents and positions held within the offenders known gang. The System shall allow for certain authorized users to input the detailed information via free text and numerical codes, and shall accept facial and tattoo photographs.</p>	<p>- Please Select One Option -</p>
<p>2.1.2 Recording of evidence</p> <p>The system shall allow recording of evidence of suspected security risk associations (e.g. tattoos, written material, photographs, associations, and self-admission).</p>	<p>- Please Select One Option -</p>
<p>2.1.3 Inmate/Staff Separation</p> <p>The system shall be able to record profiles (separation) such as offender on offender and offender on staff. The system shall sort by offender ID number and alert appropriate staff if an inmate or staff is found on non-contact cross-reference list. In addition, the system shall be pass word.</p>	<p>- Please Select One Option -</p>
<p>2.1.4 Street Names (different from standard Alias)</p> <p>The system shall allow and link known street name/alias and/or the offender's unique ID number to the offender's life cycle record.</p>	<p>- Please Select One Option -</p>
<p>2.1.5 Display of Intelligence Tracking /History</p> <p>The system shall allow authorized users to view any information that was inputted into the Intelligence screens as a read only screen.</p>	<p>- Please Select One Option -</p>
<p>2.1.6 Confidential Informant</p> <p>The system shall provide the ability to cross reference a confidential informant with the subject (offender/staff) involved in the information they provided. The prior department location and jurisdiction for the offenders should be provided automatically by the system. The system shall allow for password protection for security measures.</p>	<p>- Please Select One Option -</p>
<p>2.1.7 Re-incarceration/Transfer of Affiliated Gang Members</p> <p>The system shall alert intelligence staff when a gang affiliate returns or transfers within the CTDOC. In addition, the system shall track and notify the appropriate staff when a gang affiliate is placed or moved to restrictive housing.</p>	<p>- Please Select One Option -</p>
<p>2.1.8 Reports and Analysis</p>	<p>- Please Select One Option -</p>

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Once the offender's intelligence tracking information is saved, the CT DOC system shall automatically alert the intelligence officer as to what type of review is required and he or she shall compile the necessary paperwork for a hearing/and/or review.	
2.1.9 Reports- current members (of designated and watch groups) broken out by designation, facility, state (DOC, parole), housing unit	- Please Select One Option -
The system shall be capable to provide reports for designated gangs and watch groups by designation, facility, state (DOC, parole), and housing unit to include offender names (alias), unique ID number, date of birth, home address, and town/city of residence.	
2.1.10 Affiliation/Designation Reviews	- Please Select One Option -
The system shall be able to notify the intelligence staff when and if a review is required (e.g. new admits within 90 days and level 4 inmates every 6 months). Each inmate that is a designated as a gang affiliate is required to have periodic reviews of their designation. In addition, if an inmate discharges from custody designated as a gang affiliate a review is required within 90 days of his or her return. An inmate designated as a gang affiliate threat member (level 4) is required to have their designation reviewed every six months.	
2.1.11 Annual review of designated gang members including alerts	- Please Select One Option -
The system shall be able to run a yearend report to include and not limited to, alerts, designations and watch group members. Furthermore, the report shall contain a list of designations by month, gang type, facility and removals by each gang, month and facility.	
2.1.12 Use of visitation process/function to tie in gang analysis	- Please Select One Option -
The system shall be able to cross-reference any visitor, visitor's address with other affiliated gang member(s) or designated watch group member for commonality.	
Vendor Comments	

3 Query and Reporting Requirements

DOC Requirements	Vendor Responses
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<p>3.1 All Inmate by Institution</p>	<p>- Please Select One Option -</p>
<p>The system shall have the capability to produce a report listing of all inmates sorted by name, institution or unit. The report will include offender name, alias, DOC inmate number, current status, current gang or group affiliation, institution, unit, cell, bed, birth date, place of birth, sex/ethnic, SBI number, social security number, current admission date, parole date, max date, county of commitment and commitment type. The departmental report will be sorted by name within major institution and unit, with a sub-total and page break on change in major institution. The report will be sorted by any combination of the following: offender name, DOC number, district office, institution, age, sex, offense (e.g., sexual assault) offense type (e.g., sex offenders), complex, county of commitment, commitment type, max date, custody level, gang or group affiliation, county/state and parent or regional institution. Users should be able to sort and filter the report using a variety of elements (e.g., list all sex offenders not housed at ADTC, not born in the U.S.A, etc).</p>	
<p>3.2 List of All Inmates and Parolees</p>	<p>- Please Select One Option -</p>
<p>The system shall have the capability to should produce a report that lists all inmates and/or all parolees by current name. The report will include offender name, alias name flag, inmate number, previous institution, current status, current gang or group affiliation, current institution or parole location, birth date, place of birth, sex, ethnicity, SBI number, SSN, current admission date, parole date, max date, county of commitment and commitment type. The report will be sorted by any combination of the following: offender name, DOC inmate number, district office, institution, county/state, gang or group affiliation, age, sex, offense, offense type (e.g., sex offenders), complex, parent or regional institution, county of commitment, commitment type, max date, custody level, and status. Users should be able to sort and filter the report using a variety of elements (e.g., list all sex offenders who are housed at a particular facility, not born in the U.S.A, not employed).</p>	
<p>3.3 Keep Separates Report</p>	<p>- Please Select One Option -</p>
<p>The system shall have the capability to generate a keep separate report, sorted by institution, including inmate name, number, location, and their designated keep separates name, number and location.</p>	

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3.4 Keep Separates Exception Report	- Please Select One Option -
The system shall have the capability to generate an exception report of inmates who should be kept separated but are housed in the same unit or cell.	
3.5 Cell Searches	- Please Select One Option -
The system shall have the capability to produce a list of inmates who have had their cell searched at random or targeted (High Security) with the findings noted, if any.	
3.6 Intelligence Tracking	- Please Select One Option -
The software application shall provide a daily scheduling page for each investigator to input and track defendants who are due for urinalysis.	
Vendor Comments	

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BC.17 – Visitation Requirements

The purpose of the offender Visitation Business Category is the recognition and consideration of the value of offender visitation as a means of maintaining family and community connections, and preparing offenders for successful rehabilitation and reentry into society. A Correctional facility visitor is defined as any person that requires a criminal background check completed and cleared prior to acceptance into a CTDOC. Another component of this business category is documenting, approving and tracking all visitor and visit information. Also, visitor rules, schedules and monitoring will be enforced during visits to ensure the safety of offenders, visitors and facility security staff.

These requirements describe functionality for the offender's visitor application(s), scheduling a visit, processing all visit attempts, suspension, termination or denial of visits and maintaining archive files on all offender visits social and/or privilege.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Visitor Application Logging and Processing
- 1.1.2 Track and Maintain Offender's Visitor List
- 1.1.3 Visiting Privileges
- 1.1.4 Visiting Security
- 1.1.5 Visitor Reception

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply.

1.3 Interfaces with other Business Functions

- 1.3.1 Offender Identification
- 1.3.2 Offender Associations / Intelligence
- 1.3.3 Offender trust fund account
- 1.3.4 Classification
- 1.3.5 Disciplinary
- 1.3.6 Scheduling
- 1.3.7 Housing
- 1.3.8 Intake
- 1.3.9 Movement and transfers

2. Functional Requirements

2.1 Visitor Application Logging and Processing

This process begins when one or more visitor request applications are returned from all potential visitors. A counselor or other designated staff accesses a user interface to record and track all offender visiting requests from all visitors including clergy, professional, regular, courtesy, other state agencies, local law enforcement and Immigration and Customs Enforcement (ICE). Any social visitor that is approved or denied the offender is notified in writing within 30 days. It is the offenders' responsibility to notify the visitor of their visiting status.

DOC Requirements	Vendor Response
2.1.1 Tracking Courtesy Visitor Applications	- Please Select One Option -
The ability to record and track initial family visiting requests from an offender. The	

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offender is entitled to two adult immediate family members as “courtesy visits”, valid for two weeks while the applications are in process. Appropriate staff may obtain this information from the “Next of Kin” contact information gathered during the intake process. The ability to record tracking of requests for follow up information on visitation application requests.	
2.1.2 Processing Mailed Visitor Applications	- Please Select One Option -
The ability to scan the visitor application to maintain history.	
2.1.3 Processing On-line Visitor Applications	- Please Select One Option -
The ability to maintain the visitor application history.	
2.1.4 Interface with COLLECT/NCIC Checks	- Please Select One Option -
Support interface capabilities with other law enforcement agencies to run and record the results of background searches on potential visitors.	
2.1.5 Entering Visitor Data	- Please Select One Option -
The ability to allow for data entry specific to the visitor including, name, address, date of birth, relationship, telephone, status (approved / denied / inactive / victim / co-defendant / professional / protective order), visitor type (non-contact or contact), and a free text comment line.	
2.1.6 Validating Visitor Address	- Please Select One Option -
The ability to electronically verify and standardize with the ability to override all visitor address information based upon US Postal Service data.	
2.1.7 Visitor Family Relationships	- Please Select One Option -
The ability to access and review family relationships including designation such as spouse, child, mother, father, brother, sister, significant other, etc.	
2.1.8 Visitor Restrictions	- Please Select One Option -
The ability to allow recording and review of offender restrictions (non-contact, contact) and visitor restrictions (e.g. active protective orders, victims, no visiting with minors unless immediate family, immediate family visits only while designated Security Risk Group Threat members, etc)	
2.1.9 Allotted number of Visitor Restrictions	- Please Select One Option -
The ability to allow the authorized number of	

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visitors in accordance with the level of the facility and CTDOC policy. Level 5 offenders can have up to 5 authorized visitors. Level 4 and 3 offenders can have up to 7 authorized visitors. Level 2 offenders can have up to 10 authorized visitors. A privileged or professional visitor is exempt from the authorized visitor restriction rule.	
2.1.10 Visitor Crosschecks	- Please Select One Option -
The ability to crosscheck offender–visitor application data against CTDOC staff data in order to ensure that DOC staff has received appropriate approval prior to placement on an immediate family member’s visiting list.	
2.1.11 Notification of Visiting Application	- Please Select One Option -
The ability to record results of visitation applications (approved or denied) and notify the offender and unit counselor. Any visiting action shall be forwarded to the offender in writing and it is the responsibility of the offender to notify the proposed visitor of their status.	
2.1.12 Notification of Visiting Appeals	- Please Select One Option -
The ability to record a visitor’s appeal, visitor information, when appeal received, dates of final disposition by Warden and date response sent to visitor.	
2.1.13 Levels of reasons for denial	- Please Select One Option -
Visitors are denied access to an offenders visit list based on several factors, (current or ex-offender, probation, and victim) It is at the discretion of the Unit Administrator to approve placement of a proposed visitor with these factors. These factors shall be scored on 1-4... depending on degree of severity	
Vendor Comments:	

2.2 Track and Maintain Offender’s Visitor List

Once the visitor applications are logged, processed and approved, a counselor or other designated staff must have the capability to keep the offender’s visitor list up to date. The ability to provide a user interface to allow for updates of the offender’s visitor list and automatically flag any visitors who meet certain business criteria.

DOC Requirements	Vendor Responses
2.2.1 Recording Visitation	- Please Select One Option -

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<p>The ability to record type of visit (e.g. contact, non-contact, money order only) day, time, and location of visit, additionally record, special issues/conditions (e.g. wheel chair, laptop, recording device). The ability to notify unit counselor of updates to visitor lists.</p>	
<p>2.2.2 Visitor Lists</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a list of all visitors or attempted visitors for a specific offender. The ability to maintain a list of all offenders for a specific visitor.</p>	
<p>2.2.3 Authorized Facility Visitor Lists</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a list of institutional approved visitors that are not tied to any specific offender (e.g., clergy, contractors, volunteers, tours etc).</p>	
<p>2.2.4 Visiting History</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a record of offender's and visitor's visitation histories, including visit type (e.g. contact non-contact, clergy, professional, legal etc.).</p>	
<p>2.2.5 Visiting Crosscheck</p>	<p>- Please Select One Option -</p>
<p>The ability to crosscheck visitors against multiple visiting lists and identify visitors whom frequently visits different offenders.</p>	
<p>2.2.6 Visiting Conflicts or Restrictions</p>	<p>- Please Select One Option -</p>
<p>The ability to accommodate screening for visiting conflicts and restrictions (e.g. keep separate list, victims, sex offenders, etc). The ability to alert to appropriate staff of active visitors who become incarcerated.</p>	
<p>2.2.7 Visitor Updates</p>	<p>- Please Select One Option -</p>
<p>The ability to allow for limited updates to the visitor's record at the time of visit. The ability to restrict changes including updates, removals, in accordance with CTDOC policy. The ability to generate notifications anytime an application request or actual visit is processed.</p>	
<p>2.2.8 Removal of Approved Visitors</p>	<p>- Please Select One Option -</p>
<p>The ability to record receipt of request to have a visitor removed from visitor lists either temporarily or permanently and record the removal of a visitor from an approved list including reason and timeframe and terminate an active visit if applicable. The ability to maintain a history of the staff performing the removal.</p>	
<p>2.2.9 Annual Visitor Review</p>	<p>- Please Select One Option -</p>
<p>The ability to send alerts to appropriate staff of visitors requiring an annual review of visiting status, accurate address information and</p>	

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current background checks with ability to allow for overrides.	
2.2.10 Tracking Changes made to the visiting list	- Please Select One Option -
The ability to track changes that were made to an offenders visiting list. Supply user name, facility, date and time.	
Vendor Comments:	

2.3 Visiting Privileges

When a visitor arrives at a CTDOC facility, a designated staff member enters their information into the system. The system checks to verify whether the visitor is an official visitor or authorized visitor. While at the facility, both official visitors and authorized visitors must adhere to the facility's rules and visiting schedule.

DOC Requirements	Vendor Responses
2.3.1 Visiting Rules	- Please Select One Option -
The ability to define various visiting rules by facility including the recording of facility-specific, offender-specific and visitor-specific rule-sets governing visiting privileges.	
2.3.2 Visitor Schedule	- Please Select One Option -
The ability to generate notification form for offender and visitor of scheduled visit (i.e. pass, special visit, etc).	
Vendor Comments:	

2.4 Visiting Security

Once a designated staff member enters a visitor's information into the system, the system will automatically alert staff to any security issues such as a loss of visiting privileges, offender admitted to restrictive housing or medical unit or if the same visitor is visiting two different offenders.

DOC Requirements	Vendor Responses
2.4.1 Visitor Monitoring	- Please Select One Option -
The ability to track and monitor visiting privileges for offenders based on CTDOC policies and procedures of each facility.	

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2.4.2 Suspended Visits	- Please Select One Option -
The ability to track the loss of offender visitation privileges and send an alert to staff if a visitor attempts to visit this offender.	
2.4.3 Suspended Visitors	- Please Select One Option -
The ability to track suspended visitors and send an alert to staff if this visitor attempts to visit an offender.	
2.4.4 Victims	- Please Select One Option -
The ability to send the user an alert on a victim. System will allow authorized user to add a victim to visit as approved by Warden or Designee. The ability to maintain whom approved the visitor, date, and time of authorization, and text field for additional comments.	
2.4.5 Visitor / Offender Separation	- Please Select One Option -
The ability to cross reference offender separation issues if the offenders are scheduled for a visit at the same time within the same facility and send an alert to staff.	
Vendor Comments:	

2.5 Visitor Reception

Once a visitor is identified and processed, an alert is sent to the correctional staff to locate and inform the offender. The visitor is escorted to security where a search is conducted. If cleared, the visitor is escorted to the appropriate visiting area. The offender is escorted to the appropriate visiting area where the visit is conducted. After the visit is complete, the visitor is escorted back to visitor reception and logged out of the system and the offender is searched and then is escorted back to his/her housing unit.

DOC Requirements	Vendor Responses
2.5.1 Visitor Arrival	- Please Select One Option -
The ability to identify the visitor, validate offender's visitor list and record the time of visitor arrival.	
2.5.2 Offender Notification	- Please Select One Option -
The ability to alert staff to notify the offender of a visit.	
2.5.3 Visitor Search	- Please Select One Option -
The ability to record the results of visitor search. If a visitor passes search, ability to record arrival of visitor at visiting room. If visitor fails search, the ability to record visitor departure from facility.	
2.5.4 Visitor ID and Locker Key	- Please Select One Option -

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The ability to generate a visitor ID and track assignment of a locker key if applicable.	
2.5.5 Actual Visit	- Please Select One Option -
The ability to alert staff on the type of visit (e.g. contact, non-contact) so that the visitor can be escorted to the proper visiting area. The ability to monitor the length of visit and alert staff when the time period is completed.	
2.5.6 Visitor Violations	- Please Select One Option -
The ability to document violations identified during the visit and should have the ability to incorporate video clips if available to record any suspicious behavior and physical search of visitor.	
2.5.7 Visitor Departure	- Please Select One Option -
The ability to record the departure of offender and visitor from the visiting room and record the time of the visitor leaves the facility. The ability to track the return of the visitor ID and locker key if applicable.	
Vendor Comments:	

3. Report and Database Requirements

3.1 Reports

DOC Requirements	Vendor Responses
3.1.1 Report of Visits by Visitor by Name	- Please Select One Option -
Generate a listing of visitors by name and facility for a user defined date range.	
3.1.2 Report of visitors by Offender Name and Number	- Please Select One Option -
Generate a report of visitors for a specific offender name and number to include type of visit and date of visit.	
3.1.3 Report by facility of prescheduled visits	- Please Select One Option -
Generate a report by facility of prescheduled visits by specified date.	
3.1.4 Report by user defined criteria of denied visitors, or suspended visitors	- Please Select One Option -

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Generate a report of denied visitors or suspended visitors.	
3.1.5 Report by facility of all visits (professional , privileged, social) run by date	- Please Select One Option -
Generate a report of all visits for a facility listing the type of visit for a specific date	
3.1.6 Report of Offenders with Loss of Visiting Privileges	- Please Select One Option -
Generate a report of all offenders who have loss of visiting privileges to include offender name, number, beginning date of loss of visits and date visits are restored.	
3.1.7 Report of types of visits	- Please Select One Option -
Generate a report of all visits for a facility listing the type of visit for a specific date	
Vendor Comments:	

3.2 Reports

DOC Requirements	Vendor Responses
3.2.1 Visitor's First and Last Name	- Please Select One Option -
The ability to search on the visitor's first and last name to look-up the offender's record and must link to the offender's visitor record.	
3.2.2 Offender's First and Last Name	- Please Select One Option -
The ability to search on the offender's first and last name to look-up the offender's record and must link to the offender's visitor record.	
3.2.3 Facility's Visiting Schedules	- Please Select One Option -
The ability to access the facility's visiting schedule to verify when offender is eligible for visitors.	
3.2.4 Housing Unit at Facility	- Please Select One Option -
The ability to access the housing unit's visiting schedule to verify when offender is eligible for visitors.	
3.2.5 Visitor on multiple Offender visitor list	- Please Select One Option -
The ability to cross reference visitors on multiple offenders visiting list.	
3.2.6 Staff	- Please Select One Option -
The ability to run a report that indicates all the staff statewide that are approved to visit an offender.	

BC.18 – Education Requirements

The purpose of the Education business category is to identify the offender education/vocational needs and track the progress of offenders in education/vocational programs to include Historical Educational Background and Records, Educational Testing, Results and history, Inmate education planning/roadmap, Classroom waiting list (Facility and State wide), Class Enrollments, Grades and Achievement, and Offender Scheduling Interface.

The Unified School District #1 (USD #1) is a legally vested school district and must comply with the same State and Federal mandates as all other public schools. Offenders under 18 years of age are mandated to attend school. The USD #1 enrolls approximately 10,600 students per school year with an average daily enrollment of 2,800 students. Within the CTDOC there are 18 schools, one located in each of the correctional facilities, which provides instruction from certified academic and vocational instructors. The USD #1 curriculum is based on the State of Connecticut Department of Education Frameworks.

Security measures must be in place to ensure confidentiality of student grades, transcripts and special education history data. Confidential data must only be accessed by school district personnel.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Query for new or re-admitted offenders eligible for school programming
- 1.1.2 Conduct educational intake interview to collect, verify or update prior education history data
- 1.1.3 Request educational records, determine special education history and/ or verification of high school graduation status
- 1.1.4 Conduct initial educational assessment to determine and assign current academic educational progression level and educational need score
- 1.1.5 Classify student for education program with Classification Unit and as appropriate Process Inmate Fee From
- 1.1.6 Enroll and un-enroll an offender into education program.
- 1.1.7 Keep daily offender class attendance data
- 1.1.8 Update, modify, change student class assignment
- 1.1.9 Create school transcripts and certificates
- 1.1.10 Interface with Parole
- 1.1.11 Interface with Community Transition

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Offender Party Information and Identification
- 1.3.2 Housing
- 1.3.3 Inmate Calendaring, Event Scheduling, Conflict Resolution and alerts
- 1.3.4 Nutritional Services
- 1.3.5 Classification and Assessment
- 1.3.6 Movements and Transfers
- 1.3.7 Offender Employment
- 1.3.8 Program and Treatment
- 1.3.9 Inmate Banking / Restitution
- 1.3.10 Parole

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- 1.3.11 Community Transition
- 1.3.12 Interface with the State Department of Education (Outside the DOC)

2. Functional Requirements

2.1 Query for new or re-admit offenders eligible for school programming

Education staff members need the ability to query newly admitted or re-admitted offenders to determine who may be eligible or recommended via their Offender Accountability Plan for educational programming

DOC Requirements	Vendor Response
2.1.1 Mandatory Educational Services	- Please Select One Option -
The ability to determine who is eligible for mandated educational services and prioritize students by date of birth.	
2.1.2 Inmates Recommended to Education	- Please Select One Option -
The ability to identify offenders recommended attending educational programming by the Offender Accountability Plan.	
Vendor Comments:	

2.2 Conduct educational intake interview to collect, verify or update education history data

Educational history is obtained through the educational interview process. Through this interview a student's demographic data, last educational placement, parent guardian information as well as other education data as necessary is obtained.

DOC Requirements	Vendor Response
2.2.1 Enter/Retrieve Inmate Data	- Please Select One Option -
The ability for Education unit staff to input the education intake interview data or retrieve prior data for a re-admitted offender in order to up-date the data.	
2.2.2 Historical Data	- Please Select One Option -
The ability to maintain a history of the educational interview.	
Vendor Comments:	

2.3 Request Education records, determine special education history and/ or verification of high school graduation status

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The education unit is obligated to determine if an offender has a history of special education and related services. An offender's prior special education history will prioritize an offender for educational programming. The verification of high school diploma or GED will eliminate an offender from being eligible for mandated services. This verification data will be utilized if the offender is going to be involved in post secondary educational programming.

DOC Requirements	Vendor Response
2.3.1 Verification Process	- Please Select One Option -
The ability for the education unit to make notes regarding the verification process or of the confirmed verification.	
2.3.2 Special Education History	- Please Select One Option -
The ability for education staff members to indicate if an offender has a history of special education and related services.	
2.3.3 Educational Records Request	- Please Select One Option -
The ability to note the process and completion of the education records request made to the offender's prior educational placement in the community. This would include but not be limited to School Transcript, Individualized Education Plan and Special Education Evaluations.	
2.3.4 Verification of High School Diploma or GED.	- Please Select One Option -
The ability for the education unit to note that the offender has a verified high school diploma or GED. The education staff will update the offender's education need score as appropriate.	
Vendor Comments:	

2.4 Conduct educational assessments to determine and assign current academic progression level and education need score.

Initial achievement assessments are completed on offenders to determine their academic functioning level. This functioning level determines the offenders' education progression level. Achievement assessments are conducted in the fall and spring of each school year to determine student achievement growth.

DOC Requirements	Vendor Response
2.4.1 Initial Academic achievement assessment	- Please Select One Option -
The ability to assign Offenders' Educational Need Scores that are assessed and determine school progression levels. Achievement test scores are stored for historical data purposes.	

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2.4.2 Facility Assessment	- Please Select One Option -
Academic achievement testing is completed at each site to determine student growth. The ability to track and update student progression levels. The ability to update the Education Need Score as appropriate. The ability to keep the Achievement test scores for historical data purposes.	
Vendor Comments:	

2.5 Update Payroll

Once an offender is assigned an Educational Program, then Payroll must be notified to update and track an inmates Payroll.

DOC Requirements	Vendor Response
2.5.1 Notify Payroll	- Please Select One Option -
The ability to notify Payroll, once an offender is assigned into an Education Program, and track the start and end date of the Education Program.	
Vendor Comments:	

2.6 Enroll or un-enroll an offender into education program.

Classes must be established / scheduled. Once classes are established Offenders are enrolled in school and either enrolled directly into a class or placed on a waiting list for a class.

DOC Requirements	Vendor Response
2.6.1 Establish classes and schedules	- Please Select One Option -
The ability to establish and schedule offenders into a class once they are enrolled in various educational program.	
2.6.2 Enroll offender into a school and or a class	- Please Select One Option -
The ability to balance a class size on specific demographics and other historical data fields.	
2.6.3 Place student on a waiting list for a class	- Please Select One Option -
The ability to place and maintain an offender on a wait list, if space is not available in a	

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class.	
2.6.4 Un-enroll a student from school	- Please Select One Option -
The ability to maintain a history of offenders that were un-enrolled from school. For example; a transfer to another facility, released from CTDOC, refuses to attend educational programming, etc.	
Vendor Comments:	

2.7 Keep daily offender education program attendance data

Daily education program attendance is to be recorded and stored for historical data purposes.

DOC Requirements	Vendor Response
2.7.1 Set Up the Yearly School Calendar	- Please Select One Option -
The ability for the Superintendent to establish and maintain a school calendar each year.	
2.7.2 Offender attendance is taken daily by the school staff.	- Please Select One Option -
The ability to record class attendance with established codes (Present, Excused, Unexcused, etc). The ability to notify payroll of each week's attendance record.	
Vendor Comments:	

2.8 Update, modify, change student class assignments

Student classroom assignment will change through their enrollment in educational programming.

DOC Requirements	Vendor Response
2.8.1 Ability to change an offender's class assignment.	- Please Select One Option -
The ability to move an offender from one class to another and be able to keep historical data on the offender's class assignments.	
Vendor Comments:	

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2.9 Create school transcript and certificates

Upon returning to a community school a school transcript is generated to assist the receiving school in awarding the student credit. School district certificates are issued for various reasons. These certificates should be generated by user request.

DOC Requirements	Vendor Response
2.9.1 Upon request a student transcript will be created for offender returning to a community school.	- Please Select One Option -
The ability to create a cumulative school transcript for an offender returning to a community school. This could be based on regular high school credit standards or adult education standards.	
2.9.1 Generate school district certificates	- Please Select One Option -
The ability to generate certificates for various reasons with the school (i.e. Certificate of Completion, Achievement Certificates)	
Vendor Comments:	

3. Query and Reporting Requirements

DOC Requirements	Vendor Response
3.1 School Enrollment Reports	- Please Select One Option -
The ability to provide each individual facility with a report of who is enrolled in school, in which class they are assigned and when the class is scheduled to meet. Reports should be available by individual classroom assignments as well as total school enrollment. School enrollment reports should be sorted in various ways (i.e. by teacher, housing assignment, alphabetically listing). Provides individual facilities with a detailed report of who has been enrolled and un-enrolled on a weekly basis. Detail to include transfers in and transfer out and from which facility. Provides the number of education slots, those slots filled and those slots available by facility as well as total school program. Enrollment reports should also be available for current monthly enrollment as well as current school year enrollment.	
3.2 School Attendance Report	- Please Select One Option -
The ability to provide each individual facility with a detailed report of student attendance for a given time period. With the ability to provide a	

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facilities average daily attendance for a specific time period.	
3.3 School Waiting List Report	- Please Select One Option -
The ability to provide both individual facility and system wide waiting list reports	
3.4 School Completion Reports	- Please Select One Option -
The ability to provide both individual facility and system wide report of those offenders who have completed an educational program.	
3.5 Academic Education Needs Reports	- Please Select One Option -
The ability to provide a report of the number of offenders assessed and their assessment results as well as provide an overall average achievement rate among offenders assessed in a specific time period.	
3.6 Education Needs Report	- Please Select One Option -
The ability to provide data on offenders and their educational needs. The ability to provide data break out by education need scores.	
3.7 School Demographic Data Report	- Please Select One Option -
The ability to provide individual sites and district-wide enrollment reports for the current month as well as current school year on various offender demographic data points.	
3.8 School Progression Reports	- Please Select One Option -
The ability to provide both individual facility and district wide report of those offenders who have progressed from one education progression level to another.	
Vendor Comments:	

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BC.19 – Program and Activities

The purpose of the Programs and Activities business category is to place the offenders into appropriate treatment and non-treatment programs within CTDOC facilities based on offender classification and assessment needs for institutional and community supervision. This category also collects data for analysis to ensure effective program development, integrity and supervision.

Offender programs addresses a wide variety of treatment needs such as health and mental health services, behavior management and cognitive behavioral life skills, community reentry needs and support and faith based services. The primary goals of the training incentive programs are to help offenders acquire or improve appropriate skills, attitudes, and behaviors that promote pro-social choices, reduce criminal behavior, and facilitate successful community re-integration after release from supervision.

Offenders may be assigned to programs via the Offender Accountability Plan, based on current offense, recidivism, needs assessment, and historical criminal record information. Assignments to programs must be consistent with the offender's current classification, security, and supervision requirements as well as the needs of the program or facility. Once an offender is placed into a program, their performance within that program is monitored based on a definitive set of performance measures. Additional programs and activities, including recreational, religious and volunteer services, are available on an elective basis. An Offender Accountability Plan may also contain referrals to work assignments.

The Programs and Activities Business Category also maintains databases of all offender program summaries, program facilitators and volunteer providers. This data is collected and evaluated to ensure optimal delivery of services, from development to provision.

1.0 General Requirements

1.1 Critical System Functions

- 1.1.1 Program Description/Compendium
- 1.1.2 Offender Program Waiting List
- 1.1.3 Offender Program Assignment and Tracking
- 1.1.4 Program Facilitator Information
- 1.1.5 Volunteer Information
- 1.1.6 Religious Services
- 1.1.7 Addiction Services

1.2 Exceptions or Alternative Paths

- 1.2 There are no exceptions or alternative paths.

1.3 Interfaces with other Business Functions

- 1.3.1 Education System
- 1.3.2 Offender Employment
- 1.3.3 Offender Identification System
- 1.3.4 Housing System
- 1.3.5 Offender Event Schedule, Calendar, Alerts System
- 1.3.6 Offender Records
- 1.3.7 Sentence and Time Calculation System
- 1.3.8 Offender Management System
- 1.3.9 Movements and Transfer
- 1.3.10 Population Management System
- 1.3.11 Violation and Disciplinary Action System
- 1.3.12 Offender Employment
- 1.3.13 Pre-Release Processing System
- 1.3.14 Parole Hearings System

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- 1.3.15 Community Supervision
- 1.3.16 Health Care Support System

2. Functional Requirements

2.1 Program Description/Compendium

A compendium of all programs and treatment groups available to the offender population is maintained on the agency website, accessible by staff and the public.

DOC Requirements	Vendor Response
2.1.1 Program Summary Listing	- Please Select One Option -
The ability to establish and maintain program information, including a summary of each program provided, with a program title, narrative description, location availability, auspice/provider and type of program, with capability to be sorted by individual offender, facility, program/service or provider, with a text line for comments.	
2.1.2 Create New Program Summaries	- Please Select One Option -
The ability to add program summaries to the compendium of services, including the ability to sort information by program title, narrative description, facility, auspice/provider and type of program.	
2.1.3 Category Management	- Please Select One Option -
The ability to update/revise/delete program information in an existing summary, to maintain a historical archive of programs no longer in use and for programs that are temporarily suspended. The ability to maintain a comment section for each program summary for notations regarding program status. Programs must be sorted by three numerically sequenced priorities in accordance with the TPAI and OAP.	
2.1.4 Electronic Requests	- Please Select One Option -
The system must allow facility program providers to electronically submit requests for revisions to system administrators for updates.	
2.1.5 User Administration Capability	- Please Select One Option -
The ability to maintain a list of users with password protected various levels of access from read only authorization to system manager and system administrator. The system to have the ability to allow additions/updates and deletion of users, including maintaining a historical archive.	
2.1.6 Program Lesson Plans	- Please Select One Option -
The ability to maintain the lesson plans for	

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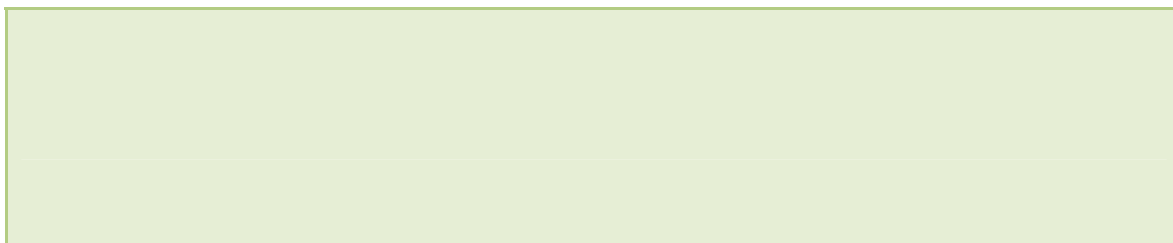
each program, and maintain historical archives of curriculum revisions.	
Vendor Comments:	

2.2 Offender Program Waiting List

The ability to assign offenders to any program from a waiting list generated from OAP program referrals, and to maintain waiting lists for programs at the institutional and departmental level. The system to have the ability to display all current waiting list information, sorted by offender, provider, facility or program.

DOC Requirements	Vendor Response
2.2.1 Individual Program Waitlist	- Please Select One Option -
The ability to include a waiting list for each program referral on the Offender Accountability Plan, with capability to compile a report on one or more offenders, to be sorted by individual offender, facility, program/service or provider.	
2.2.2 Automatic Update of Waiting List	- Please Select One Option -
The ability to remove an offender from the wait list upon discharge from incarceration or entry into assigned program.	
2.2.3 Automatic Reassignment of location	- Please Select One Option -
The ability to transfer offenders from one facility to another and keep them on the wait list.	
2.2.4 Prioritize Waitlist	- Please Select One Option -
The ability to prioritize offenders on the waitlist by End of Sentence date, Voted to Parole date and TPAI score.	
2.2.5 Generate Program Results	- Please Select One Option -
The ability to automatically generate a program results summary of offender program status, performance information, current, past and waitlisted programs for one or multiple individuals, by offender, program provider, facility or program.	
Vendor Comments:	

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2.3 Offender Program Assignment and Tracking

Program recommendations from the Offender Accountability Plan and program waiting lists are maintained electronically. Offender program performance in all assigned programs is monitored and documented within this system. Program data is collected from this system for program audit, evaluation and development.

DOC Requirements	Vendor Response
2.3.1 Ability to Schedule Offender Programs	- Please Select One Option -
Offenders will be assigned to specific groups based upon referrals in the Offender Accountability Plan, the assigned facility, and the group availability.	
2.3.2 Print Offender Notification/Pass for Meeting	- Please Select One Option -
The ability to print notifications of program assignments and scheduled groups to offenders.	
2.3.3 Ability to record and store offender participation	- Please Select One Option -
Data includes offender program assignment(s), record of participation sorted by group, by session or program, by facilitator, by facility, by program and status (e.g. removed, completed, and refused).	
2.3.4 Interface with Classification and Assessment Requirements	- Please Select One Option -
The ability to interface with the Offender Accountability Plan Form to update program outcome and to interface with classification scores and subcodes to inform program assignment.	
2.3.5 System Flexibility	- Please Select One Option -
The ability to produce schedules and calendars for all programs and activities, sorted by facility, by facilitator, program, and offender.	
2.3.6 Program History Tracking	- Please Select One Option -
The ability to display the full status history of all offenders' program record.	
2.3.7 Offender Program Review Sheet	- Please Select One Option -
The ability to produce a program review sheet with an option to print one or more offenders information at a time.	

