JUDICIAL COUNCIL OF CALIFORNIA
STANDARD AMENDMENT COVERSHEET

MASTER AGREEMENT NUMBER	AMENDMENT NUMBER
MA-202002	**1**
	FEDERAL EMPLOYER ID NUMBER **99-0365507**

1. All capitalized terms not defined in this amendment (the "Amendment") have the meanings given to them in the Master Agreement referenced above ("Agreement"). As set forth in the Agreement, the term "Contractor" refers to **Northpointe Inc. d/b/a Equivant** and the term "Judicial Council" or "State" refers to the **Judicial Council of California**.

2. This Amendment becomes effective on: **November 7, 2023**.

3. The parties agree to amend the Master Agreement as follows:

   A. Exhibit 5, Specifications, is hereby deleted and replaced with Exhibit 5, Specifications, Revision 1, attached hereto and incorporated herewith.
   B. Exhibit 8, Fees, Pricing and Payment Terms, Section "Other or Additional Costs" is hereby deleted and replaced with "Other or Additional Costs, Revisions 1". It is attached hereto and incorporated herewith.

4. Except as provided in this Amendment, all terms and conditions of the Agreement, as previously amended, remain in full force and effect.

JUDICIAL COUNCIL'S SIGNATURE		CONTRACTOR'S SIGNATURE	
Judicial Council of California		**Northpointe Inc. d/b/a equivant**	
BY *(Authorized Signature)* Tracy Matthews	DATE 11/14/2023	BY *(Authorized Signature)* Eric Tumperi	DATE 11/14/23
PRINTED NAME AND TITLE OF PERSON SIGNING **Tracy Matthews, Supervisor, Contracts**		PRINTED NAME AND TITLE OF PERSON SIGNING **Eric Tumperi, equivant Supervision & Pretrial GM**	
DATE EXECUTED		DATE EXECUTED 11/14/2023	
ADDRESS **Attn: Branch Accounting and Procurement** **Administrative Division** **2850 Gateway Oaks Drive, Suite 300** **Sacramento, CA 95833-4348**		ADDRESS **4450 Belden Village St NW, Suite 305** **Canton, OH 44718**	

EXHIBIT 5

SPECIFICATIONS, REVISION 1

BUSINESS AND FUNCTIONAL REQUIREMENTS

PTMS Business Requirements

ID	Business and Functional Requirements	Yes/No, In progress as of the effective date of the Agreement	Comments
1	**Person Management**		
1	**Demographics**		
	The Pretrial Risk Assessment Application (PTRA) shall have the ability to capture all technical elements for Data Linking as listed in the Pretrial Program Data Elements Inventory table in this Exhibit 5. (CII, FBI, unique local ID, CDL, Name, DOB, Sex, Race).	Yes	
	PTRA shall have the ability to capture all pretrial/probation data elements as listed in the Pretrial Program Data Elements Inventory table in this Exhibit 5.	Yes	
	PTRA shall allow user to update, edit, delete, add any and all person/entity profile information/demographics.	Yes	
	PTRA must retain risk assessment history and update data of all person updates, i.e.: Address, phone, alias, etc.	Yes	
	PTRA shall have the ability to configure the application to allow or disallow use of hyphenated names.	Yes	
	PTRA shall have the ability to capture various alternative names, such as alias, moniker.	Yes	

	PTRA shall have the ability to maintain multiple instances of the following information: - General Info (e.g., name(s), address(es), email, languages, phone(s) etc. - Physical Info (e.g., date of birth, height, weight, etc.) - Additional Info (e.g., occupation, etc.) The PTRA should be able to handle addresses that have North, South, East or West as part of the address.	Yes	
	PTRA shall have the ability to comply with ongoing statutory requirements for collecting gender data (M, F, X, example):	Yes	
	The PTRA shall have the ability to capture naturalization and place of birth.;	Yes	
	The PTRA shall have the ability to capture military status: prior and current.	Yes	
	The PTRA shall allow user to add, edit, and delete demographic information related to person.	Yes	
	The PTRA shall permit search on various combinations of specific individual or case identifiers (e.g., name, date of birth, CII or booking number).	Yes	
	The PTRA shall display person's current monitoring status.	Yes	
	The PTRA shall permit Soundex (or equivalent) name search for all person Data groups.	Yes	
	The PTRA shall capture cell phone and email information.	Yes	
2	**Intake/Initiation**		
	PTRA shall receive incoming arrest data from the responsible criminal justice agency (e.g., County Jail).	Yes	Requires unique customization during implementation per customer. May require development effort depending on incoming data source format and transmission methods.
	PTRA shall link incoming new arrest to existing person record using Linking Data Elements as listed in the Pretrial Program Data Elements Inventory table in this Exhibit 5 (CII, FBI, etc.).	Yes	
	The PTRA shall create new person record if no match exists.	Yes	
	PTRA shall send CII and required data to California Department of Justice (DOJ) to perform adult criminal history search.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall capture required information from above query to populate priors for risk assessment.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall allow for manual entry of ACHS information.	Yes	

	PTRA shall query court Case Management System (CMS) for Failure to Appear (FTA) records and information for risk assessment.	Yes	Requires unique customization during implementation per customer. May require development effort depending on incoming data source format and transmission methods.
	PTRA shall capture all data elements from Jail Information Management System (JMS) as listed in the Pretrial Program Data Elements Inventory table in this Exhibit 5.	Yes	
	PTRA shall provide for transfer or entry of all charges, custody, and release information for each offender from criminal justice agency or court.	Yes	
	For each county, PTRA shall have the ability to have more than one designated court location. Arrest records shall be received and sorted into proper location, allowing user to see single or multiple locations and provide sort/filter capabilities.	Yes	
	PTRA shall have the ability to classify each incoming arrest as eligible for pre-arraignment release; hearing required; or statutory exclusion.	Yes	
	PTRA shall flag incoming arrest records for pre-arraignment release eligibility based on county configurable elements, violation section and/or statutory requirements.	Yes	
	PTRA shall flag incoming arrests ineligible for pre-arraignment release that require risk assessment at arraignment.	Yes	
	PTRA shall flag incoming arrests ineligible for risk assessment.	Yes	
	PTRA shall provide notification of required completion time (e.g., 12, 24, 48 hours).	Yes	
	PTRA shall have the ability to sort and filter an incoming message page by date, eligibility flags, and remaining data fields/elements on the message page.	Yes	
	PTRA shall have the ability to assign incoming case(s) to an intake officer individually or in groups by configurable criteria at a local level.	Yes	
	PTRA shall allow designation of pretrial officer(s) to tasks associated with a case.	Yes	
	PTRA shall provide ability to manually assign and reassign cases to individual or groups of pretrial officers.	Yes	

