



NEW YORK CITY DEPARTMENT OF CORRECTION

Cynthia Brann, Commissioner

Ava B. Rice, Assistant Commissioner

Contracts and Procurement

Agency Chief Contracting Officer

75-20 Astoria Boulevard, Suite 160

East Elmhurst, NY 11370

Office: 718 546-0690

Fax: 718 278-6205

June 12, 2020

**ADDENDUM No. 1 to EPIN: 07219N001**  
**INVESTIGATIVE CASE MANAGEMENT**

Dear Prospective Bidder:

Pursuant to section §3-04 of the Procurement Policy Board (PPB) Rules, the Department of Correction (DOC) is issuing Addendum No. 1 to address questions submitted by potential vendors in relation to the procurement referenced above.

**Please be advised of the following clarification:**

**Question No. 1:** Due to COVID-19, our office is currently closed and working remotely. Therefore, we respectfully request may the Expression of Interest be submitted via email to the POC rather than via hard copy?

**Answer No. 1:** *The Expression of Interest can be submitted via email to the POC rather than via hard copy.*

**Question No. 2:** Can vendors conduct preliminary JAD sessions to walk through the Phase II functionality in more detail prior to submitting pricing and/or filling out Attachment E?

**Answer No. 2:** *No, this is not an option for this project.*

**Question No. 3:** There is no reference to Attachment E: CMS Phase II Payment Structure in the body of the Intent to Negotiate. Is the procurement office expecting this to be filled out as part of this Intent to Negotiate, or is this attachment meant to describe how the forthcoming contract line items would be structured?

**Answer No. 3:** *Attachment E and instructions on its use are referenced in both the CMS Phase II Payment Structure section and Expression of Interest Content & Instructions, subsection D – Price Proposal. Please see attached for additional details*

**Question No. 4:** Would Attachment E, if it should be submitted, be included in the encouraged 7 page limit, or beyond that limit? Should the attachment be provided as a separate volume, as is typical for RFP responses?

**Answer No. 4:** *The solicitation has been revised to omit the page limit. See attached for additional details.*

**Question No. 5:** Can the City explain the contract type it is looking to award for this effort. Fixed Price/T&M?

**Answer No. 5:** *Expression of Interest Content & Instructions, subsection D – Price Proposal states: Provide a firm fixed bid, using the provided Attachment E - CMS Phase II Payment Structure attachment. See attached for additional details.*

**Question No. 6:** How does the City intend to account for any deviations from the current SOW?

**Answer No. 6:** *As noted in Attachment D CMS Phase II Implementation Services Acceptance Criteria, the first section of the required Project Plan is Scope Management. DOC requires this section to include an agreed upon formal, structured Change Management Plan.*

**Question No. 7:** What are the Security requirements?

**Answer No. 7:** *Security requirements are delineated in the Technical Requirements section of Attachment A - CMS Phase II Functional and Technical Requirements.*

**Question No. 8:** Can the City provide us with the applicable Terms and Conditions for review if an award were to be made based on the response to this “intent to Negotiate?”

**Answer No. 8:** *After the agency has concluded the evaluation of proposals, the applicable Terms and Conditions will be given to the highest ranked vendor.*

**Question No. 9:** Can you provide the name of the vendor who implemented Phase I UOF Functionality?

**Answer No. 9:** *The software platform is described in the Project Background section.*

**Question No. 10:** Is this vendor precluded from bidding on this solicitation (Phase II Non-UOF Functionality)?

**Answer No. 10:** *This procurement is open to all qualified vendors.*

**Question No. 11:** Would the selected vendor need to have pricing ready for the next step in the procurement to proceed? Should we fill out that pricing sheet with our expression of interest, or would some other type of statement about costs suffice?

***Answer No. 11: Please follow the instructions in the Expression of Interest Content & Instructions, subsection D – Price Proposal which states: Provide a firm fixed bid, using the provided Attachment E - CMS Phase II Payment Structure attachment. Clearly state all pricing assumptions.***

**Please note: No further questions will be accepted at this time.**

Please submit your bids to:

Keshia Wyllie  
NYC Department of Correction  
75-20 Astoria Boulevard, Suite 160  
East Elmhurst, NY 11370

Please sign below in acknowledgment of this addendum and submit this addendum with your bid.

\_\_\_\_\_  
Agency Chief Contracting Officer

**I acknowledge receipt of this addendum.**

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

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

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

\_\_\_\_\_  
**Date**



## Notice of Intent to Negotiate

### Investigative Case Management System EPIN: 07219N001 PIN: 072201933ITS

#### **Basic Information**

<b>Expression of Interest Due Date</b>	<b>June 24, 2020</b>
<b>Agency Contact Person</b>	Keshia Wyllie, <a href="mailto:Keshia.Wyllie@doc.nyc.gov">Keshia.Wyllie@doc.nyc.gov</a>
<b>Expression of Interest Instructions</b>	If your organization is interested in being considered for award, please send an expression of interest addressed to DOC Central Office of Procurement Attention: Ms. Keshia Wyllie at 75-20 Astoria Boulevard, Suite 160, East Elmhurst, NY 11370.
<b>Anticipated Contract Term</b>	It is anticipated that the term of the contract awarded from this solicitation will be three (3) years with one two-year renewal option.
<b>Anticipated Number Contracts</b>	1
<b>Anticipated Funding</b>	The budget for Implementation Services is \$13,461,697. The total budget for five years of on-going maintenance and support is \$3,148,912. The available funds for ongoing maintenance and support vary by year based on number of licenses.
<b>Payment Structure</b>	The payment structure will enable the selected candidate to invoice upon DOC acceptance of deliverables and implementation services and on a yearly basis for on-going maintenance and support.

#### **Project Background**

The New York City Department of Correction (“DOC” or the “Department”) is responsible for an average daily inmate population of approximately 5,400. To support the mission of care and custody, DOC currently employs 10,282 uniform and 2,013 civilian staff.

To carry out various types of casework as part of the DOC responsibilities, DOC needed a department-wide, Case Management System (CMS). The DOC CMS application is a multi-phase project consisting of the in-place CMS Phase I, and the purpose of this solicitation, CMS Phase II. The already in-place, CMS Phase I allows the Department to track all Use of Force (UOF) incidents, various types of investigations, and all related legal casework on UOF incidents. CMS Phase I was deployed in December 2017 using the MicroPact entellitrak Business Process Management (MicroPact entellitrak) platform.

For CMS Phase II, the Department expects the selected vendor to:

1. Develop and execute CMS Phase II using the MicroPact entellitrak platform. CMS Phase II functionality includes:
  - a. All non-UOF incident case/process types and variety of other non-incident related case/process types.
  - b. Updates to the existing UOF CMS functionality as described herein to ensure full compliance to the Nunez Consent Judgement.
2. Provide on-going maintenance and support to the CMS application.

### **Scope of Work**

The CMS application in its entirety must meet the general needs set forth below. Excluding the yet-to-be implemented Analytics module, the existing CMS Phase I currently meets the following needs for the UOF functionality:

- **Case Initiation** – The CMS must enable the intake of case information to initiate a case record in the CMS.
- **Case Processing** – The CMS must enable the processing of case information including case processing workflow in the CMS.
- **Case Workload Management** – The CMS must enable the management, approval and tracking of cases as well as workload management of the division staff working on cases in the CMS.
- **Records/Content Management** – The CMS must enable the records/content management of case records in the CMS.
- **Closure/Disposition** – The CMS must enable the closure or posting the disposition of case information to the CMS to close or update the status of a case record.
- **Analytics/Reporting** – The CMS must provide tools for conducting queries or searching of the CMS, getting management or other reporting, as well as conducting overall analytics of the data in the CMS.
- **Notifications/Correspondence** – The CMS must provide a means for user-configured and system-generated notifications, and for generating letters and other forms of user-configured documents from within the CMS.
- **Permissions/Data Access** – The CMS must enable establishing role-based user authorizations as well as division authorizations for access to data within the CMS.

### **CMS Phase I Overview**

CMS Phase I replaced a variety of DOC legacy systems and manual processes previously used by DOC for UOF case management processes as described below.

**Phase I Divisions:** Currently, 1840 DOC users from the following five divisions use the CMS Phase I application:

- Facilities
- Investigations Division (ID)
- Trials & Litigation Division (Trials)
- Office of Administration (COA)
- Office of the General Counsel (Legal)

**Phase I Functionality:** DOC currently uses the CMS Phase I application to capture all case-related information related to:

- UOF Incidents
- UOF Preliminary Review
- UOF-related Full ID Investigations
- UOF-related Facility Investigations
- Trials and Litigation of UOF-related cases
- UOF-related Memorandum of Complaints (MOCs)
- All Department Command Disciplines (CDs)

**Phase I Processes:** CMS Phase I included the following 8 case/process types:

- UOF Initial Incident Capture via a “near real time” interface with the DOC Incident Reporting System (IRS)
- UOF Preliminary Review
- UOF Full ID Investigation
- UOF Facilities Investigation
- UOF MOCs
- All department CDs
- Trials UOF Casework through Closing
- ID Takeover of UOF Investigations (from Facilities)

### **CMS Phase II Overview**

**Phase II Divisions:** Phase II includes the existing 1840 Phase II users across the 5 divisions noted above, as well as an additional total (i.e., non concurrent) ~350 DOC users<sup>1</sup> from the following divisions:

- Equal Employment Opportunity Office (EEO)
- Office of Labor Relations (OLR)
- Health Management Division (HMD)

**Phase II Functionality:** DOC will use the CMS Phase II to capture:

- Non-UOF Incidents
- Non-UOF-related Full ID Investigations
- Non-UOF-related Facility Investigations
- Trials and Litigation of non UOF-related cases
- Non-UOF-related Memorandum of Complaints (MOCs)
- All case work for the DOC Legal Division
- All DOC and Federal EEO casework
- All DOC Office of Labor Relations casework
- All DOC Health Management Division casework
- All noted UOF Updates

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<sup>1</sup> This increase in total users is not expected to increase the number of needed concurrent users, though a potential increase in concurrent users has been accounted for in this solicitation.

- UOF 5003 Monitoring needs
- An Outlook email plug in to allow attorneys to save emails directly to cases in CMS

**Phase II Processes:** CMS Phase II will include the following 44 case/process types, cross-referenced to the eight involved divisions:

**CMS Phase II Case/Process Type Summary**

#	Case/Process Type	Facilities	ID	Trials	Legal	COA	EEO	OLR	HMD
<b>Non UOF Facility Functionality</b>									
1	Non UOF Initial Incident Capture	x	x		x				
2	Non UOF Facilities Investigation	x	x	x	x				
3	Non UOD MOCs	x	x	x	x	x			
4	PDR tracking		x			x			
5	UOF Monitoring - 5003 Counseling	x			x	x			
6	Employee Service Report (Form 22R) Process			x		x			x
<b>PREA and Remaining ID functionality</b>									
7	PREA Investigation	x	x	x	x				
8	Other Non-Use of Force Full ID Investigation	x	x	x	x				x
9	Case Call-out Investigation		x	x	x				
10	3-1-1 Complaints		x	x	x				
11	DOI Referral		x	x	x				
12	Non UOF ID Takeover		x	x	x				
13	Legal Aid calls		x	x	x				
14	Review/take-over of Facility Investigation/Youth		x	x	x				
<b>Remaining Trials functionality</b>									
15	Trials Forms and Letters			x	x				
16	Confidential Investigations			x	x				
17	Drug Test Failure Investigation			x	x				
18	Non-Disciplinary Medical Separation Investigations			x	x				x
19	Civilian Investigations			x	x				
<b>Remaining COA functionality</b>									
20	Firearms Review Board Findings Tracking					x			
21	Good Guy Letters Process	x				x			
22	Clearances process	x		x		x		x	
23	Suspensions and Modifications tracking			x		x			x

(continued)

**CMS Phase II Case/Process Type Summary (continued)**

#	Case/Process Type	Facilities	ID	Trials	Legal	COA	EEO	OLR	HMD
<b>Legal functionality</b>									
24	Lawsuits				x				
25	Subpoenas				x				
26	Freedom of Information Law (FOIL)				x				
27	Comptroller Claims				x				
28	Inmate Summonses				x				
29	Correspondence				x				
<b>OLR functionality</b>									
30	Disciplinary Investigations							x	
31	Grievances Investigations							x	
32	Improper Practices Investigations							x	
33	Accretion Petition							x	
34	Other (Inquiries, Informal, etc.)							x	
<b>EEO functionality</b>									
35	Internal/Discrimination Complaints Investigation						x		
36	Conflict Resolution						x		
37	Reasonable Accommodation Requests Process						x		x
38	Post, Vacancies and Disputes						x		
39	Tracking externally filed complaints						x		
40	General Inquiries						x		
<b>HMD functionality</b>									
41	Violation of Sick Leave Investigations		x				x		x
42	AWOL Investigations		x				x		x
43	Medical Incompetence Investigation		x						x
44	Worker's Comp Investigation		x						x

**CMS Phase II Tasks**

The Department expects the selected vendor perform the following tasks to accomplish the goals of this procurement:

- A. CMS Phase II System Requirements and Implementation Services** The following three sets of specifications delineate the CMS Phase II minimum functional and technical requirements:
- 1. Functional and Technical Requirements.** Functional and Technical Requirements for implementation of the above-noted 44 case/process types as well as the complete set of UOF updates are listed in [Attachment A - CMS Phase II Functional and Technical Requirements](#). The Phase II Requirements consist of five system components – Functional, Technical, Forms, Interfaces, and Data Migration.
  - 2. UOF Updates.** The UOF updates include the 73 UOF change requests, the Outlook plug-in, and the requirements elaboration of the UOF Monitoring needs<sup>2</sup> noted in [Attachment B - CMS Phase II UOF Updates](#) and [Attachment C - CMS Phase II UOF Monitoring Needs](#).

<sup>2</sup> Implementation of UOF Monitoring needs is included as case type #5 in the list of 44 case types.



3. ***CMS Phase II Implementation Services.*** The following table summarizes the Implementation Services, tasks and associated deliverables the contractor must perform during the project. [Attachment D - CMS Phase II Implementation Deliverables Acceptance Criteria](#) details the acceptance criteria for needed services and documentation. The contractor must employ the implementation services described below for all 44 case/process types as well as the complete set of UOF updates, elaboration and implementation of the UOF 5003 Monitoring needs, and the Outlook plug-in.

