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**June 6, 2014**

**ADDENDUM # 1**

Request for Proposal for Furnishing of all Labor and Materials Necessary and Required for an “Investigative Case Management System”  
PIN 072201443MIS

Dear Prospective Bidder:

Pursuant to §3-02(i) of the Procurement Policy Board (PPB) Rules, the Department Correction (DOC) is issuing Addendum # 1 to the solicitation for “Investigative Case Management System” PIN 072201443MIS.

**PROPOSAL DUE DATE**

Please be advised that the Proposal Due Date for the above referenced procurement has been extended to **July 1, 2014 at 11:00AM**

**DEADLINE FOR CLARIFICATIONS**

The deadline for questions and/or clarifications is **June 24, 2014** at close of business. The Department will endeavor to answer any questions received after this date, but there may not be sufficient time for replies to be received before the bid due date.

**ATTACHMENTS**

Please see attached DOC IT Overview document.

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**QUESTIONS**

1. Is DOC IT responsible for infrastructure builds (Network, Storage, Server/VM, OS, Database)?

**Response:**

DOC IT will be responsible for server and VM builds, storage and the maintenance of these including the operating system. It is assumed that the system will reside on the DOC private network. The database and its build should be part of the system solution.

2. Technical requirement 11 / 3.0, 3.1, 3.2, 16 / 1.0, 21 / 2.2 refer to DOC standards. Are these technical, development, architecture, database, and XML standards available to the bidders? They may be helpful in preparing the bid response.

**Response:**

The document describing current DOC architecture and standards is attached.

3. Technical requirement 11 / 1.1. Hoes does DOC utilize / conform to GRA today? How does DOC envision this system utilizing GRA?

**Response:**

The GRA mission is to enhance justice and public safety through a service-oriented approach to information sharing. DOC currently uses web services to share information with sister agencies and public-facing applications. It is assumed that the system solution will enable extraction of data to web services.

4. Technical requirement 11 / 7.0 What are the DOC strategic objectives?

**Response:**

The DOC strategic objectives of public safety now and public safety later are supported by the DOC IT objective of sharing information within the agency, with other agencies and with the public using a service-oriented approach.

5. Technical requirement 11 / 8.0. Define operate. What does this mean and is there information about these IDs?

**Response:**

Employees, inmates and visitors have unique reference numbers that enable integration across applications. The format for these will be shared as part of system implementation.

6. Do any of the systems identified in the Interfaces tab conform to / utilize NIEM, GJXDM, or IEPDs? Do any of these systems have IEPDs published in the clearinghouse?

**Response:**

No and no.

7. Technical requirement 21 What are the specifications of the current web services and what documentation can be shared with bidders to aide in the bid response?

**Response:**

The Inmate Web Service (IWS) and the Employee Web Service (EWS) each contain data elements related to inmates and employees respectively. The new system must be capable of ingesting and displaying these elements. Formats will be provided during system implementation.

8. Please clarify the extent of migration required for Time Matters. There are two rows in the spreadsheet and one has no comments. What exactly is required from Time Matters?

**Response:**

For the Legal Division the new system must migrate plaintiff, defendant and case data as well as attorneys assigned. For EEO, the new system must migrate EEO cases, complainant and respondent information.

9. For all data migrations - are these one-time batch feeds or are ongoing updates required?

**Response:**

Data migrations will be one time.

10. For all data migrations - there seems to be a risk of data redundancy and data quality issues. Has the DOC performed any data validation / data quality analysis, and if so, can it be shared with the bidders?

**Response:**

Validation has not been done.

11. Please clarify the extent of migration required for OLRMS - Office of Labor Relations Management System.

**Response:**

For OLRMS the new system must migrate case data (including charge and class), grievant data and managerial review information.

12. Confirm that there is no migration from MS Outlook (row 8)

**Response:**

Not included.

13. Confirm that MOC Number Database can be used as a reference / lookup and no migration is required. If a migration is required, please clarify

**Response:**

It will be used as a reference table.

14. Confirm that row 10, media files, is a reference to the Genetec interface and that no migration is required.

**Response:**

Media files will be exported from source systems for input into the new system.

