

**STATE OF CALIFORNIA
DEPARTMENT OF CORRECTIONS
AND REHABILITATION**

FEASIBILITY STUDY REPORT

**Automated Reentry Management System
(ARMS)**



Project Number: 5225-157

SUBMITTED:
March 7, 2016

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1 EXECUTIVE PROJECT APPROVAL TRANSMITTAL

1.1 IT ACCESSIBILITY CERTIFICATION

Please see attached Executive Project Approval Transmittal document.



**Feasibility Study Report
Executive Approval Transmittal**

State Entity Name		
California Department of Corrections and Rehabilitation		
Project Title (maximum of 75 characters)		Department of Technology Project Number
Automated Reentry Management Systems Project		5225-157
Project Acronym	State Entity Priority	Agency Priority
ARMS		

I am submitting the attached Feasibility Study Report (FSR) in support of our request for the California Department of Technology's approval to undertake this project.

I certify this FSR was prepared in accordance with State Administrative Manual Sections 4920-4930.1 and the proposed project is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy.

I have reviewed and agree with the information in the attached FSR.

I certify the acquisition of the applicable information technology (IT) product(s) or service(s) required by my Agency/state entity that are subject to Government Code 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following pages).

APPROVAL SIGNATURES		
Agency Information Security Officer (A)		Date Signed
		2/25/2016
Printed name:	Allen Pugnier	
Enterprise Architect (A)		Date Signed
		2-25-2016
Printed name:	Ray Roa	
Associate Director, Budget Management Branch		Date Signed
		2/25/2016
Printed name:	Leisa A. Maestretti	
Director, Enterprise Information Services		Date Signed
		2/25/2016
Printed name:	Russell J. Nichols	
Undersecretary, Administration & Offender Services Designee for Agency Secretary		Date Signed
		2-25-2016
Printed name:	Kenneth J. Pogue	

Feasibility Study Report Executive Approval Transmittal

IT Accessibility Certification

Yes or No

Yes	The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.
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Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception Justification
No	The Proposed IT project meets the definition of a national security system.
No	The Proposed IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office Exception.")
No	The Proposed IT acquisition is acquired by a contractor incidental to a contract.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	<p>Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all Agency/state entity resources). Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>
No	<p>No commercial solution is available to meet the requirements for the IT project that provides for accessibility. Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>

**Feasibility Study Report
Executive Approval Transmittal**

**IT Accessibility Certification
(continued)**

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	<p>No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components.</p> <p>Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>

2 INFORMATION TECHNOLOGY: PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

1	Submittal Date	March 7, 2016
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		FSR	PSP Only	Other:
2	Type of Document	X		
	Project Number	5225-157		

			Estimated Project Dates	
3	Project Title	Automated Reentry Management System	Start	End
	Project Acronym	ARMS	June 2014	June 2020

4	Submitting Agency/State Entity	California Department of Corrections and Rehabilitation (CDCR)
5	Reporting Agency	CDCR

6	Project Objectives
	<p>Rehabilitation starts when offenders arrive in prison. CDCR’s Division of Rehabilitative Programs (DRP) is charged with the rehabilitation mission through a variety of programs that facilitate a transition from incarceration to community life with a greater probability of successful integration with society. This proposal supports the directives of the Three Judge Panel (3JP) Court Order CASE 3:01-CV01351-TEH, several recommendations from the Expert Panel Report on “Adult Offender and Recidivism Reduction Programming,” as well as the California Logic Model, and statute defining the need for “Case Management,” evidence-based programs, matching programs to assessed needs, and managing to outcomes including reduced recidivism. Milestone Credits mean the achievement of a distinct objective of a rehabilitative program as established by CDCR in the Milestone Completion Credit Schedule (see 3043(c)(6)). If an inmate is eligible for program credits pursuant to PC section 2933.05, reaching a milestone allows for awarding of such credits.</p> <p>The goal of this initiative is to accelerate the ability for rehabilitative program completions by contract providers to be recorded in a case management system to have data available to verify milestone credits that reduce prison population. The case management system provides many other benefits for tracking program progress, using data for program improvement, managing contracted providers to defined terms and conditions, and related tasks to ensure other statutes are also concurrently satisfied for rehabilitative programs. ARMS also enhances Reentry Hub implementation by initiating referrals to community services to better serve populations preparing to leave the prisons.</p>

7	Proposed Solution
<p>DRP with the Division of Adult Institutions (DAI) and the Division of Adult Parole Operations (DAPO) operate different types of rehabilitative programs with contracted providers. By tracking Rehabilitative program completions, the appropriate milestone credits can be applied to reduce prison population. The individuals leaving prison have a high probability of return if the programs are not effective. The Automated Reentry Management System (ARMS) provides for a comprehensive case management capability to track evidence-based delivery of programs and will track the effectiveness of the program delivery as well as the outcomes for the offender clients. ARMS closes a large gap in data collection for contracted providers. ARMS is a hosted, cloud based case management solution that benefits offenders in client rehabilitation and milestone credit achievement leading to a reduction in the population of offenders in prison. This solution would include a hosted Commercial-Off-The-Shelf (COTS) application that is hosted and managed at the application level by the Software-as-a-Service (SaaS) service provider. Key components of this solution include reductions in manual data collection, analysis, and reporting to significantly accelerate action to improve program progress in rehabilitation and decrease offender recidivism in California.</p> <p>Since offenders also need to prepare for when they leave the prisons, the Parole Planning and Placement organization within DAPO plans future community-based program participation and helps to research other services pertinent to each inmate. By completing the Reentry Hub capability and providing a system for contracted providers, ARMS establishes a complete capability for all contracted providers that serve rehabilitative programs to ensure the programs meet immediate needs and are continuously improved for greater effectiveness and client outcomes.</p>	

8	Major Milestones	Est Complete Date
	Automated Reentry Management System (ARMS) Project	
	ARMS Contract Award	06/02/2014
	Project Start Date	06/02/2014
	ARMS Phase 1 Quarter 1 Release Complete	03/19/2015
	ARMS In-Prison Pilot Complete	06/26/2015
	ARMS In-Prison Statewide Rollout Complete	11/20/2015
	ARMS Phase I Complete	06/10/2016
	Hiring of Staff for ARMS project and ARMS support	07/01/2016
	ARMS Phase II Go Live Complete	06/30/2018
	ARMS Phase II Complete	06/30/2018
	ARMS Phase III Statewide Rollout Complete	05/31/2020
	ARMS Phase III Complete	06/30/2020
	Maintenance and Operations Begins	07/01/2020
	ARMS PIER	06/30/2021
	Key Deliverables	Est Complete Date
	Automated Reentry Management System (ARMS) Project	
	ARMS Contract awarded	06/02/2014
	Project Started	06/02/2014
	ARMS Phase 1 Quarter 1 Release	03/19/2015
	ARMS In-Prison Pilot	06/26/2015
	ARMS In-Prison Statewide Rollout	11/20/2015
	ARMS Phase I	06/10/2016
	Staff Hired for ARMS project and ARMS support	07/01/2016
	ARMS Phase II Go Live	06/30/2018
	ARMS Phase II	06/30/2018
	ARMS Phase III Statewide Rollout	05/31/2020
	ARMS Phase III	06/30/2020
	Maintenance and Operations Begins	07/01/2020
	ARMS PIER	06/30/2021

2.2 SECTION B: PROJECT CONTACTS

Project #	5225-157
Doc. Type	FSR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Agency Secretary	Scott	Kernan	916	323-6001				Scott.Kernan@cdcr.ca.gov
Undersecretary of Administration & Offender Services	Kenneth	Pogue	916	323-6001				Kenneth.Pogue@cdcr.ca.gov
State Entity Director (A)	Brantley	Choate	916	322-7411				Brantley.Choate@cdcr.ca.gov
Budget Officer	Leisa	Maestretti	916	322-8216				Leisa.Maestretti@cdcr.ca.gov
Information Security Officer (A)	Allen	Pugnier	916	798-1810				Allen.Pugnier@cdcr.ca.gov
Enterprise Architect	Ray	Roa	916	358-2243				Ray.Roa@cdcr.ca.gov
Chief Information Officer	Russell	Nichols	916	358-2312				Russ.Nichols@cdcr.ca.gov
Project Sponsor (A)	Brant	Choate	916	322-7411				Brantley.Choate@cdcr.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Doc. prepared by	Robert	Johnson	916	322-8026				Robert.Johnson3@cdcr.ca.gov
Primary Contact	Chris	Caire	916	322-8112				Chris.Caire@cdcr.ca.gov
Contract Manager	Tina	Bayles	916	322-8026				Tina.Bayles@cdcr.ca.gov
Project Manager	Chris	Caire	916	322-8112				Chris.Caire@cdcr.ca.gov

2.3 SECTION C: PROJECT RELEVANCE TO AGENCY/STATE ENTITY PLANS

1.	What is the date of your current Technology Recovery Plan (TRP)?	Date	April 15, 2014
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	2015-2020
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	CDCR IT Strategic Plan 2015-2020
		Page #	14

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		Yes	No
4.	Is the project reportable to control agencies?	X	
	If YES, CHECK all that apply:		
X	a) The project involves a budget action.		
	b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.		
X	c) The estimated total development and acquisition cost exceeds the Department of Technology's established Agency/state entity delegated cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3).		
	d) The project meets a condition previously imposed by the Department of Technology.		

2.4 SECTION D: BUDGET INFORMATION

Budget Augmentation Required?												
	No											
	Yes	X	If YES, indicate fiscal year(s) and associated amount:									
			FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
			\$ 11,753,588		\$ 10,094,390		\$9,031,793		\$8,635,782		\$ 7,878,749	

PROJECT COSTS

1.	Fiscal Year	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	TOTAL
2.	One-Time Cost	\$6,665,657	\$2,968,065	\$4,704,145	\$7,319,532	\$5,625,334	\$4,535,842	\$3,995,464	\$ 0	\$35,814,039
3.	Continuing Costs	\$ 0	\$ 319,872	\$ 446,739	\$4,552,355	\$4,587,355	\$4,587,355	\$4,731,722	\$7,890,464	\$27,115,862
4.	TOTAL PROJECT BUDGET	\$6,665,657	\$3,287,937	\$5,150,885	\$11,871,887	\$10,212,689	\$9,123,197	\$8,727,186	\$7,890,464	\$62,929,901

PROJECT FINANCIAL BENEFITS

5.	Cost Savings/Avoidances	\$0	\$0	\$0	\$0	\$0	\$0
6.	Revenue Increase	\$0	\$0	\$0	\$0	\$0	\$0

2.5 SECTION E: VENDOR PROJECT BUDGET

Project #	5225-157
Doc. Type	FSR

Vendor Cost for FSR Development (if applicable)	\$
Vendor Name	

VENDOR PROJECT BUDGET

1.	Fiscal Year	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020	2020-2021	TOTAL
2.	Primary Vendor Budget (ARMS) (Does not include unfunded options)	\$3,980,950	\$897,082 Options: \$100,000	\$2,413,727 Options: \$135,000	\$2,404,726 Options: \$5,046,776	Options: \$7,251,502	Options: \$4,451,502	Options: \$4,594,227	Options: \$4,758,361	\$9,696,485 Options: \$26,337,368
3.	Independent Oversight Budget				\$112,560	\$112,560	\$112,560	\$112,560		\$ 450,240
4.	IV&V Budget (ARMS)				\$275,000	\$275,000	\$275,000	\$275,000		\$ 1,100,000
5.	Other Budget-Project Management	\$500,000		\$275,000	\$225,000	\$250,000	\$250,000	\$250,000		\$ 1,750,000
6.	Other Budget – Solution Architect (ARMS)	\$500,000		\$275,000	\$275,000	\$275,000	\$275,000	\$275,000		\$ 1,875,000
8.	Other Budget – Procurements Solution Architect	\$280,000								\$ 280,000
9.	Other Budget – SOMS Data Push	\$500,000			\$500,000	\$500,000				\$ 1,500,000
10.	Other Budget – Business Architect		\$1,000,000		\$1,500,000	\$500,000	\$500,000			\$ 3,500,000

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11.	PVDTS Interface			\$260,000						\$ 260,000
				Options: \$90,000	Options: \$350,000					Options: \$440,000
12.	TOTAL VENDOR BUDGET	\$5,760,950	\$1,997,082	\$3,448,727	\$10,689,062	\$9,164,062	\$5,864,062	\$5,506,787	\$4,758,361	\$47,189,093

Note: Vendor costs are contained in hardware, telecommunications, and contract services (one-time and continuing).

2.6 SECTION F: RISK ASSESSMENT INFORMATION

Project #	5225-157
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RISK ASSESSMENT

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
A Risk Management Worksheet was completed for the project. Risks/Issues meetings are held weekly.

3 BUSINESS ANALYSIS

The 3JP mandates the Department to implement durable solutions in order to maintain a reduced prison population. A solution is required to ensure compliance with the 3JP court order, several recommendations from the Expert Panel Report on “Adult Offender and Recidivism Reduction Programming,” as well as the California Logic Model, and statute defining the need for “Case Management,” evidence-based programs, matching programs to assessed needs, and managing to outcomes including reduced recidivism.

Refer to Appendix A: Stage 1 Business Analysis for a more detailed description of the Business Analysis.

4 BASELINE ANALYSIS

The 3JP mandates the Department to implement durable solutions in order to maintain a reduced prison population.

The purpose of this analysis is to:

- Determine if the current method meets the mandates as directed by the 3JP and resultant legislative bills,
- Determine if CDCR is able to maximize the opportunities for offenders to attain the milestone credits documented in ARMS,
- Identify the gaps that exist preventing the offenders the opportunities to earn those Milestone Credits, and
- Determine if CDCR is able to maximize the opportunities and decrease the challenges related to implementing Case Management, evidence-based programs, matching programs to assessed needs, and managing to outcomes including reduced recidivism.

4.1 CURRENT METHOD

CDCR’s DRP is responsible for managing contracts that provide rehabilitative program services (in-prison and community based) to offenders statewide. The Division of Adult Parole Operations (DAPO) also contracts with providers for rehabilitation services for sex offenders and mentally ill offenders. The Division of Adult Institutions contracts with providers for community and out-of-state correctional facilities that also incorporate scope for rehabilitation programs. Currently, CDCR maintains multiple and disparate databases with records on more than 50,000 unique participants, in nearly 400 locations, for more than 3,000 programs, for contracts totaling more than \$150 million per year.

From the day an offender arrives at prison, the CDCR begins activity that supports a rehabilitation lifecycle. This lifecycle is represented by the California Logic Model. Industry best practice for rehabilitation includes many elements that depend highly on data; these include: use of evidence-based practices, application of offender case management, focus on outcome and

performance management, engaging offenders in their own rehabilitative planning and the application of appropriate dosage of treatment for criminogenic needs of the offenders.

When CDCR staff members conduct the rehabilitation program activity, they use the Strategic Offender Management System (SOMS) as the case management system. Contract providers are called upon to deliver over \$150 million annually in rehabilitative program services. These providers use a variety of disparate data gathering techniques and systems that are largely paper-based. Where systems exist, the systems have no uniform capture of data elements and data collection for reporting and analysis purposes is insufficient to validate fidelity of program delivery, isolate most effective practices for program improvement or to determine the reliability of the data collected.

The general flow of work related to rehabilitation includes the following activity:

- Forecasting in-prison and community-based rehabilitation needs based on the number of inmates and parolees as well as the types and severity of criminogenic risk and needs of these individuals.
- Contracting for service providers that can meet the demand for the type of services and deliver the quality and quantity of service required by CDCR distributed throughout the prison institutions as well as the State of California in locations where offender populations exist.
- Programs empower offenders with skills and knowledge to help them take responsibility for their own improvement and building self-efficacy.
- Procuring support systems and training staff in phased activities of the California Logic Model: risk and criminogenic need assessment; behavior management planning; evidence-based, cognitive-behavioral program execution; measuring program progress; preparing individuals for reentry; reintegrating individuals into society and providing follow-on care.
- Managing contract services, collecting and analyzing program data via weekly program performance reports and monthly Key Performance Indicator reports, in an effort to identify and, potentially address and correct under-performing programs per their respective contract terms and conditions.
- Reporting upon results of program activity to allow for application of inmate milestone credits (reductions in terms for program completions where the credits are allowed).
- Transition to community, sharing data with service providers to enhance the continuity of care for individuals and ensuring individualized tailoring of services to needs.
- Using data to discover patterns of success and failure and to identify causes so that the program activities can be improved to enhance outcomes for offender treatment.

Currently this set of activities has its unique challenges and constraints:

- Population forecasting is based on recidivism data that used to be available from prison records. Since the AB109 realignment legislation has been enacted, many inmates are not returning to State prison, but may still be returning to county jails. The forecasting is adjusting to this dramatic change in population. Forecasting or predicting future recidivism requires a significant amount of data on the effectiveness of rehabilitative programming to allow for adjusted projections based on rehabilitative effort. More data on effectiveness of programs is required to provide this analysis.
- Contracts cannot yet be performance based since the data is not available to demonstrate how effective the services are in comparison with others. Most contracts include clauses for providers to use a CDCR system should one be made available.
- Systems that allow fulfillment of the California Logic Model are incrementally being put into productive use. The Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) application is operational and provides CDCR with needs assessment capability as well as parole planning capability to address offender needs. Other systems and processes currently used include but are not limited to:
 - The Strategic Offender Management System (SOMS) also is in place and operational for tracking programs administered by State staff. Other activity provided by contract providers, or in the community following release on parole, has not yet been adequately addressed with appropriate system support. Service providers utilize interim CDCR systems with very little data captured or their own internal systems to track the treatment provided.
 - The Interim Computerized Attendance Tracking System (ICATS) is a system that was designed only to capture basic data (start date, end date, exit reasons and time in several categories of participation) for specific providers. When trying to adapt this system for other providers. Some providers use manual or paper-based systems due to the poor quality of the available system. The business utilizes a manual process to update SOMS. There is a delay of a business day or two in getting the ICATS data loaded into SOMS. Manual data entry also contributes to errors that need to be corrected. The data is also reported in internal key performance indicators through a download of information into MS Excel then manual manipulation of data for leadership review. Case notes are not available to enhance program performance.
 - The DRP's Offender Substance Abuse Treatment (OSAT) system is similar to ICATS for data capture, but has not had the same problems for including new providers; another data collection system, called the Program Development Unit (PDU) database exists with other challenges for data consistency from multiple-provider uploads and other issues. The data elements made available in these systems are insufficient for case management purposes; they track attendance and outcomes, but lack data that could be used to improve client outcomes based on activities in the program. Some providers use manual or paper-based systems due to lack of data in OSAT. The business utilizes OSAT and PDU data to report on

program utilization, where data is consistent. There is a delay of a business day or two in getting data loaded into reporting formats. OSAT/PDU data is reported in internal key performance indicators through a manual download of information into MS Excel for leadership review. Case notes are not available to enhance program performance.

- The Division of Adult Institutions (DAI) contracts with providers for “contract beds” for inmates. Some of the beds are referred to as California Out of State Correctional Facilities (COCF), while others are referred to as Community Correctional Facilities (CCF). Female Offender Programs and Services include community-based facilities and programs. Though located in a “community” facility, offenders here are serving prison terms. The contracted providers often have full service case management systems for incarceration management. CDCR has resources to enter much data into SOMS in some locations and for other locations receives information captured manually or extracted from these systems that is used to update CDCR records for these offenders. Other offenders may be under an alternative custody program where their participation is supervised by CDCR staff even though they are still considered serving a custody term. For rehabilitation programs, there is gradual implementation of the programs and the method of data capture is not finalized since sending individuals to augment contract terms is costly.
- The process for identifying, assigning, enrolling, conducting and completing rehabilitation programs for COCF and CCF situations is similar to the in-prison programs for California correctional institutions. The process for an alternative custody program is similar to community-based programs for parolees except that individuals are assigned to the program and would immediately be returned to prison if terms of participation were violated. Key phases of each program include intake and enrollment (capturing participant information), assessment of needs, case planning, case plan execution (program services) and program completion. Some programs conduct periodic and exit assessments to document progress of offenders. Data collection for rehabilitation program purposes is difficult, sparse and inconsistent which makes analysis of data and improvement planning slow and tedious.
- COMPAS assessments are used to build case plans for offenders. Many individuals will receive in-prison programming, yet exigencies of the prison environment cause a number of inmates to be released without having attended rehabilitation programs.
- A number of contract providers deliver rehabilitation programs that are designed to prepare offenders for reintegration into the community. Typical programs include substance abuse treatment, criminal thinking, anger management, family relations and employment readiness. Offenders are referred to the programs based on assessed risks and needs.

- The offenders receive provider-administered assessments proven to isolate criminogenic needs and intensities to help apply the appropriate programming for individuals. The evidence-based curriculum is unfolded in a series of sessions where attendance and types of absences are recorded. At the end of sessions, providers have to go to a location where the minimal data entry can occur in an interim system (this is not a case management system). The only recorded data for offenders includes the date started, attendance information for time spent in programming, the date of exit and reason codes for exit. In-prison program providers are contracted by the DRP, DAI and DAPO. There is no way to efficiently determine if programs are delivered in an evidence-based fashion because there is insufficient detail in data capture for this purpose.
- Transition to the community is facilitated with preparatory planning, yet the offenders have little opportunity to take more responsibility for their transition to the kind of services that can help them external to the prison or to engage family members in their plan for successful reintegration. Continuity of care is being addressed as well as possible using manual means of data transfer, or through activities to allow community providers to share their services with offenders in the prison environment. Secure sharing of data to facilitate true continuity of care has not adequately been addressed. Contracted providers have methods for tailoring services to individuals' needs, yet CDCR has not maximized data sharing to inform treatment, data to verify this activity or to suggest how to improve it.
 -
- Managing contract services is completed with staff members conducting program accountability reviews using manual checklists, spreadsheet records and by following-up on corrective action. This manual activity is manpower intensive and is sufficient to ensure contract compliance; yet, is insufficient for building data necessary for performance-based contracting or performance improvement.
 - Community-based providers receive referrals or assignments for offenders from the supervisor of record. Key phases are typical for each program, including: intake and enrollment (capturing participant information), assessment of needs, case planning, case plan execution (program services) and program completion. A CDCR-generated "face sheet", which provided a wealth of useful information to contracted staff, can no longer accompany assignment to contracted providers due to the confidentiality level data that summarizes key information about the offenders. Since community-based programs are mostly contracted, information provided would need to be based on a Release of Information (ROI) form received from the offenders. There are some mandated services that offenders must participate in when either directed by the courts or by the Board of Parole Hearings (BPH).
 - There are a variety of systems in use for data capture today. Some providers have internal systems that may include some case management capabilities. Other

providers use the interim simple data capture systems provided by CDCR, spreadsheets, paper forms or Microsoft (MS) Access databases (see ICATS, OSAT and PDU above) that are, at times, coordinated for some data elements, but not universally adopted or supportive of case management. Reports are compiled and sent to DRP on weekly and monthly schedules, but data in reports is limited and often cannot contribute to effective analysis across all providers. Lack of standardization does not allow appropriate metrics to be determined across each discipline.

- CDCR staff report activity in a prison environment in SOMS; however, rehabilitative programs are more comprehensive and require more than program tracking. Reporting for contract provider activity or community-based services is very difficult since the data is sparse and inconsistent due to the distributed nature of the data in many disparate systems. Consolidation and analysis of data is more difficult since the data elements in provider systems are not consistent or captured in the same manner. The current classification level of the staff is incongruent with the level of data analysis that will be required. The volume of need for reporting relegates most reporting to quantities of items conducted or completed with dates. This type of data is insufficient to isolate effectiveness or performance improvement opportunity. More data is required to enable better decisions in the execution of rehabilitative programs.
- Data is insufficient for contracted services for the purposes of improving service delivery effectiveness or better client outcomes. The type of analytics require skills of data science as a combination of business knowledge, data knowledge and knowledge of statistical methods applicable for combining data from multiple sources and predicting future outcomes based on planned changes to programs.

The full lifecycle of the California Logic Model is difficult to administer since the data collected are insufficient. There is sufficient information to understand what happened, but there is insufficient data to understand why outcomes were better in some circumstances than in others. It is difficult to use the data currently being collected today to make program improvements. There is no way to fully determine that a provider was compliant with evidence-based practices or if they changed what they were doing to enhance client and/or programmatic outcomes. It is not important to just know results; it is much more important to know what contributed to results so that changes can be made for continuous improvement. With ARMS, each program offered to help offenders address their needs will have the opportunity to immediately capture data to demonstrate program effectiveness and client outcomes. This is a unique capability to help improve the new program planning process by isolating the factors in programs that diminish effectiveness and decrease the likelihood of achieving Milestone Credits.

Program improvement and acceleration of benefits achievement is challenged since the data is not available in the quality, quantity or consistency required to perform these activities. To implement improved program performance to help reduce recidivism, community-based programs have no system support other than documents, spreadsheets and MS Access databases which lack integration and common data elements. The manual nature of the activity to execute rehabilitative programs reduces the volume of data available that could accelerate improved

program effectiveness.

The objectives of the current system

The current systems had an initial set of objectives to:

- Track enrollment rates in programs as the first step to ensuring the right offenders were able to participate in programs they needed.
- Track utilization rates in programs to ensure the time allocated was used for rehabilitative programming.
- Track completion rates of offenders for the various programs they participated in.

The range of systems supporting the processes for contract provider case management of offender rehabilitation is broad. Where a few systems may include case management capability, most systems are much simpler data capture mechanisms for very basic data and provide little benefit to improve program effectiveness. The capability required by new legislation includes the benefit of true case management: to be able to isolate factors related to program activity that impact the effectiveness of the results. Examples of the kind of factors include:

- Instructor ability to make course activity interesting enough to retain individuals in activity for their benefit.
- Frequency of classes or participation events and the impact on progress rates of participants.
- Location of services and distance to travel for services and the participation levels of clients.
- Number of concurrent needs and program participation and the impact on other programs for diverted attention to other needs.

These are only a few of the kinds of factors that need to be analyzed for program effectiveness. It should be clear that simple data on start date, end date and reason for exit will not provide any ability to analyze for causes that make programs more effective or less effective. Isolating causes is the best way to initiate program effectiveness improvement. Over time this impacts the most important outcomes such as milestone achievement and reducing recidivism. Even when contracted provider systems have some level of data that could add to analysis capability, the data being different in each provider's system makes the analysis much more difficult.

One of the best ways to prepare for new clients is to understand the client history of programming and related assessments, tests and other information. Today, almost none of this information is electronically made available for continuity of care. The level of interaction between government organizations is also very low when considering the ability to exchange data. Counties would like to know which offenders are being released to their county supervision just like the State prisons would like to receive information about the prisoners that are being transferred to the State to help provide the most effective and timely programming. There is a National Information Exchange Model (NIEM) that was established in the early 2000s for just that purpose. By tying into that standard, systems would be able to efficiently and effectively exchange data for just these purposes in a format that is understandable to all parties

involved regardless of the way that the data is captured in each system. Today, no data is exchanged using NIEM meaning that any data exchanged is uniquely designed for a single system and the exchange is not easily usable for other purposes.

Current systems' ability to meet workload requirements

CDCR organizations are engaged in rehabilitation business activities using interim and disparate solutions for contracted providers. Workload for contract providers includes activities to: establish contracts with providers; verify compliance to provide the services required at proposed locations; validate actual services provided at contracted locations; verify compliance with contract provisions while providing services; collect data for use in reporting services and outcomes; and use the data to establish best methods for completing the rehabilitation mission. Without a comprehensive technology solution, the contracted provider segment of rehabilitation is challenged in isolating best practices, fostering continuity of care from prison to community settings and improving treatment service practices to achieve better outcomes.

The systems CDCR has to support the California Logic Model include: COMPAS, the Interim Computerized Attendance Tracking System (ICATS), the Parole Violation Disposition Tracking System (PVDTS), the system supporting Offender Substance Abuse Treatment (OSAT) and related PDU data capture system, the Benefits Application Support System (BASS), and the Parole Assessment Tracking System (PATS). COMPAS and PATS are fulfilling the assessment capability; BASS captures health benefits information prior to an inmate leaving prison.

ICATS is a system that was designed to capture limited data for specific providers. When trying to adapt this system for other providers, the system proved not to be expandable and is of limited value for the very basic data that is captured (start date, end date, exit reasons and time in several categories of participation). Some providers use completely manual or paper-based systems due to the poor quality of the available system. The business utilizes ICATS data to update SOMS. Manual data entry occasionally contributes to errors. The data is also reported in key performance indicators through a manual download of information into MS Excel for leadership review. Case notes are not available to enhance program performance.

PVDTS is a multi-function system serving referrals to programs. CDCR staff begin working with offenders almost nine months prior to release including when offenders are in California prisons or in contracted bed locations as well as for those offenders participating in male or female alternative custody programs. CDCR staff build case plans and make recommendations for initial referral of offenders to programs in aftercare. Some prison programs require tracking of the aftercare programs in the community. Contracted providers in Reentry Hubs also refine aftercare treatment plans based on updated assessments completed in their programming.

OSAT/PDU is similar to ICATS for data capture, but has not had the same problems for including new providers. The data is insufficient for meaningful case management purposes. Some providers use completely manual or paper-based systems due to lack of functionality in the available system. All providers are required to submit data that support reporting on current objectives of enrollment and utilization. The business utilizes OSAT/PDU data to report on program utilization. There is a delay of a business day or two in getting data loaded into reporting formats. The data is reported in key performance indicators through a manual

download of information into MS Excel for leadership review. Case notes are not available to enhance program performance.

None of the available systems for contract providers have the data to allow for tracking at case management levels nor do they provide the data necessary for managing or improving rehabilitation programs; therefore, the systems inhibit mission accomplishment. The current systems' value is limited to tracking and paying for services rendered.

In the following sections some systems are considered enterprise systems that are functioning well and will be retained to support the mission in their capacity. These systems are SOMS, COMPAS and PVDTS. There will be no discussion of these systems below. Other systems will be discussed due to the issues related to mission effectiveness.

Level of user and technical staff satisfaction with the current system

User and technical staff satisfaction with the systems is described separately for each system below:

ICATS: this system includes basic manual entry since there is very little data being input. For those providers that could not get enabled within ICATS, the system is not used and manual records are kept. ICATS is normally for in-prison program tracking. CDCR staff have to take the ICATS data and enter it into SOMS. This activity reduces the time available to perform the primary mission of managing the rehabilitation activity and reduces the time available to work on program improvement opportunities to enhance outcomes. Consolidation of data for reporting is also manual and reduces time available for primary mission duties.

PATS: this is a very limited system, supporting mental health. A full case management system has been directed in legislation that ARMS can provide in this area of business support, thus replacing PATS. PATS is contractor supported.

BASS: this is also a very limited system to track offender benefit registration. Since the ARMS system incorporates this capability and much more, the BASS system would no longer be necessary as an interim system. BASS is supported by a California University.

OSAT/PDU: these systems are acceptable, yet only capture limited data. The data consolidation effort is partially manual and takes hours to complete. Reporting is also manual and indicates potential errors in data that are difficult to verify since each takes hours to analyze, isolate and discuss with individuals responsible for source files. The manual efforts used for both systems reduce time available for more effective analysis to enhance programs for outcome achievement.

Data input, related manual procedures, processing and output characteristics

Data input, related manual procedures, processing and output characteristics for each system is described below:

ICATS: users of this system generally capture information on paper in the classroom environment and move to a data entry location to use ICATS. Data is limited to start date, end date, exit reasons and the hours of participation in several categories. Manually moving data

from ICATS to SOMS is cause for a number of clerical errors. As indicated above, the manual processes delay actions on more important business responsibilities.

PATS: the system includes data for assessments of offenders supporting mental health via manual data input by CDCR (DAPO) staff.

BASS: the system is used only to track benefit registration for offenders prior to release from prison. Data is updated by university staff performing transitional benefit registration activity.

OSAT/PDU: users of these systems generally capture information in many different ways. Some are paper-based initially, some are using direct data entry within a reception area and others capture data in multiple areas according to the responsibilities of individuals. Like ICATS, data is limited; information available includes start date, end date, exit reasons and the hours of participation. Manually handling and consolidating data contributes, as indicated above, to the delay in action on more important business responsibilities. This set of systems has limited data input and the data can be output on reports. Data extracts are delivered to DRP for aggregation of reporting across all programs. This aggregation is mostly manual using MS Access. Manual handling of data delays reporting.

Data characteristics

Data characteristics for each system are described below:

ICATS: this system has limited data input and the data can be output on reports. The data is then uploaded to SOMS manually since the system is not capable of providing reliable, automated interfaces. Manual handling of data delays reporting and also leads to some errors that need continuous monitoring and correction for reporting purposes. The lack of case management data inhibits program improvement for clients.

PATS: this system includes mental health assessments data for offenders.

BASS: this system includes health benefit registration data for offenders.

OSAT/PDU: This set of systems includes limited data on start date, end date, exit reasons, and attendance. PDU includes other program context data that does not comply with case management standards. The lack of case management data inhibits program improvement for clients.

System provisions for security, privacy and confidentiality

System provisions for security, privacy and confidentiality for each system are described below:

Data in SOMS is highly confidential. Data from SOMS will require users in ARMS to sign data sharing agreements and agree not to share data beyond the immediate users from the provider organizations and users will have appropriate qualifications for their role that makes certain data available to them. As a Cloud solution, the contract for ARMS requires the contractor to comply with defined Federal Risk and Authorization Management Program (FedRAMP) criteria.

ICATS: this system is a spreadsheet macro-enabled application loaded to specific machines.

Confidentiality and other security concerns are handled by controlling access to the computers upon which the software is used. Data is not subject to any privacy or security statutes, policies or standards.

PATS: this is a stand-alone application of a single page that is used internally by DAPO and thus is controlled for access by its environment internal to CDCR. PATS includes highly confidential data related to mental health and is governed by HIPAA.

BASS: this data is controlled as HIPAA data for health registration also with authorized users contracted by DAPO.

OSAT/PDU: these systems are application loaded to specific machines. Confidentiality and other security concerns are handled by controlling access to the computers upon which the software is used. Data is not subject to any privacy or security statutes, policies or standards. Secure File Transfer Protocol (SFTP) is used to pull in extract files from providers using OSAT as well as for PDU reporting.

Equipment requirements of the current system

Equipment requirements for each system are described below:

ICATS: this application is located on individual personal computers of users. An instance of SQL Server is also used to store data for reporting, but is not dedicated to this solution. Reports are uploaded to a SharePoint site that is also shared for many other purposes. No other systems are required unless connected to a printer for printing a simple report.

PATS and BASS have no equipment requirements since they are used only on desktops of users.

OSAT/PDU: these applications are located on individual personal computers of users. No other systems are required unless connected to a printer for printing a simple report. Headquarters staff pick up exported files from each source and use MS Access to consolidate data from all sources to generate required reports.

Software characteristics

Software characteristics for each system are described below:

ICATS: this system is designed in a macro-enabled spreadsheet. The spreadsheet is intended to be loaded onto local personal computers for users. The system is not expandable. A SQL Server Information Service package processes the new submissions from the spreadsheet and populates a SQL Server database with the data; errors to pulling data are also dumped to a log file. A SQL Server Reporting Service report was built and loaded to SharePoint for business access to the data. Business users have to correct for errors in the log file to obtain complete business data for reporting. The business does not consider this a “system”; it is a business work-around to obtain data to support the mission.

PATS and BASS were intended as interim systems to capture minimal information required for mission support.

OSAT/PDU: this “interim” system was designed in MS Access. The software is intended for use on local personal computers or from an accessible network location. Extract files are placed in a common location for an individual to pick up weekly for data consolidation to facilitate enterprise reporting. The business does not consider this a “system”; it is a business work-around to obtain data to support the mission. The same concept holds true for the PDU system.

Internal and external interfaces

Internal and external interfaces for each system are described below:

SOMS: Offender demographics, classification data, education and rehabilitative program data will be exchanged from SOMS to ARMS.

PATS and BASS have no interfaces to other systems.

ICATS: there are no interfaces for data exchange within this system.

OSAT: there are no interfaces for data exchange within this system. SFTP is used to pull in extract files from providers using OSAT that are manually consolidated. PDU files are coordinated as an interface to collect reported data for consolidation.

Personnel requirements

Personnel requirements for each system are described below:

SOMS: SOMS support is not impacted for ARMS except for implementation and maintenance of interfaces or data exchanges. No staffing is currently available for integration with ARMS.

ICATS: this system is currently supported by EIS. There are parties that understand portions of the system that were implemented; and, small projects or investigations may be supported upon request if funded by the business.

PATS and BASS have limited contract support. As simple systems there is almost no support necessary.

OSAT/PDU: this system is currently not supported by EIS. There is one person at the business level that is responsible part time to consolidate the data for reporting purposes. PDU is similarly supported; however, the database is also maintained with support from a county contractor.

PVDTS: this system is contractor maintained and ongoing support for interfaces. No staffing is currently available for integration with ARMS.

COMPAS: this system has available interface services that will be used for updates for ARMS. No staffing is available for integration with ARMS.

System documentation

System documentation for each system is described below:

ICATS: this system has documentation on-line and code that is within the spreadsheet. There are

processes used to mine the data and for building an extract report for upload to SharePoint.

PATS has a user manual with no other documentation; BASS has no documentation available.

OSAT: this system has documentation that explains how to operate the MS Access database and to publish the extract files for pickup by File Transfer Protocol (FTP) for consolidation at the headquarters. PDU has a user manual to assist with accuracy in sending data to CDCR for consolidation.