**CMS Phase II Implementation Services**

Task	Task Description	Deliverables
<b>Analysis &amp; Design</b>		
Task 1	Project Management and Implementation Approach	1. Project Plan 2. Project Timeline
Task 2	Requirements Specification Document	1. Requirements Validation and Analysis (JAD sessions) 2. Annotated Requirements Document
Task 3	Data Migration Approach	1. Detailed Outline (by data source) of how data will be migrated and validated
Task 4	System Interface Approach	1. Description of how system interfaces will be built and tested
<b>Build</b>		
Task 5	Design and Configuration and/or Customization	1. Design and/or Configured and Customized Base Software 2. Configuration Report 3. Database and ETL design and development 4. Reports Design and Development
Task 6	Data Migration	1. Data Migration 2. Validated migration results and reports
Task 7	Interface Development	1. Interface Design and Development 2. Interface Test and Results
Task 8	Testing	1. Integration Test and Results 2. Regression Test and Results 3. Performance Test and Results 4. Acceptance Test and Results
<b>Delivery</b>		
Task 9	System Descriptions	1. Technical/Operational Descriptions 2. Runbook
Task 10	Training	1. Description of Training Approach 2. Customized Product Technical/Operational Training 3. Customized Product Functional Training
Task 11	Deployment/Go-Live	1. Go-Live Checklist 2. Rollout to Production Approach Description 3. CMS Production Deployment

**B. Initial Concurrent User Licenses for up to 30 (Potential) Additional Users**

By the conclusion of the Phase II implementation effort, DOC may need an additional 30 concurrent user licenses for the following entellitrak modules: Base entellitrak software, Document Management, Report Builder, Help Module, eScan Module, and Analytics Module. Per user costs for up to additional 30 concurrent licenses must be included in the response to this solicitation as optional costs, with the option to be exercised at DOC's request only.

DOC currently has 400 concurrent user licenses for the above noted entellitrak modules. The bidder should not include any costs for these existing 400 licenses.

**C. CMS Annual Maintenance and Support**

The vendor shall provide maintenance and support at the start of the CMS Phase II implementation for 400 concurrent users for the following: Base entellitrak software, Document Management, Report Builder, Help Module, eScan Module, and Analytics Module.

Should DOC need additional concurrent user licenses (Section B, above), DOC will increase the annual maintenance and support to include a surplus of up to 30 licenses.

**CMS Phase II Payment Structure**

Bidders must indicate the cost of the following items with payment upon signed off acceptance by DOC using the provided **Attachment E - CMS Phase II Payment Structure** attachment.

**CMS Solution Payment Structure**

<b>Phase II - Non UOF Functionality</b>	<b>Qty</b>	<b>Cost per item</b>	<b>Total</b>
Cost per case type, to analyze, design, configure, customize, test and deploy to production, the 44 case/process types	44	Provide line item costs per case/process type	
Cost per deliverable for each of the 26 SW Implementation Services Tasks and Documents	26	Provide line item costs per task/document	
<b>Subtotal for Non UOF Functionality</b>			
<b>Phase II - UOF Updates</b>		<b>Per item</b>	
Cost to implement the 73 UOF Change Requests	73	Provide line item costs per issue noted	
Outlook plug-in estimate	1	Include all aspects of implementation (analysis/design, build, delivery) as noted in the implementation services	
UOF 5003 Monitoring estimate	1	Include all aspects of implementation (analysis/design, build, delivery) as noted in the implementation services	
<b>Subtotal for UOF Updates</b>			
<b>Total for Phase II Implementation</b>			
<b>Optional additional 30 concurrent user licenses</b>	30	Provide a cost per license	
<b>Annual ongoing maintenance beginning with the start of the Phase II implementation for the existing 400 concurrent user licenses</b>	400	Provide cost per month and per year for all 400 licenses	
<b>Optional Annual ongoing maintenance for an additional 30 concurrent user licenses</b>	30	Provide cost per month and per year for 30 licenses	

**Retained Percentage:** As security for the faithful performance of the Agreement, excluding annual support and maintenances fees, DOC shall deduct and retain 10% of the value of costed item until the both completion of all Phase II work and successful conclusion of the 90-day warranty period as detailed in **Attachment D - CMS Phase II Implementation Deliverables Acceptance Criteria** specific to Deliverable 11.3.

**Expression of Interest Content & Instructions**

The Expression of Interest should specifically state the following:

**a. Experience Implementing Case Management Systems using the MicroPact entellitrak Platform:**

- a. Describe the extent, quality and relevance of the vendor's experience implementing projects of similar nature using the MicroPact entellitrak platform.
- b. Provide at least three (3) references of significant projects completed that involved system implementation services and installation of Case Management systems. For each reference, include: the name of the reference entity; the budget size of the referenced project; and, name and contact information.
- c. Attach a resume for each proposed project team staff member that describes the relevancy of each proposed individual's qualifications to the CMS Phase II project. Include the proposed staff member's qualifications and any other information detailing his/her number of years of experience, as well as technical and professional qualifications.

**b. Organizational Capability**

- a. Describe the vendor's ability to quickly assume the scope of work represented herein.
- b. Attach documentation of the vendor organization's current gross annual revenue, revenue sources, additional sources of funding that will support the proposed program and numbers of clients served on an annual basis.
- c. Describe the vendor's ability to manage federal, state, and city contracts.
- d. Attach a chart showing where, or an explanation of how, the proposed services will fit into the vendor's organization.
- e. Describe the vendor's staffing, and operating systems, such as management, supervision, quality assurance and control systems –including risk management and financial controls.

**c. Proposed Approach**

- a. Describe the vendor's understanding of the project including the nature, scope and complexity of the work.
- b. Describe how the vendor will develop the understanding of the CMS Phase I application needed to successfully implement all aspects of CMS Phase II.
- c. Describe the proposed plan for implementing CMS Phase II.
- d. Describe the vendor's approach to providing on-going maintenance and support to the CMS application.
- e. Provide a statement confirming the vendor's understanding that all noted requirements are mandatory, and the needed configuration and/or customization to meet the requirements as stated in Attachment A - CMS Phase II Functional and Technical Requirements, Attachment B - CMS Phase II UOF Updates, Attachment C - CMS Phase II UOF Monitoring Needs and Attachment D - CMS Phase II Implementation Deliverables Acceptance Criteria are the responsibility of the contractor.

**d. Price Proposal**

Provide a firm fixed bid, using the provided Attachment E - CMS Phase II Payment Structure attachment. Clearly state all pricing assumptions.

**Basis for Contract Award and Procedures**

**a. Expression of Interest Evaluation**

All expressions of interest received in the manner set forth will be reviewed to determine if they are responsive to the material requirements of this solicitation. Expressions of interest determined to be non-responsive will not be further considered. Expressions of interest determined to be responsive will be considered in terms of Experience, Organizational Capability and Proposed Approach.

**b. Negotiations & Contract Award**

DOC will enter into negotiations with the vendor(s) determined to be the best qualified at the time of evaluation, based on consideration of the above-cited factors. A contract will be awarded to the responsible vendor(s) whose offer(s) is/are determined to be the most advantageous to the City, taking into consideration the price and the other factors set forth in this solicitation.

DOC reserves the right to conduct site visits, to conduct interviews, or to request that organizations make presentations, as deemed applicable and appropriate. Although DOC may conduct discussions with organizations submitting acceptable expressions of interest, it reserves the right to award contracts on the basis of the initial expression of interest, without discussions; therefore, the expression of interest should contain the best programmatic and price terms.

**Attachment A - CMS Phase II Functional and Technical Requirements**

## Functional Requirements

#	Functional Requirement Text
1	Support a complete, comprehensive and configurable audit trail and toolset for all manual actions and activities performed in the solution including staff/user information, date, time, etc.
2	Support a complete, comprehensive and configurable audit trail and toolset for all automated actions and activities performed in the solution including staff/user information, date, time, etc.
3	Provide the ability for an administrative user to define business rules for required fields and available table values based on key case attributes such as case type.
4	Enable an administrative user to define business rules that define/describe the data entry/update rules.
5	Enable an administrative user to define the list of values that may be entered into a field.
6	Be able to capture information about all data that is entered into the CMS (e.g., who entered it, when it was entered, from which computer, if and when edited), as an audit trail.
7	Enable authorized users the ability to enter DOC and/or workgroup specific documentation and/or instructions into the on-line help system.
8	Provide context specific (based on the cursor position, error message, screen, process, and/or transaction) help documentation.
9	DOC-entered instructions will be available in a context sensitive manner (that is, when the users clicks help within a workflow, that workflow's instructions will appear).
10	Support automated receipt of CIS into an intake status.
11	Record the source and type of CIS upon intake.
12	Provide the ability to employ manually entered case numbers.
13	Provide the ability to enter and maintain records about a CIS independent of cases.
14	Allow a division to identify and link to 1 or more related cases, both inside and outside the division.
15	Notify the user if information about the person involved in the CIS is available in other active CIS or Case records.
16	Provide the ability to sort received cases/events by multiple parameters (including but not limited to division, status, case type, date and time received), and a combination of those parameters (including but not limited to by status and case type).
17	Provide the ability to automatically assign CIS to specific staff for case initiation review.
18	Provide the ability to reassign CIS to specific staff for case initiation review.
19	Allow users to review CIS records and mark as accepted, verified, rejected, or other configurable determination before proceeding with the case.
20	Allow users to review new CIS records and mark as accepted, rejected, or needing more information.
21	Provide the ability to enter, maintain, and link CIS with multiple case management system data elements as configured by DOC.
22	Enter and maintain information about CIS that becomes a case.
23	Enter and maintain information about CIS that are referred out or otherwise disposed without initiating a case.
24	When initiating a case, provide the ability to generate and apply case numbers that are based on configurable numbering generation rules established by the DOC and its Divisions.
25	Be able to generate the division case number according to division-defined number generation rules.
26	Efficiently employ previously entered CIS data when establishing the records to initiate a case.
27	Support manual entry of CIS into an intake status.
28	Automatically create a new case record from the data in a CIS record when triggered by user and/or automated business rule (e.g., Assistant Commissioner escalates CIS to a case).
29	Retain the CIS record after a case is established.
30	Be capable of receiving and organizing various types of case initiating submissions (CIS).
31	Provide configurable checklist-like functionality for staff to verify that an incoming case/event is complete, meeting acceptance criteria.
32	Enable the divisions to manage records of CIS without creating a case.

## Functional Requirements

#	Functional Requirement Text
33	Enter, maintain, and link case or incident/event numbers assigned by other divisions or agencies, when they are relevant to a case.
34	Provide the ability to link 1 or more CIS records to a case.
35	Provide the ability to track where a staff member is assigned.
36	Provide the ability to use non-person entities such as businesses, DOC divisions, other government agencies, and nonprofit organizations the same way a person record is used.
37	Schedule and, if necessary, reschedule future events.
38	Schedule participants in future events.
39	Assign and set future start and due dates for case actions.
40	Enter or derive based on configurable business rules the status for any Event/Action.
41	Support case processing facilitated by configured and rule based alerts and notifications.
42	Provide the ability to access and retain historical information on case/event participants (including but not limited to former facility or unit assignments, former badge numbers).
43	Validate addresses through the United States Postal Service
44	Provide methods for entering and maintaining data and other electronic media related to a case.
45	Be able to track key attributes about a case, such as date received, case status, case priority (expedited, standard), case disposition (investigated, dismissed), and case type (use of force, sexual assault)
46	Allow a case manager to record a case event when a step is completed outside of solution processes or work flows.
47	Provide the ability to record expenses for an action or event.
48	Be able to prompt end users to do the next step in the case process (i.e., work flow).
49	Automatically record a case event when a step is automatically completed by a configured process work flow.
50	Support the enforcement of standard work processes and time standards.
51	Require the user to follow standard work processes and schedules, as configured by an administrative user.
52	Provide reminders and tickler to assist the user in meeting processing and time standards.
53	Provide the ability to suspend case time counters, based on the status of the case.
54	Provide the ability to enter and maintain all case data as configured by DOC.
55	Capture multiple outcomes for events/actions each of which is tracked by date/time/participant(s).
56	Track whether or when a person scheduled for an event does not participate.
57	Support the processing of a subpoena by Legal.
58	Support the processing of a service of papers by Legal.
59	Support the processing of an EEO case by DOC EEO.
60	Support the processing of a Reasonable Accommodation Request by EEO.
61	Support the processing of a facility investigation by the Investigation Division.
62	Support the processing of a full investigation by the Investigation Division.
63	Support the processing of a civilian case by T&L.
64	Support the processing of a uniform case by T&L.
65	Support the processing of a medical separation case by T&L.
66	Support the processing of a MOC received by Chief of Administration and T&L.
67	Support the processing of a civilian case by OLR.
68	Support the processing of a uniform case by OLR.
69	Support the processing of an informal case by OLR.
70	Support the processing of a lawsuit by Legal.
71	Support the processing of a Comptroller Claim by Legal.
72	Support the processing of a FOIL Request by Legal.



## Functional Requirements

#	Functional Requirement Text
73	Access the custody status of a person in a case.
74	Enter and maintain case data related to a including persons, incidents, organizations, and other involved parties.
75	Facilitate the completion of case processing using case processing workflows that involve a series of automated and manual tasks.
76	Route cases through individuals or work groups for review based on case attributes.
77	Assign notes to each time entry on an action or event.
78	Enable the user to make changes to these entries prior to submission.
79	Provide the ability for support staff to enter staff time on a case or event.
80	Allow authored users to modify the case processing workflows for a case (i.e., add, change, delete events/actions).
81	Enable users to record that they have completed their assigned step in the case process (i.e., work flow).
82	Automatically record when an assigned step in the case process is completed.
83	Automatically record a case event when an outbound interface record is generated.
84	Automatically record a case event when an interface record is accepted.
85	Track case processing performance against time standards.
86	Provide the ability to track the duration of a case in days against the pre-established time standards.
87	Report cases approaching or have exceeded the configurable time standards.
88	Display the case processing performance relative to time standards.
89	Track and report workload and backlog levels.
90	Provide the ability for a user to view their case work load and monitor their performance.
91	Provide the ability for a user to access and view their case work load backlog and sort by various parameters.
92	Provide the user processing a case with a template and checklist (based on case type and other attributes, as configured by an administrative user) that establishes the organization and minimum standards for case records.
93	Provide the ability to enter and maintain unlimited person aliases and AKAs.
94	Provide the ability to enter and maintain expert services requests, including whether each request is approved or denied and any reason(s) for denial.
95	Provide the ability to resubmit an expert services request while maintaining the history of the request for tracking purposes.
96	Enter and maintain data about an unlimited number of events that have occurred or are scheduled to occur in a case.
97	Enter and maintain data about an unlimited number of actions that have been performed in processing case.
98	Support case processing for each of the Divisions.
99	Support the processing of a CIS received by any division.
100	Support the processing of an inquiry by any division.
101	Support the use of links, hyperlinks or other techniques that enable the direct access to any external networked resource including related case files, data, reports, documents, images, audio, video or other services and applications.
102	Create 1 or more hyperlinks to electronic content that is stored for a case, person, event, action, and organization, including that information by reference.
103	Provide access to electronic content via a hyperlink that initiates the program required to access the content and opens that information object.
104	Collect and maintain electronic media that is related to the case, including but not limited to electronic documents, audio, and video.
105	Enter and maintain case attributes including, but not limited to: Date Received, Type, Status, Priority