15. In addition to these questions, we would like to request a 3 week extension for completion of this RFP.

**Response:**

A two week extension, until July 1, will be granted.

16. The RFP states that the system should support 100 concurrent users, and expect to grow to 500 concurrent users.

- a. We still want to know what the break-down of that user base is - by group and by role (number of users per “type”).

**Response:**

This will be provided at the beginning of system implementation based on the solution chosen. It is anticipated that most users will have write/edit permission.

- b. Will users outside the network be accessing view only or full functionality by role?

**Response:**

There will be no users accessing the application outside of the network.

- c. Also, are all of these users in their LDAP (no non-DOC users)?

**Response:**

All users will have DOC network access.

17. Is DOC willing to consider a cloud based, or hybrid cloud/on-premises solution?

**Response:**

No.

18. The RFP mentions monitoring tools in Req ID 17.4.0 - what tools, and what does DOC need to monitor?

**Response:**

DOC monitors applications, servers, databases and file partitions using tools included in but not limited to the following: OpManager, HP SIM, VMware Interface and TreeSize.

19. Can DOC provide required presentation tier standards- reference in Req. ID 18.1.5?

**Response:**

See response to question 2.

20. Req. ID 15.2.0 -15.2.19 of the RFP dedicates a whole page to how this new system needs to be able to manage all kinds of files. Does DOC have a preferred content management platform (e.g., SharePoint) that we can integrate with?

**Response:**

No. There is no preferred platform.

21. Will there be additional security requirements dictated by the Equal Employment Office when incidents need to be able to be associated across agencies?

**Response:**

No data export to outside agencies will be handled by DOC.

22. Section III D of the RFP states this will be a 90 day maintenance period with no-cost support post implementation, with bug fixes, support and maintenance expected. Can DOC provide additional detail on post implementation support?

**Response:**

DOC requires severity 1 defects to be resolved during the maintenance period. Any other support requirements will be determined based on the solution.

23. How many of the required reports will need to be printed as per Section III.A Detailed Requirements RTM?

**Response:**

All reports will need to be accessed online with the ability to print.

24. Is there a case numbering format that needs to be maintained as per Detailed Requirements RTM? The data migration requirements mention the media files stored in the application Genetec.

**Response:**

The current case numbers are to be migrated and referenced in the new application.

- a. What is the expectation for these files during migration?

**Response:**

It is not expected that media files will be migrated

- b. Will they have to be mapped to cases?

**Response:**

The users will be responsible for exporting and uploading media relevant to cases.

- c. What is the taxonomy for storing these files? How extensive and well-defined is the taxonomy?

**Response:**

Media files are labeled by camera locations and users will export and upload relevant media.

25. What is the operating system of the network on which the media files are stored?

**Response:**

Media files are stored within the Genetec system and are exported and uploaded to network drives in Windows environment.

26. Is the expectation that the proposal also includes the provision of the software?

**Response:**

Proposals should include options for the provision of software.

27. Will the Department provide all the standards as specified in the IT requirements? For example; 11 3.0-3.1, 7.0: Conform to defined NYC DOC Technical Standards. Conform to defined NYC DOC Development Standards or industry best practices where DOC standards do not exist. Vendors will define the specific standards in the design phase. Conform to defined NYC DOC Technical Architecture or industry best practices where DOC standards do not exist. Vendors will define the specific standards in the design phase. Be implemented as a Web application utilizing technology consistent with DOC IT strategic objectives. And etc.

**Response:**

See response to question 2.

28. Does the Department have a preference for a Commercial off the Shelf solution (COTS) or custom developed?

**Response:**

No.

29. What desktop (clients) will be used by DOC staff to access the ICMS?

**Response:**

PCs operating on Windows OS.

30. Will the Department advise the number of defined (named) users – rather than just the approximate number of concurrent users? Requirement 22.2 states: Be able to support 100 concurrent users and will be scalable to handle a future total of 500 concurrent users, including the increased processing requirements, as well as increased data or linking requirements. Note: At the pre-proposal meeting, 50 concurrent was specified.