Failures of the current system

Failures for each current system are described below:

ICATS: this system works for some users and does not work for others. The error logs can be used to see what information can be loaded to other systems where the data is not available through normal reporting services.

PATS/BASS: these systems do a suitable job for their initial design. Neither system can support the concept of case management required by new legislation.

OSAT/PDU: these systems currently have various reporting problems and collect very little of the required mission data.

4.2 TECHNICAL ENVIRONMENT

Expected operational life

The proposed solution is the Automated Reentry Management System (ARMS). Purposefully, ARMS would be modified initially using three phases over not less than five years to gradually prove capability to meet incremental objectives for case management, integration and progressive analysis for outcomes management. The system life should exceed ten years from the end of final configuration and implementation of capability after all three phases.

- The initial focus of ARMS is for rapid application of functionality to allow in-prison programs to document inmate progress in contracted rehabilitative programs. The ARMS solution is based on an industry proven flexible platform for Case Management integrated with kiosk capability. The ARMS requirements further expand the flexibility of the platform by ensuring providers can define their programs as evidence-based instances that are automatically used to schedule clients for activity. Since programs can be defined in ARMS, changes can be accommodated at any time and the system does not require programming updates for improvements made to programs.
- DRP plans to augment functionality through the ARMS project to address the requirements of the California Logic Model, including services involving parole.

Applicability can be sustained through product management practices including user interaction to identify changing needs that can be addressed in maintenance activity to increase the operational life. As a subscription service, time is only limited by business need, not the IT solution.

Interaction with other systems

ARMS will have to interact with other systems incrementally to meet expectations related to each phase. Interfaces will be required for: internal CDCR systems, external partner systems (Department of Child Support Services (DCSS), Department of Justice (DOJ), etc.) and integration with a broad spectrum of justice-related systems using the NIEM standard. In Phase 1 of ARMS, the concentration will be on the following items:

- Offering outreach services to ensure rehabilitation program providers understand the possibilities in ARMS for demonstrating compliance with evidence-based practices and for demonstrating client outcomes to differentiate their services.
- Capturing evidence-based program curricula in ARMS to allow providers to base services and attendance on industry-published models.
- Receiving information from SOMS manually for continuity of care purposes with those providers using ARMS.
- Receiving information from COMPAS for continuity of care purposes with those providers using ARMS.
- Receiving information from PVDTS to manually share necessary information to refer an individual to a program and to verify they are enrolled.
- Establishing data sharing agreements with rehabilitation program providers and the Cloud service provider.

In Phase 2 of ARMS, there will be a concentration on what data can be shared from ARMS to other systems and to automate interfaces; also, ARMS will need more data to help establish a better picture of outcomes. The interfaces include:

- Ensuring ARMS is compliant with State of California mandates to the degree possible since initial procurement was based on court-ordered mandates. Provide for accommodating updates to federal standards for Cloud solutions where appropriate.
- Arranging for data from ARMS to be downloaded to the Office of Research to make the data available for internal reporting and analytical purposes.
- Expanding options for CDCR to allow ARMS data to update contracted provider systems or to facilitate reconciliation of invoices based on services documented in ARMS.
- Receiving information from PVDTS to electronically share necessary information to refer an individual to a program and to verify they are enrolled.
- Exchanging of updated CDCR numbers to ARMS interfacing systems that do not use the personal identifier (PID) in SOMS, or incorporating the PID in other systems as most appropriate methods dictate.
- Including wage data provided by the Employment Development Department (EDD) to the degree that data can identify populations that have been able to obtain jobs. This is to determine the effectiveness of employment programs tracked in ARMS.
- Incorporating a capability to send data to the DCSS for obligors that are in community rehabilitation and may have a job.
- Incorporating a capability to send data to SOMS for program completions, assessments, certificates and other achievements. This will provide the ARMS capability should SOMS decide to conduct its own project to pull data indicated as desirable by SOMS.

- Updating data exchange technology to provide for service oriented architecture and implementation using the NIEM where appropriate.

In Phase 3 of ARMS, the concentration would be on expanding data exchange capacity and capability to counties and other partner organizations that have similar goals to rehabilitate offenders as well as the need to exchange information to plan and execute their programs with greater effectiveness. Examples include:

- Incorporating a capability to send program data from ARMS to PVDTS. ARMS will be incorporating capability to send program and provider information to PVDTS that users in PVDTS would use to refer their offenders to these rehabilitative services.
- Informing counties with individuals completing programs in ARMS where counties have other programs available to continue programming when offenders are assigned to alternative custody with counties contracted for these programs such as the Male Community Reentry Program (MCRP).
- Receiving information from counties and courts on decisions impacting programs for offenders and to receive definite information regarding mandatory program participation.
- Incorporating DOJ data related to the specific CDCR population and new convictions that might indicate recidivism so that ARMS could compute and report on outcomes as well as program effectiveness.
- Expanding information on available jobs for offenders and tracking where employment happens through EDD for offenders that are discharged, so the outcomes of employment preparation can be tracked.

State-level information processing policies

The proposed solution must support all State and Department policies and strategies. Since the State did not have final Terms and Conditions available for Cloud-based providers of systems, CDCR coordinated ARMS recommendations with the Department of General Services and used industry best practice such as the National Institute of Standards and Technology (NIST) standard 800-53, Revision 3 for information systems security and privacy controls. Court Order CASE3:01-CV-01351-TEH places extreme time constraints on population reduction actions necessitating rapid augmentation of State practices using best-known sources to remain prudent with implementation of mandates.

Financial constraints

Recently, the California legislature specially allocated funding for rehabilitation, allowing for re-development of programs and consideration for development of required systems to support workload requirements. As the programs continue to be established, there is a need to integrate recent court ordered initiatives into the appropriate State fabric for project authority approval and funding approval for ongoing sustainment of solutions, to continue to serve the rehabilitation mission.

The ARMS project is budgeted for year one (FY 2014/15) to include alternative custody configuration and regional roll out, as well as initial training and support. The ARMS project is also budgeted for years two and three (FY 2015/16 and FY 2016/17) to cover subscription costs for up to 4000 users statewide. Each subsequent year of operations will require subscription costs

to be funded by the State to accommodate new contracts being awarded to expand in-prison rehabilitative programs as well as the new MCRP locations planned for implementation. Data from program participation will become available in a volume consistent with strong analysis to improve program effectiveness so that the achievement of milestone credits can also continue to improve in volume. Expanding the solution to include aftercare directed by in-prison treatment planning will be undertaken where possible to ensure those released from prison can be placed rapidly into programs for continuity from the Reentry Hub concept in an effort to avoid subsequent returns to prison.

Legal and public policy constraints

Legal and public policy constraints on rehabilitation that are pertinent to this initiative include the following:

- a) On February 10, 2014 a three judge panel (3JP) ordered an extension of the deadline for CDCR to achieve a reduction in prison population to 137.5% of design capacity to February 28, 2016. The order is critical due to the hierarchy of legal authority as depicted in Figure 1, below.

Figure 1: Hierarchy of Legal Authority



In the order, CDCR was directed to immediately implement certain measures, including terms to:

1. "...comply with this order in part through a combination of contracting for additional in-state capacity in county jails, community correctional facilities and a private prison and through newly enacted programs including the development of additional measures regarding reforms to state penal and sentencing laws designed to reduce the prison population."

2. “Increase credits prospectively for non-violent second-strike offenders and minimum custody inmates. Non-violent second-strikers will be eligible to earn good time credits at 33.3% and will be eligible to earn milestone credits for completing rehabilitative programs.”
 3. “Pursue expansion of pilot reentry programs with additional counties and local communities...”
 4. “Implement an expanded alternative custody program for female inmates.”
- b) AB 900, the Public Safety and Offender Rehabilitation Services Act of 2007 was enacted in May 2007. This legislation and resulting budget guidance establishes the need for CDCR to conduct assessments, establish programs, demonstrate case management for rehabilitation programming and expand substance abuse treatment. The bill also addresses severe inmate overcrowding at state prisons and local jails by funding new beds tied to rehabilitation and creating secure reentry facilities in the local communities where offenders will be returning. The following are the specific laws (California codes) enacted through AB 900:
- **Chapter 8 of Title 1 of Part 3 of the Penal Code (PC), Article 2.5** states “The Department of Corrections and Rehabilitation shall conduct assessments of all offenders that include, but are not limited to, data regarding the inmate’s history of substance abuse, medical and mental health, education, family background, criminal activity and social functioning. The assessments shall be used to place offenders in programs that will aid in their reentry to society and that will most likely reduce the inmate’s chances of reoffending.”
 - **Section 7003 PC** states “For each facility or project included within its master plan, at least 30 days prior to submission of preliminary plans to the State Public Works Board, the department shall submit to the Joint Legislative Budget Committee ...A plan for inmate programming at the facility, including education, work and substance programming.”
 - **Section 7021 PC** states the State Public Works Board may not release any funds provided for projects in Section 15819.41 of the Government Code until a three-member panel verifies that adequate risk and needs assessments are in place in order to provide programs for offenders in order to reduce recidivism.
 - **C-ROB** Assembly Bill 900 (the Public Safety and Offender Rehabilitation Services Act of 2007) created the California Rehabilitation Oversight Board (C-ROB) within the Office of the Inspector General. C-ROB's mandate is to regularly examine the various mental health, substance abuse, educational and employment programs for inmates and parolees operated by the CDCR.
- c) Existing law provides for the care and custody of female offenders under the jurisdiction of the CDCR. PC 3430 requires the CDCR to undertake various tasks related to female offenders. CDCR has no system available for contracted providers to enter data for rehabilitative programming to track individual client progress and outcomes from their programming activity.
- d) The SB 618 program is a collaborative effort between counties (beginning with San

Diego) and the CDCR to comprehensively assess offenders at sentencing. It is also designed to provide case management both during the term of incarceration and after release to ensure that offenders' assessed risks and needs factors are addressed through existing programs. ARMS will provide the case management capability for contracted providers that does not exist today.

- e) In 2011, Governor Edmund G. Brown Jr. signed AB 109 and AB 117, historic legislation that will enable California to close the revolving door of low-level inmates cycling in and out of state prisons. It is the cornerstone of California's solution for reducing the number of inmates in the state's 33 prisons to 137.5 percent design capacity by May 24, 2013, as ordered by the U.S. Supreme Court. Within AB 109 rehabilitation plays a major role in the actions possible to address parolees that violate parole since the objective is to maintain individuals in the community and to rehabilitate them in order to support the long-term goal of a reduced prison population. There is no solution for contracted provider data entry of case management level data for rehabilitation in support of this legislation's mandate.
- f) Where AB 109 directs realignment, AB 117 significantly narrows the courts' involvement to only the final revocation process. Courts will be authorized to appoint hearing officers for the final revocation hearings. The supervising agency will have the authority to handle all intermediate sanctions without court involvement, up to and including flash incarceration. Very few, if any, of individuals released from state prison to community supervision would return to state prison. Individuals may still be subject to rehabilitation treatment and collaboration concepts are still under consideration and negotiation. ARMS is planned to play a role as an available system in transition from prison rehabilitation to other rehabilitation settings; this is part of phase 3.
- g) Assembly Bill (AB) 494 amended Section 2053.1 of the California Penal Code directing literacy, academic and related programs for offenders to meet specific goals. While legislation is aimed at inmates in prison, the education and literacy programs also continue in the community where needs persist and program case management is needed to track progress. Information about in-prison program accomplishments will be helpful for continuity of care purposes and that information is not available today in a secure manner for contracted providers.
- h) AB 1019 amended Section 2053.4 of the California Penal Code directing literacy, academic and related programs for offenders to meet specific goals set by the Superintendent of Correctional Education in fields being trained and the availability of employment in those fields. Again, this legislation was aimed at inmates, yet the employment and education needs may require continuity of care for Career Technical Education (formerly called vocational education) facilitated with including data about in-prison accomplishments in community-based systems for contracted providers.
- i) AB 1468 amended Section 3016 of the California Penal Code directing, among other items, the use of case management systems for mental health rehabilitation as well as sharing data with the counties for these programs.
- j) The CDCR created the Expert Panel on Adult Offender Reentry and Recidivism Reduction Programs (the Panel) in response to authorization language placed in the Budget Act of 2006-2007. The Legislature directed the CDCR to contract with

correctional program experts to complete an assessment of California's adult prison and parole programs designed to reduce recidivism. The ARMS solution is intended to continue to implement recommendations through enabling case management tracking by contracted providers for their program activity and client results.

Agency/State entity policies and procedures

CDCR policies and procedures are highly focused on incarceration with rapid introduction of rehabilitation-related practices for in-prison and community operations. Current solutions were hampering the rate of implementing procedures for evidence-based practice, program improvement, increased Milestone achievement and viable alternatives for housing offenders.

Consistent with the CDCR policy, management of the functional and operational aspects processes for conducting risk and needs assessments are standardized in cooperation between DAI, DAPO and DRP.

Project design, development and implementation activity will be standardized by the Enterprise Information Services (EIS) Division Project Management Office (PMO). Both EIS and DRP will manage the use of PMO methods and tools, initiate and manage requests for project changes and process project data managed in enterprise tools. Technical management of the PMO tools currently resides within the PMO. The CDCR Strategic Enterprise Architecture (SEARCH) program has been engaged to provide solution architecture support that includes the equivalent of Independent Verification and Validation of system integrator activity.

Anticipated changes in equipment, software or operating environment

The ARMS solution is a web-based solution and adheres with CDCR EIS browser standards. The technical platform cannot be specified by CDCR for Cloud solutions. The provider is responsible to meet service levels and security provisions for their hardware selections and architecture as defined by contract agreement.

- The ARMS solution was selected through a competitive bid and selection as a Cloud-hosted solution for rehabilitation case management. The foundation product for ARMS is the Efforts to Outcomes (ETO) solution operated by the Social Solutions Group. Systems such as ICATS, and OSAT/PDU would no longer be used by CDCR for rehabilitation programs. A single, integrated solution would be available as a hosted service.
- Equipment requirements for users of ARMS include a personal computer with a browser connected to the Internet.
- The service level agreements and terms and conditions of the contract establish protection for CDCR data.
- CDCR will download ARMS data and maintain the data in a usable format for reporting or non-time-sensitive data exchange across all enterprise solutions in a data warehouse or business intelligence environment during phase 2.
- The business would no longer have to manually update SOMS for ICATS data once data exchanges to SOMS are defined and implemented in phase 3.
- The business would no longer have to make up for data errors in ICATS due to the poor

capability for new users to be established in the macro-based spreadsheet.

- The business would no longer have to pick up and consolidate files from OSAT user organizations for reporting purposes.
- The business would no longer have to have data consolidated from the system used for Education Program Tracking in MS Access for reporting purposes.
- The business would have much more data available for analysis and program improvement activity. Time formerly used in manual data activity would be available for the primary mission of rehabilitation program effectiveness and contract management.
- The business would be alerted to programming barriers more timely.

Availability of personnel resources for development and operation

Since ARMS is a new system, DAI, DAPO and DRP staff have limited resources performing any segment of this business need. There are other collateral business responsibilities such as:

- Overall data analysis: resources currently have to determine the best source of data for analysis and support of division needs. ARMS will add data for analysis and provide for significantly more decision support and process improvement for rehabilitation; yet, the analysis of data is required to provide that capability for leadership. Resources are included in this proposal
- to allow the volume of data and the increase in data analysis capability to meet the business need for analysis.
- Overall reporting: resources currently have to pull together data from multiple systems for reporting. ARMS will provide a comprehensive reporting platform that will have to be used for reporting on ARMS data. ARMS data may also be required in combination with other system data for comprehensive reporting and business intelligence. Resources are included in this proposal to allow the volume of data and increase in statistical analysis capability to meet the business reporting need.

Availability of personnel supporting each system related to this initiative and their ability to continue in support of the proposed solution include the following:

- SOMS: There is no impact to SOMS staffing for implementation of ARMS except for the need to define, implement and maintain interfaces with ARMS. Consultant funding is included for ARMS interfaces in this proposal. Offender assessment systems also feed SOMS. These assessment systems will need to feed data to ARMS where appropriate. Redirected staffing for these systems to feed data to ARMS is also included in this proposal.
- PVDTS: DAPO will be using an internal system called the Parole Violation Disposition Tracking System (PVDTS) to refer parolees to community-based providers. ARMS will capture these referrals manually in phase 1 and in an automated manner in phase 2. The programs within ARMS will need to be exchanged with PVDTS in phase 2 so that referrals can be made to the actual programs available in ARMS where possible. ARMS data is planned to flow to PVDTS in phase 3. Redirected PVDTS staffing required to maintain interfaces for ARMS is also included in this proposal.

- COMPAS: DRP, DAPO and DAI resources use COMPAS for needs assessments. Since data from COMPAS is needed within ARMS, the interfaces defined for COMPAS will have to be maintained by EIS in support of ARMS. Redirected COMPAS staffing required to maintain interfaces for ARMS is also included in this proposal.
- ICATS: this system requires minimal support. Less than a full time resource is needed to pull data from and use this system. The business users and reporting analysts will transition to ARMS, with more than a hundred times the elements of data than is available in ICATS.
- OSAT: this system has no support capability. Less than a full time resource is needed to maintain and use this system and the business users and reporting analysts will transition to ARMS which will provide access to hundreds of additional data elements than those currently available within OSAT.
- PDU is supported currently, in part, by county resources that will also be migrated to ARMS for tracking CDCR community rehabilitative programs.

During the ARMS configuration phase, participation by CDCR will have to contribute with several roles, including:

1. Ensure requirements are met by the solution provider (EA Solution Architect).
2. Ensure the developed system performs work in the ways established in defined Use Cases (EA Solution Architect).
3. Ensure CDCR learns how to configure the solution sufficiently to address future functional modifications within the constraints of the baseline solution.
4. Ensure CDCR learns how to define ad-hoc reports to address business needs for extracting data from ARMS.
5. Ensure CDCR and contracted providers who will use the system, adapt to business processes that the solution will accommodate.
6. Prepare for the operations phase and the processing of service requests, system changes, incident corrective actions and related support tasks.
7. Design a way to capture ARMS data within the enterprise to make it useful as a repository controlled by DRP for data sharing, analysis and business intelligence reporting.
8. Perform contract management for contracts supporting the initiative.
9. Perform project management for the initiative.
10. Perform security management activities to ensure CDCR security policies and contract terms and conditions for security are met. Conduct inspections or assessments as required.
11. Participate in training and be prepared to take on a training role where required for future phases.
12. Engage to develop and implement interfaces from internal systems; then, support the interfaces following deployment.
13. Verify the solution operates as designed (EA Solution Architect).
14. Validate the solution meets business needs (EA Solution Architect).

15. Accept the solution for deployment and operations.

A project team was defined in the summer of 2014 that comprises oversight from the EIS PMO and Enterprise Architecture (EA) program including: project management and solution architecture resources, DRP rehabilitation staff, DAI analysts, DAPO analysts and a number of contracted providers that will be the primary user base for the solution. Division leadership from stakeholders is also engaged in governance activity. During the development phase for the ARMS solution, the selected vendor will configure the COTS solution and provide train-the-trainer sessions for DRP staff will then carry out ARMS training to CDCR staff and community user groups by region in coordination with the roll out schedule.

Once ARMS goes into production, there are key roles that will be required to manage the system in collaboration with the hosted solution provider:

1. DRP will need to provide business help desk operations to address any initial incidents or problems with users of the system. DRP will further assign second or third level support to the contracted provider to correct situations that are system related.
2. DRP, DAI and DAPO will define and publish new system reports as required. DRP will provide business-level contract management for service levels.
3. DRP will form new teams to test new solution version releases as well as to change configurations of the deployed solution and test the new configurations prior to deployment. DAI and DAPO may also participate in configuration changes to the solution.
4. The Office of Research will utilize ARMS data for predictive analytics consistent with current operations, but expanded to include program effectiveness influences.
5. EIS will provide contract management for contract modifications, performance deviations or formal corrective actions under the terms and conditions of the contract.
6. EIS will provide security audit support to verify that the solution is being managed in accordance with the NIST 800-53 security controls as defined by contract.
7. The Office of Research will provide ongoing data support to capture data from the hosted ARMS solution for use of the data within the CDCR enterprise. A proposed budget augmentation is anticipated to fill this role.
8. EIS will maintain solution interfaces for other enterprise systems.

At deployment of the operational ARMS solution implements a subscription model by which DRP will provision users assessing each user with a subscription fee for required stakeholders. EIS, DAI, DAPO and DRP will provide resources for all levels of support beginning with the development phase and continuing into operations. The solution provider is responsible for full system supportability and maintenance to defined service levels.

5 4.2.1 Existing Infrastructure

Desktop workstations

The in-prison user workstations for the project will follow existing enterprise architecture

desktop standards. Some current program operations have desktop or laptop equipment.

LAN Servers

Not applicable.

Network Protocols

The current Internet Protocol will be applicable to future solutions.

Application Development Software

Not applicable.

Personal Productivity Software

Microsoft Office Suite as per enterprise architectural standards is the standard productivity software.

Operating System Software

Microsoft Windows 7 is the current standard CDCR operating system software.

Database Management Software

Microsoft SQL Server Database is a part of the Enterprise Architectural standards.

Application Development Methodology

Not applicable.

Project Management Methodology

See Section 6.0, Project Management Methodology.

5 PROPOSED SOLUTION

This FSR addresses ARMS, the implementation of a Commercial-Off-The-Shelf (COTS) Case Management System to enhance tracking and services for offenders in rehabilitative programs. ARMS is a case management platform that allows tracking of offender rehabilitative program activity mostly by contract providers.

The flexibility and configurability of this new solution supports the highly dynamic demands of rehabilitation. Initiated in support of 3JP mandates, the solution's durability is ensured by compliance with several recommendations from the Expert Panel Report on "Adult Offender and Recidivism Reduction Programming," as well as the California Logic Model, and statute defining the need for "Case Management," evidence-based programs, matching programs to assessed needs, and managing to outcomes including reduced recidivism.

Program types enabled by the case management capability in ARMS include (but are not limited

to):

- Substance Abuse Treatment
- Education (literacy, adult basic, high school, career technical, other)
- Criminogenics or Criminal Thinking
- Sex Offender Management
- Anger Management
- Domestic Violence
- Cognitive and Life Skills
- Parenting and Family Reintegration
- Budgeting and Money Management
- Job Readiness and Search
- Computer Literacy
- Other generic case management tracking at the offender (individual) level

This solution would include a hosted Commercial-Off-The-Shelf (COTS) application that is hosted and managed at the application level by the Software-as-a-Service (SaaS) service provider. Data at the right level of granularity will likely have security considerations for Criminal Offender Record Information (CORI), Health Insurance Portability and Accountability Act (HIPAA), Personally Identifiable Information (PII), Code of Federal Regulations (CFR) Title 42, Section 2 and Family Educational Rights and Privacy Act (FERPA).

- End users will mostly be external to CDCR: Service Providers – 400 – 10,000 users; CDCR users will likely be fewer – 40 to 50 users initially with increases to nearly 2,000 as the system supports offender rehabilitation and the stakeholders who would need additional service capability.
- Existing Systems – There are no enterprise class solutions available for Case Management of rehabilitation services for external, contracted providers. Users of SOMS, PVDTS, COMPAS and CalParole (also transitioning to SOMS) may require access to reports from the ARMS system.
- Consistency with overall strategy – Since this application will be using data from offenders and the users are external – this fits into our existing Enterprise Architecture Strategy accommodating the restriction from allowing external providers to access SOMS.

The proposed solution must meet current safety, regulatory, security and audit requirements. The proposed solution must also be flexible enough to accommodate future safety and regulatory changes into the system. The proposed solution will include public domain information and confidential data, which requires restricted access and a greater level of system security. Any information that relates to the identity of specific offenders is strictly confidential and requires written consent to release.

Other legal and public policy mandates that may have implications for the proposed alternative include:

- Health Insurance Portability and Accountability Act (HIPAA)
- State of California offender legislative mandates
- Federal legislative offender mandates
- Information Practices Act
- California Public Confidentiality
- Security and Privacy
- Freedom of Information Act
- Records Act
- California Code of Regulations – Title 22
- Code of Federal Regulations (CFR) – Title 21 and
- Excerpts from the Public Resources Code.

In addition, the Expert Panel developed the “California Logic Model,” which represents the eight practices developed on five principles, attributable to combinations of a number of authors, on which the panels’ recommendations are based. The eight practices are identified below and in subsequent depictions:

- Target Highest Risk Offenders.
- Assess Offenders Needs.
- Develop Behavior Management Plans.
- Deliver Treatment Programs using Cognitive-Based Strategies.
- Measure Progress.
- Prep for reentry: Engender the Community as a Protective Factor Against Recidivism and Use the Community to Support Offender Reentry and Reintegration.
- Reintegrate: Provide aftercare and facilitate a successful reentry.
- Follow-Up: track offenders and collect outcome data.

ARMS will establish the capability to provide evidence-based program management support and will provide the data that will be used to evaluate program performance and make service delivery improvements in programs. These improvements will gradually increase program effectiveness and outcomes, yet the changes cannot be made until there is sufficient data available from program participation that demonstrates where programs are more successful and where they need improvement. ARMS will be the only system used to track services provided by contract provider organizations. Today, contracted provider services cost over \$130M annually to DRP, over \$60M annually for DAPO and is a portion of contracted beds for DAI also. Contract beds from DAI also have rehabilitative programs being implemented for alternative custody and other programs that operate in a very similar way to other in-prison or community-based programs.

CDCR systems will be replaced currently only require minimal internal support. ARMS will replace ICATS, OSAT, PDU, PATS and BASS. ARMS will also complement systems already in place by covering the lifecycle of rehabilitation activity that transitions with the offenders from Reentry Hubs through their release from incarceration and subsequent transition to community based programs and services. ARMS will utilize pertinent data from enterprise systems such as

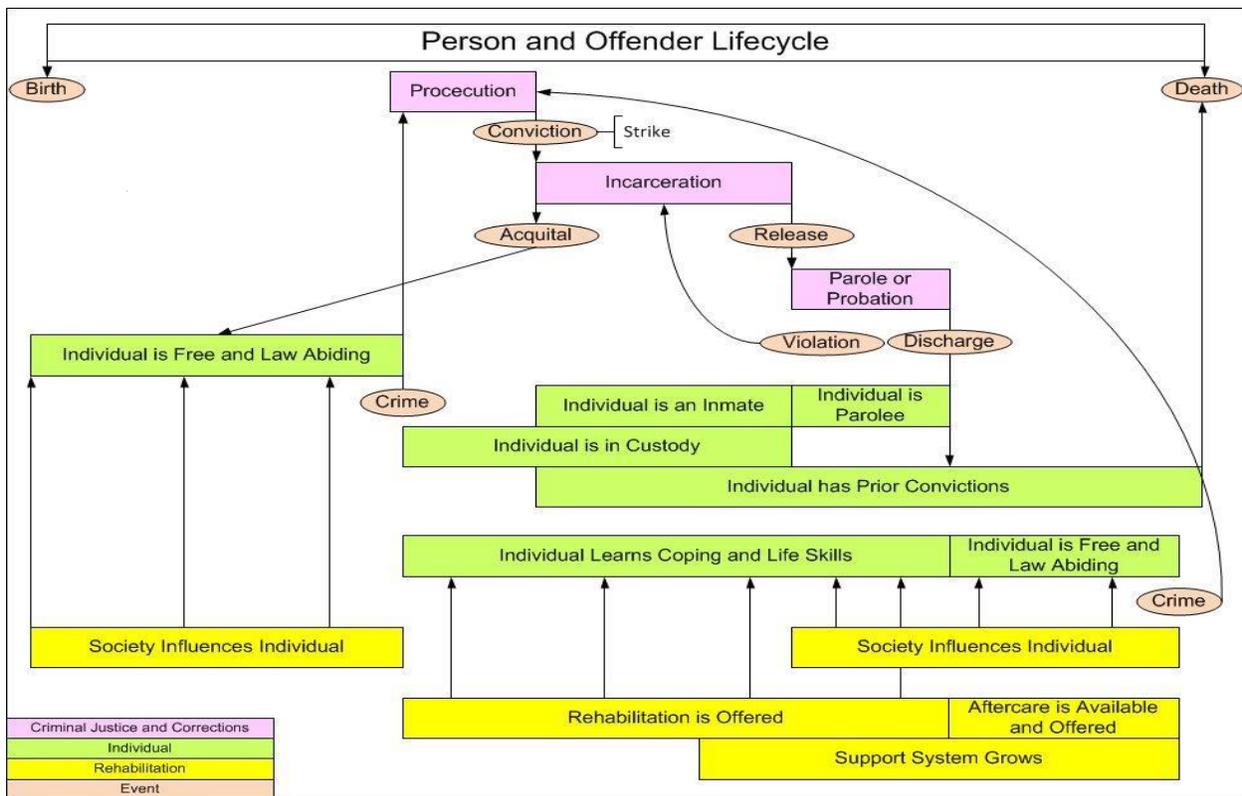
SOMS (offender demographics, program achievements, jobs and assignment information to programs), COMPAS (assessment results) and other systems where there will be value to the continuity of treatment that contracted providers will need to enhance their success with offenders. PVDTS will supply the referral information to ARMS for offenders in community programs. Figure 1 depicts the offender lifecycle.

The proposed solution will be implemented in compliance with CDCR policies and procedures, including the Information Security Policy, the current Agency Information Management Strategy (AIMS) and the Department Operations Manual (DOM).

- Due to lack of Cloud terms and conditions in the State of California at time of acquisition, CDCR coordinated terms and conditions using the Federal Risk and Authorization Management Program (FedRAMP) that is a certification for Cloud providers. The FedRAMP technical requirements from the National Institute of Standards and Technology (NIST) standard 800-53, Revision 3 (recommended security controls) were included in solicitation materials and contracts for Cloud service providers, as appropriate.
- Information contained within ARMS was classified using Federal Information Processing Standard Publication 199 for security classification was used to establish baseline security needs for ARMS data. NIST 800-60 was the process used for establishing the appropriate initial controls for ARMS data.
- A set of draft terms and conditions were used from the California Department of General Services for Cloud providers. In addition, other terms and conditions as well as service level agreements were established to protect the data and integrity of the solution. The TL 14-04, Cloud First letter from the California Department of Technology (CDT) references SIMM 5300 for required security practices will be incorporated in phase 2.

The rehabilitation mission is to build the individual's competency and confidence within their potential support system in society to resist criminal behavior due to the other options and opportunities for them to live their lives in productive and peaceful ways in the community. Initial phases of ARMS concentrate on rehabilitation program case management and data analysis within the prison environment. Other future phases are planned to build upon the initial capability particularly through enhanced interfaces for collaborative rehabilitation in the community, enhancing data analysis for program improvement and performance-based contracting and finally by ensuring staff members are hired and trained as required to use quantitative, statistical methods to direct improvement in rehabilitative programs.

Figure 1: Offender Lifecycle



Note that services need to be initiated in the prison environment and transitioned to those in a community setting. Today, while SOMS provides some functionality for program case management, the level of detail for the data supports incarceration information needs, but not rehabilitation information needs. Furthermore, contracted providers cannot use SOMS. ARMS, then, must become the case management system to collect program participation and effectiveness information to enhance rehabilitation as well as the transition to community-based activity with strong continuity of care.

When discussing this business need with the Gartner Group analysts on several occasions, there were case management system providers recommended for discussions in the mid-market area (moderate size businesses) and the large-market area (large enterprise system providers). The cost estimate for large market providers ranged from \$50 – 80 M given the scope of the business need. The business need was adjusted with a more direct emphasis on rehabilitation programming and requirements were refined with Use Cases to ensure the case management providers were aware of the very specific needs of the system. Demonstrations were scheduled and a Request for Information (RFI) package was submitted with multiple responders. It became clearer that hosted, Software-as-a-Service (SaaS) providers had much more adaptable solutions and cost was significantly lower using a subscription model. While this introduced a number of technical considerations discussed in the previous section related to the technical solution, the business solution became much more flexible and modifiable using this model. Most of the newer packages for case management in a rehabilitation environment allow users to modify the configuration of the solution to improve their data capture and workflow capabilities.

The costs to engage with this vital solution that closes significant gaps in current CDCR

capability are detailed in *Section 8.0: Economic Analysis Worksheets*.

The following function areas are being addressed by other CDCR projects and may potentially exchange data with the ARMS system:

- Centralized data repository for all inmate information will be addressed by SOMS. The SOMS repository will be the data base of record for all offenders. Information on offender demographics and program participation is planned to be exchanged with ARMS.
- COMPAS will continue to be used for offender needs assessments and assessment results may be exchanged with ARMS to enhance the trend analysis capability of service providers for each individual offender enrolled in their programs.
- ARMS program capacity information will be available and will likely be exchanged with the system designated for making referrals to programs within CDCR. PVDTS currently has this designation and will be sending referral data to ARMS to initiate the enrollment process for parolees. The same referral functionality is used by in-prison programs to make pre-referrals to community programs to enhance continuity of care.

High-level Description

The purpose of this proposed solution is to select a path that allows CDCR to meet immediate demands of court ordered population reductions while continuing a more complete mission mandate from California statute in the business area of rehabilitative programs. The court order directs activities that fit within the definition of the California Logic Model that represents a high-level picture of statutes directing rehabilitative program improvement. ARMS is more than a system. The ARMS initiative includes a transition to evidence-based programming with the ability to audit for program fidelity, performance and improve client outcomes. The solution incorporates the industry best practices for continuity of care. The ARMS initiative also builds the data required to perform program improvement activity necessary to enhance outcomes and supportive of performance-based contracting. The solution is built on a platform designed to track client and program based outcomes and to allow flexible changes as effective activities are isolated that can result in improvements in desired outcomes. The ARMS initiative is the solution to incrementally build the capability defined by statute that helps to rapidly reduce prison populations, but also establishes methods to improve program delivery to reduce recidivism.

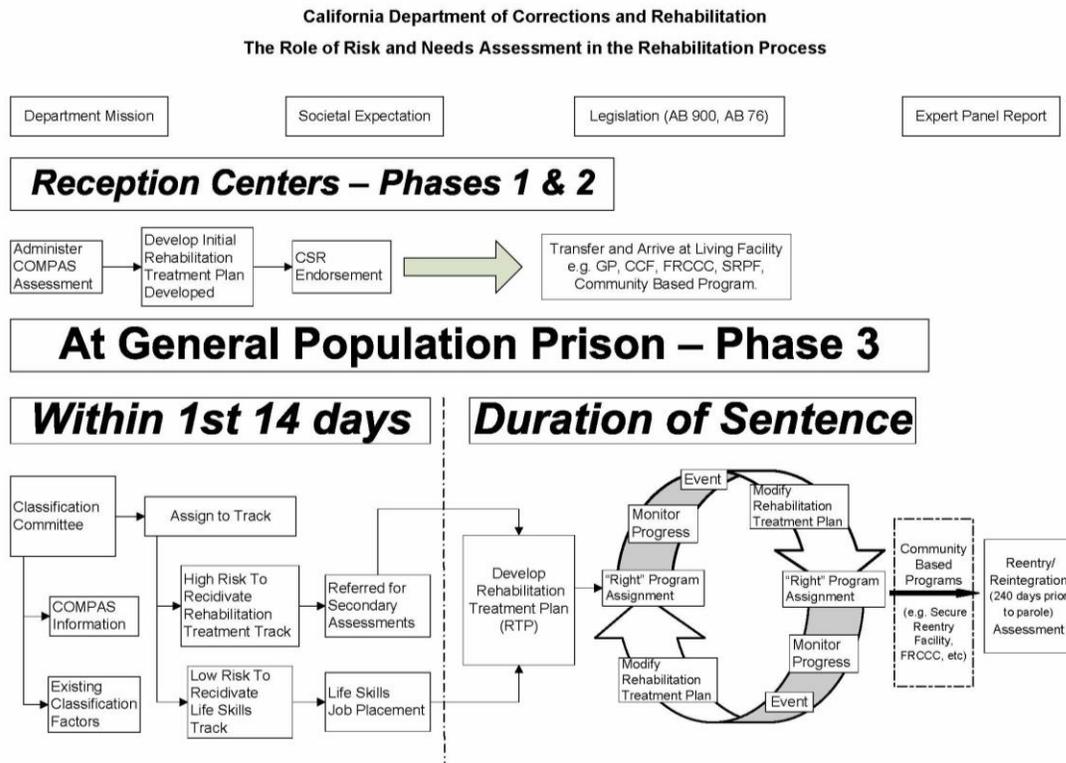
Provide for Continuity of Care from Prison to the Community

With program providers utilizing the ARMS system, offenders in institutions preparing for reentry will have their development documented and managed as a case, thus improving the ability to track building of skills that should provide improved chances for success in society. Offenders in their last four years of incarceration are considered for movement to Reentry Hubs where rehabilitation can become more intense and focused than in traditional institution program offerings. Inmates in Reentry Hubs will also be able to search for rehabilitation programs in kiosks to help them plan for their own programs of interest and need. In addition some offenders

will be enrolled in alternative custody programs that provide various rehabilitation services either in prison facilities or external facilities in residence while the offenders are still in official custody status.

Needs assessment is the primary tool for identifying the optimal programs for rehabilitation. Risk assessment also needs to be considered since the programs cannot be as effective in every situation. The assessment process is illustrated in Figure 3 below. Rehabilitation programming without assessment would not be considered since the assessment information is a critical element to evidence-based principles.