## Functional Requirements

#	Functional Requirement Text
106	Automatically update key case attributes based on case processing actions and events, without requiring additional manual data entry.
107	Trigger case processing steps based on changes in the values of key case attributes (as configured by an administrative user).
108	Provide work flows that can guide staff through case processing actions and schedules.
109	Provide the ability to efficiently record staff time spent working on an action or event.
110	Automatically record a case event when system generated correspondence is produced.
111	Provide the ability to configure the dashboard display present status in a tabular, graphical, or chronological format.
112	Provide the ability to insert an unlimited number of review and approval check points in a business process workflow.
113	Support the creation, implementation, revision, and management of case work flow processes for each of the organizational units.
114	Enable an administrative user to create, implement, revise, retire, and manage standard work flow processes that specify case management actions, events, process order, and process branching for their organizational unit.
115	Provide tools to manage and control the implementation and retirement of work flow processes configured by the administrative user providing effective version control.
116	Provide the ability for the system administrator to configure the nature and timing of the prompts.
117	Create multiple work flows to be configured for different case types.
118	Control work flow process order and schedule based case type.
119	Provide the ability to establish time standards for completion of cases according to various case types.
120	Enable the administrative user to reconfiguration of work flows when processes change.
121	Enable the administrative user to configure the tasks that require completion before a case can be closed.
122	Provide the ability to schedule out-of-office time (e.g., vacations, sick time, other leave) and to alert supervisors attempting to schedule or assign cases or other activities during that time.
123	Automatically assign a case to an individual based on calendar availability.
124	Provide the ability to enable and enforce predecessor and successor processes for any process in a work flow.
125	Provide the ability to employ multiple predecessors and successors processes for any process in a work flow.
126	Record information about changes to a case, including but not limited to date, time of the change, and the identity of the person updating the case.
127	Support the assignment and management of cases and workload to identified DOC staff/resources (e.g., investigators) as appropriate.
128	Enter and maintain the assignment of one or more investigator(s)/person(s) to the case and the designation of a lead investigator/person.
129	Provide the ability for supervisors to manually assign a complexity value or weight to cases.
130	Calculate the total weight of an investigator/person assigned caseload.
131	Show the assigned cases and their weights by investigator/person for the supervisors use in case assignment.
132	Assign case weight thresholds to investigators/persons, modifiable and viewable only by supervisors, for use in case assignment.
133	Allow supervisors to review updates that occurred during a user-defined time period, by unit, by assigned investigator/person, by case, etc.
134	Provide the ability to reassign a case from one investigator/person to another or one division to another, retaining the reason for the reassignment.

## Functional Requirements

#	Functional Requirement Text
135	Assign an investigator/person or other role to a specific case event or to the case for a set period of time.
136	Enter and maintain the assignment of a case to a division and/or a group within a division.
137	Track the complete assignment history of cases by work group and investigator/person.
138	Identify individual responsibility for a case assignment.
139	Provide a list or queue of cases waiting for investigator/person assignment for supervisors to use for case assignment.
140	Enter and maintain the reassignment of multiple cases.
141	Support the assignment of a case to an investigator/person or work group according to predefined rules (e.g., by case type, case weight, caseload balancing policies) and a combination of those rules (e.g., by case type and caseload balancing policies).
142	Automatically assign a case to an individual based on simple rotation.
143	Automatically assign a case to an individual based on rotation within a specialty track.
144	Automatically assign a case to an individual based on the weighted work load of eligible case workers.
145	Support the time tracking and management of case assignments on a division, shift, or individual staff level.
146	Provide the ability to track staff time spent working on a case or event.
147	Provide the ability for supervisory review of staff timesheets prior to final acceptance.
148	Provide the ability to compile timekeeping data into a report.
149	Provide the ability to display a calendar of completed and planned activities and events by case.
150	Provide the ability to display a calendar of completed and planned activities and events by case worker.
151	Provide the ability to display a calendar of completed and planned activities and events by organizational unit.
152	Provide the ability to adjust the range of activities and events to print by a use specified date range.
153	Support the ability to track and monitor case processing, step by step to completion.
154	Automatically record the status of case processing relative to the previously configured business process work flows.
155	Automatically record the status of case processing based on attributes in the records of the case (i.e., not requiring the case manager to manually change the status).
156	Enable the organizational unit to identify review and approval check points in a configured business process work flow.
157	Enable the organizational unit to identify the individual responsible for each review and approval check point.
158	Be able to notify the individual responsible for each review and approval when a case is ready for review.
159	Provide the ability to record approvals at a check point in a case process.
160	Provide the ability for a case reviewer to refer a case back to a case manager and reset the case process workflow status to the appropriate point.
161	Provide tools to manage the process of work flow reconfiguration in a structured manner.
162	Enable work flow processing to be based on the value of any case attribute.
163	Support the ability to track updates to the case as available and appropriate.
164	Provide the ability to view information about changes made to a case including, but not limited to date, time of the change, and the identity of the person updating the case.
165	Assign weighting factors and values to cases, based on such things as type of case, number of interviews, amount of case work, etc.

## Functional Requirements

#	Functional Requirement Text
166	Support the allocation of case assignments by a variety of methods, including but not limited to: <ul style="list-style-type: none"> <li>• Rotation including simple and specialty track rotation.</li> <li>• Workload weighted rotation.</li> <li>• Calendar availability.</li> </ul>
167	Provide the ability to receive, record, and track billings by external resources (e.g. expert services, etc.).
168	Provide the ability to both produce and display all calendars or schedules, for all types of case related events.
169	Display case processing status relative to the previously configured business process work flows in 3 formats: graphically; as a percent complete; and in a tabular format.
170	Enable mechanisms to track and record case reviews and approvals based on configurable criteria (e.g. Data, case type, etc.).
171	Support the ability to close cases with the entry of DOC configurable disposition codes.
172	Mark a pre-case or case as closed with disposition codes configurable by Division and case type.
173	Provide the ability to record case closure for one unit while retaining a related open case for another unit.
174	Allow more than one case to be processed with regard an individual incident or person at the same time.
175	Provide the ability to enter and maintain the status of related cases, independently.
176	Provide the ability, based on record ownership privileges and user authorization, to reopen a case.
177	Provide the ability to mark a case as reopened.
178	Control the ability to reopen a case based on the organization unit and user's role and privileges.
179	Support the ability to indicate and track the DOC configurable status of any and all cases in the CMS.
180	Enter and maintain configurable case disposition information including, but not limited to disposition, reason, disposition date, hearing officer).
181	Capture charge disposition information from the adjudicator, including but not limited to OATH and hearing officer.
182	Enter and maintain multiple outcomes per case (i.e., history).
183	Enter and maintain multiple outcomes per charge (i.e., history).
184	Limit the actions that may be taken with the closed case records. Limit the actions that may be taken with closed case records configured based on case type, division, user and potentially other data elements.
185	Create and maintain templates for forms and letters that CMS can generate based on configurable business rules.
186	Create and maintain triggers associated with events/activities that result in CMS automatically generate forms and documents.
187	Be able to print envelopes with case participant information and addresses.
188	Allow documents to be generated manually by users when needed.
189	Be able to automatically track when letters are produced.
190	Be able to track which case documents were generated for particular case participants.
191	Be able to utilize a person's designated primary language to generate forms and letters written in that language.
192	Be able to generate variations of letters and documents based on the case type, correspondence type, or related person type.
193	Be able to generate letters to inform case-related persons or other participants of case outcomes.
194	Provide configurable correspondence management functionality that provides for the generation of letters, notifications, and other documents as necessary.
195	Modify documents generated from the forms and templates as needed by DOC authorized users.

## Functional Requirements

#	Functional Requirement Text
196	Provide the ability to designate which parties will receive a copy of a given generated document and generate documents with recipient-specific data (such as address) where appropriate.
197	Have a message board or alert area to post messages system-wide or for work groups that are not attached to cases or persons.
198	Allow users to manually enter reminders.
199	Enable the administrative user to define advance or periodic reminders of upcoming case events or activities, by either start or end date.
200	Enable the administrative user to configure the solution to send automatic notifications to various individuals or work groups when key case attributes change or when events are scheduled.
201	Allow configuration and use of system-generated reminders for events or activities.
202	Enable the user to specify which external case parties are to receive e-mail notifications.
203	Generate automatic notifications to parties to notify of event or Action reschedules.
204	Enable staff to configure alerts on persons that notify the staff when there is an action for that person.
205	Enable staff to record that a mailed or e-mailed document has been returned as undeliverable.
206	Record what notifications have been made, when they occurred, and how they were delivered.
207	Enable the administrative user to configure the solution to generate notification of deadlines on open/active case events, by either start or end date.
208	Enable the administrative user to configure an e-mail distribution list by specific case for automatic notifications of case updates, status changes, etc.
209	Automatically check all events for notifications and execute those notifications.
210	Trigger automatic notifications based on certain actions occurring within the system.
211	Be able to electronically notify parties involved in a scheduled Event/Action via e-mail, data exchange to other systems, etc.
212	Enable users to configure reminders according to their preferences (e-mail, pop-ups, text messages, etc.).
213	Enable users to create a notification or reminder based on the date that an event was entered or the date that the event is due (e.g., the date that a request for information is sent, or the date by which requested information is required).
214	Provide configurable report management functionality that provides for the generation of template-based case reports, closeout reports, and other documents as necessary.
215	Be able to create and store forms and report templates.
216	Use query results to access underlying details by clicking on data displayed from initial query. (e.g., access a case record by clicking on Case ID of the query that includes a list of Case IDs.
217	Provide the ability to search with wild cards (Windows standards like * or %).
218	Search cases and return linked results from linked cases (e.g., co-defendant cases).
219	Support access to, inquiries on and reporting functionality on audit trail records.
220	Provide the ability to search on data fields with partial information (e.g. a search on badge number 339 finds badge numbers 0339 and 4339).
221	Search for person records by case number and by role.
222	Provide the ability to search for DOC staff with certain skills or training (e.g., provide a list of attorneys who have truancy case training).
223	Apply the same security to report data that is assigned to users via the application security (e.g., if a user does not have access to high-profile cases, he will not be able to run reports on this data).
224	Be accessible by Cognos. Ensure all CMS data is accessible by Cognos, in compliance with Technical Requirements Nos. 63-71, for complete and comprehensive data analytics.
225	Support complete and comprehensive data analytics and toolsets on any of the data elements available in the system.
226	Generate common documents by pulling data from various data fields in the solution as designated in the design of the document template.

## Functional Requirements

#	Functional Requirement Text
227	Generate standard reports for groups of cases filtered by parameters including but not limited to Organizational Unit, Facility, Case Manager, Case Type, Case Status, Date Range, Disposition (see Reporting tab for a list of current reports to be replicated in the CMS).
228	Provide the ability to display case statistics and generate reports by various parameters and combinations of parameters, for example, numbers of cases, charges and dispositions, etc.
229	Be able to calculate number of days that cases are open based on the start date and completion date, and provide basic statistical reports on case length by various parameters including, but not limited to organizational unit, case type and status.
230	Support complete and robust data accessibility and reporting capabilities for standardized displays and management reports.
231	Provide robust data query tools, to allow for the searching of all data fields or combinations of data elements in either an ad hoc or standardized manner.
232	Search for case records by any data element entered into the case (See 2.4.0).
233	Provide the ability to search for person records by any combination of name (full or partial), key demographic characteristics (sex, race), identifying numbers (SSN, inmate ID number, etc.), aliases, or AKAs.
234	Utilize phonetic algorithms for searches on name fields
235	Provide the ability to search for case records by DOC case number, any other case or other numeric associated with cases, names, assigned staff, etc.
236	Ability to display comprehensive case snapshot showing all relevant case details, filtered by parameters including but not limited to Organizational Unit, Facility, Case Manager, Case Type, Case Status, Date Range, Disposition.
237	Provide the ability to display a comprehensive person snapshot that shows relevant person details (including but not limited to name, date of birth (DOB), SSN, inmate ID number), custody status, and involvements on all active and inactive cases for each person in the solution.
238	Provide the ability to export reports to other formats (PDF, Excel, HTML, etc.).
239	Enable a user to import a digital file in the formats specified in Technical Requirements Nos. 41-62
240	Be able to designate notes as privileged work product and limit access to them.
241	Use a bar code or similar feature to track hard copy case files.
242	Support electronic discovery of case-related information.
243	Have the ability to flag or mark all case components as discoverable or not discoverable.
244	Have the ability to electronically redact components of discovery material in an electronic file .
245	Have the ability to generate a letter or receipt along with the discovery package that includes a list of the materials and Bates stamp ranges contained in the package.
246	Support the importing of digital data files (audio, video, evidence), as well as the linking/association of these files to events/cases already in the solution, which can then be accessed by users of the solution.
247	Record attributes about the note (e.g., who entered it, when he/she entered it) for all notes.
248	Allow for key-word searching of all notes and text fields associated with cases and across all cases in the system.
249	Provide the ability to record user notes in a manner that they may be may kept confidential, and share according to policy, personal preference, and user authorization.
250	Be able to designate notes as non-discoverable.
251	Maintain version control over the configuration of that specifies the structure and content of a case record.
252	Provide the ability to note the owner of physical files or other items (e.g., clothing) and whether those items will be returned to their owner at the end of the case.
253	Provide an index of elements recorded for a case.



## Functional Requirements

#	Functional Requirement Text
254	Have the ability to note when a record has been reviewed for inclusion/exclusion for discovery and by whom.
255	Record the identity of the person or agency that retrieved an electronic discovery package and the date/time they retrieved it.
256	Restrict discovery package pickups to the assigned individual or agency.
257	Republish or regenerate a discovery package.
258	Generate electronic discovery packages of case files based on configurable criteria specified by Division and Case Type.
259	Have the ability to electronically Bates stamp all discovery material.
260	Be able to include non-printable electronic files in the discovery package (e.g., audio and video files).
261	Have the ability to restrict files to be included in the discovery package to those marked as discoverable.
262	Record the dates each time the electronic discovery package was generated by a user and delivered to a discovery package requestor.
263	Record information about the receipt of documents from external sources (e.g., type of document, purpose, who or where it came from, date received).
264	Store and retrieve electronic documents generated by the solution.
265	Prepare read-only copies of electronic documents for distribution to other agencies.
266	Provide the ability for users to classify documents by type when storing them in the solution.
267	Provide the ability to affix an electronic stamp to electronic documents.
268	Support case evidence tracking (vouchering) at the case level.
269	Assign a vouchering number based on DOC or division configured number generation rules.
270	Enter and maintain data related to vouchering evidence including identification (name, shield) of received from and received by, date, time, evidence location, reason, description.
271	Enter and maintain data for each step of the chain of custody of evidence including name of received from and received by, date, time, evidence location, reason.
272	Link digital media files to key records including but not limited to: persons, organizations, events, actions, artifact, and cases, as specified in a configured business process work flow.
273	Provide the ability to configure note fields with full word processing capabilities (e.g., spell checking, rich text formatting, etc.).
274	Be able to record notes on cases with full word processing capabilities (e.g., spell checking, rich text formatting, etc.) at all points in the life of the case.
275	Be able to associate notes to key records including but not limited to: persons, organizations, events, actions, artifact as well as cases.
276	Provide the ability for a system administrator/business analyst to define and redefine the structure and content of the case record based on organizational unit, case type, case track, or other case characteristics.
277	Configure and maintain the type of content (e.g., types of event/activities, etc.) and sequential order of the content that comprises a case file by Division.
278	Provide a logical index for information contained in a case, enabling rapid identification and retrieval.
279	Enter and maintain a list of the data, documents, and other items that make up the case, along with the location and current responsible party of any hard copy case files components.
280	Provide the ability to sort the index of elements recorded for a case by the common attributes of the elements, including but not limited to: date, time, source, data type, action type, event type, and action type.
281	Support the organization of case data for presentation (e.g., hearing preparation).
282	Support the assembly and packaging of all appropriate case information for configurable presentation packages (e.g. hearing preparation, package, commissioner case review, etc.).
283	Support sustainable archival of all system data according to configurable rules and policies.