**Response:**

We anticipate a maximum of 500 users with 50 concurrent at project rollout and the ability to scale to 100 concurrent users.

31. Will the Department specify the planned NYC DOC resources for the project? For example, a project manager, subject matter experts, system administrator(s), IT resources for report writing, interface development, infrastructure support (DBA), trainers, and the like expressed as FTEs.

**Response:**

DOC will make IT staff and SMEs available as needed.

32. Will the Department consider performing some of the services themselves? For example, we would provide a fully documented, industry standard (Web Services) based API. The department, with appropriate technical expertise, could use the API to develop the interfaces and perform the conversions rather than a vendor provided service.

**Response:**

DOC might possibly design and develop reports in its Cognos environment. The vendor is expected to perform data conversions and data export.

33. Will the Department support an integrated ICMS content (document) management function that utilizes Windows File Servers (SAN)? Requirement 11.11.0 states: Have the ability to store and manage all documents attached and/or related to a case, within the existing DOC file share(s) and/or utilizing an external enterprise content management system.

**Response:**

DOC would consider this.

34. Will the Department clarify the scope of requirements analysis service? On Page 8, the RFP states:

- a. Requirements Validation and Analysis

**Response:**

The vendor is expected to review requirements, raise questions for clarification and be able to translate the requirements into technical specifications.

- b. Annotated Requirements Document

**Response:**

Technical specifications will be appended to the requirements document.

35. Will the Department advise the basis for expected project timeline? *On Page 14, the RFP states: As part of the proposal, demonstrate proposer's ability to provide a quality implementation in a timely manner by providing, a high level six to nine month work plan to implement the DOC ICMS solution that meets the requirements in RFP Appendix C.*

**Response:**

The project timeline is based on critical business needs.

36. Will the Department confirm their intent to deploy on-premise and consequently the Department is responsible for the infrastructure, performance, tools and the like to meet the stated requirements? *For example, requirements 17.1-3 (and others) state:*

- a. The solution, related software, and supporting hardware will be available for use 24 hours per day, 7 days per week, and 365 days per year.

**Response:**

Yes the application will be deployed on-premise.

- b. Provide 99.5% availability of servers for all environments to ensure a continuous operating environment exclusive of scheduled maintenance downtime. Any need for scheduled downtime will be explicitly noted.

**Response:**

DOC will be responsible for server maintenance.

- c. Be capable of back up and disaster recovery in a manner consistent with DOC requirements.

**Response:**

The solution has to enable DOC to perform backups and disaster recovery.

- 37. Will the Department provide any additional details regarding the conversions or interfaces? For example, please provide any database schema layouts for databases to be converted or any existing documentation and/or specifications for the web service interfaces listed (WSDLs, sample XSDs, etc.). The more details provided, the more precise we can be on cost (lower risk, lower cost).

**Response:**

DOC will assist with the export of data from T&L. Exports from Access and SQL are straight forward.

- 38. Will the Department provide any additional details regarding the NIEM 2.1 compliance of the current interfaces? For example: If the DOC has already created the Web Services listed in the list of interfaces, the web services will most likely already be producing/consuming some XML based on some existing XSD schema. If so, are the web services already using NIEM 2.1 conformant XML? If the web services are not NIEM 2.1 conformant, is the CIO planning on modifying existing exchanges to produce/consume NIEM 2.1 XML?

**Response:**

Not relevant to this project.

- 39. Will the Department advise if all reporting will be done by Cognos requiring all necessary data elements to be passed from the ICMS? Or will the Department require an embedded reporting tool as part of the ICMS for reporting independent of Cognos?

**Response:**

DOC is open to either an embedded reporting tool, an independent tool or a combination of the two. Options to be included in proposal.

Please sign below in acknowledgment of this addendum.

**\*Submit this addendum with your bid.**



Deputy Director

I Acknowledge Receipt of this Addendum.