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2.3.8 Program Results Notification	- Please Select One Option -
The ability to send notifications to appropriate staff based on significant program information.	
2.3.9 Interface with Offender Accountability Plan	- Please Select One Option -
Once the system has assigned an offender to a program, then the ability to electronically flag for OAP update.	
2.3.10 Interface with Education System	- Please Select One Option -
The ability to interface with the Education system to coordinate provision of program services and the programs waiting lists.	
2.3.11 Program Lists	- Please Select One Option -
The ability to inquire, add, change, and delete offender program assignments and related information. The user must have the option to display or print a list of the actual number of inmates currently assigned to a program and number on the waiting list. Users must also have the option to list the names, numbers, and locations of the inmates assigned to a program or programs. Anytime a new program is added or a program is deleted, the system must provide an option to print or electronically distribute a program list automatically.	
2.3.12 Confidential Program Records	- Please Select One Option -
The ability to mark certain program assignment information as confidential. There are confidentiality issues concerning program assignments, and entries must be identified as confidential or non-confidential. Confidential items must not print or be displayed on non-confidential reports or screens.	
Vendor Comments:	

2.4 Program Facilitator Information

Maintain a list of all DOC staff trained as program facilitators to ensure each facility has sufficient staffing levels to accommodate delivery of all identified programs.

DOC Requirements	Vendor Response
2.4.1 Program Staff List	- Please Select One Option -
The ability to provide a list of staff program	

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providers, with information to include staff name, agency and electronic numeric identifier, title, facility assignment, what programs staff is trained to facilitate and dates of certification. The ability to sort the list by name, facility and program.	
2.4.2 Add/update/delete program provider information	- Please Select One Option -
The ability to inquire, add, change and delete program providers, maintain an historical archive of inactive providers, and electronically flag expiration of certification or position vacancy.	
Vendor Comments:	

2.5 Volunteer Information

A system to maintain information regarding all volunteer program providers who enter facilities for programmatic activities and maintains information on all DOC facility program volunteer coordinators, with contact information.

DOC Requirements	Vendor Response
2.5.1 Program Volunteer Name List	- Please Select One Option -
The ability for a centralized system for information on DOC volunteers that allows users to find and print listings of volunteers by name, assigned facility(ies), status, and/or specific volunteer program as well as the date of the most recent security clearance check, volunteer status and a comment line for narrative updates.	
2.5.2 Add/Update/Delete Volunteer Information	- Please Select One Option -
The ability for a centralized program volunteer name list must be able to add new volunteer information, update existing volunteer information, or delete volunteer information. Information regarding inactive volunteers will be maintained in an historical archive.	
2.5.3 Volunteer Photo	- Please Select One Option -
The ability to store a photograph files of photos for volunteers as part of the informational file, for identification verification by facility staff.	
2.5.4 Security Clearance Notification	- Please Select One Option -
The ability to provide an electronic flag to notify	

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staff when a volunteer requires an updated security check at a user defined time period.	
2.5.5 Volunteer Notification	- Please Select One Option -
The ability to print a notification letter to volunteers regarding status (approved, denied, active, inactive) and store the letter.	
2.5.6 User Administration Capability	- Please Select One Option -
The ability to maintain a list of users with password protected various levels of access from read only authorization to system manager and system administrator. The ability to allow additions/updates and deletion of users, including maintaining a historical archive.	
2.5.7 Confidential Volunteer Records	- Please Select One Option -
The ability to mark certain volunteer information as confidential. There are confidentiality issues that must be identified as confidential or non-confidential. Confidential items should not print or be displayed on non-confidential reports or screens.	
2.5.8 Volunteer Coordinator List	- Please Select One Option -
The ability to maintain a list of DOC staff who acts as facility volunteer coordinators, including name, title, contact information and volunteer program responsibility. A comment line for narrative update must be available. The system should have the ability to generate, print and/or electronically distribute this list, which may be sorted by name, program, related volunteer or facility.	
Vendor Comments:	

2.6 Religious Services

A system to maintain information regarding all offender religious affiliations as well as all religious services programs and activities held in facilities.

DOC Requirements	Vendor Response
2.6.1 Religious Affiliation List	- Please Select One Option -
The ability to provide a centralized system for information on religious affiliations of all offenders that allows users to find and print listings of religious affiliation by offender name, number, assigned facility (ies), religious denomination, date of affiliation, race, and	

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<p>inmate housing assignment, with a comment line for narrative updates.</p>	
<p>2.6.2 Add/Update/Delete Religious Affiliation Information</p>	<p>- Please Select One Option -</p>
<p>The religious affiliation list should be able to add new offender information, update existing offender information, or delete offender religious affiliation information. The system should have the ability to allow a lock on updates to religious affiliations for a set time (currently 90 days) prior to revision of affiliation. Information regarding inactive offenders will be maintained in an historical archive.</p>	
<p>2.6.3 Confidential Religious Services Records</p>	<p>- Please Select One Option -</p>
<p>The ability to mark certain religious services information as confidential. There are confidentiality issues that must be identified as confidential or non-confidential. Confidential items should not print or be displayed on non-confidential reports or screens.</p>	
<p>2.6.4 Religious Activities Calendar</p>	<p>- Please Select One Option -</p>
<p>The ability to maintain a calendar of all religious activities scheduled for all facilities. This calendar shall include information regarding the type of activity, the religious denomination the activity is affiliated with, the Religious Services Staff contact for the activity, any religious services volunteer associated with the event in the facility and the time and date of scheduled activity. The system should allow this information to be sorted by offender name, religious activity, religious services staff, related volunteer, date or facility.</p>	
<p>2.6.5 Facility Religious Activity Attendance List</p>	<p>- Please Select One Option -</p>
<p>The ability to print a listing of offenders scheduled to attend identified religious activities by facility, offender name and number, date, religious denomination, race and housing assignment.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.6 Addiction Services

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The Addiction Services Unit prepares substance abusing offenders for successful reentry into society by assessing at admission, planning for and delivering treatment services while incarcerated, and transitioning that treatment connection into the community. All Addiction Services staff are certified to practice in accordance with state certification mandates.

DOC Requirements	Vendor Response
2.6.1 Assessment Record The ability to record the initial assessment and results for each offender.	- Please Select One Option -
2.6.2 Interface with Classification Records The ability to log referral results for substance abuse program services along with status(e.g. wait-listed, enrolled, and removed) on the classification record. Historical records must be stored.	- Please Select One Option -
2.6.3 Offender Addiction Services Score List The ability to provide list of offender addiction treatment need scores by offender name, number, score, staff member assigning the score, facility.	- Please Select One Option -
2.6.4 Interface with Health Services Records The ability to access information about detoxification protocols utilized for individual offenders.	- Please Select One Option -
2.6.5 Prioritize Treatment Need Referrals The ability to determine offender priority for substance abuse program placement based on specific case record information (e.g. status, release date, treatment need).	- Please Select One Option -
2.6.6 Addiction Services Program Schedules The ability to generate substance abuse program schedules and rosters.	- Please Select One Option -
2.6.7 Addiction Services Treatment Program Waitlist The ability to establish and maintain waitlists for substance abuse treatment programs within programs and facility in addition to within agency, and prioritize offenders on waitlist according to specific substance abuse program criteria.	- Please Select One Option -
2.6.8 Performance outcomes The ability to have the capacity to record and report performance-based outcome measures including discharge status, and participant progress.	- Please Select One Option -
2.6.9 Treatment Records	- Please Select One Option -

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The ability to maintain current and historical information on offenders with multiple treatment episodes and corresponding dates and data.	
2.6.10 Confidential Records	- Please Select One Option -
The ability to mark certain treatment information as confidential. There are confidentiality issues that should be identified as confidential or non-confidential. Confidential items should not print or be displayed on non-confidential reports or screens.	
2.6.11 User Administration Capability	- Please Select One Option -
The ability to maintain a list of users with password protected various levels of access from read only authorization to system manager and system administrator. System should allow additions/updates and deletion of users, including maintaining a historical archive.	
2.6.12 Consent to Treatment	- Please Select One Option -
The ability to receive and record offender consents (treatment and release of information), including procedures, medications, and conditions of treatment.	
2.6.13 Protocols	- Please Select One Option -
The ability to access protocols and validate treatment plans with user override capability. The system should have the ability to add, change or inactivate treatment protocols as needed.	
2.6.14 Progress Notes	- Please Select One Option -
The ability to allow for recording offender progress notes. The system should also have the ability to access records of urinalysis results for inmates involved in substance abuse programming.	
2.6.15 Program Staff List	- Please Select One Option -
The ability to provide a list of staff program providers, with information to include staff name, agency and electronic numeric identifier, title, facility assignment, and dates of certification. The ability to sort the list by name, facility and program.	
2.6.16 Add/update/delete program staff information	- Please Select One Option -
The ability to provide to inquire, add, change and delete program staff information, track recertification required supervision and training hours for professional credentialing, and electronically flag expiration of the certifications.	
2.6.17 Addiction Services Activities Calendar	- Please Select One Option -

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<p>The ability to maintain a calendar of addiction services activities scheduled for all facilities. This calendar shall include information regarding the type of activity, any volunteer associated with the event in the facility and the time and date of scheduled activity.</p>	
<p>2.6.18 Addiction Services Program Attendance List</p>	<p>- Please Select One Option -</p>
<p>The ability to print a listing of offenders scheduled to attend identified addiction services activities by facility, offender name and number, date, contact staff, and housing assignment.</p>	
<p>Vendor Comments:</p>	
<p></p>	

3. Report and Query Requirements

DOC Requirements	Vendor Response
<p>3.1 Program Summary Listing</p>	<p>- Please Select One Option -</p>
<p>Produce a report of program information for each program. The reports should include a summary of each program provided, with a program title, narrative description, location availability, auspice/provider and type of program, with capability to be sorted by individual offender, facility, program/service or provider.</p>	
<p>3.2 Priority List for Program Assignment</p>	<p>- Please Select One Option -</p>
<p>The ability to prioritize offenders on the waitlist by End of Sentence date, Voted to Parole date and TPAI score.</p>	
<p>3.3 Offender Program Waiting List</p>	<p>- Please Select One Option -</p>
<p>The ability to list all assigned offenders in any program waiting list at the institutional and departmental level. The system should also have the ability to display all current waiting list information, sorted by offender, program provider, facility or program.</p>	
<p>3.4 Program Completion</p>	<p>- Please Select One Option -</p>
<p>The ability to provide a listing of all offenders who, within a user defined date range, completed any identified program, sorted by facility, facilitator, or program.</p>	

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<p>3.5 Program Non-Completer</p> <p>The ability to provide a listing of all offenders who, within a user defined date range was a participant in any identified program, sorted by facility, facilitator, or program and reason for non-completion (removed, refused, discharge to community, disciplinary).</p>	<p>- Please Select One Option -</p>
<p>3.6 Program Facilitator Information</p> <p>Maintain a list of all DOC staff trained as program facilitators to ensure each facility has sufficient staffing levels to accommodate delivery of all identified programs, sorted by employee name and numeric identifier, assigned programs, date of certification and facility.</p>	<p>- Please Select One Option -</p>
<p>3.7 Program Volunteer Name List</p> <p>A centralized system for information on DOC volunteers that allows users to find and print listings of volunteers by name, assigned facility(ies), status, and/or specific volunteer program as well as the date of the most recent security clearance check, volunteer status and a comment line for narrative updates.</p>	<p>- Please Select One Option -</p>
<p>3.8 Addiction Services Staff Certification List</p> <p>The ability to provide a list of addiction services by staff name, numeric identifier, title, facility assignment, and dates of certification. The ability to sort the list by name, facility and program.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

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BC20 – Inmate Banking and Restitution Requirements

The Inmate Trust Fund was established to maintain control of offender's earnings and other monies. The Inmate Trust Fund Unit acts in a fiduciary capacity on behalf of approximately 19,000 offenders in 20 correctional facilities. Funds are received via money orders, which are received via mail, electronic deposits, earnings from prison work details, cash confiscated from offenders upon admission and payments of bonds to courts. Disbursements are issued upon a special request from offenders for various reasons (e.g. sending money home to their families and upon discharge or transfer to another jurisdiction's correctional facility). Immediate deductions for commissary purchases and fees and services (e.g. medical visit fee, photocopies, and postage) are withdrawn from an offender's account balance. Reimbursement checks are written weekly to other funds for accrued payables.

Inmate Trust Fund staff provides agency personnel as well as other state agencies with pertinent information regarding offenders' account activity.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Inmate Trust Fund User and Inmate Trust Security
- 1.1.2 Inmate Trust Fund Administrator Functions
- 1.1.3 Financial Maintenance
- 1.1.4 Payees
- 1.1.5 Trust Account (Establishment and/or Re-establishment)
- 1.1.6 Display Trust Account
- 1.1.7 Manage Open Trust Account
- 1.1.8 Payrolls Processed by Facilities
- 1.1.9 Manage Inactive Trust Accounts
- 1.1.10 Close Trust Account
- 1.1.11 Check Processing
- 1.1.12 General Ledger Accounting
- 1.1.13 Electronic Deposit Interface
- 1.1.14 Peripherals and Devices

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking
- 1.3.2 Housing
- 1.3.3 Inmate Records
- 1.3.4 Sentence and Time Calculation
- 1.3.5 Offender Management
- 1.3.6 Classification and Assessments
- 1.3.7 Movement and Transfers
- 1.3.8 Population Management
- 1.3.9 Violation and Disciplinary Action
- 1.3.10 Program and Activities
- 1.3.11 Visitation
- 1.3.12 Offender Employment
- 1.3.13 Education
- 1.3.14 Commissary Sales and Inventory
- 1.3.15 Pre Release Processing

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2. Functional Requirements

DOC Requirements	Vendor Response
<p>2.1 Inmate Trust Fund User and Inmate Trust Security</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the Inmate Trust Fund Administrator with the capabilities to: Maintain Personnel Maintain User Account Assign Password Create User Groups Assign Module to User Groups Staff Member to User Groups.</p>	
<p>2.2 Inmate Trust Fund Administrator Functions</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the Inmate Trust Fund Administrator with the capabilities to: Create and maintain Trust Fund System Profiles Create and maintain Trust Fund Reference Codes Create and maintain Agency Locations Maintain Tool Bar Navigation.</p>	
<p>2.3 Financial Maintenance</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the Inmate Trust Fund Administrator and staff with the capabilities to: Create and maintain Account Periods Create and maintain Chart of Accounts Open and maintain New Chart of Accounts Create and maintain Transaction Types Create and maintain Transaction Operations Create and maintain Bank Accounts Create and maintain the Check Sequence Create and maintain the Inmate Payroll Cycle Create and maintain the Inmate Payroll Work Groups Create and maintain the Compensation Rates Create and maintain Work Assignments.</p>	
<p>2.4 Payees</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the Inmate Trust Fund Administrator and certain staff with check writing capabilities to: Assign the payee of a check to an individual Assign the payee of a check to agencies/businesses.</p>	
<p>2.5 Trust Account (Establishment and/or Re-establishment)</p>	<p>- Please Select One Option -</p>
<p>The ability to create and maintain only one active account per offender. The ability to display the current balance of each account based on transactions entered.</p>	

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2.6 Display Trust Account	- Please Select One Option -
The ability to view a chronological listing of all postings on an offender's trust account. As well as the ability to view individual offender's account information, including the offender's account balances, sub accounts, payables and transaction details.	
2.7 Manage Open Trust Account	- Please Select One Option -
The ability to have the following capabilities: Receive and disburse funds Establish and remove holds to individual accounts Transfer funds between sub-accounts Adjustment of accounts Obligate accounts	
Vendor Comments:	

2.8 Payrolls Processed by Facilities

The ability to provide a payroll module to compile, compute, post and track inmate payroll transactions. The payroll module should include offender's name, number, facility, work assignment, hire/termination date and housing unit information in the payroll header for each timesheet.

DOC Requirements	Vendor Response
2.8.1 Audit Review	- Please Select One Option -
The ability to provide an automatic form computation and allow audit review of the electronic timesheets by Custody and Inmate Accounts prior to release.	
2.8.2 Notification of Potential Duplicate Payments	- Please Select One Option -
The ability to notify the user of any potential duplicate payments to an offender.	
2.8.3 Payroll Reports	- Please Select One Option -
The ability to provide a complete suite of payroll reports that include offender's earnings by quarter and year, district and facility payroll expenses along with tax form 1099 MISC. and W-2 reporting and generation capabilities.	
2.8.4 Offender Worker Attendance	- Please Select One Option -
The ability to mark daily (offender's detail wages) or hourly (correctional industry wages) worker attendance.	
2.8.5 Adjust Number of Payroll Schedules	- Please Select One Option -

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The ability to adjust the number of payroll schedules available for offenders and provide the following information: Pay Grade, Job Classification, Job Title/Type, Daily or Hourly worker, Pay Rate (per day/hour), Piece Work or Incentive Pay and Weekly, Bi-Weekly or Monthly Payday.	
2.8.6 Assign Offender to Work	- Please Select One Option -
The ability to assign an offender to a job if they have a corresponding classification assignment.	
2.8.7 Purge Offender from Job Assignment	- Please Select One Option -
The ability to purge an offender from their job if they have been dismissed, discharged and/or transferred from the facility.	
2.8.8 Automate Offender's Pay	- Please Select One Option -
The ability to Interface with the Programs & Activities process group to automate offender's pay, including multiple pay schedules.	
2.8.9 Deduction Schedule	- Please Select One Option -
The ability to provide a deduction schedule for payroll taxes and institutional deductions (e.g. restricted savings) that can be applied based upon a job classification number, and allow modification of specific deductions on an individual basis (e.g. encumbrances, child support, etc).	
2.8.10 Adjustable Deduction Schedule	- Please Select One Option -
The ability to base deduction schedules on either a flat value or a percentage of pay (gross, net or adjusted net).	
2.8.11 Post Payroll Expense Account	- Please Select One Option -
The ability to post payroll expense account data to the appropriate general ledger accounts.	
2.8.12 Export to Excel	- Please Select One Option -
The ability for Payroll data to be exported to Excel.	
Vendor Comments:	

DOC Requirements	Vendor Response
2.9 Manage Inactive Trust Accounts	- Please Select One Option -
The ability to transfer unclaimed inmate trust	

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funds and the capability to print a notification to all offenders who have not claimed their funds within a user defined period.	
2.10 Close Trust Account	- Please Select One Option -
The ability to suspend an account from further activity until it is re-opened.	
2.11 Check Processing	- Please Select One Option -
The ability to produce, edit, void and write off checks.	
2.12 General Ledger Accounting	- Please Select One Option -
The ability to be in compliance with all general accepted accounting principles (GAAP).	
2.13 Electronic Deposit Interface	- Please Select One Option -
The ability to interface with wire-transfer facilities (e.g. Western Union).	
2.13.1 List of Offenders that are Designated to use Electronic Deposit.	- Please Select One Option -
The ability to compose a list of offenders that are designated to use electronic deposit.	
2.13.2 List of Visitors that re Designated to Use Electronic Deposit.	- Please Select One Option -
The ability to compose a list of visitors that are designated to use electronic deposit.	
2.13.3 Vendor obtain Offender and Visitor Lists	- Please Select One Option -
The ability to have the electronic deposit vendor obtain the offender and visitor lists for their own processing.	
2.13.4 Vendor Transmit Posting File	- Please Select One Option -
The ability to have the electronic deposit vendor transmits the posting file for CTDOC processing.	
2.14 Peripherals and Devices	- Please Select One Option -
The ability to use Peripherals and Devices.	
2.14.1 Check Writer Printers	- Please Select One Option -
Please provide a complete list of all the check writer printers that run with the new system. Include a unit cost for software and hardware.	
Vendor Comments:	

3. Query and Reporting Requirements

DOC Requirements	Vendor Response
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<p>3.1. Database Searches</p> <p>The ability to search the offender's database using a variety of search fields. For example, CTDOC Offender's Number, Name, Alias, SBI and FBI Numbers, Social Security Number, Date of Birth Driver's License Number may be used as a search field.</p>	<p>- Please Select One Option -</p>
<p>3.1.1. Offender's First and Last Name</p> <p>The ability to define the first three bytes of any last name should be defined as a secondary key field. The last name should be the secondary key used to look-up an offender's record and should cross-reference a previously assigned offender's number.</p>	<p>- Please Select One Option -</p>
<p>3.1.2. Prior Periods of Incarceration</p> <p>The ability to search for prior periods of incarceration and maintain all records related to each separate and distinct incarceration. Prior incarcerations should be accessible through an archive and retrieval mechanism on all transactions for offender's re-entering CTDOC jurisdiction, including recovery of medical, disciplinary, classification, financial, location, profile (separation), and SRG transactions for earlier incarcerations.</p>	<p>- Please Select One Option -</p>
<p>3.1.3. Movement History Dates</p> <p>The ability to search for admission dates and discharge dates with the ability to enter date ranges in order to obtain an offender's list.</p>	<p>- Please Select One Option -</p>
<p>3.2. Account Ledger - Trial Balance</p> <p>The ability to generate a report should provide the name, type, category, balance and account number of each account maintained, sorted by institution and/or account type. Debits should equal credits.</p>	<p>- Please Select One Option -</p>
<p>3.3. Accounts Payable</p> <p>The ability to generate a report that lists all payables on or between the start and end dates entered. Payables are check entries made that have not yet been printed. The report lists detailed information on checks requested and a summary for each account fund. Users should have the option of printing a detailed and/or summary report. Users should be able to select via account type. The Payables Detail report should include but not be limited to the following attributes: Offender's Number, Offender's Name, Amount, Check Due Date, Payee, Institution Code, Account Total, Overall Total. The Payables Summary report should include but not be limited to the following attributes:</p>	<p>- Please Select One Option -</p>

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Account, Account Total, and Overall Total.	
3.4. Account Statements	- Please Select One Option -
The ability to generate a report that produces a user defined time period (using to and from dates) which lists transactions posted to each offender's account for a specified time period. Each offender's account should be listed separately. The statement should include the offender's name and number, an opening balance for each account, transactions posted to the account during the time period, balance after each transaction, date, amount and comment, and closing balance for the end date. The user should have the ability to print individual statements for one, multiple, or all offenders, and, if all is selected, either individual statements or a compressed statement for use in the business office. The statement selection criteria should include: offender sequence (numeric, alphanumeric or location), account type, Institutions (all combined, all separately, or specific), and Institution Types (all types, actual institutions, halfway house/ honor center, or county jail). The offender sort sequence should default to "Location". A secondary control should be added when a sort sequence other than location is selected (i.e. the user should be prompted with a question such as "Are you certain you want the report sorted numerically?"). The from date should default to the day after the end date used for the previous statement run of all statements. Users may overwrite this date. Users should have the option whether or not to print correcting entries (and the original transaction which was entered in error) on an account statement. The statement program should record and print the date, amount, and type of transaction deducting an involuntary payment and identify each indictment number(s) and assessment fund credited. A separate entry should identify the amount deducted for the transaction fee, if applicable.	
3.5. Balance Sheet	- Please Select One Option -
The ability to generate a report that conforms in accordance with State and CTDOC policies for a user-defined period for each and/or all accounts. The date, name, type, category, and account number of each account should be included in the report.	
3.6. Bank List	- Please Select One Option -
The ability to generate a report that lists the name, address, and account number of each	

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<p>bank where accounts are maintained, sorted by institution. Users should have the ability to define and/or select attributes by type.</p>	
<p>3.7. Check Register</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the capability to inquire the status of checks in the Trust check register (cleared, not cleared and voided).</p>	
<p>3.8. Control Totals</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists amounts by facility. The list should include facility code, housing unit and amounts.</p>	
<p>3.9. Future Reporting Needs</p>	<p>- Please Select One Option -</p>
<p>The ability to request report customization at no cost for two years after software go-live. Vendor should be able to supply a new “canned report” within a two-week period.</p>	
<p>3.10. Offender’s Account Lists</p>	<p>- Please Select One Option -</p>
<p>The ability to generate an account list report, which generates a printed copy of all or specific balances for each account. Users should have the option to sort the report by active, released, or all offenders and by whether the offender has a negative balance, positive balance, or for all offenders with any balance. Users should have the option to produce a detailed or summarized report, to select all or specific account types, all or specific institutions, and all or specific institution types. Users should also have the option to select an offender’s print sequence, either numeric, alphabetic or by location. Sorts should be based on the criteria selected. The Detail list should include Institution Code, Location Code, Offender’s Number, Offender’s Name, Personal Account, and Work Release Savings. For released offenders, the date and type of release should be listed. Subtotals by Account should be provided. The Summary List includes Institution Code, Total Number of Offenders, Personal Account, and Work Release Savings. Subtotals by Account should be provided.</p>	
<p>3.11. Offender’s Payee List</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that has the capability to list recipients of funds from an offender. The report should include but not be limited to the following information: Payee Code, Payee Name, Payee Address, City/State/Zip, and Payee Phone Number.</p>	
<p>3.12. Offender’s Roster</p>	<p>- Please Select One Option -</p>
<p>The ability to provide an Offender’s Roster report, which should list all or selected groups of offenders based on various criteria. Users should have the option of producing a roster by</p>	

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<p>type of report (detail or summary), offender's sequence (numeric, alphabetic or location), by offender's types (all, active, or released/transferred), custody status (all combined, all separate, full minimum, gang minimum, in and out stat, maximum, released or transferred), institutions (all combined, all separately or specific), and institution types (all, actual institutions, halfway houses/honor center, county jail). Sorts should be based on the criteria selected. The Detail Report should list Offender's Number, Offender's Name, Institution Code, Location Code, Effective Date, Custody Status, Released, and Transferred. The Summary Report should list Institution Code, Total Offenders, Total Active Offenders, Total Released Offenders, and Total Transferred Offenders.</p>	
<p>3.13. Location List</p>	<p>- Please Select One Option -</p>
<p>The ability to provide a report that lists all housing location codes and descriptions as required. The report should include Institution Code, Location Code, Location Description, Number Authorized, and Number Assigned. The user should also have the option of running a list for one or multiple locations.</p>	
<p>3.14. Prison Litigation Reform Act (PLRA)</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that calculates and maintains balances associated with the PLRA sub-account.</p>	
<p>3.15. Recipients of Outgoing Funds</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that identifies those individuals/businesses who receive funds from an offender's trust account. This report should include but not be limited to the following: Payee PIN, Payee Name, Payee Address, City/State/Zip, and the amount of funds received.</p>	
<p>3.16. Remitters of Offender's Incoming Funds</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that identifies those individuals/businesses who sent funds to an offender. This report should include but not be limited to the following: Sender PIN, Sender Name, Sender Address, City/State/Zip, and the amount of funds sent.</p>	
<p>3.17. Report Export Options</p>	<p>- Please Select One Option -</p>
<p>The ability to generate all reports that maintains the ability to be exported to an Excel database and in ASCII format as well, to allow for sharing information with a secondary report writer.</p>	
<p>3.18. Report Parameters</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate all reports to have date range, item range, inventory location and offender's parameters to be set by the end user.</p>	
<p>3.19. Statement of Income and Expenses</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides a statement of income and expenses in accordance with State and CTDOC policies for a user-defined period for each and/or all accounts. The statement should include but not be limited to the following: name, type, category, and account number of the account, the opening and closing balances, receipts, and disbursements. Signature and date lines for the preparer and certifier should be provided.</p>	
<p>3.20. Statement of Activities and Net Worth</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides a statement of activities and net worth in accordance with State and CTDOC policies for a user-defined period for each or all accounts. The statement should include but not be limited to the following: name, type, category, and account number of the account, the opening and closing balances, assets, liabilities, receipts, and disbursements. Signature and date lines for the preparer and certifier should be provided.</p>	
<p>3.21. Trust Closeout Account Balance List</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides balances for each account. This report should include but not be limited to the following: Account Number, Account Type, Account Category, Account Name, and a balance amount by fund. A total for all accounts should be included. Users should be able to select the report by account type.</p>	
<p>3.22. Trust Closeout Reports</p>	<p>- Please Select One Option -</p>
<p>The ability to have the capability to produce the Trust Close Out reports for any given day. The user should have the option to produce all trust closeout reports and/or individual reports. Users should be able to select the report by account type.</p>	
<p>3.23. Trust Closeout Transaction Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all transactions posted since the last trust close out. Users should be able to select the report by account type. The report should print double sided entries (GAAP) for each transaction. All transaction types should be listed in offender's number order. The report should include but not be limited to the following: Offender's Number,</p>	

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<p>Offender's Name, Transaction Posting Date, Comment, Transaction code, Debit or Credit, and Net Change. Totals are listed for Transaction types within account and institution, all transactions for this account and institution, all transactions for this institution, and all transactions. Each of the posting programs prints an audit trail during the course of workday. The postings on this report should be the same as those listed on the audit trails generated throughout the day.</p>	
<p>3.24. Trust Closeout Transaction Summary Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists totals by transactions within each account sorted by institution or account. Users should be able to select the report by account type. The "all institutions net change" should match the net change on the Transactions Report. The report should include but not be limited to the following: Account Name, Transaction, Debits (amounts added), Credits (amounts subtracted), Net Change, Old Balance, New Balance and Difference. Totals are included for transactions posted for an account and all transactions posted. Subtotals are provided for each account and an overall total is provided for all accounts when the report is sorted by institution. Each institution's net change total corresponds to the total "all institutions net change" column on the Transactions report and the total "net change" column on the report sorted by fund.</p>	
<p>3.25. Trust Selected Dates</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists every transaction posted for the date(s) or date range entered by transaction type and account. Users should be able to select the report by account type. Users should be able to enter a minimum transaction amount (e.g. list all transactions over \$200.00). Users should be able to sort or filter the report by transaction type and by offender and/or by "vendor". A transaction summary should include but not be limited to the following: Offender's Name, Offender's Number, Transaction Amount, Transaction Code, Comment, and Account Name. Subtotals are to be provided by transaction type. Users should also have the option of running a Trust Selected Date List - Summary report that lists the Account Name, Transaction Code, Debit Amount, Credit Amount, and Net Change.</p>	
<p>3.26. Trust Summary List (Journal Entry)</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists the</p>	

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totals of all transaction journal entries that have been posted by date. The report should include a closing balance, posting date, and transaction amount. Users should be able to select the report by account type.

Vendor Comments:

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BC.21 – Commissary Sales and Inventory Requirements

The Commissary is comprised of three warehouse/distribution centers, located geographically throughout the state, that provide offenders the opportunity to purchase commissary on a weekly basis. Items sold by the Commissary include personal hygiene products, clothing, electronics, and food items for immediate consumption. The software application should maintain and manage an inventory of goods sold to offenders, including a system for ordering, receiving, and returning items to vendors. Purchase programs should allow offenders to buy stock items, automatically checking for quantity, facility and housing unit, spending limits and diet restrictions, and reducing the offender's trust fund account by the amount of the purchase.

Currently, offenders fill out a commissary order form (bubble sheet), which is collected and forwarded to a district commissary warehouse for processing. Bubble sheets are fed into a scanner, which creates a file that is then interfaced with our current software. This interface creates a receipt, debits the offender's account and also debits the inventory database. Offenders process and bag the orders, which are then loaded into delivery trucks and sent out to the facilities. Commissary staff members distribute the orders to the offender population, and each offender verifies and signs a receipt for their merchandise. Undelivered bags, and lists of verified shortages, are then returned to the district commissary for processing, which entails a reversal of the sales process, creating a credit to the offender's account and a credit to the inventory database.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Create and Maintain Accurate Commissary Item Inventory
- 1.1.2 Conduct Offender's Sales and Credit Transactions
- 1.1.3 Offender's Commissary Sales Restrictions
- 1.1.4 Track and Report Controlled Items
- 1.1.5 Offender's Order Interfacing
- 1.1.6 Year and Period Parameter
- 1.1.7 Three Decimal Places
- 1.1.8 Switch Between Commissary
- 1.1.9 Prohibit the deletion of transactions.
- 1.1.10 Default to the System Date
- 1.1.11 Integrity in fiscal years and periods
- 1.1.12 Archive and Retrieve Prior Year
- 1.1.13 Sales Tax
- 1.1.14 Sales History Tracking
- 1.1.15 Peripherals and Devices

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking
- 1.3.2 Housing
- 1.3.3 Inmate Records
- 1.3.4 Property Management
- 1.3.5 Offender Management
- 1.3.6 Classification and Assessments
- 1.3.7 Movement and Transfers
- 1.3.8 Population Management
- 1.3.9 Program and Activities
- 1.3.10 Offender Employment

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- 1.3.11 Education
- 1.3.12 Inmate Banking and Restitution
- 1.3.13 Pre Release Processing
- 1.3.14 Violation and Disciplinary Action
- 1.3.15 Visitation
- 1.3.16 Offender Event Schedule, Calendar, Alerts and Conflict Resolution

2. Functional Requirements

2.1 Create and Maintain Accurate Commissary Item Inventory

DOC Requirements	Vendor Response
2.1.1 Inventory Data	- Please Select One Option -
For the commissary inventory data, the ability to be identified, managed and tracked by district location. The ability to operate and report individual facility data including both active and inactive offenders. To be able to adjust the number of operating sites (districts) as needed to meet the demands of the CTDOC.	
2.1.2 Inventory Catalog Items	- Please Select One Option -
The capability to inquire, add, change, activate and deactivate, and to delete the commissary catalog or inventory items with the access capability through the role security for commissary.	
2.1.2.1 Make Changes	- Please Select One Option -
The ability to make changes to any individual district inventory item maintenance or to apply the changes to all at the same time by the commissary administrator.	
2.1.2.2 Ability to Clone Items	- Please Select One Option -
The ability to 'clone' item records by the commissary administrator, therefore creating a number of similar items that have most of the same data elements.	
2.1.3 Inventory Valuation	- Please Select One Option -
The ability to maintain inventory value based on current item cost, as opposed to average cost or last cost.	
2.1.4 Add Markup to Inventory Items	- Please Select One Option -
The ability to allow the user to add a user defined markup percentage to the current item cost for each commissary catalog item in order to create the standard or selling price. The ability to round up the selling price to the nearest penny. The ability by the user to "hard-code" the actual cost or retail price of items that may require deviation from the norm.	
2.1.5 Substitutions	- Please Select One Option -
The capabilities to inquire, add, change, and delete substitution information. Substitution	

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items are items that can be substituted for similar out of stock or discontinued commissary items requested on an offender's commissary order. The ability to maintain automatic item substitution when out-of-stock levels are met for pre-determined items.	
2.1.6 Inventory Management	- Please Select One Option -
The ability to allow the following functional capabilities:	
2.1.6.1 Item History	- Please Select One Option -
The ability to maintain complete item history.	
2.1.6.2 Calculate Minimum and Maximum Reorders	- Please Select One Option -
The ability to calculate the Minimum/Maximum and to reorder point purchase management features by item and district database as well as user defined timeframes.	
2.1.6.3 Product Category	- Please Select One Option -
The ability to have Product Category scheduling/assignment capabilities (e.g. Health, Foods, Beverages, Clothing etc.).	
2.1.6.4 Look-Up Screens	- Please Select One Option -
The ability to have inquiry look-up screen capabilities by item and by site, to include item number, description, valuation, vendor, controlled item (yes/no), number on hand, number on order, number on backorder, reorder level, and maximum level.	
2.1.6.5 Allow Changes	- Please Select One Option -
The ability to allow changes to the Backorder field by users.	
2.1.7 Vendor Contact information	- Please Select One Option -
The ability to inquire, add, change, and delete commissary vendor information. A vendor (for this function) is defined as any merchant who sells goods to the commissary. To provide the commissary administrator the ability to add, change, and delete the vendor phone number and contact person name for each vendor. The ability of the commissary administrator to assign levels of security on the vendor contact information screens so only certain users can make changes to the vendor info. To have the ability for all users to look up info on the vendor contact information screens.	
2.1.8 Purchasing and Receiving of Stock Items	- Please Select One Option -
The ability to allow for the purchase and entering into inventory of catalog items. The ability to enter the individual items into inventory after	

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verifying the receipt of individual items on the purchase order.	
2.1.9 Inventory of Catalog Items.	- Please Select One Option -
The ability to create a report of all items, by vendor, which are below the order minimum.	
2.1.10 Create Purchase Order	- Please Select One Option -
The ability to create a purchase order system, with a unique sequential number being assigned to each for tracking purposes.	
2.1.11 Interface with Current Oracle PeopleSoft CORE-CT system	- Please Select One Option -
The ability to create an electronic interface with the current Oracle PeopleSoft CORE-CT system with the option to bypass the interface (e.g. if user needed to place a supplemental purchase order into the System to correct the original, but didn't want the interface to actually send another purchase order to the vendor).	
2.1.12 Commissary Users	- Please Select One Option -
The ability to allow the commissary users the function to override the commissary system cost when placing the purchase order.	
2.1.12.1 Order Same Item	- Please Select One Option -
The ability to order the same item number on multiple lines on the same purchase order.	
2.1.12.2 Order Items not currently active	- Please Select One Option -
The ability to order items that are currently flagged as not currently active.	
2.1.12.3 Change Order after Dispatched	- Please Select One Option -
The ability to make changes to a purchase order after it has been dispatched.	
2.1.12.4 Change to Purchase Order Quantities	- Please Select One Option -
The ability to make changes to the purchase order quantities and item cost when 'receiving' the order.	
2.1.12.5 Option to Cancel Items	- Please Select One Option -
The ability to have the option to cancel items not received or to keep them on backorder.	
2.1.13 Return Stock to Vendor	- Please Select One Option -
The ability to allow the commissary user to return items and to remove them from inventory. As with purchase orders, each return to have an assigned unique sequential number for tracking purposes. The ability to have a returns screen containing fields for entering the vendor, the date, item number, the quantity being returned, and the reason for the return. The ability to calculate and display the value of each item, as well as of the total return.	