## Functional Requirements

#	Functional Requirement Text
284	Store and retrieve electronic documents and non-document media files associated with cases using the formats specified in Technical Requirements Nos. 121-124 from sources external to DOC CMS users, such as facility files, hospitals/doctors, mental health screening reports from mental health court monitor, etc.
285	Allow the ability to create separate working file storage areas in the case for investigators and mitigation specialists.
286	Define roles for data and functionality access in the context of the rules and policies that have been established.
287	Define and configure data and functionality access rules and policies based on data structures, including all electronic media.
288	Define and configure data and functionality access rules and policies for records and electronic media classified as confidential.
289	Support the creation and maintenance of organization/division-based security rules wherein access, roles, and capabilities are based on predetermined and configured authorizations for access to functionality and data.
290	Define and configure role-based data and functionality access rules and policies for each organizational unit and the DOC overall.
291	Specify individual records and electronic media as confidential on an ad hoc basis.
292	Establish data access rules and policies appropriately constraining authority view and modify records for the user is a subject of the record.
293	Support the enforcement of rules for authorized access to functionality and data.
294	Assign roles for data and functionality access to persons, organizations, and applications.
295	Delegate and manage the authority to manage data and functionality access rules and policies to individuals in each organizational unit.
296	Provide the ability for DOC to define and configure user role-based data access rules and policies.
297	Configure the display user interface such that users do not see data or functions to which they are not authorized.
298	Configure the services and interfaces enable a division to share its case records with another organization as it deems appropriate.
299	Collect and report data about unauthorized attempts to access data and functions.



## Technical Requirements

#	Technical Requirement Text
1	Continue to all the DOC CMS application to be hosted at the DOC data center
2	Utilize and support a service-oriented architecture (SOA).
3	Enable extraction of data to web services.
4	Provide common architecture for interoperability and reusability of services between solution service providers and consumers.
5	Enable triggered task automation, automatic recurring administrative jobs and regular maintenance tasks.
6	Be able to be implemented with minimal impact and changes to existing applications, systems, and processes that are outside the scope of the project.
7	Conform to defined NYC DOC Technical Standards.
8	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.
9	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.
10	Support a rapid, repeatable, automated deployment process of selected version/configuration to selected environments without manual intervention. All components and artifacts will be version-controlled and support continuous delivery.
11	The utilization of programming languages, protocols and other technology will conform to industry standard and DOC-selected best practices (e.g., HTTP, RESTful Services, JWS, Spring, Hibernate).
12	Be fully maintainable by DOC IT, without intervention from an outside vendor.
13	Maintain configuration integrity, support an Information Technology Infrastructure Library (ITIL) configuration control capability for all elements that are able to be configured, including auditing, rollback, and roll forward.
14	Be implemented as a Web application utilizing technology consistent with DOC IT strategic objectives. 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.
15	Have the ability to operate using global IDs from existing DOC systems (ILS, ELS, IRS, etc.), including but not limited to IDs for inmates, employees, and visitors. 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.
16	All data that the solution utilizes from external systems will be integrated through real-time access/exchange. Data owned by other systems will be read only unless specified otherwise.
17	Include a data/user migration strategy consistent with the needs of the user groups and be capable of importing legacy as needed both during and post-migration.
18	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.
19	The system will include all architectural, design, application programming interfaces (APIs), and other technical documentation requested to support the all phases of the system's life cycle. This will include, but is not limited to DOC-selected module, component and connector, allocation, wireframes, 4+1 documentation, etc.
20	Provide training materials for users, developers, and other IT support staff needed to maintain the system.
21	Any code contained in the solution will be appropriately documented according to technology and industry standard best practices. Code will be as self-documenting as possible.
22	The system will include all technical documentation and artifacts required to support, maintain, modify, test, and deliver defect fixes, enhancements, and customizations.
23	Specify the details of development or other environments used by the solution and all development or other tools necessary for NYC DOC IT personnel to support the solution.

## Technical Requirements

#	Technical Requirement Text
24	The system will operate within the established network firewall architecture and comply with NYC DOC network standards.
25	Comply with NYC DOC IP networking standards.
26	Support ManageEngine, NetMon, NetApp, and SMS for monitoring and management.
27	Use static Firewall ports (no dynamic port assignment).
28	Provide distributed system administration capabilities and remote user management capabilities.
29	Deploy across all environments without manual configuration changes across environments. All configuration data will be created /modified / tested outside of the production environment.
30	Run on standards-based (e.g., Microsoft) or open-system server operating software.
31	Run on DOC's standard VMWare Server configuration. (Vendor will document number and types of servers required, ex: 2 transaction servers, 1 reporting server, 1 application server, 2 database servers; and the specifications for each.)
32	Allow the addition of third-party hardware and software components to its servers through an open architecture.
33	Comply with hardware and operating system monitoring solutions that are not in conflict with NYC DOC enterprise architecture standards.
34	Comply with DOC's business process and application monitoring solutions.
35	For any exposed web services data, be conformant with national justice standards.
36	Utilize the NIEM/Global Justice XML Data Model (GJXDM) reference model format for existing interfaces.
37	Follow NIEM Information Exchange Package Documentation (IEPD) guidelines in the development of data exchanges.
38	Support messaging formats that are based on accepted national and industry standards (e.g. standard national IEPDs).
39	Check the IEPD clearing house prior to developing an exchange to determine if there is an existing IEPD that conforms to NYC DOC needs.
40	Create an IEPD that is NIEM conformant for each exchange being developed. The solution provider will post it to the IEPD Clearinghouse once it is completed.
41	Have the ability store and retrieve electronic files of various types and formats, including but not limited to: E-mail messages (*.msg, *.txt, *.html); Audio (*.mp3, *.cda, *.wav); Video (Genetec, *.mp4, *.avi, *.mov); Web-based forms (*.html, *.mht); Spreadsheets (*.xls, *.xlsx); Photos, Pictures and Images (*.jpg, *.bmp, *.gif, *.raw); Documents (*.doc, *.docx, *.wpd); Digitized paper documents, forms, and scans (*.pdf), Text Files (*.txt, *.csv).
42	Import and Store E-mail messages (*.msg, *.txt, *.html).
43	Import and Store Audio (*.mp3, *.cda, *.wav).
44	Import and Store Video (Genetec, *.mp4, *.avi, *.mov).
45	Import and Store Web-based forms (*.html, *.mht).
46	Import and Store Spreadsheets (*.xls, *.xlsx).
47	Import and Store Photos, Pictures and Images (*.jpg, *.bmp, *.gif, *.raw).
48	Import and Store Documents (*.doc, *.docx, *.wpd).
49	Import and Store Digitized paper documents, forms, and scans (*.pdf).
50	Import and Store Text Files (*.txt, *.csv).
51	Retrieve and Export E-mail messages (*.msg, *.txt, *.html).
52	Retrieve and Export Audio (*.mp3, *.cda, *.wav).
53	Retrieve and Export Video (Genetec, *.mp4, *.avi, *.mov).
54	Retrieve and Export Web-based forms (*.html, *.mht).
55	Retrieve and Export Spreadsheets (*.xls, *.xlsx).
56	Retrieve and Export Photos, Pictures and Images (*.jpg, *.bmp, *.gif, *.raw).

## Technical Requirements

#	Technical Requirement Text
57	Retrieve and Export Documents (*.doc, *.docx, *.wpd).
58	Retrieve and Export Digitized paper documents, forms, and scans (*.pdf).
59	Retrieve and Export Text Files (*.txt, *.csv).
60	Support XML formats for data and business rule definitions.
61	Use industry-standard modeling method such as business process modeling language, Web services component model, or Unified Modeling Language.
62	Record and attach appropriate digital signatures.
63	Be capable of sharing its data in a secure, configurable, online manner to both internal and external systems via message queuing and Web services.
64	Provide data transformation capabilities.
65	Send automatic alerts of errors to designated system administrators within the data transformation process.
66	Send automatic alerts based on business rules.
67	Synchronize and propagate data between applications.
68	Provide tracking and confirmation services that verify, document, and ensure a completed and synchronous information exchange.
69	Support reliable synchronous and asynchronous message delivery.
70	Require that all messaging components and the entire messaging environment be visible; contain configurable properties, and user definable metrics.
71	Measure the performance of any specific information exchange.
72	The solution databases will conform to NYC DOC standards for the storage of data in a common database and a reporting database repository via the ETL tool.
73	All database platforms will be consistent with NYC DOC product standards.
74	Support ODBC and/or JDBC compliant relational database technology.
75	Provide a mechanism to identify data issues and notify both the DOC and vendor technical teams when issues arise.
76	Provide provisions for back-up and restoration of solution data. As part of this capability, have the ability to restore from specific restore points to ensure that no data is lost between the back-up and restoration.
77	<p>The solution has to enable DOC to perform backups and disaster recovery so that 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.</p> <p>DOC is responsible for server maintenance. 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.</p>
78	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.
79	Be capable of back up and disaster recovery in a manner consistent with DOC requirements.
80	Leverage DOC-selected commercial off-the-shelf (COTS) tools for monitoring and maintenance.
81	Enable administrators to view the status of all interfaces to connected systems from a centralized location (i.e., dashboard).
82	Provide a universal user presentation (a common NYC DOC UI) based on user authorizations with access to all applicable and related features.
83	Allow each organizational unit to control the order in which data is entered on a data entry screen.
84	Solution design to enable access and use by workstations, desktop and laptop computers.
85	User interface to support alternative screen sizes and devices including workstations, desktop and laptop computers.

## Technical Requirements

#	Technical Requirement Text
86	User interface to comply with Section 508 of the Disabilities Act, entitled User Interface Universal Accessibility.
87	User interface to comply with NYC DOC web client (Microsoft IE) presentation tier standards.
88	Fully comply with federal, state, and city data security policies. To meet functional and assurance requirements, the security features of the environment will provide managerial, operational, and technical controls. All security features will be available and activated to protect against unauthorized use.
89	Comply with GFIPM standards.
90	Comply with the FBI's CJIS Security Policy.
91	Use the DOC Microsoft Active Directory is used for single sign-on (SSO) services.
92	Allow minimum user ID and password lengths to be established pursuant to FBI, DOJ, and NYC DOC guidelines.
93	Authenticate users with a valid NYC DOC username and password before they receive access to any function. This sign-on will include the following, at a minimum: DOC ID or DOC unique user ID and password.
94	Produce summary reports of the DOC roster and access rights.
95	Assign security roles to users, groups of users, an agency, and groups of agencies.
96	Have the ability to produce an audit trail of users requesting information from the solution, and include robust reporting and search tools on these audit logs.
97	Generate audit records for all security-relevant requests including administrator accesses.
98	Restrict access to the audit trail to personnel routinely responsible for performing security audit functions.
99	Create, protect, and retain information system audit records to the extent needed to enable the monitoring, analysis, investigation, and reporting of information system activity.
100	Ensure that the actions of individual information system users can be uniquely traced to those users.
101	Export logs and events for use in external systems (such as, but not limited to SNMP traps, XML).
102	Provide a logging feature that logs additions, changes, and/or deletes to any configuration database and is available to both DOC and vendor technical teams.
103	Limit information system access to authorized users, processes acting on behalf of authorized users, or devices (including other information systems) and will also limit access to the types of transactions and functions that authorized users are permitted to exercise. The proposed system will be capable of both user and role-based access control provisioning.
104	Protect from malicious code at appropriate locations within the system. This includes, but is not limited to, data input validation, antivirus protection, etc. Vendor needs to make sure nothing can exploit system. I.e., if a user logs in from a PC that has malware, that malware should not be able to damage any of our systems.
105	Identify, report, and correct of information and information system flaws in a timely manner.
106	Configure external alerts (e.g. email) based on system events.
107	Accept authorized user information from any certified partner LDAP repositories in accordance with GFIPM.
108	Provide system diagnostics, including, but not limited to, error detection, auditing, logging, and correction. I.e., Thread dump, log viewer, built in tools to troubleshoot
109	Support backward and forward release compatibility for all solution components. For example, applications within have "roll-back and roll-forward" (RBRF) capability and all information exchanges will have RBRF capability. If core changes and our customized code breaks, backward capability needs to be maintained.
110	Support a comprehensive event-alerting real-time design that supports identification and diagnosis of application issues prior to them becoming critical in nature.