\_\_\_\_\_  
Bidder/Company Name (Print)

\_\_\_\_\_  
Authorized Representative (Print Name)

\_\_\_\_\_  
Authorized Representative (Signature)

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Date



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## DOC Technical Environment

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### Current Environment

The following provides information on DOC's current technologies and standards:

#### Storage, Network, and Hardware

- DOC maintains three (3) datacenters located at headquarters, Rikers Island and downtown Manhattan locations. DOC's primary vendor of choice is EMC for storage. In 2012, DOC implemented VMware and has been migrating all current and new applications to the VMware platform.
- DOC primarily uses HP servers and has HP, Dual/Quad core G4-G7 servers with multiple CPU per core throughout its environment. HP DL 580's with four socket/10 CPU per socket are the primary servers that the VMware environment was built on. In addition, DOC uses IBM Blade Servers to support its Video Surveillance system.
- DOC uses all Cisco network infrastructure to support its LAN/WAN network connectivity. Cat5E Cabling is used throughout for Desktop Connectivity, with the exception of Headquarters, which has Cat6 installed. The DOC network consists of links as small as 1.54 MB, for very small sites and as high as 1 GB for larger sites. DOC maintains all the cable infrastructure on Rikers Island and primarily uses dark fiber to connect all main sites and offices. DOC is currently upgrading all the core switches at its Jails and major office facilities to new 4500's and 10 GB backbone.
- DOC uses Cisco's 4500E series switches in Primary Data Centers at Headquarters and Rikers.
- DOC produces Development, Test, and Production environments on a VMware platform.

#### Application and Database

- DOC maintains several legacy applications, which it is working to replace. These include Access, DOS, SuperBase, DBase, Clipper, and Paradox applications
- The current version of the Inmate Information System (IIS) is hosted on the latest version of the Open VMS Operating System. The IIS application is programmed in the ADMINS (Automated Data Methods for Information Naming Systems) 4GL (Fourth Generation language) programming language. The program runs on HP Itanium cluster hardware platform.
- DOC IT extracts IIS data into IBM's DB2 9.7 database to support a variety of Web services and interfaces with ancillary internal and public facing web applications. SQL Server is also used for some other interfacing applications.
- DOC also uses IBM's WebSphere 8.0 application servers to host the applications which are developed using Java. These applications use data extracted from IIS, Personnel, and FISA systems.

#### Operating System and Environments

- DOC uses a mixture of Windows and LINUX operating systems for various application servers. DOC maintains approximately 50 SUSE LINUX Ver. 9 & 11 based servers. In addition, DOC also maintains approximately 150 Windows based servers, version 2008



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### End User PCs/Desktops

- DOC has approximately 2,500 desktops running on Windows XP Professional Edition and Windows 7, Office 2007/2013, and Internet Explorer 8. DOC is currently migrating all staff to Windows 7.

### Development & Reporting Frameworks

- For development of custom applications DOC uses JAVA (JDK 1.5 & 1.6) with spring, jsf, richfaces and hibernate. For the development environment DOC uses Eclipse 3.4.2 as the IDE.
- DOC uses COGNOS version 10.2 for reporting and data analysis and SPSS for ad-hoc reporting and statistical analysis.

