

*Division of Criminal Justice Services*  
*Office of Probation and Correctional Alternatives*

**Statewide Probation Case Management System**

**Request for Information**

**December 17, 2013**

## **A. Purpose**

The purpose of this Request for Information (RFI) is to acquire information to assist New York State regarding vendor capabilities and solutions currently available or which could realistically be designed and developed with regard to implementing a statewide Probation Case Management System (P-CMS). This inquiry is a cooperative venture of the Division of Criminal Justice Services (DCJS)/Office of Probation and Correctional Alternatives (OPCA) along with the Office of Information Technology Services (ITS) Public Safety Cluster.

DCJS/OPCA and ITS will review all responses and use the information received from this RFI to consider the available options and solutions in order to make a determination regarding future contracting options in this area related to probation case management.

This RFI is strictly a mechanism for gathering information and does not constitute a procurement process. No contract award(s) will be made as a result of this request.

New York State hereby requests written information, advice, comments, and recommendations from all interested parties regarding the feasibility and means of creating a comprehensive statewide probation case management system.

This document outlines the broad areas of functionality that are required in such a system. It is not intended to be a detailed description of every function needed, but rather to act as an overview of the main functions required.

## **B. Introduction**

DCJS is a multi-function criminal justice support agency with a variety of responsibilities, including collection and analysis of statewide crime data; operation of the DNA databank and criminal fingerprint files; administration of federal and state criminal justice funds; support of criminal justice-related agencies across the State; and administration of the State's Sex Offender Registry.

Within DCJS is OPCA which exercises general supervision over the administration of probation services performed by local probation departments and the utilization of correctional alternative programs throughout the State.

OPCA supports and facilitates probation services and other community corrections programs through funding and oversight. These programs are generally designed to provide a continuum of sanctions, methods of supervision, and approaches to treatment which, when used individually or in combination, provide options to the judiciary and to the State's criminal and juvenile justice systems for the effective handling of certain offenders and juveniles in the community. The goal of probation and correctional alternative programming services is to reduce offender recidivism and enhance community and victim safety.

OPCA administers a program of state aid funding for local probation services, subject to approved plans, and for local jurisdictions which have approved alternative to incarceration service plans. OPCA also funds other specialized probation and alternative to incarceration programs.

## **C. Probation Case Management**

Case management for probationers, both Juveniles and Adults, is a local governmental level function managed by the 57 County and the City of New York Probation Directors/Commissioners, and is regulated and partly funded by DCJS. Local probation departments are required by Executive Law and other applicable state laws to provide certain primary functions: Family Court Intake (or Preliminary Procedures) and Juvenile and Adult Investigation and Supervision.

## **D. Vision**

The vision for the new P-CMS is for a state-wide system that is scalable for statewide probation department deployment. The new P-CMS should be customizable at county/NYC level, where required, and provide for the storage, retrieval, management, archiving and viewing of information, records, documents or files pertaining to management of probation cases with appropriate confidentiality safeguards.

The new P-CMS should be an easily supported and centrally managed system that will include features to help probation officers in Intake, Assessment by integrating with assessment instruments (i.e. Youth Assessment Screening Instrument[YASI]/Correctional Offender Management Profiling for Alternative Sanctions[COMPAS]), Investigation, Evaluation, Classification, Supervision, Referrals, Intervention, and Monitoring.

## **E. Objectives**

The objectives of this project are to deploy a P-CMS that will:

1. Improve efficiency, accuracy, security and quality of data collection and reporting.
2. Ease first time deployment and any future requests for changes in response to legislative and executive mandates.
3. Provide the capability to electronically receive from, or forward data to, external data sources, either automatically or upon the user's request.
4. Allow for centralized support for all locations to minimize the impact on day to day operations of probation officers.
5. Provide a single shared instance while maintaining independence and data security for any participating jurisdiction.
6. Support integration with NYS criminal history repository (CCH).
7. Support integration with the NYS Integrated Probation Registrant (I-PRS) system.
8. Support integration with the NYS Criminal Pre-Sentence Investigation (PSI) Repository system.
9. Support integration with actuarial risk and need instruments.
10. Provide comprehensive data reporting capabilities for trend analysis.
11. Ensure that probation processes conform to NYS rules and regulations.
12. Allow probation staff to access and enter system data remotely and securely using smart phone, tablet and/or notebook computer equipment.
13. Support the ability for a probation officer and a probationer to have a remote check in through third party internet web applications such as Skype or FaceTime.
14. Integrate identified criminogenic needs, goals, and action steps throughout the investigation and supervision processes within the P-CMS.

15. Support the ability to generate adhoc reports from the data in the system by all probation departments and DCJS.
16. Manage the collection and disbursement of restitution, authorized supervision administrative fees, and court-ordered fines/fees, or other financial obligations in a manner that follows generally accepted accounting principles, minimizes the potential for fraud, is fully auditable, and can generate a variety of financial reports.

## **F. Current System**

Probation Case Management is a local governmental level function and is currently supported through either locally developed or independent installation of commercial products. Currently, the majority of probation departments are using their own standardized case management software product which is interfaced with both local and state systems.

## **G. Functional Requirements**

The minimal functionality of the proposed system, above and beyond that which is described below, must be in compliance with applicable state law and DCJS regulations governing probation and certain other correctional alternative services, more specifically, 9 NYCRR Subtitle H, and must be flexible enough to implement and maintain future regulatory adoptions. Please refer the link below for detailed information:

<http://www.criminaljustice.ny.gov/opca/regs.htm>

## **H. Information Being Requested**

Respondents are asked to address the following topics. Please consider the vision and objectives of this RFI (Sections D and E).

1. Describe current and past successful installations of your system and the geographic jurisdiction it was deployed in.
2. When was your product first released? Describe the number of version/revisions since its initial release.
3. Describe your system's scalability options.
4. Describe your system's user administration, security and auditing (entry, update, view, print, delete) capabilities.
5. Describe how your system adheres to current criminal justice standards; such as the Department of Justice (DOJ) Global JXDM, CJIS security policy compliance and the National Information Exchange Model (NIEM) and technology standards as relating to:
  - a. Access control
  - b. Data retrieval
  - c. Data storage
  - d. Data transfer
  - e. Report generation
6. Describe how NYS probation rules and regulations and local probation policies are, or could be, implemented within your system.

7. Describe your ability to implement a multi-tenant system. Include information on system flexibility options per agency (security, workflow, functions). Explain your experience implementing a multi-agency, multi-jurisdictional and/or statewide system. What lessons were learned from the implementation?
8. Describe your policies towards data ownership in case of hosted, multi-tenant solution.
9. Describe your options and approaches for conversion of data from “Current Systems” (Section F above)
10. Describe your experience interfacing with other automated county, state and vendor systems.
11. Describe the capabilities and functionality of your system with respect to:
  - a. Adult Offender Management (Reference 9 NYCRR Parts 351)
  - b. Juvenile Case Management (Reference 9 NYCRR Parts 351, 354, 356 and 357)
  - c. Criminal Court Investigation Creation (Reference 9 NYCRR Part 350)
  - d. Family Court Investigation Creation (Reference 9 NYCRR Part 350)
  - e. Probation Case Record Management (Reference 9 NYCRR Part 348)
  - f. Assessments
    - i. Document the capabilities of the proposed system or its capabilities to integrate with assessment instruments, such as YASI and COMPAS, used within NYS.
    - ii. Other specialized risk and needs assessments available in the public domain.
  - g. Integration of criminogenic needs, goals and action steps within the system in terms of identifying/selecting needs, tracking/reporting on goals and action steps, and display of these items.
  - h. Associations
    - i. Ability to create/track association between individual clients and friends, relatives, co-defendants, victims, employers, experts, gangs, institutions and any other organizations.
  - i. Ability to capture contacts events with clients and contacts with person other than the client (collaterals).
  - j. Probation Conditions
  - k. Case Management /Work Flow
  - l. Multiple levels of supervisory access and review of data entered, monitoring case status and activities.
  - m. Community Service
  - n. Calendaring
  - o. Supervision Functions (also Ignition Interlock Device Monitoring) (Reference 9 NYCRR Parts 351 and 358)
  - p. Kiosk or Other Remote Reporting Capabilities with Validation
  - q. Interstate/Intrastate Probationer Transfers (Reference 9 NYCRR Part 349)
  - r. Graduated Responses (Sanctions/Rewards) (Reference 9 NYCRR Part 352)
  - s. Violations of Probation (Reference 9 NYCRR Part 352)
  - t. Warrants Management (Reference 9 NYCRR Part 352)
  - u. Program Management (Reference 9 NYCRR Part 347)
  - v. Restitution, authorized Supervision Administrative Fee, Court Fines/ Fees and other Financial Obligations Collection and Disbursement to include check printing capability. Monthly reconciliation capability. Audit capability/fraud safeguards. The ability to generate a variety of financial reports. (Reference 9 NYCRR Part 353)
  - w. Creation of electronic document templates.
  - x. Electronic signature capability for all documents.
  - y. Storage and maintenance of electronic documents. (Reference 9 NYCRR Part 348)
  - z. Uploading of electronic documents.
  - aa. Integration with enterprise portals.
  - bb. Integration with Content Management Systems.
  - cc. Geographic system integration.