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2.1.14 Periodic Inventory Checks	- Please Select One Option -
The ability to allow staff to take periodic inventories of stock items and to make correcting adjustments to the quantities.	
2.1.15 Physical Inventory	- Please Select One Option -
The ability to have a physical inventory.	
2.1.15.1 Inventory Count Sheet Report	- Please Select One Option -
The ability to have an Inventory Count Sheets report, or printout of all inventory items by category, each item with a printed line to be used by staff to record their counts (see report 3.22). The ability to include in the report all active items, as well as all inactive items that have an inventory not equal to zero.	
2.1.15.2 Physical Count Screen	- Please Select One Option -
An Enter Physical Count screen, in the same sequence as the Inventory Count Sheet, with a field for entering the physical counts taken from the Inventory Count Sheets.	
2.1.15.3 Inventory Variance Report	- Please Select One Option -
An Inventory Variance report (see report 3.23)	
2.1.15.4 Accept Physical Count Screen	- Please Select One Option -
The ability to have an Accept Physical Count screen, again in the same sequence, by which the user confirms that each of the physical counts should become the new system count.	
2.1.15.5 Change the Count on Physical Count Screen	- Please Select One Option -
The ability to allow the user to change the count on the Enter Physical Count screen until such time as that count has been accepted.	
2.1.16 Inventory Adjustments	- Please Select One Option -
The ability to have a supervisory feature for correcting inventory quantities other than during a physical inventory (e.g. to take out of inventory an item that was incorrectly received in the Purchasing/Receiving module.) Adjustments to be sequentially numbered and archived with a full audit trail controlled by the commissary administrator or designee.	
Vendor Comments:	

2.2 Conduct Offender’s Sales and Credit Transactions

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To allow the operator to charge the offender for commissary items, using either a keyboard or optical scanner, and to credit any items or orders. To update all transactions to the offender's account, to the inventory quantity on hand and to the appropriate general ledger accounts in "real-time." To not allow sales to an offender's account that is not active.

DOC Requirements	Vendor Response
<p>2.2.1 Sales</p> <p>The ability to check for holds on the account, purchases (including tax) which exceed the offender's balance, spending limit, and exception amounts, item restrictions, available stock, and item substitution. The ability to calculate the extended prices, purchase total, new offender's account balance, and remaining spending limit.</p>	<p>- Please Select One Option -</p>
<p>2.2.2 Optical Scanner Sales</p> <p>The ability to support an optical mark reader, with dual sided capacity and interactive printing capabilities. The ability to read a pre-printed inventory purchase list, completed by the offenders, for the purchase of commissary items.</p>	<p>- Please Select One Option -</p>
<p>2.2.3 Reverse Order</p> <p>If the offender's available balance (including spending limits, frozen accounts, etc.) is exceeded by the amount of the purchase request, the ability for the system to automatically cut the purchase in reverse of order entry, until the amount of the order is less than the available balance.</p>	<p>- Please Select One Option -</p>
<p>2.2.4 Stop Selling Item when No Inventory</p> <p>The ability to stop selling an item when its inventory gets down to zero.</p>	<p>- Please Select One Option -</p>
<p>2.2.5 Manual Sales</p> <p>The ability to provide for on-site manual order processing (key entry of SKU codes).</p>	<p>- Please Select One Option -</p>
<p>2.2.5.1 Manual Sale Screen</p> <p>The ability to have a manual sale screen to include a field for entering a memo that would print on the sales receipt (e.g. recording serial numbers of controlled items.)</p>	<p>- Please Select One Option -</p>
<p>2.2.5.2 Check for Controlled Item</p> <p>The ability to check each item keyed to determine if it is a controlled item. If so, then display a message – "This item was previously purchased on (date). Do you want to continue? With a "Yes/No" option.</p>	<p>- Please Select One Option -</p>
<p>2.2.6 Sales Receipts</p> <p>The ability to produce order selection sheets/receipts, which should be printable utilizing a standard system printer. These sheets are to be used as "pick-lists", and as offender's</p>	<p>- Please Select One Option -</p>

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sales receipts, and at minimum should provide the following data;	
Transaction Date Salesperson/Workstation Number Offender's (Customer) number Offender's (Customer) name Sales Invoice Number Offender beginning balance with the capabilities to restrict the view Offender's spending limit Facility and Housing Unit Location Order Quantity Item Description Item Unit Price Extended Price Subtotal Sales Tax Order Total Offender's ending balance with the capabilities to restrict the view Offender's ending spending limit List printed at the bottom of the receipt, with reason, of any items ordered but not sold to the offender (i.e. "Out of Stock", "Loss of Commissary", "Item Restriction", "Lack of Funds", etc.) Memo field Space to include a receipt message (a message to all offenders – e.g. notice of impending postage increase.)	
2.2.7 Sales Order Returns and Credit Memos	- Please Select One Option -
The ability to process sales order returns and credit memos by either the entire sale's transaction invoice number to void an entire sale, or by individual item numbers to credit a product(s) not received or damaged.	
2.2.7.1 Credit a Closed Offender's Account	- Please Select One Option -
The ability of the commissary users to credit a closed offender's account.	
Vendor Comments:	

2.3 Offender's Commissary Sales Restrictions

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The capabilities to inquire, add, change, and delete commissary restriction information. The restrictions can be by specific item or category of item (i.e., tobacco products, candy, etc.) and can be applied to everyone or to an individual offender, housing location, or facility. To be able by the commissary users to restrict item sales due to an offender’s diet restrictions.

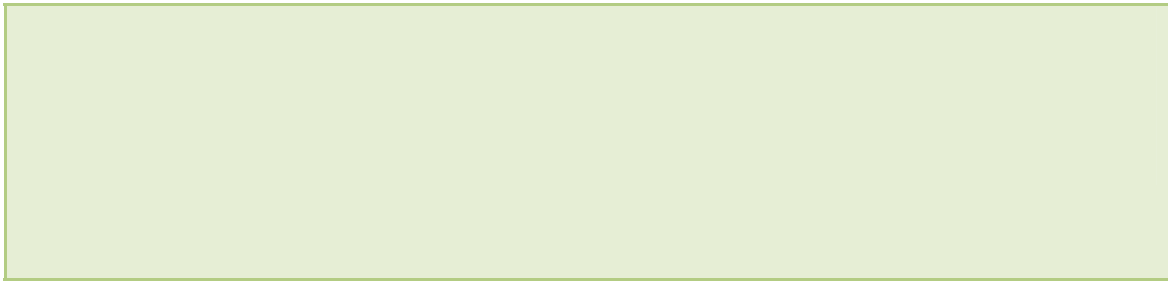
DOC Requirements	Vendor Response
2.3.1 Item Quantity Limits	- Please Select One Option -
The ability to set offender’s item limits for specific sales items or for entire categories per commissary cycle (e.g. 24 assorted soups per day, 1 TV per unlimited period, etc.)	
2.3.2 Offender’s Spending Limits	- Please Select One Option -
The ability to set offender’s spending limits per commissary operating cycle (set and administered by the commissary administrator) with date ranges from daily to weekly to monthly. The ability to set spending limits by facility, by housing unit, and by individual offender.	
2.3.3 Disciplinary Restrictions	- Please Select One Option -
The ability to suspend or restrict item or category purchases for designated time frames based on an offender’s Sanction Alerts through an interface with the Violation and Disciplinary Actions System. (e.g. an offender on Loss of Commissary cannot buy food items.)	
2.3.4 Group Restrictions	- Please Select One Option -
The ability to enter multiple group restrictions or to break down restrictions and enter them differently for each group. The ability to allow considerable flexibility with respect to combining restrictions by category (e.g. offenders in administrative segregation are not allowed to purchase canned food items but can buy other food items.) The ability to tier offender access to sales items, or assign different spending limits, based on the security level of the housing unit and facility where the offender is located. The ability to provide security level schedules that define the sales items that are available to offenders at each level of security. The ability to set restrictions by housing unit or by individual offender by the commissary user.	
Vendor Comments:	

DOC Requirements	Vendor Response
2.4 Offender’s Order Capabilities	- Please Select One Option -

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The ability to have remote order processing capability (optical scan system and/or <u>remote kiosk</u>).	
2.5 Year and Period Parameter	- Please Select One Option -
The ability to set a fiscal year and period parameters.	
2.6 Three Decimal Places	- Please Select One Option -
The ability to display, and store the cost to three decimal places.	
2.7 Switch Between Commissary	- Please Select One Option -
The ability to allow commissary users to switch between commissary inventory locations.	
2.8 Prohibit the deletion of transactions.	- Please Select One Option -
The ability not to delete a transaction entry made in error but instead, a reversing/correcting entry should be recorded.	
2.9 Default to the System Date	- Please Select One Option -
The ability to default to the system date, i.e. current date, when transactions or purchases are entered.	
2.10 Integrity in fiscal years and periods	- Please Select One Option -
The ability to protect data integrity by closing prior and future fiscal years and periods to transaction posting.	
2.11 Archive and Retrieve Prior Years	- Please Select One Option -
The ability to archive and to retrieve prior year and period data.	
2.12 Sales Tax	- Please Select One Option -
The ability to compute, compile and report the sales tax collected from offenders, which is due to the Department of Revenue Services. The ability to have the report show real taxes amount collected and not rounded estimates based off of taxable sales.	
2.13 Sales History Tracking	- Please Select One Option -
The ability to track and to report complete sales history by state, district, facility, housing unit and offender.	
2.14 Peripherals and Devices	- Please Select One Option -
The ability to use Peripherals and Devices.	
2.14.1 Commissary Scanners	- Please Select One Option -
Please provide a complete list of all the scanners that run with the new system. Include a unit cost for software and hardware.	
2.14.2 Commissary Kiosk	- Please Select One Option -
CTDOC does not have any commissary kiosk machines. Please provide a complete list of all the kiosk machines that run with the new system. Include a unit cost for software and hardware.	
Vendor Comments:	

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3. Query and Reporting Requirements

DOC Requirements	Vendor Response
3.1 Reports for each District, Facility and Offender	- Please Select One Option -
Capability of querying, tracking and reporting of sales, inventory, receipts and credits within each district as well as at each facility and for each offender, current or discharged.	
3.2 Reports for a Date Range and Item Range	- Please Select One Option -
Support a wide range of reports, including those listed below starting at 3.3. The ability for each report to be exported to an Excel database and in ASCII format. The ability by the commissary user for each report to set date range, item range, inventory location and offender's parameters.	
3.3 Inventory Catalog Report	- Please Select One Option -
The ability to generate a report for a catalog of items for each location (district, e.g. D1, D2, D3, etc.). Users may select only active items within the location or all items. Included in the report are the Location, Item Number, Item Description, Category, and Selling Price as well as Any Group Restrictions.	
3.4 Vendor Inventory List Report	- Please Select One Option -
The ability to generate a report that lists purchasing information, by vendor and category, for all items on file. Users may select active items or all items. Included in the report is Item Number, Item Description, Number on Hand, Minimum Quantity, and Last Purchase Date.	
3.5 Vendor Information Report	- Please Select One Option -
The ability to generate a report that lists vendor information. The user should be prompted to select either alphabetical order or vendor number order. Included in the report for each vendor are the Vendor Number, Vendor Name, Address, City, State, Zip, Federal ID Number, Contact Person, and Contact Phone Number.	
3.6 Recommended Purchases Report	- Please Select One Option -

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<p>The ability to generate a report that lists items below a specified inventory minimum, in Vendor and Category sequence. The ability of the report to prompt the user for selection of all items by vendor or category, and the selection of all active items or individual items. Included in the report are the Vendor, Item Number, Item Description, Last Received, Unit of Purchase, On Hand, Minimum, Maximum, Vendor Number, and Vendor Price.</p>	
<p>3.7 Items Out of Stock Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all items that have a zero or backorder quantity on hand (indicating the outstanding order amount) for all districts. The ability to allow users to select all active items or individual items. To sort the report by specific district and/or by item number. The ability to customize the report by selecting a variety of filters and sort orders. Included in the report are the District, Item Number, Item Description, Category, Minimum Quantity and Maximum Quantity.</p>	
<p>3.8 Outstanding Orders Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists outstanding orders placed with vendors, by district, which provides the following information; vendor name, item code, date of order, item description, quantity on order, dollar value per item line, and expected delivery date.</p>	
<p>3.9 Stock Status Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report to provide a current value of the inventory and to list the quantity on hand for each inventory item. The ability to allow users to select active items or all items. The ability to have the commissary users the option to print a detailed or summary version of the report. The ability to allow users to customize the report by a variety of filters and sort orders. Included in the report is the District, Category, Item number, Description, Number on Hand, Current Cost, and Value at Current Cost. The Value at Current Cost to be subtotaled by category, and totaled at the end of the report. To maintain all stock status details for a complete fiscal year, with full look-up capabilities by date (end of day). At the end of each fiscal year, to archive for 3 years this information.</p>	
<p>3.10 Sales Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides the number and value of all items sold during a specific time period. To select a number of options - the date range; one or more</p>	

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<p>categories or all categories; one or more items or all items. Included in the report is Category, Item Number, Item Description, Gross Number Sold, Net Number Sold, Net Cost of Item Sold (at Current Cost), and Net Value of Item Sold (at Selling Price). The ability to provide subtotal by category the Net Cost and Net Value, and to have totals of the same two items at the end.</p>	
<p>3.11 Usage Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists sales by item, by facility, by district location, or by all. The ability to allow users to select active items or all items, and to customize the report by selecting a variety of filters and sort orders. For example, the ability to sort the report by item number, by specific housing location or facility, or all housing locations and/or facilities; before, after, or between a specific time period or for the entire history. Included in the report are the District, Item Number, Item Description, Facility, Housing Unit Location, Number Sold, Cost and Retail. The ability to provide sub-totals and totals for quantity and cost and sortable by district, facility, housing unit and/or offender.</p>	
<p>3.12 Inventory History Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists commissary transactions for one or more specific districts, or for all districts; and/or all or one or more specific item numbers; and/or for all dates or a date range. The ability to allow users to select all active items or individual items. Included in the report are the District, Item Number, Item Description, Date, Type, Reason, Purchase Number, Requisition Number, Quantity, Cost, and user performing data entry. The ability to allow users to customize the report by selecting filters, sort orders, and transaction types.</p>	
<p>3.13 Inventory Adjustments Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all adjustments made to inventory, either by means of the Accept Physical Count Screen (2.1.10.1.d) or by the Inventory Adjustments Screen (2.1.11). The ability to select the date range. Included in this report is the date of the adjustment, person making the adjustment, item number, item description, adjusted quantity, reason for the adjustment, and extended value of the adjustment. The ability to subtotal the extended value of the adjustment by category and to totaled the extended value of the adjustment at the end of the report.</p>	
<p>3.14 Substitutions List Report</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate a report that lists all item substitutions. The ability to select active items or all items. Included in the report are the Item Number, Item Description, Substitution Number, and Description of the Item to be substituted.</p>	
<p>3.15 Group Restriction List Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all group restriction categories and the item numbers which are restricted from that group. The ability to list all group restrictions or one or more specific group restrictions, and to select only active items or all items. Included in the report are the Group Restriction Code, Group Restriction Description, Facility and Housing Unit Code, Facility and Housing Unit Description, Category, Item Number, and Item Description.</p>	
<p>3.16 Sales Receipt Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that would serve as the pick list and offender's sales receipt. The ability to automatically generate and to print this report at the conclusion of each manual sale. To call up this report after scanning and interfacing optical scan forms, using one or a combination of filters – file name, facility, date range, sales receipt number or range, and offender's number. All Sales Receipts, when reprinted, to be copies of the original (e.g. prices, facility, housing unit, date and memo field should be the same as those on the original receipt).</p>	
<p>3.17 Credit Memo Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that would be a "Negative Sales Receipt". To contain the same information as the sales receipt. To have a credit memo identification number that corresponds to the sales receipt. The ability to print credit memos automatically after each transaction or to print only as a report.</p>	
<p>3.18 Sign Sheet Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all sales, with signature area for each offender to prove receipt of their order. The report should have a number of optional fields, but should allow each commissary user to select which fields should print on the report. Fields available should include Facility and Housing Unit Code, Offender's Name, Offender's Number, Sale Date, Sale Number, and a line on which the offender should sign. The ability to sort on any of these fields and to request a page break after each housing location code. To have the option to produce the report using one or a</p>	

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<p>combination of filters – scan file name, facility, date range, sales receipt number or range of numbers, and offender’s number.</p>	
<p>3.19 Pick-up List Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that would identify offenders who should be released to pick up a commissary order to be delivered to the housing unit officers. The ability to list the Facility and Housing Unit, Offender’s Number, Offender’s Name, and Photo ID only for those offenders who have commissary orders to pick up (i.e. if the order total sale was \$0.00, the offender is not listed.) Offenders who have multiple orders to be listed only once. The ability to sort this report in a number of ways as required -- by housing unit and offender’s number, by housing unit and alphabetically, by housing unit and sales receipt number, etc. To have the option to produce the report using ranges of sales receipt numbers and/or dates, as well as with a page break after each housing location code.</p>	
<p>3.20 Commissary Diet Restricted Purchases Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists offenders who have purchased diet restricted items. The ability to be prompted to select all or individual offenders by date range. To print the report in numeric or alphabetical order. Included in the report are the Offender’s Number, Offender’s Name, Diet Code, Diet Restriction, Quantity Purchased, Item Number, Item Name, From Date, and To Date.</p>	
<p>3.21 Commissary Restriction List Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all or specific Commissary or Diet Restriction information. The ability to allow users to customize the report by selecting a variety of filters and sort orders. Included in the report is the facility, housing unit, Diet Code, Diet Description, Restriction Type, Restriction Amount, Item Number and Item Description. The ability to maintain and to differentiate between restriction type and allow for type filtering.</p>	
<p>3.22 Inventory Count Sheets Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists all inventory items, in category sequence, with a printed line next to each item. The ability to record staff counts when conducting a physical inventory. Included in the report are both active and inactive items.</p>	
<p>3.23 Inventory Variance Report</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate a report that would be used when taking a physical inventory, prior to confirming the physical counts, to view all items which have discrepancies between the system count and the unconfirmed physical counts. This report to be in the same sequence as the Take Inventory Count Sheets and to list, for each item with a variance, the item number, item name, system count, physical count, count variance, and dollar value of the variance. Included in the report the dollar variance total.</p>	
<p>3.24 Return to Vendor Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that lists the item number, item description, quantity, extended item value, and reason for return of all items returned to a vendor. Also list the total of the value of all items returned to a vendor. The ability of the report to select returns by date range, by vendor, by individual item number, or by any combination of the three.</p>	
<p>3.25 Balance Sheet Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides a balance sheet in accordance with user defined periods of time for the commissary account. The date, name, type, category, and account number of each to be included in the report.</p>	
<p>3.26 Profit and Loss Statement Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that provides a monthly profit and loss statement for the commissary account. The ability to produce any user-defined period of time, facility, district or all. The statement to include general categories for sales, costs of goods sold, expenses, other income, and non-operating income. For the cost of goods sold the ability to list the beginning inventory value plus purchases that equals a "goods available for sale" total. The ability to substrate the value of the ending inventory from the goods available for sale to provide a cost of sales. The ability to summary categories for gross profit on sales (sales minus cost of sales), net profit on sales (gross profit on sales minus total operating expenses), net operating profit (net profit on sales plus total other income), and net profit (net operating profit plus total non-operating income). To include a signature and date lines for the preparer and certifier. The ability to net, not gross all reported monetary categories.</p>	
<p>3.27 Analysis of Net Worth Report</p>	<p>- Please Select One Option -</p>
<p>The ability to provide an analysis of net worth report to supplement the monthly profit and loss statements for the commissary account. The</p>	

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ability to define facility, housing unit or all locations. The ability to produce the report for any user defined period of time. To include general categories for increases and disbursements and a beginning and ending balance. To have the beginning balance plus increases and minus disbursements equal the ending balance. For the Increase category to include net income and user defined itemized "other" increases and a sub-total. For the Disbursements Category to list transfers to the welfare fund with transfer dates, purchases of fixed assets, and other decreases and a sub-total. To provide signature and date lines for the preparer and certifier.

Vendor Comments:

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BC.22 – Pre Release Processing Requirements

The purpose of the Pre-Release process group is to prepare the offender and the offender's information for release from an institution to community supervision or discharge.

Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. Community Supervision requires that the offender has received approval either by the paroling authority or CTDOC authority to be released into the community under certain terms and conditions.

Offenders may discharge directly from an institution or from community supervision. Once discharged the offender is no longer under the supervision of CTDOC. However, discharged offenders may still be under legal obligation to report to probation and may be tracked by GPS indefinitely based on statutory requirements.

These requirements describe functionality for release plan that is developed before the offender is released or discharged.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Identify all offenders pending future release to include the type of release
- 1.1.2 Generate notifications to specified areas/notification to prepare for release
- 1.1.3 Interface with law enforcement agencies prior to release
- 1.1.4 Receive authorization from Parole/Community Service for community supervision release
- 1.1.5 Identify all offenders pending release
- 1.1.6 Electronic tracking of all pre-release planning
- 1.1.7 Electronic notifications to appropriate staff/agencies prior to release

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Parole Hearing Requirements
- 1.3.2 Community Supervision Requirements
- 1.3.3 Classification and Assessment
- 1.3.4 Warrants and detainers
- 1.3.5 Offender Event Schedule and Calendar
- 1.3.6 Sentencing and Time Calculation
- 1.3.7 Property Management
- 1.3.8 Offender Banking
- 1.3.9 Violation and Disciplinary Action
- 1.3.10 Programs and Activities
- 1.3.11 Commissary
- 1.3.12 Offender Records
- 1.3.13 Offender Employment
- 1.3.14 Education
- 1.3.15 Movements and Transfers

2. Functional Requirements

2.1 Identify Offenders who are eligible for CTDOC Community Release

Sentenced offenders are eligible for a Halfway House Review if within 18 months of their discharge date or Voted to Parole Date and Overall Level is 3 or lower. Sentenced offenders are

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eligible for Transition Supervision Review, if sentenced to 2 years or less and Overall Level is 4 or lower at their 50% time served date.

DOC Requirements		Vendor Response
2.1.1 Identify Offenders who are eligible for CTDOC Halfway House or Transition Supervision community release		- Please Select One Option -
The ability to identify offenders that are Halfway House eligible (within 18 months of discharge date or voted to parole date with a classification overall score of 3 or lower) and offenders that are Transitional Supervision eligible (sentenced to 2 years or less and at the completion of serving 50% of the sentence with an overall score of 4 or less).		
2.1.2 Identify Offenders who are eligible for CTDOC Short Term Transitional Supervision		- Please Select One Option -
Short Term Transitional Supervision for offenders with 60 days or less to discharge.		
Vendor Comments:		

2.2 Create an Electronic Community Release File

The ability to automatically create an electronic community release file for an offender that has been identified as community release eligible. The electronic file should allow the user to track the actions and status of the community release process, this includes tracking of due dates, status (police reports etc).

DOC Requirements		Vendor Response
2.2.1 Track and Update Progression of Community Release Reviews		- Please Select One Option -
The ability to allow the user the ability to track due dates, status, (e.g., status of a police report) and completion dates for community release packages. In addition the entire community release package (as a whole entity) should be listed through the use of a "community release event log". Users need the ability to assign varying due dates for return of documents including evaluations and or assessments. Users need the ability to enter the reason that each section of the community release package is overdue or that pending information is overdue. The users also need the		

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ability to sort packages not completed and packages completed.	
2.2.2 Record detailed results of decisions.	- Please Select One Option -
The ability to record and distribute Board hearing decision(s) and Facility classification decisions (e.g. release strategies, tentative release date, and special conditions).	
2.2.3 Offender Notification.	- Please Select One Option -
The ability to provide the ability to automatically send a memo to the offender advising him that the package is being completed and the anticipated due date.	
2.2.4 Generate a status report to track all offenders.	- Please Select One Option -
The ability to track the status of community release of each offender during the review process, capability to capture the details of each decision, including date, staff reviewer, and status.	
2.2.5 Track/monitor pending release on community supervision.	- Please Select One Option -
Track/monitor offenders who are pending release on community supervision that have exceeded their eligibility dates. Status of placement along with documented actions.	
2.2.6 Track/monitor all actions associated with discharge planning.	- Please Select One Option -
The ability to document and track all actions required for release/discharge planning to include transportation, clothing needs, identification, housing, monies, Department of Children and Families Notification, Health Services, Addiction Services, Probation Notification, Etc.	
Vendor Comments:	

2.3 Notification of Release

The ability to generate release authorization documentation to designated staff.

DOC Requirements	Vendor Response
2.3.1 Release Process	- Please Select One Option -
The ability to inquire, add, change, or delete	

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<p>release information. The ability to record multiple types of releases (parole, expiration of maximum sentence, death, resentencing, court order discharge, sentence modification, appeal bond, bonds, purge, etc.) and should be flexible enough to default to current with override capabilities. The ability to also record conditional releases such as Re/entry furloughs, etc. The ability to update Parole releases automatically from the hearing process.</p>	
<p>2.3.2 Release Check-Off List</p>	<p>- Please Select One Option -</p>
<p>The ability to produce an on-line checklist of items that is required to be performed or reviewed prior to the offender's release. For example, the user would be prompted to acknowledge whether open charges or detainers exist, if additional sentences, disciplinary charges, or loss of good time credits are pending or have been recorded subsequent to the last parole hearing, or if changes in credit earning patterns have occurred.</p>	
<p>2.3.3 Sexual Offender Registration</p>	<p>- Please Select One Option -</p>
<p>Provide the ability to record and track the filing of the sexual offender registration forms. Check for eligibility (statutory registration requirement, exemption by the court) and allow for user override.</p>	
<p>2.3.4 Generate Registration Forms</p>	<p>- Please Select One Option -</p>
<p>Generate instructions and documents necessary to complete the sexual offender registration forms with pre-fill user defined fields and electronic signature for the offender and staff witness. Electronic mailing of the documents is requested. A history of all registration forms regarding each offender maintained.</p>	
<p>2.3.5 Close Assignments on Release</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically close the current program, work, and education assignments when an offender is released.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.4 Discharge Documents

When an offender is about to be released to their discharge date, there are several forms that need to be generated, stored and completed prior to the release.

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DOC Requirements	Vendor Response
<p>2.4.1 Discharge documents</p> <p>The ability to generate discharge papers for offender. The ability to automatically produce release notification forms when the release is entered and/or at a user defined number of days prior to release. The notifications to be provided for both confirmed and projected releases.</p>	<p>- Please Select One Option -</p>
<p>2.4.2 Auto Fill of Forms</p> <p>The ability to auto fills the forms from the database with the user having the option to enter or complete additional information as necessary. The ability to prompt the user to complete the forms if additional information is required.</p>	<p>- Please Select One Option -</p>
<p>2.4.3 Produce Notifications on Demand</p> <p>The ability to produce the notifications on demand if required. Examples of discharge documents are the Certification of Discharge from all Connecticut Confinements, bond paperwork, conditions for bond or community release, Etc.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

DOC Requirement	Vendor Response
<p>2.5 Record future releases. Allow for recording of future release dates (e.g. 7 days in advance)</p>	<p>- Please Select One Option -</p>
<p>Generate lists of upcoming releases (offenders who are due to be released) including offenders with active warrants or detainers or specific health services needs.</p>	
<p>Vendor Comments:</p>	

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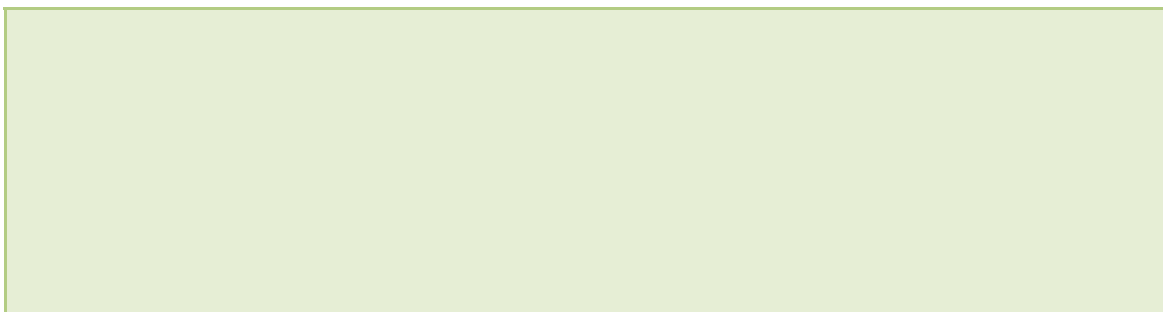
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DOC Requirements	Vendor Response
2.6 Notification to other agencies of release	- Please Select One Option -
The ability to generate notification to law enforcement agencies and for offenders that require registration (e.g., sex offenders, probation, and immigration).	
Vendor Comments:	

DOC Requirements	Vendor Response
2.7 Support interface with other agencies	- Please Select One Option -
The ability to support interface capabilities to verify if offender has warrants or detainers including COLLECT and NCIC checks.	
Vendor Comments:	

DOC Requirements	Vendor Response
2.8 Capture real date/time release	- Please Select One Option -
The ability to record the actual release date and time the offender left the perimeter with real time update to movement and transfer business category.	
Vendor Comments:	

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2.9 System Notifications

DOC Requirements	Vendor Response
2.9.1 Warrants/detainers Notification The ability to notify appropriate staff when a warrant/detainer is recorded or resolved.	- Please Select One Option -
2.9.2 Classification Notification The ability to notify appropriate staff when the classification level has changed due to new information, or other factor affecting community release.	- Please Select One Option -
2.9.3 Disciplinary Notification The ability to notify appropriate staff when a Disciplinary Report has been issued that would effect an early release.	- Please Select One Option -
2.9.4 Sentence and Time Calculation Notification The ability to receive a notification from the Sentence and Time Calculation requirement in the event an offender receives a sentence modification, a consecutive or concurrent sentence that may impact the pending release.	- Please Select One Option -
2.9.5 DNA Swab and Sex Offender Registration The ability to receive a notification to inform appropriate staff if the DNA Swab and Sex Offender Registration were not completed.	- Please Select One Option -
2.9.6 Movements and Transfers Notification The ability to notify appropriate staff, upon release/discharge of an offender, to update the movement tracking.	- Please Select One Option -
2.9.7 Community Release Notification Upon approval of an offender for Community release, the ability to receive a notification from all designated staff (records, Classification, Counselor Supervisors' or Unit Manager, assigned counselor, medical & mental health staff, A&P, visiting clerk,)	- Please Select One Option -
2.9.8 Community Release Sponsor Notification	- Please Select One Option -

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<p>The ability to receive a notification from Community Supervision staff in the event that additional information is required on an approved offender. (New sponsor, stipulations, etc.)</p>	
<p>Vendor Comments :</p>	
<p></p>	

3 Report and Database Requirements

DOC Requirements	Vendor Response
<p>3.1 Release Reports</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report to list facility specific releases from an institution to community supervision and discharge. The ability to sort the report by name, number, facility, and security level, approved community releases or end of sentence discharges.</p>	
<p>3.2 Report by Release Dates</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report to list all offenders using user defined dates and criteria .</p>	
<p>3.3 Tracking Report for Pre- Release planning</p>	<p>- Please Select One Option -</p>
<p>The ability to produce a report to list all offenders in the process of pre-release planning. The ability to sort by name, number, facility, housing, date package initiated, in process, completed, and notification.</p>	
<p>3.4 Community Release Eligibility Forecast Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a forecast report that can articulate how many offenders are eligible for community each week, how many offenders are currently serving a community release eligible sentence identifying T/S and/or Halfway house. Sorted by correctional institution, etc. The report would exclude offenders with community release paperwork in progress. This report would be used by managerial and executive staff.</p>	
<p>3.5 Release Eligibility Forecast Report</p>	<p>- Please Select One Option -</p>

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The ability to generate a forecast report that can articulate how many offenders will be discharging at a user defined time period.	
3.6 Discharge Report	- Please Select One Option -
The ability to generate a discharge report for offenders' within user defined time frames to end of sentence and /or Community release eligibility dates	
3.6.1 Generate a pre-hearing report	- Please Select One Option -
The ability to generate a modifiable pre-hearing report that includes the assessment tool (TPAI, LSI etc), the ability to store the treatment programs that staff recommended and to track the participation status of the offender criminal history, liabilities, risk factors, and staff's recommendations for release.	
Vendor Comments:	

BC.23 - Parole Hearings Requirements

Parole eligible sentenced inmates committed to CTDOC (inmates who are sentenced to more than 2 years incarceration), are given a parole orientation which consists of an overview of parole, risk assessment (CT Salient Factor Score), parole eligibility date and recommended programs. This is the foundation for future parole evaluation. Required case documentation such as police reports, Pre-Sentence Investigations, Youthful Offender / Juvenile information etc. are obtained for use in inmate orientation and are stored for future parole hearings.

Scheduling of inmates for parole hearings is done approximately 9 months before their eligibility date. The hearing is conducted approximately 6 months before the parole eligibility date. Parole officer interviews the inmate and completes a parole summary, which includes type of hearing, current offense and sentence information, personal information (including education and employment history), criminal history (including probation, parole and community release), institutional history (disciplinary infractions and program history), parole plan/sponsor information. Based on inmates background/classification score mental health and/or sex offender evaluation are requested and conducted by contracted service providers. If case involves victim(s) the case is referred to the Office of Victim Services for any victim input. The completed parole package is reviewed and certified by a parole manager and placed on the final docket for the parole hearing. Docket for upcoming hearings are posted on the BoPP website. Notifications are also sent to various criminal justice agencies in Connecticut.

Parole officer will present the case to a panel of the parole board. Determination is made by the panel to grant, deny or continue. Denial may take several forms such as a re-hear, permanent denial, mandatory re-hearing etc. If parole is granted, the panel will set a voted to parole (VTP) date and conditions of parole. The inmate's case is then referred to CTDOC Parole and Community Services Division to begin their investigation and eventual supervision in the community. Parole may be rescinded at any time prior to actual release to parole based on new information not known at the hearing or inmate misconduct after the hearing.