	PTRA shall assign and reassign cases to individual or groups of pretrial officers using one or more of the following methods: randomly; according to predefined rules (e.g., by case category, by case status, by pretrial officer caseload balancing policies); according to existence of specific conditions (e.g., conflict of interest, disqualification); or allow for manual assignment.	Yes	
	PTRA shall have the capability for intake staff to create a new case based on information submitted electronically from referral sources (jail arrest) or for intake staff to input manually.	Yes	
	PTRA shall have the capability for intake staff to update Data on existing cases.	Yes	
	PTRA shall allow entry of information gathered during assessment phase, and provide for interactive administration, calculation, and retention of offender assessment instrument.	Yes	
	PTRA shall allow for chronological entry of notes by date, time, and author with coding capability as to type of note(s).	Yes	
	PTRA shall allow entry, maintenance, and retention of multiple person data group names (i.e., pretrial officers, judges, defense attorneys, victims, co-defendants).	Yes	
	PTRA shall allow users simultaneous access to separate cases and person data groups in all parts of the application for, potentially, all related person data groups, case, and financial information and with the inquiry and report generation capabilities for more varied displays and reports.	Yes	
	PTRA shall update each arrest record with release date and type either electronically through JMS interface or allow manual input.	Yes	
	PTRA shall maintain table of release types and record release type for data analytics - court cap, bail, detention only (no complaint filed), jail own recognizance (OR), Pretrial OR.	Yes	
	PTRA shall allow for use of booking number for case number until court case number is assigned. Update case number from court CMS interface, allow for manual update if needed.	Yes	
	PTRA shall allow for customized local case number configuration.	Yes	
3	**Risk Assessment**		
	PTRA shall have the ability to integrate in real-time with risk assessment tools (e.g., Public Safety Assessment (PSA), Virginia Pretrial Risk Assessment Instrument (VPRAI), VPRAI-Revised and Ohio Risk Assessment System).	Yes	

	PTRA shall have the ability to collect and present supplemental information collected during interview and/or other local business processes as required by local court.	Yes	
	PTRA user interface shall provide mechanism for navigating to the selected risk assessment tool or provides for automatic risk assessment using Data gathered from interfaces (i.e., JMS, Probation Management System (PMS), CMS).	Yes	
	PTRA shall provide automated interviews and pretrial risk assessments.	Yes	
	PTRA shall provide mechanism to add new risk assessment record.	Yes	
	PTRA shall provide mechanism to save new risk assessment record.	Yes	
	PTRA shall provide mechanism to retain all previous records.	Yes	
	PTRA shall have the ability to save and store every risk assessment date for historical reference and reporting.	Yes	
	PTRA shall provide a mechanism to delete a risk assessment record. This permission shall only be granted for specified user groups.	Yes	
	PTRA shall have capabilities to configure multiple risk assessment tools in a graphical user interface.	Yes	
	PTRA shall allow multiple assessments and reassessments per client and these historical assessments shall be clearly visible to the user on a client's record.	Yes	
	PTRA shall allow for a side by side comparison of the current and previous assessments through a graphical display of these comparisons, which may be preferred to a simple textual layout.	Yes	
	PTRA shall support automated triggers for reviewing a client's assessment to determine if it should be modified. These triggers include, but are not limited to, the following: date of last assessment, new Identification information, new charges, referral information.	Yes	Requires unique customization during implementation per customer. May require development effort depending on number and complexity of customer business rules.
	PTRA shall have a trigger or electronic notification of the future assessment dates that shall be predefined based on monitoring and risk levels scheduled at set interval times. Each level of monitoring shall require a different length of time between assessments and this shall be customizable.	Yes	
	PTRA shall allow configurable supervisor approval by type of assessment and unit prior to completion of each assessment, if required at local level.	Yes	

	All completed assessments from the PTRA shall be part of a workflow or queue process to allow for rapid response from review staff.	Yes	
	PTRA shall allow a supervisor to alter risk level and monitoring required for overrides.	Yes	
	PTRA shall allow capability for entry of pretrial release recommendations and conditions.	Yes	
	PTRA shall provide ability to record results of release recommendations and conditions.	Yes	
	PTRA shall allow for locally configurable, agency-defined "Keep/Release" Decision Matrix.	Yes	Requires unique customization during implementation per customer. May require development effort depending on definition and complexity of Decision Matrix.
	PTRA shall allow for the maintenance of information gathered during assessment phase, and provide for interactive administration, calculation, and retention of offender assessment instrument.	Yes	
	The assessment record from the PTRA shall contain the pre-approved override codes determined by the applicable probation department, along with a corresponding textual description.	Yes	
	PTRA shall allow for chronological entry of notes by date, time, and author with coding capability as to type of note(s).	Yes	
	Once completed, the risk assessment and recommendation or pretrial report from PTRA shall be submitted to the Judicial Officer Module for review.	Yes	
	PTRA shall have the ability to create risk assessment and recommendation/pretrial report document (pdf).	Yes	
4	**Electronic Review**		
	PTRA shall notify assigned judicial officer(s) via text and/or email, when completed risk assessment is ready for review.	Yes	
	PTRA shall have the ability to access and complete process via computer or mobile device (smartphone, tablet).	Yes	
	PTRA shall allow judicial officer to view risk assessment and recommendation/pretrial report regarding release and monitoring recommendations if any.	Yes	
	PTRA shall allow judicial officer to add, edit, delete or otherwise modify orders regarding release, monitoring conditions or detention.	Yes	

	PTRA shall create the Judicial Order Document with electronic signature.	Yes	
	PTRA shall allow preview of Order before finalization.	Yes	
	PTRA will send completed Order and pretrial release (PTR) to jail, probation, court CMS, District Attorney and Public Defender systems as required.	Yes	
	In lieu of interface, PTRA will email completed report to designated configurable agencies as needed.	Yes	
	PTRA shall have ability to send risk assessment report date, time and document to court CMS.	Yes	
5	**Monitoring/Supervised OR**		
	PTRA shall receive terms and conditions of Monitoring/Supervised OR from the Judicial Order Module.	Yes	
	PTRA shall record the Judicial Order (grant/deny).	Yes	
	PTRA shall record terms and conditions of Monitoring/Supervised OR (as ordered).	Yes	
	PTRA shall send Judicial Order and PTR information/conditions to JMS.	Yes	Requires unique customization during implementation per customer. May require development effort depending on receiving system data format and transmission requirements.
	PTRA shall receive and record release date and time from JMS.	Yes	Requires unique customization during implementation per customer. May require development effort depending on incoming data source format and transmission methods.
	PTRA shall receive and record court hearing date, time, department and hearing type from JMS/CMS.	Yes	
	PTRA shall maintain hearing table with initial hearing recorded from jail, and future hearings, continuance, and hearing results from court CMS.	Yes	
	PTRA shall update hearing table with hearing status for those hearings held, vacated, reset or otherwise resolved.	Yes	
	PTRA shall have the ability to send text message reminders on all upcoming hearing dates. Number, frequency and schedule of reminders shall be locally configurable.	Yes	
	PTRA shall provide ability to correct or change current case information.	Yes	