## Technical Requirements

#	Technical Requirement Text
111	The solution provider will provide an efficient methodology and standard procedures for system maintenance and upgrades that can be evaluated against a quality assurance process.
112	Provide IDEs that enable the development and maintenance of services and solution features. This requirement is for an interface for development support.
113	Provide independent production and development application environments. It will also include additional testing, training and staging application environments as needed.
114	Use automated load/stress testing software to measure system performance.
115	Provide a configurable trace/logging and/or debugging facility to assist with troubleshooting. E.g., utility that breaks up log.
116	Be capable of interfacing with existing web services (e.g., Inmate Web Service [IWS], Employee Web Service [EWS], etc.). The Inmate Web Service (IWS) and the Employee Web Service (EWS) each contain data elements related to inmates and employees respectively. The system must be capable of ingesting and displaying these elements. Formats will be provided during system implementation.
117	Create an interface via the service capabilities of Inmate Web Service (IWS).
118	Create an interface via the service capabilities of Employee Web Service (EWS).
119	Create an interface via the service capabilities of Visitor Web Service (VWS).
120	Create an interface via the service capabilities of Inmate Web Service (IWS) for Security Risk Group (SRG) Information.
121	Allow for the exchange of data with and between other internal and external systems.
122	Support and comply with W3C Web Services Standards.
123	Support and comply with NYC DOC XML standards.
124	Provide the ability to auto-populate solution fields when the data is available from an internal or external data source. Systems integration refers only to DOC systems.
125	Be designed to support a 100% increase over expected throughput and workload, based on the provider's estimate of loading given user volumes, activity, and information exchanges listed in this specification.
126	Be able to support 100 concurrent users and will be scalable to handle a future total of up to 500 concurrent users, including the increased processing requirements, as well as increased data or linking requirements. .
127	The solution will allow the agency to configure the list of values for lookup tables, including key case attributes (case status, case disposition, etc.).
128	Create and maintain a list of valid event/activity types with a configurable set of attributes (e.g., appropriate case types, required participants, etc.).
129	The solution will be able to store a configurable number of Agency specified data elements related to an organizational unit, a person, a case, an artifact, and an event/action.
130	Provide a standard address data structure.
131	Provide a standard case charge data structure.
132	Provide a standard case cross reference data structure.
133	Provide a standard case management action data structure.
134	Provide a standard court data structure.
135	Provide a standard document / electronic content data structure.
136	Provide a standard incident data structure.
137	Provide a standard injury data structure.
138	Provide a standard inmate data structure.
139	Provide a standard legal counsel data structure.
140	Provide a standard place to enter and maintain a Memorandum of Complaint number and description.
141	Provide a standard organization data structure.
142	Provide a standard person data structure.
143	Provide a standard plaintiff data structure.

## Technical Requirements

#	Technical Requirement Text
144	Provide a standard service data structure.
145	Provide a standard staff data structure.
146	Provide a means to record the relationship between 2 persons.
147	Provide a means to record the relationship of a person with an incident.
148	Provide a means to record the relationship of a person with a case management event.
149	Provide a means to record the relationship of a person with a case management action.
150	Provide a means to record the relationship of a person with a case initiating submission.
151	Provide a means to record the relationship of a person with a case.
152	Provide a means to record the relationship between a case and electronic documents/media.
153	The solution will support the intake, entry, maintenance, and tracking of pre-case incident/event reports, including the support of all activities and information input prior to an event becoming an official case.
154	Enter and maintain CIS information
155	Enter, maintain and link 1 or more involved staff to a CIS.
156	Enter, maintain and link 1 or more involved inmates to a CIS
157	Enter, maintain and link 1 or more case management actions related to a CIS
158	Enter, maintain and link 1 or more Incidents to a CIS
159	Enter, maintain and link 1 or more activities to a CIS
160	Link multiple charges, one primary and unlimited secondary, to a CIS.
161	Link various case/event numbers used by external organizations, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.
162	The solution will support the intake, entry, maintenance, and tracking of case/event including the support of all activities and information input once an Investigation case is initiated.
163	Enter and maintain Investigation case information
164	Enter, maintain and link 1 or more involved staff to an Investigation.
165	Enter, maintain and link 1 or more involved inmates to an Investigation.
166	Enter, maintain and link 1 or more actions related to an Investigation.
167	Enter, maintain and link 1 or more Incidents to an Investigation.
168	Enter, maintain and link 1 or more activities to an Investigation.
169	Link multiple charges, one primary and unlimited secondary, to an Investigation.
170	Link various case/event numbers used by external organizations to an Investigation Case, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.
171	The solution will support the intake, entry, maintenance, and tracking of case/event including the support of all activities and information input once a Trials & Litigation case is initiated.
172	Enter and maintain Trials & Litigation case information
173	Enter, maintain and link 1 or more involved staff to a Trials & Litigation case.
174	Enter, maintain and link 1 or more involved inmates to a Trials & Litigation case.
175	Enter, maintain and link 1 or more actions related to a Trials & Litigation case.
176	Enter, maintain and link 1 or more incidents to a Trials & Litigation case.
177	Enter, maintain and link 1 or more activities to a Trials & Litigation case.
178	Link multiple charges, one primary and unlimited secondary, to a Trials & Litigation case.
179	Link various case/event numbers used by external organizations to a Trials & Litigation case, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.
180	The solution will support the intake, entry, maintenance, and tracking of case/event including the support of all activities and information input once a Legal Division case is initiated.
181	Enter and maintain Legal Division case information



## Technical Requirements

#	Technical Requirement Text
182	Enter, maintain and link 1 or more plaintiffs to a Legal Division case.
183	Enter, maintain and link 1 or more involved staff to a Legal Division case.
184	Enter, maintain and link 1 or more involved inmates to a Legal Division case.
185	Enter, maintain and link 1 or more actions related to a Legal Division case.
186	Enter, maintain and link 1 or more incidents to a Legal Division case.
187	Enter, maintain and link 1 or more activities to a Legal Division case.
188	Enter, maintain and link 1 or more legal counsel to a Legal Division case.
189	Enter, maintain and link 1 or more documents to a Legal Division case.
190	Link various case/event numbers used by external organizations to an Legal Case, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.
191	The solution will support the intake, entry, maintenance, and tracking of case/event including the support of all activities and information input once an Office of Labor Relations case is initiated.
192	Enter and maintain Office of Labor Relations case information
193	Enter, maintain and link 1 or more plaintiffs to an Office of Labor Relations case.
194	Enter, maintain and link 1 or more involved staff to an Office of Labor Relations case.
195	Enter, maintain and link 1 or more actions related to an Office of Labor Relations case.
196	Enter, maintain and link 1 or more incidents to an Office of Labor Relations case.
197	Enter, maintain and link 1 or more activities to an Office of Labor Relations case.
198	Enter, maintain and link 1 or more legal counsel to an Office of Labor Relations case.
199	Enter, maintain and link 1 or more documents to an Office of Labor Relations case.
200	Link various case/event numbers used by external organizations to an ORL Case, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.
201	The solution will support the intake, entry, maintenance, and tracking of case/event including the support of all activities and information input once a EEO case is initiated.
202	Enter and maintain EEO case information
203	Enter, maintain and link 1 or more grievant to a EEO case.
204	Enter, maintain and link 1 or more involved staff to a EEO case.
205	Enter, maintain and link 1 or more actions related to a EEO case.
206	Enter, maintain and link 1 or more incidents to a EEO case.
207	Enter, maintain and link 1 or more activities to a EEO case.
208	Enter, maintain and link 1 or more legal counsel to a EEO case.
209	Enter, maintain and link 1 or more documents to a EEO case.
210	Link various case/event numbers used by external organizations to an EEO Case, including but not limited to COD number, referral number, DOI number, and case numbers for various service providers and social service agencies.

## Forms Requirements

#	Form/Letter Title	Description	Output Type	Freq.
1	Form 22B- Employee Institutional Performance Record	Employee Institutional Performance Record is a form used to record employee performance issues.	Form	On Demand
2	2232R- Reasonable Accommodation Request	<p>Reasonable Accommodation Request form is used to request reasonable accommodations to enable qualified employees with disabilities, religious or domestic violence issues, to reasonably perform the essential functions of their job. The form includes the following sections: Employee contact information and accommodation request, Position and work location information - as an applicant or employee, a section for the supervisor and a section for the DRC for capturing comments and information about the request and the decision by the Supervisor staff.</p> <p>Employees obtain and complete the forms as the initial step of the request, manually filling in the form. Forms are available from the Department of Personnel Division and Applicant Investigation Unit, the EEO and the Facility's Administration Office. Most people will not have access to the system to prepare the forms.</p>	Form	On Demand
3	EEO Discrimination Form	<p>The EEO Discrimination Form is used to record information related to discrimination against an employee or applicant. The form includes name and demographic data as well as staff information (title) work location (Command/office, supervisor), information about the discriminated event/incident (discrimination bases, information on the person who discriminated, date, location, witnesses, who reported to, where reported to, complaint number and date., Description, Corrective Action taken, signature).</p> <p>Employees obtain and complete the forms as the initial step of filing the discrimination, manually filling in the form. Most people will not have access to the system to prepare the forms.</p>	Form	On Demand
4	Request for Mediation	<p>Related to the EEO Discrimination Form used to request the DOC EEO Officer attempt to mediate the claim instead of a formal investigation. Provides for name and signature of Complainant, or authorized agent and name and signature of EEO Officer and date.</p> <p>This is a confidential form attached to the case and manually completed and input into the system.</p>	Form	On Demand



## Forms Requirements

#	Form/Letter Title	Description	Output Type	Freq.
5	Witness Information Form - Confidential	Related to the EEO Discrimination Form used to capture witnesses associated with a complaint. The form allows for the recording of Complaint number, Complainant name and witness information (Name, Agency, Division, Title, Address/Location and Telephone. A form is completed for each witness.  This is a confidential form attached to the case and manually completed and input into the system.	Form	On Demand
6	Probation Agreement Form (Form AF#1)	Notification form on DOC letterhead used to document probation agreement. Identifies the Respondent, shield number, probation period, Respondent address, respondent attorney, Department Attorney, Respondent Attorney, Commissioner or Designee, Date of Acceptance,	Notifi-cation	On Demand
7	Probation Violation Letter of Termination	DOC notification of termination due to probation violation.	Notifi-cation	On Demand
8	Medical separation/termination due to Work-Related disability	DOC notification to an employee advising of termination due to inability to perform full duties for a work related cause. The notification is part of a package with medical records and other case information. The notification letter details the case information and hearing request info. Data includes name and address and rank/title of respondent and witness name, rank/title to be signed upon receipt.	Notifi-cation	On Demand
9	Medical separation/termination due to Non-Work-Related disability	DOC notification to an employee advising of termination due to inability to perform full duties for a non-work related cause. The notification is part of a package with medical records and other case information. The notification letter details the case information and hearing request info. Data includes name and address and rank/title of respondent and witness name, rank/title to be signed upon receipt.	Notifi-cation	On Demand
10	NPR-Negotiated Plea Agreement	Form used to document plea agreement to settle discipline matter. Identifies the Respondent, respondent attorney, conference data, penalty for the charges, disposition and signature information.	Print out for fill-in	On Demand
11	Resignation Letter	The form is used to satisfy charges through resignation. The form includes Date, Name, Resignation reason, Signature, Rank/Title, Shield number, Assignment, Witness (Department Witness, Name, Rank, Assignment, and Non-Department Witness), Command and Unit information and if there is a complaint pending.  The form will generally be manually completed and attached to an existing case.	Print out for fill-in	On Demand
12	Appointment for OATH Pre-trial	The form is used to capture information used to facilitate a pre-trial conference. The form includes Case name, Date/Time of Pre-Trial Conference, Assigned Attorney, Date Received, Date Served, Served by, instructions for delivery, cc: to Respondent's Attorney.	Print out for fill-in	On Demand

## Forms Requirements

#	Form/Letter Title	Description	Output Type	Freq.
13	Appointment for OATH Hearing	The form is used to capture information used to facilitate a hearing. The form includes Case name, Date/Time of Pre-Trial Conference, Assigned Attorney, Date Received, Date Served, Served by, instructions for delivery, cc: to Scheduling Unit, OATH.	Print out for fill-in	On Demand
14	Warden Notice of Charges Served - Civilian	Notification to Warden regarding Step I conference with the employee. The form letter is sent to Warden from T&L Assistant Commissioner with summary information of grievance (employee name, referenced law cited, employment information, referencing the grievance package). cc: to Director of Labor Relations.	Notifi-cation	On Demand
15	22-R Employee Performance Service Report	A form used to capture DOC Employee performance evaluations and/or issues. The form indicates the report date, report type (e.g., Probation Evaluation, Promotion Evaluation, etc.), General Information: Name, Rank/Title, Shield Number, Employee Type, Assignment (current and past), DOA, Gender, Address, Phone, firearm info, Recognition, education history and training; Corrective interviews history; Command Discipline history; MOC history; with Recommendations, Remarks and Commanding Officer Signature line, There is a part B with the Attendance Record and Lateness Record.  The source of some of the information should come from the HR system.	Print out for fill-in	On Demand
16	Negotiable Probation Agreement (NPA) Form	The form is produced based on the OATH results and disposition of the case. The form includes the name of the respondent, DR No., Shield number, Probation period, Department Attorney, Respondent Attorney, Respondent's address, date, with signature lines for the above and the Commissioner or Designee.  This form could be generated based on the results of the hearing and then manually updated with signatures.	Print out for fill-in	On Demand
17	OATH Pre-trial Conference Note	The form with DOC branding is used to capture information used to facilitate a pre-trial conference. The form includes Assigned Attorney, Date, Case Type, Respondent(s) name and DR number, Factual Case Summary, Recommended Plea Agreement, Respondent Position, NPA Executed Date, Adjourned Date, Reason, Trial Date(s) and Witnesses.	Print out for fill-in	On Demand
18	Voucher-Video/Audio	Form used to record all evidence associated to an investigation. Two types of forms are maintained. One for digital versions of Audio/Video and one for physical/trace evidence. Voucher log book consists of the forms with sequential numbers and presents: type of evidence, assigned investigator, rank, shield, command, inmate name, age, B&C #/NYSID#, date of report, description of items vouchered, evidence location, signature/supervisor/rank, shield #, signature/assigned investigator, shield.		On Demand

## Forms Requirements

#	Form/Letter Title	Description	Output Type	Freq.
19	Chain of Custody Form	Form used to track all evidence associated to an investigation. Form completed each time evidence is removed from or returned. Form presents: date, time, received by, name and signature, disposition (reason for removal), received from, name/signature.		On Demand
20	Chain of Custody Envelope Label	Two labels are used for the tracking of electronic evidence: Accepted Custody and Received/Released to Custody. These labels are completed when evidence initially stored and when moved. Labels present: Signature, Shield, Date, Time, Location, Reason.		On Demand

## Interface Requirements

#	Interface	Description	Direction	Freq.	Data
1	IWS - Inmate Web Service	Allow the CMS to retrieve Inmate information from the Inmate system using the IWS.	Inbound	On demand	The interface should allow the user to view all inmate information (such as incarceration, court case, charges, housing history, alias, warrant, etc. in xml format) in support of the investigation activities.
2	EWS- Employee Web Service	Allow integration with the Employee Web Service (EWS) and allow the CMS to import employee information and populate the corresponding CMS fields with employee data associated with the incident or case.	Inbound	On demand	Employee demographic data, ID, Shield number, Appt date, rank, title, payroll distribution etc. in xml format.
3	VWS - Visitor Web Service	Import data from the Visitor Express when visitors are associated with an event or case in CMS. This data must be accessed through the EWS Web Service.	Inbound	On demand	Visitor demographic information and inmates visited, all the visits that a visitor has, information about all juvenile that a visitor has, information about all infractions that a visitor has.
4	Outlook	MS Outlook is the DOC's email system used to manage emails and calendars. The outbound interface will send email notifications and meeting requests to the Exchange Server.	Outbound	On demand	Meeting information: start and end date, start and end time, subject, location, body text.  <b>Email notifications: To email ID, CC email ID, Subject, Body text, attachments</b>
5	Outlook	Import outlook contact information and schedule availability information.	Inbound	On demand	Contact name, title, email address, phone, address, calendar availability.
6	IRS - Incident Reporting System	Import data from the Incident Reporting System. Currently, Central Operations distributes a daily incident report every 24 hours reporting the incidents that occurred. This alerts DOC Divisions to intake a use of force case.	Inbound	Near real time	Incident type, date and time, description, officer contact information, complainant information, respondent information, witness information, comments
7	PRS - Personnel Reporting System	Export case dispositions that result in personnel actions that must be logged to the staff's HR File.	Outbound	On demand	Notices to HR for including in employee file.