Any violation of parole conditions including new arrests may result in re-incarceration. Community Services Division sends notice of violation(s) to BoPP. The inmate being re-incarcerated is entitled to a probable cause hearing (conducted within 14 business days) unless waived by the inmate. Based on results of the probable cause hearing (if required) and at discretion of BoPP a warrant for re-imprisonment may be issued or denied. If a warrant is issued a parole officer from BoPP will conduct a final revocation hearing. This will include interviewing the inmate, examining circumstances, making recommendations or referring back to full panel for a re-release decision.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Identify Offenders who are sentenced to a parole eligible conviction.
- 1.1.2 Assign parole cases to parole officers to investigate
- 1.1.3 Parole Officer Investigation
- 1.1.4 Form Generation
- 1.1.5 Board Schedules and Calendar
- 1.1.6 Record the disposition of parole hearings and notify / update agencies / system
- 1.1.7 Interstate Compact
- 1.1.8 Parole Revocation
- 1.1.9 Parole Rescission

1.2 Exceptions and Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

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- 1.3.1 Community Supervision
- 1.3.2 Warrants and Detainers
- 1.3.3 Sentence and Time Calculation
- 1.3.4 Classification
- 1.3.5 Movements and Transfers
- 1.3.6 Violations and Disciplinary Action
- 1.3.7 Offender Association and Intelligence
- 1.3.8 Education
- 1.3.9 Program and Activities
- 1.3.10 Intake and Booking (parole violations)
- 1.3.11 Offender Event Schedule, Calendar and Alerts
- 1.3.12 Offender Records
- 1.3.13 Offender Management (obtain representation for parolees)
- 1.3.14 Classification and Assessment
- 1.3.15 Pre-Release Processing
- 1.3.16 Offender Employment

2. Functional Requirements

2.1 Identify Offenders who are sentenced to a parole eligible conviction.

All offenders sentenced to a period of more than 2 years of incarceration are eligible for parole. Currently offenders convicted of a non-violent offense are eligible after serving 50% of their incarceration sentence and offenders convicted of violent crimes are eligible after serving 85% of their incarceration sentence. Cases are assigned to a parole officer for investigation approximately 9 months prior to the parole eligibility date.

DOC Requirements	Vendor Responses
2.1.1 Identify, Designate, and Calculate Eligibility Dates for Parole Eligible Offenders	- Please Select One Option -
Upon docketing of an offender's sentence, the ability to identify if the offender is sentenced to a parole eligible offense based on CT laws and regulations, including multiple sentence configurations.	
2.1.1.1 Non-Violent Convictions	- Please Select One Option -
Individuals serving definite sentences (crimes committed on or after July 1, 1981) of greater than two years are eligible for parole consideration upon expiration of one-half of the total effective sentence, satisfaction of one-half of the most recently imposed sentence (whichever yields the latest date) less any pre-trial confinement credit. Currently, good time is not credited toward parole eligibility of definite sentences.	
2.1.1.2 Violent Convictions	- Please Select One Option -

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<p>There are approximately 35 convictions that are classified as violent by State regulations. Individuals whose offenses were committed on or after July 1, 1996 for certain violent offenses, or who, regardless of the instant offense, possess a criminal history which includes certain violent offenses, shall be required to serve 85% of the calendar term imposed by the court prior to being considered for parole. If an offender was sentenced to a parole eligible offense and was convicted of at least one violent crime, they must complete a minimum of 85% of their sentence before they are considered for parole. If the offender was also convicted of either conspiracy or accessory to the aforementioned 35 convictions, they must also be designated 85%. These cases are to be placed into a queue for a supervisor to present to the Board for official designation.</p>	
<p>2.1.1.3 Violation of Probation Convictions</p>	<p>- Please Select One Option -</p>
<p>When an offender is sentenced for Violation of Probation and is serving a parole eligible conviction, the ability to recognize if the underlying conviction of the Violation of Probation (the original conviction that the offender was sentenced for that they subsequently violated probation for) was violent. If the underlying charge of the violation of probation was violent, the offender must be designated to serve 85% of their conviction and placed into a queue for a parole manager to present to the Board for official designation.</p>	
<p>2.1.1.4 Indeterminate Sentences</p>	<p>- Please Select One Option -</p>
<p>The ability to properly identify offenders serving sentences with minimum and maximum terms (crimes committed prior to July 1, 1981). Those offenders are eligible for parole consideration upon completion of the minimum term, less all earned good time and pre-trial confinement credit. It may be possible that an offender may be on parole for life after serving the minimum term of their sentence.</p>	
<p>2.1.1.5 Parole Ineligible Offenses</p>	<p>- Please Select One Option -</p>
<p>The ability for the system to recognize if an offender is convicted of a parole ineligible offense. Certain crimes that were committed on or after 7/1/81 are not eligible for parole. There are currently 5 convictions in Connecticut, such as felony murder and aggravated sexual assault, which are ineligible for parole.</p>	
<p>2.1.1.6 Parole Eligibility Date</p>	<p>- Please Select One Option -</p>

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<p>The ability for the system to calculate the parole eligibility date for offenders sentenced to a parole eligible offense based on CT laws and BOPP policies. This includes (but not limited to) the 50% date for non-violent offenders; 85% date for violent offenders; and sentences involving mandatory minimums.</p>	
<p>2.1.2 Special Types of Parole Eligibility</p>	<p>- Please Select One Option -</p>
<p>The Parole Eligibility Date may be different from the statutory parole eligibility date and can change based on modifications to offender's scores/classification. Example: An offender may be eligible for parole by statute at 50% of his sentence but is not considered for parole until 75% of his sentence based on his status as a gang member or a pending ICE detainer. The calculations parameters should have the ability to be modified by the agency, and have the ability to have a manual override.</p>	
<p>2.1.2.1 Offenders designated as gang member (SRG status)</p>	<p>- Please Select One Option -</p>
<p>The ability to be able to recognize if the offender is a gang member based off the offender's DOC Security Risk Group (SRG) score. If the offender's SRG score is a 3 or higher and they are serving a 50% parole eligible conviction, the ability to postpone the 50% parole hearing to the 75% mark based on BOPP policy and calculates the 75% parole hearing date. The 75% date is calculated by expiration of three-fourths of the total effective sentence, satisfaction of three-fourths of the most recently imposed sentence (whichever yields the latest date) less any pre-trial confinement credit. Good time is not credited toward the parole eligibility of definite sentences.</p>	
<p>2.1.2.2 Offenders that have the SRG score lowered</p>	<p>- Please Select One Option -</p>
<p>If an offender who was is scheduled to be reviewed at 75% due to their SRG score being a 3 or higher has their SRG score lowered to a 2 or less, the offender can have their original parole review date re-established, as long as their SRG score is not raised again for 6 consecutive months. After the 6 months have passed, the case would be moved into a parole officer's queue for investigation.</p>	
<p>2.1.2.3 Offenders with Pending Connecticut Criminal Charges</p>	<p>- Please Select One Option -</p>

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<p>An offender who has a pending criminal charge is not parole eligible until the pending Connecticut criminal charge is resolved.</p>	
<p>2.1.2.4 Offenders with a Pending Immigration and Custom Enforcement (ICE)</p>	<p>- Please Select One Option -</p>
<p>If an offender has a federal ICE detainer that states “an investigation for possible deportation is initiated”, the offender is not considered for parole until the completion of 75% of their sentence. If the ICE detainer states that the offender will be deported or that they will take no action for deportation, the offender may be considered at 50% (if they are not designated 85%).</p>	
<p>2.1.2.5 Offenders with a Detainer / Warrant from another state (Non-ICE)</p>	<p>- Please Select One Option -</p>
<p>If an offender has an active warrant / pending charge from another state that is filed with the DOC, then they are not scheduled for a parole hearing until the pending / active warrant has been resolved. If the detainer is a Violation of Probation/Parole from another state or a concurrent or consecutive sentence from another state, the parole eligibility date is calculated with the normal rules, and the user is notified that if the offender is granted parole, the offender has to be paroled to this detainer.</p>	
<p>2.1.2.6 Transfer Parole</p>	<p>- Please Select One Option -</p>
<p>An offender is eligible for transfer parole (which is calculated as 18 months prior to the offenders voted to parole date) once he has been voted to discretionary parole. The ability to calculate a Transfer Parole eligibility date once the voted to parole date is established.</p>	
<p>2.1.2.7 Special Parole</p>	<p>- Please Select One Option -</p>
<p>The ability to be able to recognize if the offender was sentenced to special parole (court ordered mandatory parole), and calculate the start and end dates of that special parole. If the Special Parole start date is on a weekend or State holiday, the ability to adjust the start date to the prior business day.</p>	
<p>2.1.2.8 Mandatory Minimum Sentences</p>	<p>- Please Select One Option -</p>

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<p>The ability to be able to recognize if the offender was convicted to a mandatory minimum sentence and calculate parole eligibility based on mandatory minimum requirements (for Driving Under the Influence convictions and other motor vehicle convictions).</p>	
<p>2.1.2.9 Manager Override</p>	<p>- Please Select One Option -</p>
<p>The ability to include a manual override of any date the system calculates.</p>	
<p>2.1.3 Create an Electronic Parole File</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically create an electronic parole case file for an offender that has been identified as serving a parole eligible offense.</p>	
<p>2.1.4 Record Different Eligibility Dates</p>	<p>- Please Select One Option -</p>
<p>The ability to concurrently hold/maintain multiple parole eligibility dates and status for a single parolee. I.E. Special Parole, Discretionary Parole, Transfer Parole, Compassionate Parole etc. (as defined by Connecticut general statues). Example: The offender can be voted to parole for one date, be granted transfer parole for an earlier date, and have a special parole date to follow.</p>	
<p>2.1.5 Offender Accountability Program</p>	<p>- Please Select One Option -</p>
<p>Upon an offender going through parole orientation, the ability to store the treatment programs that staff recommended and to track the participation status of the offender. Example: completed the program, is on the waiting list for the program, currently participating in the program, refused to participate in the program, removed from program. The user should have the ability to check the status of the program participation in real time.</p>	
<p>2.1.6 Connecticut Salient Factor Score 08 (CTSFS08)</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically calculate the static risk instrument used by the Board of Parole to predict recidivism. The calculation involves counting the number of incarcerations over 60 days, the number of incarcerations greater than 1 year, the age at the time of the instant offense, the number of days at liberty between the offender's last discharge date to the re-arrest date and if the offender has a history of violence. The risk instrument takes into</p>	

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account the offender's total effective sentence and comes up with a recommended service proportion (example 60%-70% of the sentence) and provides the date associated with the service proportion. The ability to adjust the CTSFS08 to "truth in sentencing" if the offender is sentenced to a violent offense and automatically provide the offender's 85% date.	
2.1.7 The ability to automatically request any juvenile / youthful offender record	- Please Select One Option -
The ability to recognize if the offender has signed a juvenile release of information form. and automatically query and request any existing juvenile or youthful offender record the offender may have through the Judicial Electronic Bridge. If there are multiple matches found, the ability to produce a list for the user to review.	
2.1.8 Requesting Police Reports	- Please Select One Option -
The ability to generate a form that requests a police report from the arresting agency. The form should be pre-populated with information already in the system which includes the offenders name, number, date of birth, arrest date, SID number, & SSN. The ability for the arresting agency's address to be pre-populated on the form once the user selects the arresting agency and the capability to print a label or an envelope with the arresting agency's address on it.	
2.1.9 Automatically link the offender's record to their sentencing transcript	- Please Select One Option -
The ability to link to Judicial's Court Transcript Database and save / hyperlink the offender's sentencing transcript to the system.	
2.1.10 Automatically retrieve the offender's probation record / PSI	- Please Select One Option -
The ability to be able to query and obtain the offender's probation information, including the pre-sentence investigation (PSI), from the Judicial Branch's Court Support Services Division's Judicial Electronic Bridge System. If there are several potential matches, the ability to display all of the matches on the system and allow the user to select the best match.	
2.1.11 Scanning and Storage of Official Accounts of the Crime	- Please Select One Option -

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<p>The ability to link scanned or electronic documents to a specific parole case / offender. The types of documents that will be linked to the electronic file include, but are not limited to, police reports, pre-sentence investigations, court transcripts, mental health evaluations, program certificates, letters of opposition / reference. The ability to name the document that is being linked to the parole package.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.2 Assign parole cases to parole officers to investigate

In accordance with BOPP policy, in a pre-defined number of months prior to an offender's parole eligibility date (currently 9 months, but subject to change), a parole officer who is stationed at a specific correctional facility is assigned an offender's case to initiate an investigation. Cases can be transferred among parole officers if an offender is transferred to another facility. If an offender who has been interviewed by a parole officer transfers to another facility, the case will remain with the parole officer who interviewed the offender.

<p>2.2.1 Parole Case Assignment</p>	<p>- Please Select One Option -</p>
<p>The ability for a manager to assign one or more parole officer(s) to a single or multiple correctional facilities.</p>	
<p>2.2.2 Timeframe for case assignment</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically assign cases for upcoming parole hearings in a pre-defined number of months prior to the offender's parole eligibility date. The case is assigned to the parole officer responsible for the offender's current housing facility. For multiple parole officers responsible to a single facility, the capability of assigning the upcoming parole cases in a round robin fashion. The ability to have an override capability for a parole manager to assign the case earlier than the current default 9 month requirement.</p>	
<p>2.2.3 Transfer Parole Target Case Identification</p>	<p>- Please Select One Option -</p>
<p>Upon sentencing, the ability to identify low risk offenders who are serving their first period of incarceration and meet other criteria. Other criteria includes if the offender has not received a disciplinary report while incarcerated, a low risk of recidivism according to the CTSFS08,</p>	

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and program participation. Cases that meet the criteria must be placed into a queue for a supervisor's review prior to assignment to a parole officer.	
2.2.4 Parole Manager Override	- Please Select One Option -
The ability for a manual override to reassign cases to different parole officers.	
2.2.5 Parole Officer Reassignment	- Please Select One Option -
The ability for a manager to reassign the location of parole officers assigned to correctional facilities.	
2.2.6 Parole Case Transfer	- Please Select One Option -
The ability to automatically re-assign cases to a different Parole Officer based on the transfer of the offender from one facility to the next. The exception being after the case has matured to a pre-defined extent with the original parole officer (after the parole officer has interviewed the offender) the case would remain with the original investigating parole officer. The ability to generate an email notification to all affected officers when the offender is transferred.	
2.2.7 Offender Waiver of Parole	- Please Select One Option -
Ability to record if offender waives parole, and if so, remove their case from the parole cycle. If the offender requests that his case be reconsidered, the ability for the case to be reactivated and assigned.	
2.2.8 Victim Outreach Referrals	- Please Select One Option -
Nine months prior to an offender's parole eligibility date an electronic notification is sent to the BOPP Victim Advocates for any offenders designated at 85% eligibility. A parole officer may also electronically refer a case at their discretion. The ability for the victim advocate to mark the case as finalized and options to select the level of victim input (attending the hearing, written impact statement, could not locate, etc.). A case cannot be considered by the parole board until a case with victim outreach has been finalized by a victim advocate.	
2.2.9 Mental Health Requests	- Please Select One Option -

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<p>The ability to automatically request a mental health evaluation prior to the offender's parole hearing. The mental health request is generated by recognizing if the mental health treatment score of the offender was scored 3 or higher within the past year.</p>	
<p>2.2.10 Problem Sexual Behavior Evaluation Requests</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically populate a request form for a problem sexual behavior evaluation prior to the offender's parole hearing. The problem sexual behavior request is generated by recognizing the sexual treatment score of the offender if scored 2 or higher.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.3 Parole Officer Investigation

Approximately 9 months prior to the offender's parole eligibility date, a parole officer will review the offender's record for any certificates of program completion, court documents, disciplinary reports, and official versions of the crime (Police reports, Pre-Sentence Investigations, Sentencing Transcripts, Violation of Probation Warrants etc.). The parole officer reviews all the material then interviews the offender. The results of this investigation are compiled on a parole summary, and the investigation package is sent to a manager for review. Once the manager reviews the package, they will "certify it" and give it to clerical staff to place on the docket for the next parole hearing. The Board members use this parole package to interview the offender at the parole hearing and the field parole officers use the parole package as the foundation for supervision and treatment.

<p>2.3.1 Prior Parole Cases</p>	<p>- Please Select One Option -</p>
<p>The ability to search for and retrieve the offender's prior parole case(s) that may already exist in the system and pre-populate the criminal history section of the parole summary with that information. If a parole record exists the ability to allow a new distinct parole instance be added using the existing offender ID.</p>	
<p>2.3.2 New Parole Case</p>	<p>- Please Select One Option -</p>
<p>For an offender with no prior parole case(s) the ability to establish a new parole case record with the DOC offender ID number and name as primary identifiers.</p>	
<p>2.3.3 Parole Summary</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate and store a “parole summary” document which is populated using a combination of existing data within the system, data from other criminal justice agencies and text manually entered by the Parole Officer. The “parole summary” is the investigating parole officer’s report on the offender, and is printed for panel members. The pre- parole hearing investigation (parole summary) has several components that include the following categories.</p>	
<p>2.3.3.1 Hearing information section</p>	<p>- Please Select One Option -</p>
<p>This section pre-populates the hearing information for the case; the date the case is scheduled to be heard by the parole board, the parole eligibility date, the 75% and 85% date (if the offender is designated 50%), and the hearing location.</p>	
<p>2.3.3.2 Current Sentence Information section</p>	<p>- Please Select One Option -</p>
<p>The ability to have a section that lists the current criminal convictions that the offender is serving a sentence for. It imports from sentencing and time calculation module and lists the length of sentence, sentencing date, offense date, if there is more than one conviction if the sentence is concurrent or consecutive, the total effective sentence, courts of origin, any detainers and shows if each conviction was a felony or misdemeanor.</p>	
<p>2.3.3.3 Personal Information section</p>	<p>- Please Select One Option -</p>
<p>This section imports the offender’s date of birth, education level, employment history (extracting from the offender employment module if available) and other personal demographics. There is a free text to allow the parole officer to input additional information about the offender.</p>	
<p>2.3.3.4 Current Offense Overview section</p>	<p>- Please Select One Option -</p>
<p>This is a more detailed section of the offender’s official version of the crime that he was convicted of and the offender’s version of the crime that the parole officer obtains during the interview. This section allows the officer to have a free text field so the official version of the crime and the offender’s version of the crime can be noted. There is also a section that lists the co-defendants of the crime(s) the offender was convicted of.</p>	
<p>2.3.3.5 Criminal History section</p>	<p>- Please Select One Option -</p>

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<p>The ability to make a timeline of the offender's major criminal events. Major events include when the offender was arrested, when they were convicted, past periods of incarceration, past performance on parole and community release (returns to DOC for misconduct), periods of probation supervision etc. It is preferred that this section have a graphical timeline capability.</p>	
<p>2.3.3.6 Institutional History section</p>	<p>- Please Select One Option -</p>
<p>The ability to extract DOC classification risk and need scores, disciplinary reports, and have a free text field to add additional comments.</p>	
<p>2.3.3.7 Program History section</p>	<p>- Please Select One Option -</p>
<p>The ability to be able to extract what programs were recommended at orientation, what programs the offender completed, participated in or refused while incarcerated. It allows the user to enter additional information including the parole officer to manually type what programs the offender completed while in the community.</p>	
<p>2.3.3.8 Parole Plan section</p>	<p>- Please Select One Option -</p>
<p>This section records the offender's sponsor information and employment plans. The sponsor section includes the sponsor's name and address, relationship to the offender and phone number. The sponsor section has the ability for the user to populate the fields to the emergency contact already listed in the DOC system. The free text field allows the user to type any employment plans the offender may have.</p>	
<p>2.3.4 Arrangement of an interpreter.</p>	<p>- Please Select One Option -</p>
<p>The ability to have an option to flag an upcoming parole case for an interpreter and allows the user to choose what primary language is needed.</p>	
<p>2.3.5 Parole Manager Review and Approval</p>	<p>- Please Select One Option -</p>
<p>The ability to place a finished case in a parole manager's queue for certification. The cases are prioritized in the manager's queue by upcoming hearing dates and victim interest where the victim is attending the hearing. The ability for the Parole Manager to electronically review, certify, and electronically sign the summary.</p>	
<p>2.3.6 Scheduled Parole Hearing /Creation of a Docket</p>	<p>- Please Select One Option -</p>

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<p>After a manager has reviewed and certified a parole case, the ability to place the cases on a “docket” for the next available hearing at the prison the offender is currently housed at. The ability for the parole hearing docket to be posted on the BOPP website 1 week prior to the hearing with the ability to alter the docket after it has been finalized.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.4 Form Generation

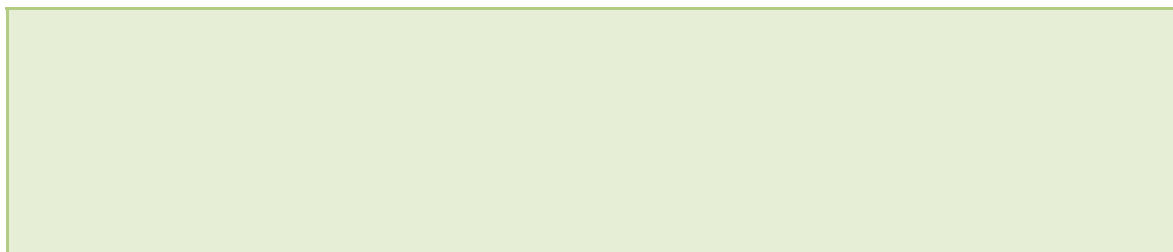
The ability to automatically create hardcopy parole documents for the offenders to sign. These documents include, but are not limited to, parole agreements, special parole agreements, application to Office of Victim Services, notification of scheduled parole hearing and the Juvenile release of information form.

<p>2.4.1 Parole Application</p>	<p>- Please Select One Option -</p>
<p>The parole application lists the standard conditions of parole and a section about what an offender can expect in the parole process, with the ability to populate the form with information already in the system including the offender’s name, offender number, and total effective sentence onto the form.</p>	
<p>2.4.2 Parole Agreement</p>	<p>- Please Select One Option -</p>
<p>The parole agreement lists the standard conditions of parole and any other special conditions that the Board stipulates as well as the date parole is effective with the ability to free text any special conditions and the option to select from a list of common special conditions (such as not contact with a victim).</p>	
<p>2.4.3 Special Parole Agreement</p>	<p>- Please Select One Option -</p>
<p>The special parole agreement lists the standard conditions of parole and any other special conditions that the Board stipulates with the ability to free text any special conditions and should also have the option to select from a list of common special conditions (such as not contact with a victim). In addition, it lists the start and end dates of the special parole.</p>	
<p>2.4.4 Office of Victim Services form</p>	<p>- Please Select One Option -</p>

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<p>The ability to populate and print a pre-defined form that is sent to Judicial. The fields that need to be pre-populated are the offender name, offender number and a check off box that states the offender is applying for parole.</p>	
<p>2.4.5 Hearing Script</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a hearing script for the parole officer to read at the parole hearing by pre-populating a form. The fields that are pre-populated are the offender's name, number, sentence, and what programs they have completed.</p>	
<p>2.4.6 Notification of scheduled parole hearing.</p>	<p>- Please Select One Option -</p>
<p>The ability to pre-populate a letter that informs the offender that their investigation is finalized and they have been scheduled for a parole hearing. The ability to populate the offender's name, offender's number, offender's current facility and offender's current housing location.</p>	
<p>2.4.7 Juvenile Release of information Form</p>	<p>- Please Select One Option -</p>
<p>The ability to pre-populate a pre-defined form that gives permission for the Board of Parole to obtain the offender's juvenile criminal history. The fields that are pre-populated are the offender name, number, and current correctional institution's address that the offender resides at.</p>	
<p>2.4.8 Transfer Parole Application Generation</p>	<p>- Please Select One Option -</p>
<p>When an offender is approved for discretionary parole release, the ability to generate a transfer parole application form. This form is a summary of the parole package and consists of such things as the offender's risk score, if they have a sponsor, if they received a disciplinary report etc. The ability to enter free text to allow the parole officer to make a recommendation and the ability to print a hardcopy of the form. The form should be filled out by the investigating parole officer and will then go to an Executive Director's email inbox for review. The fields are pre-populated from the information that is in the parole investigation.</p>	
<p>Vendor Comments:</p>	

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2.5 Board Schedules and Calendar

There are 5 full time Board Panel Members and 12 part time Board Panel Members. Currently there must be at least 2 full time Panel Members and 1 part time member to conduct a parole hearing and the panel is subsequently assigned to a parole hearing at a specific facility. There are at least 20 parole hearings a month, with as many as 30 offenders being seen on a single hearing. Approximately 7 days before the scheduled parole hearing, the docket is finalized which lists all the offenders who had their parole packages certified and are appearing at that hearing. The parole hearing takes place, and the results of the hearing are uploaded onto the BOPP website.

2.5.1 Parole Hearing Calendar	- Please Select One Option -
The ability to generate a calendar of upcoming parole hearings and assign Panel members and Parole Officers to the appropriate hearings. Ability to accept and retain a parole hearing schedule, including date, time and location, and associate each offender on a docket with the time and location to support notifications. The schedule must be blocked off in the DOC calendar for video hearing to avoid conflicts.	
2.5.2 Finalization of the Hearing Docket	- Please Select One Option -
Ability to generate a final parole hearing docket for each parole hearing date and location 7 days prior to the hearing, showing for each offender on the docket their name, offender number, court they were sentenced out of and what type of parole hearing it is. The ability to maintain this report (additions, deletions and changes) under user security rules.	
2.5.3 Panel Requirements	- Please Select One Option -
Once a case has been placed on a docket, the ability to allow Panel Members to review cases assigned to them electronically both locally and remotely. It should have the ability for the panel members to view all the cases assigned to them and to view the other panel members cases if required. The ability to make notes on the cases for review during the hearing, including the ability to write on the document via a tablet PC.	
2.5.4 Offender Transfer Prior to scheduled parole hearing	- Please Select One Option -

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<p>If an offender is transferred to another location / prison prior to their scheduled parole hearing, the ability for the system to place the case on the new location / prison's next available docket.</p>	
<p>Vendor Comments:</p>	

2.6 Record the disposition of parole hearings and notify / update agencies / system

During the parole hearing, a parole officer records the decision of the parole board. There are several common decisions that the Board can make including Denial of parole with no new parole hearing, Denial of Parole with a new parole hearing in the future and the granting of parole. If parole is granted, then additional conditions of parole may be stipulated by the Board (such as no contact with the victim). If parole is denied, the offender has to be given specific reasons as to why parole was denied. An audio recording of the parole hearing is uploaded onto the DOC system.

<p>2.6.1 Results of the Parole Hearing</p> <p>The ability to record the results of the parole hearing. If the offender is assigned a "voted to parole date", the ability to record that date and let DOC records know the result. Ability to be able to capture the disposition of the case electronically including capturing any additional stipulations of the hearing.</p>	<p>- Please Select One Option -</p>
<p>2.6.2 Minutes of the Parole Hearing</p> <p>Ability to generate the minutes of the docket no more than 7 days after the hearing. The minutes include the offenders who appeared, the disposition of their parole case, their voted to parole date, the Board members who sat on the case, any Board member that dissented on the decision, and the parole officer that conducted the hearing. An alert is sent to DOC when this is completed and is posted on the BOPP website automatically.</p>	<p>- Please Select One Option -</p>
<p>2.6.3 Finalization of Parole Agreement</p> <p>The ability to create a parole agreement based off of the stipulations set by the Board at the parole hearing and the capability for parole officers to electronically approve the parole agreements.</p>	<p>- Please Select One Option -</p>
<p>2.6.4 Town Mappings</p> <p>The ability to lookup mappings of towns to parole district offices and automatically assign the appropriate district office based on the parolee's proposed town of residence during their parole.</p>	<p>- Please Select One Option -</p>

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<p>2.6.5 Special Case Status</p> <p>The ability to maintain additional specialized case status such as interstate cases, special management cases (sex offenders, mental health cases etc.) and Global Positioning Satellite cases.</p>	<p>- Please Select One Option -</p>
<p>2.6.6 History of Parole Board Actions</p> <p>Ability to capture history of parole Board actions. Actions would include such things as, but not limited to, how many times an offender was considered for parole, how many times the offender has been granted parole, how many times the offender was denied parole, how many times the offender has been out on parole and returned, the outcomes of the revocation hearings, the outcomes of the rescission hearings, and any special parole conditions that were imposed in the past on the offender. The dates of parole board actions, dates of resulting release and/or return to custody. The ability to capture the date and reason as to why a parole case is continued.</p>	<p>- Please Select One Option -</p>
<p>2.6.7 Denial of Parole</p> <p>The ability to capture reasons Parole was denied (i.e.: serious nature of offense, number of offenses committed, etc.), next hearing date, and information that must be submitted prior to next hearing. The ability to generate a letter that is sent to the offender that articulate the specific reasons why they were denied parole.</p>	<p>- Please Select One Option -</p>
<p>2.6.8 Parole Status</p> <p>The ability to be able to record multiple outcomes of parole hearings including: voted to discretionary parole date, release to transfer parole date, special parole start and end date, voted to medical parole date, voted to extended supervision parole, voted to deportation parole, compassionate parole, parole rescinded with a new parole hearing date, parole rescinded with no new parole hearing date, parole revoked with new parole hearing date and parole revoked with no new parole hearing date. The ability to have multiple parole statuses for the same parolee concurrently such as a discretionary parole and special parole running concurrently.</p>	<p>- Please Select One Option -</p>
<p>2.6.9 Probation Status</p> <p>The ability to identify if the offender has a sentence of probation to follow his or her incarceration. If the offender is denied parole and ordered to serve the remainder of his sentence, the parole package is electronically sent to probation.</p>	<p>- Please Select One Option -</p>

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<p>2.6.10 Audio Recording of Parole Hearing</p> <p>The ability to have the capability of linking an audio recording of the hearing in WMA / MP3 format. Recordings of all parole hearings are saved onto a network hard drive. The ability to be able to link the recording, including historical hearings linked to commitment number and offender number.</p>	<p>- Please Select One Option -</p>
<p>2.6.11 Notification to other agencies of parole release decision</p> <p>The ability to be able to automatically notify the following Departments and/or individuals 8 days prior to the tentative Parole release date: Correctional Records, Offender Accounts, Pre-Release Programs, Medical, Counselor, and the supervising field Parole Officer.</p>	<p>- Please Select One Option -</p>
<p>2.6.12 Track stipulated program participation conditions of parole</p> <p>The ability to store programs mandated by the Parole Board (pending conditions of release to parole). It must automatically create a work list entry for the CTDOC program department that an offender is mandated to attend.</p>	<p>- Please Select One Option -</p>
<p>2.6.13 Notification and Transfer of case to the Parole and Community Services Offices</p> <p>The ability to automatically send alerts to appropriate community supervision parole managers once a parolee has been granted parole and to automatically move / add the case to the field office work load/queue.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

2.7 Interstate Compact

The interstate compact unit utilizes a federal web-based system (ICOTS) as well as their parole system to monitor all interstate cases. There are three types of cases that the Interstate Compact Unit is responsible for processing; out of state cases that wish to transfer their parole to CT, a CT inmate that wishes to transfer their parole to another state, and an inmate who has an out of state or federal detainer.

<p>2.7.1 ICOTS Access</p>	<p>- Please Select One Option -</p>
<p>The ability to access the Federal ICOTS system through an integrated web browser.</p>	

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<p>2.7.2 Case Assignment</p> <p>The ability to assign cases for investigation to the field parole officers (Community Supervision Module).</p>	<p>- Please Select One Option -</p>
<p>2.7.3 Report Generation</p> <p>The ability for field parole officers to generate a misconduct report / Interstate Violation Report / Termination Report / Transfer requests / Departure and Arrival Notices / Progress reports in the parole system to be approved by a manager and sent via ICOTS.</p>	<p>- Please Select One Option -</p>
<p>2.7.4 Revocation</p> <p>The ability to start a revocation case for an offender paroled by Connecticut upon a violation from another state in the parole module.</p>	<p>- Please Select One Option -</p>
<p>Vendor Comments:</p>	

2.8 Parole Revocation

Parole revocation is the return of a parolee to prison after he or she violates any conditions of parole by either a technical violation (such as missing a treatment meeting), absconding (a parolee who stops reporting to a parole officer) or a criminal violation (such as a new arrest). The process is initiated by the field parole officers who create a violation report which is submitted to a manager for approval and then forwarded to the BOPP for issuance of a warrant.

<p>2.8.1 Revocation information</p> <p>Based on CT laws and regulations, the ability to record revocation information such as: violations, preliminary hearing, revocation hearing, hearing results, re-release dates, special conditions and offender notification.</p>	<p>- Please Select One Option -</p>
<p>2.8.2 Warrant Issuance</p> <p>The ability to be able to automatically request a warrant to the BOPP for re-imprisonment based on a parole officer's approved violation report.</p>	<p>- Please Select One Option -</p>
<p>2.8.3 Approval of Warrant</p> <p>The ability to electronically present a completed violation report to a BOPP manager for approval or denial of the warrant for re-imprisonment / special parole commitment,</p>	<p>- Please Select One Option -</p>

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including the capability for the officer to re-apply for the warrant if denied.	
2.8.4 Disposition of Criminal Charges	- Please Select One Option -
For criminal violations, the ability to be able to send an automatic alert to the assigned field parole officer when any/all pending charges are adjudicated including if the detainer score is changed.	
2.8.5 Revocation Findings	- Please Select One Option -
The ability to record findings at each step of the revocation process and adjust the status of the parolee over the lifecycle of the revocation process which includes a preliminary hearing if not waived.	
2.8.6 Investigation Summary	- Please Select One Option -
The ability for parole officers assigned to the BOPP to write an investigation summary that is given to a panel to make a decision and is forwarded to the offender.	
2.8.7 Violation Reports	- Please Select One Option -
Ability to capture and retain parole violation reports, linked to an offender.	
2.8.8 Parole Status Entry	- Please Select One Option -
Ability to create a parole status entry for an offender's parole revocation, including date of violation, date of violation report, author of report, date of warrant for re-imprisonment, Chairman or designee who approves the warrant for re-imprisonment, date of arrest, arrest agency, arrest location, absconder status, and date of return to CT DOC / remand to custody order.	
2.8.9 Time Frame Alerts	- Please Select One Option -
The ability to issue reminders to the field officers about specific time frames regarding the revocation process (example: based on the date of the remand to custody, the field officer has 3 business days to serve the offender a hardcopy notice of the parole violation).	
2.8.10 Hearing Schedule	- Please Select One Option -
The ability to schedule a parole revocation hearing within statutory timeframe guidelines.	
2.8.11 Special Parole Violation Report	- Please Select One Option -

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Ability to support preparation of a special parole violation sentencing document identifying the offender's start date, end date, and dead time in the event of absconding.	
2.8.12 Parole Reinstatement Reason	- Please Select One Option -
Ability to capture reason for reinstating parole (i.e.: not enough evidence for charge, served sufficient time for violation, etc.), where paroled to (i.e. detainer, state, compact, etc.), and modified parole conditions (i.e. attend alcohol/drug counseling, must attend AA as directed, etc.).	
2.8.13 Expedited Revocation Offer	- Please Select One Option -
For expedited revocations (where the offender waives the revocation hearing and admits guilt in exchange for a pre-approved re-parole date), the ability to generate an expedited revocation form with pre populated information such as the offender's name, number, reason for revocation (received a new criminal charge, return for technical violation etc.), and the new voted to parole date.	
2.8.14 New Parole Eligibility Date	- Please Select One Option -
Ability for the system to recalculate new parole eligibility dates upon a new criminal conviction.	
2.8.15 Outcome of Revocation Hearing	- Please Select One Option -
Ability for the system to revoke / re-parole / or reinstate parole based on outcome of revocation hearing.	
2.8.16 Transfer of cases	- Please Select One Option -
Ability to transfer the case to the designated Parole and Community Services office when an offender is re-paroled / reinstated.	
2.8.17 Absconder	- Please Select One Option -
The application for a warrant for re-imprisonment for an absconder is the same process as a revocation warrant with the exceptions being that the offender is not physically in custody. The ability to notify field fugitive parole officers if an absconder is returned to custody through another criminal justice agency (such as local or state police) so they can serve notice and notify the BOPP by an addendum to the original parole violation report.	