	PTRA shall permit single data entry to change information in multiple cases.	Yes	
	PTRA shall permit assignment of related cases, as designated by user, to same pretrial officer and group together on schedule (e.g., consecutive interviews for the same date).	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall provide ability to reassign individual or group of cases from one pretrial officer to another as a single case (e.g., pretrial officer retires, relocates, or changes job duties).	Yes	
	PTRA shall allow for maintenance and retention of multiple current and historical addresses, with beginning and ending dates.	Yes	
	PTRA shall provide ability to maintain multiple dates per task as required by locally defined format and procedures (e.g., assigned, due, completed, approved).	Yes	
	PTRA shall maintain transaction history of all changes including identification of approving supervisor.	Yes	
	Create case note entry for electronic documents generated by PTRA (e.g., notices, warrants, orders).	Yes	
	PTRA shall allow for automatic notification of changes in case and offender status.	Yes	
	PTRA shall provide ability to create notification of activities or changes in case (e.g., notify pretrial officer of noteworthy activity in case).	Yes	
	PTRA shall provide ability to create, activate, and deactivate case warning functions and notices (e.g., sealed cases, expunged records, warrants).	Yes	
	PTRA shall allow supervisor override (e.g., add, change, delete) of case maintenance functions.	Yes	
	PTRA shall allow input of first appearance after release, either from JMS, the Judicial Order or court CMS as applicable.	Yes	
	PTRA shall send all defendant, risk assessment, and order information to PMS for monitoring/supervised OR purposes if required.	Yes	
	PTRA shall record all Probation Data Elements required as listed in the Pretrial Program Data Elements Inventory table in this Exhibit 5.	Yes	
	PTRA shall provide ability to record referrals for services and programs (e.g., counseling, treatment, education, employment).	Yes	
	PTRA shall allow for maintenance of case information and document production on demand for monitoring/supervised OR activities (e.g., routine reports such as revocation of pretrial release, compliance with court orders).	Yes	

	PTRA shall distribute monitoring/supervised OR documents electronically to other agencies (e.g., courts, court support agencies, criminal justice agencies, and non-criminal justice agencies) in accordance with federal, state, and local statutes, rules, or procedures.	Yes	
	PTRA shall view all cases and conditions for each defendant or offender.	Yes	
	PTRA shall provide the ability to track progress, compliance, and completion on referrals for services and programs (e.g., counseling, treatment, education, employment).	Yes	
	PTRA shall provide ability to track substance abuse testing (e.g., drug, alcohol) and results of those tests.	Yes	
	PTRA shall provide ability to document and track work actions performed by staff.	Yes	
	PTRA shall provide ability to automatically close a case based on business rules in accordance with federal, state, and local statutes, rules, or procedures.	Yes	Requires unique customization during implementation per customer. May require development effort depending on complexity of business rules.
	PTRA shall provide ability to record reason for case closure (e.g., court ordered compliance, provisional compliance, dismissal, death, transfer to another jurisdiction).	Yes	
	PTRA shall provide ability to prevent case from being closed (e.g. probation requirements not met, failed drug or urinalysis tests, outstanding warrants, unpaid fines) with user override capability.	Yes	
	PTRA shall provide ability to close case (e.g., change status to closed; update all related record-keeping functions; generate required forms, notices, and reports for that case).	Yes	
	PTRA shall provide a facility for reopening previously closed cases retaining previous case closure and current reopening information.	Yes	
	PTRA shall have the ability to track incidents and violations of terms and conditions of pretrial release.	Yes	
	PTRA shall have the ability to track court, reporting and drug testing calendars.	Yes	
	PTRA shall have the ability to track state/local criminal statutes.	Yes	
	PTRA shall have the ability to incorporate case notes and chronological events.	Yes	
	PTRA shall have the ability to track office, home, telephone and kiosk reporting.	Yes	

	PTRA shall have the ability to provide automated SMS Text and/or telephone reminders for all scheduled court appearances and scheduled reports.	Yes	
	PTRA shall have the ability to provide SMS Text Notifications for all For the Record Appearances /FTAs.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall have the ability to provide SMS text chat for non-invasive communications with defendants.	Yes	Provide schedulable and/or triggered SMS notifications directly to defendant.
	PTRA shall have the ability to provide customizable analysis dashboard for key performance measurements and reporting.	Yes	
	PTRA shall have standardized metrics for tracking key agency Performance and Outcome measurements.	Yes	
	PTRA shall have the ability to create incident report, Affidavit in Support or Request for Violation of PT Release, Proposed Order Revoking, Pretrial Release and/or Request for Warrant Forms.	Yes	
	PTRA shall have the ability to transmit failure message, report and forms to the court CMS.	Yes	
6	**Document Management**		
	PTRA shall have the ability to create and maintain a file of templates, including text and negotiated data field identifiers.	Yes	
	PTRA shall allow users to create and maintain files of standard (boilerplate) text, including entire paragraphs, and use files to create documents by inserting this standardized text into templates and create other documents consisting of only the standardized text (e.g., brief progress reports, certain types of notices).	Yes	
	PTRA shall have the ability to reproduce original documents as they appeared with the original Data.	Yes	
	PTRA shall provide transaction history or document tracking as appropriate or as required by federal, state, and local statutes, rules, or procedures for documents sent manually or electronically.	Yes	
	PTRA shall generate and print documents individually or in scheduled batches.	Yes	Individual generation/print exists in software. Scheduled batching estimated delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall distribute documents electronically in accordance with federal, state, and local statutes, rules, or procedures.	Yes	
	PTRA shall have ability to affix electronic signatures to documents.	Yes	

	PTRA shall have ability to upload, scan, attach documents, and photos to case (inline process).	Yes	
	PTRA shall have ability to add comments, notes, etc. to documents.	Yes	
	PTRA shall add metadata and tags to documents.	Yes	
	PTRA shall have ability to search by metadata and tags.	Yes	
7	**Interfaces | Data Exchange**		
	PTRA shall receive new arrest/release information daily from JMS, if not multiple times per day, as required by local configuration.	Yes	
	PTRA shall receive person, case, release and monitoring Data from PMS daily. PTRA shall have the ability to send/receive compliance, non-compliance and completion/termination information, if required.	Yes	
	PTRA shall send the Pretrial Report with Risk Assessment Information (data and pdf), recommendations for release and conditions of release, Judicial Order (Data/pdf), violation of PTOR/Condition reports, requests for warrants and other information to the court CMS in real time or as designated by local court; and also FTA info and pending case info upon initiation, case updates and court hearing information.	Yes	Requires unique customization during implementation per customer. May require development effort depending on the various receiving systems' data format and transmission requirements.
	PTRA shall send and receive DOJ CII identifying info Data for auto priors check/ new arrest information.	No	
	PTRA shall send all required Data to the Judicial Council (JCC) Data Repository set forth in the Pretrial Program Data Elements Inventory table in this Exhibit 5.	No	
8	**Security**		
	PTRA shall allow access based on authorizations defined, maintained, and controlled by users with administration privileges (e.g., probation monitoring/supervised OR function determining access levels for individual staff).	Yes	
	PTRA shall have ability to restrict to local and remote/internet access to certain cases, classifications of cases, and parts of cases (e.g., access to sealed cases, victim identification) by specific application functions, users, and groups of users in accordance with rules, statutes, or court orders (includes active, inactive, and archived cases). Must have correct authorization, roles (i.e., Role-based access control).	Yes	
	PTRA shall have remote/internet access that supports multi-factor authentication.	Yes	