## Interface Requirements

#	Interface	Description	Direction	Freq.	Data
8	Genetec	Request video files from the Genetec video archive and access copies of files stored a shared drive.	Inbound	On demand	You have to login to Genetec in order to play Archived Video. If you export Video to a CD, you need to export it with the Genetec Player if you want to play the video from a PC that does not have Genetec installed. Genetec Video will not play from any other media player other then Genetec.
9	LDAP	Send login credentials to LDAP to authenticate a user against LDAP server.	Outbound	On demand	Login ID and password.
10	LDAP	Import credentials from the LDAP security profile.	Inbound	On demand	Security credentials.
11	USPS	Validate address and zip code information against USPS address validation service.	Outbound	On demand	Address and zip code.
12	HMD Clipper System	The Clipper system data will be used to initially populate a case in the new system. Authorized users will be able to pull in information from the Clipper system. HMD utilizes the Clipper system to record all uniform absences from work. The Clipper system captures sick desk call data initially reported by the MOS. The system is also used to additional information following the initial absence entry. For example, the system is used to Log In/Out related to chronic absence cases and clinic appointments. The system is also used to generate reports.	Inbound	On demand	MOS identification details based on employee reference # (obtained through data feeds from the payroll management system), medically monitored return designations (MMR1, MMR2, MMR3), HMD evaluation appointments, assigned illness code, return-to-duty date (RTD), status of required documentation (?), address while absent, days absent, sick assignment #, and log-out/log-in status, location and reason code for log-out.
13	HMD Sick Report Teletype	At the end of each tour, at least an hour before shift change, HMD must generate a sick report teletype using the Bulletin Broadcast System (BBS).	Outbound	On demand	Last name, First initial shield rank command sick code comp tour Example: TOTOUGH, U 16100 CO RNDC 06 N/Y-(1,2,3,) 1500  If MOS is a continue sick in the "TOUR" field enter "CONT-SICK" EX: SEYMORE, B 8796 CO OBCC 17 N CONT-SICK

## Interface Requirements

#	Interface	Description	Direction	Freq.	Data
14	HMD Return to Duty Teletype	Once the clinic is closed we must generate the return to duty teletype. This notifies the commands of any members who have been returned to duty whether it's Modified or Full duty.	Outbound	On demand	Last name, 1st initial shield rank command date and RTFD (F) / MMR (M)

## Data Migration Requirements

#	Data Source/ System	Description	Platform	Comments and Other Considerations
1	ITTS - The Investigation Trials Tracking System	<p>The Investigation Division(ID) uses the database application to manage ID workload and cases. ID Teams and individual investigators manage their caseload with the system. ID investigators document each investigative actions. Prior to responding to a callout, investigators can also search the database to see if an inmate or staff member has any prior cases with the I.D.</p> <p>The system contains information such as which investigator is assigned a specific case, case detail information (date case was opened, date case was closed, involved staff/inmate(s), charges generated against staff, case progress) and case status of Trials Division cases (charges served, charges administratively filed).</p>	Access	<p>Information can be found in the DOC Investigation Division Reference Guide.</p> <p>Not all ID case information contained in the paper file is maintained in the ITTS database, such as certain evidence and investigative actions.</p> <p>ITTS can be used to populate master tables: Role, Facility, Job Title, Incident Type, Referred By Codes, Disposition Type, Disposition Reason Codes, Type of Force, Type of Injury, Location, Area, Weapon Type. The data would need to be verified against the T&amp;L ITTS data.</p>
2	ITTS - The Investigation Trials Tracking System	<p>T&amp;L uses the database application to track cases. The system contains case information such as which attorney is assigned, case detail information (date case was opened, date case was closed, involved staff/inmate(s), charges generated against staff, case progress) and status of Trials Division cases (charges served, charges administratively filed).</p>	Access	<p>T&amp;L also use the T&amp;L system to manage cases. ITTS doesn't have the entire case history as T&amp;L does. The ITTS T&amp;L data must be merged with the data from the T&amp;L System.</p> <p>ITTS can be used to populate master tables: Role, Facility, Job Title, Incident Type, Referred By Codes, Disposition Type, Disposition Reason Codes, Type of Force, Type of Injury, Location, Area, Weapon Type. The data would need to be verified against the Investigations ITTS data.</p>

## Data Migration Requirements

#	Data Source/ System	Description	Platform	Comments and Other Considerations
3	Time Matters	<p>Legal Division uses this application to track cases, which includes:</p> <ol style="list-style-type: none"> <li>1) Cases (Lawsuits) – i.e. personal injuries, etc.</li> <li>2) Comptroller Claims – i.e. loss of personal clothing, telephone not working</li> <li>3) FOIL – Freedom of Information Law – request for information</li> <li>4) Mail</li> <li>5) Miscellaneous</li> <li>6) Incoming Telephone Calls</li> <li>7) Service</li> <li>8) Subpoena</li> </ol> <p>Information captured includes: Plaintiff data (e.g., inmate, Book and Case number, NYSID) and Defendant data (e.g., employee, emp ID, Shield number), case data (e.g., Case numbers, Case name, date opened), attorneys assigned based on rotation, assignment E-mail, Law Department attorney assigned, Case Closing data (e.g., disposition, date, stage closed)</p>	MS SQL	Legal Division's unique file number assigned to the matter – the data mask is NNNN/YYYY where NNNN represents the next available whole number and YYYY is the current year.
4	Time Matters	EEO uses Time Matters to capture EEO complaints, but not consistently. The system can be used to source partial case information, but the data is not complete. The system is used to capture complainant and respondent information.	MS SQL	
5	Time Matters	The Trials & Litigation System was the original system used to record and track cases. It is now used to search through all cases. It is easier to use than ITTS, so it has more information.	MS SQL	



## Data Migration Requirements

#	Data Source/ System	Description	Platform	Comments and Other Considerations
6	OLRMS - Office of Labor Relations Management System	The Office of Labor Relations keeps track of its cases by a cumbersome Access database that was started around 1998 and has from the beginning had many more fields than can be used or be of practical use. The system is currently used to generate a unique, identifiable number and name for the case/informal that is used to label the file for storing in numeric order. The database is broken into formal 'grievances' and 'informals', a division which can be arbitrary at times. The grievances are broken down into disciplinary and non-disciplinary and into different stages. There can never be enough staff to complete all or most of the fields and keep them up to date. There are multiple text fields, making searches more complicated than necessary and reports hard to read.	Access	OLRMS-short-documentation, the system was used as an index to uniquely identify grievances, informals and cases. IT was not the primary tool for case management.
7	MS Outlook	Labor Relations uses Outlook to store documents and correspondence related to Labor Relations cases and various topics. The folders are organized by person or topic within a certain year. The folders are archived to once the new year occurs. The structure is designed to facilitate storing and accessing items.	Outlook PST files	The PST data will NOT be migrated to the new system.
8	MOC Number Database	The MOC Number Database is an application that records and tracks complaints (i.e., formal charges and specifications) against members of the Uniformed Force. For each case, Complaint info (MOC Number, Facility, Issued On date, Description, Violation Date, Summary Susp), Case info (Person assigned, Status, Due Date, Issued To, Issued By, CD Refusal, Positive Dole, Recommendation, Date Received, Reviewed By, Remarks, Date Sent to Trials, Date Returned from Trials, Final Disposition, Disposition Date), Complainant Info (Last Name, First Name, SSN, Shield number, Rank, DOA, DOP, Awol, Sick Leave)	Access 2002	The database and application are fragile, with limited to no documentation available. However, the data is rigorously maintained and will be a good source for verifying data. The data is redundant to the information in ITTS.

## Data Migration Requirements

#	Data Source/System	Description	Platform	Comments and Other Considerations
9	Media files	The DOC maintains media files (video, audio and scanned documents) on the shared drive.	Genetec	The media files will not be migrated to the CMS. Instead the approach is to interface to the Genetec application to view and link to videos files stored on the shared drive.
10	Late call in	MOS calls in with less than one hour remaining prior to start of tour	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
11	Fails to appear	MOS does not show up for HMD appt.	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
12	Insufficient documentation	MOS does not provide sufficient supporting documentation for an absence	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
13	Confined to residence compliance issues	MOS either does not log back in as required, or has excessive log outs, or is not home when required	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
14	Chronically absent	MOS absence duration and/or frequency is excessive	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
15	Medical Incompetence	HMD Case Management nurses track chronically absent using this database	Access	Incident is recorded in Clipper. An Access database is used to create needed reports.
16	Worker's comp	Used to track scanned in paper work from facilities on worker's comp	Access	Used for reporting and stats

**REVISED – Date: 06/10/2020**

**Attachment B - CMS Phase II UOF Updates**

## Use of Force Updates

#	Summary	UOF Update Descriptions
1	ID Investigation Move Workflow Button	For investigations findings approval cycle only, move the <b>Submit to supervisor/submit to DDI</b> buttons in the investigations findings page.
2	ID Investigation Event Log	We need some type of investigation event log. (like the incident event log) We saved as the investigator, created an MOC, then went back to the investigation. We could not find a way to tell where we were in the approval cycle of the investigation.
3	Investigation Interview Print Out	If investigation interview tab can be printed out as a formal report, we can use it as an option for corrective interview (let's discuss because we need respondent's signature)
4	Facility MOC Creation Permissions	Only DWs and above on the Facility side should be able to create an MOC, anytime
5	Scheduled Risk Penalty field Update	Scheduled Risk Penalty - change this free text field to a drop down for 1 day, 2 days, 3 days, 4 days.
6	Book and Case Number Ordering	The book and case numbers are not in order. The first three digits are a facility code. Digit 4 and digit 5 are the year. I.e., 9800900462 and 9501500009 are out of order. 9501500009 occurred in 2015. 9800900462 occurred in 2009. To list these with the most recent on top, 9501500009 should be listed first.
7	CD Date of Violation = Date Incident Occurred	When creating a new CD, and user searched for incident, auto-populate the date of violation = date incident occurred.
8	Civil Service Appeal Penalty Drop Down	Civil Service Commission Appeal Penalty drop down list is incorrect. This drop down list should include: Suspension, Termination, and Dismissal of Charges. If Suspension is selected, provide the penalty unit (days) and quantity boxes
9	Settlements/Disposition Tab	The settlements/disposition tab should auto-populate based on what the user enters in the other tabs
10	Settlements/Disposition Auto Creation	Anytime there is a saved record with at least one Trial date entered on the OATH page (see screen shot), the system needs to create a Settlements/Disposition record (see screen shot). Reason is, the settlements/disposition tab is supposed to be the go to place for anyone who is looking at the case to get an accurate snapshot of the outcome. It would be confusing to see no settlements/disposition record.
11	Action of Commissioner/Appeal Penalty Listing	We replaced the appeal with an action of the commissioner. Once the appeal was removed, it should not show up on the listing on the penalty tab of the action of commissioner/appeal section. Updated by and updated date fields for the current action (action of the commissioner) should be reflected in the above listing table.
12	OATH Trial field	Once user selects <b>yes</b> for <b>Was there an OATH Trial</b> , both the pre-Trial recommendation and the OATH ALJ Recommendation tables should populate..
13	Disposition drop down in Settlement/Disposition	In the Disposition drop down list, remove charges pending at OATH. When Vacated office is selected for Disposition in the Settlements/Disposition, add a Vacated Office date field.
14	Closing Record Sign as Title	Change sign as title in the drop down list to Deputy General Counsel of Trials.

## Use of Force Updates

#	Summary	UOF Update Descriptions
15	Converting system to military time format	Move the system to military time format.
16	Charges and Specs Appear on Settlement/Disposition page	Trials wants charges and specs to appear on the settlements/disposition area.
17	Signatures and the approval cycle	Whenever a Trials user anywhere in the approval cycle, makes a change on a page that has signatures, the person who made the change needs to have re-signed the document.
18	Signatures and the approval cycle - Resigning records	If someone lower in the approval cycled re-signs, all subsequent approvers need to re-sign.
19	Validate the Related Incident Manual Entry field for CD and MOCs	Validate the format for the Related Incident Manual Entry field for CD and MOCs. The format should be ####/17.
20	Trials Attorney: Creates Settlements/Disposition Record	Settlement Disposition page:: Change <b>Was there OATH ALJ Penalty Imposed? To Was the OATH ALJ Penalty Imposed?</b>
21	Settlements/disposition	Settlements Dispositions screen <b>NPA No OATH Trial</b> field should not have auto populated.
22	Trials Attorney: Amending Initial Charges & Specifications record	When <b>Charges Amended</b> = Yes, the user needs to be able to start a fresh set of specs and charges.
23	Match Prelim Review Workflow Action to Incident Status	The value in the Workflow Action field should match the value listed in the Status field on the Incident page. For example if the ID Investigator selects Presumption Investigation Complete the Preliminary Review Workflow action should say: <b>Presumption Investigation Complete - Pending Supervisor Approval</b> . Then once the ID Supervisor approves the workflow action field on preliminary review would say: <b>Presumption Investigation Complete - Pending DDI Approval</b> .
24	CD Accept field should not be editable	The Hearing Officer should not have the ability to make changes to the CD Accepted field once they have submitted their initial answer. A CD cannot be rejected once it has been accepted. DOC had no idea they would be able to edit this field.
25	11 CMS Auto-generated emails sent to one user for 0564/18	For the ID Takeover email notifications, copy the DOC ID users only once per ID takeover. Each ID person is currently receiving this notifications as many as five times.
26	Command Discipline - CD must be served within 5 days	The following email notifications about a notification being sent to the Hearing Officer to serve a CD are erroneous and need to be deleted. From: Case Management System [mailto:cms@doc.nyc.gov] Sent: Wednesday, March 21, 2018 1:03 AM Subject: Command Discipline - CD must be served within 5days Command Discipline Log #:989/18 must be completed within 5 days.
27	New request from DOC - Document Clerk assignments	DOC requests the following change to document clerk assignments: a. Allow more than one document clerk to be assigned to any incident b. Automatically assign the document clerks based on document clerk organization hierarchy and the incident facility (like DDI assignments)
28	Grant Legal Support role Access to UOF Package	Our users have realized they need the Legal Support role to be able to produce the UOF package