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<p>Vendor Comments:</p>

2.9 Parole Rescission

Parole rescission is the reconsideration of an offender's voted to parole date after they were voted to parole but before they are released from prison. The BOPP can either modify the offender's parole date (including rescinding the date) and/or modify the conditions of parole. The process is initiated by the revocation / rescission parole officers who create a notice of intent to rescind parole which is served to the parolee along with any evidence and scheduled for a rescission hearing for the offender. The process is started after the BOPP receives notification of a form of offender misconduct or new adverse information.

2.9.1 Rescission Alert	- Please Select One Option -
The ability to automatically notify/alert an assigned Parole Manager if an offender who was voted to parole has an incident prior to being released to parole. Examples of a new incident are misconduct such as the offender received a new disciplinary report or receives new criminal charges, or other information such as the offender's DOC level increases, lack of a suitable release plan, lack of a suitable sponsor 120 days after the voted to parole date, or the offender returns from a DOC halfway house.	
2.9.2 Rescind Form	- Please Select One Option -
The ability to pre-populate a notice of intent to rescind form. This form would include information such as the offender's name and number, reason for possible rescission (received a disciplinary report, return from halfway house etc.), and the initial voted to parole date.	
2.9.3 Rescission Rights	- Please Select One Option -
The ability to print a form to allow the offender to review their rights at the rescission hearing.	
2.9.4 Investigation Summary	- Please Select One Option -

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<p>The ability for parole officers assigned to the BOPP to write an investigation summary that is given to a panel to make a decision and is forwarded to the offender.</p>	
<p>2.9.5 Expedited Rescission Form</p>	<p>- Please Select One Option -</p>
<p>For expedited rescissions (where the offender waives the rescission hearing and admits guilt in exchange for a pre-approved re-parole date), the ability to generate an expedited rescission form with pre populated information such as the offender's name, number, reason for possible rescission (received a disciplinary report, return from halfway house etc.), and the new voted to parole date.</p>	
<p>2.9.6 Rescission Hearing Form</p>	<p>- Please Select One Option -</p>
<p>The ability to record rescission hearing results such as: rescissions of parole, re-release dates, modified special conditions, etc with the capability to send a letter to the offender notifying them of the decision.</p>	
<p>Vendor Comments:</p>	
<p></p>	

3. Report Requirements

<p>3.1 Database Searches</p>	<p>- Please Select One Option -</p>
<p>The ability to allow the user to search the offender database using a variety of search fields. For example, CTDOC Offender Number, Name, Alias, SBI and FBI Numbers, Social Security Number, Date of Birth Driver's License Number may be used as a search field.</p>	
<p>3.2 Parole Status</p>	<p>- Please Select One Option -</p>
<p>The ability to search for voted to parole date, voted to parole with special parole to follow, waived parole, pending hearing, parole revoked with a new hearing date, parole rescinded with a new hearing date, parole denied with special parole to follow, parole denied with a new hearing date, parole denied with no new hearing date, parole hearing continued.</p>	
<p>3.3 Parole Board Report Levels</p>	<p>- Please Select One Option -</p>

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<p>The ability to generate and assign parole specific reports on three levels which are defined as parole officer, managerial and executive.</p>	
<p>3.4 Parole Eligibility Forecast Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a forecast report that can articulate how many offenders are eligible for parole each month in the upcoming months, how many offenders are currently serving a parole eligible sentence, how many offenders will be parole eligible in a certain month by correctional institution, etc. This report would be used by managerial and executive staff.</p>	
<p>3.5 Parole Hearing Reports</p>	<p>- Please Select One Option -</p>
<p>The ability to generate a report that displays the overall parole grant rate in different time intervals (months, years, specific to/from date), display the grant rate by offender demographic factors, display the total number of cases considered for parole in a month / year, display what geographic areas offenders are being paroled to, display the parole cases considered at different time intervals by institution, the number of cases continued by different time intervals broken down by institution and assigned parole officer, the number of cases denied parole but given a new hearing date, the number of cases denied parole and ordered to serve the remainder of their sentence, the number of cases that had their parole revoked but given a new parole hearing date, the number of cases that had their parole rescinded but given a new hearing date, the number of cases that had their parole revoked and ordered to serve the remainder of their sentence, the number of cases that had their parole rescinded and ordered to serve the remainder of their sentence, the number of cases that had their parole reinstated, a report that measures the percentage of the sentence the offender completed before the voted to parole date with the average months of parole supervision, offenders that were voted to parole and are still in prison past their voted to parole date, what offenders are beyond their parole eligibility dates and the reason, the recidivism rate for parolees, and display graphical reports as well as numerical reports.</p>	
<p>3.6 Parole Officer Report</p>	<p>- Please Select One Option -</p>

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The ability to generate a report that can articulate how many cases a parole officer processed in a specific time frame, how many offenders are currently on their caseload and how many offenders will be on their caseload.	
3.7 Parole Board Panel Member Report	- Please Select One Option -
The ability to generate a report that can articulate how many cases a particular Board Member heard in a specific time frame, the granting rate of that Board Member, how many additional stipulations a particular Board member usually sets, and the type of case the Board Member hears (violent, non-violent, revocation etc.).	
3.8 Offenders requiring a Mental Health Evaluation Report	- Please Select One Option -
Ability to generate a report of offenders who will need a psychological screening based on their DOC mental health sub-codes. The ability to recognize when the mental health evaluation has been completed by UCONN before the case is placed on the final docket. The system will withdraw the offender from the final docket if the mental health score increases prior to the hearing.	
3.9 Offenders requiring a Problem Sexual Behavior Evaluation	- Please Select One Option -
Ability to generate a report of offenders who will need a problem sexual behavior evaluation for offenders based on their DOC sexual treatment sub-codes. The ability to recognize when the problem sexual behavior evaluation has been completed by Special Services before the system places the offender on the final docket. The system will withdraw the offender from the final docket if the sexual treatment score increases prior to the hearing and there is not a problem sexual behavior evaluation on file.	
3.10 Graphical Reports	- Please Select One Option -
The Ability to produce graphical reports to the aforementioned reports.	
3.11 Views on the system	- Please Select One Option -
The ability to be able to display multiple views.	
3.11.1 Specific Parole Officer	- Please Select One Option -

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<p>Views by selecting a specific parole officer: List all the officer's cases assigned with the ability to sort by last name, offender number, status (pending hearing, revocation, rescission etc.), parole eligibility date, end of sentence date, the denied rehear date, their designation (50% or 85%), and it should have a way to quickly identify in the view whether or not the offender is a sex offender, interstate case, if there is victim interest, or has mental health needs (preferably by an icon).</p>	
<p>3.11.2 Produce Face Sheet</p>	<p>- Please Select One Option -</p>
<p>When a case is selected or double clicked, the ability to show a face sheet of the offenders and what information is received and missing for cases that are continued.</p>	
<p>3.11.3 Parole Package Received</p>	<p>- Please Select One Option -</p>
<p>When a case is selected, it should have a view that displays whether or not specific pieces of the parole package have been requested and received (police reports, PSI, etc.).</p>	
<p>3.11.4 Parole Package Completion</p>	<p>- Please Select One Option -</p>
<p>When all the documentation is received, the ability to have a "ready to interview queue" in which the parole officer can easily tell what offenders has all the information in on their case.</p>	
<p>Vendor Comments:</p>	
<p></p>	

BC.24 – Community Supervision Requirements

The purpose of the Community Supervision process group is to ensure offenders are assigned to officers who will monitor and support them in complying with their supervision conditions. The Department of Correction is working together with other community resources to assist offenders with successful community reintegration.

Community Supervision encompasses Community Contracted Residential (Halfway House or Transitional Housing) and Non-Residential Programs, Approved Sponsor and parole district offices. District offices provide various levels of supervision which include electronic monitoring (GPS & EMP) and employment verification, urinalysis testing, intensive, enhanced, regular and minimum.

The result of this process defines an offender's supervision level based upon public risk, assessing ongoing offender needs, and developing a plan through the use of the TPAI, LSI and the ASUS assessment tools and through the use of appropriate sanctions and strategies to minimize risk and maximize the potential for successful outcomes.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Initial Case Planning
- 1.1.2 Release of Offender(s)
- 1.1.3 Offender Intake
- 1.1.4 Offender Community Supervision
- 1.1.5 Miscellaneous Requirements
- 1.1.6 Offender Misconduct's/ Violations
- 1.1.7 Absconders / Remands / Escapes Tracking
- 1.1.8 Interstate
- 1.1.9 Residential Supervision
- 1.1.10 Termination Process

1.2 Exceptions and Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Board of Pardons and Parole
- 1.3.2 Warrants and Detainers
- 1.3.3 Sentence and Time Calculation
- 1.3.4 Classification
- 1.3.5 Movements and Transfers
- 1.3.6 Violations and Disciplinary Action
- 1.3.7 Offender Association and Intelligence
- 1.3.8 Education
- 1.3.9 Program and Activities
- 1.3.10 Intake and Booking
- 1.3.11 Offender Event Schedule, Calendar and Alerts
- 1.3.12 Offender Records
- 1.3.13 Offender Management
- 1.3.14 Classification and Assessment
- 1.3.15 Pre-Release Processing
- 1.3.16 Offender Employment

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2. Functional Requirements

2.1 Initial Case Planning

When either the Parole Board (Parole, Transfer Parole, Special Parole, Medical Parole) or the Warden of the offender's facility (Transitional Supervision, Transitional Placement, Community Release, Re-Entry Furlough) approves the release of an offender, an alert is sent to the assigned district's Parole Manager, Home Investigation Officer and District Secretary and the case is added to the approved release queue.

DOC Requirements	Vendor Responses
2.1.1 District Assignments	- Please Select One Option -
The ability to match mappings of towns to district offices. This needs to be re-configurable. The system should automatically assign the appropriate district office based on the offender's proposed town of residence during their supervision with an alert to the Home Investigation Officer and the District Parole Manager and Secretary.	
2.1.2 Special Stipulation and Alerts	- Please Select One Option -
The ability to transfer the case to the appropriate unit if there is a residential, mental health or special management placement stipulation and send it to their pending work queue with an alert to the Home Investigation Officer and the appropriate Parole Manager and Secretary.	
2.1.3 Case Load Assignments	- Please Select One Option -
The ability to recommend caseload assignment to a parole manager based on workload and geographical area with the ability for the Parole Manager to override.	
2.1.4 Interstate Transfers	- Please Select One Option -
The ability to integrate parole cases with the Interstate Parole System (ICOTS) and send alerts based on situations such as special stipulations and proposed residence, new cases, requests for action, home investigations completed, to include approval or denial.	
2.1.5 Parole Managers	- Please Select One Option -
The ability to automatically send alerts to Parole Managers for new cases in their queue and the ability to review the cases.	
2.1.5.1 Approved	- Please Select One Option -
The ability to send alerts to the assigned officer and Home Investigation Officer.	
2.1.5.2 Denied	- Please Select One Option -

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The ability to send alerts to the sending facility with an explanation. If case is transferred to a different district, an alert is sent to the appropriate district parole manager.	
2.1.5.3 Assignment of Work	- Please Select One Option -
The ability to allow managers to assign work to clerical for follow up and alert manager when completed. Manual overrides should be in place for the Parole Managers to direct cases as needed.	
2.1.6 Field Officers	- Please Select One Option -
The ability to alert officers of pending cases assigned to them and assign them to a pending queue.	
2.1.6.1 Pending Cases	- Please Select One Option -
The ability to display a summary of pending cases sorted by either days left until approved release date, days past due date, proposed addresses and special conditions with the ability to display specific case detail.	
2.1.7 Home Investigation Tracking	- Please Select One Option -
The ability to record date when completed, any notes and upload photos taken, decision on residence either approved, denied	
2.1.7.1 Home Investigation Approved	- Please Select One Option -
The ability to alert Parole Manager's for review of the home investigation outcome and for the supervisor to approve/ deny or transfer with appropriate alerts. This step should be able to be bypassed if this is a STOP case/ Re-Entry Furlough or a Parole Manager approves bypassing it. Upon successful completion or bypass, the case should be placed in a pending release.	
2.1.7.2 Home Investigation Denied	- Please Select One Option -
The ability to deny a residence to include a reason for denial and alert to facility to request new residence or alert to residential unit requesting placement, officers discretion) or to remain pending (and reason for pending). Alerts for certain denials to send alert to PM for review/ approval	
Vendor Comments:	

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2.2 Release of Offender(s)

Upon completion of the Home Investigation process, the field officers access a user interface to update the status. Criteria for release can be waived or overridden at parole manager’s discretion. Once complete a release approval or denial alert is sent to the assigned field officer.

DOC Requirements	Vendor Responses
2.2.1 Release Authorization	- Please Select One Option -
The ability to allow officers, to include Home Investigation Officers, to review pending queue, view the criteria status and if all criteria are met (or parole manager waived) determine appropriate release date and time.	
2.2.1.1 Sending Release Authorization	- Please Select One Option -
The ability to allow the Home Investigation officer (s) (or Secretary with approval) or assigned case officer to authorize the release.	
2.2.1.2 Alerts for Release Authorization	- Please Select One Option -
The ability to send alerts to appropriate facility or Residential Unit as well as to appropriate local police dept., based on approved residence address and special conditions.	
2.2.1.3 Release Queues	- Please Select One Option -
The ability to place the case in a release sent queue and send an alert to the assigned field parole officer.	
2.2.1.4 Cancelling Release Authorizations	- Please Select One Option -
The ability to allow for the release to be cancelled by the Parole officer or the Parole manager to include a reason and move the case back to pending release queue and send alerts to the facility, the police dept. and the Home Investigation and field parole officer.	
2.2.2 Case Management Plan	- Please Select One Option -
The ability to access and review DOC/ Board Supervision plans and conditions. [This includes tracking special conditions – what the special condition is, whether or not it was completed, length of time, etc.] and officers can create a plan and forward it to the supervisor for approval.	
2.2.2.1 Treatment Programming	- Please Select One Option -
The ability to determine current availability of community service programs (both contracted and non contracted) and provide contact information for each (user updateable), services offered, length of programs, contract requirements. This needs to be able to be sorted by services offered, geographic locations, gender, schedule of programs	

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2.2.2.2 Treatment Program recommendations	- Please Select One Option -
The ability to match offender to appropriate programs based on classification scoring, special conditions, geography, transportation available (to include sex offender, mental health etc.) and allow field officers to modify as necessary.	
2.2.2.3 Standardized Referrals	- Please Select One Option -
The ability to generate and record a standardized offender referral to programs and fax or email referrals to the appropriate programs (EMP/GPS, mental health, or sex offender) from within the system. This form could then be printed, emailed to a specific program or faxed.	
2.2.2.4 Interfaces	- Please Select One Option -
The ability to have, LSI-R, ASUS-R, EMP, and GPS interfaces directly within the system.	
2.2.2.65 Initial Reporting Requirements	- Please Select One Option -
The ability to determine initial reporting requirements (Intensive, Maximum, Medium, Minimum) based on conditions, history, any LSI-R's/ ASUS or TPAI scores, modifiable based on policy changes.	
2.2.2.6 LSI/ ASUS Alerts	- Please Select One Option -
The ability to determine based on criteria (currently released with 6 months or more left on sentence) and has been released for more than 30 days and LSI, ASUS, TPAI etc. has not been completed and to send alerts to PO and PM (needs to be configurable based on policies)	
2.2.2.7 Override	- Please Select One Option -
The ability to allow officer or manager overrides to include justifications and record Date and time and staff who authorized the override.	
Vendor Comments:	

2.3 Offender Intake

Upon the release of the offender (whether Parole or Transitional Supervision) an intake is conducted by the supervising officer or an officer covering the case load.

DOC Requirements	Vendor Responses
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<p>2.3.1 Conditions Displaying</p> <p>The ability to allow displaying/ printing/ modifying initial Parole/ Transitional Supervision (etc.) conditions.</p>	<p>- Please Select One Option -</p>
<p>2.3.2 Conditions Tracking</p> <p>The ability to track the date/ time location of intake, date conditions were signed by offender.</p>	<p>- Please Select One Option -</p>
<p>2.3.3 Electronic Signatures</p> <p>The ability to allow capturing electronic signatures both remotely (in the field) and in the office.</p>	<p>- Please Select One Option -</p>
<p>2.3.4 Treatment Programming during intake</p> <p>The ability to display all treatment programs that were recommended and allow modifying these to include dates locations, type of program etc.</p>	<p>- Please Select One Option -</p>
<p>2.3.5 Intake Free Text Fields</p> <p>The ability to allow free text fields to record notes about the intake.</p>	<p>- Please Select One Option -</p>
<p>2.3.6 Status of case</p> <p>The ability to move the case to Active Supervision upon release date unless the release was cancelled.</p>	<p>- Please Select One Option -</p>
<p>2.3.7 Case Management Plan Creation</p> <p>The ability to allow the parole plan to be created by the officer to be forwarded to the Parole Manager for approval and send an alert.</p>	<p>- Please Select One Option -</p>
<p>2.3.8 Case Management Plan Review</p> <p>The ability to allow the parole plan to be denied/ modified/ approved by the parole manager and send the case back to the Field Officer to include alerts and reasons.</p>	<p>- Please Select One Option -</p>
<p>2.3.9 Case Management Plan Resubmission</p> <p>The ability for the officer to resubmit the report for approval upon completing the recommended changes.</p>	<p>- Please Select One Option -</p>

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Vendor Comments:

2.4 Offender Community Supervision

A documented system of supervision that coordinates and involves an offender in a structured framework of programs and services with established goals based on the offender's risk assessment and identified needs.

DOC Requirements	Vendor Responses
2.4.1 Case Notes	- Please Select One Option -
The ability to, upon selecting an offender, display an overview of the offender to include picture, address, sponsor, last case notes, any misconduct's (to include offense and outcome), special conditions, current programs with the ability to drill down into any fields.	
2.4.1.1 Entering a new case note	- Please Select One Option -
The ability to allow creating a new case note and automatically record the date and time of the note as well as officer entering note and, if GPS signal present, to save the location and require entry of the interaction date (Default to the current date), type of interaction (Face to Face, collateral, or administrative (user configurable to determine default setting). The ability to include the location of the interaction (default to Office) but include Residence, Employment, Searches (to include type: Compliance, Consent, Exigent Circumstance, Pat, Third Party Pat, Strip, metal Detector, Third Party, Residential Provider) and Other with a field to explain.	
2.4.1.2 Pre Selectable Fields	- Please Select One Option -
The ability to have check boxes including Drug test, Employment, Residence, Court, Police contact, Supervisor Review, Interstate, Use of Force, Contraband/ Weapons confiscated, Board approved for release, and a free text box for generalized notes	
2.4.1.3 Fugitive Section	- Please Select One Option -
The ability to have a fugitive section to only be accessible to the designated fugitive team staff members	
2.4.1.3.1 Fugitive Case Notes	- Please Select One Option -

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<p>The ability for fugitive team members to enter notes. These are to be a series of check boxes with a free text field for each to explain. The following fields need to be included: Case conference held, Check – Labor Department, Check – Master File, Check – Motor Vehicle, Check – NCIC, Check – Phone Company, Check – Post Office, Check – SSA/OIG, CT – Letter Requesting Temp. Custody – Sent, Extradition of Fugitive, File 17 Changed to File 5 (a second field requiring file 5 number), Fugitive Apprehended – Fugitive Unit, Fugitive Apprehended – Other Agency, Fugitive Supervisor Comments, Interview Conducted, Informant Contact, Operational Plan Executed, Prisoner Transported, Social Services Reply Received, Social Services Request Sent, Surveillance Conducted, Search and Seizure Warrant Received, Search and Seizure Warrant Requested, US Marshall – transportation Agreement Sent, Warrant – Attempt to Serve, Warrant Served, Warrant Withdrawn.</p>	
<p>2.4.1.4 Transfers</p>	<p>- Please Select One Option -</p>
<p>The ability to transfers between units, officers, offices. Should allow mass transfers as well as individual</p>	
<p>2.4.2 Offender Monitoring</p>	<p>- Please Select One Option -</p>
<p>The ability to record results of monitoring/contacts as identified in the Case Summary Report (e.g. employment location and status, payment information and upcoming goals). The system should allow scheduling of offender contacts by picking a certain date(s) or by assigning a day/ time and automatically add weekly, biweekly or monthly based on supervision levels</p>	
<p>2.4.2.1 Programs to Update Cases</p>	<p>- Please Select One Option -</p>
<p>The ability to record offender progress in programs (Approved Programs should have access to view limited screens and to enter notes via a web page interface. The ability to send alerts to assigned officer when the note is entered).</p>	
<p>2.4.2.2 Recording Positive or Negative Behaviors</p>	<p>- Please Select One Option -</p>
<p>The ability to record specifics of an offender's behavior (positive and/or adverse).</p>	
<p>2.4.2.3 Scoring each interaction</p>	<p>- Please Select One Option -</p>

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<p>The ability to calculate and assign a score percentage for offender's. This should be configured based on a scoring system. The system should default to and display this score for every transaction. An officer should have the ability to raise or lower, at their discretion, this score on a case by case basis. This score should continually calculate an average and display on the offender's summary page with 100% being the best.</p>	
<p>2.4.2.4 Exceptions</p>	<p>- Please Select One Option -</p>
<p>The ability to display on an officers main logon page any exceptions (missed reporting's based on dates scheduled, EMP/GPS issues, Time critical issues (to include days left to complete Parole Violation Report)</p>	
<p>2.4.2.5 PM Portal Page</p>	<p>- Please Select One Option -</p>
<p>The ability for Parole Managers to have a main view that displays all items pertaining to a case that they are required to review by policy.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.5 Miscellaneous Requirements

Miscellaneous items required for the system

DOC Requirements	Vendor Responses
<p>2.5.1 Alerts for Missed Case Management Activities</p>	<p>- Please Select One Option -</p>
<p>The ability to allow supervisors, administrators, and officers (individually and as a group), based on an escalation policy, to receive alerts related to their staff's missed case management activities.</p>	
<p>2.5.2 Alerts for Offender Missed Activities</p>	<p>- Please Select One Option -</p>
<p>The ability to alert staff when contacts are missed such as office visits, drug tests, and court ordered payments, Missed treatment appointments (Example: AIC, D/V, Sex Offender classes, Mental Health appointments).</p>	
<p>2.5.3 Isolate and Maintain Supervision History</p>	<p>- Please Select One Option -</p>

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The ability to isolate periods of community supervision and maintain all records related to each separate and distinct period of supervision. Prior periods of supervision should be easily accessible.	
2.5.4 Track Multiple Active Statuses	- Please Select One Option -
The ability to track multiple active statuses such as special parole, transitional supervision and probation concurrently.	
2.5.5 Miscellaneous Documents	- Please Select One Option -
The ability to create miscellaneous documents (e.g. travel permit, interstate memo). The system should have the ability to merge database information with user-entered information to create a variety of offender letters (e.g. missed appointments, acknowledgements).	
2.5.6 Dynamic Task Lists	- Please Select One Option -
The ability to merge system-generated and user-entered alert and escalation functionality with dynamic task lists.	
2.5.7 Officers Calendars	- Please Select One Option -
The ability to add offender appointment dates into the assigned officer's calendar (e.g. Outlook).	
2.5.8 Customize Alerts	- Please Select One Option -
The ability to allow supervisors and officers (individually and as a group) to customize alerts depending upon specific officer caseload and performance issues.	
2.5.9 Tracking Court Dates	- Please Select One Option -
The ability to allow for tracking offender court dates and outcomes and revocation hearings.	
2.5.10 Track Sponsor History	- Please Select One Option -
The ability to track current sponsors/ residents and alert when a sponsor attempts to sponsor a second (or more) offender.	
2.5.11 Sponsors on Probation	- Please Select One Option -
The ability to track sponsors/ residents who are currently on Probation (or starting probation) and send an alert	

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2.5.12 Sponsors Arrested	- Please Select One Option -
The ability to track when a sponsor/ resident is arrested and send an alert	
2.5.13 Unapproved Sponsor Tracking	- Please Select One Option -
The ability to allow maintaining a list of unapproved sponsors to include reason/ length of time denied for and send an alert	
2.5.14 Sponsors as Victim/ Co-Defendant	- Please Select One Option -
The ability to determine if any sponsor/ resident is identified as any victim/ Co-Defendant and send an alert	
2.5.15 Other agency Photo's/ Records	- Please Select One Option -
The ability to interface with current and future state systems to include DMV (information and Photographs), CSP sex offender registry (need to be able to update data to their system), OBTS, JEB, CJIS, Courts, CSP firearms database etc. for both sponsor and offenders to include Photo's and information.	
2.5.16 Wants/ Warrants	- Please Select One Option -
The ability to alert if any sponsors/ residents are wanted through prawn/ or NCIC.	
2.5.17 Cross Data Searching	- Please Select One Option -
The ability to add multiple friends/ girlfriends/ baby's mothers and their relationships and determine any cross matches/ issues that have been and send an alert to any identified patterns/ issues	
2.5.18 Violation Patterns	- Please Select One Option -
The ability to determine patterns of violations based on geography, crime databases, user inputted information etc. and display in a variety of user configurable formats to include graphs, tables, lists sorted by town, seriousness of offense etc.	
2.5.19 Mobile Device's	- Please Select One Option -
The ability to be accessible/ updateable from wireless devices (ie Blackberry phones, Iphones etc.) and determine, based on browser, to display screens formatted for mobile browsers	
2.5.20 Random Data inputting	- Please Select One Option -

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The ability to allow inputting random data that officers learn and that data should be able to be searched on (i.e. was seen with known drug dealer on date and time then allow us to search on that information)	
2.5.21 DCF system	- Please Select One Option -
The ability to integrate with DCF system and determine any DCF issues based on residence and names, children	
2.5.22 Investigation/ Transfers	- Please Select One Option -
The ability to record investigation/transfer requests and replies from one district to another district and interstate.	
2.5.23 Sex Offenders	- Please Select One Option -
The ability to include a check box for registered sex offenders with a link to the registry to notify the PO if an offender is out of compliance.	
2.5.24 Convert Status of Offenders Release	- Please Select One Option -
The ability to automatically converts Transfer Parole to Discretionary Parole to Special Parole as warranted. That the system automatically converts Transitional Placement to Transitional Supervision as warranted.	
Vendor Comments:	

2.6 Offender Misconduct's/ Violations

The ability to allow the creation/ signing off and tracking of misconduct's and/ or violations.

DOC Requirements	Vendor Responses
2.6.1 Misconduct's	- Please Select One Option -
The ability to allow officers to create a misconduct report directly from an offender's main screen to document any errant action of the offender. The misconduct will populate the fields from the existing case and have check boxes of predetermined issues and allow free text to be entered for each check box and also have a miscellaneous field for the officer to write in an issue (s). Also there should be a set of check boxes for pre approved and alternate sanctions and a free text field to add sanctions.	

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2.6.1.1 Parole Manager review process	- Please Select One Option -
The ability to alert the Parole Manager to review the misconduct report and allow the manger to approve or deny it (and add comments) and send an alert to the officer. If denied it should allow the officer the ability to resubmit it with any corrections.	
2.6.1.2 Signatures	- Please Select One Option -
The ability to allow printing for the offender to sign or allow electronic signatures.	
2.6.1.3 Misconduct History	- Please Select One Option -
The ability to maintain a record of any misconduct for each and every term of community supervision.	
2.6.1.4 Attach to Parole Violation Reports	- Please Select One Option -
The ability to attach these misconduct's to any violations that are created during the current term of supervision.	
2.6.1.5 Misconduct Outcomes	- Please Select One Option -
The ability to record outcome actions of misconduct's (e.g. changes to conditions, increased supervision (automatically change in the system), referral to treatment/ EMP/ GPS (automatically complete referral).	
2.6.1.6 Misconduct Alerts	- Please Select One Option -
The ability to send alerts to the PO and the PM when a misconduct has occurred and the misconduct report is not completed in assigned time frames (needs to modifiable as policies change)	
2.6.2 Violations	- Please Select One Option -
The ability to allow officers to create violations directly from an offender's main screen. The violation will populate the fields from the existing case and have check boxes of conditions and allow free text to be entered for each condition violated and also have miscellaneous fields for the officer to write in violations.	
2.6.2.1 Electronic Signatures	- Please Select One Option -
The ability to allow printing/ displaying of the parole violation notice and accept electronic signature of an offender.	
2.6.2.2 Projected Hearing Dates	- Please Select One Option -

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The ability to automatically assign a projected hearing date/ location based on facility the offender was returned to and track time frames with alerts.	
2.6.2.3 Violation Types	- Please Select One Option -
The ability to allow officers to assign the type of violation (criminal/ technical and any sub categories (drug use, violence, failure to report etc.)	
2.6.2.4 PM review and Approval/ Denial	- Please Select One Option -
The ability to alert the Parole Manager to review the report and allow the manger to approve or deny it (and add comments) and send an alert to the officer. If denied it should allow the officer the ability to resubmit it with any corrections/ updates.	
2.6.2.5 Revocation Unit Alerts	- Please Select One Option -
The ability to, upon parole manager's approval, send an alert to the revocations unit.	
2.6.2.6 Alerts Returned from Revocations Unit	- Please Select One Option -
The ability to allow the revocations officer to review and approve or deny the violation with comments and alerts. If approved it should move the case into the field officers Violation queue. If denied, alert the officer with a comment section and the corrections needed	
2.6.2.7 Violation History	- Please Select One Option -
The ability to maintain a record of any violations for each term of community supervision.	
2.6.2.8 Violation/ Court Dates	- Please Select One Option -
The ability to allow for tracking offender court dates and outcomes and revocation hearings.	
2.6.2.9 Violation Addendums	- Please Select One Option -
The ability to allow for entering addendum's to include case outcomes (should notify officer automatically with the outcome), or new knowledge gained.	
2.6.2.10 Revocation Process Alerts	- Please Select One Option -

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The ability to, when the case has completed the revocation process, send an alert to the field officer with the disposition and place the case in the appropriate queue (Revoke – re-parole/ parole revoked/ continued etc)	
2.6.2.11 Violation Time Frame Alerts	- Please Select One Option -
The ability to send alerts to the PM and the assigned PO when the violation reports are past time frames (currently 3 days for PVN, 7 days for PVR) (needs to be modifiable as policies change)	
2.6.2.12 Violation Severity Levels	- Please Select One Option -
The ability to assign levels of severity to the violation types and then track which folks (based on LSI score, TPAI score, district, town, PO, etc) are being returned for more and less serious reasons (criminal or technical), to include the ability to cross-reference this info and compile statistics.	
2.6.2.13 Time Out Program	- Please Select One Option -
The ability to return an offender and designate him to be placed in Time Out Program (TOP) to include the ability to generate a waiver form for the offender to sign and to be tracked for statistics	
Vendor Comments:	

2.7 Absconders / Remands / Escapes Tracking

When an offender(s) fails to report as directed and all efforts to locate have been exhausted an escape warrant or an absconder report are completed and forwarded to the court or parole board

DOC Requirements	Vendor Responses
2.7.1 Absconder/ Escapee	- Please Select One Option -
The ability to determine based, on release criteria, if an offender is an escapee or absconder once the violation report is approved	
2.7.2 Time Calculation	- Please Select One Option -
The ability to automatically freeze the offender's time. The ability to determine a date to freeze the time based on when a case is determined to be an escape or absconder but also should allow records staff to modify the date.	
2.7.3 Fugitive Officers	- Please Select One Option -

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<p>The ability to alert officers of cases assigned to them and place them in their queue. The system should display a summary of fugitive cases to include days owed, warrant status</p>	
<p>2.7.4 Preparing Warrants</p>	<p>- Please Select One Option -</p>
<p>The ability to automatically populate the fields based on existing information in either an escape affidavit or an absconder violation report. The report should then be able to be electronically forwarded to be signed off by Parole Managers and then forwarded on to the Fugitive Unit Manager to be assigned to a Parole Officer. Also it the ability to print. The escape affidavit should match existing escape affidavit.</p>	
<p>2.7.5 Transfer</p>	<p>- Please Select One Option -</p>
<p>The ability to, upon completion of the absconder report or the escape warrant, have the case transferred to the Fugitive Parole Manager who can then transfer it to the appropriate Parole Fugitive Officer. Alerts of the movement should be sent for all stages</p>	
<p>2.7.6 Tracking</p>	<p>- Please Select One Option -</p>
<p>The ability to determine if an offender has returned to custody automatically and alert the assigned officer and Parole Manager to follow up with the case</p>	
<p>2.7.7 Victim Services</p>	<p>- Please Select One Option -</p>
<p>The ability to, once an offender is determined to be an Absconder or a Fugitive, send an alert to Victim Services if there is a Victim Profile.</p>	
<p>2.7.7.1 Parole Manager Override</p>	<p>- Please Select One Option -</p>
<p>The ability to, upon approval of a parole manager, send an alert to Victim Services at any time</p>	
<p>2.7.8 Interstate Violations</p>	<p>- Please Select One Option -</p>
<p>The ability to notify the appropriate state when an offender under CT's supervision is violated.</p>	
<p>2.7.9 Time Frames</p>	<p>- Please Select One Option -</p>
<p>The ability to monitor time frames when a report (either absconder or escape warrant) are due and send alerts to PO and PM.</p>	
<p>Vendor Comments:</p>	

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2.8 Interstate

The ability to be integrated with the current Interstate Commission for Adult Offender Supervision (ICOTS) <http://www.interstatecompact.org>

DOC Requirements	Vendor Responses
2.8.1 Receiving Cases	- Please Select One Option -
The ability to automatically import data from the ICOTS system on new cases and send alerts to the appropriate Parole Manager for any new cases. These alerts need the ability to be sent based on the proposed sponsor to the appropriate District Office.	
2.8.2 Transferring cases to other states	- Please Select One Option -
The ability to automatically transfer the data from our system to the ICOTS system upon a transfer being approved by the District Manager.	
2.8.3 Violations	- Please Select One Option -
The ability to automatically send alerts to the assigned officer and the Parole Manager for any offenders in Violation status who have had a parole hearing out of state. The ability to include the disposition and any other pertinent information to include any new conditions or new addresses. Also the ability to send alerts to the appropriate Records staff if the decision is to return the offender to the sending state.	
2.8.4 Progress Reports	- Please Select One Option -
The ability to allow progress reports to be entered by staff to include urine's taken, dates met with etc. and send those to ICOTS. Also the system should send alerts to the Parole officer when it is time to complete a progress report based on established time frames.	
Vendor Comments:	

2.9 Residential Supervision

The ability to track offenders who are housed in residential program to include Transitional Housing, Community Release, Sober House's and others as contracted.