Figure 2: Assessment Process Flow



Use ARMS for Offenders in Alternative Custody or Reentry Hub Programming

Initially ARMS will be used for offenders in alternative custody status or for those in Reentry Hubs receiving treatment by contracted providers. In order to make the best use of the solution to contribute to reduction in prison populations, data from ARMS will be fed back to SOMS so that decisions can be made in SOMS for milestone achievements in programs. This is critical due to the emphasis on meeting court ordered reductions in prison population. ARMS supports program documentation of program achievements by contracted providers for offenders they serve. Contracted providers that utilize ARMS will be able to augment assessment capability to help tailor services for individual needs. This helps to improve the effectiveness of programs for individuals.

Compile, Collect and Analyze Data from ARMS

The initial value of ARMS program data is to feed SOMS so that inmates will obtain appropriate milestone credits that reduce time in prison. Following deployment, the ongoing value of ARMS to CDCR and contracted providers will be significant for program effectiveness and recidivism reduction. Some of the providers have record keeping in spreadsheets while others use enterprise solutions that allow for tracking for invoice purposes. The inconsistency of data is an issue that ARMS will address. Even the providers with enterprise systems do not have solutions that were designed with evidence-based practices (EBP) in mind since their current solutions are historical and EBP is a relatively new requirement for effective programs. The ARMS solution does not impose complex templates for programs; rather, it allows for flexible definition to the degree of detail necessary to appropriately represent the programs, related activities and schedules. ARMS will ensure that the solution users can extract their own performance data to help update their enterprise systems to avoid duplication of effort for invoicing. Providers will only be able to see their own data or data for providers subcontracted to them. Data related to offenders will be shared as feasible based on security laws, regulations and legal opinions allow. Meanwhile the collection of data will begin to provide a rich cache of information to feed to SOMS for milestone credits that the DRP program analysts can use to determine program fidelity and effectiveness and that the Office of Research could leverage to add greater fidelity in population projections based on rates of recidivism; and, eventually, to adjust projections for program effectiveness.

ARMS will have a rich set of reports available to view operational data. In addition, ARMS will incorporate a reporting module in which users can create new reports of their data. Furthermore, ARMS will have data download capability to use in developing an internal data store that can be used with enterprise reporting systems. The data store will initially be available to those with programming tools such as SAS, to analyze and report on data for other than operational needs. The data refinements will be managed in metadata to allow validation of appropriate rules for specific reporting requirements. Both DRP and the Office of Research use SAS programming tools.

In addition to fulfilling the legislated mandates, the proposed solution provides for many years of productive use and analytical benefits for program improvements to enhance solution effectiveness. Should ARMS prove to be the solution expected, the solution would be considered for county collaboration for offenders that transition between State and county jurisdiction. This future phase of the project will utilize a separate procurement method since the solution would be more compatible with a SaaS subscription model at that time.

Application Development Methodology

An ARMS development methodology is required by the COTS vendor. A methodology for configuration of solution capability is being provided with the ARMS solution. The COTS package will have to be configured for the specific functionality required in ARMS. The planned mission performance manual operations and system components are depicted below:

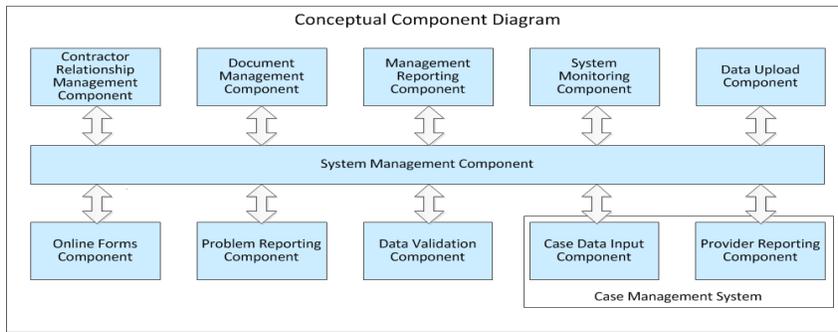


Figure 3 – Conceptual Component Diagram

As a hosted solution for contracted program providers, ARMS will be totally accessible through the Internet. In the depiction above, the requirements in the technology are limited to the Case Management System since contract management is completed manually and not part of the subscription service.

There are initially no automated interfaces planned in phase 1, yet files will be uploaded from Excel extracted reports from source systems to obtain data that would facilitate operational use of ARMS. As a Subscription service, an ARMS provider would demonstrate that their system could perform the activities depicted below as the basis for compliance with mandatory requirements and the solution selected would be implemented to allow operations in support of mission requirements. Security requirements, terms and conditions were coordinated among CDCR EIS architects and approved by the CDCR IT Proposal Review Advisory Committee (PRAC) for a hosted solution external to CDCR. FedRAMP technical controls are applied using NIST 800-53, Revision 3 as agreed with the CDCR security office.

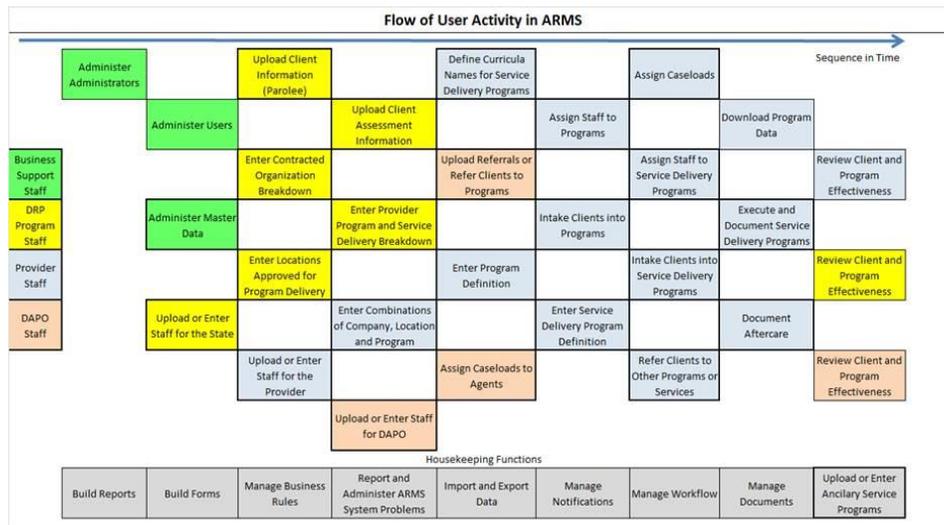


Figure 4 – Flow of User Activity in ARMS

ARMS provides unique capabilities to address problems defined in section 4.1. The benefits of having completed the ARMS initiative include the following:

- ARMS will provide more data on effectiveness of delivered programs to allow for improved forecasting.
- Contracting for providers continues with new terms and conditions to enhance program effectiveness based on industry best practices. Most contracts include clauses for providers to use a CDCR system should one be made available. Contracts cannot yet be performance based since the data is not available to demonstrate how effective the services are in comparison with others. ARMS will change the dynamics and allow for improved data to gradually transition to performance-based contracting.
- Systems that allow fulfillment of the California Logic Model are incrementally being put into productive use. The Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) application is operational and provides CDCR with needs assessment capability as well as parole planning capability to address offender needs.
- The Strategic Offender Management System (SOMS) also is in place and operational for tracking programs administered by State staff. The ARMS solution fills the case management gap for contracted providers delivering rehabilitative programming in the prison institutions as well as in the community. Contracted providers utilize interim CDCR systems with very little data will transition to the rich data environment of ARMS.
- The Interim Computerized Attendance Tracking System (ICATS) will be retired.
- The Offender Substance Abuse Treatment (OSAT) system and PDU system will both be retired.
- Where the Division of Adult Institutions (DAI) contracts with providers for “contract beds” for inmates, ARMS will be offered as the solution to track contract provider rehabilitative programs.
- The process for an alternative custody program is similar to community-based programs for parolees except that individuals are assigned to the program and would immediately be returned to prison if terms of participation were violated. ARMS will be offered to contracted providers of alternative custody programs. Furthermore, ARMS supports the Department’s efforts to pilot new reentry programs as directed in the Court Order and to monitor program progress; CDCR will now have a data solution for any and all programs, regardless of where they are conducted.
- COMPAS will continue to be used in its current model for in-prison need assessments.
- Continuity of care is enhanced through data being provided within ARMS for contracted providers.
- Managing contract services is completed to the degree possible with staff members conducting program accountability reviews using manual checklists, spreadsheet records and by following-up on corrective action manually. This activity will be transitioned to online checklists and data capture to enhance data analysis capability.

- Data will no longer be insufficient for contracted services for the purposes of improving effectiveness of programs or client outcomes with the implementation of ARMS. The type of analytics require skills of data science as a combination of business knowledge, data knowledge and knowledge of statistical methods applicable combining data from multiple sources and predicting future outcomes based on planned changes to programs. ARMS is planned to also improve competencies of analysts for these advanced analytical methods.

Proposed Solution Program Benefits

ARMS will provide the only centralized and standardized rehabilitation case management system available to CDCR contracted providers. The most immediate program benefits include being able to track, from admission to discharge, rehabilitation program participation in community based programs, alternative custody programs and for programs implemented at Reentry Hubs by contracted providers. Program tracking will demonstrate achievement of program completions that can award up to 50% off of prison terms for some offenders, thus reducing the prison population. When individuals are in alternative custody situations, this could also free up prison population counts when the alternative custody location is in a residential facility external to the CDCR institutions. Standardizing the manner of which community based programs collect and enter data to be consistent with prison and alternative custody based programming, through the use of ARMS, will strengthen the continuity of care for offenders moving through the CDCR system.

In addition to these more immediate benefits, ARMS will allow definition of evidence-based programs and will allow tracking participation in the programs for any enrolled offenders. Since the programs are both defined and then used as the basis for managing case data for individuals, the fidelity of programs can be more easily determined through online data analysis. The availability of data in the same format across all cases and programs also facilitates analysis for program effectiveness for given client needs. Data analysis can reveal opportunities for program improvement and thus build greater and greater effectiveness for rehabilitation efforts, thus reducing recidivism. Also, ARMS will incorporate data uploads from SOMS, COMPAS and potentially other enterprise systems to facilitate the continuity of care proven to be so important to individuals undergoing the transition to reintegration with society.

Proposed Solution Program Advantages

The proposed solution offers these advantages. The proposed solution:

- Uses assessment results from the source system: COMPAS.
- Uses offender data from the source system: SOMS.
- Removes the need to use antiquated and outdated data collection systems such as OSAT and PDU systems for case management purposes.

- Uses a COTS Case Management solution that is provisioned as a SaaS solution with complete infrastructure and support external to CDCR under specific security protections defined for the federal government.
- Provides a modifiable platform that can evolve with internal business resources trained to reconfigure the solution.
- Provides a solution and provider of the solution with rehabilitation program experience greater than the sum of all needs that CDCR anticipates with the solution.
- Can be used to define rehabilitation programs compliant with evidence-based practices.
- Can be used to track participant achievements that can include milestone achievements and credits for term reduction for offenders.
- Can be integrated with SOMS program module when it becomes available.
- Can receive referrals from whatever solution CDCR decides will be used for program referrals external to SOMS.
- Complies with EIS standards for SaaS and Cloud solutions that were defined specifically for this solution.
- Complies with CDCR information security standards for SaaS and Cloud solutions that were defined specifically for this solution.

Provides an ad hoc and standardized reporting feature.

Proposed Solution Program Disadvantages

The proposed solution includes these disadvantages. The proposed solution:

- Requires change to contracted provider and DRP stakeholder daily routines and responsibilities.
- Requires additional contract management for the SaaS solution provider to defined service level agreement terms and conditions.

ARMS will incorporate three phases of implementation:

1. Phase 1 includes activity from the start of the procurement phase of the ARMS project until completion of the pilot implementation and adjustments to deploy the baseline solution, the project duration is about 20 months, projected to be June 2014 through June 2016. Please see Section 8, *Economic Analysis Worksheets* for cost details and Section 5.1, *Solution Description* for resource description and constraints.
2. Phase 2 includes activity from the end of phase 1 to the end of June of 2018. In this phase the interfaces are automated and solution capability is enhanced. The number of users will scale as providers are able to transition from other methods of data capture.

3. Phase 3 includes activity from the end of phase 2 through the end of June 2020. The activity includes transition to fully supported operations with the staff positions being filled and individuals trained for appropriate data analysis methods.

Proposed Solution Risks

The major risks to the proposed solution are:

- This is one of the first mission critical systems that would be hosted as a SaaS application for business use within CDCR. Extensive preparation was made to address nearly eighty considerations and to factor in contract terms and conditions coordinated with the Department of General Services (DGS) as well as service level agreements. Federal specifications for Cloud solutions defined by the Federal Risk and Authorization Management Program (FedRAMP) were used to establish baseline expectations for the solution. Still, the first time any new solution concept is introduced carries risk that some conditions of performance will not have been as expected or predicted.
- There are nearly 450 contracted providers of rehabilitation services for CDCR. These providers will have representatives to help establish the adequacy of functionality for business purposes; and, even though providers participated in requirements gathering and Use Case development activity, there is not likely to be a single, consolidated opinion of what the solution functionality will need to be.

Concept of Operations

ARMS will become the case management solution for contracted providers of rehabilitation services for the Department. Today, over 400 providers use whatever systems they have available to schedule services, enroll individuals in services and track progress for reporting. Data capture and reporting are inconsistent since the data collected is not consistent among providers. The contracted providers want and deserve a comprehensive system to use for case management of offender rehabilitation. CDCR Management is also looking for improved tracking for rehabilitation services from contracted providers. DRP analysts are looking for improved ways to review program compliance and effectiveness without having to spend significant time on the road to collect pertinent data.

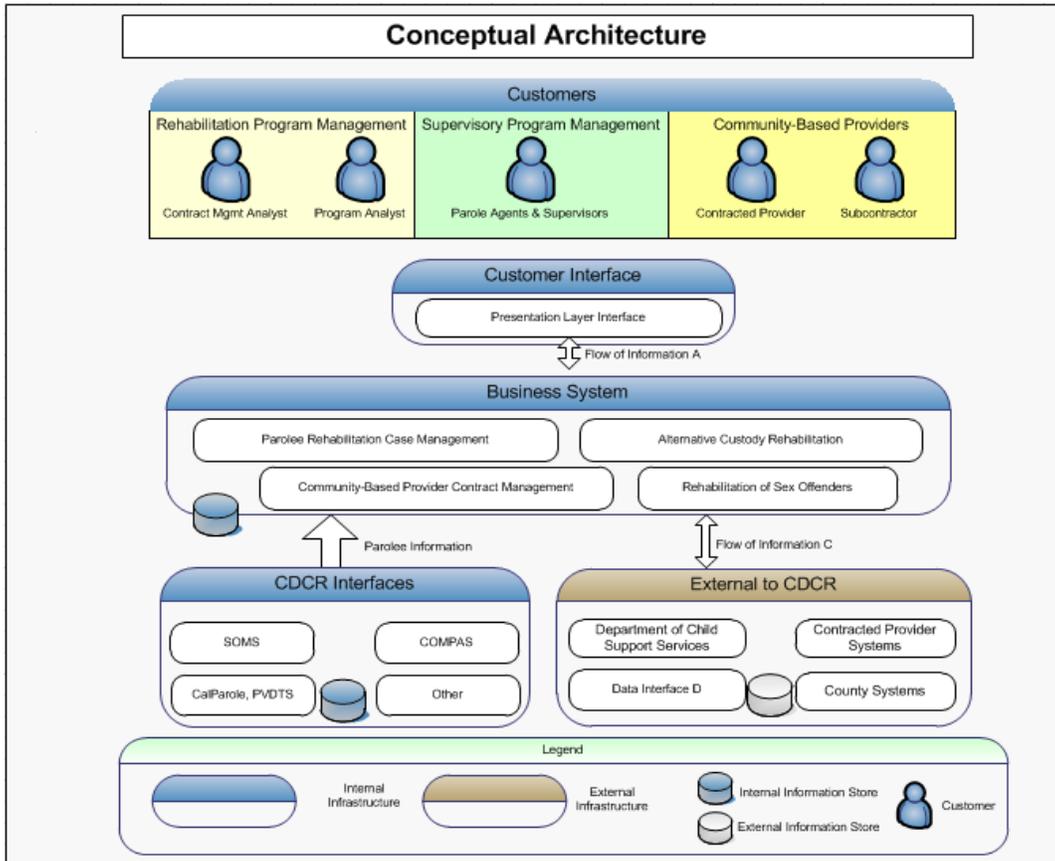
Once a case management system is in place, the process for referring offenders to the service providers and getting them enrolled and participating in their rehabilitation services will be similar, but more automated, thus allowing for more visibility into processing at each step of activity. For instance, follow the outline of the scenario below:

- An individual is within 48 months of release from prison.
- The individual is transitioned to a Reentry Hub for appropriate rehabilitation.
- The individual is referred to and enrolled in, a program delivered by a contracted provider. This can now be documented online with program capacity information defined along with the evidence-based design for program execution.
- Provider assessments are given and used as the basis for program tailoring to individual

needs.

- As the individual is enrolled, the published schedule of classes becomes the schedule for the individual enrolled and conflicts with other ARMS program schedules are identified to Managers or providers.
- As activity is accomplished, the activities are documented with reasons or other data to describe the participation and results. Accomplishments or achievements in programs to milestones can be used for Milestone credits. Credits can only be applied in SOMS.
- Program providers may also refer the individual to other services or programs to help with their rehabilitation and preparation for eventual release from prison.
- Staff members from program providers will have appropriate certificates and qualifications available online to help verify compliance with established program standards.
- Program effectiveness is captured with the progress made by those enrolled in activity.
- Data is available for analysis of program compliance and effectiveness. Every program has consistent data reported so that program differences and results can be compared to help isolate factors that improve outcomes.
- As individuals progress towards release, they are given another assessment in COMPAS to identify individual needs; and, the data is imported to ARMS. The assessment information is useful for continuity of treatment with providers that the individual would be referred to.
- Providers in community-based programs may also be given access to ARMS as the solution becomes adjusted for other than reentry preparation or alternative custody considerations.

Figure 5: Depiction of Operational Use



5.1 SOLUTION DESCRIPTION

ARMS will be a hosted, SaaS solution. Providers will be operating out of a high availability, high security data center currently supporting hundreds or thousands of other clients. The Federal Risk and Authorization Management Program (FedRAMP) standards for security control are being applied to the solution. Software platforms vary significantly among the providers being solicited and would never be supported by the government. The State will pay subscription pricing and receive functionality and service levels for performance and support in return. Technical terms and conditions as well as requirements are specified in the solicitation to protect the State. These are being coordinated with State control agencies. Demonstrations were conducted and RFI response information is available to review the various platforms in use and all indicate capability to match solicitation requirements, terms and conditions.

The ARMS solution would include a Commercial-Off-The-Shelf (COTS) Case Management application that is hosted and managed at the application level by the service provider with all functionality provided to CDCR and contracted Service Providers as a SaaS solution through subscription services. Servers will be hosted and maintained by the vendor.

Other assumptions and constraints for the ARMS solution include the following:

- SOMS – The SOMS project completion is a dependency for In-Prison Program data as well as Classification and Programming performance scope. The SOMS classification and programs module was deployed in August 2014, which includes key information necessary for an effective community services solution. SOMS also has the baseline Client demographic information necessary for identifying participants in programs. This data will be required via interface that will be developed with this project.
- Security policy for data would have to be met for any implemented solution (this is part of the terms and conditions for the contracted solution).
- PVDTS interface is still under construction and there are work-around methods to obtain the offender referrals that would come from PVDTS should the interface not be possible.
- COMPAS – Needs Assessment Data are expected to be passed over to the ARMS system through an interface and a work-around is available as an extract file until the interface is possible.
- Referrals to Service Providers via ARMS are expected to occur electronically with appropriate case management information necessary to be provided by ARMS to the Service Provider (using appropriate data restrictions).

1. Hardware

Where most FSR documents would have extensive definition of architecture components for hardware and software, ARMS is being procured as a SaaS, hosted solution. The application infrastructure and application functionality will be managed by the vendor and the only point of intersection with CDCR resources would be the browser. Since a “Cloud” infrastructure adds risk to enterprise considerations, the ARMS solution had significant restrictions, terms and conditions applied to the contract and has significant service level requirements that would enforce the type of infrastructure and protection required for CDCR data.

Hardware is not specified by CDCR for Cloud solutions. The provider is responsible to meet service levels and security provisions for their hardware selections and architecture.

Some in-prison workstations will be procured with this contract effort where necessary to accommodate where current program operations do not have desktop or laptop equipment. Approximately 400 – 4,000 individuals in phase 1 (up to 10,000 individuals in later phases) will have access via their individual personal computers and Internet browsers to the ARMS application at over 450 locations statewide.

2. Software

Software is not specified by CDCR for ARMS other than as business requirements and Use Cases. The functionality will be made available as a subscription service and will be fully supported by the vendor.

Database management software is not specified by CDCR for ARMS. However, the solution provider will provide training for DRP business administrators who may require access to the

Microsoft SQL database. In phase 2, the ARMS database would be downloaded to CDCR regularly and EIS staff would manage the data storage and access capability for CDCR purposes.

3. Technical Platform

The technical platform is not specified by CDCR for Cloud solutions. The provider is responsible to meet service levels and security provisions for their hardware selections and architecture.

4. Development Approach

The ARMS solution is being defined from a modern COTS application with demonstrated capability to support the rehabilitation mission. The COTS package will have to be configured for the specific functionality required in ARMS. The amount of MOTS needs below is estimated, yet would be completely incorporated in a future version of the COTS platform. There would be no extraneous customization for CDCR that would need to be separately maintained.

Select and estimate percentage of each

COTS 60 % MOTS 40 % Custom Development ___% Others None

5. Integration Issues

ARMS will establish the first repository of data that would be totally dedicated to evidence-based rehabilitation for contracted providers. Where SOMS is planned to have program data for activity performed by CDCR staff members in the institutions, there is no other capability defined for contracted providers. This source of data will be very valuable for the providers trying to improve their own programs, State staff members analyzing across programs to help identify best practices, supervisors trying to determine the level of participation of offenders to help determine the right pace of coordination and guidance and other parties that have a role in the lifecycle of an offender to better understand what the record of performance is so that actions can support the rehabilitation effort.

When data is valuable to many parties, integration becomes a valuable opportunity. SOMS, for instance is the system of record for offender demographic information. Each source system should be the only system used as a source for this data in an enterprise. SOMS data will be brought into ARMS for the pieces that are appropriately sourced from SOMS just as the assessment data from COMPAS will be used for information for which COMPAS is the system of record. Another important set of records for ARMS will be referrals to programs by supervisors. There has been no final determination of the enterprise system of record for referrals. ARMS will have referral capability due to the referrals required from providers to other providers, but may not be the system of record from supervisors to rehabilitation programs. When that determination is made, ARMS will be integrated with that solution to ensure the referral can be addressed quickly with known capacity maintained in ARMS.

6. Procurement Approach

The ARMS solution progressed through a procurement phase with key sub-phases helping to guide the appropriate competitive procurement. The phases and sub-phases include:

- Procurement Phase
 - Detailed Solution Requirements Definition
 - Augmented Request for Information
 - Solution Demonstrations
 - Definition of System Use Cases
 - Competitive Procurement
 - Evaluation and Selection

A full competitive procurement was conducted using 3JP authority and mandate. Procurement documents included an RFO, proposals, proposal evaluations, and contract award upon request. Due to the urgent nature of 3JP timeframe mandates, a full competitive procurement under 3JP was the only viable alternative.

a. Proposed Prime Vendor Procurement Vehicle(s)

IFB RFI CMAS MSA IFB RFO RFP Others None

b. Proposed Prime Vendor Contract Type

Fixed Price Time and materials Percentage of Benefit Other

c. Market research: CDCR conducted the following market research: 1. CDCR obtained a list of appropriate vendors in this market space using a best practice Information Technology firm which evaluates IT markets. The company provided high marks for the vendor's viability. 2. CDCR conducted an RFI and was able to compare vendor solutions and capability. A second RFI was also conducted to focus on certain areas of interest. Six of the most responsive vendors were invited for on-site demonstrations of case management capability according to a defined script. Both business and technical audiences participated in separate reviews in order to evaluate the underlying business practices and current technology and technical environment.

d. When personal services are sought, include a justification pursuant to Government Code section 19130. A specialized background is required for the cloud hosted solution.

e. Identify efforts to achieve certified Small Business (SB) and certified Disabled Veteran Business Enterprise (DVBE) goals. An RFI and RFO were published, but there was no response from SB or DVBE vendors.

- f. Indicate the contract(s) term, including maintenance years. The primary vendor contract is a three year contract including one year maintenance and operations..

- g. Indicate types of IT goods/services, procurement vehicle/quantity and contract dollar values. For instance, there are a number of acquisition components embedded in an IT project, e.g., FSR, in some instances an SPR, Independent Validation and Verification and Independent Project Oversight, procurement services, as well as Design, Development and Implementation (D, D and I). Agencies/state entities may use a matrix to display this information:

Table 1 - CONTRACT TABLE

CONTRACT TABLE										
<i>Enter expected project related contracts. If "other" is selected, list on separate line item below. Add as many lines as needed.</i>										
Contract Number	Type of Contract	Has the contract been awarded (Yes/No)	If so, what is the date of the award? If not, what is the planned award?	Start Date of Contract	End Date of Contract	Total Value of Contract	Will this be an Interagency Acquisition? (Yes/No)	Will this contract be performance based (Yes/No)	Will this be competitively awarded? (Yes/No)	What, if any, alternative financing option(s) are being Used? i.e., Loan, grant or other
56000046 75	Primary Solution Vendor (ARMS)	Yes	June 2014	June 2, 2014	June 30, 2017	\$9,696,485 options: \$26,337,368	No	No	Yes	
56000042 53	Other - Project Manager	Yes	Jan 2014	Jan 7, 2014	Oct 27, 2015	\$500,000	No	No	Yes	
56000058 43	Other - Project Manager	Yes	Oct 2015	Oct 28, 2015	June 30, 2017	\$500,000	No	No	Exempt, 3JP	
	Other - Project Manager	No	July 2017	July 1, 2017	June 30, 2020	\$750,000	No	No	Yes	
56000046 66	Other – Solution Architect (ARMS)	Yes	June 2014	June 1, 2014	Nov 1, 2015	ARMS portions: \$780,000	No	No	Exempt, 3JP	
	Solution Architect (ARMS)	Yes	Nov 2015	Nov 2, 2015	June 30, 2017	ARMS portion: \$550,000 ARMS options:	No	No	Yes	

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						\$550,000				
	<i>Solution Architect (ARMS)</i>	No	July 2017	July 2017	June 30, 2020	\$825,000	No	No	Yes	
	<i>Independent Verification & Validation (IV&V) (ARMS)</i>	No	July 2016	July 2016	June 30, 2020	\$1,100,000	No	No	Yes	
	<i>Independent Project Oversight (IPO)</i>	No	July 2016	July 2016	June 30, 2020	\$450,240	Yes	No	No	
	<i>Other – SOMS Data Push/Retrieve</i>	Yes	July 2013	July, 2013	June 2018	\$1,500,000	No	No	Yes	
56000056 98	<i>Other - PVDTS Interface</i>	Yes	July 2015	July, 2015	June 30, 2016 (possible extension)	\$260,000 (portion of PVDTS contract) Options: \$440,000	No	No	Exempt	
56000054 52	<i>Other - Business Architecture</i>	Yes	June 2015	June 25, 2015	June 30, 2016	\$1,000,000	No	No	Exempt, 3JP	
	<i>Other - Business Architecture</i>	No	July 2016	July 1, 2016	June 30, 2019	\$2,500,000	No	No	Yes	

7. Technical Interfaces

Initially interfaces are required to obtain information from SOMS and COMPAS for ARMS. Other interfaces are anticipated in the future based on the data available in ARMS that others might want, and other enterprise data that could be provided from other enterprise systems of record. Secure File Transfer Protocol could be appropriate at some time for interfaces. This is expected in phase 2.

Table 2: ARMS Interfaces

	Source Data System	Data Received	Supporting
1	SOMS	Offender Demographics	Rehabilitation
2	COMPAS	Offender Assessment Data	Rehabilitation
3	PVDTS	Referrals	Rehabilitation

8. Accessibility

The ARMS solution incorporates requirements for Government Code 11135 and Section 508. Users throughout the State of California will have access to a hosted application that will be tested to meet the standard at initial deployment and to retain compliance throughout changes to the application during operations based on NIST 800-53 control requirements.

ARMS will need to balance access with control for data that is categorized as for moderate impact in accordance with NIST Standard 800-60. Business requirements establish the need for access as well as for control of access and data visibility for data classifications. Data within ARMS will include the following types of data requiring privacy or confidentiality:

- Personally Identifiable Information (PII)
- Personal Health Information (PHI) protected under the Health Insurance Portability and Accountability Act (HIPAA)
- Information controllable under the Family Educational Rights and Privacy Act (FERPA)

ARMS access to information will be federated to allow each organization to administer their own access control for employees. Access for each organization is controlled from the structure of relationships captured in ARMS.

9. Testing Plan

The ARMS solution is being configured from a fully functional COTS Case Management System. The project implementation will be defined by groups of functionality that will be configured, then reviewed with user groups, adjusted and set within a sandbox environment for familiarization. This familiarization is a type of early testing for usability of software as configured. A pilot deployment and acceptance test is planned. The test is to demonstrate how the software allows for the Use Case activity to be conducted in order to achieve the desired results. Scenarios will be discussed with users and defined to actually carry out the Use Case defined activities for various program examples to prove that actions can be taken and results documented for participating offenders in programs.

10. Resource Requirements

A business and technology impact analysis was initially completed based on planned functionality and process execution in ARMS. As the solution is actually configured and tested, the solution will require additional support capability through a proposed budget augmentation. A staffing study will be conducted when? to determine additional need for phase III? A proposed budget augmentation for the appropriate resources will be requested at that time.

Division of Rehabilitative Programs (DRP)

Categories of business staff that were considered for impact include the following:

- Customer Relationships; Program Outreach and Communications
 - The greatest impact is for initial and continuing training for providers on use of the ARMS solution.
- Internal and External Stakeholder Management and Business Value Alignment
 - Internal Stakeholders will have impact focused on their need to analyze the new data for improving program operations and for performance measurement based on new data.
 - External Stakeholders will also have impact focused on their need to analyze the new data for improving program operations and for performance measurement based on new data. There is also an impact to ensure that operations are compliant with statutes and regulations for data security.
 - Business value impacts are positive in the ability to verify program fidelity, improving visibility of progress and with a potential negative impact of skills required for individuals managing compliance or business benefit.
- Data Governance Control and Use of Data
 - Data management (control and use of data) impacts are some of the most significant since with new data comes new responsibility to manage the skills, processes, technology, relationships, information and measurement related to use of data in support of the business mission.
- Strategic and Detailed Performance Management; Personnel and Skills Management
 - Strategic and detailed performance activity will benefit from additional data, yet initially will challenge the interpretation and use of the data for these purposes. Fortunately the impact to most internal skills will be low, although new skills will be introduced to support the new system.
- Business Contract Management and Administration
 - Impact to this area of performance will require a new emphasis on ensuring service levels are met by the vendor and to continue to manage ongoing administrative contract tasks from the business perspective.

- Business Help Desk and Vendor Engagement
 - The highest impact to the business is a requirement to establish business help desk support operations. A new business unit is likely required to support this mission.
 - Ongoing vendor engagement will be required to address new system releases, problem resolution beyond first level and other related interactions to ensure appropriate service levels.
- Business and Information Security
 - Business security is built into ARMS. Information security will continue to be a potentially high impact since the data in ARMS is mission critical and contains Personally Identified Information, Personal Health Information and other sensitive data.
- Business Needs and Requirements Management
 - Business needs management has little change with ARMS, however since ARMS is a new product for DRP there will need to be a management capability set up to work with users to ensure the functionality maintains integrity with the business need.
- Business Program Oversight, Policy and Procedures
 - As with any new system, procedures will be adjusted to accommodate automation, yet many of the concepts for business activity do not change – they are just automated.
- Business Workflow and Process Improvement
 - As with procedures, the workflow and process improvement have reasonable impacts based on automation and the availability of new data to help determine performance levels.

Enterprise Information Services (EIS)

Categories of technical staff that were considered for impact include the following:

- Client PC and Peripheral Support
- Internal and External Network and Servers
- Storage Planning and Sufficiency
- Telephony Planning and Operations
- Software Development, Integration and Support
- Data Management
- Enterprise Engineering
 - The Solution Engineer and Data Engineer will be responsible for documenting data elements defined in ARMS and for related data exchanges. This includes updating the central data dictionary repository, performing needed data security

classification, coordinating classification with the ISO, discussing data sharing requirements with partners, assisting with data definitions for data exchanges (including coordination for NIEM, if required) and data sharing agreements, assisting partners with interface definitions and coordinating associated training.

- The Solution and Data Engineer will also be responsible for documenting changes in the future state architecture models, coordinating solution architecture design, overseeing solution architecture contractor / consultant, coordinating with CDCR technical architects contributing to solution architecture and ensuring resulting architecture is incorporated into associated project artifacts. They will also be responsible for providing technical support for contract management and administration such as assessing issues with the vendor and reviewing vendor and independent estimates for new technical work, as well as overseeing and ensuring all associated EA change management occurs including the gathering of impacts for changes to enable informed decisions and processing changes through relevant governance committees.
- Agency Information Security
 - The Information Security network specialist will be responsible for identifying security breaches. This position will aid in the management and monitoring of Intrusion Detection Systems, Intrusion Prevention Systems, firewalls, Denial of Service mitigation, log management, and leverage various internal platforms and understanding of exploits and vulnerabilities in order to provide network and data security for the CDCR network. In addition, the position is responsible for analyzing and assessing security incidents and escalating to the appropriate teams and developing internal processes and standards that minimize the risk to all CDCR IT resources.
- Change Management; Installs, Moves and Additions
- Project, Program and Contract Management and Administration
 - For the ARMS Cloud/Hosted Solution" (IaaS/SaaS/PaaS), the Enhancement Solution Coordinator oversees the enhancement change management process including clarification and definition of requirements (cost, scope increase and/or schedule Impact), intent and contract revision. The Enhancement Solution Coordinator provides ongoing support to ensure contract terms and conditions for a hosted software solution are managed and that deviations are reported and corrected within defined timeframes. The Enhancement Solution Coordinator also must monitor and determine appropriate causes and resolutions for any activity that does not meet service level agreements required in the contract. The Enhancement Solution Coordinator also is responsible to ensure invoices are approved and that value was received prior to payment being made.
- IT Accounting, Financial, Service Level and Human Resource Management

Refer to Appendix B. Roles and Responsibilities for additional information.

11. Training Plan

Several forms of training will be addressed in the training plan. This plan will be developed

early in the project as part of the design, configuration and implementation effort and maintained as long as ARMS is used by the Department. CDCR staff members and contracted provider users will participate in this training. The intent of training is to ensure key CDCR staff members become the trainers to support ongoing training needs. Training will occur for several areas of required expertise:

- Business User Functionality within ARMS.
- Functional Administration of ARMS.
- Business Help Desk Support of ARMS.
- Configuration and Setup of ARMS.
- Creating Interfaces with ARMS.
- Creating Reports within ARMS.

The training plan will be agreed to by contractors and stakeholders. It will outline the approach, tasks, responsibilities, schedules and dependencies associated with the each of the following training activities:

- Training for four hundred (400) end users in up to ten (10) locations in California for the pilot reentry program.
- Training for twenty (20) CDCR staff members on system configuration (e.g., forms, fields), support administration, data imports and exchanges and reporting in three (3) locations in the greater Sacramento and San Francisco areas.
- Include training materials for each role within the solution.
- The SOW requires the Contractor to work with CDCR ARMS staff to train (using an approved Contractor training approach) in the configuration activity necessary to deploy an operational system that allows execution of the Use Case Workflows.
- The SOW requires the Contractor shall work with CDCR ARMS staff to train (using an approved Contractor training approach) configuration of Forms, Data Uploads and Report configuration and publishing.
- Ongoing training will be needed to support new hire readiness for stakeholders, annual refresher training and remedial training on the use of ARMS as well as its associated business processes and support operations.

The training organization within DRP will need to ensure appropriate staffing for their role as defined through participation in Budget Change Proposal definition.

12. On-going Maintenance

As a SaaS application, the Contractor will assume responsibility for on-going operations of the application and associated infrastructure for ARMS. In addition, the Contractor will have full responsibility for business and technical support. Base application enhancement upgrade versions will be managed by the vendor, including all required configuration management protocols in accordance to the support and operations procedure documentation. The level of reduction in cost to transition support to CDCR was insufficient to justify making a change to include first level support by CDCR. The contract outlines the service levels for the solution including security, performance, and maintenance. The Service Level Agreement (SLA) includes

penalties of up to 60% of monthly revenue for inability to meet SLA criteria. CDCR staff has operational procedures to manage policy and configuration changes as well as adding new reports and coordinating product changes with the product vendor. A knowledge transfer plan has been developed to ensure CDCR is able to perform its role in support of the platform.

CDCR will conduct a staffing study to determine the ongoing need for maintenance and operations resources. Based on the staffing study, a proposed budget augmentation request for the appropriate resources will be submitted at a later time. Refer to Appendix B. Roles and Responsibilities for need based on current information.