## Use of Force Updates

#	Summary	UOF Update Descriptions
29	Ability to update a PIC	Allow the DDI to update the Preliminary Review outcome. The DDIs need something like the ID takeover functionality, even after the Preliminary Review has been completed.
30	Post 3 Conclusion Questions on Preliminary Review page	If the answer to the any of the following 3 questions is <b>yes</b> , then the case would need to be a Full ID: a. Staff reassignment during investigation b. DOI Referral for Inmate c. DOI Referral for Staff
31	Comment section not editable for photo record deleted in IRS	When a photo is deleted in IRS, CMS correctly notes the photo as <b>deleted in IRS</b> . However, the comment section is not editable. See incident 1708/18 in prod as an example. This rated as critical because Nunez Federal monitor requires that comments are added in CMS for all photo attachments. Neither the facility user nor a sys admin can currently edit the comment section.
32	ID Investigator: Creates Investigation Findings/Submits to ID Investigator for Approval	Prevent an ID Investigator from submitting an investigation with charges for approval before creating and submitting the MOC.
33	Training Feedback - Date Commissioner Signed for Field	Date Commissioner signed field should not be a required field on the Action of Commissioner/Appeal page.
34	Commanding Officer Review. Inappropriate for CD Default to No	When Inappropriate for CD is yes then Proposed Penalty Affirmed should default to No.
35	ID Investigator: Preliminary Review info	Preliminary Review: Need to be able to add a video without having to answer all required questions first.
36	ID Tracking should be able to assign/reassign	<p>ID Tracking role should have access to assign and/or reassign (DDI, Supervisor and Investigator) whether it be on an incident or an investigation. The ID Assignments role was created instead of allowing the ID Tracking role to have this access. So now, the same people have two roles, instead of being able to do what is needed with a single role (ID Tracking). Can the ID Tracking role be updated to include the ability to assign and/or reassign (DDI, Supervisor and Investigator) whether it be on an incident or an investigation?</p> <p>Overall, the ID Tracking role should have access to assign and/or reassign (DDI, Supervisor and Investigator) whether it be on an incident or an investigation, as well as full editing capabilities in order to add any necessary information to any open incident and/or investigation, including (including the ability to add/edit activity, witness, participant and injury information). If this can be done, it is not necessary to have the ID Assignments role.</p>

## Use of Force Updates

#	Summary	UOF Update Descriptions
37	TC cannot change the paper collecting Captain on a Full ID Investigation incident	Neither the assigned or unassigned Tour Commander can currently change the paper collecting Captain on a Full ID Investigation incident. They need this capability. ID Investigations can take 6 months or longer. The paper collecting Captain needs to continue to be able to add documents. The assigned Captain could very likely change during this time. See the attached screen shots.
38	New ask from ID Request for Workflow Change	<p>In an effort to increase the efficiency of the Investigation Division, it is requested that a change be made in the Workflow progression as it pertains to Preliminary Reviews.</p> <p>Currently, the USE OF FORCE incident makes its way from the DDI to the ID Supervisor to the ID Investigator and then back up the chain.</p> <p>It is requested that when the ID Investigator submits the Preliminary Review to the ID Supervisor and upon approval of the ID Supervisor, then that would be the final approval. We would like to skip the DDI approval in the Preliminary Review process. It is understood that this may be a major workflow change.</p>
39	Commissioner should have access to everything	<p>The Commissioner should have no restrictions in CMS.</p> <p>The Commissioner role in CMS is currently limited to the following five tabs:  T&amp;L  Initial Charges &amp; Specs  Closing  Trials Attachment  T&amp;L Event Log</p> <p>The Commissioner role in CMS does not currently have access to the following tabs:  Case Assignment  OATH  Action Of the Commissioner/Appeal  Attorney Activity Log  Settlements/Dispositions</p>
40	Units for Deduction of Salary should be dollars not days	Fix units

## Use of Force Updates

#	Summary	UOF Update Descriptions
41	Incident review role needs to be prevented from viewing ID-added attachments (other than the required six)	DOC needed to create an Incident Review role. The purpose of this role is to allow certain individuals who work for DOC Chiefs to monitor and report on the status of the 6-required attachments. The users assigned with this role need to search department-wide.  The role works as designed with one problem: we have no way using the sys admin UI of preventing the Incident Review role from viewing ID added attachments (other than the six-required attachments, which is not a problem). Modify the Incident Review role so that the Incident Review users can no longer view ID attachments.
42	Charge No search for Trials	When doing a search for Trials & Litigation Initial Charges, allow the Charge No options to be filtered by Charge type.
43	Ability for ID tracking to modify participant record type	Provide a means for ID Tracking to modify participant record type. ID users need to be able to edit/delete an entry they make into CMS.
44	Make respondent's gender and race fields required on CD	Make respondent's Gender and Race fields required on CDs.
45	ID Director role change to ID AC	We have a single user using the ID Director role. ID requests that the name of this role be changed to ID AC. All related functionality for that role will remain the same.
46	Closed CDs - ability for sys admins to reopen a CD closed by mistake	Can you log the following as a UOF-related Change Request? We recently got a request to help out a Chief who closed a CD by accident. Currently, once a CD is closed, nothing else can be done. We would like to know if you can provide a way for IT to reopen a CD in this type of situation.
47	NYCDOC medium priority issue: Allow DW and Warden to be same person on MOCs	DOC needs to be able to select the same person as the Dep Warden and Warden (when that person has both roles) on MOCs, as can be done on CDs.
48	NYCDOC medium priority issue: Allow the Commanding Officer and Dep Warden to be the same person	For all aspects of CMS functionality where a Deputy Warden sends an item to a Warden, or a Warden would need to send an item to the Deputy Warden, allow the Deputy Warden and Warden to be the same person. Allow either the Deputy Warden to select the Warden, or the Warden to select the Deputy Warden (each as the same person) regardless of whether this is a new assignment or a reassignment.
49	NYC DOC Critical issue: UOF Package Report Findings	Need to be able to produce MOC, CD and Trials data the same way we produce the UOF Package Report
50	Incident Failed IRS Interface Validation	Validate on Book and Case number instead of NYSID
51	Change the frequency of data alerts from 5 minutes to once every hour.	Change the frequency of data alerts from 5 minutes to once every hour.
52	NYC DOC medium priority issue: Allow DDIs to reopen closed facility investigation	DDIs need to be able to reopen a closed investigation so that if needed, ID can take over the investigation, even if it had previously been closed by the Facility.



## Use of Force Updates

#	Summary	UOF Update Descriptions
53	Bulk Transfer Reassignment	<p>Admin users need a way to do a bulk reassignment for users assigned to varying records. DOC admins are being forced to reassign a large amount of users due to the transient nature of facility employees.</p> <ol style="list-style-type: none"> <li>1. The first step of performing the bulk transfer will be to duplicate the standard search functionality. A user will conduct a search for records to be reassigned.</li> <li>2. Search results will show the default view of the BTO searched on. All results will be marked as ready for transfer and the maximum return will be 250. Users can uncheck any records that should not be reassigned.</li> <li>3. After the results there will be a field to select the user to transfer the records to. After the user is selected the role of the user must be selected.</li> <li>4. Once ready the user will click the Transfer button. After the transfer button is clicked a dialog box will display asking the user to confirm the transfer.</li> <li>5. Once the confirmation of transfer has been clicked the screen will refresh displaying a result of all records that were transferred.</li> </ol>
54	NYC DOC medium priority issue: HO assignment fields required	Make the assignment of the Commanding Officer and & Chief required fields in order for the Hearing Officer to save a CD.
55	For incidents that have closed, DOC requests that the workflow status include the reason closed:	<p>For incidents that have closed, DOC requests that the workflow status include the reason closed:</p> <p>Closed – PIC  Closed – Full ID  Closed – Facility Investigation</p>
56	NYC DOC facility access to preliminary reviews and documents	<p>DOC Legal and ID Divisions request the following change:</p> <p>Once a preliminary review is closed with the outcome of a facility investigation, Facility staff assigned to an incident should have access to ID's closed preliminary reviews, and any documents that ID obtained and uploaded during the course of the preliminary review. In all other circumstances, excluding the existing access to the 6 required documents by Facility staff assigned to an incident, the facility should not be able to access either the preliminary review or the attachments uploaded by ID.</p>
57	Create Unchangeable 'Date	Each of the following items applies to all Trials records (cases), migrated or
58	NYC DOC: Trials needs a <b>date of violation</b> field	Add a manually entered <b>date of violation</b> field for Trials cases.
59	NYCDOC medium priority issue: Make the <b>Reason Not Accepted</b> field a required field whenever the CD is not accepted	Make the <b>Reason Not Accepted</b> text box a required field whenever the user takes an action that would require that field to appear.

## Use of Force Updates

#	Summary	UOF Update Descriptions
60	NYCDOC: new required fields for CD Supervisor	Add the following two required fields to the Supervisor section of the CD: Supervisor gender Supervisor race  These should auto-populate the same way the Supervisor employee ID auto-populates, and the Supervisor should be able to modify them.
61	NYCDOC medium priority issue: ID Investigations in Staging 2 currently on hold	The incident workflow status for ID Investigations that are on hold does not reflect that. See the attached screen shot. Update the workflow status to reflect that ID Investigations on hold are on hold.
62	1) ID Supervisor and ID Investigator cannot currently create a standalone CD 2) Investigation findings - closed with charges. Investigator cannot create CD	ID Supervisors and ID Investigators need to be able to create CDs, both Stand Alone CDs and from the Investigations Findings page
63	MOC incident date	For stand alone MOCs with manually entered incidents, need ability to enter the incident date for the first incident listed
64	MOC incident #	Make incident # required for stand-alone UOF MOCs
65	Assigned facility list update	Update CD assigned facility list to eliminate BXDC (leave BXCT)
66	Preliminary Review reason closed field needed	Include reason closed (PIC, Facility Investigation, Full ID Investigation) in the workflow status
67	Carry over penalties entries on Trials screens	Carry over penalties from OATH tab to Settlements and Disposition tab
68	NYSID Search Case Sensitivity	When searching on NYSID, search should not be case sensitive. If we try to enter the above NYSID with a lower case <b>z</b> , we get 0 results.
69	Delete Participants in CMS if Deleted in IRS	A participant who was deleted in IRS needs to be deleted in CMS. No one should be able to bring charges against that person nor should that person be listed on any records associated with that incident.
70	Person removed as participant cannot be assigned to case	After being removed in IRS as the participant a UOF incident, CMS needs to allow DOC to assign that person to the incident.
71	USER NAME CHANGES - General request	When NYC DOC users have a name change or correction, provide a means for DOC sys admins to ensure that change is propagated throughout the system.
72	Selection of Yes for Inappropriate for CD should cause create MOC button to appear	When either a Warden of Chief answers “yes” to the “Inappropriate for Command Discipline, Initiate Formal Charges” field, the “Create MOC” button should appear. Currently, our CMS application is not currently working that way. In fact, the Warden’s decision to require that formal charges be initiated can currently be completely disregarded.
73	Related MOC and Related CD listings display is inaccurate	Display data, including Created by and Created Date associated with the MOC or CD object, respectively, not when the incident was added
74	Provide an Outlook Plug-In that allows any attorney using CMS to save email communications in specific CMS case records	Build functionality on DOC's preferred version of Outlook. Include 2 separate future MS Outlook upgrades in the pricing for this functionality

## Use of Force Updates

#	Summary	UOF Update Descriptions
75	UOF 5003 Monitoring	Provide requirements elaboration, design, configuration, customization, testing, training and implementation tasks for the UOF 5003 Monitoring functionality. <b>See items A - F in the UOF 5003 Monitoring Requirements document.</b> This document contains business level descriptions of the needed UOF 5003 Monitoring functionality.

**Attachment C - CMS Phase II UOF Monitoring Needs**

## **UOF 5003 Monitoring Needs**

- A. Track/document MOS that engage in three or more UOF incidents during a 6-month period, where one or more of the UOF incidents results in an injury to an MOS or inmate. There are several parts here:
1. Track/document names, shield numbers, title/rank, of MOS that were involved in three or more UOF incidents during a 6-month period; **AND**
    - i. The corresponding UOF numbers (three or more) must also be tracked/documented.
  2. One or more of the UOF incidents are Class A or B incidents<sup>1</sup>; **AND**
  3. The term “UOF incidents” includes UOF allegations. So, UOF allegations must also be included in the count.
- B. If “A” above is satisfied, the Facility<sup>2</sup> Warden must review the MOS’s involvement in the UOF incidents and determine whether it is appropriate to meet with the MOS to provide guidance concerning the UOF (“Counseling Meeting”). There are several parts here:
1. A MOS has been involved in three or more UOF incidents in a 6-month period; **AND**
  2. One or more of the UOF incidents are Class A or B incidents<sup>3</sup>; **AND**
  3. The Facility Warden must determine whether it is appropriate to hold a Counseling Meeting with the MOS.
    - i. If the Facility Warden determines NOT to hold a Counseling Meeting with the MOS, the Facility Warden must document the basis for the decision. This must be included in the MOS’s personnel file.<sup>4</sup>
- C. When making the determination per paragraph “B(3)” above, the Facility Warden must also (in addition to any other factors) review/consider the following:
1. Records relating to the MOS’s UOF history over the past 5 years, **including:**

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<sup>1</sup> “Class A incident” means UOF incidents “that require medical treatment beyond the prescription of over-the-counter analgesics or the administration of minor first aid, including . . . one or more of the following treatments/injuries: multiple abrasions and/or contusions, a chipped or cracked tooth, loss of a tooth, a laceration, a puncture, a fracture, loss of consciousness, a concussion, a suture, internal injuries (*e.g.*, ruptured spleen, perforated eardrum, etc.), or admission to a hospital.” [Consent Judgment, page 2, paragraph 3].

“Class B incidents” are UOF incidents that “(a) do not require hospitalization or medical treatment beyond the prescription of over-the-counter analgesics or the administration of minor first aid (*e.g.*, Use of Force Incidents that result in a superficial bruise, scrape, scratch, or minor swelling; or (b) involve the forcible use of mechanical restraints in a confrontational situation that results in no or minor injury.” [Consent Judgment, page 3, paragraph 4].

<sup>2</sup> “Facility” means “any DOC command or institution.” [Consent Judgment, page 4, paragraph 14].

<sup>3</sup> See n. 1 above.

<sup>4</sup> A “personnel file” can be read to refer to an electronic file (such as CMS, or another Department database) related to the MOS, not necessarily a physical personnel folder.

- i. The number of UOF incidents that the MOS has been involved in (in the past 5-year period); **AND**
  - ii. The severity of injuries sustained by inmates in connection with those UOF incidents; **AND**
  - iii. Any disciplinary action for use of force that was imposed on the MOS.
  