### Internal Applications

- DOC has numerous other applications that integrate and utilize data from the IIS. That data is obtained through various methods such as Web services, and FTP. The following outlines some of the key ancillary applications maintained by DOC in support of functionality that may not be fully supported by IIS alone:
  - IITS – Built in 2013, the Inmate Intake Tracking System (IITS) replaced the legacy Inmate Intake Monitoring System (IIMS) and is used to manage New Admissions and track Intake progress throughout the new admissions process. The system also serves as an interface for printing inmate ID's.
  - SRG – The Security Risk Group (SRG) application assists DOC in assessing an inmates' risk profile and helps identify possible affiliations with gangs and other risk groups.
  - ILS – Inmate lookup system that allows users to search and view inmate details such as inmate booking information, charges, warrants, and facility movements.
  - IRS – Incident Reporting System allows users to report any incident that occurred with the inmates, staff, visitors and others.
  - Visitor Express – This system enrolls and registers visitor/s and the inmates they visit for a given date.
  - 5AM Census – Inmate population tracking system stores inmate population data.
  - IFCOM – The Inmate Financial Commissary is used to manage inmate accounts including debits and credits posted to the inmate account as well as Commissary management information.
  - IPTS – Inmate Property Tracking System helps track inmate property obtained during the New Admissions/Intake process and tracked throughout the inmate's stay.
  - IPS – DOC is in the process of implementing a new Inmate Phone System (IPS) to provide phone services to inmates. The IPS is expected to replace the legacy inmate phone system, Advanced Inmate Call Monitoring Systems (AICMS), prior to the JMS implementation.
- DOC sends MQ messages to DOHMH for new admits, transfers, discharge events as well as update events using DOHMH MQ client
- DOC sends MQ messages to HRA for discharge events using HRA MQ client
- In addition to the legacy applications, IIS interfaces with numerous agencies and internal systems. There are approximately fifty (50) interfaces to and from IIS to other applications as well as other Agencies. DOC primarily uses FTP to transfer information between these systems.



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### Security

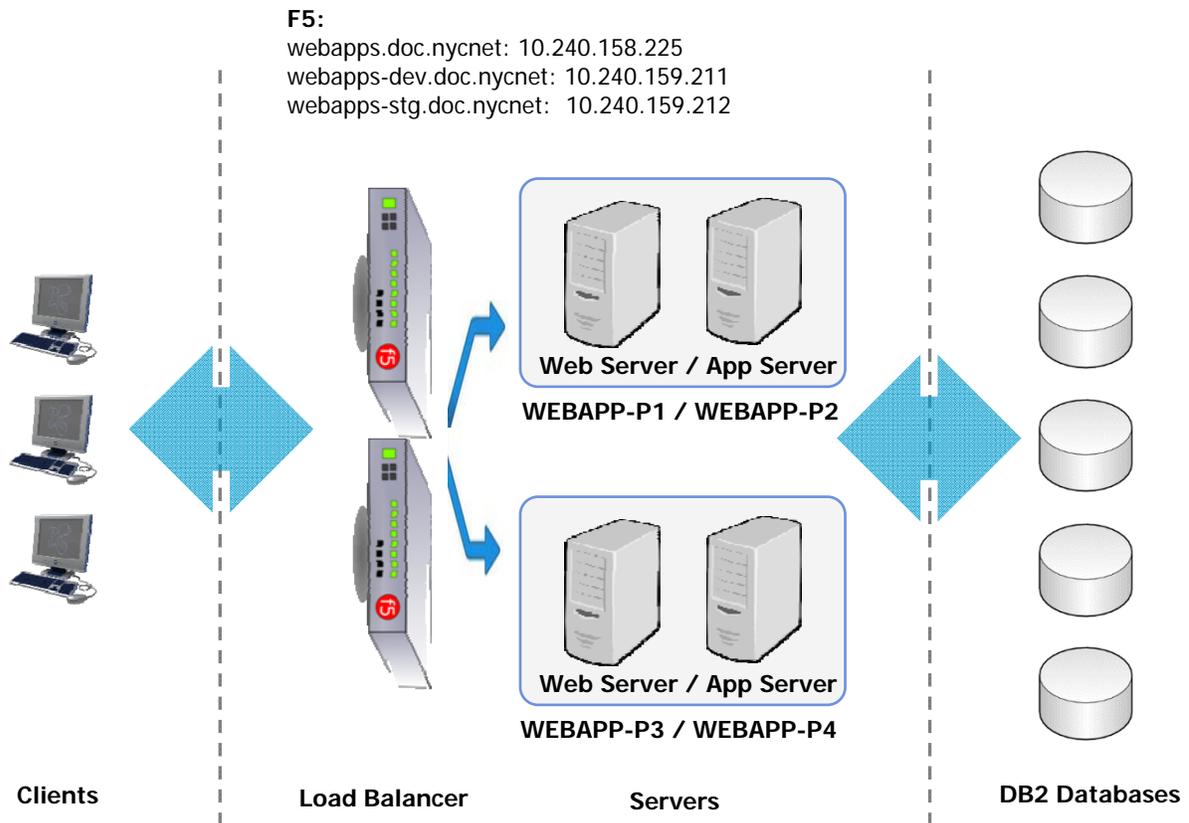
- Network user authentication is performed using the latest version of Microsoft Active Directory.
- IIS application security is maintained internally within IIS, which supports user authentication and role based security for access to specific screens, functions, and data within IIS.