DOC Requirements	Vendor Responses
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<p>2.9.1 Programs</p> <p>The ability to track the programs that are under contract to DOC and others as needed. This needs to be modifiable by the assigned Parole Manager. It should maintain a count per program to include CR and Parole beds, sober house beds.</p>	<p>- Please Select One Option -</p>
<p>2.9.1.1 Statistics</p> <p>The ability to maintain statistics on whom/ how the programs were utilized/ Remands/ Escapes/ Successful Completion/ Transfers/ Death/ Other</p>	<p>- Please Select One Option -</p>
<p>2.9.2 Case Management for contracted providers</p> <p>The ability to allow staff at the programs to have limited viewing of their offenders and allow them to enter status updates. Any notes entered should send an alert to the assigned Officer for review.</p>	<p>- Please Select One Option -</p>
<p>2.9.2.1 Program Alerts</p> <p>The ability to send alerts to the programs when notes haven't been entered in the appropriate time frames.</p>	<p>- Please Select One Option -</p>
<p>2.9.2.2 Multiple Programs assigned to an Offender</p> <p>The ability to allow different programs to be assigned to one or more Residential officers by the Parole Managers and to be changed as needed.</p>	<p>- Please Select One Option -</p>
<p>2.9.2.3 Summary of Program</p> <p>The ability to display summary information on all of the offenders in the programs and display the day's left until the program has been completed. This date needs to be modifiable by the officer or the manager on a case by case basis.</p>	<p>- Please Select One Option -</p>
<p>2.9.2.4 Employment Information</p> <p>The ability to allow employment information to be entered, edited, verified and maintained.</p>	<p>- Please Select One Option -</p>
<p>2.9.2.5 30 days from Program Completion</p>	<p>- Please Select One Option -</p>

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<p>The ability to alert the appropriate District Manager and the Home investigation officer when an offender is within 30 days of completing the program and is eligible for Parole/ Special Parole/ Transfer Parole/ Transitional Supervision/ Transitional Placement. This would initiate a pending case in the field as noted above.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.10 Termination Process

The ability to complete a summary of the case management activities and for the officer to document when the file 17 was removed

DOC Requirements	Vendor Responses
<p>2.10.1 Complete Termination Report</p>	<p>- Please Select One Option -</p>
<p>The ability to generate and print a termination report that shows supervision history and recommendation section</p>	
<p>2.10.2 Approval/ Denial</p>	<p>- Please Select One Option -</p>
<p>The ability to allow the supervisor to approve or deny the report and send alerts to the officers</p>	
<p>2.10.3 History Database</p>	<p>- Please Select One Option -</p>
<p>The ability to archive the case in the history database upon approval of the termination</p>	
<p>Vendor Comments:</p>	
<p></p>	

3. Report Requirements

3.1 Community Supervision Reports

All of the following reports are to include counts, date created, person who requested, State Seal, Report Header (To be determined) (Some reports will be pre established but others the criteria should able to be selected at time of the request)

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DOC Requirements	Vendor Responses
<p>3.1.1 Canned Reports</p> <p>Parole Officer Active Caseload sorted by offender's name.</p> <p>Parole Officer Active Caseload sorted by offender's number.</p> <p>Parole Officer Active Caseload sorted by Parole Officer and offender number.</p> <p>Parole Officer Active Caseload sorted by Town, Offender Name, Offender Number (should include any special unit cases as well based on the town).</p> <p>District Office Active Caseload sorted by Parole Officer and offender name.</p> <p>District Office Active Caseload sorted by Parole Officer and offender number.</p> <p>District Office Active Caseload sorted by EOS Date, Parole Officer and offender number.</p> <p>District Office Active Caseload sorted by Town, Offender Name, Offender Number (include Parole Officer Name) (should include any special unit cases as well based on the town).</p> <p>Pending Cases sorted by Town (With the ability to breakdown Parole/ TS).</p> <p>Pending Cases sorted by District Office (With the ability to breakdown Parole/ TS).</p> <p>Pending Cases sorted by Facility received from (With the ability to breakdown Parole/ TS and assigned district office (or all)).</p> <p>Pending Cases sorted by Approved Release date (With the ability to breakdown Parole/ TS).</p> <p>Pending Cases sorted by Past Approved Release date (With the ability to breakdown Parole/ TS, and assigned district office (or all)).</p> <p>Pending Cases sorted by Facility and Past Approved Release date (With the ability to breakdown Parole/ TS).</p> <p>The ability to display/ print map printouts for any of the reports requested</p>	<p>- Please Select One Option -</p>

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<p>The ability to allow displaying a state map of all offenders and allow displaying of offenders based selecting one or more from the map.</p> <p>The ability to be viewed on a map and allow multiple colors for offenders based on user selectable criteria (ie officers, type of supervision, GPS, EMP etc.)</p> <p>The ability to maintain a list of sponsors who have been denied, with reason and for length of time</p> <p>The ability to display/ print scheduled releases sorted by day/ week/ month displaying the date and then the offender and the officers name.</p> <p>The ability to print/ Display SRG related information</p>	
Vendor Comments:	

3.2 Caseload Reports

The ability to display Officers caseload sorted by a variety of fields

DOC Requirements	Vendor Responses
<p>3.2.1 Display Officers caseload by the following</p> <p>Parole Officer caseloads to be sorted by (any combination of) (individual and/or total) officer, geographic breakdowns (town and district office), special caseloads (GPS, Mental Health, Special Management or other definable options), Active, Pending, Discharged, Violation, Fugitive, Escape status, Male/ Female, Racial, Current Charges (All current charges), End Of Sentence date, Parole/ T/S, TP, Special Parole dates, Classification Scores, Employment (Geographic location and business name), Misconducts, conditions (GPS, Return at first sign, mental health etc.), next reporting date, missed reporting dates, awaiting a transfer, home investigation status (Pending, completed, attempted).</p>	<p>- Please Select One Option -</p>
Vendor Comments:	
- Please Select One Option -	

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3.3 Miscellaneous Documents

The ability to create miscellaneous documents (e.g. travel permit, interstate memo) and these documents can be created and modified on an as needed basis.

DOC Requirements	Vendor Responses
Vendor Comments:	- Please Select One Option -

3.4 Database Merging

The ability to merge database information with user-entered information to create a variety of offender letters (e.g. missed appointments, acknowledgements).

DOC Requirements	Vendor Responses
Vendor Comments:	- Please Select One Option -

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BC25–System Training and Documentation Requirements

CTDOC will need to train all CTDOC users on the new system so they can perform their CTDOC job, duties and tasks and responsibilities. The detailed documentation describing all functions of the system will help with the training / knowledge transfer and act as a reference for FAQ.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Training
- 1.1.2 Documentation/Help

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 All Business Functions

2. Functional Requirements

2.1. Training

To provide appropriate training so that all users can perform their CTDOC job, duties and tasks.

DOC Requirements	Vendor Responses
<p>2.1.1 Full Range of Training to CTDOC Staff</p> <p>The ability to furnish a full range of training to CTDOC staff to include the following: Basic user training: How to procedurally and functionally perform specific jobs utilizing the new system; Train the trainer; Power-user training; Technical training for MIS staff, including help desk technicians, system administrators, data base administrators.</p>	<p>- Please Select One Option -</p>
<p>2.1.2 Overview for All Levels</p> <p>The ability to train all users with a general system overview for all levels.</p>	<p>- Please Select One Option -</p>
<p>2.1.3 Provide Training Courses for Trainers</p>	<p>- Please Select One Option -</p>

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<p>The ability to provide training courses designed and developed specifically for, and administered to CTDOC trainers. This will prepare CTDOC trainers for administering user training to immediate staff.</p>	
<p>2.1.4 High-Level Training Plan for Trainers</p>	<p>- Please Select One Option -</p>
<p>The ability to propose a high level training plan for Training State 'train the trainer' staff. To include the following in the high level training plan: A proposed training schedule; Identification of specific training units or modules; The target audience of each training module; An outline of the material to be covered in each segment of training; Training methods and materials to be used in each module; The course length in instructional hours and calendar days; A list of any additional training deemed necessary by the contractor; Objectives for each training module and specific goals to be achieved by the trainees; To provide a comprehensive and objective measurement of trainee proficiency in system operation at the conclusion of training.</p>	
<p>2.1.5 Cover all Facets of the Proposed System's Installation</p>	<p>- Please Select One Option -</p>
<p>The ability to provide to cover all facets of the proposed system's installation, conversion, maintenance, operation and use to the Train-the-trainer training. Topics should include security awareness, procedures, and disaster recovery</p>	
<p>2.1.6 Thorough Instruction in Instructional Tools</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the CTDOC trainers with thorough instruction in all of the instructional tools to be used in subsequent training activities for CTDOC staff. To include in these tools the training modules, materials, software, and hardware.</p>	
<p>2.1.7 Provide Support to the CTDOC Trainers</p>	<p>- Please Select One Option -</p>
<p>The ability to provide support to the CTDOC trainers for the first four weeks of system rollout. With comprehensive instruction and appropriate support from the Vendor, CTDOC anticipates that CTDOC trainers will not only facilitate the implementation process, but will</p>	

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also support the need for future staff training after the completion of new system implementation.	
2.1.8 Usage of Materials Designed by the Vendor	- Please Select One Option -
After the train-the-trainer training, CTDOC staff will conduct training for other agency staff. In their sessions, CTDOC trainers will use materials and programs designed by the Vendor.	
2.1.9 Provide Sufficient Training to Trainers	- Please Select One Option -
The ability to provide sufficient training for CTDOC trainers in the proposed ad hoc reporting and report writing tools.	
2.1.10 Provide Instructor-Led Training to MIS Staff	- Please Select One Option -
The ability to provide instructor-led technical training to MIS staff for the entire system. Technical training must include hands-on troubleshooting and system monitoring training for DOC operations, network support, system administrators, and data base administrators staff.	
2.1.11 Technical Outline	- Please Select One Option -
The ability to provide a technical training outline in response to this RFP, listing class objectives, scope, length of each class, and the prerequisites (skills, knowledge, and abilities) needed by each type of students. Training will be required for the entire MIS staff.	
2.1.12 Computer Based Training	- Please Select One Option -
The ability to propose computer-based training (CBT) in addition to the instructor-led training described above. Describe the CBT available and provide cost as an option in the Cost Information Summary.	
2.1.13 Comprehensive Training Plan	- Please Select One Option -
The ability to produce, in conjunction with CTDOC staff, a comprehensive training plan as a contract deliverable. The ability to use the high-level training plan included in this bid response as a base from which to build the detailed training plan.	
2.1.14 Establish a Training Schedule	- Please Select One Option -

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<p>Upon award, to establish a training schedule after consultation with CTDOC training staff for use of facilities and equipment. Training to be scheduled at a mutually agreed upon date between the Vendor and CTDOC. This schedule must coincide with the installation schedule. CTDOC and local agency staff that are scheduled to be trained must be trained fully on the entire system prior to implementation.</p>	
<p>2.1.15 Cost Associated with Comprehensive Training Plan</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the cost associated with providing a comprehensive Training Plan, providing the requested training to CTDOC staff and providing all training materials in the Cost Information Summary. To include an hourly rate for any additional training that may be required.</p>	
<p>2.1.16 Provide Electronic Copies of Training Materials</p>	<p>- Please Select One Option -</p>
<p>All training materials will become the property of the CTDOC including training plans, guides, training review instruments, computer-assisted aids, and audio-visual aids. The ability to provide electronic copy of all training materials, pertaining to the system as developed for CTDOC and a license to reproduce said materials.</p>	
<p>2.1.17 Define Job Roles for MIS Staff</p>	<p>- Please Select One Option -</p>
<p>The ability to define job roles and competence levels required of MIS staff to maintain the proposed system. Define job roles and competence levels required of all CTDOC users to operate the proposed system proficiently and efficiently. To include the specific training requirements and the order in which the training should be taken for each position. Also list the type of training (i.e. CBT or instructor led)</p>	
<p>2.1.18 Capabilities of On-Site Training</p>	<p>- Please Select One Option -</p>
<p>The ability to provide the capability of on-site training at designated CTDOC training locations.</p>	
<p>2.1.19 Integrated Training</p>	<p>- Please Select One Option -</p>

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The ability to provide integrated training and proficiency testing within each module.	
2.1.20 Retain Course Materials	- Please Select One Option -
The ability to retain the course materials by CTDOC users upon completion of training.	
Vendor Comments:	

2.2. Documentation/Help

Include detailed documentation describing all functions of the system and how to use that the function.

DOC Requirements	Vendor Responses
2.2.1. Provide Up-To Date Documentation and User Manuals	- Please Select One Option -
The ability to provide up-to-date system documentation and user manuals.	
2.2.2. Provide Product System Documentation	- Please Select One Option -
Upon contract award, the ability to provide one copy of the packaged product system documentation via electronic media or CD-Rom. Upon implementation, the ability to provide four copies of system documentation for the final system. System documentation to include the following: Management summary; Technical summary; Description of system operation; System flow charts.	
2.2.3. Provide Program Documentation	- Please Select One Option -

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<p>Upon contract award, the ability to provide one copy of the packaged product program documentation via electronic media or CD-Rom. Upon implementation, the ability to provide four copies of program documentation for the final system. Program documentation to include the following: Input/output interfaces; Record layouts and/or database schema or dictionary; File descriptions; Program descriptions.</p>	
<p>2.2.4. Provide Operations Documentation</p>	<p>- Please Select One Option -</p>
<p>Upon contract award, the ability to provide one copy of the packaged product operations documentation via electronic media or CD-Rom for the final system. Upon implementation, the ability to provide 4 copies of operations documentation for the final system. To include, but not be limited to, the following in the operations document: Items relating to physical file and directory names; Error Messages and correction procedures; Troubleshooting guide; Backup and recovery instructions for each database and server in the system; Database validation processes; Database compaction; Rebuild procedures.</p>	
<p>2.2.5. Provide User's Documentation</p>	<p>- Please Select One Option -</p>
<p>Upon contract award, the ability to provide one copy of the packaged product user's documentation via electronic media or CD-Rom. Upon implementation, the ability to provide four copies of user's documentation for the final system. User's documentation to include the following: Data entry procedures explanation; Step-by-step operating procedures; Problem resolution materials; Error message descriptions;</p>	
<p>2.2.6. Provide Functionality</p>	<p>- Please Select One Option -</p>
<p>The ability to provide help functionality. To include a help facility, using a topical index, and including navigation instructions.</p>	
<p>2.2.7. Provide Online Help</p>	<p>- Please Select One Option -</p>

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The ability to provide online help including features to assist in locating a function or feature, descriptions of how each function works, and descriptions of fields, their contents, and acceptable formats.	
2.2.8. Provide Context Sensitive Help	- Please Select One Option -
The ability to provide context sensitive help (e.g., F1 from any window field).	
2.2.9. Provide Updated Documentation	- Please Select One Option -
The ability for updated documentation to be distributed on a regular basis.	
2.2.10. Provide all Documents	- Please Select One Option -
The ability to provide documents for all forms and data sources.	
2.2.11. Provide Reporting Logic	- Please Select One Option -
The ability to provide document of the reporting logic and to update the reporting logic documentation on a regular basis.	
Vendor Comments:	

3. Query and Reporting Requirements
None

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BC.26 – Operations Incidents

The initial response and logging of an Incident involves all the activities associated with offender misconduct, or staff misconduct that involves an offender. The CTDOC shall ensure all incidents and emergencies are reported in a complete and accurate manner and routed through the chain of command for review, investigation and efficient disposition. An exclusive tracking system is established to log and track all incidents. Correctional facilities and non-custodial areas of the CTDOC shall initiate, report, log and track all incidents. All incidents are categorized based on severity of incident and emergency. Identifying the different levels of incidents provides direction for notification and procedural completion.

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Input of Incident Reports
- 1.1.2 Description of Incident
- 1.1.3 Categorize levels of incidents
- 1.1.4 Compilation of Incidents
- 1.1.5 Assignment of tracking number
- 1.1.6 Evidence

1.2 Exceptions or Alternative Paths

- 1.2.1 No alternative path needed

1.3 Interfaces with other Business Functions

- 1.3.1 Intake and Booking (BC01)
- 1.3.2 Offender Party Information and Identification (BC02)
- 1.3.3 Property Management (BC03)
- 1.3.4 Housing (BC04)
- 1.3.5 Inmate Records (BC06)
- 1.3.6 Sentencing and Time Calculation (BC08)
- 1.3.7 Classification and Assessment (BC10)
- 1.3.8 Movements and Transfers (BC11)
- 1.3.9 Population Management (BC12)
- 1.3.10 Violation and Disciplinary Actions (BC13)
- 1.3.11 Grievance/Complaints (BC14)
- 1.3.12 Offender Employment (BC15)
- 1.3.13 Offender Associations/Intelligence (BC16)
- 1.3.14 Visitation (BC17)
- 1.3.15 Programs and Activities (BC19)
- 1.3.16 Inmate Banking/Restitution (BC20)

2. Functional Requirements

The system needs to allow for input of facility, housing location, incident location, unique report number, date, time, shift number, weekday, name of staff to include title, general description of incident.

CT DOC Requirements	Vendor Responses
2.1.1 Create/Input of Incident Report	- Please Select One Option -
The system needs to allow for the first responder to start the input of information into an Incident Report, to include basic information as facility, housing location, incident location, date, time,	

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shift number, weekday and name of staff to include title.	
2.1.2 Description of Incident	- Please Select One Option -
The system needs to allow for an area where the description of the incident can be explained, to include more than one page if needed.	
2.1.3 Levels of Incidents	- Please Select One Option -
The system needs to recognize and categorize incidents into their proper level (Class 1, 2 or 3) and type (A, B, C etc.)	
2.1.4 Compilation of Incidents	- Please Select One Option -
The system should recognize and alert which of the 3 different Class incident reports need which forms. The system should allow for the compilation of all incident report pages from multiple creators.	
2.1.5 Assignment of Tracking Numbers	- Please Select One Option -
The system needs to be able to assign incident numbers in a continuous order for all facilities in the state and track all numbers assigned to an incident report. The system must be able to stamp all corresponding pages of the incident report with its own unique number.	
2.1.6 Evidence	- Please Select One Option -
The system needs to be able to assign and track evidence numbers. The system must also be able to apply the coinciding incident number as well.	
Vendor Comments	

3 Query and Reporting Requirements

The system to allow the user to search the offender database using a variety of search fields

CT DOC Requirements	Vendor Responses
3.1 All Incident Reports by facility	- Please Select One Option -

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The system should produce a report to list all incident reports sorted by type, institution or unit. The report will include incident type, description, facility, reporting employee, offender name, DOC offender number, institution, unit, cell, bed. The departmental report will be sorted by name within major institution and unit, with a sub-total and page break on change in major institution. The report will be sorted by any combination of the following: offender name, DOC number, district office, institution, complex, county of commitment. Users should be able to sort and filter the report using a variety of elements (e.g., type of incident such as inmate on inmate fight, security risk group affiliation, facility or division etc).

Vendor Comments

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BC27 – Management Information Systems Requirements

Information Systems: The CTDOC has a long history using computers and information systems to support agency business operations and responsibilities. The Department's Management Information Systems Division (MIS), located at the Central office, assumes major responsibility for CTDOC centralized information systems, as well as responsibility for maintaining a statewide multi-protocol wide-area network (WAN), and other statewide challenges including the establishment of hardware standards. DOC has a Data Center located at Central Office and utilizes the State Data Center located at the Department of Information Technology (DOIT).

1. General Requirements

1.1 Critical System Functions

- 1.1.1 Data Storage
- 1.1.2 Data Entry and Display
- 1.1.3 Configuration
- 1.1.4 Code Tables and Descriptions
- 1.1.5 Usability
- 1.1.6 Functionality
- 1.1.7 Scalability
- 1.1.8 Tracking
- 1.1.9 Administrative
- 1.1.10 Business Rules
- 1.1.11 Offender Documentation Management
- 1.1.12 System Availability
- 1.1.13 Data Warehouse
- 1.1.14 Historical Data
- 1.1.15 Security
- 1.1.16 Data Encryption
- 1.1.17 Auditing
- 1.1.18 Interfaces
- 1.1.19 Data Conversion.
- 1.1.20 Performance
- 1.1.21 Installation/Implementation
- 1.1.22 Acceptance Test Plan
- 1.1.23 Photos
- 1.1.24 Technical Architecture and Database Software
- 1.1.25 Nightly Prison Count
- 1.1.26 Monthly Snapshot
- 1.1.27 File Layout
- 1.1.28 Peripherals and Devices

1.2 Exceptions or Alternative Paths

- 1.2.1 Does not apply

1.3 Interfaces with other Business Functions

- 1.3.1 Connecticut Intelligence Center
(see DATA DOWNLOAD (Import/Extract) Requirements
section Gang Affiliation Member Download (CR4016))
- 1.3.2 U.S. Immigration and Customs Enforcement
(see REPORT-WRITER AND REPORTS REQUIREMENTS
section Non-US Offenders Reports)
- 1.3.3 FOI (Freedom Of Information) for several privates companies
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS

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- 1.3.4 CT Department of Social Services
section Supervised offenders Download for website and FOI (CR4018)
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Incarcerated Offenders Download for Department of Social Services
(SAS-CR4018))

(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Docket Information of Incarcerated Offenders for Department of Social
Services (CR4018))
- 1.3.5 Corrections Managed Health Care (CMHC) at University of Connecticut Health Center
(see Management Information Systems Requirements
section Nightly file for CMHC.)
- 1.3.6 Electronic Deposit (Western Union)
(see OFFENDER BANKING AND RESTITUTION REQUIREMENTS
section Electronic Deposit Interface)
- 1.3.7 Connecticut Judicial Court Support Services
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Incarcerated Offenders Download for Judicial Court Support
Services (CAPIAS) and Department of Social Services (SAS-CR4018))
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Docket Information of Incarcerated Offenders for Judicial Court
Support Services (CAPIAS) and Department of Social Services (CR4018))
- 1.3.8 Connecticut Department of Administrative Services
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section New admissions (CR4028))
- 1.3.9 Connecticut Department of Public Safety
(see Report Requirements section Offenders Required
to Register with Sex Offender Registry).
- 1.3.10 State of Connecticut Offender-Based Tracking System(OBTS)
(see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS
section Interface with OBTS.)
- 1.3.11 Social Security Administration
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Identify Confined Offenders for Social Security Administration)
- 1.3.12 New England State Police Information Network, Regional Information Sharing System
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Community Releases for Non-CT Residents (CR4028))
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Previous Month Community Releases and Discharges (CR4028))
- 1.3.13 Connecticut General Assembly, Office of Legislative Research
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Downloads for Legislative Research Unit (CR4030))
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Offense Downloads for Legislative Research Unit (CR4030))
- 1.3.14 Connecticut General Assembly, Office of Fiscal Analysis
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Released Offenders)
- 1.3.15 Connecticut Department of Labor
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Sentenced CTDOC Offenders Incarceration Periods (CR4033))
- 1.3.16 MCI
(see DATA DOWNLOAD (IMPORT/EXTRACT) REQUIREMENTS
section Daily movement Changes to MCI (CR420618))

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- 1.3.17 Interstate Compact System (ICAOS) (see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS section Interface with ICAOS)
- 1.3.18 Substance Abuse Treatment Information System (SATIS) (see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS section Interface with SATIS)
- 1.3.19 CT On-Line Law Enforcement Communications Teleprocessing Systems (COLLECT) (see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS section Interface with COLLECT)
- 1.3.20 Connecticut State Wide Automated Victim Information and Notification System (CTSAVIN) (SAVIN) (see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS section Interface with SAVIN)
- 1.3.21 Case Notes (Lotus Notes) (see MANAGEMENT INFORMATION SYSTEMS REQUIREMENTS section Interface with Case Notes)
- 1.3.22 Commissary Sale Orders
(see Commissary Sales and Inventory Requirements section Conduct Offender's Sales and Credit Transactions)

2. Functional Requirements

2.1. Data Storage

Have the capability to store all data in a central location and have the ability to retrieve the data at any point in time.

DOC Requirements	Vendor Responses
2.1.1.	- Please Select One Option -
The ability to store offender data in a central location. How do you propose to store CTDOC data? Please explain.	
Vendor Comments:	

2.2. Data Entry and Display

Have the capability of formatting and validating all data coming in and out of the system.

DOC Requirements	Vendor Responses
2.2.1. Provide Edits for Validity of Codes	- Please Select One Option -
The ability to provide edits for validity of all codes and for data types throughout the application.	
2.2.2. Ensure Integrity of Data	- Please Select One Option -
The ability to ensure the integrity of data at all times.	
2.2.3. Maintain Current and Read Only Historical Information	- Please Select One Option -

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The ability to maintain a current and read-only historical set of record information.	
2.2.4. Add Data Entry “Edits”	- Please Select One Option -
The ability to provide the ability to add data entry “edits” – program edits, date validation.	
2.2.5. Date and time Stamp Identification	- Please Select One Option -
The ability to include system-based date and time stamp, and user identification, on every transaction.	
2.2.6. Data Consistency	- Please Select One Option -
The ability to display Data Consistency: provide the data (decimals, dates) entered, stored, and displayed consistently.	
2.2.7. Capability of Modifying Dates and Times	- Please Select One Option -
The ability to provide the capability of modifying dates and times easily to a consistent format (e.g., DD/MM/YYYY, MM/DD/YYYY, YY/MM/DD, MON-DD-YYYY).	
2.2.8. Capability of Modifying Current Format	- Please Select One Option -
The ability to provide the capability of modifying currency format (e.g., amount formatted with commas).	
2.2.9. Single Point of Entry for Data	- Please Select One Option -
The ability to have a single point of entry provided for all data input. Write once, display and use many.	
2.2.10. Provide Signed Entries	- Please Select One Option -
The ability to provide automatically where possible signed numeric entries (e.g., credit displays as negative).	
Vendor Comments:	

2.3. Configuration

Provide the ability for system to be customized according to the current workflow of the CTDOC.

DOC Requirements	Vendor Responses
2.3.1. Configurable Standard Workflow	- Please Select One Option -
The ability to allow for configurable standardized workflow to be enforced for entire system as well as customized workflow for sub-functions that can be configured by users according to their specific needs.	
2.3.2. Required and Optional Fields	- Please Select One Option -

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The ability to support required and optional fields, required and optional screens specify the order in which screens are viewed and security access to specific screens.	
2.3.3. Allow for Change in Workflow	- Please Select One Option -
The ability to allow for change in workflow by reconfiguring instead of new development.	
2.3.4. Completion of Tasks within One Screen	- Please Select One Option -
The ability to allow for completion of tasks within one screen, and for access to subtasks with a single screen that returns directly to the task screen. That is, not requiring closing a screen, opening a screen to complete a task, and reopening the closed screen, within a single transaction entry or table update (non-modal fashion).	
2.3.5. Readable Field for All Data	- Please Select One Option -
The ability to provide a readable field for all data element acquisition and retention requirement, unless a requirement specifies otherwise. That is, responders may not assume that a requirement to capture specifically defined data is met through a text block.	
2.3.6. Automated Workflows	- Please Select One Option -
Workflow: The ability to allow for establishing automated workflows using screens to support user navigation.	
2.3.7. Application Jobs	- Please Select One Option -
The ability to build and maintain application jobs, whether scheduled or not, which may include functional branching, notification and/or steps.	
Vendor Comments:	

2.4. Code Tables and Descriptions

To utilize code tables whenever possible and also have default values.

DOC Requirements	Vendor Responses
2.4.1 Drop-Down lists for Codes	- Please Select One Option -
The ability to allow drop-down lists of codes for lookup at each data entry point where codes are entered.	
2.4.2 Display Description Text	- Please Select One Option -
The ability to display description text for all	

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codes adjacent to the code values itself on all input and query screens.	
2.4.3 Retain Code Descriptions	- Please Select One Option -
The ability to retain code descriptions as well as code values in all history of transaction files and/or tables, to maintain a clear history as codes change.	
2.4.4 Describe the Start and End Dates	- Please Select One Option -
The ability to clearly describe the start and end dates for all code values in Code tables.	
2.4.5 Allow Keyword and/or Date Matching	- Please Select One Option -
The ability to allow keyword and/or date matching on code lookups throughout the system.	
2.4.6 Automatically go to Drop-Down Area	- Please Select One Option -
The ability to automatically go to the place in the drop-down area according to keys entered in drop-down field.	
2.4.7 Default Values	- Please Select One Option -
The ability to provide default values when certain fields have not been entered by the user and permit the user to override the default value.	
2.4.8 Maintain Code Tables	- Please Select One Option -
The ability to maintain code tables and drop-down lists.	
2.4.9 Add Fields and Drop-Down Lists	- Please Select One Option -
The ability to add fields and drop-down lists.	
Vendor Comments:	

2.5 Usability

To have a consistent look and feel. To be user friendly.

DOC Requirements	Vendor Responses
2.5.1. Consistent User Interface	- Please Select One Option -
The ability to use a consistent user interface such as screen color/layout, navigation/keyboard and data format.	
2.5.2. Administrators to Modify Screens	- Please Select One Option -
The ability for Administrators to modify screens and/or menu according to CTDOC "theme" or preference including ability to move location of menus and drop-down lists.	

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<p>2.5.3. Accessibility for Individuals with Disabilities</p>	<p>- Please Select One Option -</p>
<p>The ability to allow accessibility for individuals with disabilities. CTDOC looks to sources such as the World Wide Web Consortium's (W3C) Web Accessibility Initiative and Section 508 of the Rehabilitation Act for guidance and best practices for procuring, developing and maintaining accessible information technology, and expects vendors to do the same to accomplish this federal requirement.</p>	<p><input type="checkbox"/></p>
<p>2.5.4. Customized Shortcuts</p>	<p>- Please Select One Option -</p>
<p>The ability for users to create customized shortcuts for navigation.</p>	<p><input type="checkbox"/></p>
<p>Vendor Comments:</p>	
<p><input type="checkbox"/></p>	

2.6 Functionality

To be able to meet the following CTDOC standards.

DOC Requirements	Vendor Responses
<p>2.6.1. Function and Hot-Key Consistency</p>	<p>- Please Select One Option -</p>
<p>The ability to provide function and hot-key consistency across all screens and modules, (e.g., if F7 key is "accept transaction" it is "accept transaction" on all transaction screens).</p>	<p><input type="checkbox"/></p>
<p>2.6.2. Using Icons</p>	<p>- Please Select One Option -</p>
<p>The ability of using icons to identify the status of an offender (i.e. sex offender, un-sentenced offender, chronic discipline, etc.).</p>	<p><input type="checkbox"/></p>
<p>2.6.3. Comply with Federal and State Regulations and Guidelines</p>	<p>- Please Select One Option -</p>
<p>The ability to comply with relevant federal and state regulations and guidelines (e.g., HIPAA).</p>	<p><input type="checkbox"/></p>
<p>2.6.4. Link Related Records</p>	<p>- Please Select One Option -</p>
<p>The ability to link related records of different types within the system (e.g., disciplinary actions to associated incident records, appeals to associated disciplinary actions).</p>	<p><input type="checkbox"/></p>
<p>2.6.5. Incorporate Future Needs</p>	<p>- Please Select One Option -</p>
<p>The ability to incorporate future needs and new technologies (e.g., biometric identification, GPS technology, wrist bracelets, RFID).</p>	<p><input type="checkbox"/></p>
<p>2.6.6. Provide On-Line Look-Ups</p>	<p>- Please Select One Option -</p>
<p>The ability to provide on-line look-ups of single or multiple key field information (e.g., offender by offender's number or name).</p>	<p><input type="checkbox"/></p>

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2.6.7. Provide On-Line Look-Ups on Partial Keys	- Please Select One Option -
To provide on-line look-ups on partial keys (e.g., part of offender's name).	
2.6.8. Different Levels of Warnings and Errors.	- Please Select One Option -
The ability to provide different levels of warnings and errors. The warnings and errors will indicate where the data validation was done either on field level, page level or when data is being saved.	
2.6.9. Rapid Location of Transactions	- Please Select One Option -
The ability to allow for rapid location of all transactions of an offender by using the offender's number and provide for on-line display with paging of these transactions by transaction type and date, (e.g., time credits, classification/reclassification, medical, dental, movement, etc.).	
2.6.10. Drill Down on Information	- Please Select One Option -
The ability to drill down on information.	
2.6.11. Updating All Vital Information	- Please Select One Option -
The ability to include a procedure for updating all vital information for an offender after initial entry, including next of kin, home address, and other identification elements subject to change and/or update.	
2.6.12. Fingerprint Recognition	- Please Select One Option -
The ability to use fingerprint recognition to bring up case or offender's information.	
2.6.13. Capture and Store Electronic Signatures	- Please Select One Option -
The ability to capture and store electronic signatures.	
Vendor Comments:	

2.7. Scalability

The ability to easily expand and keep up with the growth of CTDOC.

DOC Requirements	Vendor Responses
2.7.1. Processing Capacity	- Please Select One Option -
The ability to provide increased processing capacity with no noticeable degradation of user response time. The system should have the ability to increase horizontal capacity,	

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which pertains to concurrent usage and the number of simultaneous users on the system at a given point. The system should have the ability to increase vertical capacity, which pertains to the size of the transactions being processed by the system.	
2.7.2. Comply with Standards/Guidelines	- Please Select One Option -
The ability to comply with Correction's Technology Association standards/guidelines – http://www.correctionstech.org/committeesStandards.asp	
2.7.3. Allocate Resources	- Please Select One Option -
The ability to dynamically allocate resources as needs change.	
Vendor Comments:	

2.8. Tracking

The ability to identify and locate data at all times and to determine if any changes to the data have occurred, including when and by whom.

DOC Requirements	Vendor Responses
2.8.1. Assign a Lifetime Identification Number	- Please Select One Option -
The ability to assign a unique lifetime identification number to each offender. This is the offender's CTDOC number. This is a unique computer generated number that will remain with the offender for life.	
2.8.2. Track Location of a Master File	- Please Select One Option -
The ability to track the location of an offender's master file.	
2.8.3. Track External Sources	- Please Select One Option -
The ability to track external source requests for offender's information from CTDOC and completion of requests (e.g., litigation, medical requests, and appeals).	
Vendor Comments:	

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2.9. Administrative

To handle maintenance functions and schedule jobs.

DOC Requirements	Vendor Responses
2.9.1. System Administration Functions	- Please Select One Option -
The ability to perform system administration functions such as reference table maintenance and adding/removing users from the system.	<input type="text"/>
2.9.2. Job Scheduler	- Please Select One Option -
The ability to include a job scheduler to allow for automatic task or job processing at a given time. Application programs and the scheduler should be compatible, so that any program can be scheduled and run during non-peak hours.	<input type="text"/>
2.9.3. Modify Job Scheduler	- Please Select One Option -
The ability to maintain, add, delete, and modify jobs in the scheduler.	<input type="text"/>
2.9.4. Notification of Job Status	- Please Select One Option -
The ability to be notified when the job is completed and indicate the job status of whether it is completed, failed, etc.	<input type="text"/>
2.9.5. Maintain Job Status	- Please Select One Option -
The ability to maintain a log of all jobs and their status.	<input type="text"/>
Vendor Comments:	
<input type="text"/>	

2.10. Business Rules

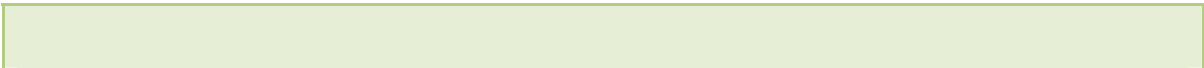
To adhere to the following CTDOC standards.