Any CDCR network related issues will be remedied following the existing internal support model.

CDCR already operates rehabilitative programs and is responsible for the contracted providers of these services. The ARMS solution is a more standardized application to help manage and monitor the delivered services.

13. Information Security

ARMS security will largely be the responsibility of the SaaS provider. There are specialized terms and conditions included in the Request for Offer that has been collaborated on with the California Department of General Services (DGS) for statewide consideration for implementation on the California Multiple Award Schedule (CMAS) contracts. Furthermore, CDCR applied data categorization based on the Federal Information Processing Standard (FIPS) 199 Standards for Security Categorization of Federal Information and Information Systems based on the impact for data within ARMS. The final categorization for ARMS was “moderate.” The ARMS solution team and EIS also incorporated contract terms consistent with the National Institute of Standards and Technology (NIST) standard 800-60, and included the technical controls from NIST 800-53, Revision 3. CDCR will audit the SaaS solution provider annually to ensure continuous compliance with these security provisions until the provider is FedRAMP certified.

Within the ARMS solution, there will be many contracted providers that will have access to the data within specified segments of the application. The applied rules for visibility include the following:

- Providers will be able to see only their data and data for providers to which they issue a subcontract.
- Data at rest and in transit will be encrypted.
- User IDs, passwords and automatic system timeouts will be used.
- Protections for data types for Personal Identifiable Information (PII), Personal Health Information (PHI) and other classifications will be built into permissions for screens as well as for the same data on reports.
- Providers will be able to report on and download only their data or providers to which they issue a subcontract.

14. Confidentiality

ARMS data has been categorized and the solution will provide for specialized capabilities to ensure HIPAA, FERPA, CFR 42, Part 2, Personally Identifiable Information (PII) and other types of data can be protected. Offenders with a Release of Information (ROI) will allow providers to see their data used to enhance continuity of care. Those that do not provide the ROI will not have their data shared and providers must capture all the data for these individuals. Role-based security can manage generalized data captured in forms and reports, and each form can be controlled by each program to be as secure as necessary for business operations and data sensitivity.

15. Impact on End Users

The ARMS solution is a new system with little impact on existing systems to enhance data sharing within CDCR. The data for contracted providers is essential and there is no way to capture this data today. Data from systems of record should be within standard operating procedures to provide to other systems to avoid data duplication. SOMS and COMPAS will provide initial data inputs for ARMS. The system will require no data conversion since the records do not exist for most programs or services that could be converted. If other systems would like some of the data within ARMS for their use they would need to process such a request through enterprise data governance so the data owner could decide upon the request, the method of exchange and the visibility in destination systems that could appropriately control the security of the data.

The ARMS solution will have an impact on various roles that have to perform within the ecosystem of rehabilitation program delivery. The following depictions indicate the impact to various roles:

Figure 6: Role Impact A (Providers)

Stakeholder	Change	Impact
Provider Program Definition	<ul style="list-style-type: none"> • Programs defined in ARMS with designed levels of flexibility for execution to adhere to evidence-based practices and concepts. • Programs defined with dependencies and durations to allow designs to be used as the basis for program scheduling with a single initiation date. • Programs designed on basis of assessed needs, goals, and objectives. 	<ul style="list-style-type: none"> • Improve compliance with evidence-based practices and principles. • Improve documentation of program dependencies and speed of program selection to meet needs. • Improve ability to schedule instances of programs at locations based on design.
Provider Enrollment	<ul style="list-style-type: none"> • Referrals are made available online for automated data availability for offenders. • Lack of space creates wait list and predicts next availability that providers can adjust. • Enroll to program can create immediate offender schedule based on program schedule. • Allows flexibility of adding or modifying activity within guidelines. 	<ul style="list-style-type: none"> • Improve data accuracy and speed. • Improve visibility into enrollment options to help stakeholders make appropriate decisions for offenders. • Speed creation of schedules based on program definitions. • Allows tailoring to offender needs within program design guidelines.

Figure 7: Role Impact B (DRP, DAPO, DAI)

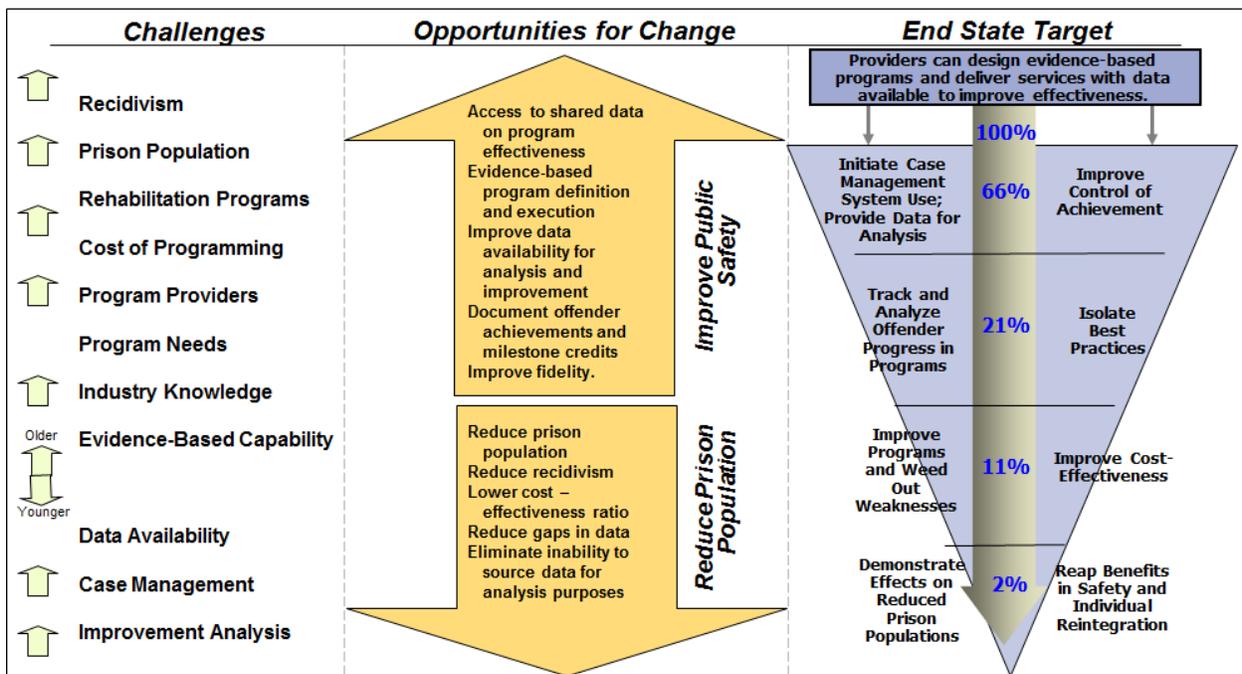
Stakeholder	Change	Impact
Supervisors	<ul style="list-style-type: none"> • Have more information available on program execution and individual progress. • Can provide milestone credit in SOMS for program achievements or completions in ARMS. • Can verify participation. 	<ul style="list-style-type: none"> • Improved information detail for program activities. • Improved tracing from need to goal to objective to activity to ensure addressing defined needs. • Improved consistency of data for all programs involved.
Data Analysts	<ul style="list-style-type: none"> • No longer have to consolidate information across providers for data that is not semantically the same. • Have significant and consistent data available all the time. • Reduces burden of simple reports through online availability. 	<ul style="list-style-type: none"> • Improved use of analyst time for higher level analysis and improvement recommendation. • Improved statistical validity due to better volume of data that is consistent. • Improved time to review data by not having to consolidate inconsistent data for various needs.
Fidelity Analysts	<ul style="list-style-type: none"> • Can review program designs online. • Can compare program execution with program design online. • Can review program results with expected results online. 	<ul style="list-style-type: none"> • Improved ability to determine designs of programs based on level of definition. • Improved ability to verify execution to design through automated schedule creation. • Improved tracing of results to activity to objectives, then goals, and ultimately to individual needs.

Figure 8: Role Impact C (DRP, DAPO, DAI)

Stakeholder	Change	Impact
Business Help Desk	<ul style="list-style-type: none"> New system requires responsive help to ensure users can gain help when needed to use functionality or resolve problems. New system records problems and responses, resolution, or corrective action online. Hosted solution vendor is second and third level of support for technology or infrastructure problems that can be tracked by business help desk staff members. 	<ul style="list-style-type: none"> Improved functionality is supported by a team rather than by individuals for their home-grown tracking systems. A new unit must be established to provide the first level of user support for up to 4000 users tracking records for hundreds of thousands of individuals within a few years. Service level requirements need to be approved and managed to ensure support remains as planned.
Program Analysts	<ul style="list-style-type: none"> Compliance monitoring is facilitated with online information about providers, locations, staff members and other pertinent program data. There is more information available to confirm participation records for invoicing. Visibility to program schedules is immediate. Communication and notification can be partially automated for key events. Contact information is maintained and available online. 	<ul style="list-style-type: none"> Improved compliance monitoring with online data. Improved communication through online schedules and notification on specific events. Improved time savings for less travel to confirm information in person at each of 400 sites in the State.

The true impact of the ARMS solution is the ability to capture consistent data that will enable the lifecycle of improvement depicted below:

Figure 9: ARMS Lifecycle of Improvement



16. Impact on Existing Systems

With ARMS a number of other interim systems can be retired including ICATS, OSAT, PDU, PATS and BASS. Other systems including SOMS, COMPAS and PVDTS will have manual interfaces through extract files that will be automated in phase 2 of the ARMS project. There are no other existing system impacts for rehabilitation program case management by contracted providers.

17. Consistency with Overall Strategies

The proposed solution will be implemented in compliance with CDCR policies and procedures, including the Information Security Policy, the current AIMS, the Department Operations Manual (DOM) and DRP strategic initiatives.

- Due to lack of Cloud terms and conditions in the State of California at time of acquisition, CDCR coordinated terms and conditions using the Federal Risk and Authorization Management Program (FedRAMP) that is a certification for Cloud providers. The FedRAMP technical requirements from the National Institute of Standards and Technology (NIST) standard 800-53, Revision 3 (recommended security controls) were included in solicitation materials and contracts for Cloud service providers, as appropriate.
- Information contained within ARMS was classified using Federal Information Processing Standard Publication 199 for security classification was used to establish baseline security needs for ARMS data. NIST 800-60 was the process used for establishing the appropriate initial controls for ARMS data.
- A set of draft terms and conditions were used from the California Department of General Services for Cloud providers. In addition, other terms and conditions as well as service level agreements were established to protect the data and integrity of the solution. The TL 14-04, Cloud First letter from the California Department of Technology (CDT) references SIMM 5300 for required security practices will be incorporated in phase 2.

18. Impact on Current Infrastructure

The impact of this proposed solution on CDCR or its related data center infrastructure is minimal. By choice, the program would like the data to be downloaded from ARMS daily so that the data can be mined and analyzed for program improvement purposes. This will require storage to be established in the enterprise where access could be provided to both DRP and the Office of Research, who will use the data for population projection purposes, as well as to demonstrate and predict outcomes.

19. Impact on Data Center

The ARMS solution will have no impact on data centers used by CDCR.

20. System Hosting/Data Center Consolidations

- OTech Managed Services
- OTech Federated Data Center
- Agency/state entity
- Outsourced/Other

The ARMS solution provides business functionality in a Software-as-a-Solution (SaaS) model that has minimal impact on Data Center consolidation. The system is hosted by an external vendor that provides full support for the functionality that DRP needs.

21. Backup and Operational Recovery

Since the ARMS solution is a SaaS application, the backup and recovery operations are managed through service level agreements. Data is protected by contract terms and conditions and the technical security controls for NIST 800-53, Revision 3 are required by contract for moderate impact system data.

22. Public Access

The ARMS solution is designed for access by contracted program providers. There is sensitive data within ARMS and appropriate protections are described in other sections of this FSR.

5.2 RATIONALE FOR SELECTION

This alternative was selected because it provides the best possible data to manage rehabilitation and improvement of program effectiveness than Alternative 1 and offers the Department a lower cost and a more sustainable technological solution than Alternatives 2 or 3. More importantly, the ARMS solution can be provided in time to meet demands of the 3JP court order for population reduction in prisons and no other solution could fit in that time profile. Court order and legislative mandates continue to direct increasing levels of rehabilitative programming as well as achievement of outcomes. The tie between activity and outcomes can only be made when data, such as that available in a comprehensive case management system, can demonstrate the level of detailed activity to demonstrate how programs were delivered. ARMS provides the breadth and depth of data required to understand what activity is being conducted for each cohort (offender groups selected for analysis) and to track that cohort through eventual outcomes.

Where some legislation specifically requires case management software, ARMS will be compliant. Where today's reporting is limited to enrollment and utilization within programs, the future development of appropriate analytical methods will demonstrate the effectiveness of programs and the outcomes for offender clients managed in ARMS.

Where CDCR also contracts for beds within California or in other states for managing offenders prior to parole, ARMS will be able to support the rehabilitative program case management process and gather data to demonstrate the effectiveness of programming. The measures of effectiveness will be significantly enhanced with consistent data, in high volumes including information about what contributed to outcomes, at the treatment level for clients. Source data from SOMS, COMPAS and PVDTS would significantly improve consistency of data by obtaining information from the system of record that is required for use in the new system; no data currently flows to the legacy operations from these systems. The combination of data available in other systems with the data collected from this new system would serve two major analytical purposes:

- The Department would be able to determine better practices and improve programs in ways that would enhance results (reduce prison populations, improve lives of offenders and reduce recidivism). CDCR would be able to predict program outcomes eventually when sufficient historical data exists on programs to demonstrate patterns of results.
- The Office of Research would be able to enhance their forecasts for future populations of offenders and parolees by using predictive analytics on the effectiveness of programs to adjust the recidivism numbers.

The failure to approve this FSR will result in the continuation of highly manual operation and continued use of outdated, antiquated data collections systems with no consistency or ability to interface with other CDCR data systems. In addition, there will be continued issues with program improvement efforts and the ability to track existing program fidelity measure, performance measure and client outcomes. With the huge volume of programs being initiated, ongoing manual processes with require significant resources and costs to maintain current data collection efforts; all areas that will show marked improvement with the approval and subsequent use of the ARMS system. The current system, as described, does not rise to the level of sophistication needed for today's high profile evidence based rehabilitative service delivery system. In an era where criminal justice policy is driven by strong research and critical data collection efforts, the current data collection system for CDCR falls short. However, through the approval of this FSR, and through the use of ARMS, the Department has the opportunity to set a new standard for rehabilitative program data collection across the nation through the use of cutting edge case management, individualized treatment episodes, interfaces with existing and new data collections systems across the state and the opportunity to not only improve the lives of people in need but to ultimately increase public safety.

5.3 OTHER ALTERNATIVES CONSIDERED

Alternatives for the ARMS solution included:

1. Continue with contracted provider system use.
2. Establish SOMS as the solution and determine a way to allow contracted providers to use SOMS.
3. Custom develop a solution with the ARMS functionality.

None of these solutions could meet the business needs as driven by the 3JP deadlines and business requirements for ARMS.

5.3.1 Alternative 1

Description

Continuing with contracted provider system use was an option that relied on improved data collection capability from all providers. Currently, some level of data has been requested from providers. Since the data systems used by providers were so different, only a limited set of data was available from all providers. An option was to dictate requirements for a new system to providers who contract with the State.

Costs

Cost was prohibitive and not calculated overall. For example, a single interface to a unified data collection model was estimated at nearly \$200,000 and would have to be multiplied by the number of providers. Many of the providers had no data system and would have required expanding manual systems for data collection prior to being able to send the data. The aggregate cost of many interfaces and data collection systems was just not reasonable.

Benefits

The benefits of this solution would be to capture available data for analysis purposes. Since the data is so different in each provider system, there would be large gaps compared to an ARMS solution; so comparison between programs and providers would not be available.

Advantages

Alternative 1 has these advantages over the proposed alternative.

- The contracted providers could build systems compliant with CDCR's requirements.
- A new solution development by CDCR would not be required.

Disadvantages

Alternative 1 has these disadvantages when compared to the proposed alternative.

- Providers were not willing to invest in systems for limited term contracts.
- CDCR investment in systems for each provider in their contracts was not cost effective due to the limited term of the contracts.
- The feasibility of collecting data within over 400 different systems in addition to manual records compounded the problem and still required each provider to convert their data for compatibility and consistency.
- The combination of methods was so expensive that the alternative was abandoned.
- Comparison between programs and providers would not be available due to lack of sufficient data.
- Integration of data between up to 400 systems is unreasonably complicated.

5.3.2 Alternative 2

Description

SOMS released the program module in the fall of 2014. The program module will not be made accessible to anyone other than CDCR employees due to security concerns. There were alternatives discussed for having SOMS build an external portal that could access program records for rehabilitation. When the data for programs in SOMS was found to be less than that required by DRP for effective evidence-based analysis, this alternative became implementation of an application similar to the chosen alternative, yet the schedule for implementation with SOMS involvement was significantly greater than the milestones required to satisfy 3JP needs. In addition, the cost did not receive reasonable accommodation, but the Integrator for SOMS was allowed to participate in the procurement for ARMS and did not return a bid due to the restrictions for time and cost defined in the procurement. This alternative was somewhat self-eliminated based on this lack of response.

Costs

Final cost estimates were not provided by SOMS for the requirements. The system integrator participating in ARMS procurement decided that a bid was not warranted because of cost and schedule constraints.

Benefits

While having ARMS functionality in SOMS would be helpful to have fewer sources of enterprise data, the data needs to support the DRP mission. Since SOMS is a leading package for incarceration, it fits that portion of the offender lifecycle well. The rehabilitation lifecycle in a prison is much more constrained than rehabilitation in the community; so, the functionality is more constrained and would not support evidence-based program definition and the data available for program improvement is negligible with planned functionality.

Advantages

Alternative 2 has these advantages over the proposed alternative.

- Data would be resident in SOMS with most other data for the offender lifecycle. Approximately another sixty applications still are used with SOMS; yet many are scheduled for retirement once their functionality can be incorporated into SOMS to the degree necessary to satisfy application requirements for business purposes.

Disadvantages

Alternative 2 has these disadvantages when compared to the proposed alternative.

- Data in SOMS has several means of output by way of reporting. The flexibility of reporting is highly restrictive and based on either extracts from the user screens, through custom reports or through special data extracts that allow enterprise ad-hoc reporting tools to be used. This latter capability should be structured for any application in the enterprise to avoid having to rely on a single application infrastructure for enterprise reporting. As this capability is implemented in CDCR, the need for data within any application becomes much less and having the functionality and data to support the mission becomes much more important.

5.3.3 Alternative 3

Description

During initial business analysis for the ARMS solution, requirements were gathered and estimated. The estimate to build a case management system was performed for three levels of requirements. With full contract and rehabilitation management functionality, the estimates were ranging from half a million hours to just over a million hours to complete. As requirements were prioritized and eliminated from scope for the first implementation phase, the estimates were able to be reduced to a range of fifteen thousand to eighteen thousand hours. These estimates were just for the primary application development and did not include the infrastructure. When comparing this estimate with the rough estimates provided by COTS vendors of rehabilitation-focused case management, it was clear that the COTS solution would have an initial cost of less than one-quarter of a custom development and there just needs to be a selection based on ability to fit the ARMS requirements best.

Costs

The lowest cost estimate for custom development, one-time costs was over \$20 million.

Benefits

The benefits of a custom application normally include the ability to meet very specific needs of users.

Advantages

Alternative 3 has these advantages over the proposed alternative.

- Custom development would be designed to the specific DRP stakeholder requirements.

- Clients are not constrained by the business model of the vendor with the COTS package selected.
- Enterprise architecture standards could have been used for the solution if hosted in CDCR.

Disadvantages

Alternative 3 has these disadvantages when compared to the proposed alternative.

- The cost for initial development would have been at least four times that of a COTS selected application.
- The quality of a custom developed solution is always lower than a proven COTS application for at least a few years.
- Full scale development could not complete the application development in the timeframe desired. The time would at least have been double the required milestone schedule to qualify for 3JP procurement.

6 PROJECT MANAGEMENT PLAN

CDCR has adopted a project management methodology and Project Life Cycle (PLC) model that embrace project management principles described by the Project Management Institute (PMI) and the California Project Management Methodology (CA-PMM). The CDCR PLC processes provide a consistent approach to perform activities and tasks required for planning, initiating, executing, controlling and managing IT projects. PMI clearly define the major activities of a project to ensure the product or service delivered satisfies the customer's business needs. In addition, they provide a systematic approach and standard methodology for performing the major activities of a project.

CDCR endorses and applies project management best practices. EIS uses the most effective project management practices and tools to maximize communication and coordination between all project team members. Its project management practices and tools allow EIS to prioritize and allocate resources efficiently across projects. While EIS takes full accountability and responsibility for the completion of projects on time and on budget, project management responsibility is shared between EIS and its customers.

CDCR has adopted a project approach that relies on shared project management responsibility between program and technical areas. This synergistic project management approach deemphasizes the technical issues in order to establish a logical relationship between technical requirements and CDCR business imperatives. The Technical Project Manager (TPM) and the Business Program Sponsor (BPS) cooperate to achieve overall project effectiveness and alignment with business processes.

CDCR uses a disciplined approach to project tracking and reporting supported by recognized project management tools. Automated project management tools support project planning, tracking and reporting and also support project managers by enabling

project management techniques, such as checklists and review check points to keep the focus on quality and achieving project objectives.

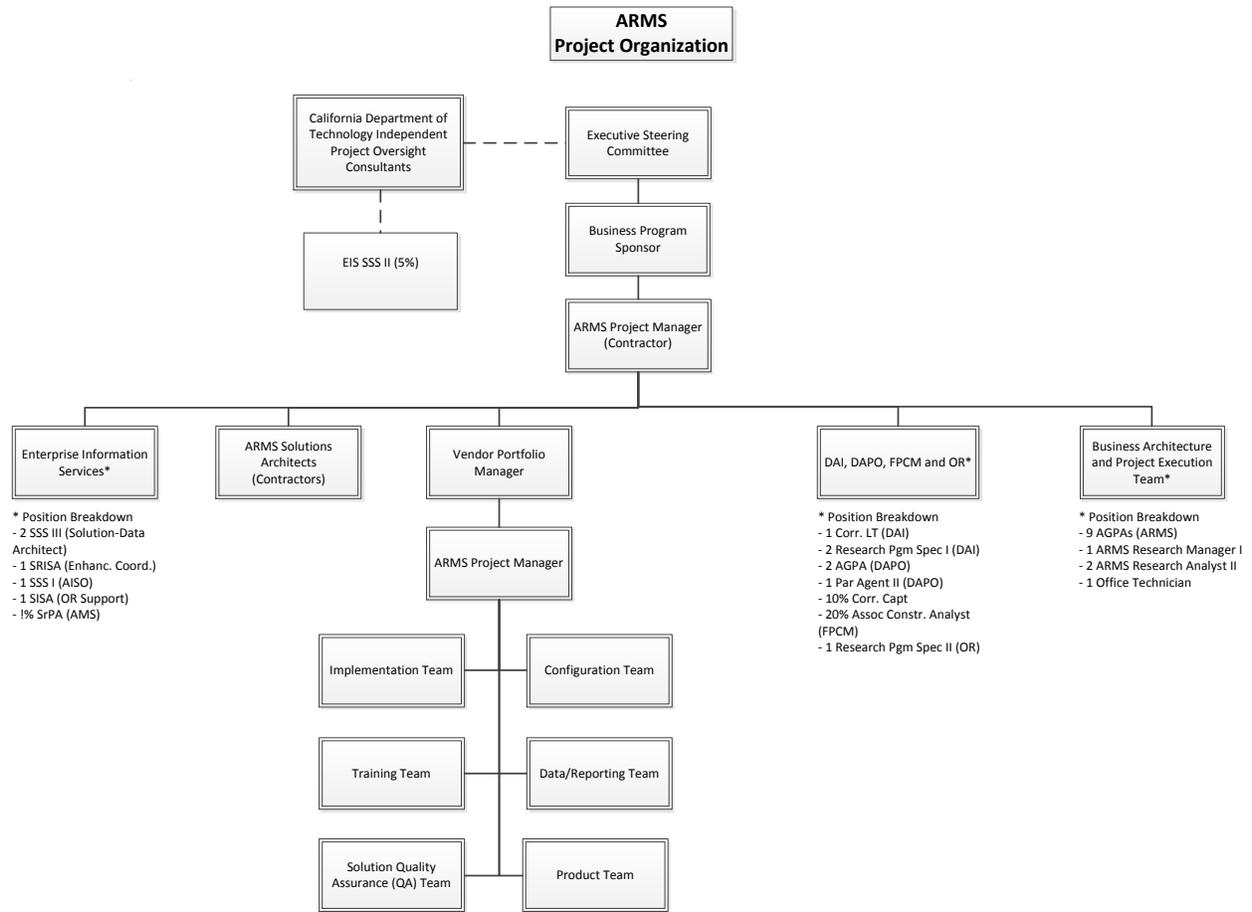
A key component of the Project Management Methodology is the fundamental principle of sharing the risks with the contractor. The project scope, schedule and requirements will be clearly defined in the vendor contract, and the contractor will be required to provide the necessary skills and staff resources to accomplish the project goals.

The contractor will provide acceptable solutions to system requirements as stated in the contract and detailed Scope of Work. Payments will be subject to satisfactory completion of each project phase/deliverable, with TPM and BPS approval and acceptance of required deliverables by the State.

Project plans will be developed in accordance with the Department of Technology California Project Management Methodology (CA-PMM). At a minimum, the following will be developed:

- Project Charter
- Project Management Plan
- Scope Management Plan
- Configuration/Change Control Management Plan
- Human Resources Management Plan
- Communications Management Plan
- Risk and Issue Management Plan
- Cost Management Plan
- Quality Management Plan
- Schedule Management Plan
- Contract Management Plan
- Testing Plan
- Training Plan
- Organizational Change Management Plan
- Transition to Maintenance and Operations Plan

6.1 PROJECT ORGANIZATION



6.2 PROJECT PLAN

6.2.1 Project Phasing

The 3JP Court mandated CDCR immediately implement certain measures in the areas related to prison population reduction, the achievement and documentation of Milestone Credits, activation of reentry hubs, pilot programs with additional counties and local communities, and expanded alternative custody programs for female offenders. Concurrently CDCR has statutory direction, the Expert Panel Report on “Adult Offender and Recidivism Reduction Programming,” as well as the California Logic Model driving the need for “Case Management,” evidence-based programs, matching programs to assessed needs, and managing to outcomes including reduced recidivism. The total set of mandates and directives can be achieved in three phases. ARMS Phase I is being completed with program savings and can stand alone to complete implementation of the

3JP mandate; award was based on a competitive bid process. A proposed funding request addresses funding for ARMS Phases II and III, including the expansion to an enterprise license.

Phase I of the ARMS solution addressed the immediate mandates of the 3JP as well as State legislation and statutes, which included the following:

- Secondary Assessment Data,
- Referral and enrollment in programs consistent with assessed needs, Case Plans including evidence-based assignments and case notes,
- Program and session attendance as well as completion information (for milestone credit),
- Consistency of data for in-prison and alternative custody rehabilitative programs,
- Basic reporting information on programs,
- Licensing for up to 4,000 users, and
- Retiring several legacy applications that were not able to support robust case management.

The Department will implement Phase II of the ARMS solution upon approval of this feasibility study report and associated proposed funding request. Phase III of the ARMS solution will begin implementation approaching completion of Phase II. Phases II and III of the ARMS solution will take approximately four years, and will extend capability to include the full rehabilitative cycle of the offender.

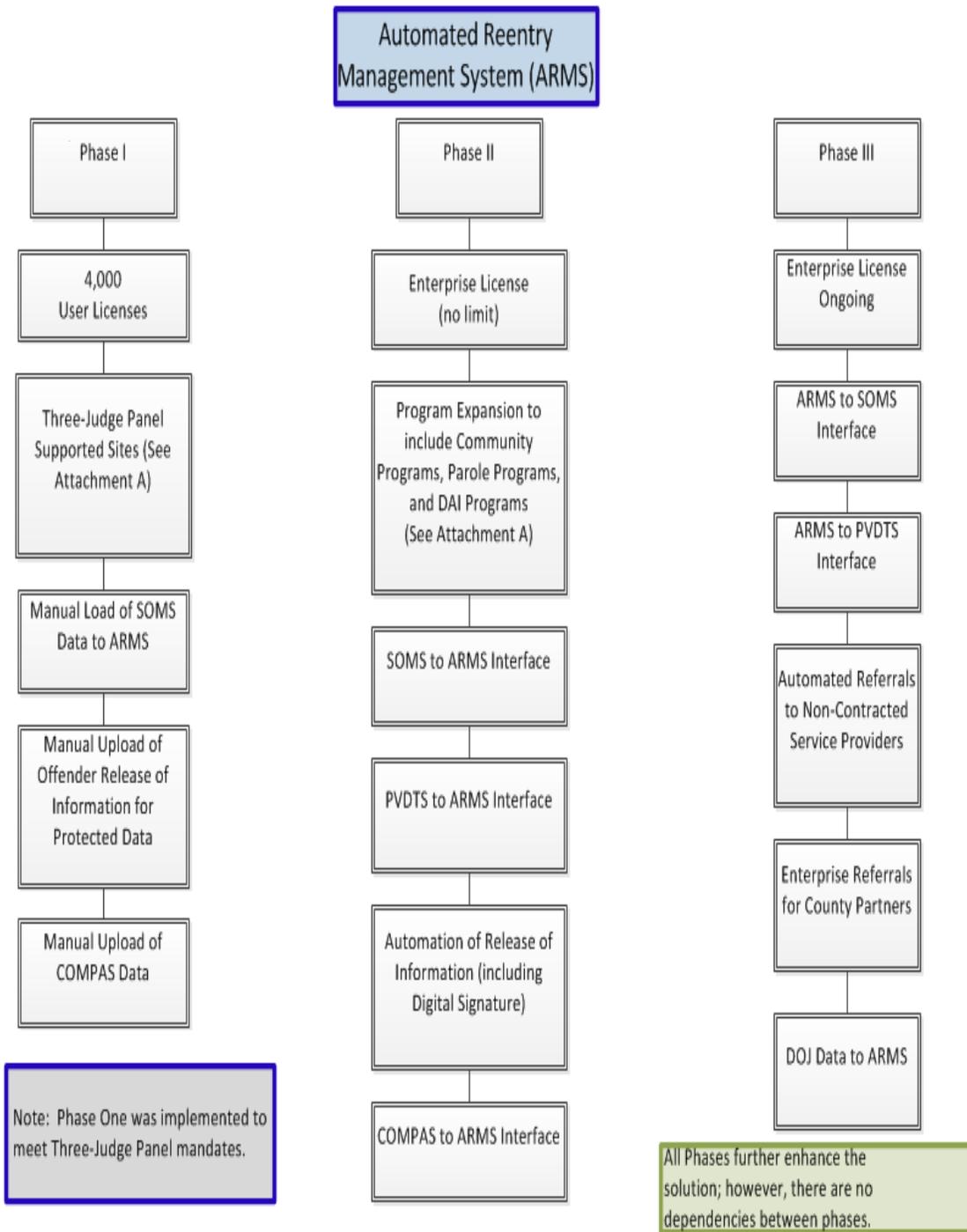
Phase II of the ARMS solution includes the following:

- ARMS will incorporate automated interfaces to allow SOMS to automatically pull program completion data from which it calculates milestone credits. This will avoid current manual data entry into SOMS.
- ARMS will incorporate automated interfaces to allow COMPAS, TABE and other data on assessments and key rehabilitative demographics to be automatically pulled into ARMS for continuity of care purposes and to pull newly defined evidence-based assessments required for in-prison programs.
- ARMS will incorporate automated interfaces to allow Parole Violation Disposition Tracking System (PVDTS) data on referrals to be automatically pulled into ARMS to speed communication of required capacity to enroll individuals in programs.
- ARMS will incorporate automated interfaces to allow PVDTS to automatically pull programs and providers defined in ARMS (estimated at over 17,000) as a directory of available service providers for use when referring individuals from within PVDTS.
- ARMS will allow functionality built for 3JP population reductions to be used in non-3JP subscriptions for providers to track community-based programs for evidence-based practice to enhance statute and strategic plan driven program improvement and resulting offender outcomes. The initial estimate of user licenses is approximately 8000 with 5% annual growth expected.

- ARMS will incorporate automated interfaces to allow data from Employment Development Department to be brought into ARMS to verify future employment status for the offenders tracked in programs to help determine the effectiveness of programs on required outcomes.

Phase III of the ARMS solution includes the following:

- ARMS will expand functionality for full scope of offender needs once they return to the community that was not possible to incorporate under the 3JP mandate. This will expand program-specific capability and outcome tracking for offenders on parole to enhance the probability for reducing recidivism.
- ARMS will enhance engagement with offender friendly employers to help align employment preparation activity with the most pertinent jobs available for offenders in the community.
- ARMS will enhance the program improvement capabilities and communication among providers to incorporate more practices that demonstrate best outcomes. Data from ARMS will be used to publish new evidence-based practices that provide the highest rates of success for offenders in treatment programs.
- Data analysis and statistical modeling capability will be improved to establish initial capability that can deal with evidence-based practice requirements.
- ARMS will incorporate automated interfaces to allow data from Department of Justice to be brought into ARMS to verify future arrest, charge, and conviction status for the offenders tracked in programs to help determine the effectiveness of programs on required outcomes.
- ARMS will incorporate automated interfaces with counties to facilitate capture of data where offenders arrive at programs when placed directly on parole and into rehabilitative programs based on Proposition 47 provisions.
- ARMS will incorporate automated interfaces and functional interaction with county and other organizations related to mental health, substance abuse, and health services for offenders through Medi-Cal.



The anticipated phases for the project are listed below.

Project Phase	Phase Deliverables
ARMS Phase 1	Quarter 1 Release
ARMS – In-Prison Implementation	Pilot In-Prison implementation Statewide In-Prison rollout
ARMS – Alternative Custody, Out of State	Pilot Alternative Custody; Out-of-State implementation Statewide alternative custody rollout Out-of-State rollout
ARMS - Phase IIA	Statewide Phase IIA rollout
ARMS - Phase IIB	Statewide Phase IIB rollout
ARMS – Phase III	Statewide Phase III rollout

6.2.2 Project Schedule

Major Milestones	Est. Start Date	Est. Completion Date	Percent Complete
ARMS Phase I			
ARMS Contract award	10/01/2013	06/02/2014	100%
Project Start Date	06/02/2014	06/02/2014	100%
ARMS Phase 1 Quarter 1 Release Complete	03/19/2015	03/19/2015	100%
Manual Load of SOMS Data to ARMS	04/1/2015	04/30/2015	100%
In-Prison Programs (25 Sites – 227 ProgramTypes)			
In-Prison Pilot User Acceptance Testing (4 programs)	05/1/2015	06/15/2015	100%
In-Prison Pilot Training and Implementation	06/23/2015	06/26/2015	100%
In-Prison Pilot Stabilization Period	7/1/2015	8/31/2015	100%
In-Prison Statewide Training and Implementation	08/01/2015	11/20/2015	100%
MCRP Programs (2 Sites – 8 Program Types) * Same steps as In-Prison Programs	08/15/2015	10/9/2015	100%
DAI Programs (In Custody) (10 Sites – 51 MCCF, FCRF and CCTRP Program Types) * Same steps as In-Prison Programs	9/1/2015	10/30/2015	100%
Cal ID Program (1 Site – 25 locations) * Same steps as In-Prison	9/01/2015	11/2/2015	100%
DAPO Administration (1 Site) (ACP Monitoring) * Same steps as In-Prison	11/18/2015	4/4/2016	10%
DAPO TCMP Programs (1 Site ea– 25 locations ea - Reentry Preparation) * Same steps as In-Prison	2/16/2016	5/1/2016	0%
DAPO PPP Program (Reentry Preparation) * Same steps as In-Prison	2/16/2016	5/1/2016	0%
DAI Programs (In-Custody/Out-of-State) (COCF/CPMP) * Same steps as In-Prison	3/7/2016	6/1/2016	0%
Software Release			
ARMS Phase 1 Quarter 4 Release Complete	12/31/2015	1/31/2016	75%
ARMS Phase 1 Quarter 1 – 2016 Release Complete	3/1/2016	3/1/2016	0%
ARMS Phase 1 Quarter 2 – 2016 Release Complete	5/1/2016	5/1/2016	0%
Manual Upload of COMPAS Data	11/1/2015	11/30/2015	100%
Maintenance and Operations Begins	6/1/2016		
ARMS Phase II			
Pilot Program Implementation and Evaluation	7/5/2016	7/31/2016	0%
Automation of Release of Information (Digital Signature)	7/5/2016	7/22/2016	0%
Community Statewide Rollout – Phase A			
Provider Collaboration	7/5/2016	7/8/2016	0%
Customization/Replication	7/11/2016	7/22/2016	0%
T4T Training	7/25/2016	8/12/2016	0%
Implementation	8/15/2016	8/26/2016	0%
Stabilization	8/29/2016	9/9/2016	0%
Community Statewide Rollout – Phase B *Same tasks as Phase A	7/25/2016	9/30/2016	0%
Community Statewide Rollout – Phase C *Same tasks as Phase A	8/15/2016	10/21/2016	0%
Community Statewide Rollout – Phase D *Same tasks as Phase A	9/11/2016	11/11/2016	0%

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Community Statewide Rollout – Phase E *Same tasks as Phase A	9/26/2016	12/02/2016	0%
Community Statewide Rollout – Phase F *Same tasks as Phase A	1/2/2017	3/10/2017	0%
Community Statewide Rollout – Phase G *Same tasks as Phase A	1/23/2017	3/31/2017	0%
Program Implementation and Evaluation	3/31/2017	6/30/2017	0%
SOMS to ARMS Interface	7/5/2016	6/30/2017	0%
PVDTS to ARMS Interface	1/4/2017	12/31/2017	0%
COMPAS to ARMS Interface	1/2/2018	6/30/2018	0%
ARMS Phase II Complete	6/30/2018	6/30/2018	0%
Maintenance and Operations Begins	7/1/2018		
ARMS Phase III			
Automated Referrals to Non-Contracted Service Providers	7/1/2018	12/30/2018	0%
Enterprise Referrals for County Partners	7/1/2018	6/30/2018	0%
ARMS to SOMS Interface	7/1/2018	6/30/2018	0%
ARMS to PVDTS Interface	7/1/2018	3/31/2019	0%
Implement Additional Requirements	4/1/2019	12/31/2019	0%
Complete data analytics to validate improvement decisions	1/2/2020	5/31/2020	0%
ARMS Phase III Complete	6/30/2020	6/30/2020	0%
Maintenance and Operations Begins	7/1/2020		0%
ARMS	6/30/2020	6/30/2021	

6.3 AUTHORIZATION REQUIRED

This project requires approval from the following:

- CDCR Agency Information Security Officer
- CDCR Enterprise Architect
- CDCR Chief Budget Officer
- CDCR Enterprise Information Services Director
- Undersecretary, Administration & Offender Services designee for CDCR Agency Secretary

The FSR also requires review from the California Department of Technology as part of the standard FSR review process. The original project was initiated under Three Judge Panel.