### Application Development and Support Team

- The IT department at DOC has a diverse skill set. The team includes individuals with extensive experience in Java, LINUX, OpenVMS, and Windows based technologies as well as support staff dedicated to legacy applications. In addition, DOC has a team that is responsible for developing new applications, interfaces, and upgrading the current legacy applications to modern technologies.



# Application Environment



1.1. **Structural Overview** - Configuration and architecture of F5 with web servers/app servers F5 is used as load balancer to manage network traffic to applications deployed in clustered environment. Four WebSphere servers are divided into two clustered servers, each cluster configured with two WebSphere servers for failover to provide high availability and scalability.

- webapp-p1 and webapp-p2 are clustered together and all applications are deployed in this cluster
- webapp-p3 and webapp-p4 are clustered together and all web services are deployed in this cluster

## 1.2. User Requests

DOC users will access F5 URL that resides in Bulova. This will route the request to web servers based on the iRules defined in F5. Based on the iRules, users request are forwarded to an appropriate web servers / application server and then application servers complete the request.



# 1. Web Applications

## 1.1 Application Architecture Overview

Design of the application stack is based on 'Layers' or 'Tiers' architectural pattern. Each layer contains a number of discrete components which performs a specific type of task and this will help us to create a design that supports reusability of components and also helps us to maximize maintainability of the code.