	PTRA shall provide audit trails and reports that show which users and workstation locations logged on to the PTRA during specified period.	Yes	
	PTRA shall maintain and produce audit trail and reports of file additions, modifications, deletions, and rejected transactions.	Yes	
	PTRA shall enforce configurable password complexity.	Yes	
	PTRA shall allow separate security options for creation and maintenance of pretrial officers' notes for privileged viewing in accordance with federal, state, and local statutes, rules, and procedures.	Yes	
	PTRA shall provide ability for user to designate confidential information such as pretrial officers' notes and victim and witness information in notices and other documents.	Yes	
	PTRA shall have the ability to redact user-designated confidential information in reports and schedules.	Yes	
	Integrity		
	PTRA shall provide on-screen prompts, tutorials, and help screens to assist users in the entry of correct information codes.	Yes	
	PTRA shall perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data.	Yes	
	File Archival, Retrieval, and Destruction		
	PTRA shall identify cases to be archived and later destroyed in accordance with federal, state, and local statutes, rules, or procedures.	Yes	
	PTRA shall identify cases to be retained permanently in accordance with federal, state, and local statutes, rules, or procedures.	Yes	Data retention possible. equivant has had this functionliaty, and may have mis-answered.
	PTRA shall retain information from inactive, archived, destroyed, or purged cases as needed for related cases that remain active and to retain summary information based on federal, state, and local statutes, rules, or procedures (e.g., indexes) on active or inactive files.	Yes	Requires unique customization during implementation per customer. May require development effort depending on complexity of file retention rules.
	PTRA shall produce reports showing cases that will be or have been archived, stored, sealed, or expunged.	Yes	
	Hosted/SaaS platforms associated with the PTRA shall be hosted on or certified for CJIS, HIPAA & FedRAMP-compliance (e.g., Microsoft Azure Government's Cloud.AWS Gov. Cloud).Contractor	Yes	
	PTRA shall provide ability to seal or expunge files when ordered by the court.	Yes	

9	**Systems Requirements**		
	General Requirements		
	PTRA shall have the ability to support the use of special characters.	Yes	
	PTRA shall provide short cut keys to assist in navigation.	Yes	
	PTRA shall have the ability to use "type ahead" features to assist with ease of data entry.	Yes	
	PTRA shall the ability to configure multiple county locations, buildings, divisions, departments and offices.	Yes	
	PTRA shall have the ability to configure multiple addresses and phone numbers for the various locations, buildings, divisions, departments and offices.	Yes	
	PTRA shall have the ability to configure varying business rules for the various locations, buildings, divisions, departments and offices.	Yes	
	PTRA shall have the ability to assign staff to one or more locations with ability to create, read, update or delete information from any case in any location using a single sign on to the PTRA, in conformance with the users security roles/access.	Yes	
	PTRA shall have ability to visually alert user to various special circumstances that may exist on a case, by use of an Icon or similar function.	Yes	
	PTRA shall provide error, warning or validation messages to the users in a format easily understood by the user.	Yes	
	When entering Data that retrieves Data from a reference table, the default of the PTRA shall be to retrieve the values alphabetically unless explicitly stated otherwise.	Yes	
	PTRA shall have the ability to assign a DMV court code and ORI code to county locations/buildings.	Yes	
	PTRA shall have the ability to retain history of all configuration or reference tables with effective start and end dates.	Yes	
	PTRA shall have the ability to configure or update tables prior to the effective date of the entry.	Yes	
	PTRA shall provide a fully-functioning "On Line" help process.	Yes	
	PTRA shall be fully compliant to judicial branch framework where applicable (audit requirement).	Yes	
	PTRA shall maintain a case activity log that tracks specific configurable	Yes	

	tasks, milestones, and events.		
	PTRA shall have the ability to filter case activity log, print the case history log, and when one hovers the mouse over the entry, one can see who made the entry, date and time (audit trail info).	Yes	
	PTRA shall allow for informal notes/comments to be added to cases.	Yes	
	PTRA shall allow for permit configurable workflow, with tasks and dependencies. PTRA shall also prompt users for incomplete workflows.	Yes	
	PTRA shall allow for configurable clocks/ticklers to prompt user when action is due.	Yes	
	PTRA shall have comprehensive Document Management, including pre-populated recommendation/pretrial report documentation.	Yes	
10	**Search Functions**		
	PTRA shall perform searches for persons.	Yes	
	PTRA shall perform searches for persons/entities using partial names with "wild cards "and/or "sounds like" functionality.	Yes	
	PTRA shall perform searches for persons/entities using identifiers, such as CII, DOB, driver's license number, bar number, social security number, address, phone number etc. in combination with names or by themselves.	Yes	
	PTRA shall perform searches for cases.	Yes	
	PTRA shall perform searches for cases using partial names with "wild cards "and/or "sounds like" functionality.	Yes	
	PTRA shall perform searches for cases using identifiers, such as driver's license number, bar number, social security number, receipt numbers, address, phone number etc. in combination with names or by themselves.	Yes	
	PTRA shall search for cases using cases numbers, including numbers in old "legacy systems" formats.	Yes	
	PTRA search results should provide the user with sufficient information for the user to select the appropriate search result item.	Yes	
	PTRA shall sort and/or filter search results.	Yes	
	PTRA shall retain search results in cases where the user needs to select an alternate result in those cases where there are multiple likely results. This allows the user to continue with their process without having to initiate a duplicate search.	Yes	

	PTRA shall have the ability to search in a rapid manner, no matter how many search results are returned. Search results are often in the hundreds or thousands and must be quickly displayed in a logical manner.	Yes	
11	**Administration**		
	PTRA shall maintain audit trail, user entry date, time of add/change/update/delete, etc.	Yes	
	PTRA shall provide audit trail of all additions, modifications, deletions to any Data or documents made in the PTRA, including the name of the person making the entry and the date and time it was made.	Yes	
	PTRA shall provide audit trail of all searches and case access for all cases and persons in the PTRA, including the name of the person performing the search and the date and time it was made.	Yes	
	PTRA shall have the ability to view audit trail information.	Yes	
	PTRA shall have the ability to produce reports based on audit trail information.	Yes	
	PTRA shall have the ability to schedule batch jobs and to specify the dependency level of the relationships to other batch jobs, the interval between attempted runs of the batch job, the number of times the PTRA will attempt to run the batch job (when the batch job fails due to the parent batch job not having run), the time at which the PTRA will stop attempting to run the batch job, the date on which the batch job dependency will be active, and the date on which the batch job dependency will become inactive.	Yes	
	PTRA shall have the ability to view, edit, or establish batch job dependencies. Through the use of these screens, the user can view, edit, and establish parent-child relationships between batch jobs in order to ensure that specified batch jobs will not run if their parent batch job has not run.	Yes	
	PTRA shall have the ability to monitor the status of batch jobs, and to rerun or reschedule batch jobs as required.	Yes	
	PTRA shall have the ability to notify admin user when the status of any batch job changes (e.g. completes, fails, etc.).	Yes	
	PTRA shall ability to configure printers (network, local) for specific uses within the PTRA (e.g. all reports are routed to a specific printer, all batch printing jobs are routed to a specific network printer, etc.).	N/A	

	PTRA shall have the ability to specify how printing is handled for each form/notice (e.g., local, batch, deferred).	N/A	
	PTRA shall include a System monitor- a control panel managing the state of the Application / Hardware resources (components) and connectivity status.	Yes	
	PTRA shall have the ability to customize and configure the PTRA user interface based upon user requirements.	Yes	Requires unique customization during implementation per customer. May require development effort depending on complexity of user interface tools.
	PTRA shall have the ability to define or configure county specific data integration.	Yes	
	PTRA shall have the ability to create, read, update and delete all reference tables used in the PTRA.	Yes	Assumption: Can delete records within ref tables. Cannot delete the ref tables themselves.
	PTRA shall have the ability to enter effective start and end dates for reference tables.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall have the ability to have multiple versions of the same table value with various effective date ranges.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall have the ability to create relationships between reference tables to ensure that data dependencies are established.	Yes	Assumption: Sys-code mapping
	PTRA shall have the ability to "bulk load" data into reference tables, such as uploading annual changes to bail schedule, fee table, etc.	Yes	Requires unique customization during implementation per customer. May require development effort depending on complexity of file retention rules.
12	**Security Management**		
	Security/User Administration		
	PTRA shall have provide a comprehensive security framework.	Yes	
	PTRA shall have ability to assign security to Data at the case level or the Data Element level.	Yes	
	PTRA shall have the ability to assign security to documents at the case or the individual document level.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall have the ability for the user to assign/update the security access to cases and/or documents.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)
	PTRA shall have the ability to easily enter/update users within the PTRA.	Yes	