DOC Requirements	Vendor Responses
2.10.1. System Flexibility	- Please Select One Option -
The ability to allow the flexibility to add additional attributes define categories and business rules for certain reference tables such as state statute tables.	<input type="text"/>
2.10.2. Support Business Rule Tables	- Please Select One Option -
The ability to support business rule tables, allowing for calculations and edits without requiring program code changes and/or recompiles.	<input type="text"/>
2.10.3. Modify Business Rules	- Please Select One Option -
The ability to possess system flexibility to create or update business rules with minimal development effort (e.g., the ability to incorporate new legislation and court mandates	<input type="text"/>

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as they change).	
2.10.4. Run Batch System Checks	- Please Select One Option -
The ability to periodically run batch system checks to identify user actions necessary to be in compliance with the business rules.	<input type="checkbox"/>
2.10.5. Edit Checks	- Please Select One Option -
The ability to execute defined system edit checks in a real-time mode to identify actions necessary to be in compliance with the business rules.	<input type="checkbox"/>
2.10.6. Lock Specified Records	- Please Select One Option -
The ability to lock specified records so that they cannot be updated by any user (e.g., final form) and this cannot be overridden.	<input type="checkbox"/>
2.10.7. Offender Case Notes	- Please Select One Option -
The ability to record offenders and offenders' case notes chronologically throughout all system modules. These records will be created by CTDOC caseworkers, correctional officers, administration, offender accounting, educational, victims' assistance, medical, dental and mental health staff.	<input type="checkbox"/>
2.10.8. Entry and Retrieval of Case Notes	- Please Select One Option -
The ability to allow entry and retrieval of chronological case notes mentioned in 2.10.7.	<input type="checkbox"/>
2.10.9. Workflow Functions	- Please Select One Option -
The ability to allow for creation, review and approval workflow functions on any transaction(s) chosen by CTDOC.	<input type="checkbox"/>
2.10.10. Correcting Transactions	- Please Select One Option -
The ability to allow for correcting transactions that link to an original incorrect transaction. To create a subsequently corrected transaction, name the transaction "revised" and linked to the correcting transaction on all on-line and hard copy reports.	<input type="checkbox"/>
2.10.11. Descriptions of Error Messages	- Please Select One Option -
The ability to create and edit business rules to provide accurate and understandable descriptions of error messages.	<input type="checkbox"/>
2.10.12. Associate Electronic Signatures	- Please Select One Option -
The ability to associate electronic signatures with a document.	<input type="checkbox"/>
2.10.13. Manual Override Capability	- Please Select One Option -
The ability to allow limited manual override capability of certain specified system calculated data.	<input type="checkbox"/>
Vendor Comments:	
<input type="checkbox"/>	

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2.11. Offender Documentation Management

To store, retrieve, and print documents and the ability to read metadata from documents. Metadata is data about data elements or attributes, (name, size, data type, etc.) and data about records or data structures (length, fields, columns, etc.). It is also about where it is located, how it is associated, who owns it. Metadata also includes descriptive information about the context, quality and condition, or characteristics of the data. (Definition and description about metadata came from <http://wikipedia.org/>)

DOC Requirements	Vendor Responses
2.11.1. Attach Documents	- Please Select One Option -
The ability to attach documents to cases and link them.	
2.11.2. Link Data Files to Case Record	- Please Select One Option -
The ability to link data files to case record information (e.g., scanned documents, digital photos, x-rays, fingerprints).	
2.11.3. Scan Documentation	- Please Select One Option -
The ability to scan documentation for reference (e.g., court documents, police reports, medical documents, and probation reports).	
2.11.4. Pick Up Metadata	- Please Select One Option -
The ability to pick up metadata (data about data) from scanned documents. Metadata here would be:	
2.11.4.1. Data Elements	- Please Select One Option -
Document data about data elements or attributes, (name, size, data type, etc.).	
2.11.4.2. Record or Data Structures	- Please Select One Option -
Data about records or data structures (length, fields, columns, etc.).	
2.11.4.3. Data about Data	- Please Select One Option -
Data about data (where it is located, how it is associated, ownership, etc.).	
2.11.4.4. Descriptive Information	- Please Select One Option -
Descriptive information about the context, quality and condition, or characteristics of the data.	
2.11.5. Merge Database Information	- Please Select One Option -
The ability to merge database information with user-entered information to create a variety of modifiable reports and documents (e.g., document processing).	
2.11.6. Print Assorted Information	- Please Select One Option -
The ability to print assorted information from an offender's case record including summary or detailed information upon request such as printed reports, displays, or other required formats (e.g., file extracts, HTML, PDF, XML).	

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2.11.7. Integrate Document Creation	- Please Select One Option -
The ability to integrate document creation and management including merging of offender's data into predefined templates (e.g., MS Word). The ability to maintain read-only versions for historical purposes (e.g., PDF).	
2.11.8. Store Scanned Documents	- Please Select One Option -
The ability to scan documents, store them in a centralized location and associate with an element in the database.	
2.11.9. Incorporate Videos, Scanned Reports, etc, into a Database	- Please Select One Option -
The ability to incorporate videos, scan reports, electronic documentation and electronic forms and associate them with an element in the database.	
Vendor Comments:	

2.12. System Availability

To be fault tolerant and to provide means of protecting the data in case of a system failure. To function in an island mode and on a variety of devices.

DOC Requirements	Vendor Responses
2.12.1. Allow for Back Dating Information	- Please Select One Option -
The ability to allow for back dating information should the system be unavailable (e.g., power outage).	
2.12.2. Client Based Application	- Please Select One Option -
The ability to have client based application located on the local drive only for laptops working in island mode. The rest of the clients will be web based with nothing installed locally except a web browser (Island mode is for Parole and Community Services).	
2.12.3. Available Combination of Ways	- Please Select One Option -
The availability through a combination of hardware and software management services based on industry standards and best practices.	
2.12.4. Graceful Fault Management	- Please Select One Option -

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The ability to provide graceful fault management so that fail-over mechanisms cause the least possible impact (high availability and redundancy).	
2.12.5. Disabling All or Some Transactions	- Please Select One Option -
The ability to allow disabling of all or some transactions ensuring data integrity and keeping the system in synch.	
2.12.6. Run on Variety of Devices	- Please Select One Option -
Remote/Wireless/Disconnected: The ability to run on a variety of devices including PDAs, Tablets, and Laptops. To provide the ability for staff to take a subset of active cases offline with them and seamlessly and securely synchronize with the main database when they reconnect to the network (online).	
2.12.7. Work in Island Mode	- Please Select One Option -
The ability to work in an island mode (non-network) and automatically synchronize when network is available (Island mode is for Parole and Community Services).	
Vendor Comments:	

2.13. Data Warehouse

To have a data warehouse area in the database with the capability for reporting on data.

DOC Requirements	Vendor Responses
2.13.1. Data Warehouse Reporting	- Please Select One Option -
The ability to have data warehouse reporting with established data mining, statistical analysis, and trending capabilities.	
2.13.2. Database Structure	- Please Select One Option -
The ability to include a reporting database structure, updated at least daily, to support queries and reports without impacting system	

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performance for primary online query and data entry functions.	
Vendor Comments:	
<div style="background-color: #cccccc; width: 50px; height: 80px; margin-left: 5px;"></div>	

2.14. Historical Data

To have an historical data area in the database with capability for reporting on historical data.

DOC Requirements	Vendor Responses
2.14.1. Historical Reporting	- Please Select One Option -
The ability to have historical reporting with statistical analysis, and historical capabilities.	<div style="background-color: #cccccc; width: 50px; height: 20px;"></div>
2.14.2. Historical Database Structure	- Please Select One Option -
To include historical reporting database structure, updated at least daily, to support queries and reports without impacting system performance for primary historical query and data entry functions.	<div style="background-color: #cccccc; width: 50px; height: 20px;"></div>
Vendor Comments:	
<div style="background-color: #cccccc; width: 50px; height: 20px; margin-left: 5px;"></div>	

2.15. Security

To provide security for all users and forms.

The ability to support single sign-on using Novell eDirectory LDAP and Microsoft Active Directory LDAP and also the ability to provide local authentication and authorization as defined below in section 15.1.1. The ability to grant various roles to the directory groups and OU's, Organization Units, so that all users in the directory groups and OU's are able to perform the functions granted by the roll. It is recommended that the LDAP servers be on the secure LDAP port 636 without using clear text LDAP on port 389.

2.15.1. Local Authentication Security

DOC Requirements	Vendor Responses
2.15.1.1. Passwords	- Please Select One Option -
The ability to have passwords that utilize a complex or simple format. A complex format password is numbers, letters both upper and	<div style="background-color: #cccccc; width: 50px; height: 20px;"></div>

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lower case, plus symbols. The format will be designated by the security administrator.	
2.15.1.2. Multiple Authentications	- Please Select One Option -
The ability to store multiple authentication challenges and responses and randomly challenge the user during login.	
2.15.1.3. Passwords do not Appear	- Please Select One Option -
The ability to have Passwords never appears on system displays.	
2.15.1.4. Passwords Securely Encrypted	- Please Select One Option -
The ability for stored passwords to be securely encrypted using a one-way encryption algorithm.	
2.15.1.5. Automatically Lock	- Please Select One Option -
The ability to include with the new system an application screen lock to automatically lock the user after a specified period of inactivity. The user will have to use application ID and password to log back into the application. The security administrator will determine the time for the period of inactivity.	
2.15.1.6. Passwords Different as Used ID	- Please Select One Option -
The ability for Passwords that should not be the same as the user ID.	
2.15.1.7. Passwords not Utilized as Part of Name	- Please Select One Option -
The ability for Passwords that should not utilize any part of user's full name.	
2.15.1.8. Automatic Notification Of Expired Passwords	- Please Select One Option -
The ability to provide for automatic notification of expiration of passwords. Security administrator must be able to set a temporary password that will expire after the initial use, forcing the user to set a new password. This temporary password is so the user can log in and create a new password.	
2.15.1.9. Passwords Cannot Be Reused within a Time Period	- Please Select One Option -
The ability to ensure that passwords cannot be reused by a single individual within a specified time period to be defined by the security administrator.	
Vendor Comments:	

2.15.2. General/Authorization Security

DOC Requirements	Vendor Response
2.15.2.1. Role Based Security	- Please Select One Option -

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The ability for role-based security.	
2.15.2.2. Row and Column Level Security	- Please Select One Option -
The ability to allow both row level and column level security so users are permitted or excluded from viewing, editing or deleting certain records or fields based on their roles. To allow both read-only access and read-write access for all tables and fields.	
2.15.2.3. Security Restrictions for Access	- Please Select One Option -
The ability to support security restrictions for access (none, read-write or read-only, depositor, etc.) to chronological notes, depending on the topic code, e.g., medical notes have confidentiality rules.	
2.15.2.4. Security Administrator	- Please Select One Option -
The ability to provide security administrator with the ability to set up and maintain various security levels (roles) and access to screens, reports, and fields in a screen for different users including outside vendors of the OMS system.	
2.15.2.5. Notification for Attempted Security Breaches	- Please Select One Option -
The ability for Automatic notification for attempted security breaches.	
2.15.2.6. Restrict Local and Remote Access	- Please Select One Option -
The ability to restrict local and remote access to certain cases, classifications of cases, and parts of cases (e.g., access to sealed cases, victim identification) by specific system functions, users, and groups of users in accordance with rules, statutes, or court orders (includes active, inactive, and archived cases).	
2.15.2.7. Revoke User Access	- Please Select One Option -
The ability to revoke user access after a certain number of consecutive attempts to login. The security administrator will determine the number of consecutive attempts to login.	
2.15.2.8. Enforce a Password Change	- Please Select One Option -
The ability to enforce a password change after a number of days. This capability will be controlled by the security administrator. The security administrator will set and manage the number of days for a password change.	
2.15.2.9. Assign Number of Logins	- Please Select One Option -
The ability for the security administrator to assign the number of simultaneous logins allowed for a single user ID.	
2.15.2.10. Screens that Users May See but not Alter	- Please Select One Option -
The ability to provide for displaying and indicating fields on a screen that user groups may see but not alter, and provide for masking	

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entire fields that a specified user group may not access.	
2.15.2.11. Support Secure Socket Layer	- Please Select One Option -
The ability for all data communications to the browser should support secure socket layer (SSL).	
2.15.2.12. Removal of Screen Menu Options	- Please Select One Option -
The ability to allow the removal of screen menu options from users whose security role excludes access to those options.	
2.15.2.13. Removal of Security Roles	- Please Select One Option -
The ability to allow the removal of fields from screens for security roles that are not allowed viewing these fields.	
2.15.2.14. Restrict Viewing of Scanned Documents or Links	- Please Select One Option -
The ability to only allow certain individuals to view scanned documents or links.	
2.15.2.15. Keyboard Entry	- Please Select One Option -
The ability to display a keyboard for entering passwords on a data entry display.	
2.15.2.16. Support Biometric Login	- Please Select One Option -
The ability to support biometric login capabilities.	
2.15.2.17. Data Entry Security	- Please Select One Option -
The ability to provide data entry security with granularity in groups and roles and validation on certain fields.	
2.15.2.18. Data Communications to External Systems	- Please Select One Option -
The ability for all data communications to external systems should be secured.	
Vendor Comments:	

2.16. Data Encryption

Include appropriate data encryption.

DOC Requirements	Vendor Responses
2.16.1. Standard Encryption Technology	- Please Select One Option -
The ability to utilize industry standard encryption technology whenever necessary for data security using the Advanced Encryption Standard (AES) with at least 192 bits.	

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2.16.2. Encrypt Data	- Please Select One Option -
The ability to encrypt data before transmission over non-CTDOC communication links.	
Vendor Comments:	

2.17. Auditing

DOC Requirements	Vendor Responses
2.17.1. Show all Modifications	- Please Select One Option -
The ability to track and show all modifications including any data changes by user ID.	
2.17.2. Query Audit Trails	- Please Select One Option -
The ability to view and query audit trails in a usable fashion for specified records based on security, or by users.	
2.17.3. Audit Trail of Manual Overrides	- Please Select One Option -
The ability to provide an audit trail of manual overrides.	
2.17.4. Maintain Logs on Login Attempts	- Please Select One Option -
The ability to maintain logs on login attempts and failures by user identification and physical location.	
Vendor Comments:	

2.18. Interfaces

Include interfaces to all applications and enterprise systems with which CTDOC shares data.

DOC Requirements	Vendor Responses
2.18.1. Interface in Real Time	- Please Select One Option -
The ability to interface with other systems in real time.	
2.18.2. Notify Victims of Various Events	- Please Select One Option -
The ability to interface with other systems to notify victims of various events (e.g., parole hearings, releases, return to custody, escapes).	
2.18.3. API's for Electronically Information	- Please Select One Option -
The ability to supply standard API's for electronically transmitting and receiving information to and from external entities and existing CTDOC systems (e.g., local law enforcement, State Courts, CMHC	

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(Correctional Managed Health Care), federal agencies).	
2.18.4. Data from External Systems	- Please Select One Option -
The ability to display data from external systems.	<input type="checkbox"/>
2.18.5. Limited Internet Inquiries	- Please Select One Option -
The ability to allow limited internet inquiry and notification access to external criminal justice agencies (LENS).	<input type="checkbox"/>
2.18.6. Share Justice Information	- Please Select One Option -
The ability to allow Global Justice Extensible Markup Language (GJXML) Data Model (GJXDM), National Information Exchange Model (NIEM), and Justice Information Exchange Model (JIEM) to share justice information at all levels laying the foundation for local, state, and national justice interoperability.	<input type="checkbox"/>
2.18.7. XML	- Please Select One Option -
The ability to support XML import and export of data.	<input type="checkbox"/>
2.18.8. Selected Exports	- Please Select One Option -
The ability to allow selected exports via ODBC/OLE, JDBC, ADO.Net and XML and/or ASCII text and retaining structures within the data.	<input type="checkbox"/>
2.18.9. Integrate with Delivery Product	- Please Select One Option -
The ability to integrate with a queuing/guaranteed delivery product such as MQ Series.	<input type="checkbox"/>
2.18.10. Product Upgrades	- Please Select One Option -
The ability for product upgrades to be applied without impacting customization and developed interfaces.	<input type="checkbox"/>
2.18.11. Nightly file for CMHC	- Please Select One Option -
The ability for each night to compose a file for CMHC. CMHC is the Corrections Managed Health Care at the University of Connecticut Health Center. The file is accessible to CMHC. The file includes: TRANS TYPE, TRANS DATE, TRANS TIME, OFFENDER'S ID NUMBER, LAST NAME, FIRST NAME, MIDDLE INITIAL, BIRTH DATE, RACE, SEX, SOC SEC NUMBER, LOCATION, LOC CODE, HOUSE UNIT, HOUSE CELL, DATE INCARCERATED, DATE DISCHARGED, and ENCOUNTER NUMBER.	<input type="checkbox"/>
2.18.12. Interface with ICAOS	- Please Select One Option -
ICAOS - This is the Interstate Compact System tied in with the National Interstate Compact which deals with the ability to move Parolees between states. The ability to	<input type="checkbox"/>

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interface with ICAOS from the new system.	
2.18.13. Interface with SATIS	- Please Select One Option -
SATIS - This is the Substance Abuse Treatment Information System. The ability to interface with SATIS so Substance Abuse staff can enter information into the SATIS system. If the new system captures the same data that the Substance Abuse staff enters then have the capability of the new system to directly feed this information to SATIS.	
2.18.14. Interface with COLLECT	- Please Select One Option -
COLLECT - This is the CT On-Line Law Enforcement Communications Teleprocessing Systems. This system is used by most law enforcement agencies and is tied to NCIC. The ability to interface with Collect from the new system.	
2.18.15. Interface with CTSAVIN	- Please Select One Option -
SAVIN is the Connecticut State Wide Automated Victim Information and Notification System (CTSAVIN). The ability to interface with CTSAVIN/SAVIN from the new system. SAVIN is used in most of the 50 states.	
2.18.16. Interface with OBTS	- Please Select One Option -
OBTS is the State of Connecticut Offender-Based Tracking System. The ability to interface with OBTS from the new system. To contain offender's data including: names/identifying data, criminal histories, court data, dispositions, restraining/protective orders, incarceration status, probation information, and parole status; build upon and utilize existing state agency systems and data; provide access to complete, timely, and accurate criminal history; generate reports for state statistical or administrative purposes; and set the stage for future enhancements.	
2.18.17. Interface with Case Notes	- Please Select One Option -
Case Notes is the Lotus Notes electronic information system used to share information on offenders between the Board Of Pardons and Paroles and the CTDOC. The ability to interface with Case Notes.	
Vendor Comments:	

2.19. Data Conversion

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To have a process to take current data and convert it into the new system.

DOC Requirements	Vendor Responses
<p>2.19.1. Migrate Information The ability to migrate existing offender's numbers and offender's information from current CTDOC systems into the new system.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.2. Migrate Data The ability to migrate automatically (i.e. ETL) the CTDOC data from multiple source systems to the new system. This would include several situations where a single record in the new system constitutes components from multiple source systems.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.3. Expand Elements of Existing Records The ability to have as part of the data conversion process the ability to expand the elements of the existing record(s) to include new data elements that may not exist in any of the current systems.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.4. Convert Relevant Data The ability for Relevant data to be converted. All data that cannot be converted will be flagged and later reviewed with the possibility of manual population, default population, a new or enhanced calculation, or a new or enhanced business rule for conversion.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.5. Provide Codes, Scripts Tools to Convert Data The ability to provide the code, or scripts or tools to load or to convert all existing system data into the new system. For the Vendor to design, develop and implement any automation needed to convert the system data.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.6. Statistical Reports The ability to provide statistical reports with record counts to show where data is imported from and where it now resides to enable CTDOC to verify that the desired results have been achieved. CTDOC will be responsible for the quality and integrity of the existing system data to be used in the conversion process.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.7. Provide Programs The ability to provide all programs required to interrogate existing CTDOC data files and to identify conversion issues and missing data elements required for the new system.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.8. CTDOC Sanitizing the existing Data CTDOC will be responsible for sanitizing the existing data.</p>	<p>- Please Select One Option - <input type="text"/></p>
<p>2.19.9. Formal Conversion Test Results The ability to submit formal Conversion Test Results for CTDOC to view and approve prior to</p>	<p>- Please Select One Option - <input type="text"/></p>

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the final file conversion. CTDOC will be responsible for the manual analysis of data from the existing system prior to using that data for the new system.	
2.19.10. Timeframe for Conversion of Data	- Please Select One Option -
The ability to set a timeframe for conversion of existing data to be mutually agreed upon.	
2.19.11. Provide Means of Identifying Records	- Please Select One Option -
The ability to provide a means of identifying records that are converted from current legacy systems and imported into the new system.	
Vendor Comments:	

2.20. Performance

The WAN connections for many DOC locations have an available total bandwidth of 1.4 Mb/s (a T1 circuit) and that bandwidth is shared among many applications. Therefore, the amount of data that needs to be transferred between the centralized servers and the clients will have an impact on the response times.

DOC Requirements	Vendor Responses
2.20.1. Deliver Optimal Response Time	- Please Select One Option -
The ability to deliver optimal response time for all connected users.	
2.20.2. Display the System	- Please Select One Option -
The ability to display the system throughput levels, response times, operational functions, and the system capacity.	
2.20.3. Monitor System	- Please Select One Option -
The ability to monitor system utilization and users currently accessing the system, what they are doing, data throughput, response times, i.e. to be displayed in a dashboard format. To display real-time and historical data for trending purposes.	
2.20.4. Response Times	- Please Select One Option -
The ability for response times to be provided for all data paths. This is to include direct connection via the WAN, Internet connection and others if required.	
2.20.5. Provide Software	- Please Select One Option -
The ability to provide software to measure and print transaction response times and other performance reporting capabilities including trending.	
2.20.6. Accommodate Users	- Please Select One Option -

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The ability to accommodate up to 1,500 concurrent users while still maintaining the stated response time guidelines.	
2.20.7. Monitor and Optimizing Tools	- Please Select One Option -
The ability to provide the appropriate monitoring and optimizing tools to detect causes of hardware processing bottlenecks, poor response time, etc. Data reorganization will be performed on an as needed basis in order to maintain system performance.	
2.20.8. Print Transaction Response Times	- Please Select One Option -
The ability to provide software to measure and print transaction response times and other performance reporting capabilities including trending.	
2.20.9. Perform Successfully	- Please Select One Option -
The ability to perform successfully in accordance with all manufacturer's and Vendor's technical and user specifications.	
2.20.10. Provide Smooth Screen Scrolling	- Please Select One Option -
The ability for response time in a smooth screen scrolling and screen updates on local network attached desktops.	

2.20.11. Response Times chart:
Please provide your response time information in the charts below.

Note: *The Ideal Response Times*

The standard guidelines for response times are (Nielsen 1999, page 42):

0.1 second (one tenth of a second). Ideal response time. The user doesn't sense any interruption.

1 second. Highest acceptable response time. Download times above 1 second interrupt the user experience.

10 seconds. Unacceptable response time. The user experience is interrupted at an alarming high rate and the user is likely to leave the site or system.

2.20.11.1. Average response times for workstations connected to the network are as follows assuming a maximum bandwidth of 1.3 Mb/s per facility:

Initial Display of Forms	Second
Subsequent Display of Forms	Second
Information Transfer to and display at a remote workstation	Second
Select and display information for a remote workstation	Second
Display of associated information	Seconds
Display of drop down field information	Second
Committing information to the appropriate databases	Seconds
Information status changes and displays	Seconds
Database searches (without indexed data)	Seconds
Database inquiries (without indexed data)	Seconds

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2.20.11.2. Average response times for remote workstations not connected to the network are as follows:

Display of Forms	seconds
Information Transfer to and display at a remote workstation	seconds
Select and display information for a remote workstation	seconds
Display of associated information	seconds
Display of drop down field information	seconds
Committing information to the appropriate databases	seconds
Information status changes and displays	seconds
Database searches (without indexed data)	seconds
Database inquiries (without indexed data)	seconds
*	

Vendor Comments:

2.21. Installation/Implementation

To provide sufficient information regarding the installation or implementation process.

DOC Requirements	Vendor Responses
2.21.1. Application Specification Document	- Please Select One Option -
After contract is awarded, to prepare an 'Application Specification Document' detailing the function specifications and products to be delivered. The purpose of this document is to identify and communicate to CTDOC, in detail, the exact products, functions and deliverables to be received by CTDOC.	
2.21.2. Acceptance of 'ASD'	- Please Select One Option -
To obtain written approval from CTDOC for acceptance of each 'Application Specification Document' before work begins. To be developed by module, and to include, but not be limited to the following information in the 'Application Specification Document'	
2.21.2.1. 'ASD' Introduction	- Please Select One Option -
Introduction	
2.21.2.2. 'ASD' Identification	- Please Select One Option -
Identification of the requirements and needs	
2.21.2.3. 'ASD' Deliverables Products	- Please Select One Option -
Identification of specific deliverables and products	
2.21.2.4. 'ASD' Definition	- Please Select One Option -
Definition of any screen and/or report formats	

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2.21.2.5. Steps and Procedures	- Please Select One Option -
Explanation of the steps and procedures necessary to fulfill each requirement, need, and deliverable	
2.21.2.6. Procedures	- Please Select One Option -
Outline of all procedures associated with producing the deliverables and products	
2.21.3. Installation	- Please Select One Option -
To accomplish the installation with minimal interruption of normal day-to-day operation of the CTDOC. To determine specific times of installation jointly between CTDOC and the Vendor.	
2.21.4. Define Equipment	- Please Select One Option -
To define CTDOC equipment, software, and resources that is necessary to complete the installation of the proposed system.	
2.21.5. Set and Install the System	- Please Select One Option -
To set up and to install the system with all data necessary to be fully functional. In response to this RFP, to provide a listing of specific information needed from CTDOC for successful installation.	
2.21.6. Temporary Interfaces	- Please Select One Option -
For a phased implementation approach, to provide and to build any temporary interfaces required.	
Vendor Comments:	

2.22. Acceptance Test Plan

To have a process of evaluating the new business system.

DOC Requirements	Vendor Responses
2.22.1. Acceptance Test Plan	- Please Select One Option -
The purpose and net result of the acceptance test is to determine that the installed new system meets the technical and functional requirements outlined in these specifications. A system considered 'acceptance test ready' is defined as a system that has completed a full system test with no known outstanding material defects.	
2.22.2. Criteria of Acceptance Test Plan	- Please Select One Option -
To provide a proposed 'Acceptance Test Plan' (ATP) prior to implementation of the system. To show events, sequences and schedules required for acceptance of the system in the ATP. CTDOC	

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to provide written approval that the proposed ATP is complete and acceptable.	
2.22.3. Operational Test	- Please Select One Option -
To conduct an operational test of the system and certify, in writing, that the system is ready for use and performs in accordance with the requirements stated in this document.	
2.22.4. Acceptance Testing	- Please Select One Option -
CTDOC to conduct acceptance testing after system testing has been completed and certified by the Vendor.	
2.22.5. On Site Technical Staff	- Please Select One Option -
To provide technical staff on site at CTDOC for the acceptance testing.	
2.22.6. Acceptance Testing Assistance	- Please Select One Option -
To provide assistance in demonstrating all functions of the system during acceptance testing.	
2.22.7. Acceptance Period	- Please Select One Option -
To agree to and to allow for an acceptance period of 30 working days in accordance with the work plan delivery schedule.	
2.22.8. Provide required changes	- Please Select One Option -
In the event that one or more applications is not accepted based on the test criteria, the vendor to provide whatever changes may be required to meet the acceptance criteria within 10 working days.	
2.22.9. Provide Regression/Load Stress Tools	- Please Select One Option -
To provide automated regression and load stress testing tools.	
2.22.10. Demonstrate Performance	- Please Select One Option -
To demonstrate performance as stated in the requirements section of this RFP.	
2.22.11. Document Expected Results	- Please Select One Option -
To document expected performance results before acceptance testing will begin.	
2.22.12. Ensure System Works	- Please Select One Option -
To ensure that the system in general and each module operates in accordance with the system specifications before turning the system over to CTDOC. CTDOC will not be responsible for debugging modifications for the Vendor.	
Vendor Comments:	

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2.23. Photos

The ability to store and print images.

DOC Requirements	Vendor Responses
2.23.1. Seamless Integration	- Please Select One Option -
To provide seamless integration and minimal additional administrative tasks in implementing digital photograph requirements.	
2.23.2. Image Print Capability	- Please Select One Option -
To provide image print capability on commonly available color laser jet, laser jet, and color inkjet printers.	
2.23.3. Store and Display Images	- Please Select One Option -
To store and display images (e.g., offender's photographs, bodily markings photographs) in JPEG or JPEG-compatible formats, and support export as JPEG or bitmap images.	
Vendor Comments:	

2.24. Technical Architecture and Database Software

To provide the structure and performance of the technology infrastructure solution for the system.
Database software operation to be part of the technical architecture.

DOC Requirements	Vendor Responses
2.24.1. Software List Required	- Please Select One Option -
Vendor to provide a list of all software required by the system on user workstations and servers beyond the initial operating system version.	
2.24.2. System Configuration Growth	- Please Select One Option -
To allow the proposed system configuration for expected offender and employee population growth for at least 5 years without any major expansion. This includes licensing, database storage, and network bandwidth.	
2.24.3. User Workstation Installations	- Please Select One Option -
The ability to allow for installations and for updates without visiting end user workstations and without end users performing update tasks. A Web based application is mandatory without any installation locally on the users' workstations (either downloaded automatically or manually done), except for the standard plugins that are required to run Web based application such as Java, .Net framework, JInitiator, Silverlight, XPS Essentials, etc. Please include in the RFP	

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response which plugins are required. This includes the application and the reporting tools and any other modules required.	
2.24.4. Web-based Application	- Please Select One Option -
The ability to have a web-based application with an Island mode capability. Only certain laptop users will have island mode capability.	
2.24.5. Not dependent on Single Platform	- Please Select One Option -
The ability to use open architecture and not be dependent on a single platform or database vendor.	
2.24.6. Open System Architecture	- Please Select One Option -
The ability to have an open system architecture to enable interface with possible future development.	
2.24.7. Component Based Design	- Please Select One Option -
The ability to use a component based design to allow future growth and enhancements.	
2.24.8. Layer Architecture	- Please Select One Option -
The ability to layer architecture with maximum independence between layers.	
2.24.9. Data Dictionary	- Please Select One Option -
To provide and publish a complete data dictionary.	
2.24.10. Prevent Data Redundancy	- Please Select One Option -
To prevent redundant data, excluding data warehousing or data mining functions.	
2.24.11. Ability of all sub-systems	- Please Select One Option -
To allow the ability of all sub-systems to deliver data and to accept data from other automated systems.	
2.24.12. Modify data in one sub-system	- Please Select One Option -
The ability to modify data in one sub-system that automatically updates related data in all sub-systems.	
2.24.13. Intergrate Data Structures	- Please Select One Option -
The ability to integrate data structures with customized software.	
2.24.14. Support data exports	- Please Select One Option -
To support exports of data extracts.	
2.24.15. Support batch import	- Please Select One Option -
To support batch import of data files.	
2.24.16. Identify document functions	- Please Select One Option -
To identify and document functions that require exclusive use of data files.	
2.24.17. Timely Updating of Data	- Please Select One Option -
The ability to support timely updating of data with critical updates taking place immediately.	
2.24.18. Operating System	- Please Select One Option -
To operate on Windows XP and higher. To operate on Internet Browsers IE 6.0 and higher	

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and Mozilla Firefox 3.0 and higher.	
2.24.19. Testing at Vendor Site	- Please Select One Option -
Vendor to perform all testing at their own facility on hardware comparable to CTDOC prior to system being sent to CTDOC. Vendor to provide development environment at their site with the same operating system and version as CTDOC with ample storage space to hold all CTDOC data.	
2.24.20. Real-time Transfer of Data	- Please Select One Option -
The ability to provide real-time or near real-time transfer of data to and from other systems as well as scheduled transfer of data to and from other systems.	
2.24.21. Compliance EWTA	- Please Select One Option -
To comply with the State of Connecticut's EWTA (Enterprise Wide Technology Architecture) standards. http://www.ct.gov/doi/lib/doi/downloads/intr_o.pdf	
Vendor Comments:	

2.25. Nightly Prison Count

DOC Requirements	Vendor Responses
2.25.1 Nightly Prison Count	- Please Select One Option -
To provide a count of the offender population for all prison and facilities. This count will be stored in the database for reporting.	
Vendor Comments:	

2.26. Monthly Snapshot

DOC Requirements	Vendor Responses
2.26.1 Monthly Snapshot	- Please Select One Option -

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<p>To provide a monthly snapshot of all CT offenders with their information and picture. This snapshot will be stored in the database for reporting.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.27. File Layout

DOC Requirements	Vendor Responses
<p>2.27.1 File Layout</p>	<p>- Please Select One Option -</p>
<p>To provide a complete file layout including fields(length of the file's record and the sequence and size), type of data contained within each field and definitions.</p>	
<p>Vendor Comments:</p>	
<p></p>	

2.28. Peripherals and Devices

DOC Requirements	Vendor Responses
<p>2.28.1. Electronic Signature Devices</p>	<p>- Please Select One Option -</p>
<p>CTDOC does not have any electronic signature devices. Please provide a complete list of all the electronic signature devices that run with the new system.</p>	
<p>2.28.2. Cameras</p>	<p>- Please Select One Option -</p>
<p>CTDOC cameras are old and need to be upgraded or changed. Please provide a complete list of all the cameras that run with the new system.</p>	
<p>2.28.3. Scanners</p>	<p>- Please Select One Option -</p>
<p>CTDOC does not have any scanners to load documents and other information into an application except for CTDOC Commissary see section 3.29.4. Please provide a complete list of all the scanners that run with the new system.</p>	
<p>2.28.4. Commissary Scanners</p>	<p>- Please Select One Option -</p>
<p>CTDOC now has the OpScan 4 Scanner for Commissary but CTDOC is planning on upgrading or changing from this scanner model. Please provide a complete list of all the scanners that run</p>	

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with the new system.	
2.28.5. Printers	- Please Select One Option -
CTDOC now has HP Laser printers, HP Color Laser printers, Multi-Function printers but CTDOC is planning on upgrading or changing from these models of printers. Please provide a complete list of all the printers that run with the new system.	
2.28.6. Check Writer Printers	- Please Select One Option -
CTDOC now has Troy MICR 4000 Secure EX printers but is upgrading or changing from these models of printers. Please provide a complete list of all the check writer printers that run with the new system.	
2.28.7. Commissary Kiosk	- Please Select One Option -
CTDOC does not have any commissary kiosk machines. Please provide a complete list of all the kiosk machines that run with the new system.	
Vendor Comments:	

3. Query and Reporting Requirements

DOC Requirements	Vendor Responses
3.1. All Queries	- Please Select One Option -
Allow the user to search the offender's database using a variety of search fields. For example, phonetic search, name (first and last), alias, docket number, DOC primary or concurrent number, SPBI, FBI, SSN, date of birth, driver's license, etc. may be used as a search field. Also searches with partial search information, i.e. Using the first character or more of the offender's last name or the first character or more of the offender's first name or first digit or more of the offender's number will bring up offender's records.	
3.2. Code Table Report	- Please Select One Option -
To produce a report of the list code tables. To include code table name, code, code value, code description.	
3.3. Warning and Error Report	- Please Select One Option -
To produce a report of warnings and errors. To include warning/error name, warning/error number, and warning /error description.	
3.4. Scheduler Report	- Please Select One Option -
To produce a report about jobs and tasks in the scheduler. To include schedule job/task name,	

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3.7. Historical Data Report	- Please Select One Option -
To produce a report on Historical Data functionality. To include information stated in section 2.14.	<input type="text"/>
3.8. Security Report	- Please Select One Option -
To produce a report to support the Security functionality in section 2.15.	<input type="text"/>
3.9. Interface Report	- Please Select One Option -
To produce a report about the interfaces. To include interface name, interface description, data brought into the new system and module or program that use the interface data. Also any other information needs to support the interface functionality in section 2.20.	<input type="text"/>
date and time when it ran last, start date and time (when it first ran), next data and time (when it will run next).	
3.5. Business Rule Report	- Please Select One Option -
To produce a report about the business rules and their locations. To include business rule name, business rule description, and module or program where it resides.	<input type="text"/>
3.6. Data Warehouse Report	- Please Select One Option -
To produce a report on Data Warehouse functionality. To include information stated in section 2.13.	<input type="text"/>

Vendor Comments:

3.10. Data Conversion Report	- Please Select One Option -
To produce a report on Data Conversion functionality. To include information stated in section 2.21.	<input type="text"/>
3.11. Performance Report	- Please Select One Option -
To produce a report on Performance functionality. To include information stated in section 2.21.	<input type="text"/>
3.12. Issues-Problems-Patch Report	- Please Select One Option -
To produce a report on Issues-Problems-Patch functionality. To include information stated in section 2.22.	<input type="text"/>
3.13. Installation Report	- Please Select One Option -
To produce a report on Installation functionality. To include information stated in section 2.23.	<input type="text"/>
3.14. Acceptance Test Plan Report	- Please Select One Option -
To produce a report on Acceptance Test Plan functionality. To include information stated in section 2.24.	<input type="text"/>

RFP # _____
Require

BC28 – Report-Writer and Reports Requirements

A user-friendly report generation tool must be provided with the new system. This report writer must allow trained users to produce both canned and ad hoc reports against the real time data as well as data warehouse with minimal entry required by the user. The tool should provide a variety of reporting techniques including listings, cross-tabulations, scatter plots, histograms, and statistics.