7 RISK REGISTER

1. Project (ARMS) may require more resources than planned:
 - Vendor configuration SMEs,
 - EIS support staff,
 - Help Desk Level1 support staff for business needs,
 - Vendor training staff,
 - DRP training staff.
2. The ARMS project scope may not be supportable by the vendor.
3. Vendor may not be able to provide the infrastructure as planned.
4. Conflict with other projects (schedule and resources) may impact the ARMS project.

Additional information is available upon request in a confidential document.

Project Name: Automated Reentry Management System (ARMS)

Project #: 5225-157

Revision Date: 20-Nov-15

Risk Register

* 1-9 = Low Risk Level, 10-15 = Medium Risk Level, 16-25 = High Risk Level

#	Risk	Probability (1 - 5)	Potential Impact (1 - 5)	Risk Management Action must begin...	Risk Level* (1 - 25)	Cause	Consequences	Avoidance Plan	Mitigation Plan
1	Project (ARMS) may require more resources than planned: 1. Vendor needs more SMEs to help them understand configuration necessary, 2. EIS may need more support staff to maintain db's, uploads, downloads, reports, 3. Business needs more resources to staff Help Desk L1 support, 4. Vendor needs more training staff, 5. DRP needs more training staff, etc.	3	5	Within the next six months	15	Planning for level of support staff, but realize the actual resources needed will vary from month to month, phase to phase and from vendor to vendor. Really needs to be planned once vendor selected, solution determined, and all detailed plans are finalized.	Need to go back to Management and Sponsor to request additional funding & resources	For 2 - EIS - there will be only limited data necessary for the ARMS project. We will confirm the data early in the process for the solution & we can provide the CSV extracts from SOMS, COMPAS, and PVDTS and get the vendor to use them as the baseline since we'd get the same format each time if we follow the same procedures.	The vendor is providing 1st level Help Desk Support. Will need to determine how many SME's are available for each Parole Region, and each Contracted Program Provider, and ensure that if more staff are needed, these can be added quickly as to not impact the schedule. Also completing BCP for new resources to support Training, Super Users, Outreach, etc. as well as vendor hosted first level support.
2	Is the Project (ARMS) Scope able to be supported by the Vendor	2	4	Within the next six months	8	ARMS includes over 2500+ customizations of provider sites which includes all DRP, DAPO and DAL programs. The variance in contract language for each program with its associated provider dictates different requirements for each site. This scope will be a challenge for SSG to meet based upon current timelines.	Need to go back to Management and Sponsor to request additional funding		The ARMS use cases have been provided as well as detailed functional requirements. The vendor is estimating the time required to configure their product to the Use Cases proposed and the time required to configure for future consideration. To mitigate this, the project is: 1) Evaluating all contract renewal dates to make sure that for any contract that expires on or before 6/30/2016, the site is not built until a new provider is awarded and 2) Validating all contract requirements are represented in a pilot provider for each program.
3	Is the Project (ARMS) Schedule able to be supported by the vendor	3	5	Six months to a year from now	9.9	ARMS includes over 2500+ customizations of provider sites which includes all DRP, DAPO and DAL programs. The variance in contract language for each program with its associated providers dictates different requirements for each site. This level of effort will be a challenge for SSG to meet based upon current timelines.	Need to go back to Management and Sponsor to request additional funding		To mitigate this, the project is: 1) Evaluating all contract renewal dates to make sure that for any contract that expires on or before 6/30/2016, the site is not built until a new provider is awarded and 2) Validating all contract requirements are represented in a pilot provider for each program.

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4	Is the Project (ARMS) Team (DRP, EIS, PMO, Service Providers, DAPO) able to support the Project Schedule	3	5	Within the next six months	15	ARMS includes over 2500+ customizations of provider sites which includes all DRP, DAPO and DAI programs. The variance in contract language for each program with its associated provider dictates different requirements for each site. This level of effort will be a challenge for CDCR to meet based upon current timelines.	Need to go back to Management and Sponsor to request additional funding & or additional staff	The vendor to provide their staff requirements to fulfill their proposed schedule and what staff needs they have from CDCR to ensure their schedule is valid	The DRP Management Team is fully committed to ensure the schedule will be met - will seek to ensure that other Depts including, DAPO, EIS, PMO, and the Service Providers have the necessary staff in place to be able to support the project once we begin planning & outreach activities. If they do require additional resources to support the preliminary schedules, will work with the stakeholders and sponsors to ensure these staff are secured.
5	Infrastructure	2	4	Within the next six months	8	Necessary Hardware, Software, Network, Servers, Capacity, Storage, etc issues should be fully understood and hosted by the Vendor	This will be the Vendors own infrastructure and it should be available based on # of users to be supported and dynamically adjusted up or down - if this is not true, then will need to seek another solution.	Infrastructure requirements are in the RFO, SOW, and will be included in the Resulting Contract.	There is a performance penalty in the contract if the expected infrastructure is not responding or able to support the project as expected.
6	Management Processes	3	4	Within the next six months	12	The necessary resources will be fully understood once the stakeholders are fully engaged and understand, scope, roles, deliverables and schedule - these resources will then be requested and management will seek approval if add'l staff are necessary.	The project scope and schedule will be at risk and will not be able to be delivered on time or on budget.		Will need to determine how many SME's are available for each stakeholder area, and ensure that if more staff are needed, these can be added quickly as to not impact the scope & schedule. Also completing BCP for new resources to support Training, Super Users, Help Desk Staff, Outreach,
7	Other Projects	3	5	Within the next six months	15	Several other projects are in process, it will be key to overlay competing resources on the master plan for planning purposes.	The project scope and schedule will be at risk and will not be able to be delivered on time or on budget.	Master Plan will be completed and each of the impacted overburdened resources will be identified for mitigation, priority, and see if additional/substitute resources can be secured.	Master Plan will be completed and each of the impacted overburdened resources will be identified for mitigation, priority, and see if additional/substitute resources can be secured.
8	Paradigm Shift	3	3	Within the next six months	9	This program is new, the software will be new to all stakeholders. Will need Outreach Plan to ensure early adoption and acceptance	The project scope and schedule will be at risk and will not be able to be delivered on time or on budget.	Outreach Plan to be developed and seek early adoption and acceptance.	The ARMS Project Team and DRP Sponsors will ensure that all stakeholders are able to support the project early and often.
9	Sponsorship Commitment	1	5	Within the next six months	5	Not likely - Sponsor (s) are committed, supporting and not willing to forego this project	The project scope and schedule will be at risk and will not be able to be delivered on time or on budget.	The ARMS Project Team will ensure constant communication with all Sponsors and gauge any impacts to scope and or schedule are known by all.	
10	Turnover	3	5	Within the next six months	15	If project buget is cut, if DRP, program providers, PMO, EA, DAPO, etc staff turnover this will cause delays	The project scope and schedule will be at risk and will not be able to be delivered on time or on budget.		The ARMS Project Team and DRP Sponsors will meet frequently with stakeholders to determine any impacts that are on the horizon, or what resulting staff reductions result in delays due to turnover of key staff.

Project Name: Automated Reentry Management System (ARMS)

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Risk Register

* 1-9 = Low Risk Level, 10-15 = Medium Risk Level, 16-25 = High Risk Level

#	Risks	Transference	Acceptance	Contingency Plan	Trigger Event	Owner	Response Plan Effectiveness	Residual Risks	Secondary Risks	Risk Status	Closure Date
1	Project (ARMS) may require more resources than planned: 1. Vendor needs more SMEs to help them understand configuration necessary, 2. EIS may need more support staff to maintain db's, uploads, downloads, reports, 3. Business needs more resources to staff Help Desk L1 support, 4. Vendor needs more training staff, 5. DRP needs more training staff, etc.	RFO is firm fixed price and we can transfer any overage to the vendor	Recommend accepting the risk that the vendor will be able to stay within budget amount.	Have the vendor absorb any additional costs. Also can have them push all discretionary costs to future years. Also can have the vendor bid on additional scope at a later time if	Since our plan is to avoid this risk, we are aiming to not have it happen until well into the configuration, implementation and training phases. If we have any Change Requests from the vendor, this may in fact, trigger this event.	Chris Caire/Tina Bayles				Open	
2	Is the Project (ARMS) Scope able to be supported by the Vendor	Will transfer the risk to the vendor by requesting a firm fixed price bid for any configuration work, for any and all training, and all other necessary scope to be supported. If the Vendor cannot meet the scope as defined, then they would be required to add additional staff/skills at no additional cost.	Recommend accepting the risk that the vendor will be able to keep scope on track and meet the goals and objectives of the project on target.	Have the vendor absorb any additional scope. Also can have them push all discretionary scope to future years. Also can have the vendor bid on additional	Trigger Event for this risk will be that the vendor requests for us to fund or secure additional support resources for additional scope.	Chris Caire/Tina Bayles				Open	
3	Is the Project (ARMS) Schedule able to be supported by the vendor	Will transfer the risk to the vendor by requesting a firm fixed price bid for any configuration work, for any and all training, and all other necessary scope to be supported with the schedule mandated. If the Vendor cannot meet the scope as defined in the schedule, then they would be required to add additional staff/skills at no additional cost in order to meet the defined schedule	Recommend accepting the risk that the vendor will be able to keep scope on track and meet the goals and objectives of the project on targeted schedule.	Have the vendor absorb any and all schedule changes. Also can have them push all discretionary scope to future years in order to stay on target of schedule. Also can have the vendor bid on schedule	Trigger Event for this risk will be that the vendor requests for us to fund or secure additional support resources for meeting the schedule.	Chris Caire/Tina Bayles				Open	

Project Name: Automated Reentry Management System (ARMS)

Project #: 5225-157

Revision Date: 20-Nov-15

Risk Register

* 1-9 = Low Risk Level, 10-15 = Medium Risk Level, 16-25 = High Risk Level

4	Is the Project (ARMS) Team (DRP, EIS, PMO, Service Providers, DAPO) able to support the Project Schedule		Recommend moving forward and accepting the risk that all stakeholders will secure the necessary resources once the scope, schedule and outreach plans are known and communicated to them.	Will need to determine how many SME's are available for each Stakeholder/s support team , and ensure that if more staff are needed, these can be added quickly as to not impact the schedule.	Since our plan is to avoid this risk, we are aiming to not have the trigger occur until well into the configuration, implementation and training phases. If we have any pushback from the stakeholders on resources, this may in fact, trigger this event.	Chris Caire/Tina Bayles					Open	
5	Infrastructure	This service carries a penalty if agreements are not met. Infrastructure will be the Vendor's own hosted infrastructure which should be available based on # of users to be supported and dynamically adjusted up or down. If this is not true, then can seek big	Recommend moving forward and accepting the risk that the vendor has adequate and necessary infrastructure to support the ARMS project or will secure the necessary resources once the scope, schedule and users are known and communicated to them.	If the vendor has inadequate infrastructure and availability/bandwidth that is unacceptable, then we will seek big penalties and	Trigger for the event will be that the system cannot function well for the users and upon investigation, root cause analysis, the infrastructure supporting the system is to blame.	Chris Caire/Tina Bayles					Closed	
6	Management Processes		Recommend moving forward and accepting the risk that the management team will be able to support the ARMS project with timely responses to issues, action, decisions, resources and any necessary mitigation plans once project is	Will need to create escalation path if any decision, action, resources, issues and mitigation plans are not	Trigger for this event will occur anytime an action, decision, resource, issue, and/or mitigation plan is not responded to within a agreed to timeframe.	Chris Caire/Tina Bayles					Open	
7	Other Projects		Recommend moving forward and accepting the risk that the management team will be able to support the ARMS project with other projects being able to co-exist with shared or other dedicated resources, once scope, schedule and deliverables are shared with all stakeholders and all	Will need to create escalation path if any delay of scope, schedule are not responded to by stakeholders in a timely manner.	Trigger for this event will occur anytime an resource issue or competing project is not responded to within a agreed to timeframe.	Chris Caire/Tina Bayles					Open	

Project Name: Automated Reentry Management System (ARMS)

Project #: 5225-157

Revision Date: 20-Nov-15

Risk Register

* 1-9 = Low Risk Level, 10-15 = Medium Risk Level, 16-25 = High Risk Level

8	Paradigm Shift		Recommend moving forward and accepting the risk that the stakeholders will be able to adopt and support the ARMS project once they are aware of how and why they are being asked to support	Will develop, communicate and provide an Outreach Plan to ensure early adoption and acceptance by	Trigger for this event will occur anytime a stakeholder pushes back on supporting the project, or begins to miss any required meetings or sessions.	Chris Caire/Tina Bayles					Open	
9	Sponsorship Commitment		Recommend moving forward and accepting the risk that the sponsor will be able to support the ARMS project once they are aware of how and why they are being asked to support the project	Will develop, communicate and provide updated status reports, project schedules, ongoing	Trigger for this event will occur anytime the sponsor (s) push back on supporting the project, or begin to miss any required meetings or sessions.	Chris Caire/Tina Bayles					Closed	
10	Turnover		Recommend moving forward and accepting the risk that all stakeholders will secure and be able to hold onto the necessary resources once the scope, schedule and outreach plans are known and communicated to	Will need to determine how many SME's are available for each Stakeholder/s support team , and ensure	Since our plan is to avoid this risk, we are aiming to not have the trigger occur until well into the configuration, implementation and training phases. If we have any pushback from the stakeholders on resources, this may in fact, trigger this event.	Chris Caire/Tina Bayles					Closed	

8 ECONOMIC ANALYSIS WORKSHEETS

Please see attached Economic Analysis Worksheet document.

EXISTING SYSTEM COST WORKSHEET

Department: California Department of Corrections and Rehabilitation
 Project: Automated Reentry Management System (ARMS) Feasibility Study Report

	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
	PYs	Amounts	PYs	Amounts														
Information Technology (IT) Costs:																		
<i>Continuing:</i>																		
Staff (Salaries & Benefits)	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Hardware Lease/Maintenance		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Software Maintenance/Licenses		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Contract Services		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Data Center Services		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Agency Facilities		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Other		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Total IT Costs	0.0	\$ -	0.0	\$ -														
Program Costs:																		
<i>Continuing:</i>																		
Staff	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Other		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Total Program Costs	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	28.0	\$ 2,432,698										
Total Existing System Costs	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	28.0	\$ 2,432,698										

*See detail sheets for breakdown

PROPOSED SYSTEM COST WORKSHEET

Department: California Department of Corrections and Rehabilitation
 Project: Automated Reentry Management System (ARMS) Feasibility Study Report

	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts
Information Technology (IT) Costs:																		
<i>One-time:</i>																		
Staff (Salaries & Benefits)	8.9	\$ 838,456	13.0	\$ 1,256,914	12.7	\$ 1,288,098	7.1	\$ 754,396	7.1	\$ 754,396	25.8	\$ 2,699,006	25.8	\$ 2,699,006	0.0	\$ -	100.4	\$ 10,290,271
Hardware Purchase		\$ -		\$ 10,850		\$ 96,023		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 106,873
Software Purchase/License		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Telecommunications		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Contract Services																		
<i>Prime Vendor Contract (ARMS)</i>		\$ 3,980,950		\$ 680,847		\$ 2,112,491		\$ 3,000,000		\$ 2,800,000		\$ -		\$ -		\$ -		\$ 12,574,288
<i>Project Management</i>		\$ 500,000		\$ -		\$ 275,000		\$ 225,000		\$ 250,000		\$ 250,000		\$ 250,000		\$ -		\$ 1,750,000
<i>Project Oversight</i>		\$ -		\$ -		\$ -		\$ 112,560		\$ 112,560		\$ 112,560		\$ 112,560		\$ -		\$ 450,240
<i>Independent Verification & Validation S</i>		\$ -		\$ -		\$ -		\$ 275,000		\$ 275,000		\$ 275,000		\$ 275,000		\$ -		\$ 1,100,000
<i>Other Contract Services</i>		\$ 1,280,000		\$ 1,000,000		\$ 625,000		\$ 2,625,000		\$ 1,275,000		\$ 775,000		\$ 275,000		\$ -		\$ 7,855,000
TOTAL Contract Services		\$ 5,760,950		\$ 1,680,847		\$ 3,012,491		\$ 6,237,560		\$ 4,712,560		\$ 1,412,560		\$ 912,560		\$ -		\$ 23,729,528
Data Center Services		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Agency Facilities		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Other		\$ 66,251		\$ 19,455		\$ 307,533		\$ 327,576		\$ 158,378		\$ 424,276		\$ 383,898		\$ -		\$ 1,687,368
Total One-time IT Costs	8.9	\$ 6,665,657	13.0	\$ 2,968,065	12.7	\$ 4,704,145	7.1	\$ 7,319,532	7.1	\$ 5,625,334	25.8	\$ 4,535,842	25.8	\$ 3,995,464	0.0	\$ -	100.4	\$ 35,814,039
<i>Continuing:</i>																		
Staff	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	25.1	\$ 2,619,317	25.1	\$ 2,619,317
Hardware Lease/Maintenance		\$ -		\$ -		\$ -		\$ 26,040		\$ 26,040		\$ 26,040		\$ 26,040		\$ 26,040		\$ 130,200
Software Maintenance/Licenses		\$ -		\$ -		\$ -		\$ 3,500,000		\$ 3,500,000		\$ 3,500,000		\$ 3,500,000		\$ 3,500,000		\$ 17,500,000
Telecommunications		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Contract Services		\$ -		\$ 316,235		\$ 436,235		\$ 951,502		\$ 951,502		\$ 951,502		\$ 1,094,227		\$ 1,258,361		\$ 5,959,565
Data Center Services		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Agency Facilities		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Other		\$ -		\$ 3,637		\$ 10,504		\$ 74,813		\$ 109,813		\$ 109,813		\$ 111,454		\$ 486,746		\$ 906,781
Total Continuing IT Costs	0.0	\$ -	0.0	\$ 319,872	0.0	\$ 446,739	0.0	\$ 4,552,355	0.0	\$ 4,587,355	0.0	\$ 4,587,355	0.0	\$ 4,731,722	25.1	\$ 7,890,464	25.1	\$ 27,115,862
TOTAL PROJECT COSTS	8.9	\$ 6,665,657	13.0	\$ 3,287,937	12.7	\$ 5,150,885	7.1	\$ 11,871,887	7.1	\$ 10,212,689	25.8	\$ 9,123,197	25.8	\$ 8,727,186	25.1	\$ 7,890,464	125.5	\$ 62,929,901
Continuing Existing Costs:																		
<i>Information Technology Costs:</i>																		
Staff	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Other		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Total Existing IT Costs	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -						
<i>Program Costs:</i>																		
Staff	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Other		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Total Program Costs	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
TOTAL CONTINUING EXISTING COSTS	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
TOTAL ALTERNATIVE PROJECT COSTS	12.4	\$ 6,959,000	16.5	\$ 3,587,147	16.2	\$ 5,457,575	10.6	\$ 12,178,577	10.6	\$ 10,519,380	29.3	\$ 9,429,888	29.3	\$ 9,033,876	28.6	\$ 8,197,155	153.5	\$ 65,362,599

Increased Revenues	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-
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*See detail sheets for breakdown

**Please refer to Proposed Details-One Time Costs - Contract Services for a breakdown of contracts.

ECONOMIC ANALYSIS SUMMARY

Department: California Department of Corrections and Rehabilitation
 Project: Automated Reentry Management System (ARMS) Feasibility Study Report

	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts
Baseline:																		
Total IT Costs	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Total Program Costs	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Total Existing System Cost	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Proposed Solution:																		
Total Existing System Cost	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Total Proposed Project Cost	8.9	\$ 6,665,657	13.0	\$ 3,287,937	12.7	\$ 5,150,885	7.1	\$ 11,871,887	7.1	\$ 10,212,689	25.8	\$ 9,123,197	25.8	\$ 8,727,186	25.1	\$ 7,890,464	125.5	\$ 62,929,901
Total Continuing Existing Cost	3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	28.0	\$ 2,432,698
Total Proposed Cost	12.4	\$ 6,959,000	16.5	\$ 3,587,147	16.2	\$ 5,457,575	10.6	\$ 12,178,577	10.6	\$ 10,519,380	29.3	\$ 9,429,888	29.3	\$ 9,033,876	28.6	\$ 8,197,155	153.5	\$ 65,362,599
Cost Savings or Avoidance	-8.9	\$ (6,665,657)	-13.0	\$ (3,287,937)	-12.7	\$ (5,150,885)	-7.1	\$ (11,871,887)	-7.1	\$ (10,212,689)	-25.8	\$ (9,123,197)	-25.8	\$ (8,727,186)	-25.1	\$ (7,890,464)	-125.5	\$ (62,929,901)
Increased Revenue		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Net Cost or Benefit	-8.9	\$ (6,665,657)	-13.0	\$ (3,287,937)	-12.7	\$ (5,150,885)	-7.1	\$ (11,871,887)	-7.1	\$ (10,212,689)	-25.8	\$ (9,123,197)	-25.8	\$ (8,727,186)	-25.1	\$ (7,890,464)	-125.5	\$ (46,312,252)
Cumulative Net (Cost) or Benefit	-8.9	\$ (6,665,657)	-21.9	\$ (9,953,594)	-34.6	\$ (15,104,478)	-41.7	\$ (26,976,365)	-48.8	\$ (37,189,054)	-67.5	\$ (36,099,562)	-74.6	\$ (45,916,240)	-92.6	\$ (43,990,026)		

PROJECT FUNDING PLAN

Department: California Department of Corrections and Rehabilitation
 Project: Automated Reentry Management System (ARMS) Feasibility Study Report

	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts
TOTAL PROJECT COSTS	8.9	\$ 6,665,657	13.0	\$ 3,287,937	12.7	\$ 5,150,885	7.1	\$ 11,871,887	7.1	\$ 10,212,689	25.8	\$ 9,123,197	25.8	\$ 8,727,186	25.1	\$ 7,890,464	125.5	\$ 62,929,901
REDIRECTED RESOURCES																		
Staff-DRP	6.7	\$ 577,481	10.6	\$ 964,397	10.6	\$ 1,019,464	0.7	\$ 79,689	0.7	\$ 79,689	0.7	\$ 79,689	0.7	\$ 79,689	0.0	\$ -	30.8	\$ 2,880,098
Staff-DAI	0.1	\$ 10,610	0.3	\$ 39,080	0.3	\$ 40,462	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.7	\$ 90,153
Staff-DAPO	0.6	\$ 83,698	0.8	\$ 101,126	1.0	\$ 132,380	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.4	\$ 317,204
Staff-Office of Research	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Staff-EIS	1.4	\$ 151,711	1.1	\$ 123,992	0.8	\$ 95,792	0.4	\$ 38,610	0.4	\$ 38,610	0.1	\$ 11,715	0.1	\$ 11,715	0.1	\$ 11,715	4.3	\$ 483,858
Staff-FPCM	0.1	\$ 14,957	0.2	\$ 28,318	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.3	\$ 43,275
Redirected Funds																		
Existing System		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Other fund sources		\$ 5,827,201		\$ 2,031,024		\$ 3,862,786		\$ -		\$ -		\$ -		\$ -		\$ -		\$ 11,721,011
Total Redirections	8.9	\$ 6,665,657	13.0	\$ 3,287,937	12.7	\$ 5,150,885	1.1	\$ 118,299	1.1	\$ 118,299	0.8	\$ 91,404	0.8	\$ 91,404	0.1	\$ 11,715	38.5	\$ 15,535,598
ADDITIONAL FUNDING																		
One-Time Project Costs	0.0	\$ -	0.0	\$ -	0.0	\$ -	6.0	\$ 7,201,233	6.0	\$ 5,507,035.4	25.0	\$ 4,444,438	25.0	\$ 3,904,060	0.0	\$ -	62.0	\$ 21,056,767
Continuing Project Costs	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ 4,552,355	0.0	\$ 4,587,355	0.0	\$ 4,587,355	0.0	\$ 4,731,722	25.0	\$ 7,878,749	25.0	\$ 26,337,536
TOTAL NEW FUNDING	0.0	\$ -	0.0	\$ -	0.0	\$ -	6.0	\$ 11,753,588	6.0	\$ 10,094,390	25.0	\$ 9,031,793	25.0	\$ 8,635,782	25.0	\$ 7,878,749	87.0	\$ 47,394,303
Total Project Funding	8.9	\$ 6,665,657	13.0	\$ 3,287,937	12.7	\$ 5,150,885	7.1	\$ 11,871,887	7.1	\$ 10,212,689	25.8	\$ 9,123,197	25.8	\$ 8,727,186	25.1	\$ 7,890,464	125.5	\$ 62,929,901
Difference: Funding - Costs	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -

TOTAL ESTIMATED SAVINGS	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
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FUNDING SOURCE*	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
General Fund	100%	\$ 6,665,657	100%	\$ 3,287,937	100%	\$ 5,150,885	100%	\$ 11,871,887	100%	\$ 10,212,689	100%	\$ 9,123,197	100%	\$ 8,727,186	100%	\$ 7,890,464	100%	\$ 62,929,901
Federal Fund	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -
Special Fund	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -
Reimbursement	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -	0%	\$ -
TOTAL FUNDING	100%	\$ 6,665,657	100%	\$ 3,287,937	100%	\$ 5,150,885	100%	\$ 11,871,887	100%	\$ 10,212,689	100%	\$ 9,123,197	100%	\$ 8,727,186	100%	\$ 7,890,464	100%	\$ 62,929,901

*Type: If applicable, for each funding source, beginning on row 31, describe what type of funding is included, such as local assistance or grant funding, the date the funding is to become available, and the duration of the funding.

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET

Department: California Department of Corrections and Rehabilitation
 Project: Automated Reentry Management System (ARMS) Feasibility Study Report

	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021		TOTALS	
	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts	PYs	Amounts
Annual Project Adjustments																		
One-time Costs																		
Previous Year's Baseline	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	6.0	\$ 7,201,233	6.0	\$ 7,201,233	6.0	\$ 5,507,035	25.0	\$ 4,444,438		
Annual Augmentation	0.0	\$ -	0.0	\$ -	0.0	\$ -	6.0	\$ 7,201,233	0.0	\$ (1,694,198)	19.0	\$ (2,756,795)	19.0	\$ (1,602,975)	-25.0	\$ (4,444,438)		
Total One-Time Budget Actions	0.0	\$ -	0.0	\$ -	0.0	\$ -	6.0	\$ 7,201,233	6.0	\$ 5,507,035	25.0	\$ 4,444,438	25.0	\$ 3,904,060	0.0	\$ -	31.0	\$ 11,645,671
Continuing Costs																		
Previous Year's Baseline	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ 4,552,355	0.0	\$ 4,552,355	0.0	\$ 4,587,355	0.0	\$ 4,587,355		
Annual Augmentation	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ 4,552,355	0.0	\$ 35,000	0.0	\$ 35,000	0.0	\$ 144,367	25.0	\$ 3,291,394		
Total Continuing Budget Actions	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ 4,552,355	0.0	\$ 4,587,355	0.0	\$ 4,587,355	0.0	\$ 4,731,722	25.0	\$ 7,878,749	0.0	\$ 9,139,710

Total Annual Project Budget Augmentation	0.0 \$ -	0.0 \$ -	0.0 \$ -	6.0 \$ 11,753,588	0.0 \$ (1,659,198)	19.0 \$ (2,721,795)	19.0 \$ (1,458,608)	0.0 (1,153,044)	
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Total Additional Project Funds Needed

31.0 \$ 20,785,381

Annual Savings/Revenue Adjustments

Cost Savings	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -
Increased Program Revenues	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -

Baseline Cost Details

<i>IT Costs</i>		2013/2014															
STAFF	SALARY	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		PY	Amount														
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
TOTAL		0.0	\$ -														
HARDWARE	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount														
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														
SOFTWARE	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount														
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														
CONTRACT SERVICES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount														
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														
DATA CENTER SERVICES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount														
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														
AGENCY FACILITIES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount														
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -

Baseline Cost Details

	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-		
TOTAL			\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-

OTHER	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021												
		#	Amount																									
	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-		
	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-		
TOTAL			\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-

Program Costs

STAFF	SALARY	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		PY	Amount														
Associate Business Govt. Analyst (AG)	\$ 82,633	1.0	\$ 82,633	1.0	\$ 84,286	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393
Research Analyst II (ARMS)	\$ 86,761	1.0	\$ 86,761	1.0	\$ 88,496	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709
Associate Business Govt. Analyst (RH)	\$ 82,633	1.5	\$ 123,950	1.5	\$ 126,428	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
TOTAL		3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691	3.5	\$ 306,691

OTHER	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021												
		#	Amount																									
	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-		
	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-	0	\$	-		
TOTAL			\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-		\$	-

Proposed Details - One Time Costs

One-time:

STAFF	SALARY	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		PY	Amount	PY	Amount												
DRP																	
ARMS Assoc Gov Program Analyst (AGPA)	\$ 81,298	4.0	\$ 325,193	7.5	\$ 658,185	7.5	\$ 702,225	3.0	\$ 282,105	3.0	\$ 282,105	9.0	\$ 846,315	9.0	\$ 846,315	0.0	\$ -
ARMS Staff Services Manager I	\$ 93,458	1.0	\$ 93,458	1.3	\$ 128,695	1.3	\$ 133,259										
ARMS Research Manager I	\$ 105,882	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 105,882	1.0	\$ 105,882	0.0	\$ -
ARMS Research Analyst II	\$ 85,368	1.0	\$ 85,368	1.1	\$ 100,662	1.1	\$ 104,291	0.0	\$ -	0.0	\$ -	2.0	\$ 195,976	2.0	\$ 195,976	0.0	\$ -
ARMS Staff Services Manager II	\$ 102,615	0.7	\$ 71,831	0.7	\$ 75,216	0.7	\$ 77,997	0.7	\$ 77,997	0.7	\$ 77,997	0.7	\$ 77,997	0.7	\$ 77,997	0.0	\$ -
ARMS Staff Services Manager III	\$ 120,738	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Career Executive Assignment B	\$ 163,080	0.01	\$ 1,631	0.01	\$ 1,639	0.01	\$ 1,692	0.01	\$ 1,692	0.01	\$ 1,692	0.01	\$ 1,692	0.01	\$ 1,692	0.0	\$ -
Office Technician	\$ 62,631	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 62,631	1.0	\$ 62,631	0.0	\$ -
DAI																	
Correctional Administrator	\$ 160,495	0.0	\$ -	0.1	\$ 17,436	0.1	\$ 18,277	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Correctional Captain	\$ 106,098	0.1	\$ 10,610	0.2	\$ 21,644	0.2	\$ 22,185	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Correctional Lieutenant	\$ 153,538	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 153,538	1.0	\$ 153,538	0.0	\$ -
Research Program Specialist I	\$ 102,077	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 204,154	2.0	\$ 204,154	0.0	\$ -
DAPO																	
Licensed Clinical Social Worker	\$ 76,944	0.0	\$ -	0.1	\$ 7,848	0.2	\$ 16,089	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
ARMS Assoc Gov Program Analyst	\$ 94,035	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 188,070	2.0	\$ 188,070	0.0	\$ -
Parole Administrator I	\$ 162,563	0.3	\$ 48,769	0.1	\$ 17,616	0.2	\$ 36,827	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Parole Agent I	\$ 107,453	0.1	\$ 10,745	0.2	\$ 24,191	0.2	\$ 25,980	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Parole Agent II	\$ 97,602	0.1	\$ 9,760	0.2	\$ 19,911	0.2	\$ 20,409	0.0	\$ -	0.0	\$ -	1.0	\$ 153,562	1.0	\$ 153,562	0.0	\$ -
Parole Agent III	\$ 144,232	0.1	\$ 14,423	0.2	\$ 31,561	0.2	\$ 33,076	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Research Program Specialist I	\$ 98,636	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Office Of Research																	
Research Program Specialist II	\$ 109,461	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 109,461	1.0	\$ 109,461	1.0	\$ 109,461	1.0	\$ 109,461	0.0	\$ -
EIS																	
Senior Information Systems Analyst (EIS Enhancement Solution	\$ 107,528	0.1	\$ 10,753	0.1	\$ 11,039	0.1	\$ 11,664	1.0	\$ 117,146	1.0	\$ 117,146	1.0	\$ 117,146	1.0	\$ 117,146	0.0	\$ -
Systems Software Specialist I (EIS ISO)	\$ 96,160	0.2	\$ 19,232	0.2	\$ 20,304	0.1	\$ 10,508	0.3	\$ 26,895	0.3	\$ 26,895	1.0	\$ 108,047	1.0	\$ 108,047	0.0	\$ -
Data Processing Manager II	\$ 111,039	0.5	\$ 55,520	0.5	\$ 57,639	0.1	\$ 11,920	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Data Processing Manager III	\$ 130,137	0.0	\$ -	0.0	\$ -	0.1	\$ 13,475	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Systems Software Specialist III (Solution and Data Engineers)	\$ 115,976	0.1	\$ 11,598	0.1	\$ 11,985	0.1	\$ 12,423	1.0	\$ 127,385	1.0	\$ 127,385	2.0	\$ 254,770	2.0	\$ 254,770	0.0	\$ -
Systems Software Specialist III (SA)	\$ 115,976	0.1	\$ 11,598	0.1	\$ 11,985	0.1	\$ 12,423	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Senior Information Systems Analyst (ITAU)	\$ 107,528	0.4	\$ 43,011	0.1	\$ 11,039	0.1	\$ 11,664	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Staff Information Systems Analyst (support for Office of Research)	\$ 108,050	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 108,050	1.0	\$ 108,050	0.0	\$ -
Senior Programmer Analyst (EIS AMS)	\$ 117,146					0.1	\$ 11,715	0.1	\$ 11,715	0.1	\$ 11,715	0.1	\$ 11,715	0.1	\$ 11,715		

Proposed Details - One Time Costs

FPCM															
Correctional Captain	\$ 149,570	0.1	\$ 14,957	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Associate Construction Analyst	\$ 138,461	0.0	\$ -	0.2	\$ 28,318	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
TOTAL	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
		8.91	\$ 838,456	13.0	\$ 1,256,914	12.7	\$ 1,288,098	7.1	\$ 754,396	7.1	\$ 754,396	25.8	\$ 2,699,006	25.8	\$ 2,699,006

HARDWARE	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
ARMS Signature Pads	\$ 125	0	\$ -	80	\$ 10,000	500	\$ 62,500	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Network switches	\$ 2,000	0	\$ -	0	\$ -	13	\$ 26,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Sales Tax (ARMS signature pads and switches)	\$ 7,523	0	\$ -	0	\$ 850	1	\$ 7,523	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -		\$ 10,850		\$ 96,023		\$ -								

SOFTWARE	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
License Subscription in ARMS SSG contract services (400 for pilot FY2013-2014 \$1,155,600)	\$ 2,889	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
License Subscription in ARMS SSG contract services (for rollout - 3600 + 400 for discount - ARMS unlimited FY2015-2016 \$1,800,000)	\$ 450	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														

TELECOMMUNICATIONS	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
	\$ -	0	\$ -	0	\$ -	0	\$ -	20	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -														

CONTRACT SERVICES	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
Social Solutions Group (ARMS contract)	\$ 3,980,950	1	\$ 3,980,950	0	\$ -	1	\$ 1,977,491	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
SSG Automated Web Service (ARMS)	\$ 205,847	0	\$ -	1	\$ 205,847	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
SSG Business Requirements Change requests (ARMS)	\$ 375,000	0	\$ -	1	\$ 375,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
SSG Wireless Tablet Application - in-prison	\$ 100,000	0	\$ -	1	\$ 100,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
SSG Replication (ARMS)	\$ 135,000	0	\$ -	0	\$ -	1	\$ 135,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -

Proposed Details - One Time Costs

Future ARMS Requirements Phase II	\$ 3,000,000	0	\$ -	0	\$ -	0	\$ -	1	\$ 3,000,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Future ARMS Requirements Phase III	\$ 2,800,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	1	\$ 2,800,000	0	\$ -	0	\$ -	0	\$ -
Project Management (Phases I, II, Solution Architecture (ARMS)	\$ 500,000	1	\$ 500,000	0	\$ -	1	\$ 275,000	1	\$ 225,000	0	\$ 250,000	0	\$ 250,000	0	\$ 250,000	0	\$ -
Procurement Solution Architecture	\$ 500,000	1	\$ 500,000	0	\$ -	1	\$ 275,000	1	\$ 275,000	1	\$ 275,000	1	\$ 275,000	1	\$ 275,000	0	\$ -
Business Architecture	\$ 280,000	1	\$ 280,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
SOMS Data Push/Retrieve	\$ 500,000	0	\$ -	2	\$ 1,000,000	0	\$ -	3	\$ 1,500,000	1	\$ 500,000	1	\$ 500,000	1	\$ -	0	\$ -
PVDTS interface	\$ 500,000	1	\$ 500,000	0	\$ -	0	\$ -	1	\$ 500,000	1	\$ 500,000	0	\$ -	0	\$ -	0	\$ -
Independent Verification and Validation (ARMS Phases II and III)	\$ 350,000	0	\$ -	0	\$ -	1	\$ 350,000	1	\$ 350,000	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Project Oversight	\$ 275,000	0	\$ -	0	\$ -	0	\$ -	1	\$ 275,000	1	\$ 275,000	1	\$ 275,000	1	\$ 275,000	0	\$ -
TOTAL	\$ 9,380	0	\$ -	0	\$ -	0	\$ -	12	\$ 112,560	12	\$ 112,560	12	\$ 112,560	12	\$ 112,560	0	\$ -
			\$5,760,950		\$1,680,847		\$3,012,491		\$6,237,560		\$4,712,560		\$1,412,560		\$912,560		\$0

DATA CENTER SERVICES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	TOTAL														
	\$ -	0	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
	\$ -	0	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
	\$ -	0	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
TOTAL			\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

AGENCY FACILITIES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	TOTAL														
	\$ -	0	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
	\$ -	0	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
TOTAL			\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

OTHER	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
ARMS travel (2 person teams)	\$ 1,400					100	\$ 140,000	100	\$ 140,000								
ARMS User Manuals	\$ 12.50					4,000	\$ 50,000										
ARMS/RHRAS printing & supplies	\$ 16,000.00		\$ -		\$ -	1	\$ 16,000										
DGS Support for Space Action Request (\$130/hr@8hrs per site)	\$ 130.00		\$ -		\$ -	52	\$ 54,080	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
Sales tax						1	\$ 10,207										
DGS fee @ 1.15%			\$ 66,251		\$ 19,455		\$ 37,246		\$ 71,732		\$ 54,194		\$ 16,244		\$ 10,494		
OE&E One-Time New PY																	
DRP																	
ARMS Assoc Gov Program Analyst (AGPA)	\$ 14,559	0	\$ -	0	\$ -		\$ -	3	\$ 49,839	3	\$ 43,677	9	\$ 143,691	9	\$ 131,367	0	\$ -
ARMS Research Manager I	\$ 14,615	0	\$ -	0	\$ -		\$ -	0	\$ -	0	\$ -	1	\$ 16,669	1	\$ 14,615	0	\$ -

Proposed Details - One Time Costs

ARMS Research Analyst II	\$ 14,615	0	\$ -	0	\$ -	\$ -	0	\$ -	0	\$ -	2	\$ 33,338	2	\$ 29,230	0	\$ -
Office Technician	\$ 14,615	0	\$ -	0	\$ -	\$ -	0	\$ -	0	\$ -	1	\$ 15,809	1	\$ 14,615	0	\$ -
DAI																
Correctional Lieutenant	\$ 4,572						0	\$ -	0	\$ -	1	\$ 4,572	1	\$ 4,572		
Research Program Specialist I	\$ 5,951						0	\$ -	0	\$ -	2	\$ 16,010	2	\$ 11,902		
DAPO																
ARMS Assoc Gov Program Analyst (AGPA-Limited Term)	\$ 14,615	0	\$ -	0	\$ -	\$ -	0	\$ -	0	\$ -	2	\$ 33,338	2	\$ 29,230	0	\$ -
Parole Agent II	\$ 14,615						0	\$ -	0	\$ -	1	\$ 16,513	1	\$ 14,615		
Office Of Research																
Research Program Specialist I (Social Behavioral)	\$ 20,169	0	\$ -	0	\$ -	\$ -	1	\$ 22,223	1	\$ 20,169	1	\$ 20,169	1	\$ 20,169	0	\$ -
EIS																
Staff Information Systems Analyst (Supports Office of Research)	\$ 20,917						0	\$ -	0	\$ -	1	\$ 22,971	1	\$ 20,917		
Senior Information Systems Analyst (EIS Enhancement Solution Controller)	\$ 20,169	0	\$ -	0	\$ -	\$ -	1	\$ 22,223	1	\$ 20,169	1	\$ 20,169	1	\$ 20,169	0	\$ -
Systems Software Specialist III (System and Data Engineers)	\$ 20,169	0	\$ -	0	\$ -	\$ -	1	\$ 21,559	1	\$ 20,169	2	\$ 42,476	2	\$ 41,086	0	\$ -
Systems Software Specialist I AISO	\$ 20,917	0	\$ -	0	\$ -	\$ -	0	\$ -	0	\$ -	1	\$ 22,307	1	\$ 20,917	0	\$ -
TOTAL			\$ 66,251		\$ 19,455	\$ 307,533		\$ 327,576		\$ 158,378		\$ 424,276		\$ 383,898		\$ -

Proposed Details - Continuing Costs

Continuing:

STAFF	SALARY	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		PY	Amount														
DRP																	
ARMS Assoc Gov Program Analyst (AGPA)	\$ 94,035	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	9.0	\$ 846,315
ARMS Research Manager I	\$ 105,882	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 105,882
ARMS Research Analyst II	\$ 97,988	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 195,976
Office Technician	\$ 62,631	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 62,631
DAI																	
Correctional Lieutenant	\$ 153,538	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 153,538
Research Program Specialist I	\$ 102,077	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 204,154
DAPO																	
ARMS Assoc Gov Program Analyst (AGPA)	\$ 94,035	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 188,070
Parole Agent II	\$ 153,562	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 153,562
Office Of Research																	
Research Program Specialist II (Social Behavioral)	\$ 109,461	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 109,461
EIS																	
Staff Information Systems Analyst (Supports Office of	\$ 108,050	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 108,050
Systems Software Specialist III (Solution Engineer, De	\$ 127,385	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 254,770
Senior Information Systems Analyst (Enhancement S	\$ 117,146	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 117,146
System Software Specialist I (EIS AISO)	\$ 108,047	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 108,047
Senior Programmer Analyst (EIS AMS)	\$ 117,146	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.1	\$ 11,715
TOTAL		0.0	\$ -	25.1	\$ 2,619,317												

HARDWARE	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
ARMS Signature Pads refresh	\$ 120	0	\$ -	0	\$ -	0	\$ -	200	\$ 24,000	200	\$ 24,000	200	\$ 24,000	200	\$ 24,000	200	\$ 24,000
Sales tax	\$ -	0	\$ -	0	\$ -	0	\$ -	1	\$ 2,040	1	\$ 2,040	1	\$ 2,040	1	\$ 2,040	1	\$ 2,040
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -		\$ -		\$ -		\$ 26,040								

SOFTWARE	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
SSG License Subscription (for rollout - 3600 + 400 for	\$ 3,500,000	0	\$ -	0	\$ -	0	\$ -	1	\$ 3,500,000	1	\$ 3,500,000	1	\$ 3,500,000	1	\$ 3,500,000	1	\$ 3,500,000
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -		\$ -		\$ -		\$ 3,500,000								

TELECOMMUNICATIONS	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
TOTAL			\$ -														

CONTRACT SERVICES	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
Social Solutions Group (ARMS-ongoing support)	\$ 168,491	0	\$ -	0	\$ -	0	\$ -	1	\$ 168,491	1	\$ 168,491	1	\$ 168,491	1	\$ 193,765	1	\$ 222,829
SSG Configuration support in-prison (ARMS)	\$ 196,235	0	\$ -	1	\$ 196,235	1	\$ 196,235	1	\$ 196,235	1	\$ 196,235	1	\$ 196,235	1	\$ 225,671	1	\$ 259,521

Proposed Details - Continuing Costs

SSG AssureSign (ARMS)	\$ 120,000	0	\$ -	1	\$ 120,000	1	\$ 120,000	1	\$ 120,000	1	\$ 120,000	1	\$ 120,000	1	\$ 138,000	1	\$ 158,700
SSG Bed Availability (ARMS)	\$ 30,000	0	\$ -	0	\$ -	1	\$ 30,000	1	\$ 30,000	1	\$ 30,000	1	\$ 30,000	1	\$ 34,500	1	\$ 39,675
SSG Service Provider Integration (ARMS)	\$ 90,000	0	\$ -	0	\$ -	1	\$ 90,000	1	\$ 90,000	1	\$ 90,000	1	\$ 90,000	1	\$ 103,500	1	\$ 119,025
SSG Design and Implementation of new programs (ARMS)	\$ 135,754	0	\$ -	0	\$ -	1	\$ 135,754	1	\$ 135,754	1	\$ 135,754	1	\$ 135,754	1	\$ 156,117	1	\$ 179,534
SSG Report Development and Data Rationalization (ARMS)	\$ 211,022	0	\$ -	0	\$ -	1	\$ 211,022	1	\$ 211,022	1	\$ 211,022	1	\$ 211,022	1	\$ 242,675	1	\$ 279,077
TOTAL			\$ -		\$ 316,235		\$ 436,235		\$ 951,502		\$ 951,502		\$ 951,502		\$ 1,094,227		\$ 1,258,361

DATA CENTER SERVICES	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
TOTAL			\$ -														

AGENCY FACILITIES	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL														
	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
	\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
TOTAL			\$ -														

OTHER	UNIT COST	FY 2013-2014		FY 2014-2015		FY 2015-2016		FY 2016-2017		FY 2017-2018		FY 2018-2019		FY 2019-2020		FY 2020-2021	
		#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL	#	TOTAL
Performance Based Awards	\$ 5,000.00		\$ -		\$ -	1	\$ 5,000	4	\$ 20,000	4	\$ 20,000	4	\$ 20,000	4	\$ 20,000	4	\$ 20,000
Travel ARMS training (2 person team)	\$ 1,400.00		\$ -		\$ -	0	\$ -	0	\$ -	25	\$ 35,000	25	\$ 35,000	25	\$ 35,000	25	\$ 35,000
ARMS training manuals (class size 30)	\$ 12.50		\$ -		\$ -	0	\$ -	100	\$ 1,250	100	\$ 1,250	100	\$ 1,250	100	\$ 1,250	100	\$ 1,250
Sales tax (Other except travel)				1	\$ 425	1	\$ 1,806	1	\$ 1,806	1	\$ 1,806	1	\$ 1,806	1	\$ 1,806	1	\$ 1,806
DGS fee @ 1.15%			\$ -		\$ 3,637		\$ 5,079		\$ 51,757		\$ 51,757		\$ 51,757		\$ 53,398		\$ 55,286
Ongoing OE&E																	
DRP																	
ARMS Assoc Gov Program Analyst (AGPA)	\$ 14,615							0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	9.0	\$ 131,367
ARMS Research Manager I	\$ 14,615															1.0	\$ 14,615
ARMS Research Analyst II	\$ 14,615															2.0	\$ 29,230
Office Technician - Typing	\$ 14,615															1.0	\$ 14,615
DAI																	
Correctional Lieutenant	\$ 4,572															1.0	\$ 4,572
Research Program Specialist I	\$ 5,951															2.0	\$ 11,902
DAPO																	
ARMS AGPA	\$ 14,615															2.0	\$ 29,230
Parole Agent II	\$ 14,615															1.0	\$ 14,615
Office Of Research																	
Research Program Specialist II (Social Behavioral)	\$ 20,169							0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	1.0	\$ 20,169
EIS																	
Staff Information Systems Analyst (Supports Office of)	\$ 20,917															1.0	\$ 20,917
Systems Software Specialist III (Solution Engineer, Data)	\$ 20,169							0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	2.0	\$ 41,086

Proposed Details - Continuing Costs

Senior Information Systems Analyst (Enhancement Sc	\$ 20,169				0.0 \$ -	0.0 \$ -	0.0 \$ -	0.0 \$ -	1.0 \$ 20,169
Systems Software Specialist I (AISO)	\$ 20,917								1.0 \$ 20,917
TOTAL		\$ -	\$ 3,637	\$ 10,504	\$ 74,813	\$ 109,813	\$ 109,813	\$ 111,454	25.0 \$ 486,746

Proposed Details - Continuing Existing Costs

IT Costs

STAFF		SALARY	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	
			PY Amount								
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
TOTAL		0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -

HARDWARE		UNIT COST	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	
			# Amount	PY Amount	PY Amount	PY Amount					
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -								

SOFTWARE		UNIT COST	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	
			# Amount	PY Amount	PY Amount	PY Amount					
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -								

CONTRACT SERVICES		UNIT COST	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	
			# Amount	PY Amount	PY Amount	PY Amount					
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -								

DATA CENTER SERVICES		UNIT COST	FY 2013-2014	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	
			# Amount	PY Amount	PY Amount	PY Amount					
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -

Proposed Details - Continuing Existing Costs

TOTAL		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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AGENCY FACILITIES	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount	PY	Amount	PY	Amount	PY	Amount								
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

OTHER	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount	PY	Amount	PY	Amount	PY	Amount								
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
TOTAL			\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

Program Costs

STAFF	SALARY	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		PY	Amount														
<i>Current Process</i>																	
Associate Business Govt. Analyst (AC)	\$ 82,633	1.0	\$ 82,633	1.0	\$ 84,286	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Research Analyst II (ARMS)	\$ 86,761	1.0	\$ 86,761	1.0	\$ 88,496	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
Associate Business Govt. Analyst (RH)	\$ 82,633	1.5	\$ 123,950	1.5	\$ 126,428	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
<i>New Process</i>																	
DRP																	
Associate Business Govt. Analyst (AC)	\$ 82,633	0.0	\$ -	0.0	\$ -	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393	1.0	\$ 86,393
Research Analyst II (ARMS)	\$ 86,761	0.0	\$ -	0.0	\$ -	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709	1.0	\$ 90,709
Associate Business Govt. Analyst (RH)	\$ 82,633	0.0	\$ -	0.0	\$ -	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589	1.5	\$ 129,589
	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -	0.0	\$ -
TOTAL		3.5	\$ 293,344	3.5	\$ 299,210	3.5	\$ 306,691										

OTHER	UNIT COST	FY	2013-2014	FY	2014-2015	FY	2015-2016	FY	2016-2017	FY	2017-2018	FY	2018-2019	FY	2019-2020	FY	2020-2021
		#	Amount	PY	Amount	PY	Amount	PY	Amount								
	\$ -		\$ -		\$ -		\$ -		\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
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TOTAL			\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

9 BUSINESS FUNCTIONAL REQUIREMENTS

<i>Rqmt ID</i>	<i>Requirement</i>	<i>Business Problem</i>	<i>Business Objective</i>
CDI – 01a	The system shall be able import data from external sources (e.g., COMPAS, TABE, CSRA, SOMS, ETC.) to ensure online information about Client demographics and assessments.	P-3	O-3
CDI – 01b	Data uploaded from source systems shall be available for online validation correction and export.	P-3	O-3
CDI – 01c	Data uploaded from source systems should be saved after import in temporary tables, until validations are all compliant. Then data can be saved to case management system tables.	P-3	O-3
CDI - 02	The system includes a "Landing Page" for each user that includes system notifications that the system generates for any purpose. This allows the individual quick access to role based records (e.g., Clients, Programs).	P-2	O-2
CDI - 03	The system must allow Supervisors to manage their program staff and Supervisor assignments for Contracted Program Provider (CPPs).	P-1	O-1
CDI - 04	The system must allow Custody Case Management Plans to be defined for Clients. The Custody Case Plan must be initially based on lifecycle Client information (referrals to programs, program participation, program completion) and allow other data items to be identified and tracked by users.	P-1	O-1
CDI - 05	The system must capture objectives related to Custody Case Plans for Clients and progress to objectives as well as when they were achieved.	P-1	O-1
CDI - 06	The system must allow Supervisors to refer individuals to State and non-State funded programs to allow Division of Rehabilitative Programs (DRP) analysts to understand the trends in referrals for program improvement purposes.	P-1	O-1
CDI - 07	The system must allow Supervisors to search for program providers and specific programs by location and type of program to help identify who to talk to when events or conditions occur.	P-3	O-3
CDI - 08	The system must allow Supervisors to print out a periodic referral for an individual for activities (family, employment, etc.) that are not program referrals.	P-2	O-2
CDI - 09	The system must ensure Supervisory Managers can approve referrals prior to their being available for enrollment within a program.	P-4	O-4
CDI - 10	The system must allow Supervisors to retract a referral and notify the program provider that a referral change was made.	P-1	O-1
CDI - 11	The system must indicate to Supervisors the operating hours for program delivery to participants to ensure that referrals can account for availability for time of day and day of week.	P-1	O-1
CDI – 12a	The system must make automatic referrals to programs based on business rules that a Supervisor can override to make final referrals to programs. Data must include a modifiable list of types of referrals.	P-4	O-4
CDI – 12b	The system must flag rules that are violated when referrals are changed from system configurations.	P-4	O-4

Rqmt ID	Requirement	Business Problem	Business Objective
CDI – 12c	The Supervisor must be notified for Client self-referrals when a program attempts to enroll the individual into a State-managed program.	P-4	O-4
CDI - 13	The system shall track when Supervisory staff are located in or visit programs to ensure programs are compliant with contract requirements and other statutory compliance items.	P-3	O-3
CDI - 14	The system shall allow Supervisory staff to create review criteria and to log review results for CPPs.	P-4	O-4
CDI - 15	The system must collect program information at an individual level and make program participation information available to Supervisors within security and privacy constraints. This includes: 1. Custody Case Management Plan for each Client with totals and/or objectives. 2. Program Case Management Plans for each Client with goals and/or objectives 3. Service Delivery Case Management Plans for each Client with goals and/or objectives. 4. Service Delivery schedules for each Client. 5. Case notes for Client participation in case plans and related achievements. 6. Service Delivery notes for Client participation in Service Delivery plans. 7. Related achievement data for assigned Clients in programs including completions. 8. Attendance and reasons for non-attendance when required.	P-1	O-1
CDI - 16	The system shall track when the a Primary or Alternate Supervisor visits assigned program participants at the program location and track progress against plan or conditions of custody as well as maintain case notes for each participant. This includes updates to the custody case plan.	P-2	O-2
CDI - 17	The system shall allow Supervisors to see the CPP assessments for assigned Clients maintained in the system.	P-2	O-2
CDI - 18	The system shall ensure that Supervisors are informed of weekend or overnight passes approved by resident programs. Notifications can be triggered if no approval is required or can be defined by workflow if approvals are required by Supervisors.	P-4	O-4
CDI - 19	The system must collect Supervisor incentives (transportation, meals, gift cards, etc.) provided to individual Clients.	P-1	O-1
CDI - 20	The system shall allow the supervisor of a Supervisor to "cover for" another Supervisor and to take all actions for a Supervisor when they are not available for duty. The "Supervisor of the day" must also be authorized to act on behalf of other Supervisors.	P-4	O-4
CDI - 21	The system shall capture or import information when a Custody violation has occurred and the level of response established for participants so that the information is available for further Custody planning.	P-1	O-1
CDI - 22	The system shall allow Supervisors to track Clients in a category of Custody violator or under reentry court processing.	P-3	O-3
CDI – 42a	The system shall allow capture (through an interface) of In-Prison jobs that each Client held while in prison.	P-1	O-1
CDI – 42b	The system shall allow capture (through an interface) of In-Prison program achievements that each Client achieved while in prison.	P-1	O-1
CDI - 43	The system shall allow the supervisor of a provider program staff, teacher or other performer to "cover for" a performer and to take all actions when not available for duty.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
	This is similar to the Supervisor functionality for a supervisor or duty officer.		
CDI - 44	The system shall allow a CPP to capture information for each individual Client participant referred to enrolled in their program as a part of their Client record and as part of a program record.	P-1	O-1
CDI - 45	The system shall allow CPPs to capture when a referred individual arrives and individual cannot be processed for any reason so the Supervisor can determine whether to make another referral or place the individual on a waiting list. This notification must indicate the likely date of being able to enroll the individual.	P-1	O-1
CDI - 46	The system shall allow CPPs to capture emergency notification contacts for each participant in a program.	P-1	O-1
CDI – 48a	The system shall allow a super user (role) to override criteria for enrolling individuals in programs that have certain levels of exclusionary criteria.	P-4	O-4
CDI – 48b	The system shall provide exclusionary criteria (alert the user) for referrals (e.g., program within a certain distance to a school for Clients that are sex registrants) when individuals are being enrolled into programs.	P-4	O-4
CDI – 48c	The system shall provide exclusionary criteria (alert the user) for referrals based on time remaining in Custody when individuals are being enrolled into programs.	P-4	O-4
CDI – 49a	The system shall prompt CPPs to archive records for Clients following the completion of a term in their program and prompt the user to make records inactive under various conditions (e.g., Custody discharge). Program exits, completions or discharges need to be accompanied with appropriate notifications to prime contract entities, Supervisors or other parties.	P-4	O-4
CDI – 49b	The system shall ensure that only specialized roles can access and modify records that are in the inactive state, but those records can be viewed to assist with continuity of program activity if an individual returns for another term as a Client.	P-4	O-4
CDI - 50	The system shall allow Providers to capture Program-specific follow-up information in the system as appropriate following Client discharge, etc. This must be enabled through a drop-down field.	P-1	O-1
CDI - 51	The system shall allow Supervisory Program Staff to indicate whether approvals for various activities by a CPP for Clients need Supervisor approval or Supervisor and Supervisory Manager or Supervisory Manager in lieu of Supervisor, when the Supervisor is not available.	P-4	O-4
CDI – 52a	The system shall allow a Prime Contractor to capture a Program Case Management Plan (PCMP) for each individual within the system. Greater levels of detail for a PCMP may describe the amount and intensity level of programming or services to be delivered to a participant for each component of the PCMP (e.g., criminal thinking, substance abuse, anger management). Admissions to a program level shall be differentiated from admissions to a Service Delivery level program.	P-1	O-1
CDI – 52b	The Prime Contractor shall view only the Service Delivery Case Management Plans of subcontractors.	P-1	O-1
CDI - 53	The system shall allow a CPP to assign programs based on a recorded Client's need level of intensity.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
CDI - 54	The system shall allow CPPs to identify criteria that enrolling Clients need to meet in order to participate in the program (e.g., location).	P-1	O-1
CDI - 55	The system shall track participation in internship or other similar records of employment (e.g., camp firefighters, the Caltrans program, etc.). This includes events such as community service opportunities.	P-1	O-1
CDI - 56	The system shall allow CPPs to identify mandatory activity sequencing, progression or dependencies defined for program execution.	P-4	O-4
CDI - 57	The system shall allow CPPs to report on participant progress relative to their Program Case Management Plans or Service Delivery Case Management Plans. This includes whether individuals are achieving criteria related to individual objectives.	P-1	O-1
CDI - 58	The system shall allow CPPs to create and manage trust fund information and activities for Clients in certain programs as defined in provider contracts.	P-1	O-1
CDI - 59	The system shall prompt CPPs to capture case information on individuals who have relapses and are sent to Supplemental Programs (e.g., hospital) for a period of time and to suspend Program participation until completion of the Supplemental Program.	P-1	O-1
CDI - 60	The system shall allow CPPs to track when Clients are bonded so that they can become employed.	P-1	O-1
CDI - 61	The system shall allow a program transfer for an individual that, when initiated by another CPP location, would notify the Supervisor and former program case management office and release the enrollment when both parties that the transfer is allowed.	P-1	O-1
CDI - 62	The system shall allow more detailed assessments to be conducted on individuals in programs to improve the data available for effectiveness of programs. If assessments are performed, the information, including assessment type, shall be entered or uploaded and available for review by authorized roles. Identify what result data is available for assessments.	P-1	O-1
CDI - 63	The system shall track any tests administered by CPPs and enter test results into the system. Identify what result data is available for tests.	P-1	O-1
CDI - 64	The system shall allow CPPs to refer to prior assessment and Service Delivery information (imported through an upload function) on individuals referred to and enrolled into their programs and to use the information to build progressively detailed case or Service Delivery plans.	P-1	O-1
CDI - 65	The system shall allow CPPs to customize curricula for programs. These curricula need to have levels of performance or completion criteria and may be part of the greater detail within Program Case Management Plan or Service Delivery Management Plans.	P-1	O-1
CDI – 65b	The system shall allow for referrals to programs to place a temporary “reservation” for a slot in program capacity.	P-1	O-1
CDI – 66a	The system shall allow CPPs to capture participation information such as: enrollment, activity durations and modality, daily attendance, hours of participation, achievements to plan objectives and updates to Case information (case or progress notes) related to participant performance in programs. This includes: 1. Custody Case Management Plan for each Client with goals and/or objectives. 2. Service Delivery Program Plans for each Client with goals and/or objectives.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
	<p>3. Service Delivery schedules for each Client.</p> <p>4. Case notes for Client participation in case plans and related achievement.</p> <p>5. Service Delivery notes for Client participation in Service Delivery plans and related achievement.</p> <p>6. Attendance and reasons for non-attendance.</p>		
CDI – 66b	Security functionality must prevent one provider from seeing data in other providers' programs even for the same individual Client in a same or similar program.	P-4	O-4
CDI - 67	The system shall allow CPPs to capture documents or other attachments related to individuals enrolled in programs. Attachments may need to be made to Client records, program records or teacher (provider) records.	P-1	O-1
CDI - 69	The system shall allow DRP Program Staff to document accountability business rules for CPPs to use while documenting attendance, completion, etc. Consider collecting sign-in sheets for each "event" or class.	P-4	O-4
CDI - 70	The system shall allow CPPs to update individual information related to changes in status (e.g., marital) since being in Custody. These are status changes outside of program accomplishments and are on individual Client records. Status types need to be implemented as a drop-down list.	P-1	O-1
CDI - 72	The system shall allow CPPs to ensure participant progress reports and provider progress reports be available at intervals specified in contracts (e.g., daily, weekly, monthly). The system needs to report data as well as enter textual information on these reports.	P-2	O-2
CDI – 73a	The system shall allow program staff to track employment for Clients enrolled in their program. This includes employment status at enrollment or during the program. Also track full time/part time work and whether living wages are being paid. These are record changes outside of program accomplishments and are on individual Client records.	P-1	O-1
CDI – 73b	Living wages in requirement CDI – 73a can be identified for defined regions (e.g., county or ZIP code).	P-1	O-1
CDI - 74	The system shall allow CPPs and/or the Supervisor to track how Clients have commitments such as child support that need to be dealt with. These are record changes outside of program accomplishments and are on individual Client records.	P-4	O-4
CDI - 75	The system shall allow CPPs to seek approval of visitors for a particular participant by the Supervisor; and to ensure visitor information is recorded for any visitations. This may be implemented by an online approval system to allow Supervisors to approve visitors on each participant's list.	P-1	O-1
CDI - 76	The system shall ensure that CPPs process weekend or overnight passes through the Supervisor prior to approving the passes. These can be triggered by notifications if no approval is required or may be defined by workflow if approvals are required by Supervisors. Electronic signature (Notification response or e-mail acknowledgement) must be tied to the Supervisor who designated approval or Supervisory Manager that approved for the Supervisor.	P-4	O-4
CDI - 77	The system shall allow CPPs to maintain program capacity information so that new referrals can be made. This shall include the distribution of completion percentages for those enrolled to be able to predict when new capacity would be available.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
CDI - 78	The system shall allow CPPs to fill out incident reports, submit them and store them within the system. Incident reports go to the Custody programs and Supervisor as well as to DRP program staff.	P-2	O-2
CDI - 79	The system shall capture information for the program-specific events planned for the future reporting within the system to allow staff to remain oriented with key events so they might participate as appropriate (i.e., graduations, etc.)	P-2	O-2
CDI - 82	The system shall prompt CPPs to capture reason codes for participant absences (e.g., sweeps, job, sickness). Provide reasons codes by group for group situations. Reason codes must be a drop-down field.	P-1	O-1
CDI - 84	The system shall allow CPPs to select from lists of programs and events when assigning individuals (participants, teachers, etc.) for scheduled activity.	P-1	O-1
CDI - 85	The system shall allow discharge plans and summaries to be documented and shall track execution of activity to discharge individuals from programs and capture acknowledgement of receipt by Clients.	P-1	O-1
CDI - 88	The system shall require Contracted CPPs to attach insurance, lease and other related documentation required by contract (Program Records). Allow for periodic update of documentation.	P-1	O-1
CDI - 89	The system shall allow CPPs to track certifications of Clients for employment purposes in applicable programs.	P-1	O-1
PR - 01	The system shall report to State program staff Clients attending multiple programs concurrently of the same type at different locations. Require provider programs to be related to a Master list of evidence-based programs (SAMHSA, for instance).	P-3	O-3
PR - 02	The system shall report the population of Clients (by count and name) in ARMS based on Reentry need categories by Program geographic region (e.g., county and ZIP code).	P-3	O-3
PR - 04	The system shall report a global view of summaries across programs and modalities to compare program progress and effectiveness with others. Provide a modifiable dashboard to compare program providers.	P-3	O-3
PR - 05	The system shall be able to group reports by Client mix, Supervisor, age (other demographics) and date ranges. Define canned reports.	P-3	O-3
PR - 06	The system shall track and report the number of individuals admitted (or enrolled), units of service applied (e.g., sessions, days, hours) at the program and Service Delivery levels.	P-3	O-3
PR - 07	The system shall track and report how many people are being accommodated against the contracted capacity at program and Service Delivery levels.	P-3	O-3
PR - 08	The system will track and report demographics of participants in programs including (e.g., gender, drug of choice, GEDs, employment, certain education levels, children involved). Changes to imported demographic data for Clients shall be separate from updates to data in ARMS. Identify what demographic data is available for individuals in your system and whether any of those fields could be modified to a different name as the program requires and description.	P-3	O-3
PR - 09	The system shall track and report on the referred participants in programs and whether they have the program or Service Delivery case plans within the contract specified time.	P-3	O-3

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Rqmt ID	Requirement	Business Problem	Business Objective
PR - 10	The system shall report the drug of choice when reporting program effectiveness across the State.	P-3	O-3
PR - 11	The system shall track when an individual has a "positive" test result by the Provider to ensure the outcome of the event sends report to the appropriate Supervisors.	P-3	O-3
PR - 12	The system shall report the levels of substances during tests over time to track patterns.	P-3	O-3
PR - 13	The system shall report on daily attendance of Clients in scheduled Service Delivery activity.	P-3	O-3
PR - 14	The system shall report on absenteeism and reasons for absenteeism of Clients in scheduled Service Delivery activity. Reasons must be a drop-down list.	P-3	O-3
PR - 15	The system shall report on passes that were approved by a Client over ranges of time.	P-3	O-3
PR - 16	The system shall generate a report of weekly look-ahead events published for each program location.	P-3	O-3
PR - 17	The system shall allow capture and reporting of weekly counts for activities by Client.	P-3	O-3
PR - 18	The system shall report phase completions for programs by Clients by location.	P-3	O-3
PR - 19	The system shall report statistics for certain Client populations such as: number of days sober, no positive tests and other accruals that demonstrate progress in rehabilitation. Indicate whether data allows for multiple counts of progress in programs (e.g., 20 days sober the first time; 35 days the second time; 96 days the third time).	P-3	O-3
PR - 21	The system shall report the progression individuals make in literacy programs.	P-3	O-3
PR - 22	The system shall report changes in development of the support system for each individual in society (admission to discharge). Indicate whether your system allows for note categories (family, community, substance, financial, etc.) and a positive/negative indicator, date fields and individual entering notes at any or all of the case management levels (custody, program and Service Delivery) when writing notes.	P-3	O-3
PR - 23	The system shall report the progression individuals make in vocational training.	P-3	O-3
PR - 24	The system shall report the changes individuals make in various benefits (e.g., VA, health, SSI).	P-3	O-3
PR - 25	The system shall report on changes in individual levels of educational improvement.	P-3	O-3
PR - 26	The system shall report the types of discharges by program and standardized codes of completion (levels).	P-3	O-3
PR - 27	The system shall report as a crosswalk between ARMS categories and the risk levels and completions.	P-3	O-3
PR - 29	The system shall report which classes or Service Delivery activities tend to retain individuals in the programs. The report would indicate programs in order of highest retention.	P-3	O-3
PR - 30	The system shall report the outcomes from different types of program participants or participants in various categories of risk.	P-3	O-3
PR - 32	The system shall generate any individual report in Excel or to export the report data into	P-3	O-3

Rqmt ID	Requirement	Business Problem	Business Objective
	formatted Excel.		
PR - 33	The system shall generate any individual report in PDF and / or MS Word.	P-3	O-3
PR - 34	The system shall report the list of codes for various fields in the system (e.g., test scores) for any drop-down field.	P-3	O-3
PR - 51	The system shall track and report provider completion rates, attendance rates and other factors that demonstrate the fidelity of the programs.	P-3	O-3
PR - 52	The system shall track the number of individuals served by each Supervisor.	P-1	O-1
PR - 53	The system shall track and report on the needs of each Client and in which programs they are enrolled while addressing the needs and progress within that program.	P-3	O-3
PR - 54	The system shall track and report the number of referrals by program by Supervisor, unit, region and Statewide within a specified time period.	P-3	O-3
PR - 55	The system shall track and report the percentage of caseloads referred to programs. Reports include level of needs for population supervised.	P-3	O-3
PR - 56	The system shall track and report on any individuals who have not yet been referred to a program by defined risk and need levels. The report shall include time the individual has been in Custody. Refer to "Exhibit A-2: Use Cases" for a list of monthly, quarterly and annual reports and target populations.	P-3	O-3
PR - 57	The system shall track and report when a referred Client does not go through intake at the program based on the planned date set by the Supervisor. This may have to be an e-mail notification to the Supervisor based on the date specified for program initiation.	P-3	O-3
PR - 60	The system shall track and report on the capacity utilization for each contracted Rehabilitation Program and the type of contract (e.g., Fee for Service [Per Diem], Reserved Capacity) that the Program is operating under.	P-3	O-3
PR - 61	The system shall present a dashboard of information for Client achievement on Program and Service Delivery Case Management Plans. This is at the individual level and a summary at the Supervisor caseload level.	P-3	O-3
ED - 05	The system shall record and track orientation activity and initial assessment appraisal of participants in educational and other programs.	P-1	O-1
ED - 06	The system shall record and track participant pretest results and scoring for educational and other programs.	P-1	O-1
ED - 07	The system shall allow for upload of data for education components already on record from Strategic Offender Management System (SOMS) for each participant to understand the history of education for continuity purposes. This includes Tests of Adult Basic Education (TABE) results.	P-1	O-1
ED - 08	The system shall record or create Education Lesson Plans and track execution of a planned activity at a summary, module level.	P-1	O-1
ED - 15	The system shall record and track outcome measures defined for educational and other programs.	P-1	O-1
ED - 31	The system shall report on latest and historical educational test scores of Clients.	P-3	O-3

Rqmt ID	Requirement	Business Problem	Business Objective
ED - 32	The system shall report on educational goals or objectives for individuals and evidence of meeting the goals or objectives as defined in progress notes or other documented evidence.	P-3	O-3
ED - 33	The system shall report on any unmet educational objectives or goals for participants based on risk level and need level thresholds.	P-3	O-3
EI - 01	The system shall allow CPPs to track expenses for travel and other incentives provided to Clients enrolled in programs.	P-1	O-1
EI - 02	The system will allow CPPs to track the inventory of available incentives to provide to Clients during program participation.	P-1	O-1
FO - 08	The system shall allow preparation of forms to allow release of data for a requestor.	P-1	O-1
FO - 34	The system shall capture Client assessment information for the Rehabilitation Provider to understand the current state of a Client being released for program participation.	P-1	O-1
MR - 02	The system shall categorize reports used to establish appropriate rules for handling the reports, such as automated generation.	P-3	O-3
MR - 07	The system shall ensure date/time of the reports are known and recorded.	P-3	O-3
MR - 08	The system shall have a reports module for users to gain access to reports for which their role is authorized. The users could search for all reports they are authorized to generate, or to search, filter, or sort reports in categories, by name or other metadata made available in the search results list.	P-3	O-3
MR - 09	The system shall have a template report for each report in the system. The template can be accessed by users that have role authorization. The report has input parameters and the users need to be able to save their version of the template with their selected parameters. Others that can gain access to the reports can see others' saved parameter sets and use them; only authors can modify them. The template can be modified for generating the report by anyone authorized to gain access to it. The template will not save user values after report generation. Indicate whether reuse is available at the individual, provider entity and global application levels.	P-3	O-3
MR - 22	The system shall track and report how many Clients are eligible for programs.	P-3	O-3
MR - 23	The system shall track and report how many eligible Clients are referred for programs.	P-3	O-3
MR - 24	The system shall track and report how many referred Clients are enrolled for programs.	P-3	O-3
MR - 25	The system shall track average daily rates of participation (number of people participating) in programs in comparison with those enrolled and funded capacity (if applicable).	P-1	O-1
MR - 28	The system shall track any lifer Clients that are enrolled in programs and the history of lifer enrollment by program. Track PC290 separately also; alternative custody offenders also tracked separately; CCCMS and EOP also; ADA (visibility, hearing and mobility) also; medical (dialysis, AIDS, etc.) sensitivity; ICE detainees; arsonists also; Gang Affiliations; consider PRCS also.	P-1	O-1
MR - 53	The system shall track and report the total number of hours for an individual participant on a weekly basis from State contracted programs.	P-3	O-3