	PTRA shall have the ability to assign users security based on their role or roles (e.g. intake clerks, pretrial assessment officer, probation officer, supervisor, or other assigned role). Users may have multiple roles within the PTRA.	Yes	
	PTRA shall have the ability to assign security based on a set of standard templates, that allow for ease of use and re-use.	Yes	
	PTRA shall have the ability for user to update their own password at any time.	Yes	
	PTRA shall have the ability to require users to update their passwords at specific time intervals.	Yes	
	PTRA shall have the ability to add security to specific user disallowing access to specific case number(s) or case Data and notify application admin of attempts to breach security via alert/report/work queue, etc.	Yes	Delivery 12/31/2020 (Special Release after 8.20.3)

Pretrial Program Data Elements Inventory

Court Case Related Elements

Essential Elements for Data Analysis	Definition	Required/Preferred/ Optional	Yes/No
Court_Case_ID	Court Case Identification Number Used to Match Cases *(i.e., case number, docket number, court case)*		Yes
Secondary_Identification	One Additional Unique ID Match from the Technical Elements Below Including: *Name, Local_ID, FBI, CII, or CDL_ID*		Yes
Hearing_FTA	Did Defendant Miss Court Appearance? *(e.g., yes, no, 1, 0)*		Yes
FTA_Dates	Dates of hearings missed by defendant		Yes
FTA_Bench_Warrant	Bench Warrant Issued, excluding stayed orders *(e.g., yes, no, 1, 0)*		Yes
Warrant_Date	Date Bench Warrant Issued		Yes

Disposition_Outcome	Disposition Result for Each Charge *(e.g., dismissal, charge dropped, pled nolo contendere, guilty, not guilty)*		Yes
Disposition_Event_Date_Time	Disposition Event Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*		Yes
Final_Case_Disposition_Date	Date of Final Case Disposition		Yes
Sentence_Type	Sentencing Result for Each Charge *(e.g., CDCR, jail, jail and probation, probation, other)*		Yes
Sentence_Date_Time	Sentence Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*		Yes *Date only*
Technical Elements for Data Linking	**Definition**		
CII	Defendant's Criminal Identification and Information Number *(if collected)*		Yes
FBI	Defender's FBI Number *(if collected)*		Yes
Local_ID	Any Local Identifier Used by the Sheriff's Office, Which Can be Linked to CII, FBI, or Other Local ID		Yes
CDL_ID	California Driver's License Number/California ID Number		Yes
Name	First and last names		Yes
DOB	Defendant's Date of Birth *MMDDYYYY*		Yes
Sex	Defendant's Sex		Yes
Race	Defendant's Race and/or Ethnicity		Yes
Arrest_Date_and_Time	Arrest date and time *(if collected)*		Yes
Booking_Number	Booking Number *(if collected)* (if collected)		Yes

Supplementary Elements for Data Analysis	Definition		
File_Date_Time	File Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*		Yes
Case_Status	Status of Case *YYYY-MM-DD HH:MM:SS Zone*		Yes
Case_Status_Date	Case Status Date *YYYY-MM-DD HH:MM:SS Zone*		Yes
Filing Charge	Charge Code and Code Section (Note: If this data is held as two fields, please include Charge_Code and Charge_Statute Variables) *ChargeCode.CodeSection*		Yes
Charge_Level	Type of Charge *(e.g., misdemeanor, felony, violation)*		Yes
Charge_Description	Description of Charge *(i.e., character string description)*		Yes
Hearing_Type	Hearing Type, excluding En Camera and Ex Parte *(e.g., arraignment, trial)*		Yes
Hearing_Date_Time	Hearing Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*		Yes
Plea_Type	Plea Status for Each Charge *(e.g., pled nolo contendere, guilty, not guilty)*		Yes
Plea_Date_Time	Plea Date for Each Charge (and time if available) *YYYY-MM-DD HH:MM:SS Zone*		Yes
Sentence_Location	Place to Carry Out Sentence *(e.g. LA County Jail, CDCR)*		Yes
Sentence_Term	Length of Sentence *(e.g., 105 days)*		Yes
Date_Risk_Assessment_Report	Date Risk Assessment Report Filed with the Court *YYYY-MM-DD HH:MM:SS Zone*		Yes

Probation, Pretrial and Risk Assessment Related Data Elements

Essential Elements for Data Analysis	Definition		
Tool_Name	Pretrial tool being used	Required	Yes

Assessment_Date_Time	Assessment Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*	Required	Yes
Client_Zip_Code	Zip Code of Pretrial Program Participant	Required	Yes
Tool_Responses	Responses to tool questions based on tool used *Based on specific tool in use.*	Required	Yes
Score(s)	Score *(e.g. high, 9, enhanced, etc.)*	Required	Yes
Release_Recommendation	Recommendation for pretrial release type *OR, Detain, OR-Conditions*	Required	Yes
Release_Authorization	Who authorized pretrial release? *Sheriff, magistrate, pre-trial services, judge*	Required	Yes
Release_Type	Type of pretrial release *OR, Detain, OR-Conditions*	Required	Yes
Release_Date_Time	Pretrial Release Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*	Required	Yes
Pretrial_Terms_and_Conditions	Pretrial Monitoring Terms and Conditions *(e.g. ankle monitor, phone call check-ins, etc.)*	Required	Yes
Violation_of_PTR	Any violations of pretrial release Terms and Conditions *failed to call in, etc.*	Required	Yes
PTR_Violation_Date_Time	Condition Violation Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*	Required	Yes
Court_Date_Reminder	Client reminded of court date? *Yes, No*	Required	Yes
Other_Pretrial_Service	What service was offered to those released? *Bus Pass, Counseling Services, etc.*	Required	Yes
Termination_Outcome	Reason/Outcome of Pretrial Services Terminations *sentenced, remand, charges dropped, etc.*	Required	Yes
Termination_Date	Pretrial Services Termination Date (and time if available) *YYYY-MM-DD HH:MM:SS Zone*	Required	Yes
Technical Elements for Data Linking	**Definition**		
CII	Defendant's Criminal Identification and Information Number	Required	Yes
FBI	Defender's FBI Number (if collected)	Required	Yes

Local_ID	Any Local Identifier Used by the Sheriff's Office, Which Can be Linked to CII, FBI, or Other Local ID	Required	Yes
CDL_ID	California Driver's License Number/California ID Number	Required	Yes
Name	First and last names	Required	Yes
DOB	Defendant's Date of Birth MMDDYYYY	Required	Yes
Sex	Defendant's Sex	Required	Yes
Race	Defendant's Race and/or Ethnicity	Required	Yes