- dd. Online help and tutorials.
- 12. Describe how you would accomplish integration at the county level (for example, integrating the CMS with county court and/or county jail information).
- 13. Describe your system's reporting capabilities:
  - a. Standard reports.
  - b. Reports designed to track probationer compliance and change.
  - c. Ad-hoc reporting capabilities
  - d. Tools and technologies used for report generation including exporting to common formats.
- 14. Describe your system's ability for users to function in an offline mode (mobile application or in-car computer out of range, no network connectivity in a station, etc.).
- 15. Explain your approach for disaster recovery and how it supports the sustainability of the application.
- 16. Describe your system's remote access capabilities and security controls (in-car computer, mobile application, capability to log on via a web interface, etc.).
- 17. Describe your support model for a 24 hour /7 days a week/365 days a year agency.
- 18. Describe your system development methodology including secure software development lifecycle methodology.
- 19. Provide information on your system regarding items such as licensing, warranties, installation, and training and on-going maintenance.

## **I. RFI Process**

### **1. Questions and Answers**

All questions regarding this RFI must be submitted via electronic mail to [dcjsprocurement@dcjs.ny.gov](mailto:dcjsprocurement@dcjs.ny.gov) no later than 4:00 PM EST on January 14, 2014. The submission must cite the particular page, section, item number, and sub-item letter.

Please include "Statewide P-CMS RFI" in the subject line for all email correspondence relating to this RFI.

All questions and answers will be posted, by February 11, 2014, to the DCJS website at:

<http://www.criminaljustice.ny.gov/rfi/prob-case-mgt/index.html>

All communications and notices to the vendor community regarding this RFI will be posted to the DCJS website at the internet address identified above. Vendors are responsible for checking the website on a regular basis to ascertain whether any new information or notices have been posted. Vendors should contact the DCJS via electronic mail at [dcjsprocurement@dcjs.ny.gov](mailto:dcjsprocurement@dcjs.ny.gov) if they experience problems accessing the website.

### **2. RFI Response**

The response should include:

- a. Cover Page with company name, contact person and title, e-mail address, phone number, and fax number, company mailing address for mailing of any formal solicitations initiated as a result of this Request for Information.

- b. A written response to all of the areas of information requested by this RFI. Each item you respond to should start with the section, item number, and sub-item letter.