The General and Functional requirements specified in this section would also apply to the report section in each Business categories. The reports defined in the each business category are specific to the function for that business operation. The reports requirements defined in this document are for general purpose.

1. General Requirements

1.1 Server Based

- 1.1.1 Generating query results or reports should be a server-based function. Nothing should be required to be loaded on the client PC.

1.2 Provide Data Dictionary

- 1.2.1 Any data dictionaries, data models, entity relationships, or business rules, which are necessary for utilizing the report writer, must be provided.

1.3 Device Routing

- 1.3.1 The report-writer should provide the ability to route output (queries or reports) to various devices including printers, emails and disk files.
- 1.3.2 The email can be specified as individual email (internal or external to CTDOC), or groups.
- 1.3.3 The system should provide the ability to download data query results or reports to be used with Microsoft Office products as well as other industry standard format (such as PDF, Excel, Rich Text Format, Delimited Text, Fixed Width Text, XML, etc.).

1.4 Menu or Icon-Driven Queries/Reports

- 1.4.1 The report-writer should provide the ability to create standard menu- or icon-driven queries or report for data that requires frequent access.
- 1.4.2 The report-write should provide the ability to manage security access for the queries/reports menu or icons.

1.5 Query Running Monitor Tool

- 1.5.1 The system should provide a query running monitoring tool to be able to prohibit or delete an overly long running query.
- 1.5.2 The system should also provide the ability to show the running queries or reports log.

1.6 Schedule and Publish Saved Queries/Reports

- 1.6.1 The system should provide the ability to schedule and publish saved queries or reports on regular bases.
- 1.6.2 The system should provide the ability to remove scheduled queries/reports from the schedule.
- 1.6.3 The system should also provide the ability to notify user via email when the query results or reports are ready.

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2. Functional Requirements

DOC Requirements	Vendor Response
2.1 Entry of Report Parameters	- Please Select One Option -
<p>The report-writer should provide sufficient flexibility to allow users to enter parameters at run time. The parameters include but not limit to the following items: one facility/community/housing location, range of facilities/locations/housing units and date range for various fields as appropriate.</p>	
Vendor Comments:	
2.2 Save Query Instructions/Execution Statements	- Please Select One Option -
<p>The report-writer should provide the ability to save query instructions/execution statements for later use.</p>	
Vendor Comments:	
2.3 Shared Saved Query Instructions/Execution Statements	- Please Select One Option -
<p>The report-writer should provide the ability to share saved query instructions with other users.</p>	
Vendor Comments:	
2.4 Linking Queries	- Please Select One Option -
<p>The report-writer should provide the ability to link or combine queries to produce another query.</p>	
Vendor Comments:	

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2.5 Sort Column	- Please Select One Option -
The report-writer should provide the ability to easily sort query results in any column in ascending or descending order.	
Vendor Comments:	

2.6 Multiple Sort Columns	- Please Select One Option -
The report-writer should provide the ability to sort and sub-sort query results in multiple columns in ascending or descending order.	
Vendor Comments:	

2.7 Results Count	- Please Select One Option -
The report-writer should provide results count upon completion of running query.	
Vendor Comments:	

2.8 Save Created Reports	- Please Select One Option -
The report-writer should provide the ability to save created reports so that they can be previewed or printed at a later date.	
Vendor Comments:	

2.9 Report/Query Preview	- Please Select One Option -
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<p>The report-writer should provide the ability to preview, on any workstation, the results of any generated query or report.</p>	
Vendor Comments:	

2.10 Page By Criteria	- Please Select One Option -
<p>The report-writer should provide the ability to sort by and page break by specific criteria.</p>	
Vendor Comments:	

2.11 Derive Percentages	- Please Select One Option -
<p>The report-writer should provide the option for the user to derive percentages for totals that are generated for a query or report.</p>	
Vendor Comments:	

2.12 Flexible Format	- Please Select One Option -
<p>The report-writer should provide the ability to create report in various formats such as form, letter, envelope, label etc.</p>	
Vendor Comments:	

2.13 Define Categories for Fields	- Please Select One Option -
<p>The system should provide ways to define categories for field(s) based on reporting needs. The definition of category for one field can be multiple. All these definitions can be saved in the system and to be used for various reports. For example, definition of "violent crime" can be different for different report.</p>	

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Vendor Comments:	

2.14 Define and Save Distribution Groups	- Please Select One Option -
The system should provide ways to define report distribution list for each report. Such definition of distribution list could be saved for future used. The reports can be broken down and paged by specific criteria (ex. Facility) and distributed to different groups of people based on the breakdown/page by criteria.	
Vendor Comments:	

2.15 Word Merge	- Please Select One Option -
The ability to create word merged report.	
Vendor Comments:	

3 Query and Reporting Requirements

3.1 List of 14-20 Years Old Offenders	- Please Select One Option -
List all incarcerated 14-20 years old offenders.	
Vendor Comments:	

3.2 Supervised Offenders in Federal Facilities (Bureau of Prisons)	- Please Select One Option -
List of currently supervised offenders who are housed in federal facilities.	
Vendor Comments:	

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3.3	Number of offenders with Sentence of 2 Years or Less	- Please Select One Option -
Count number of incarcerated offenders by gender with total effective sentence terms of 2 years or less.		
Vendor Comments:		

3.4	Offenders from Other Jurisdiction in Our Facility by Jurisdiction	- Please Select One Option -
Offenders are incarcerated in Connecticut facilities and belong to other jurisdictions.		
Vendor Comments:		

3.5	Offenders with Violation of Probation	- Please Select One Option -
Count underlying charges for offenders with Violation of Probation as controlling offense.		
Vendor Comments:		

3.6	Non-US Offenders Reports	- Please Select One Option -
A report generated for the Criminal Alien Unit of Immigration of Customs Enforcement (ICE).		
Vendor Comments:		

3.7	Demographic Distribution for	- Please Select One Option -
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Incarcerated Offenders By Facility and by Community Release Programs:	
Gender distribution; Legal status distribution; Racial distribution; Age group distribution (14-15, 16-17, 18-20, 21, 22-24, 25-27, 28-30, 31-35, 46-60 and above 60).	
Vendor Comments:	

3.8 Average Population Count by Facility and Legal Status	- Please Select One Option -
Average daily confined offender population counts by facility for current month, prior month, 1 year ago and 5 years ago and show total and by legal status.	
Vendor Comments:	

3.9 Average Daily Community Population Count	- Please Select One Option -
Show average daily community population counts by each community release placement in current month.	
Vendor Comments:	

3.10 Facility Population by Legal Status and Gender	- Please Select One Option -
Count incarcerated offenders by legal status and gender.	
Vendor Comments:	

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<p>3.11 Population Distribution by Length of Sentence, Gender, Race and Age Group</p>	<p>- Please Select One Option -</p>
<p>Count incarcerated offenders by sentence type (total effective terms over 2 years vs. 2 year and less), gender, race and age group (<16, 16-17, 18-21, 22-29, 30-39, >40).</p>	
<p>Vendor Comments:</p>	
<p>3.12 Population Distribution by Legal Status and Age Group</p>	<p>- Please Select One Option -</p>
<p>Count incarcerated offenders by legal status and age group (<16, 16-17, 18-21, 22-29, 30-39, >40).</p>	
<p>Vendor Comments:</p>	
<p>3.13 Population Distribution by Legal Status and Race</p>	<p>- Please Select One Option -</p>
<p>Count incarcerated offenders by legal status and race.</p>	
<p>Vendor Comments:</p>	
<p>3.14 Statistics for Incarcerated 16 and 17-year old</p>	<p>- Please Select One Option -</p>

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<p>Count by Bond Amount (defined into several categories): Count Bond Amount Type by Gender; Count by Offenses and Legal Status; Count by Gender and Offense; Count by Age; Count by Facility; Count by Age, Legal Status; Count by Age, Gender and Race; Count by Age, Town of Residence; Count By Age, Escape Risk Score; Count by Age, Length of Sentence Risk Score; Count by Age, Disciplinary Risk Score; Count by Age, Severity Risk Score; Count by Age, Detainer Risk Score; Count by Age, Violent History Risk Score; Count by Age, Gang Affiliation Risk Score; Count by Age, Overall Risk Score; Count by Age, Medical Needs Score; Count by Age, Mental Health Need Score; Count by Age, Education Needs Score; Count by Age, Alcohol/Drug Needs Score; Count by Age, Vocation Needs Score; Count by Age, Sex Treatment Needs Score.</p>	
<p>Vendor Comments:</p>	

<p>3.15 Count Sentenced Offenders Sentence Length and Offense Category</p>	<p>- Please Select One Option -</p>
<p>Count sentenced offenders by sentence length (greater than 2 years, less and equal to 2 years) and offense category (crime against person, property crimes, substance abuse, public order and other).</p>	
<p>Vendor Comments:</p>	

<p>3.16 Count Sentenced Offenders with Violation of Probation by Sentence Length</p>	<p>- Please Select One Option -</p>
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Count sentenced offenders sentenced in last month with violation of probation in the active dockets.	
Vendor Comments:	

3.17 Community Release Programs Population by Community Release Program and Gender	- Please Select One Option -
Count supervised community offenders by community supervision jurisdiction, physical location and gender.	
Vendor Comments:	

3.18 Supervised Community Population by Parole District	- Please Select One Option -
Count supervised community release program population by Parole District.	
Vendor Comments:	

3.19 Community Population Count by Jurisdiction	- Please Select One Option -
Count number of offender in each type of location by jurisdiction.	
Vendor Comments:	

3.20 Halfway House Residents Count	- Please Select One Option -
Count number of offenders in halfway house location by halfway house location.	
Vendor Comments:	

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3.21 Transitional Supervision Program Offender Count	- Please Select One Option -
Count number of offenders in Transitional Supervision (TS) by TS location.	
Vendor Comments:	

3.22 Count Transitional Supervision and Halfway House Activities	- Please Select One Option -
Count number of Transitional Supervision and Halfway House Activities	
Vendor Comments:	

3.23 Halfway House Residents List	- Please Select One Option -
List offenders in a halfway house location	
Vendor Comments:	

3.24 Special Parole Statistics	- Please Select One Option -
Several reports generated for sentenced offenders at facilities and communities with special parole to follow.	
Vendor Comments:	

3.25 Special Parole List	- Please Select One Option -
List offenders with Special Parole to follow.	
Vendor Comments:	

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3.26 Under Age 18 offenders Released from Jail or Prison	- Please Select One Option -
List under age 18 offenders who are released during last half of the month.	
Vendor Comments:	

3.27 Offenders will be Released	- Please Select One Option -
List offenders to be released the following week.	
Vendor Comments:	

3.28 Parole Releases	- Please Select One Option -
List of incarcerated offenders with voted to parole date between 1 year prior and 2 months after report run date.	
Vendor Comments:	

3.29 Offender Releases in Geographical Area	- Please Select One Option -
List of age 18 and older sentenced offenders residing in different geographical areas.	
Vendor Comments:	

3.30 Community Supervision counts by City of Residence	- Please Select One Option -
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Counts number of offenders in community release programs by city of residence by legal status, race, gender, age, supervision status and type of community supervision.	
Vendor Comments:	

3.31 Special Health Designation – CSD	- Please Select One Option -
List offenders who have special health designation such as HIV or other infectious disease information. This report is highly confidential.	
Vendor Comments:	

3.32 Offenders in Outside Hospital (Medical or Mental Health)	- Please Select One Option -
List offenders who are currently in outside medical or mental health hospitals.	
Vendor Comments:	

3.33 Overall Risk Score Distribution by Facility	- Please Select One Option -
Show tabulated counts by legal status, facility and overall risk score as well as counts by facility and overall risk score.	
Vendor Comments:	

3.34 Overall Risk Score Distribution	- Please Select One Option -
Count incarcerated offenders by overall risk score.	
Vendor Comments:	

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3.35 Needs Score Distribution	- Please Select One Option -
Medical needs score distribution by facility; Mental health needs score distribution by facility; Sexual treatment needs score distribution by facility; Alcohol and drug needs score distribution by facility; Alcohol and drug need score by needs score.	
Vendor Comments:	

3.36 Combination of Needs Score Distribution for Incarcerated Offenders	- Please Select One Option -
Alcohol and drug needs score > 1, mental health need score > 2 and sexual treatment score > 1; Alcohol and drug needs score > 1 and mental health needs score > 2; Sexual treatment needs score > 1 and mental health needs score > 2 ; Alcohol and drug needs score > 1 and sexual treatment needs score > 1; Sexual treatment needs score > 1.	
Vendor Comments:	

3.37 Medical and Mental Health Needs Score Distribution	- Please Select One Option -
Medical needs score distribution; Mental Health needs score distribution.	
Vendor Comments:	

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3.38 Mental Health Needs Score Greater and Equal to 3 and Sex Treatment Needs Score Greater and Equal to 2	- Please Select One Option -
List of incarcerated offenders with mental health needs score greater and equal to 3 and sexual treatment needs score greater and equal to 2 and would be discharged in the next 7 months. Sorted by facility and page break by facility. The information includes offender number, offender name, sexual treatment needs score, mental health needs score and maximum release date.	
Vendor Comments:	

3.39 Alcohol and Drug Needs Score Reports	- Please Select One Option -
Alcohol/drug needs score distribution by community jurisdiction; Alcohol/drug needs score distribution for offender at Transitional Supervision; Alcohol/drug needs score distribution by facility for offenders housed in MacDougall-Walker CI, York CI, Corrigan CI, Bridgeport CC, Hartford CC and New Haven CC; Alcohol/drug needs score distribution for offenders housed in MacDougall-Walker CI, York CI, Corrigan CI, Bridgeport CC, Hartford CC and New Haven CC; Alcohol and drug needs score distribution by facility for incarcerated sentenced offenders with alcohol and drug needs score greater and equal to 3.	
Vendor Comments:	

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3.40 Offenders with Escape Risk Score of 4 or 5	- Please Select One Option -
List incarcerated offenders with escape risk score of 4 or 5.	
Vendor Comments:	

3.41 Offenders with Overall Risk Score of 4 or 5	- Please Select One Option -
List incarcerated offenders with overall risk score of 4 or 5.	
Vendor Comments:	

3.42 Offenders Without Classification Records Closed	- Please Select One Option -
List of offenders in facilities without the last classification record change date and classification hearing is happened more than two weeks ago.	
Vendor Comments:	

3.43 Transitional Supervision Candidates	- Please Select One Option -
List of offenders who are eligible for Transitional Supervision placement.	
Vendor Comments:	

3.44 Reports Regarding Special Management (Gang) Offenders	- Please Select One Option -
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<p>Gang offenders at community release programs. The information includes community release program, gang affiliation, offender number, offender name and facility. Sorted and paged by community release program;</p> <p>Gang offenders at community or facility. The information includes offender number, offender name, community release program and facility. Sorted by gang affiliation;</p> <p>Count currently supervised gang members by gang affiliation and community release program;</p> <p>List incarcerated gang members excluding threat member in the facility. Sorted by facility and gang affiliation. Page break by facility. The information includes offender number, offender name;</p> <p>Count currently incarcerated gang members by gang affiliation and facility;</p> <p>List incarcerated gang members with threat status in the facility. Sorted by facility and gang affiliation. Page break by facility. The information includes offender number, offender name;</p> <p>Count incarcerated gang members with threat status by facility and gang affiliation.</p>	
<p>Vendor Comments:</p>	

3.45 Gang Offenders at Northern CI	- Please Select One Option -
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<p>List offenders with SRG score ≥ 3. Information includes offender number, offender name, date of birth, age, SRG score, gang affiliation and overall risk score. Sorted by gang affiliation, overall score and offender name;</p> <p>List offenders whose SRG score had changed from 3 to 4 in past month. The information includes offender number, offender name, classification hearing date that score changed and gang affiliation.</p>	
<p>Vendor Comments:</p>	

<p>3.46 Offenders escaped from Community Supervision</p>	<p>- Please Select One Option -</p>
<p>List offenders on escaped status and escaped from Community release program (such as Halfway House or Transitional Supervision) since January 1, 1990.</p>	
<p>Vendor Comments:</p>	

<p>3.47 Weekly Summary of Disciplinary Committee Actions</p>	<p>- Please Select One Option -</p>
<p>List all disciplinary hearings that occurred the previous week.</p>	
<p>Vendor Comments:</p>	

<p>3.48 Incarcerated Offender with Class A and/or B Disciplinary Reports</p>	<p>- Please Select One Option -</p>
<p>List offenders with a Class A and/ or B Disciplinary Reports based on specific criteria and for different time frames.</p>	
<p>Vendor Comments:</p>	

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3.49 Offenders with 2 or more Assaults on Staff Disciplinary Reports Within Last Year	- Please Select One Option -
List of offenders at facility with total of 2 or more Assaults on Staff disciplinary reports within the last year.	
Vendor Comments:	

3.50 Offenders Required to Register With Sex Offender Registry	- Please Select One Option -
List offenders who are required to register in the sex offender registry with the State Police based on certain statutes and specific criteria.	
Vendor Comments:	

3.51 Offenders Potentially Required to Register With Sex Offender Registry	- Please Select One Option -
Generate reports based on offenders have committed crimes 53A008, 53A048 and 53A049 in any of their docket and with sexual treatment needs score greater than 2.	
Vendor Comments:	

3.52 New Admissions for Under Age 16 Offenders by Admission Date	- Please Select One Option -
List of offenders that have been newly admitted (not include re-admit offenders) to DOC in the last quarter.	
Vendor Comments:	

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3.53 Offenders Discharged and Not Returned	- Please Select One Option -
List offenders have been discharged and have not returned to DOC in last quarter.	
Vendor Comments:	

3.54 Count Last Month Facility Movements by Type	- Please Select One Option -
Count movements by admission type (such as new admission, returns from community programs); Count sentenced admission; Count movements by release type (such as discharged, escaped, and community releases).	
Vendor Comments:	

3.55 Count Last Month Releases by Facility	- Please Select One Option -
Count last month release movements by facility and release type.	
Vendor Comments:	

3.56 Count Last Month Transfers by Facility	- Please Select One Option -
Count number of transfers to facility from other DOC facilities last month.	
Vendor Comments:	

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3.57 Count Last Month Community Related Movements	- Please Select One Option -
Several reports are generated based on last month movements related to community release programs to include inmates released to community programs, returned to facilities from community release programs, and discharged from community programs.	
Vendor Comments:	

3.58 Count Last Year Discharges/Releases from Facility by Release Type	- Please Select One Option -
Several reports are generated based on last year movements to count offenders released to community programs, count offenders discharged by facility or community programs.	
Vendor Comments:	

3.59 Count Last Month Movement Related Reports	- Please Select One Option -
Several reports are generated based on last month movements to include number of admissions and readmissions and number of accused offenders discharged on bond.	
Vendor Comments:	

3.60 Community Related Movement Reports	- Please Select One Option -
Several community related movement reports	

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based on last month movements to include offenders moved from Halfway House to Transitional Supervision and offenders moved from facility to a Halfway House.	
Vendor Comments:	

3.61 Weekly Releases/Discharges Reports	- Please Select One Option -
Generate reports regarding releases/discharges that occurred in the previous week to include the count of releases/discharges.	
Vendor Comments:	

3.62 Daily Community Movements Related Reports	- Please Select One Option -
Generate several reports based on prior day movement in and out of community programs to include offenders returned to facilities from community programs, released to community programs and discharged from community programs.	
Vendor Comments:	

3.63 Admissions/Releases for Offenders under age 23	- Please Select One Option -
Generate a report for offenders of age under 23 moved in or out of specific facilities.	
Vendor Comments:	

3.64 Daily Admissions/Releases for Age	- Please Select One Option -
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Over 16 Offenders	
List age over 16 offenders transferred in and out of specific facilities.	
Vendor Comments:	

3.65 Offenders Discharged From Facilities	- Please Select One Option -
List offenders discharged from certain facilities.	
Vendor Comments:	

3.66 Federal Billing Reports	- Please Select One Option -
Generate reports for offenders with jurisdiction of federal custody (ICE or Federal Marshals)	
Vendor Comments:	

3.67 Offense by Admission/Release Reports	- Please Select One Option -
Count offense by admission/release movement and by legal status based on all the admission/release movements occurred last month	
Vendor Comments:	

3.68 Discharged Sentenced CT Offenders with Weapons Violation on any Sentence	- Please Select One Option -
Reports regarding sentenced offenders with CT residence discharged in last month with weapons violations on any of sentence dockets.	
Vendor Comments:	

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3.69 Sentenced Offenders with Terrorism Offense	- Please Select One Option -
List sentenced offenders sentenced last month with terrorism offense(s)	
Vendor Comments:	

3.70 Sentenced Admissions Statistics/Reports	- Please Select One Option -
Count number of sentenced admissions in the previous month by sentence type and type of offense.	
Vendor Comments:	

3.71 Offenders Admission and Released/Discharged from Facilities or Halfway Houses in certain Geographical areas.	- Please Select One Option -
List offenders released/discharged from facilities or Halfway Houses or offenders admitted/returned to facilities or Halfway Houses in specified geographical areas.	
Vendor Comments:	

3.72 Transitional Supervision Technical Violator	- Please Select One Option -
List offenders who are Transitional Supervision Technical Violator in the previous week.	
Vendor Comments:	

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3.73 Approved Visitor List	- Please Select One Option -
List all approved visitors for each current incarcerated offender.	
Vendor Comments:	

3.74 Visiting Log	- Please Select One Option -
List visiting logs for the previous month for facilities.	
Vendor Comments:	

3.75 Discharged Offender with Certain Special Management Text Codes	- Please Select One Option -
Generate reports for offenders discharged in the previous month with Protective Custody Management text fields, Chronic Discipline Management text fields, etc.	
Vendor Comments:	

3.76 Count Approved Offender Transfer by Transfer Type	- Please Select One Option -
Count number of approved transfers occurred last month by transfer type.	
Vendor Comments:	

3.77 Reports Regarding Offenders at	- Please Select One Option -
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“Time Out” Programs at CRCI	
Several reports for offenders who started the RT3M D4 Technical Violators (Time Out) program at Robinson CI between 1/1/2008 to run date.	
3.77.1 Count for Offenders by their status	- Please Select One Option -
Count offenders by their status in the program (i.e. finished, dropped out, etc.).	
3.77.2 Count for Offenders who will be released	- Please Select One Option -
Count these offenders who will be released to Transitional Supervision in current incarceration by their status in the program.	
3.77.3 Count for Offenders who are released and readmitted	- Please Select One Option -
Count these offenders would were released to Transitional Supervision and subsequently readmitted to prison/jail. Counts by release type.	
Vendor Comments:	
3.78 Parole Hearing for Offenders with Disciplinary Reports	- Please Select One Option -
List offenders with “parole” or “re-parole” disposition at parole hearing, with class A or B disciplinary reports in past month and vote to parole date since last month.	
Vendor Comments:	
3.79 Parole Hearing Counts	- Please Select One Option -
Count number of parole hearings occurred in previous month by hearing disposition, hearing location and by hearing type.	
Vendor Comments:	

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3.80	Count Persons Paroled Under Administrative Review	- Please Select One Option -
	Count number of persons paroled under administrative review by location.	
Vendor Comments:		

3.81	Sentence Status Count	- Please Select One Option -
	Count number of incarcerated offenders by legal status.	
Vendor Comments:		

3.82	Parole Eligibility Count	- Please Select One Option -
	Count number of sentenced incarcerated offenders with total effective sentence 2 years or more and do not commit parole ineligible crimes.	
Vendor Comments:		

3.83	Security Risk Group (SRG) Score Distribution for Parole Eligibility Offenders	- Please Select One Option -
	SRG score distribution for incarcerated sentenced and parole eligible offenders.	
Vendor Comments:		

3.84	Wright Decision Distribution	- Please Select One Option -
	Count number of offenders who have SRG score less than 3, with violation of probation as controlling offense, total effective terms of 2 year and more and will be released within 2 years.	

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Vendor Comments:

3.85 Overall Score Distribution for Offenders not Meet Wright Decision	- Please Select One Option -
Overall score distribution for offenders do not meet Wright decision criteria.	
Vendor Comments:	

3.86 Chronic Discipline Sub Code Distribution	- Please Select One Option -
Chronic Discipline Sub Code distribution for offenders do not meet Wright decision criteria and overall risk score is less than 5.	
Vendor Comments:	

3.87 Statistics and Reports for Board of Pardons and Paroles (Monthly) to include:	- Please Select One Option -
Race distribution; Gender distribution; Offense distribution; Offense distribution by offense category; Location distribution for Halfway House parolees; Facility distribution for parolees; Parolees in halfway house beds; List parolees without parole hearing disposition; List parolees who have passed vote to parole date and has not released to parole.	
Vendor Comments:	

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3.88 Initial Parole Eligibility Report	- Please Select One Option -
Report generated for offenders who are parole eligible for a user defined period of time	
Vendor Comments:	

3.89 Bond List Report For Unsented Persons	- Please Select One Option -
List all unsentenced offenders with a bond to include court location and facility.	
Vendor Comments:	

3.90 Court Dates in the Past	- Please Select One Option -
List offenders who have discharged with a court date in the past.	
Vendor Comments:	

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Data Download Requirements

A user-friendly tool is provided to extract data from the system so the data can be transported via FTP or other mechanism to other agencies or to be used for other purpose. The tool can also import data from other system to be used (either for analysis or for updating) in the system.

1. General Requirements

1.1 Industry Standard File Format

1.1.1 A data extracting tool is provided to extract data from the system and can be saved in common industry standard file format such as ASCII text (space, tab or common delimited and fixed width) and XML. The tool can also import ASCII text or XML format data from other system to be used in the system.

1.2 Automation

- 1.2.1 The ability to schedule job(s) to extract or import data from/to the system is provided.
- 1.2.2 The ability to schedule job(s) to FTP, transfer file(s) or email to and from other system is provided.
- 1.2.3 The ability to save connection strings for each connection.

2. Functional Requirements

DOC Requirements	Vendor Responses
2.1 Easy to Define Source File and Destination Folder	- Please Select One Option -
Graphical interface is provided to easily define source file will be downloaded and where the destination would be.	

3. Data File Requirements

DOC Requirements	Vendor Responses
3.1 Top 20 Offense Distribution for Incarcerated Inmates (CR4011)	- Please Select One Option -
Download top twenty offense counts by offense that incarcerated inmates committed. These counts should also be broken down by gender. Two files will be generated. First file is for overall incarcerated inmates and second file is for female incarcerated inmates only. The information for both files include date (month, year), offense, count and percent. Generated on the 1 st of each month. Data would be available for Research Unit for further reporting and analysis.	
3.2 Gang Affiliation Member Download (CR4016)	- Please Select One Option -

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<p>Download inmates who have gang affiliations. Two files are created: one with inmate whose town of residence in CT and the other one with inmates whose town of residence is out of Connecticut State. The information in the files includes inmate number, inmate name, address, offense, date of birth, race, gang affiliation and facility name. Generated on the 1st of each month. These files would be sent to staff at Connecticut Intelligence Center.</p>	
<p>3.3 Count number of Disciplinary Reports by Facility (CR4017)</p>	<p>- Please Select One Option -</p>
<p>Download number of Disciplinary Reports occurred in the facilities during a month by facility, month and disciplinary offense. The information in the file includes facility name, disciplinary hearing date (month and year), disciplinary offense and counts. Generated on 1st of each month. Data would be sent to Operation unit for further reporting and analysis.</p>	
<p>3.4 Count number of Disciplinary Disposition by Facility (CR4017)</p>	<p>- Please Select One Option -</p>
<p>Download number of disciplinary disposition occurred in the facilities during a month by facility, month and disciplinary disposition. The information in the file includes facility, disciplinary hearing date (month, year), disciplinary disposition and count. Generated on 1st of each month. Data would be sent to Operation unit for further reporting and analysis.</p>	
<p>3.5 Supervised inmates Download for website and FOI (CR4018)</p>	<p>- Please Select One Option -</p>
<p>Download supervised inmates' information to be used for CTDOC internet site. The download should exclude youthful offender, ICE (US Immigration and Customs Enforcement) inmate and some high profile inmates defined as needed. The information in the file includes inmate number, date of birth, latest admission date, bond amount, detainer type, location, offense, last name, first name, date of sentence, minimum length of sentence (years, month and days), maximum length of sentence (years, months, days), minimum release date, maximum release date, estimated release date, legal status, inmate full name, special parole date and jurisdiction. Generated on daily bases. Data is FTP to Department of Information Technology database server to be used for inmate search on the Internet. This download is also used to fulfill FOI (Freedom of Information) request.</p>	

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<p>3.6 Incarcerated Inmates Download for Judicial Court Support Services (CAPIAS) and Department of Social Services (SAS-CR4018)</p>	<p>- Please Select One Option -</p>
<p>Download incarcerated inmates excluding youthful offender for both Judicial Court Support unit and Department of Social Services. The download information in the file includes social security number, inmate number, inmate name, street address, resident of town, resident of state, zip code, maximum release date, facility, offense date, offense, length of sentence in years, legal status, latest admission date, date of birth, eye color, hair color, race, gender, height in foot, height in inches, weight, vote to parole date, probation indicator, special parole date, transitional supervision hold date and halfway house hold date. Generated on daily bases. Data is FTP to file server at Court Support under Judicial Branch.</p>	
<p>3.7 Docket Information of Incarcerated Inmates for Judicial Court Support Services (CAPIAS) and Department of Social Services (CR4018)</p>	<p>- Please Select One Option -</p>
<p>Daily download docket information for incarcerated inmates excluding youthful offender for Judicial Court Support unit and Department of Social Services. The information includes social security number, inmate number and docket number. Generated on daily bases. Data is FTP to file server at Court Support under Judicial Branch.</p>	
<p>3.8 New admissions (CR4028)</p>	<p>- Please Select One Option -</p>
<p>Download newly admitted inmates in previous month to Department of Administrative Services on the 7th of month. The information includes inmate name, inmate number, date of birth, facility and social security number. Currently, DAS has granted right to read this file from mainframe.</p>	
<p>3.9 Community Releases for Non-CT Residents (CR4028)</p>	<p>- Please Select One Option -</p>
<p>Download inmates who are released to community with non-CT address. Download on the 7th of the month. The information includes inmate number, inmate name, street address, town of residence, state, offense, date of birth, social security number, gang affiliation, movement code and movement date. File is email to staff at NESPIN (New England State Police Information Network) of RISS (Regional Information Sharing Systems)</p>	
<p>3.10 Previous Month Community Releases and Discharges (CR4028)</p>	<p>- Please Select One Option -</p>

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<p>Download inmates who are released to community or discharged in previous month. Download on the 7th of the month. The information includes inmate number, inmate name, street address, town of residence, state, offense, date of birth, social security number, gang affiliation, last movement code, last movement date, race, facility moved from, jurisdiction belongs to, overall score and probation/special parole indication. File is email to staff at NESPIN (New England State Police Information Network) of RISS (Regional Information Sharing Systems)</p>	
<p>3.11 Special Education (CR4030)</p>	<p>- Please Select One Option -</p>
<p>Download age under 21 inmates with education needs score is greater than 1 and exclude with education needs score of 2 and with verified education sub code. The list is sorted by inmate name. The information includes inmate name, date of birth, facility and inmate number. Generated on the 1st of each month.</p>	
<p>3.12 Downloads for Legislative Research Unit (CR4030)</p>	<p>- Please Select One Option -</p>
<p>Download all controlling dockets information for current supervised inmates. Information includes download data, offense, sex, age, race, location, total number of DR tickets, gang, parole disposition, 85% indicator, jurisdiction, probation indicator, bond amount, type of bond, victim notification, facility, offense category, offense class, maximum terms, minimum terms, suspended terms, sentence type, escape risk score, violent risk score, severity risk score, length risk score, detainer risk score, overall risk score, disciplinary risk score, security risk group risk score, medical needs score, medical sub code, mental health need score, mental health sub code, education needs score, education sub code, vocation needs score, vocation sub code, alcohol and drug needs score, alcohol and drug sub code, sexual treatment needs score, community resources need score and legal status. Generated on the 1st of each month.</p>	
<p>3.13 Offense Downloads for Legislative Research Unit (CR4030)</p>	<p>- Please Select One Option -</p>
<p>Download all offenses information for active dockets for current supervised inmates. Information includes download date, offense, offense type and offense class. Generated on the 1st of each month.</p>	

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<p>3.14 Reactivate Felony Inmates' Electoral Privilege For Discharged Inmates (CR4030)</p>	<p>- Please Select One Option -</p>
<p>Download sentenced felony inmates discharged last month. Generated on the 1st of each month. Information includes inmate number, inmate name, date of birth, street address, town of residence, offense, movement date and sentence date.</p>	
<p>3.15 Revoke Felony Inmates' Electoral Privilege For Discharged Inmates (CR4030)</p>	<p>- Please Select One Option -</p>
<p>Download felony inmates sentenced last month. Generated on the 1st of each month. Information includes inmate number, inmate name, date of birth, street address, town of residence, offense, movement date and sentence date.</p>	
<p>3.16 Sentence Inmates with Probation To Follow (CR4032)</p>	<p>- Please Select One Option -</p>
<p>Download sentenced inmates will be discharged within 90 days from facility or community with probation to follow. The information includes inmate number, facility code, facility name, inmate name, legal status, social security number, maximum release date, total effective terms (years, months, days), date of birth, offense, offense name, docket number, education needs score, vocational needs score, mental health score, medical needs score, alcohol and drug score, sexual treatment score, violent score, security risk group score, escape score, total number of disciplinary tickets, overall risk score, veteran indicator and DNA swab date. Generated on the 1st and 16th of each month. File is FTP to Probation (CSSD).</p>	
<p>3.17 Sentenced Inmates with Probation To Follow DNA Swabbed Within 15 days (CR4032)</p>	<p>- Please Select One Option -</p>
<p>Download sentenced inmates will be discharged within 90 days from facility or community with probation to follow and DNA swabbed within last 15 days. The information includes inmate number, docket number, maximum release date, inmate name, date of birth, social security number, DNA swabbed date, FBI number and SPBI number. Generated on the 1st and 16th of each month. File is FTP to Probation (CSSD).</p>	
<p>3.18 Sentenced CT DOC Inmates Incarceration Periods (CR4033)</p>	<p>- Please Select One Option -</p>

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Download sentenced inmates all incarcerated periods of time. Information includes inmate name, social security number, move to facility date, move out of facility date, address, incarcerated facility, inmate number and date of birth. Generated on Mondays. File is FTP to Department of Labor (DOL).	
3.19 Drug Inmates Download for FAA	- Please Select One Option -
Identified inmates received drug sentences during the reporting period. The information includes header record and detail record. The header record includes data creation date (yyyymmdd), agency name and data description (Connecticut Department of Correction). The detail information includes social security number, name (last name, first name, name suffix), date of birth, FBI number, court of jurisdiction, SPBI, docket number, most serious drug crimes. Generated each quarter. FTP to FAA secured site.	
3.20 Daily movement Changes to MCI (CR420618)	- Please Select One Option -
Download any movement added or changed to a file. The information includes inmate number, facility moved from and facility moved to. Generated daily. FTP to MCI.	
3.21 Daily Discharges Download for Court Support Services (CR420618)	- Please Select One Option -
Daily download discharged inmate. The information includes inmate number, inmate name, social security number, date of birth, location moved to code, location moved to translation, gender, movement code, movement translation, legal status and latest system admission date. Generated daily and FTP to Court Support Services.	
3.22 Identify Confined Inmates for Social Security Administration	- Please Select One Option -
Download inmates currently confined in CT DOC. The information includes social security number, inmate name, date of birth, confinement date and facility code. Generated monthly. Upload to SSA website.	
3.23 Released Inmates	- Please Select One Option -
Download inmates released during previous month. The information includes release date, movement code (from), movement code (to), town of residence. The file is sorted by release date. Generated on 1 st of each month and sent to Office Fiscal Analysis.	
Vendor Comments:	

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