Jail/Arrest/Release related data elements

Essential Elements for Data Analysis	Definition		
CII	Offender's Criminal Identification and Information Number		Yes
Name	First and last names		Yes
DOB	Offender's Date of Birth MMDDYYYY		Yes
Arrest_Date_and_Time	Arrest date and time YYYY-MM-DD HH:MM:SS Zone		Yes
Booking_Number	Booking Number		Yes
Booking_Date_Time	Booking Date (and time if available) YYYY-MM-DD HH:MM:SS Zone		Yes
Booking_Type	Type of Jail Booking (i.e., on view, street, warrant, commitment, probation violation)		Yes
Court_Case_ID	Court Case Identification Numbers for all associated cases.		Yes
Charge	Booking Charge Code and Code Section (Note: If data is held as two fields, please include Charge Code and Charge_Section Variables)		Yes
Charge_Level	Type of Charge (e.g., misdemeanor, felony, violation)		Yes
Physical_Release_Date	Release Date From Custody (and time if available) YYYY-MM-DD HH:MM:SS Zone		Yes
Physical_Release_Type	*Type of Release (e.g. time served, bail, OR, cite and release, transferred, pretrial supervision, probation, detention only, etc.)*		Yes
Technical Elements for Data Linking	**Definition**		
CII	Defendant's Criminal Identification and Information Number		Yes
FBI	Defender's FBI Number		Yes
Local_ID	Any Local Identifier Used by the Sheriff's Office, Which Can be Linked to CII, FBI, or Other Local ID		Yes

CDL_ID	California Driver's License Number/California ID Number		Yes
Name	First and last names		Yes
DOB	Defendant's Date of Birth		Yes
Sex	Defendant's Sex		Yes
Race	Defendant's Race and/or Ethnicity		Yes
Supplementary Elements for Data Analysis	**Definition**		
Bail_Amount	Bail Amount by Charge (if available)		Yes
Conviction_Date	Conviction Date (and time if available)		Yes
Conviction_Charge	Conviction Charge Code and Code Section (Note: If this data is held as two fields, please include Conviction_Code and Conviction_Section Variables)		Yes
Employment_Status	Offender's Employment Status (if collected)		Yes

TECHNICAL REQUIREMENTS

#	Category	Requirements	Response/Description
1	**AUTOMATION & INTEGRATION**	All modules of the proposed system, whether provided in a single software product or components from multiple Contractors, must be fully integrated and operate as if they are one system. Systems supporting case management functions, such as risk assessment, electronic review, content management, imaging solutions, etc. are to be fully integrated. For example, all duplicate data entry should ideally be eliminated; an update to a table, screen or form should be available to all related components and subcomponents within the system architecture.	The Northpointe Suite is a fully integrated case management system supporting risk assessments, electronic document management, supervision management, and many other functions. Duplicate data entry is not required, and all modules are integrated together with a consistent interface. When a third party system is required to complete functionality, the Northpointe Suite supports real time bidirectional interfaces to eliminate duplicate data entry and improve data consistency.
		Describe how the proposed solution meets the component integration requirements for a single integrated pretrial system. Also, describe how your system integration complies with industry standards.	The Northpointe Suite features have a full set of published web services for querying and storing data. It also supports a notification system, using standard HTTP PUT requests, to other systems based on events using our web hooks. It uses standard SOAP web services as an incoming interface.
1.1	Application Programming Interface (API)	The proposed solution must provide an application programming interface (API). The Contractor shall describe the API, including functional scope, libraries, standards, protocol(s), supported language(s), any dependencies the API has on internal or external components and any corresponding documentation for the API.	The public API is implemented with SOAP web services. The full documentation for the API is located at https://webdocs.northpointesuite.com/npsuite/8.20.1/webservices/

#	Category	Requirements	Response/Description
		The Contractor shall describe the solution's capability to consume APIs hosted by external parties including governmental and non-governmental agencies.	The Northpointe Suite can interface with third-parties APIs through our DES broker. This broker service is a workflow service that can be configured to receive, transform, and send data through SOAP, REST, flat files, queries to databases, and many other methods.
1.2	Superior Court Interfaces		
1.2.1	API Maturity	The Contractor shall provide a description of existing application interfaces and/or automation currently being used with the proposed solution.	The Northpointe Suite SOAP based web service APIs are currently in use by many of our clients in county and statewide deployments.
1.2.2	Justice Partner Interfaces	The solution must be capable of sharing and exchanging electronic information with other members of the justice community and with key local, state and national information systems. The Contractor shall describe Justice Partner interfaces, including design, requirements, security and implementation methodology. The Contractor shall list the names and locations of courts or counties currently using this solution to provide interfaces to and/or from external justice partners. The Contractor shall also list the standards and formats used for these exchanges.	The Northpointe Suite has current interfaces with many in house developed solutions as well as other key justice partners in the industry. All of these use the Northpointe Suite standard SOAP web service API to prevent duplicate data entry and share information in a two way interface. State Information Systems WICS - Wisconsin Department of Corrections SOMS - California Department of Corrections and Rehabilitation Justice Partners: TriTech - Elkhart County IN, Catawba County NC, Marathon County WI, Sullivan County TN, Portage County WI, Durham County NC, LaCrosse County WI, Chesterfield County VA New World - Wayne County MI, Walton County FL, Hamilton County IN ETS - Charleston County Adult Detention Center SC Intellitech - Franklin County OH, Oakland County MI Beacon - Marion County FL Caliber Justice - Virginia Peninsula Regional Jail & Support Services VA, PCMS - San Diego Adult Probation Department CA Coris - Virginia DOC Tyler - Alameda County CA GTL - Norfolk County MA

#	Category	Requirements	Response/Description
			Securus - Sullivan County TN
1.2.3	Available API's	The Contractor shall describe available API's or automation not already covered in the above sections.	
1.3	Web Services	Contractor should provide a catalog of available Web Services, as well as sample documentation and schemas associated with available web services.	The full documentation with schemas is available at https://webdocs.northpointesuite.com/npsuite/8.20.1/webservices/
1.3.1.	REST	The Contractor shall describe the proposed solution's support for REST.	The Northpointe Suite does not publish public REST services, however using the DES broker, it can consume REST services from third party systems.

#	Category	Requirements	Response/Description
1.3.2.	SOAP	The Contractor shall describe the proposed solution's support for SOAP.	The Northpointe Suite SOAP based web service APIs are currently in use by many of our clients in county and statewide deployments.
1.4	Enterprise Content Management (ECM) Integration	The proposed system should provide or be designed to accommodate enterprise content management (ECM) integration. At the very minimum, it must provide support for document management. The Contractor shall describe the proposed product's ECM integration features including but not limited to: imaging, document management, work-flow, dashboards & portals. If applicable, the description should also encompass topics such as document life-cycle management, annotation, confidential documents, e-signatures, bar code recognition. Also, describe how document storage is compliant with National Institute of Standards and Technology (NIST) Special Publication 800-53.	The Northpointe Suite's integrated iDMS document management supports document management and supports redaction, annotation, e-signatures, and confidential document restrictions. It also interfaces with OnBase for a full document management solution.
1.4.1	Document Management System Integration	The Contractor shall describe the solution's level of integration & support for 3rd party document management systems. Include, but do not limit, response to the following document management systems:	The Northpointe Suite's integrated iDMS document management system has a built in interface with OnBase.
		· EMC Documentum	
		· IBM FileNet P8 and IBM FileNet Image Services	
		· Microsoft SharePoint	

#	Category	Requirements	Response/Description
		· Laserfiche.	
		· ImageSoft	
1.4.2	Image Capture System Integration	The Contractor shall describe the solution's level of integration & support for the following 3rd party imaging solutions. Include, but do not limit, response to the following systems:	The Northpointe Suite's integrated iDMS document management system has a built in interface with OnBase.
		· EMC Captiva	
		· ImageSource ILINX	
		· Kofax Capture	
		· IBM Capture	
		· IBM DataCap	
1.5	Work-Flow Integration		
	Role-based Work-Flow	The Contractor shall describe the proposed solution's ability to automate role-based work-flows from configurable business rules with multiple parameters and describe its ability to distribute the data to other processes, email, queues, views, notifications, data sources and external applications. Also, describe how the work flow engine manages and resolves task activity dependencies, rejected tasks and prioritization of tasks.	The Northpointe Suite's workload management system manages case managers workload and gives them easy access to dashboards displaying upcoming tasks and overdue tasks. It also gives case managers the ability to request task deferments from a supervisor.