Vendors must transmit their responses via electronic mail to [dcjsprocurement@dcjs.ny.gov](mailto:dcjsprocurement@dcjs.ny.gov) no later than 4:00 PM EST on March 4, 2014. Responses must be in a Microsoft Office product or Adobe PDF format. Please include "Statewide P-CMS RFI" in the subject line for all email correspondence relating to this RFI.

This is NOT a Request for Proposal (RFP). No contract will be awarded based on responses to this RFI.

DCJS will not reimburse vendors for any costs in connection with their responses to this RFI.

### 3. RFI Timetable

RFI Release Date	December 17, 2013
Deadline for Submission of Questions	January 14, 2014 4:00 PM EST
Issuance of DCJS Response to Questions	February 11, 2014
RFI Responses Due	March 4, 2014 4:00 PM EST

DCJS reserves the right, in its sole discretion, to alter the information and schedule shown above. In such an event, DCJS will post a notice to the DCJS website at:

<http://www.criminaljustice.ny.gov/rfi/prob-case-mgt/index.html>

## J. General Terms and Conditions

1. This RFI does not fall under the requirements of State Finance Law §§139-j and 139-k (the Procurement Lobbying Law) and there is no restricted period. However, we ask that you direct your questions and responses in writing to: [dcjsprocurement@dcjs.ny.gov](mailto:dcjsprocurement@dcjs.ny.gov).
2. Proprietary Information - Careful consideration should be given before confidential information is submitted as part of your response. Review should include whether it is critical for evaluating a response and whether general, non-confidential information may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to certain information DCJS and ITS possesses. Public Officers Law, Section 87(2)(d) provides exceptions to disclosure for records or portions thereof. Among these "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise."

A respondent to the RFI who is taking advantage of this provision must clearly identify on each page of the submission that contains confidential or proprietary information the label "Confidential" or "Proprietary" and the identification of the particular page and section for which the exemption is requested. In addition, with regard to any particular section(s) for which an exemption is requested, pursuant to POL 89[5] the respondent must provide a written request to exempt the information from disclosure, including a written basis of the reasons why the information should be exempted by identifying: (i) why the disclosure of the identified information would cause substantial injury to the competitive position of the Contractor, or (ii)

why the information constitutes critical infrastructure information which should be exempted from disclosure pursuant to §87(2) of the Public Officers Law. The written request and rationale can be by a separate document which refers back to the specific page(s) and section(s) of the submission to which it refers.

Requests for exemption of the entire contents of a submission from disclosure have generally not been found to be meritorious and are discouraged. Kindly limit any requests for exemption of information from disclosure to bona fide trade secrets or specific information, the disclosure of which would cause a substantial injury to the competitive position of the firm or information which constitutes critical infrastructure information which may be exempted from disclosure pursuant to §87(2) of the Public Officers Law.

DCJS and ITS cannot guarantee the confidentiality of any information submitted.

3. The State reserves the right to:
  - a. Use any and all ideas submitted in response to the RFI
  - b. Adopt all or any part of the vendor's response in selecting the optimum configuration to be used in a Request for Proposal (RFP)
  - c. Request RFI respondents to present supplemental information clarifying their responses, either in writing, in formal presentation, or by product demonstrations.
  - d. Accept or reject any or all information received, or to modify or cancel this RFI in part or in its entirety at any time.
  - e. Postpone or cancel this RFI upon notification to all RFI respondents.
  - f. Amend the specifications after their release with appropriate notice to all RFI respondents.
4. The State recognizes that information and cost figures provided in response to this RFI are non-binding.
5. This RFI is being issued for data gathering purposes only. This RFI is not a contract offer, and does not commit the State to award a contract, pay any costs incurred by Respondent in preparing a response, or to procure or contract for services or supplies. No contract can or will be awarded based on submissions.
6. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondents' ability to respond to any future competitive solicitation process (if any) for projects.
7. There are no representations or warranties regarding the accuracy or completeness of the information contained in this RFI. Respondents are responsible for making their own evaluation of information and data contained in this RFI and for preparing and submitting responses to this RFI.