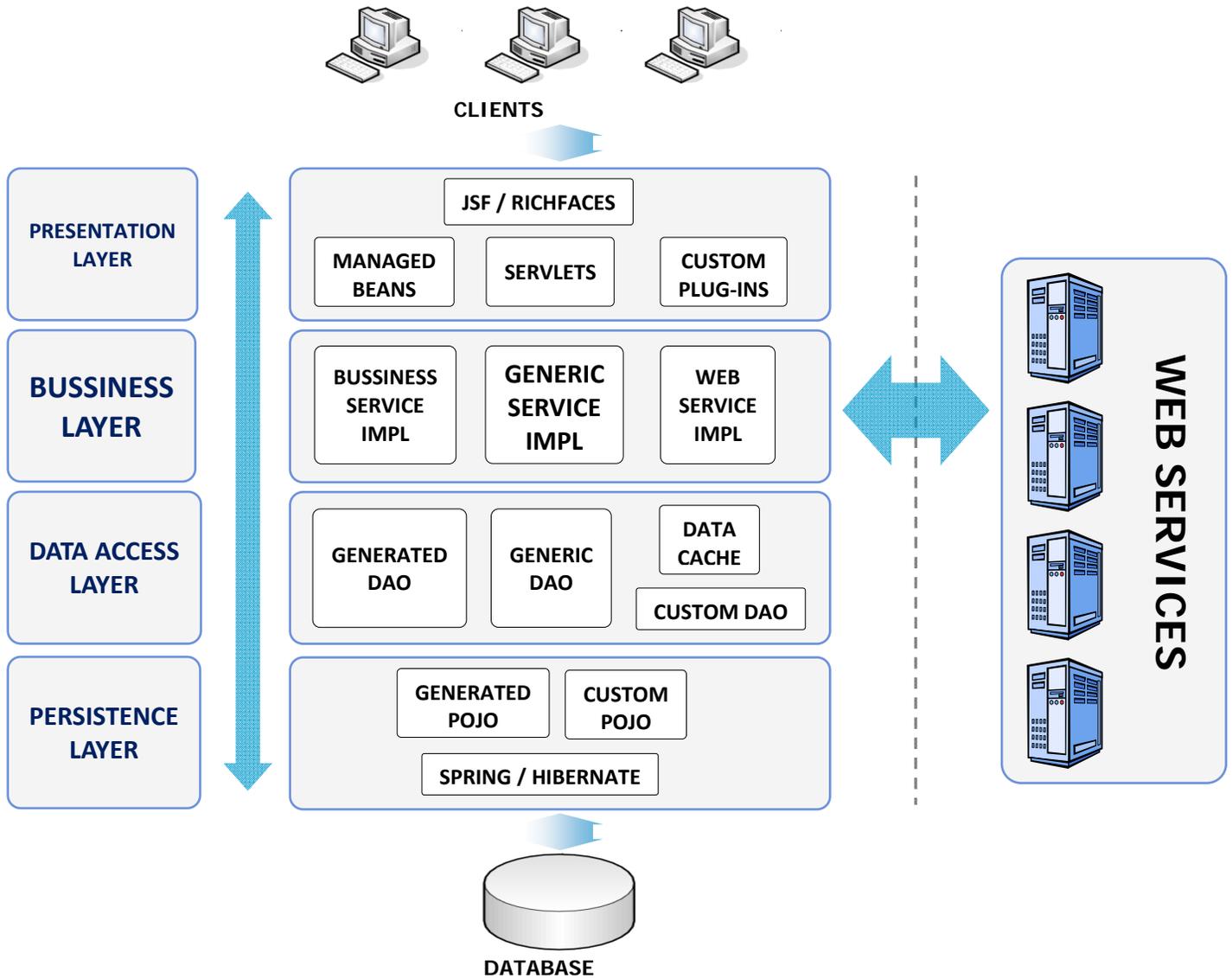


Figure 2



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## 1.2 Software Requirement

- JDK version: 1.6 with Eclipse as IDE
- Application server version:
  - For local development: Tomcat 6
  - For deployment: WebSphere 8
- Framework versions:
  - Spring: 3.1.1
  - Hibernate: 3.6.10
  - myfaces: 1.2.11 / jsf-facelets: 1.1.15 / richfaces: 3.3.3

## 1.3 Presentation Layer

These are the user-oriented layer responsible for managing user interaction with the system.

- jsf-facelets framework is used to provide template-like structure and also allow us to create reusable UI components which could provide standard looks-and-feel.
- myfaces and richfaces are used to design rich internet application (RIA).
- In UI, all date fields need to be displayed in MM/dd/yyyy format.
- All labels and data entered in UI should be in uppercase.
- All messages namely error, informational messages need to be upper/lower case.

## 1.4 Business Layer

These components implement the business logic of the application.

- Generic service impl components provides common operations, such as SAVE and UPDATE to persistent storages, for accessing Data Access Layer. Also provides transparent encryption/decryption modules. These components are packaged in doabase-xxx.jar.
- Web service impl components provides common APIs for communicating with other back-end systems, such as web services, deployed in DOC intranet.

## 1.5 Data Access Layer

Components in this layer provide access to data that is hosted within the boundaries of the system and data exposed by other back-end systems using caching mechanism.

- Generic DAO provides common APIs used by components in generic service impl layer and they are also packaged in doabase-xxx.jar
- Data cache provides common operations for caching data from code web service and configuration file within the system. Also provides refreshing the cached data for any changes made in code web service.

## 1.6 Persistent Layer

ORM related objects which are generated using reverse engineering tools are stored in this layer. These auto generated objects should not be modified. If some



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modification is required, need to create custom object or extend the auto generated object from a custom object.

- HBM and Hibernate entity classes are stored in this layer

### 1.7 **Configuration package**

This package contains configuration related files, such as config.properties file, which are specific to the deployment environment. Generally this layer will have three different configuration settings: Development, Staging (QA) and Production.



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### 2. Deployment

#### 2.1 Maven

For deployment process, maven is used to build WAR file for specific environment. Using maven tool provide the consistency of packing application for deployment. In other word, if someone can build an application for deployment from his/her machine using maven, anyone can repeat the build process. It also takes care of dependency management for us and provides minimal configuration for building application artifacts.

- Packaging application for specific environment by specifying an option [-D]
- Ex) Development: `mvn -Ddev clean install`