#	Category	Requirements	Response/Description
	Time Standards, Ticklers & Notifications	The Contractor shall describe how the proposed solution notifies users of time standards and ticklers	All tasks due for cases managed are displayed on the case manager dashboards. Alerts on cases managed display in the footer of the application and allow the user to click the alert to take them to system/record alerting. Scheduled events can be configured to display a notification based on a configurable amount of time before the event. The ticklers appear in the footer of the application. SMS notification is an option to notify offenders of upcoming scheduled appointments or court dates.
	Job Scheduling	1. The Contractor shall describe whether the job scheduler supports prioritization.	The scheduler does not support prioritization of events.
		2. The Contractor shall describe the flexibility and granularity of scheduler configuration for recurring events.	The scheduler does not support recurring events.
		3. Is the scheduler capable of ignoring blocked off calendar days such as court configured holidays? If so, do the blocked off days have to be configured separately in the scheduler or can they be pulled from the CMS court calendar configuration?	The scheduler does not support automatic scheduling.
		4. Describe the scope of the job scheduler. For example, what types of objects, entities or tasks can be scheduled?	Users can manually schedule their own appointments or, if they have proper permissions, post it to another user's schedule as well. Offenders can also be added to these appointments.
		5. Will the scheduler/system provide alerts during performance impacts, during working and non-working hours?	The system does not automatically generate alerts, but an administrator can manually create alerts for this purpose.
		6. Describe if the Job Scheduler has the ability to define job dependencies and how it resolves/notifies when a	The scheduler does not support job dependencies.

#	Category	Requirements	Response/Description
		job dependency fails.	
		7. Describe the types of alerts that the Job Scheduler supports.	Users are notified with a tickler inside of the application. Offenders are notified via SMS.
1.7	Dashboard Integration & Business Intelligence	The solution should include a comprehensive business intelligence tool for the collection, retrieval, organization, presentation, and analysis of case data and statistics. The tool should include a dashboard feature that can display aggregate case statistics and/or specific case status data including approaching deadlines for case documents and filings. The dashboard should ideally be configurable based on operational role, such as an intake/assessment officer, assigned supervision officer, operations manager or judge. The Contractor shall describe the business intelligence capability included with the proposed solution, how data is collected and how it will be used to meet specifications, include the extent to which any screens or displays are individually configurable. Is Business Intelligence and dashboard included as part of the core product?	The Northpointe Suite features dashboards for displaying various statistics and important information about cases. The dashboards visibility can be configured by the user's role. It also features workflow dashboards that display upcoming or overdue tasks for the case manager. Additionally, the Northpointe Suite has an ad-hoc data export tool for users to select data and conditions of the data export.
1.8	Web Portal Integration	The Contractor shall describe and define the proposed solution's Web Portal and the support for Web portal integration.	The Northpointe Suite has successfully been integrated inside of client's portals but does not include a web portal.

#	Category	Requirements	Response/Description
		· Define the solution's Architecture of the Web Portal, i.e. is it integrated with the application or a separate stand-alone solution. If the Web Portal is integrated with the application, what security protocols are in place to ensure data security?	The Northpointe Suite is not a web portal and does not include a web portal. However, it does function inside of web portals and can be configured with a single sign on with the portal. All data into and out of the suite is transferred with TLS1.2.
		· Does the proposed solution integrate with court developed Web services?	The Northpointe Suite integrates with REST and SOAP web services using the DES Broker and can be integrated with any system that uses web services.
		· Describe the solution's ability to support distributed user administration of portal user accounts, including public accounts and justice partner account administration.	The Northpointe Suite does not support distributed user administration outside of Active Directory.
		· Describe how and to what extent the solution complies with United States Section 508 and Web Content Accessibility Guidelines (WCAG) 2.0.	The Northpointe Suite does not comply with Section 508 nor WCAG 2.0.
1.10	Support of NIEM Standards	Describe the extent your solution already incorporates NIEM standards or your ability to do so as part of the implementation. If your proposed solution is not currently in full compliance with NIEM standards, describe your plans to provide compliance.	The Northpointe Suite continues to allow clients to use configurable labels for data elements while retaining the structure of internal database naming conventions. Consideration for NIEM standards will be evaluated in fall 2020 with the release of NIEM 5.0
1.11	Information Exchange Packages (IEP)	Provide a list of the IEPs which are incorporated into your proposed solution.	There are currently no IEPs incorporated into the Northpointe Suite.
1.12	Pre-Established Integration	List and describe any pre-established integrations between the proposed solution and commercial software, such as Microsoft Outlook. Describe how the integration is designed to be	The Northpointe Suite scheduler can be integrated with any calendaring system that supports ics files to sync calendars. This includes Microsoft Outlook, Apple Calendar, and Google Calendar.

#	Category	Requirements	Response/Description
		used within the solution, as well as versions of the commercial software.	
2	**PRODUCT SCALABILITY AND PERFORMANCE**	The Courts/counties require a solution that meets and enhances operations. The solution must be aligned with industry standards, be highly reliable for daily operations, and designed to protect against catastrophic failures. The system must be scalable to accommodate an increase in data, documents and the number of internal and external end-users without noticeable degradation to performance. The Contractor shall respond to the following sections:	
2.1	Load Scalability	Describe what mechanisms are built into the proposed solution's architecture to allow it to easily expand and contract its resource pool to accommodate heavier or lighter loads.	The Northpointe Suite can be hosted through Northpointe using AWS in the GovCloud region. When the load is high, new servers can be added on demand.
2.2	Functional Scalability	Describe how the proposed solution will help minimize future level-of-effort required for enhancing or adding functionality. Describe how the proposed solution will allow for integration with custom designed solutions via web services or alternative technologies.	The Northpointe Suite provides SOAP web services and web hooks for interfaces with other systems as well as a broker customized integrations. The broker can consume a large variety of sources and can be configured with workflows to process the data without additional coding.
2.3	Administrative Scalability	Describe how the proposed solution would allow an increasing number of users to easily share a single distributed system.	The Northpointe Suite is scalable and has many statewide deployments in place with up to 15,000 users. It can be configured for use in multiple agencies with data segregation.