Rqmt ID	Requirement	Business Problem	Business Objective
MR - 54	The system shall track and report on the referred participants in programs and whether they have the case plans (e.g., program and Service Delivery) within the contract-specified time.	P-3	O-3
MR - 51	The system reports program activity by provider, county and location.	P-3	O-3
MR - 56	The system shall track and report on the counselor participant ratio for programs being offered. The ratio must be compared to the "intensity of need" established at Intake. Indicate what data is available for program and Service Delivery cases for each type of program (e.g., do you record the Case Worker assigned to each case?).	P-3	O-3
MR - 57	The system shall track and report the programs and dosage for each participant in rehabilitation programs.	P-3	O-3
MR - 55	The system shall track and report the total number of hours offered and scheduled to individuals on a weekly basis from State contracted programs.	P-3	O-3
MR - 52	The system shall compute a program scorecard for each location based on criteria established for performance, such as retention rates for participants, satisfaction of individual program plans.	P-3	O-3
MR - 61	The system shall report side-by-side comparisons of program trends for enrollment and participation levels for two consecutive years to establish whether or not trends are changing.	P-3	O-3
DV - 06	The system shall accumulate assessment information when an individual obtains multiple assessments for any reason. ARMS must create new records of assessment so that each assessment is individually available to use as a reference even when source system may retain only the last assessment type. Indicate whether the older versions of assessments (risk or need) are archived.	P-1	O-1
DV - 21	The system shall ensure data type validation at input (e.g., dates, times, numbers in prescribed format) through the user interface.	P-4	O-4
DV - 22	Collected data elements may take the form of free text, numbers, dates, times, or "select one" (from a list) or "choose none or many" (from a list).	P-1	O-1
DV - 23	When the data element is a numeric type, there may be minimum and maximum values that need to be enforced. Examples of this include ages and test scores.	P-1	O-1
DV - 26	The system shall ensure that entered dates and date-related data are consistent. Data entered on any screen shall show on all applicable screens and never require the user to enter the same existing data again.	P-1	O-1
DV - 27	The system shall ensure that attendance hours are bounded by hours offered, which are bounded by the expected maximum hours possible for a given time period.	P-1	O-1
CRM - 1	The system must import current data from external sources for programs (list of programs, contact information, hours of operation and descriptions) that are not state funded so that referrals to these programs can be captured for review by DRP program analysts. There shall be two lists (State Funded programs which always have priority; and non-State funded programs available for reference).	P-1	O-1
CRM - 5	The system shall capture information about the Program location. Program demographics need to include complete address, geographic coordinates, contact information, county and zip code. Identify any other data elements your system includes	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
	related to program demographics.		
CRM - 8	The system shall capture subcontract relationships from a contract provider company to any subcontract companies.	P-1	O-1
CRM - 9	The system shall require a mandatory point of contact for each program at each location.	P-2	O-2
CRM - 12	The system shall allow programs to define their contracted program offering so that these can be referred to online when making referrals. Identify the data elements available in your solution to define program offerings.	P-1	O-1
CRM - 13	The system shall allow program offerings to be defined for gender, children or age groups allowed and other characteristics. Data entry shall be through drop-down fields.	P-1	O-1
CRM - 14	The system shall allow providers to publish their location schedules in an online screen that depicts a weekly or monthly schedule that can be printed.	P-1	O-1
CRM - 15	The system shall allow notifications to be sent to groups (roles within a subcontracted provider, from a prime contract company to their subcontract providers, from the State to prime contract providers and notifications to all users when of a specified type of message that requires broad dissemination) by allowing a message to be typed in by a user and sending the message to the group through an internal delivery system (to a Landing Page), as well as through an interface with the enterprise e-mail system.	P-2	O-2
CRM - 16	The system shall allow DRP to review results of a subcontractor to be viewable to the prime contractor for their subcontracted programs.	P-4	O-4
CRM - 17	The system shall calculate a provider list for organizations that deliver services with the most beneficial outcomes based on criteria established by the State.	P-1	O-1
CRM - 62	The system shall allow a list of child support obligors to be imported that would allow Client demographic records to indicate that they are obligors, where appropriate.	P-1	O-1
CRM - 82	The system shall capture interagency agreements that support Program services (such as Literacy Services within the County provided as part of a Program contracted to a private sector company).	P-1	O-1
CRM - 85	The system will track (allow users to set) the status of contracted provider companies.	P-1	O-1
CRM - 86	The system shall track effective dates for states of the provider and their programs, such as contracted date, program initiation date (planned and actual), program completion date (planned and actual) and other related dates.	P-1	O-1
CRM - 95	The system shall allow Key Personnel from the contract to be maintained so that it is available for reference online.	P-2	O-2
Data – 01	Primary data in ARMS shall focus on the Client individuals that are receiving services at the Service Delivery level.	P-1	O-1
Data – 02	Service Delivery data for programs shall cover education (literacy, adult basic, high school, career technical, other), substance abuse, criminogenics, sex offender management, anger management, domestic violence, cognitive and life skills, parenting and family reintegration, budgeting and money management, job readiness and search, computer literacy and other generic case management tracking at the offender (individual) level.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
Data – 03	ARMS must identify individuals with the same identification number as in SOMS and allow for incorporation of at least three related identification numbers per individual.	P-1	O-1
Data – 04	ARMS must include the date of birth for individuals.	P-1	O-1
Data – 05	Service Delivery programs must include information about the individual dates based on the treatment plan and execution. This includes referral date, planned start and end dates, actual enrollment date, first date of participation, last date of participation, reason for discontinuing the program (dropped, terminated, graduated), graduation or successful completion date, total amount of hours or other units of participation compared to planned amount, length of stay (resident programs), complete record of attendance (schedule and level of participation), assessment results for each assessment (if the program administers an assessment for beginning, end or other timeframe) and program milestones with associated dates and milestone achievement.	P-1	O-1
Data – 06	All dates in ARMS shall use a standard date format (DD/MM/YYYY) and must be validated for correct date format upon entry.	P-1	O-1
Data – 07	Fields in ARMS must use drop-down lists to the maximum extent practicable.	P-1	O-1
Data – 08	Identify how additional data elements can be added to different record types (programs, individual Clients). Identify any limits to additional data fields. Define how new data elements are included in reports.	P-1	O-1
Data – 09	Recording events cannot be dated in the future. Only planned dates can be set to a future date.	P-4	O-4
Data – 10	When one individual is updating the case record of an individual, the system shall ensure that other types of cases or the program records of other providers are not hampered. Explain how conflict resolution is accomplished for records attempted for concurrent update.	P-4	O-4
Data – 11	When there are multiple data entry errors on a screen, all errors will be concurrently reported in one failure to allow users to correct all problems prior to re-submittal.	P-4	O-4
SYS - 02	ARMS shall provide Help content providing the following features: Relevant content displayed at the module, screen and field levels when appropriate. Links to related Help sections when appropriate. Table of Contents. Index. Search for Help topics by keyword. All Help content can be modified by authorized staff as required.	P-1	O-1
SYS - 11	The system shall permit navigation without use of a mouse, using the Tab, arrows keys or keyboard shortcuts to facilitate high-speed keyboard data entry.	P-1	O-1
SYS - 22	The system must allow authorized users to add, modify and delete business rules without the need to modify the system architecture.	P-4	O-4
SYS - 24	The system must allow authorized business staff to modify and enhance the system, such as adding, modifying and removing tables, data fields, screens, forms, reports and menus.	P-4	O-4
SYS - 26	The system must support current standard Web browsers specified by CDCR.	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
SYS - 62	The system must allow only System Administrators to maintain the list of Application Administrators and assign them to one of the organization administrators able to add users for their organization (company and related subcontractors).	P-4	O-4
SYS - 63	The system must allow Application Administrators to grant authorizations to roles within their organization.	P-4	O-4
SYS - 64	The system must provide authorization to certain roles to complete certain functions. Functions include, but are not limited to: - Approvals during workflow within defined organizations - Program Accountability Reviews (PARs) - Third Party Audits	P-4	O-4
SYS - 65	ARMS shall allow an Application Administrator to maintain and update users with defined roles.	P-4	O-4
SYS - 66	ARMS shall allow an Application Administrator to maintain and update the access and authorization assignments for their roles within constraints required for separation of duty or data security defined.	P-1	O-1
SYS - 67	ARMS shall allow an Application Administrator role to create additional roles.	P-1	O-1
SYS - 68	ARMS shall allow only authorized users to make changes to any data in inactive or archived status.	P-1	O-1
SYS - 69	ARMS shall allow users to be members of more than one role.	P-1	O-1
SYS - 71	The system must allow authorized business staff to make system modifications and enhancements to data elements, screen layout, mandatory elements or other modifications that would benefit the defined solution to be in business control for change.	P-4	O-4
SYS - 72	The system must allow authorized business users to test system and application changes defined or configured for the system prior to finalization for operational use.	P-4	O-4
SYS - 74	The system must allow business users to define the rules for incrementing system software versions as needed when changes are made to the system. The active system version will display on every screen of the application.	P-4	O-4
SYS - 75	The system must provide authorized users an automated means to archive (or to make inactive) selected records within ARMS (individual is discharged) that would still be accessible for viewing for when a new, active records set is being managed (participants second time in Custody).	P-1	O-1
SYS - 77	The system will display the name of the user logged into the application.	P-1	O-1
SYS - 81	The system will maintain modifications to formal submission data sets. Reference and validation tables must have an audit trail, recording the date-time stamp, user and data element values before and after a change.	P-1	O-1
SYS - 46	ARMS shall allow users to view the data associated with a specific record for each defined term. (e.g., term of a contract between CDCR and a company; term of a Client from time in Custody to discharge on parole or otherwise out-processed from DRP Programs).	P-1	O-1
SYS - 54	The system must allow each designated Company or Group of Companies in a defined hierarchy to administer user accounts for their respective users as described in this SOW,	P-1	O-1

Rqmt ID	Requirement	Business Problem	Business Objective
	Exhibit A-1.		
SYS - 55	The system must allow authorized users for a Company or Group of Companies in a defined hierarchy to grant administrative permissions to other users within their group.	P-1	O-1
SYS - 59	ARMS shall allow the Application Administrators to create and maintain distribution list(s) used for notifications defined within the system.	P-1	O-1
SYS - 101	The system must include an error messaging architecture that for all system errors: Presents easy to understand, configurable messages for each error (accumulated in a single section of the screen) with recommended solutions when an error occurs. Generates clear and concise error messages with steps for correction (messages must be modifiable by authorized users). Generates an entry to an error log.	P-2	O-2
SYS - 110	ARMS shall notify users about errors before executing the request. (e.g., creating a new record).	P-2	O-2
SYS - 123	The system must implement an accurate, usable and verifiable system with tools for measuring and reporting system performance, including, but not limited to, performance testing prior to and during implementation and periodically after the system is in production.	P-2	O-2
SYS -161	Data repositories containing confidential or sensitive data must reside on a firewalled VLAN separate from the Web & Application tier(s).	P-1	O-1
SYS -162	System authentication devices must take place in a location other than the Web tier (e.g., Domain Controllers).	P-1	O-1
SYS -165	The system design must report data from a data store separate from the live transactional data and which does not interfere with production operations.	P-3	O-3
SYS -166	Security must be implemented with appropriate firewall solutions.	P-4	O-4
SYS -174	System shall allow users to view or create ARMS records or notifications through smart phone or smart pad technology platforms outfitted with authenticated browsers.	P-1	O-1
SYS -175	The system's Help desk must provide a single point of contact ("SPOC") for day-to-day communications between a Subscribing Entity's system users.	P-1	O-1

APPENDIX A – STAGE 1 BUSINESS ANALYSIS

Please see attached SIBA document.



Stage 1 Business Analysis

General Information

Agency or State Entity Name:

Corrections and Rehabilitation, Department of

Organization Code:

5225

Name of Proposal:

Automated Reentry Management System (ARMS)

Proposed Start Date:

May, 2014

Department of Technology Project Number:

5225-157

Submittal Information

Submission Date:

11/7/2014

Contact First Name:

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Business Sponsor and Key Stakeholders

Executive Sponsors

Title	First Name	Last Name	Business Program Area
Director	Brant	Choate	Division of Rehabilitative Programs

Business Owners

Title	First Name	Last Name	Business Program Area
Deputy Director	Cynthia	Florez-DeLyon	Division of Rehabilitative Programs
Deputy Director	Kevin	Hoffman	Division of Rehabilitative Programs
Associate Director	Vacant	Vacant	Office of Program Accountability and Support

Key Stakeholders

Title	First Name	Last Name	Business Program Area/Group	External
Associate Director	Rodney	Gray	CDCR, Division of Adult Parole Operations	<input type="checkbox"/>
Various	Various	Various	Contracted Program Providers	<input checked="" type="checkbox"/>
Director	Brant	Choate	CDCR, DRP, Office of Offender Services, Community and Reentry Services	<input type="checkbox"/>
Deputy Director	Cynthia	Florez-DeLyon		

			CDCR, DRP, Office of Offender Services, Community and Reentry Services	<input type="checkbox"/>
Deputy Director	Kevin	Hoffman	CDCR, DRP, Office of Offender Services, In-Prison Services	<input type="checkbox"/>
SSMII	Tina	Bayles	CDCR, DRP, Office of Program Accountability and Support (OPAS)	<input type="checkbox"/>
Director	Russell	Nichols	CDCR, Enterprise Information Services	<input type="checkbox"/>
Associate Director	Wayne	Babby	CDCR, Office of Research	<input type="checkbox"/>
Three Judge Court	Various	Various	US District Court - Eastern United States; Northern District Court of California	<input checked="" type="checkbox"/>
California State Legislature	Various	Various	State of California	<input checked="" type="checkbox"/>
Department of Justice (DOJ)	Various	Various	State of California	<input checked="" type="checkbox"/>
Employment Development Department (EDD)	Various	Various	State of California	<input checked="" type="checkbox"/>

Business Analysis

1.1 Business Drivers

- Financial Benefit:**
- Increased Revenues
 - Cost Savings
 - Cost Avoidance
- Mandate(s):**
- State
 - Federal
- Improvement:**
- Better services to citizens
 - Efficiencies to program operations
 - Technology refresh

1.2 Statutes or Legislation

- Statutes or Legislation:**
- New statutes or potential legislation Not Applicable
 - Changes to existing legislation

Bill Number: Chapter 15, Statutes of 2011 AB109.

Legal Code: California Penal Code 2053.1, 2053.4 and 2053.5

Additional Information:

Legislation:

- Chapter 603, Statutes of 2005 Senate Bill (SB) 618.
- Chapter 608, Statutes of 2005 Assembly Bill (AB) 478.
- Chapter 706, Statutes of 2007 AB76.
- Chapter 190, Statutes of 2005 AB 900.
- Chapter 15, Statutes of 2011 AB109.
- Chapter 39, Statutes of 2011 AB 117.
- Chapter 789, Statutes of 2013 (AB 1019)
- Chapter 784, Statutes of 2013 (AB 494)
- Chapter 26, Statutes of 2013, (AB 1468), Section 27, Article 2.4, Section 3016

Legislation revises both aforementioned Penal Code Sections to address the California Corrections Blueprint.

This proposal supports the directives from Assembly Bills (AB) 494 and AB 1019.

Judicial:

- Three Judge Panel (3JP) U.S. Court Order.

California Penal Code 2053.1, 2053.4 and 2053.5

AB 494 amended Section 2053.1 to ensure that upon parole inmates are able to achieve specific literacy goals. Penal Code Section 2053.1 (b) states, "In complying with the requirements of this section, the department shall give strong consideration to computer-assisted training and other innovations that have proven to be effective in reducing illiteracy amongst disadvantaged adults".

AB 1019 amended Section 2053.4 of the California Penal Code directing literacy, academic and related programs for offenders to meet specific goals set by the Superintendent of Correctional Education in fields being trained and the availability of employment in those fields.

AB 1019 added Penal Code 2053.5 addresses Career Technical Education (CTE) that requires CTE to align with workforce needs, job market demand, marketable and industry or apprenticeship requirements, including recognized certification, credential, or degree.

1.3 Program Background and Context

- *Provide a succinct description of the business program(s) impacted by the problem/opportunity. The description must include the programs' function, strategic goals, and service objectives.*

Answer:

The California Department of Corrections and Rehabilitation's (CDCR) Division of Rehabilitative Programs (DRP) is responsible for managing contracts that provide rehabilitation program services (in-prison and community-based) to offenders statewide. The Division of Adult Parole Operations (DAPO) also contracts with providers for rehabilitation services for sex offenders and mentally ill offenders. The Division of Adult Institutions (DAI) also contracts with providers for community and out-of-state correctional facilities that also incorporate scope for rehabilitation programs. Currently DRP maintains multiple databases with records on more than 50,000 unique participant provided services in nearly 400 locations for contracts totaling more than \$150 million per year. There is some inconsistency and redundancy in data collected in different programs. Maintenance and support of separate databases for contractors is inefficient. In addition, the role of oversight and accountability of contracted providers is manually intensive and lacks sufficient data to achieve the desired level of program assurance. DAPO has no automated solutions for contract provider use when doing program case management. Activities are manually tracked or in contracted provider systems and aggregation of results is extremely tedious. DAI has no automated solutions for contract provider use when doing rehabilitation program case management. Activities are reported

manually with scarce data and this population is underserved for data to enhance rehabilitation programming. The current state demonstrates that there is no consistent case management system for contracted providers to use when managing offenders under State jurisdiction.

DRP, DAPO, and DAI need to decrease the cost of generating, storing, and using that information, and more importantly, increase the quality, usability, and accessibility to those who need the information for rehabilitation programming of offenders. The current capability for improving program outcomes and delivering the value they provide to the State of California and its citizens through reduced recidivism is impeded by lack of consistent data; and, the lack of time to improve performance due to manual data collection and limited analysis skills and tools. Solution efforts for rehabilitation programs are spearheaded for all three divisions by DRP.

Within the Division of Rehabilitative Programs, there are three performing units:

- Office of Program Accountability and Support
- Office of Offender Services
- Office of Correctional Education

Both the Office of Program Accountability and Support (OPAS) and the Office of Offender Services have primary responsibility for ensuring in-prison and community-based programs meet required levels of performance effectiveness to help improve how offenders improve their ability to effectively integrate into society and to reduce recidivism. OPAS has the responsibility to manage projects for DRP that would help the organizations responsible for rehabilitation change their capability solutions. To this end OPAS has been working with DRP, DAPO, and DAI business organizations that manage or contribute to rehabilitation of offenders or contracted providers who contribute to rehabilitation of offenders to understand and consolidate the business problems and needs.

The Public Safety and Offender Rehabilitation Services Act of 2007, Assembly Bill 900 (AB 900), mandates that the CDCR reform its current practices and shift toward a model of offender rehabilitation to reduce recidivism and enhance public safety. The AB 900 and the Expert Panel Report set forth comprehensive guidelines to enable CDCR to effectively plan, implement, and deliver rehabilitative services to reduce overcrowding and increase rehabilitative programming.

The Expert Panel Report recommended CDCR implement the California Logic Model (CLM) a detailed, sequential and standardized plan for applying evidence-based principles and practices for effective rehabilitative programming in both prison and parole systems. The CLM outlines each step in the rehabilitative process beginning with the selection of an objective risk and needs assessment. Results identify inmates who are moderate to high risk re-offenders and will be used to determine inmates' rehabilitation treatment programming based on their specific criminogenic needs. The next step in this process includes creating a behavior management plan to ensure that moderate to high risk offenders are placed in the right programs in the appropriate sequence and that a continuity of rehabilitative services is provided during incarceration and upon community re-entry. During difficult budget situations in the State, CDCR reduced rehabilitation staffing by over 1000 individuals and progress on rehabilitation was significantly delayed. The eight basic components of the California Logic Model are:

- Assess high risk. Target offenders who pose the highest risk to reoffend.
- Assess needs. Identify offenders' criminogenic needs/dynamic risk factors.
- Develop behavior management plans. Utilize assessment results to develop an individualized case plan.
- Deliver programs. Deliver cognitive behavioral programs offering varying levels of duration and intensity.
- Measure progress. Periodically evaluate progress, update treatment plans, measure treatment gains, and determine appropriateness for program completion.
- Prepare for reentry. Develop a formal reentry plan prior to program completion to ensure a continuum of care.
- Reintegrate. Provide aftercare through collaboration with community providers.
- Follow up. Track offenders and collect outcome data

In 2011, CDCR released a strategy supplement known as the Blueprint that defined how to ensure program accountability through improved management and reporting tools among other goals. Concurrently, realignment legislation (AB 109, etc.), placed a renewed focus on rehabilitation. In a February 10, 2014 ruling, the United States District Court Three-Judge Court in reference to the matters of *Coleman v. Brown* and *Plata v. Brown* (Case numbers

2:90-cv-0520 LKK DAD (PC) and C01-1352 TEH) ordered CDCR immediately implement certain measures, including terms to:

1. "...comply with this order in part through a combination of contracting for additional in-state capacity in county jails, community correctional facilities, and a private prison, and through newly enacted programs including the development of additional measures regarding reforms to state penal and sentencing laws designed to reduce the prison population."
2. "Increase credits prospectively for non-violent second-strike offenders and minimum custody inmates. Non-violent second-strikers will be eligible to earn good time credits at 33.3% and will be eligible to earn milestone credits for completing rehabilitative programs."
3. "Activate new reentry hubs at a total of 13 designated prisons to be operational within one year from the date of this order..."
4. "Pursue expansion of pilot reentry programs with additional counties and local communities..."
5. "Implement an expanded alternative custody program for female inmates."

This Court Order accelerated efforts to close data gaps for program completions by Contracted Providers, complete activation of reentry hubs including technology support systems, and support for alternative custody programs. Additionally, systems are not consistently available for contracted providers that could effectively enable collection of outcome data as required by the California Logic Model.

The lifecycle of capability for Community-Based Programs includes the following:

- Contracting Phase
 - Inmate Risk Assessments and Parole Population are used to define required Programs
 - Contract Providers are solicited and selected to provide program services
- Program Execution Phase
 - Contract terms and conditions are used to manage execution of Programs
 - Programs are managed for potential to produce client behavior changes and improved levels of function
- Program Improvement Phase
 - Program execution results are managed to improve the effectiveness in reducing recidivism
 - Data is used to improve contracting, administration, and program effectiveness
- Program Benefits Phase
 - Budgets and projections demonstrate impact of change over time
 - CDCR maintains public safety and demonstrates significant progress to Rehabilitation model
- *For each internal stakeholder, provide their business description and how they interact with your program.*

Answer:

- CDCR, Division of Adult Parole Operations is a partner organization with DRP. DRP contracts for rehabilitation programs for parolees and DAPO refers individuals to the programs to address their rehabilitation needs.
- CDCR, DRP, Office of Program Accountability and Support (OPAS) is the support organization for DRP programs that helps to build data and reporting capability related to rehabilitation programs to allow for program improvement and mission effectiveness.
- CDCR, DRP, Office of Offender Services is the primary organization responsible for rehabilitation programs that are administered by contracted providers.
- CDCR, Enterprise Information Services is a partner organization to facilitate technology support and capability for DRP. Enterprise Information Services (EIS) is responsible for the development and support of all enterprise-wide information technology solutions.
- CDCR, Office of Research is a partner organization that uses the data in DRP systems for enterprise longitudinal analysis.

- *For each external stakeholder, provide their business description and how they interact with your program.*

Answer:

Contracted Program Providers are business partners that deliver the rehabilitation services to offenders in a prison environment or in the community, Three Judge Court, US District Court-Eastern United States and Northern District Court of California guidance is through federal court mandates, and California State Legislature guidance is through

State legislative mandates. Department of Justice and the Employment Development Department will help determine when recidivism occurs, or positive outcomes such as employment are attained.

1.4 Business Problem or Opportunity Summary

Provide a narrative summary of the problems and/or opportunities by addressing the following:

- *What are the problems and/or opportunities that this proposal will address?*

Answer:

The business problems associated with each division, related to rehabilitation programming, include the following:

DRP:

- There is no consistent data collection system across programs to allow for effective performance evaluation of the overall set of rehabilitation programs. Some data is collected and manually analyzed for program accountability and improvement purposes, but the activities are tedious and time consuming leaving little time for actual program improvement activity. The concurrent opportunity is to collect valuable data for rehabilitation analysis.
- Historical data from offender records is not available in any consistent, secure, and validated way to contracted providers leaving gaps in preparation for continuity of treatment. The opportunity is to concurrently improve continuity of care through sharing data where possible.
- Rehabilitation programs require evidence-based programs using case management practices to ensure fidelity of improvement and data to support analysis. The data is not available in sufficient, consistent volumes for such analysis and there is insufficient capability to conduct analytics on the data that would base improvement decisions on statistically valid cohorts, performance, and outcomes. The opportunity is to concurrently develop the methods and skills required to use the data as the data begins to be captured for program improvement.
- In-prison programs by contracted providers have to use an interim solution for basic data capture that currently lacks the capability for expansion. As new providers are issued contracts, the system cannot accommodate them. Manual records are captured and entered and this is an error-prone process.

DAI:

- DAI contracts for additional beds for offenders that are still in custody (not yet on parole). With new programs mandated for alternative custody in community environments and other types of community correctional facilities, the contracted program providers need to use their internal systems to maintain the custody function and to capture information related to rehabilitation programs. This data for out of state correctional facilities as well as those within the state is not consistent across all providers and is manually coordinated for rehabilitation program progress and completions. Program information is not available at the case management level or to help with program improvement to help build greater effectiveness in applied programs by these providers. Case records specialists currently calculate milestone credit accomplishments and hand enter data to SOMS, as well as data from contracted providers.

DAPO:

- Significant agent time is consumed in finding and referring parolees to rehabilitation programs that are not funded by the State. While priority is given to State-funded rehabilitation programming, there are other needs that require referrals.
- DAPO owns responsibility to manage parolee programs for sex offenders and mentally ill parolees. These programs do not have case management systems and require the division to manually compile data for mandated reporting. Contracted providers use internal systems where available and submit reports that are used for manual compilation.
- Referrals are done manually for parolees to programs and the papers are faxed to program locations without the capability to handle information security for some parolees. There needs to be a way to communicate appropriate information to facilitate appropriate handling by contracted providers.
- Information on parolees is generally collected manually by the parole agent from providers through site visits.

The full scope of performance can't be described effectively in a single visit and online case management would provide for improved depth and breadth of information for a given agent caseload that is currently not available.

The Strategic Offender Management System (SOMS) is being implemented to cover functionality and data required to manage in-prison programs, by CDCR staff, for rehabilitation purposes as identified in the California Logic Model. Contract providers cannot use SOMS, so in-prison and community-based rehabilitation programs managed by contract providers have no common support system other than documents, spreadsheets, and MS Access databases that lack integration and common data elements. Division staff members are doing their best to capture information to perform their mission, but cannot overcome the time required of manual processes to implement the mission completely in a way that could effectively improve program performance to accelerate reduction of recidivism.

The manual nature of the activity to execute community-based programs reduces the volume of data available that could accelerate improved program effectiveness. Program improvement and acceleration of benefits achievement is challenged since the data is not available in the quality, quantity, or consistency required to perform these activities.

The international, national and State of California trend for management of offenders, is to concentrate on rehabilitation to help reduce recidivism. Consensus of industry professionals indicates rehabilitation requires the use of evidence-based practices, case management, outcomes measurement, and use of data using analytics to improve program performance based on outcomes.

The Parole Census Data report by CDCR as of December 31, 2013, reported 47,672 parolees in CDCR jurisdiction. The Weekly Report of Population as of midnight October 15, 2014 indicated 136,125 offenders in custody within California prisons. Programming is targeted for individuals where risk and need intensity indicates a high likelihood of recidivism. Over half of offenders released from prison have historically committed another crime returning them to state prison in the first three years after release. The prison populations had been at nearly 200 percent of capacity when "tough on crime" laws were implemented. The higher levels of incarceration were not proving to deter crime, so the emphasis has turned to rehabilitation. DRP has received funding for rehabilitative programs and has participated in the implementation of the Strategic Offender Management System (SOMS) that will provide the functionality and data for in-prison programs.

There is no current State system available for DRP, DAPO, or DAI to capture data related to contracted provider programs. Today's method of manual data capture allows for program execution, but is insufficient to achieve a desired level of program improvement information. The Automated Reentry Management System (ARMS) will close that gap. Contracted program providers enroll parolees and provide program education or treatment as specified in programs that are tailored to the parolees based on need intensity. Data collected within this new application will be made available to the Office of Research in CDCR who provides assistance with analytics to show how the data demonstrates the effectiveness of programs to achieve desired outcomes as well as the impacts on reducing recidivism. It is important to make the earliest possible progress in rehabilitative program improvement to help improve public safety and reduce recidivism.

- *How were the problems and/or opportunities identified (e.g. logs/reports, deficiencies, backorders, assessment of penalties, excessive overtime costs, statutes or legislation, etc...)?*

Answer:

Years of experience with contracted providers for rehabilitation services have proven the difficulty of gathering data necessary for accurate reporting and program improvement. Program Accountability Reviews also indicate the level of compliance, but require significant time to complete administrative tasks leaving little time for analysis. Statutes continually require increased service levels and program effectiveness that require data standardization and analysis that is not possible in the current situation.

- *What created the problems and/or opportunities?*

Answer:

Corrections, as an industry, has significant investment in case management systems that support the incarceration mission. Modern systems like the Strategic Offender Management System (SOMS) implemented by CDCR also have

begun to incorporate more tracking for rehabilitative programming. SOMS is not usable for contracted providers. A system is required to support this mission segment performed by contracted providers. SOMS has proven the value of Case Management and a similar model needs to be implemented for contracted providers.

- *What is the magnitude of the problems and/or opportunities?*

Answer:

The value of contracted services for offender rehabilitation programs exceeds \$150 million annually. When this volume of service does not allow for accumulation of strong case management records, there is a huge loss in the ability to improve the practices to help reduce recidivism without this data.

- *How do each of the business drivers selected in Section 1.1 relate to the problems and/or opportunities?*

Answer:

A federal district court has issued a court order to reduce prison population. This project was accelerated with the court order as the initial basis for providing case management by contract providers in a prison environment so that program completions could be documented sufficiently to allow for award of milestone credits.

State statutes continue to place more emphasis on rehabilitation and outcome achievement. Case management is a key component of consistency and use of evidence-based practices in programs in a way that can be managed through the case management system will facilitate determination of program fidelity.

Cost Avoidance and Operational Efficiency are both significant because program improvements are necessary. These improvements can only partially take place at the current level of effort of data gathering and reconciliation. Improvements will provide sufficient and consistent data for program effectiveness increases. By having consistent data, the manual cost of the job can be avoided. This will increase the more valuable analysis and program improvement activity.

The rehabilitation mission contributes to public safety based on the reductions in crime. Concurrently, the lives of offenders are changed so that they contribute more to an effective society. By allowing offenders to use systems that help them take control of their own rehabilitation, the effectiveness of programs can be accelerated.

- *Why is this proposal important to consider at this time?*

Answer:

There are approximately 135,000 offenders in State of California prisons, almost 10,000 in contract beds, and 44,000 parolees that could benefit from rehabilitation services. Without a system to help track the efforts of contracted provider services, the effectiveness of services can only be managed manually. Improvement is also extremely difficult to conduct without appropriate and consistent data. Since the lifecycle of implementing programs and improving them for effectiveness can take several years, the benefit is already delayed by several years and waiting just makes the natural lifecycle of program improvement difficult to accept.

- *How do the statutes or mandates identified in Section 1.2 impact your program?*

Answer:

In the aggregate, the statutes require more services that are effective at achieving required outcomes. Many services also are directed to improve collaboration with the counties and other service providers for reentry programming. The volume of services as well as the expected results of providing the services continue to increase requiring a higher volume and quality of services concurrently which requires automated systems to keep pace with demand.

- *Describe the impact of not executing this proposal for each of the impacted business areas. Include any potential financial penalties.*

Answer:

Without this initiative the effectiveness of over \$150 million on contracted services are relegated to manual analysis of disparate data for improvement. Under this mode of operations the California recidivism rate has remained the highest in the nation for states. There is an opportunity now to establish data consistency and availability to enhance the level of analysis and to increase the capability of CDCR to improve rehabilitative programming results that directly impact public safety.

As a part of Enterprise Information Services (EIS), the Information Security Office is responsible for protecting the California Department of Corrections Rehabilitation's information technology assets and data from unauthorized access, modification, destruction, or disclosure, and ensuring the physical security of these resources. The ISO ensures the Agency's compliance with information security policies and procedures for maintaining confidentiality, availability, and integrity (Info Sec CIA Triad) of all CDCR information assets, including this proposal.

1.5 Business Problems or Opportunities and Objectives Table

ID Problems and Opportunities

1.0 *For each problem identified in section 1.4, individually list the business drivers identified in Section 1.1 followed by the problem or opportunity that aligns to this driver and describe how the problem/opportunity impacts the business program(s).*

Answer:

Cost Avoidance: There is no consistent data collection system across DRP programs to allow for effective performance evaluation of the overall set of rehabilitation programs. Some data is collected and manually analyzed for program accountability and improvement purposes, but the activities are tedious and time consuming, leaving little time for actual program improvement activity. Performance data requirements, when available, will be used to define new duty statements and skill requirements for job performance. The opportunity provided by this initiative is to automatically collect valuable data for rehabilitation analysis, thus avoiding future manual collection and analysis.

ID Objective

1.1 *Description the specific result the program aims to achieve which can correct or address the defined business problem. Ensure the description is: Specific, Measurable, Achievable, Realistic and Time Bound (SMART).*

Answer:

Implement a case management system for use by contracted programming providers by May of 2015.

Metric	Baseline	Target	Measurement Method
Case Management system is implemented and in use	No automated case management system	Operational Case Management system	CDCR User Acceptance Test completion

ID Objective

1.2 Define program performance data analysis requirements for DRP program improvement purposes by May of 2015.

Metric	Baseline	Target	Measurement Method
Performance data analysis requirements for contracted rehabilitation program improvement are approved and published by May of 2015	No Requirements	Approved and Published performance data analysis requirements	Performance data analysis requirements are published in a CDCR report showing the coverage of contracted provider programs, and the means to identify improvement needs and act on them

ID Objective

1.3 Identify and establish the means to automatically send milestone credit data to SOMS that supports the information needed to grant milestone credits. Do this manually with case management data by November of 2015.

Measurement

Metric	Baseline	Target	Method
Demonstrate data availability to support milestone credits and automated interface for SOMS consumption	Manual means of entering Program Milestone Data for Programs into SOMS	Complete Automated means to send Program Milestone Credits Data to SOMS	SOMS satisfaction with data available for awarding milestone credits

ID Objective

1.4 Standardize initial data collection and reporting using the above implemented case management system for offenders by November of 2015.

Metric	Baseline	Target	Measurement Method
Standardized data collection and reporting using the ARMS case management system	Inconsistent manual data collection and reporting	Standardized data collection and reports	Visual comparison of current manual vs implemented case management system reports

ID Objective

1.5 By November of 2015, at least 25% of in-prison, contracted rehabilitation programs are using the above case management system.

Metric	Baseline	Target	Measurement Method
Percentage of contracted programs operating on a case management system in the ARMS solution.	0% programs	25% of contracted programs from providers using case management system	Count of in-prison Office of Offender Services (OS) contracted programs using the new case management solution divided by the total count of OS contracted in-prison programs. ARMS will have sites for each contract and programs operating within Sites to count specific instances enabled.

ID Problems and Opportunities

2.0 Better services to citizens (offenders): Historical data from offender records is not available in any consistent, secure, and validated way to CDCR contracted providers, leaving gaps in preparation for continuity of offender treatment. The opportunity is to concurrently improve continuity of care for offenders through data sharing, where possible.

ID Objective

2.1 Identify, document, and gain Data Sharing Agreements for security-compliant sharing of historical documentation with rehabilitation providers, within a security-controlled case management system by November of 2015.

Metric	Baseline	Target	Measurement Method
Document data to be shared and legal agreement (and conditions) to share the data, demonstrating the conditions of sharing completed prior to sharing the data; physical documents will be signed as part of a contract amendment with service providers.	No Data Sharing Agreements	Documented Data Sharing Agreements and Conditions of Sharing Implemented	Demonstrate data sharing agreement and conditions. Prove conditions of sharing are tested and implemented in the solution; any provider with access needs to have an agreement on contract.