- D. Counseling Meetings are **required** (this means, there is no “**B(3)**” determination to be made, and “**C**” above does not apply) IF:
  - 1. Any of the three-or-more UOF incidents in the 6-month period resulted in a Class A Injury<sup>5</sup> to an inmate.
    - i. Injuries resulting from inmate-on-inmate fights do not count. The injury must have been a result of an MOS’s use of force.
  
- E. Whenever a Counseling Meeting is held (regardless of whether the Counseling Meetings is held because it is required under “**D**” above, or the Facility Warden makes a determination to hold one under “**B(3)**”), ALL Counseling Meetings must include:
  - 1. Guidance on how to utilize non-forceful methods to resolve conflicts and confrontations when circumstances do not require immediate physical intervention. **In addition:**
    - i. The following must be documented:
      - 1. A summary of the Counseling Meeting; **AND**
      - 2. Any recommended corrective actions as a result of the Counseling Meeting; **AND**
        - a. “1” and “2” above must be included in the MOS’s personnel file.<sup>6</sup>
  
- F. The Facility Warden’s review under “**B**” and the Counseling Meetings (if done) are separate from any disciplinary actions that may be taken. Counseling Meetings are not disciplinary.

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<sup>5</sup> “Class A Injury” means injuries “that require medical treatment beyond the prescription of over-the-counter analgesics or the administration of minor first aid, including . . . one or more of the following treatments/injuries: multiple abrasions and/or contusions, a chipped or cracked tooth, loss of a tooth, a laceration, a puncture, a fracture, loss of consciousness, a concussion, a suture, internal injuries (e.g., ruptured spleen, perforated eardrum, etc.), or admission to a hospital.” [Consent Judgment, page 2, paragraph 3].

<sup>6</sup> See n. 4 above.

**Attachment D - CMS Phase II Implementation Deliverables Acceptance Criteria**

## CMS Phase II Implementation Services Acceptance Criteria

Task	Task Description	Detail	Acceptance Criteria
<b>Analysis &amp; Design</b>			
Task 1	Project Management and Implementation Approach	1. Project Plan	<p>The Project Plan must describe all deliverables by task. The Project Plan will also describe the Contractor's CMS project-specific:</p> <ul style="list-style-type: none"> <li>• Scope Management</li> <li>• Contractor Resource Management</li> <li>• DOC Roles and Responsibilities</li> <li>• Contractor Roles and Responsibilities</li> <li>• Risk Management</li> <li>• Schedule Management</li> <li>• Quality Management/Testing Approach for all aspects of testing</li> <li>• Training Approach</li> <li>• Communication and Escalation Procedures</li> </ul>
		2. Project Timeline	<p>The Contractor Project Manager must provide a detailed Project Timeline using Microsoft Project.</p> <p>The Project Timeline must address each of the 26 noted items in the Detail column of this document, and must include sub-tasks to a level of detail that allows accurate tracking and reporting on progress for each deliverable on a weekly basis.</p> <p>All entries in the Project Timeline must be linked based on relevant dependencies in a manner that allows for accurate critical path analysis.</p> <p>The Project Timeline must be designed so that an accurate picture of the schedule and progress to date can be represented at an executive summary level by showing the higher level tasks only.</p> <p>On a weekly basis, the Contractor Project Manager must use Microsoft Project to continually re-assess the project's critical path and recommend actions to avoid schedule slips or mitigate impacts when slips occur.</p>
Task 2	Requirements Specification Document	1. Requirements Validation and Analysis	<p>The Contractor must perform a requirements validation and analysis of the requirements listed in the provided Requirements document (referred to as the Noted Requirements going forward) to ensure that the CMS is able to conduct all the functionality described in the Noted Requirements. <b>This review and validation must include on-site, in person (JAD) sessions with DOC staff and subject matter experts</b> to fully understand the scope, purpose, and implications of each of the Noted Requirements. Initial interface and data conversion requirements must also be validated and analyzed at this time.</p>



## CMS Phase II Implementation Services Acceptance Criteria

Task	Task Description	Detail	Acceptance Criteria
			<p>The Requirements Validation and Analysis must be documented in a Requirements Specification Document that is:</p> <ul style="list-style-type: none"> <li>• Correct, complete, and consistent with DOC's business processes and business needs;</li> <li>• Sufficient for beginning application configuration;</li> <li>• Testable</li> </ul>
		2. Annotated Requirements Document	The Annotated Requirements Document must provide the ability to describe and trace the life of each requirement from the requirements validation and analysis (e.g. from source, through configuration, acceptance, deployment and maintenance).
Task 3	Data Migration Approach	1. Detailed Outline (by data source) of how data will be migrated and validated	<p>The Data Migration Approach must include:</p> <ul style="list-style-type: none"> <li>• A detailed description of the strategy for automated and manual conversion efforts;</li> <li>• The DOC-identified data to be converted and the sources of that data;</li> <li>• A detailed mapping of all current to future state data sources;</li> <li>• Identification of the minimum amount of data necessary to effectively operate the system;</li> <li>• Processes to be used for validation, standardization, purification, and "unduplication" of the data. DOC and Contractor staff will jointly make decisions regarding edit criteria, default values, and error exceptions;</li> <li>• Methods for converting the data (automated and manual processes);</li> <li>• Identification of DOC resources required to manually purify, convert data or review the results of conversion activities in test or production;</li> <li>• Identification and development of reports used to clearly demonstrate that the load and all possible situations are handled properly to provide an audit trail for all the data loaded into the system;</li> <li>• How errors will be detected, corrected and how users will be involved in this process;</li> <li>• How all data conversion activities will be monitored;</li> <li>• Fallback strategies in case of data conversion failures.</li> </ul>
Task 4	System Interface Approach	1. Description of how system interfaces will be built and tested	The System Interface Approach Document must specify the data elements that DOC defines for import, the trigger for the import (scheduled or triggered), the target fields to be imported into the CMS, and how errors are handled.
<b>Build</b>			
Task 5	Design and Configuration and/or Customization	1. Design and/or Configured and Customized Base Software	Contractor shall install the base software system on DOC provided hardware. This will include installation of each of the solution components needed to meet the Noted Requirements in the Development, Staging, Test and Production environments.

## CMS Phase II Implementation Services Acceptance Criteria

Task	Task Description	Detail	Acceptance Criteria
			<p>Contractor shall configure the system to meet all of the Noted Requirements.</p> <p>The Contractor must validate successful installation of the product by demonstrating that the implemented solution meets all functional requirements in the Noted Requirements.</p>
		2. Configuration Report	The Configuration Report must specify all product configurations, including cross references to specific requirements.
		3. Database and ETL design and development	<p>The Contractor must provide technical documentation regarding the relational database design, record or table layouts and data dictionary sufficient for DOC to administer the installed, configured system after the warranty period has been completed.</p> <p>The Contractor must validate successful installation of the database by demonstrating that the implemented solution meets all technical requirements in the Noted Requirements.</p>
		4. Reports Design and Development	The Contractor must provide samples of all standard and custom forms and reports with narrative descriptions of all fields displayed on the report, input parameters and an explanation of how to execute each report.
Task 6	Data Migration	1. Data Migration	<p>In accordance with the Data Migration Approach document, the Contractor shall:</p> <ul style="list-style-type: none"> <li>• Convert and migrate DOC legacy source historical data into the CMS target data files and tables; and,</li> <li>• Produce all necessary reports to support the conversion effort.</li> </ul> <p>The Contractor and the DOC project team will review the data migration activities to ensure proper data field mapping and loading prior to acceptance.</p>
		2. Validated migration results and reports	<p>The Contractor shall provide testing results. DOC will validate the data conversion to ensure that it is in compliance with the data conversion mapping as described in the Data Migration Approach document.</p> <p>The data migration tests will be reviewed and evaluated using the same defect ratings used in Phase I. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p> <p>Complete database diagrams detailing the mapping of data sources to the CMS database will be submitted to DOC and the validated data conversion results and reports indicating that all data has been successfully converted.</p>
Task 7	Interface Development	1. Interface Design and Development	The Contractor must conduct design reviews (walkthroughs) with DOC to demonstrate that the interfaces design is in accordance with the System Interface Approach Document.
		2. Interface Test and Results	The deliverable from this task will be the tested and validated interfaces.

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Task	Task Description	Detail	Acceptance Criteria
			<p>The interface tests will be reviewed and evaluated using the same defect ratings used in Phase I. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
Task 8	Testing	1. Integration Test and Results	<p>The Contractor must conduct integration testing to validate the correct operation of all components of the CMS System. Records of the Integration Test results must be provided to DOC.</p> <p>The integration tests will be reviewed and evaluated using the same defect ratings used in Phase I. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
		2. Regression Test and Results	<p>The Contractor must conduct regression testing to validate the to verify that there were no unanticipated side effects to the System. Records of the Regression Test results must be provided to DOC.</p> <p>The regression tests will be reviewed and evaluated using the same defect ratings used in Phase I. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
		3. Performance Test and Results	<p>The Contractor must use automated load/stress testing software to measure system performance in the DOC environment.</p>
		4. User Acceptance Test and Results	<p>DOC will provide a team of users to conduct acceptance testing and document any identified defects. The Contractor will be responsible for resolving defects found during acceptance testing.</p> <p>The user acceptance tests will be reviewed and evaluated using the same defect ratings used in Phase I. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
Delivery			
Task 9	System Descriptions	1. Technical/Operational Descriptions	<p>Product Technical Documentation: The Contractor must provide Product Technical Documentation that describes the technical architecture of the Product.</p> <p>The Product Technical Documentation must also describe hardware specifications.</p> <p>Product Operation Documentation: The Contractor must provide Product Operation Documentation that describes the</p>

## CMS Phase II Implementation Services Acceptance Criteria

Task	Task Description	Detail	Acceptance Criteria
			<p>steps necessary to enable DOC staff to support and maintain the solution in production from an administrative perspective.</p> <p>The Product Operation Documentation must describe the steps and procedures needed to operate the Product on a day-to-day basis. It also must include information relating to system start-up and shut down procedures, backup and restore procedures, batch job submission procedures, security procedures, table maintenance procedures.</p>
		2. Runbook	The Contractor must provide Product User Documentation (i.e. a “Runbook”) that describes the operation of the DOC CMS product from the perspective of the end user. The Runbook should cover sign on and sign off sequences, menu operation, screen descriptions, and means of invoking on-line help tools.
Task 10	Training	1. Description of Training Approach	<p>The Contractor must provide a software Training plan that includes:</p> <ul style="list-style-type: none"> <li>• The proposed Training plan/strategy, including end-users, and technology personnel;</li> <li>• The role and responsibility of the Contractor team in the design and implementation of the Training plan (e.g., development of customized Training materials, delivering Training to DOC end-users); and</li> <li>• The role and responsibility of DOC staff in the design and implementation of the Training plan.</li> </ul>
		2. Customized Product Functional Training	The Contractor must provide customized, on-site, in-person, hands-on training to DOC trainers (Train-the-Trainer training) to for each division/unit prior to deployment to production of that division/unit’s functionality.
		3. Customized Product Technical/Operational Training	The Contractor must provide customized, on-site, in-person, hands-on training to DOC system administrators prior to deployment of any Phase II code to production.
Task 11	Deployment/Go-Live	1. Go-Live Checklist	The Contractor must provide a checklist that contains all the information required to assemble the application, databases and supporting infrastructure in order to place the new system into production. The checklist must describe the tasks and activities (Contractor and DOC) that need to take place to efficiently and effectively move the application from the pre-production (testing, configuration) environment to the production, operations and maintenance environment and to integrate use of into the DOC case management business processes. This checklist must include the DOC approval of testing activities and both technical and functional Training.
		2. Rollout to Production Approach Description	The Contractor must provide a detailed schedule of activities with key go-no go decision points identified throughout the deployment process. This description must also detail a back-out and recovery process to be triggered in the event the turnover to production fails. The back-out and recovery process must ensure that the old System is maintained and restored if necessary and all remaining data remaining available to DOC users with no impact to their job function or activities.

## CMS Phase II Implementation Services Acceptance Criteria

Task	Task Description	Detail	Acceptance Criteria
			Should any of the testing results or other project activities reveal that the data provided by DOC for migration to the CMS was either incomplete, incorrect, or inaccurate, DOC will work with the Contractor to analyze the amount of time needed for DOC to supply corrected, accurate or complete data.
		3. CMS Production Deployment	<p>The Contractor must be available before and after deploying the system to the production environment to help DOC get started using the CMS software. The Contractor staff must be ready to assist with questions, concerns, and able to resolve any issues that may arise.</p> <p>Any bug patches or upgrades that occur during the production deployment will be the responsibility of Contractor with Training to DOC's technology staff.</p> <p>For each deployment of Phase II functionality, once the roll-over to the production environment is completed and the new system is loaded with actual, fully migrated data from the current systems, a 90-day Warranty period will begin. The Warranty Period will exercise all functionality, interfaces, and integration components.</p> <p>Warranty services shall include all system fixes, maintenance and support services at no additional charge to the DOC. During the Warranty Period, the Contractor shall correct any critical severity defects within 48 hours of notification of the defect, correct any high severity defects within 5 days of notification of the defect, and correct any medium severity defects prior to conclusion of the Warranty Period.</p> <p>If the above-stated time frames cannot be met, the Warranty Period will be stopped and restarted once the identified defects have been resolved to the satisfaction of DOC.</p> <p>DOC shall continue to test the system for ninety (90) days in its intended live production environment. In order for DOC Final Acceptance of the system to occur, the system must operate in good working order in its intended live production environment for ninety (90) consecutive days without the occurrence defects unresolved per the above-noted time frames.</p>

**Attachment E - CMS Phase II Payment Structure**

<b>Phase II - Non UOF Functionality</b>	<b>Qty</b>	<b>Cost per item</b>	<b>Total</b>
Cost per case type, to analyze, design, configure, customize, test and deploy to production, the 44 case/process types	44	Provide line item costs per case/process type	
Cost per deliverable for each of the 26 SW Implementation Services Tasks and Documents	26	Provide line item costs per task/document	
<b>Subtotal for Non UOF Functionality</b>			
<b>Phase II - UOF Updates</b>		<b>Per item</b>	
Cost to implement the 73 UOF Change Requests	73	Provide line item costs per issue noted	
Outlook plug-in estimate	1	Include all aspects of implementation (analysis/design, build, delivery) as noted in the implementation services	
UOF 5003 Monitoring estimate	1	Include all aspects of implementation (analysis/design, build, delivery) as noted in the implementation services	
<b>Subtotal for UOF Updates</b>			
<b>Total for Phase II Implementation</b>			
<b>Optional additional 30 concurrent user licenses</b>	30	Provide a cost per license	
<b>Annual ongoing maintenance beginning with the start of the Phase II implementation for the existing 400 concurrent user licenses</b>	400	Provide cost per month and per year for all 400 licenses	
<b>Optional Annual ongoing maintenance for an additional 30 concurrent user licenses</b>	30	Provide cost per month and per year for 30 licenses	