ID Problems and Opportunities

4.0 Efficiencies to program operations: The CDCR's Rehabilitation programs require evidence-based services using case management practices to ensure fidelity of improvement and data to support analysis. The data is currently not available in sufficient, consistent volumes for such analysis. In addition, there is also insufficient capability to conduct data analytics to provide a statistically valid basis for improvement decisions on cohorts, performance, and outcomes.

The opportunity is to concurrently develop the methods and skills required for program improvement by using the data as it begins to be captured.

ID Objective

4.1 Establish statistical methods and additional data for DRP analytics by May 2015, to improve performance outcomes of applied rehabilitation programs for offenders.

Metric	Baseline	Target	Measurement Method
Rehabilitation Program Statistical methods are documented and validated; Methods will need to be defined as candidate procedures in CDCR.	No Statistical Methods Available for Rehabilitation Program Effectiveness	Methods defined and validated	Demonstrate that methods are documented and validated as candidate procedures for when data is available.

ID Objective

4.2 Within one year of establishment of analytical positions, establish sufficient capability to conduct data analytics to provide a statistically valid basis for improvement decisions on cohorts, performance, and outcomes.

Metric	Baseline	Target	Measurement Method
Verification of data analytical capability; analytical capability can be validated through creation of analysis reports with statistical analysis implemented	Data Analytic Capability is not present	Data Analytic Capability is present	Generation of statistically valid program performance reports implemented in the ARMS solution.

ID Problems and Opportunities

5.0 Cost Avoidance and Efficiencies to Program Operations: In-prison CDCR programs by contracted providers have to use an interim solution for basic data capture that currently lacks the capability for expansion. As new providers are issued contracts, the system cannot accommodate them. Manual records are captured and entered and this is an error-prone process.

ID Objective

5.1 By November of 2015, replace simplified data capture used by in-prison DRP contract providers, to avoid losing data on rehabilitation program enrollment, completion, and participation, usable for milestone credits.

Metric	Baseline	Target	Measurement Method
Have a system available for capturing basic data for operating rehabilitative programs	A failing data capture system is available	A new functional data entry system, with basic data capture, is available	The solution is available and working to capture basic data from in-prison rehabilitative programs by contracted providers

ID Objective

5.2 Establish a method by May of 2016 to avoid duplicate data entry between this solution and CDCR master

systems.

Metric	Baseline	Target	Measurement Method
Data is available to enable avoidance of duplicate data entry	Data is entered in two or more systems	Data is entered in only one system	Count number of systems for data entry

ID Problems and Opportunities

6.0 State and Federal Mandates, and efficiencies to program operations: DAI contracts for additional beds for offenders that are still in custody (not yet on parole). With new programs mandated for alternative custody in community environments and other types of community correctional facilities, the contracted service providers need to use their internal systems to maintain the custody function and to capture information related to CDCR rehabilitation programs. This data for out of state correctional facilities as well as those within the state is not consistent across all providers and is manually coordinated for rehabilitation program progress and completions. Program information is not available at the case management level or to help with program improvement to help build greater effectiveness in applied programs by these providers. Case records specialists currently calculate milestone credit accomplishments and hand enter data to SOMS for completions by contracted providers.

ID Objective

6.1 Define and build a case management system usable by DAI Contract providers of custody contract beds and offer use of that system to providers by November of 2015.

Metric	Baseline	Target	Measurement Method
DAI selected programs by contracted providers are operating on a case management system; DAI programs include COCF, MCCF, and FOPS	No Contracted Providers have a State provided case management system	Selected providers have a State provided case management system. DAI must indicate where ARMS can be implemented based on contracts.	The ARMS case management solution has passed User Acceptance Test and is operational for DAI clients.

ID Objective

6.2 Enable full case management system data to be available from custody-contracted beds by November of 2015, to ensure data is available for milestone credit and sentence calculation.

Metric	Baseline	Target	Measurement Method
Data is available from contracted bed services' case management system for CDCR Master Systems	Data is only available, inconsistently, from manual reports	Consistent data is available	User acceptance test completed successfully for data made available from the ARMS case management system

ID Problems and Opportunities

7.0 Better services to citizens and efficiencies to program operations: Significant DAPO agent time is consumed in finding and referring parolees to rehabilitation programs that are not funded by the State. While priority is given to State-funded rehabilitation programming, there are other needs of offenders that require referrals. The lack of self-service systems for parolees in the community or in-prison while preparing for parole inhibits their capability to take responsibility for their rehabilitation needs

ID Objective

7.1 Define and build a system not later than November of 2015, usable by offenders in 25% of Reentry Hubs, that allows access to information to help them prepare for their eventual transition into society

Metric	Baseline	Target	Measurement Method
Percentage of Solutions Available in Reentry Hubs	No solution is available for offenders in reentry hubs	Solutions available for offenders in 25% of reentry hubs	Count number of reentry hubs with a physical kiosk solution implemented divided by the total number of reentry hubs

ID Objective

7.2 Enhanced offender access, including self-service, to rehabilitation services by July 2017.

Metric	Baseline	Target	Measurement Method
Number of services that offenders access, including self-service	0 services accessible	At least one accessible service for each defined need	ARMS system log will provide services accessed by offenders and will be compared to their needs to address the comparison measure.

ID Problems and Opportunities

8.0 Efficiencies to program operations: DAPO has responsibility to manage parolee programs for sex offenders and mentally ill parolees. These programs do not have case management systems and require the division to manually compile data for mandated reporting. Contracted providers use internal systems where available and submit reports that are used for manual compilation. This opportunity is to provide a case management system that reduces this manual compilation for reporting.

ID Objective

8.1 Define and build a case management system usable by DAPO Contract providers and offer use of that system to 10% of providers by February 2016. Ensure data captured is consistent with required mandates for sex offender management.

Metric	Baseline	Target	Measurement Method
Percentage of DAPO selected programs within a case management system by contracted providers	0% Contracted Providers have a State provided case management system	10% contracted providers offered a State provided case management system	Number of contracted providers using the ARMS case management solution divided by the total number of contracted providers selected by DAPO for rehabilitation programs. Programs include ISMIP (mental health), SOMP (sex offenders), and TCMP (transition from institutions to parole).

ID Problems and Opportunities

9.0 Efficiencies to program operations: DAPO referrals to support services have been done manually for parolees, and the papers are faxed or e-mailed to service locations without the capability to handle information security for some parolees. There needs to be a way for DAPO to securely communicate appropriate parolee information to facilitate appropriate handling by contracted service providers.

ID Objective

9.1 Define and implement a method, not later than November 2016, to make program referrals to contracted providers, in a secure manner, to transmit key information required for continuity of treatment and preparation for individual needs and other conditions.

Metric	Baseline	Target	Measurement Method
Method is defined and built	No method	Defined and implemented method	Securely transmit key information required for continuity of treatment and preparation for individual needs; the ARMS solution is being modified for referrals and allowing access based on security terms. This capability will be demonstrated.

ID Problems and Opportunities

10.0 Efficiencies to program operations: Information on parolees is generally collected manually by the DAPO parole agent through site visits to parolee service providers . The full scope of performance can't be described effectively in a single visit. An online case management, currently not available for the parole agents, would provide improved depth and breadth of information for their caseloads.

ID Objective

10.1 Define and build a case management system usable by contract providers for all parolees and offer use of that system to providers by November 2017. Ensure data captured and reporting supports the DAPO supervisory role for their caseloads.

Metric	Baseline	Target	Measurement Method
DAPO defined caseloads for contracted providers allow visibility within a case management system	No current caseload functionality for contracted programs	Caseload functionality available to view individual performance within a case management system	Demonstrate to Parole Agents that they can obtain visibility of offender caseload in ARMS using the case management system portal.

ID Objective

10.2 Enable full case management system data to be available from parole contract providers by February 2016, to ensure data is available for updating CDCR Master Systems.

Metric	Baseline	Target	Measurement Method
Enable full case management system data to be available from parole contract providers, to ensure data is available for CDCR Master System updates	Data is only available, inconsistently, from manual reports	Consistent data is available	User acceptance test completed successfully for data made available from case management system

1.6 Strategic Business Alignment

Strategic Business Goals	Alignment
Identify the business goals from the Agency/Department Strategic Plan and/or Blueprint	Describe how this proposal helps to achieve each goal. Answer:

associated with this proposal.

Answer:

CDCR Strategic Plan Goal 1 Protect our communities,

Objective 2 States "...90 percent of eligible offenders upon release will have a reentry case plan based on their assessed risk and need.

Objective 3 states "...70 percent of parolees identified with moderate to high risks and needs will participate in appropriate and effective community programming to meet their criminogenic needs.

As part of CDCR's efforts to reduce recidivism, the Department will provide adequate and appropriate community resources to address the criminogenic needs of moderate- to high-risk parolees."

CDCR Strategic Plan Goal 1 Protect our communities,

Objective 4 states "... 80 percent of all interested counties will have a community reentry plan and formalized partnership with CDCR.

In an effort to better transition adult and juvenile offenders back to their communities, CDCR will develop a community reentry plan and formalized partnership with stakeholders in each interested county. Increasing coordination and consistency with our partners will reduce gaps in services and enhance local relationships."

CDCR Strategic Plan Goal 3 Employ best practices in correctional custody, care, and rehabilitation,

Objective 2 states "...CDCR will increase by 50 percent the number of eligible offenders who receive, prior to release, evidence-based rehabilitative programming consistent with their risks and needs.

CDCR Strategic Plan Goal 4 Achieve excellence in infrastructure and administration, Objective 2

states "... CDCR will improve internal and external communications by 30 percent as measured by the communication index.

Due to the abundance of high-profile issues and the numerous sources of information, it is a difficult challenge to effectively communicate both internally and externally. To address this issue, CDCR will strengthen its communication strategy to proactively inform and educate staff, local law enforcement agencies, community stakeholders and providers, victim advocates, legislators, the media, and the public on critical issues and advances in correctional administration and rehabilitation."

The Future of California Corrections blueprint includes the following information related to this acquisition: "The Five Year Roadmap embraces

The effectiveness of the in-prison and community programming will be enhanced through the ability to manage program performance based on the data collected within ARMS. Continuity of care can be enhanced with Case Planning capability in the ARMS solution and with incremental increases in data sharing as the solution matures.

The effectiveness of reentry planning will be improved with improved outcomes as a result of managing programs through use of data collected within ARMS.

This system is designed to implement evidence-based program practices in a way that would be verifiable for integrity of program execution.

ARMS will provide the data to have more effective communication with the community of rehabilitation providers.

This system is designed to be the case management system for community-based rehabilitation.

emerging correctional practices shown to facilitate long-term behavioral changes in parolees and reduce recidivism. These practices include the use of a case management system that seamlessly follows offenders from prison to parole. The system is dynamic, assessment-driven, and tailored to individual risk and needs. As the department reduces parole agent caseloads, staff will be better equipped to use the case management system to assist parolees with stable housing, employment, and access to rehabilitative programs and community resources. These changes, developed in conjunction with researchers from the Center for Effective Public Policy, are part of a new outcome-driven parole model being implemented statewide.”



Gate 1 Business Analysis Criteria Scorecard

ITPOC Administrative Evaluation

Submittal Completeness

- | | |
|---|--|
| <input checked="" type="checkbox"/> General Information | <input checked="" type="checkbox"/> 1.3 Program Background and Context |
| <input checked="" type="checkbox"/> Business Sponsor and Key Stakeholders | <input checked="" type="checkbox"/> 1.4 Business Problem or Opportunity Summary |
| <input checked="" type="checkbox"/> 1.1 Business Drivers | <input checked="" type="checkbox"/> 1.5 Business Problem or Opportunity and Objectives Table |
| <input checked="" type="checkbox"/> 1.2 Statutes or Legislation | <input checked="" type="checkbox"/> 1.6 Strategic Business Alignment |

Comments

ITPOC Content Evaluation

1.3 Program Background & Context

Assessment

Have all business programs impacted by this proposal been identified?

- Meets Requirements
 Deficiencies

Has an overview of each impacted business program area been provided?

- Meets Requirements
 Deficiencies

1.4 Business Problem or Opportunity Summary

Assessment

How well has the business need, issue or problem that this proposal will address been

- Meets Requirements

defined? Meets Requirements Deficiencies

How well has the importance of this project been described, including why the proposal is being considered at this time? Meets Requirements Deficiencies

Have the effects and/or impact of the statutes or mandates been identified? (if applicable) Meets Requirements Deficiencies

Has the business impact of not executing the proposal been described? Meets Requirements Deficiencies

Have information security and/or privacy considerations been described, such as confidentiality, integrity and availability? Meets Requirements Deficiencies

1.5 Business Problem or Opportunity and Objectives Table

Assessment

Have the individual problems and opportunities that are expected to be met by this proposal been identified? Meets Requirements Deficiencies

Have expected short-term and long-term objectives been identified? Is there one objective for each business problem or opportunity? Are they specific, measurable and realistic? Meets Requirements Deficiencies

Have measurements for each objective been identified? Will the measurements adequately provide the data necessary to determine if the objectives have been met? Meets Requirements Deficiencies

1.6 Strategic Business Alignment

Assessment

Has an adequate description of how the proposal will help to achieve the strategic goals been provided? Meets Requirements Deficiencies

Critical Partner Evaluation

Enterprise Architecture

Yes

Can the Business Problem or Opportunity and Objectives be validated against the Business Strategy for alignment?

Is the proposal in accordance with the organization's target (future state) enterprise architecture and enterprise roadmap (if these artifacts are available)?

Are there any reference architectures, reusable assets, and/or shared business services in existing state-wide standards and guidance that can be included in Stage 2 Alternatives Analysis?

IT Project Oversight and Consulting Division

Yes

Does the organization have capacity to take on more projects during the proposed time period of project initiation?

Does the organization and project management infrastructure have (or appear to have) experience with similar projects and a demonstrated capability of delivering the project successfully?

Does the proposal provide any opportunity for leveraging other existing initiatives or services in state?

What, if any, issues and/or risks do you see that would affect the Stage 2 Alternative Analysis?

Consider providing computer-assisted training to the providers to learn how to use the case management solution.

Identify which of the following goals of the California IT Strategic Plan align with this proposal. Select all that apply:

- Accessible and Mobile Government
- Information is an Asset
- Leadership and Collaboration Yield Results
- Capable Information Technology Workforce
- Efficient, Consolidated, and Reliable Infrastructure and Services

California Information Security Office

Yes

Are there any privacy or confidentiality laws or regulations which will require a Privacy Impact Assessment?

Have any information security and or privacy program requirements (SAM Section 5100, and SAM Chapter 5300) not been addressed, or require significant program remediation?

Customer Delivery Division

Yes

Is there any opportunity to leverage Data Center Services?

General Comment on Objectives:

Section 1.5 Measurements provide the most useful basis for decision making. All the objectives lists the baseline as 0% with a target of 25% -

Is there any existing supporting metrics that can be used from the following data:

- The value of contracted services for offender rehabilitation programs exceeds \$150 million annually
- There are approximately 135,000 offenders in State of California prisons and 44,000 parolees that could benefit from rehabilitation services

A baseline measurement is needed to document change. If the baseline is unknown or will be measured as a first activity step, that should be indicated in the objective as “baseline to be determined using X data or x database.

Cost Avoidance – In section 1.4 there’s a statement “Without this initiative the effectiveness of over \$150 million on contracted services are relegated to manual analysis of disparate data for improvement.

Comment - Can this number be used to establish a baseline for this new system?

Agency Response

1. The amount of money spent on rehabilitative programs has no value as a metric until there is data to show the effectiveness of the programs being delivered. For instance:
 - a. Programs are funded to ensure there are enough programs for offenders that are nearing parole or paroled. The programs delivered to those inmates are now directed by contract to be delivered according to evidence-based practices as defined in strategic plan documentation for CDCR. At this point, there is so much material in paper and so little in data that it is not possible to effectively use staff to determine if the programs are delivered according to standard. ARMS will have the data elements to do the analysis of fidelity to evidence-based models.
 - b. Compliance with evidence-based models for treatment should provide improved outcomes; however, without measuring outcomes, there is no way to tell if the provider compliance with evidence-based models actually result in the desired outcomes. Many other factors play into the achievement of successful outcomes. The data in ARMS will allow analysis to be conducted on those factors for the first time since, today, the volume and quality of data received is insufficient to determine outcomes.
 - c. The ultimate outcomes for rehabilitative programs will include: 1) the improvement of offender lives and their ability to cope in society and to provide positive contributions to society; and, 2) the reduction in recidivism. Recidivism used to be measured by those individuals returning to State prison. Since AB 109 most parolees with new crimes do not return to State prison. A new source of data is necessary to use as a basis for measuring recidivism. These interfaces are not in the current contract and are in the planned future phases for ARMS. The project must first be successful at capturing CDCR data for program delivery activity, then to bring in other data that can support greater value determinations in metrics.
2. CDCR has a plan for incremental improvements in metrics by phase for an overall roadmap to meet court mandates, statute, regulation, then policy and strategic plan targets for improved rehabilitation. The on-again, off-again nature of funding for rehabilitation has been detrimental to program progress. Now the emphasis is to build solutions to close gaps in data that will allow the delivery of services to be analyzed for compliance. Next the analysis will focused on effectiveness of program activity. Finally, analytics would be possible when data is available in the appropriate volumes and the staff resources are provided with the right skills to predict whether individuals with certain criminogenic needs can likely be more successful in reintegrating with society. Once the effectiveness is determined, then improved, it is likely that there would be fewer offenders to rehabilitate in the future to hopefully reduce cost or volume, yet we have no data yet to start the journey to make these predictions that would be 7-8 years or more in the future.
3. We can make the following changes:
 - a. Indicate that the data in ARMS will be used to measure fidelity of programs (percent compliant with evidence-based practice) to the degree staff are made available to support this measurement and analysis capability. Achievements are likely in the 2-3 year future.

- b. Indicate that the ARMS solution is planned for integration with sources like the Department of Justice and the Employment Development Department to help determine when recidivism occurs, or positive outcomes such as employment are attained. This can only be measured by having the appropriate data or not having the data based on negotiations with these departments or agencies. Achievements are likely in the 3-4 year future.
- c. Indicate that the data in ARMS will be aggregated from contracted provider activities for offenders to provide a statistical basis for determining effectiveness of programs for outcome measures. These measures, initially, will include factual items like program completions, but eventually will be able to support indicators of reduced recidivism. Current levels of recidivism are not relevant to future levels since the implementation of AB 109 has changed the landscape of the definition for recidivism and new data will have to be accumulated to establish a baseline and to demonstrate change. This measurement is likely in the 4-6 year horizon.

1. As stated above, the cost is currently a necessary investment in rehabilitative programs for the volume of offenders in California. The cost reductions will not be possible to predict until outside of a 6-year horizon since the data, effectiveness improvement, and results data need to have time to take effect so that the number of offenders is reduced. We could find during this time that more effective programs could cost more in the short run that would eventually lead to the cost savings. Initial cost savings are from the required staff necessary to collect and analyze data to achieve the same benefits. It would take ten to twenty times the planned staff to conduct this mission without ARMS and the results would still have no stable basis of data. To avoid this cost and to still perform the required mission with improved fidelity of analysis ARMS is essential.
2. Any number can be used as a baseline for something if the changes in the number can be related to the initiative it supports. Reconstructed contracts for DAI (program portions of contract beds), DAPO (sex offender and mental health programs), and DRP (other rehabilitative programs) in the last year are currently having an impact on the number for no reason that is related to ARMS. Therefore, this number would be a bad choice for measuring ARMS at this point.

Office of Geospatial Information Systems

Yes

Is there any opportunity to leverage Geospatial Information Systems?

Is there an opportunity to leverage existing GIS infrastructure and services?

Gate 1 Exit Criteria

Criteria

Comment

Enterprise Architecture has reviewed

IT Project Oversight and Consulting Division has reviewed and approved

California Information Security Office has reviewed

Customer Delivery Division has reviewed	<input checked="" type="checkbox"/>	
Office of Geospatial Information Systems has reviewed	<input checked="" type="checkbox"/>	
Business Analysis deliverable is acceptable	<input checked="" type="checkbox"/>	
Approval of the proposal(based on what is known at this stage) is highly probable	<input checked="" type="checkbox"/>	3/19/15. Presented to Branch Chief, Deputy Director, and Director. CDCR initiated this project without CalTech approval in 2014 based on the 3 Judge Panel court order 3:01-cv-01351-TEH that exempts CDCR from state statutory provisions for projects related to implementing measures mandated in that court order, until CDCR's compliance with the 137.5% design bed capacity benchmark is durable.

California Department of Technology Decision

Assessment

- Approved
 Not Approved
 Approved with conditions
 Withdrawn

Explanation

Thank you for submitting the S1BA Automated Reentry Management System (ARMS) - Project 5225-157. We are returning this S1BA without CalTech approval as we understand that this project was initiated in 2014 under the waiver from the Three Judge Court Order (Case 3:01-cv-01351-TEH) and this project is already in the execution phase. We will incorporate this project into the Statewide IT Portfolio for monitoring.

Please submit the Feasibility Study Report as CDCR has identified this project as reportable.

APPENDIX B – ROLES AND RESPONSIBILITIES

Please see attached Roles and Responsibilities document.

Appendix B - Roles and Responsibilities

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
Executive Steering Committee Members	<p>Key business decision-maker of the project.</p> <p>Approves the final scope of the project.</p> <p>Resolves project scope issues.</p> <p>Serves as a final decision maker regarding escalated issue resolution and risk mitigation strategies.</p> <p>Provides additional resources (funding, staffing) when justified.</p> <p>Ensures project priority is remains static.</p> <p>Directs the project managers.</p>	Redirection	One-time	1% CEA B							
ARMS Business Program Sponsor	<p>Negotiates for resources with the various DRP resource managers.</p> <p>Coordinates project work efforts with CDCR business and technical staff.</p> <p>Provides schedule leadership</p> <p>Contributes to executive/managerial project reporting.</p> <p>Briefs the project sponsors on the status of the Project.</p> <p>Participates in change management process.</p> <p>Participates in risk and issue management process.</p> <p>Reviews and evaluates all vendor deliverables.</p> <p>Coordinates customers to participate in</p>	Redirection	One-time	70% Staff Services Manager II (Managerial)							

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>User Acceptance Testing activities.</p> <p>Coordinates Training activities.</p> <p>Oversees program and system development, procurement and quality</p> <p>Oversees change management process.</p> <p>Ensures new business workflow, policies and procedures are defined and documented to support the inmate network.</p>										
ARMS Technical Project Manager	<p>Communicates project status to internal and external stakeholders.</p> <p>Prepares and updates the Project Management Plan</p> <p>Tracks project schedule, scope, and budget.</p> <p>Prepares initial Statements of Work (SOW) for consulting services related to the ARMS Project.</p> <p>Reviews project schedule and deliverables.</p> <p>Negotiates for resources from the various resource managers.</p> <p>Coordinates project work efforts.</p> <p>Implements risk and issue management plans and process.</p> <p>Prepares project status reports.</p> <p>Participates in change management process.</p> <p>Provides procurement support.</p>	Redirection	One-time	Consultant							

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>Reviews and evaluates all vendor deliverables.</p> <p>Briefs the project sponsors on the status of the Project.</p> <p>Tracks contract compliance.</p> <p>Updates the FSR and BCP, as needed.</p>										
DRP Subject Matter Expert Supervisors	<p>Assists in the identification of DRP business needs, definition of business processes and business rules.</p> <p>Participates in Design, working sessions, and the redesign of processes.</p> <p>Develops training plans/materials and trains.</p> <p>Participates in user acceptance testing.</p> <p>Develops policies and procedures.</p> <p>Participates in process development, and outreach.</p>	Redirection	One-time	1 Staff Services Manager I	1.3 Staff Services Manager I	1.3 Staff Services Manager I					
DRP Subject Matter Expert Supervisors	<p>Assists in the identification of DRP business needs, definition of business processes and business rules.</p> <p>Participates in Design, working sessions, and the redesign of processes.</p> <p>Develops training plans/materials and trains.</p> <p>Participates in user acceptance testing.</p> <p>Develops policies and procedures.</p> <p>Participates in process development, and outreach.</p>	Proposed Budget Augmentation	One-time and Continuing						1 Research Manager I	1 Research Manager I	1 Research Manager I

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
DRP Subject Matter Experts	<p>Assists in the identification of DRP business needs, definition of business processes and business rules.</p> <p>Participates in design, working sessions, and the redesign of processes.</p> <p>Develops job aids, training plans/materials and trains providers on use of the ARMS Solution (initial and continuing).</p> <p>Participates in user acceptance testing.</p> <p>Develops policies and procedures.</p> <p>Coordinates site-related preparation and deployments.</p> <p>Participates in process development and outreach with customers.</p> <p>Provides business help desk support services.</p> <p>Engages vendor to address new system releases, problem resolution beyond first level and other related interactions to ensure appropriate service levels.</p> <p>Analyzes the new data for improving program operations and for performance measurement based on new data.</p>	Redirection	One-time	4 AGPA, 1 Research Analyst II,	7.5 AGPA, 1.1 Research Analyst II	7.5 AGPA, 1.1 Research Analyst II					
DRP Subject Matter Experts	<p>Assists in the identification of DRP business needs, definition of business processes and business rules.</p> <p>Participates in design, configuration working sessions, report</p>	Proposed Budget Augmentation	One-time and Continuing				3 AGPA	3 AGPAs	9 AGPAs, 2 Research Analyst IIs, 1 Office Technician	9 AGPAs, 2 Research Analyst IIs, 1 Office Technician	9 AGPAs, 2 Research Analyst IIs, 1 Office Technician

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>development, and the redesign of processes.</p> <p>Develops/updates job aids, training plans/materials and trains providers on use of the ARMS Solution (initial and continuing).</p> <p>Participates in user acceptance testing for initial and product releases.</p> <p>Updates policies and procedures.</p> <p>Coordinates site-related preparation and deployments.</p> <p>Participates in outreach to customers.</p> <p>Provides business help desk support services.</p> <p>Engages vendor to address new system releases, problem resolution beyond first level and other related interactions to ensure appropriate service levels.</p> <p>Analyzes the new data for improving program operations and for performance measurement based on new data.</p>	tation									
DAI Subject Matter Experts	<p>Assists in the identification of DAI business needs, definition of business processes and business rules.</p> <p>Participates in DAI related design, working sessions, and the redesign of processes.</p> <p>Develops DAI training plans/materials and trains.</p>	Redirection	One-time	10% Correctional Captain,	10% Correctional Administrator, 20% Correctional Captain	10% Correctional Administrator, 20% Correctional Captain					

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>Participates in DAI user acceptance testing.</p> <p>Develops DAI policies and procedures.</p> <p>Participates in process development, and outreach to DAI.</p> <p>Provide DAI site specific information to the project.</p> <p>Coordinate DAI on-site related activities and events.</p>										
DAI Subject Matter Experts	<p>Assists in the identification of DAI business needs, definition of business processes and business rules.</p> <p>Participates in DAI related design, working sessions, and the redesign of processes.</p> <p>Participates in DAI user acceptance testing.</p> <p>Develops DAI policies and procedures.</p> <p>Participates in process development, and outreach to DAI.</p> <p>Provide DAI site specific information to the project.</p> <p>Coordinate DAI on-site related activities and events.</p>	Proposed Budget Augmentation	One-time and Continuing						1 Correctional Lieutenant, 2 Research Program Specialist I	1 Correctional Lieutenant, 2 Research Program Specialist I	1 Correctional Lieutenant, 2 Research Program Specialist I
DAPO Subject Matter Experts	<p>Assists in the identification of DAPO business needs, definition of business processes and business rules.</p> <p>Participates in DAPO related design, working sessions, and the redesign of processes.</p> <p>Develops DAPO training</p>	Redirection	One-time	30% Parole Administrator I, 10% Parole Agent I,	10% Licensed Clinical Social Worker, 10% Parole	20% Licensed Clinical Social Worker, 20% Parole					

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>plans/materials and trains.</p> <p>Participates in DAPO user acceptance testing.</p> <p>Develops DAPO policies and procedures.</p> <p>Participates in process development, and outreach to DAPO.</p> <p>Provide DAPO site specific information to the project.</p> <p>Coordinate DAPO on-site related activities and events.</p>			10% Parole Agent II, 10 % Parole Agent III	Administrator I, 20% Parole Agent I, 20% Parole Agent II, 20 % Parole Agent III	Administrator I, 20% Parole Agent I, 20% Parole Agent II, 20 % Parole Agent III					
DAPO Subject Matter Experts	<p>Assists in the identification of DAPO business needs, definition of business processes and business rules.</p> <p>Participates in DAPO related design, working sessions, and the redesign of processes.</p> <p>Develops DAPO training plans/materials and trains.</p> <p>Participates in DAPO user acceptance testing.</p> <p>Develops DAPO policies and procedures.</p> <p>Participates in process development, and outreach to DAPO.</p> <p>Provide DAPO site specific information to the project.</p> <p>Coordinate DAPO on-site related activities and events.</p>	Proposed Budget Augmentation	One-time and Continuing						2 AGPA, 1 Parole Agent II	2 AGPA, 1 Parole Agent II	2 AGPA, 1 Parole Agent II
Office of	Conduct data extraction, compilation,						1 Research Program	1 Research	1 Research Program	1 Research Program	1 Research Program

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
Research	<p>and perform data analysis, conduct data quality assurance, perform statistical tests, and prepare data for reports and presentations. ARMS includes over 4,000 new data elements requiring this analysis.</p> <p>Prepare responses to data inquiries, locating appropriate data sources, extracting data, and compiling data into requested format.</p>						Specialist II	Program Specialist II	Specialist II	Specialist II	Specialist II
EIS Technical Staff	<p>Project Management and Vendor Contract Coordinator –</p> <ul style="list-style-type: none"> Contract Management of Project Manager contract and vendor contract. Review deliverables, approve invoices Manage contract funding Resolve contract risks and issues Provides guidance on CDCR’s Project Management Methodology. Report risks and issues to Agency Information Officer (AIO or designee.) Attend Executive Steering Committee meetings. Acquire and manage IPO Services 	Redirected	One-time	10% SrISA, 20% ISO SSS I, 50% DPM II, 10% SSS III Solution Architect, 10% Systems Architect, 40% SrISA	10% SrISA, 20% ISO SSS I, 50% DPM II, 10% SSS III Solution Architect, 10% Systems Architect, 10% SrISA	10% SrISA, 10% ISO SSS I, 10% DPM II, 10% DPM III, 10% SSS III Solution Architect, 10% Systems Architect, 10% SrISA, 10% SrPA	30% ISO SSS I, 10% SrPA	30% ISO SSS I, 10% SrPA	10% SrPA	10% SrPA	10% SrPA

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<ul style="list-style-type: none"> Serves as liaison with CalTech. <p>Information Security network specialist –</p> <ul style="list-style-type: none"> identify security breaches. aid in the management and monitoring of Intrusion Detection Systems, Intrusion Prevention Systems, firewalls, Denial of Service mitigation, log management, and leverage various internal platforms and understanding of exploits and vulnerabilities in order to provide network and data security for the CDCR network analyzing and assessing security incidents and escalating to the appropriate teams and developing internal processes and standards that minimize the risk to all CDCR IT resources. <p>Solution and Data Engineers –</p> <ul style="list-style-type: none"> Assist in solution planning, business requirements definition, design of business architecture, ensure business needs are traceable throughout the project for the ARMS project. Ongoing, maintain and solve the most difficult solution 										

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>problems.</p> <p>Enterprise Architecture -</p> <ul style="list-style-type: none"> • Acquire Solution Architect and Independent Verification & Validation Consultant Services • Manages Solution Architect and Independent Verification & Validation contract and review and approve deliverables for payment. • Manages contract change orders. <p>EIS Contract and Procurement Support -</p> <ul style="list-style-type: none"> • Acquires Information Technology (IT) goods and services for ARMS including: coordinating, analyzing, and planning the solicitation approach for the acquisition of IT goods and services; • Assists with and/or developing the scope of work for IT consulting and service Agreements; • Develops all IT solicitation documentation (e.g., Request for Quote, Request for Proposal, Request for Offer) necessary for the acquisition of IT goods and services; 										

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<ul style="list-style-type: none"> Executes all IT contracts and procurements necessary to support the development and implementation of ARMS for 200-250 Procurements and 3 – 4 Agreements and/or Renewals per year. <p>AMS -</p> <ul style="list-style-type: none"> Coordinates PVDTS interface development and support 										
EIS Technical Staff	<p>Enhancement Solution Coordinator –</p> <ul style="list-style-type: none"> Oversee system and data integration efforts on enhancement, changes and fixes to ensure downstream alignment with other CDCR systems. Test releases for impacts to interfaces or data exchanges. Participate in change control/configuration management process. Conduct quality assessment evaluations of the solution to ensure role definitions and 	Proposed Budget Augmentation	One-time and Continuing				1 Senior Information Systems Analyst, 1 SSS III (Solution and Data Engineer)	1 Senior Information Systems Analyst, 1 SSS III (Solution and Data Engineer)	1 Senior Information Systems Analyst, 1 SSS I (AISO), 2 SSS III (Solution and Data Engineer), 1 SISA	1 Senior Information Systems Analyst, 1 SSS I (AISO), 2 SSS III (Solution and Data Engineer), 1 SISA	1 Senior Information Systems Analyst, 1 SSS I (AISO), 2 SSS III (Solution and Data Engineer), 1 SISA

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>infrastructure alignment.</p> <ul style="list-style-type: none"> Evaluate contract service level agreement conditions. <p>Solution Engineer and Data Engineer –</p> <ul style="list-style-type: none"> Solution architecture: Coordination with institutions, facilities, and other stakeholders for solution architecture needs. New data partners and coordination of data sharing agreements. Develop/Coordinate New data exchanges (Data required for the exchange and coordination for NIEM, if required) and assistance to owners of other side of the interfaces. Following business data analysis from ARMS, the future state architecture would change indicating where the business needs to go to achieve improved results. <p>Security Audits –</p> <ul style="list-style-type: none"> Responsible for identifying security 										

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>breaches.</p> <ul style="list-style-type: none"> Aids in the management and monitoring of Intrusion Detection Systems, Intrusion Prevention Systems, firewalls, Denial of Service mitigation, log management, and leverage various internal platforms and understanding of exploits and vulnerabilities in order to provide network and data security for the CDCR network. Analyzing and assessing security incidents and escalating to the appropriate teams and developing internal processes and standards that minimize the risk to all CDCR IT resources. <p>IT Support for Office of Research –</p> <ul style="list-style-type: none"> Ongoing IT support for the Office of Research exports and imports from ARMS for analytic reporting. 										
Facilities Management Division Staff	<p>Provides leadership on pathways, wiring, and power requirements for each facility.</p> <p>Coordinates the changes to the physical plant.</p>	Redirection	One-time	10% Correctional Captain	20% Associate Construction						

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	Updates plant records. Participates in Change Management activities.				Analyst						
Independent Project Oversight	Monitors the progress of the project to ensure project objectives are met. Provides information on project issues, risks, and status to the Project Manager, and steering committee. Monitor management of project schedule, scope, cost, quality, human resources, communication, risk, procurement and integration Provide Independent Project Oversight Reports to CalTech based on project criticality Participate in Executive Steering Committee meetings, as requested.	Proposed Budget Augmentation	One-time				California Department of Technology - InterAgency Agreement				
Solution Architect	Ensure compliance with requirements for project activities during processes Ensure adherence to standards, practices and conventions during processes Make recommendations for changes as needed Provide solution architect services Assess technical deliverables, processes, and products Monitor project activities for requirements, design, build, documentation, configuration management, testing, data	Redirection	One-time	Consultant	Consultant	Consultant	Consultant	Consultant	Consultant	Consultant	

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
	<p>conversion, training and implementation</p> <p>Assess adherence to technical best practices</p> <p>Report and make recommendations on technical risks and issues</p> <p>Attend and report at Executive Steering Committee meetings, as requested.</p>										
Independent Verification & Validation	<p>Ensure compliance with requirements for project activities during processes</p> <p>Ensure adherence to standards, practices and conventions during processes</p> <p>Make recommendations for changes as needed</p> <p>Provide solution architect services</p> <p>Assess technical deliverables, processes, and products</p> <p>Monitor project activities for requirements, design, build, documentation, configuration management, testing, data conversion, training and implementation</p> <p>Assess adherence to technical best practices</p> <p>Report and make recommendations on technical risks and issues</p> <p>Attend and report at Executive Steering Committee meetings, as requested.</p>	Proposed Budget Augmentation	One-time				Consultant	Consultant	Consultant	Consultant	

Role	Responsibilities	Redirection or Proposed Budget Augmentation	One-time or Continuing	Positions Fiscal Year 2013-2014	Positions Fiscal Year 2014-2015	Positions Fiscal Year 2015-2016	Positions Fiscal Year 2016-2017	Positions Fiscal Year 2017-2018	Positions Fiscal Year 2018-2019	Positions Fiscal Year 2019-2020	Positions Fiscal Year 2020-2021
Totals				8.9 redirected PY	13 redirected PY	12.7 redirected PY	6 PY from proposed budget augmentations, 1.1 redirected PY	6 PY continued from proposed budget augmentations, 1.1 redirected PY	6 PY continued from proposed budget augmentation, 19 additional from proposed budget augmentation, 0.8 redirected PY	25 PY continued from proposed budget augmentations, 0.8 redirected PY	25 PY continued from proposed budget augmentations, 0.1 redirected PY

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