#	Category	Requirements	Response/Description
2.4	Geographic Scalability	Describe the proposed solution's architectural considerations for maintaining performance when scaling to distributed geographic locations. For example, if the solution were to be hosted by a court to serve users in a different geographical location. Provide examples of how systems have been deployed. Example should include how multi-instances are deployed in different geographical locations; including integration points between multiple instances.	The Northpointe Suite is web based and can be accessed from any geographic region needed. All integrations can also be performed encrypted over the internet.
2.5	Performance	The system must be designed to meet performance demands that could include multiple, concurrent, intensive transactions, such as batch processing and large, resource intensive reports without noticeable performance degradation. Describe how the proposed solution is designed to meet this requirement.	The Northpointe Suite is scalable to many thousands of users. Reporting and batch processing are optimized in the database to prevent any performance degradation. User designed and created reports are based on a separate reporting database to ensure performance of the transactional database.
2.6	Scalability and Performance Use Cases	List the name and location of the smallest and the largest county currently running the proposed solution. The Contractor shall describe how and who performs system/application tuning as system workload increases over time.	The smallest county is Albany County Court Treatment Program in Wyoming. The largest in user count is the California Department of Corrections and Rehabilitation. The largest in number of concurrent users is the Wisconsin Department of Corrections. CDCR is hosted on the CDCR servers in Sacramento. Wisconsin is hosted by equivant in the AWS GovCloud. equivant load tests the application on each release to verify the server capacity before performing updates and will add resources or servers as needed.
3	**PRODUCT SUPPORT MODEL**	The Contractor shall describe and provide ongoing services in support of the products comprising the solution and its usage after implementation. These services include, but are not	

#	Category	Requirements	Response/Description
		limited to:	
		· Warranties on software and deliverables;	These are set forth in Exhibit 3 of the Agreement.
		· Availability of a help desk to document and track incidents, problems, service requests; and coordination of Contractor resources to facilitate ticket resolution;	The county will be granted access to our incident tracking system 24 hours per day, 7 days a week. They will be able to create incidents, monitor the status, and communicate with the customer care team through this system. equivant also provides phone and email support, both of which will create tickets through the same system.
		· Provision of corrective maintenance via software updates and patches;	Hot patches for issues that affect the functionality are released as needed for software releases for up to one year after release. Hot patches for high priority items are released no more than two weeks after an issue is reported. If any issues to the software require fixes to the data, the customer care team works with the agency to help correct the issues with scripting to avoid manual clean up.
		· Software enhancements via version or release upgrades. Also include a copy of the standard support and maintenance agreement.	These are set forth in Exhibit 3 and 10 of the Agreement.
3.1	Organizational Structure	The Contractor shall address these items and respond to each of the following topics.	
3.1.1	Support Services	Submit an organizational chart depicting software and hardware support services. Include the number of employees and the number of contractors for each role. For contractors, either state that they are independent contractors or list the organization that they work for. Include charts for the following types of support:	

#	Category	Requirements	Response/Description
		1. Support services for a locally hosted solution	Contact equivant for Organizational Chart
		2. Support services for data centers hosting multiple counites	Contact equivant for Organizational Chart
		3. Support services for Contractor-hosted solutions	Contact equivant for Organizational Chart
3.1.2	Software Development Services	Submit an organizational chart depicting software development and quality assurance. Include the number of employees and the number of contractors for each role. If contractors are used either indicate that they are independent contractors or list the organization(s) that they work for.	Contact equivant for Organizational Chart
3.2	Scope of Coverage	Which of the proposed solution's internal and external components are covered by the support agreement? Describe the scope of coverage for each of the following areas:	Please refer to Exhibit 10 of the Agreement.
		1. Developer support	equivant support covers support of developers integrating with our API.
		2. Product enhancements	All product enhancements are covered in the support agreement.
		3. Software upgrades	All software upgrades are covered in the support agreement.
		4. Technical assistance	Technical assistance is covered in the support agreement.
		5. Bug fixes	Bug fixes are provided either by a new software release or through hot patches. Both are covered in the support agreement.

#	Category	Requirements	Response/Description
		6. Security patches	Security patches are provided either by new software releases, through hot patches, or server patches. All are covered in the support/hosting agreement. The standard patch window is between 9pm and midnight on the first Sunday of the month.
		7. Service requests	Service requests are not covered by the support agreement.
		8. Other types of support	
3.3	Support Levels, Service Availability and Responsiveness		
3.3.1	Help Desk Services	Describe your help desk services, including toll-free access, manned coverage hours (PST), and on-call availability to technical support staff. Identify available help desk option(s):	
		1. On-site support	On-site is not covered in the support agreement but can be provided for charge if required.
		2. Telephone-based support	Toll-free support is provided 8 AM-2 PM PST in the support agreement. The line is monitored 24/7 so we can be notified if a priority 1 issue is received. Priority 1 issues are not limited to normal business hours.
		3. E-mail-based support	Tickets can be created or updated via email. All email from the customer care team is logged in the ticket and can be viewed through the web based ticketing system.
		4. Online chat-base support	We do not provide online chat support.
		5. Web-based support	Agencies will receive an account to our web based ticketing system where they can monitor the status of all tickets and report incidents.
		6. Other	
3.3.2	Single Point of Contact	For solutions that involve multiple components or products from multiple Contractors it may be difficult for staff to determine in which system a	The help desk provides a single point of contact with no constraints or limitations.

#	Category	Requirements	Response/Description
		problem occurs. Thus, a single point of contact to coordinate the identification and resolution of the problem is essential. Indicate whether or not the Help Desk will provide single point of contact services to the Court and list any constraints or limitations which may exist in order to facilitate this.	

#	Category	Requirements	Response/Description
3.3.3	Problem Resolution Responsiveness	Describe the approach for identifying the severity/priority level of reported incidents or service requests and the service level target or guaranteed response times for responding to and resolving reported problems and requests at each level. Additionally, describe your escalation process to ensure that items which become more critical are resolved properly and timely.	This is set forth in Exhibit 10 of the Agreement.
3.3.4	Knowledge Base and “Self Service” Help Capabilities	Describe the availability of an online knowledge base that can be accessed directly by users and technical staff to obtain answers to frequently asked questions (FAQs), research symptoms and identify resolutions to known issues. Describe all “Self Service” help	The online ticketing system contains a self-help portal that contains many announcements, articles, white papers, recordings of webinars, user guides, and release notes. These are updated with each new release.

#	Category	Requirements	Response/Description
		capabilities and interactive services, such as an online forum where the users could exchange information with other customers.	
3.4	Software Updates & Security Alerts	Describe how users are notified of security patches, bug fixes, new releases and product enhancements. Include frequency of releases, and length of time allowed on a past release for support services.	Yes, The ticketing system and Portal are through Zendesk.
3.4.1	Product Life Cycle	Describe software lifecycle. (How long the product is supported after release, how long will it be in extended support, and end of support before a new version upgrade.)	The Northpointe Suite issues three releases per year. Each release is supported by hot patches for one full year. Technical support for the release extends past the year but the client may have to update to a newer version to fix the specific issue they are experiencing.

#	Category	Requirements	Response/Description
3.4.2	Product Development Life Cycle	Describe the product management process for new features and defect fixes. Also describe or provide examples of release managing and schedules.	There are 3 releases per year (typically March, July, November) to handle new features and defect fixes. For defects that impact a client's ability to effectively use the system in a production environment, a hot patch process for the current version may address defects for a specific issue. For all product improvement ideas, equivant uses Aha! to solicit and manage ideas from clients and users. Clients may always submit enhancement requests or product improvement ideas throughout the product management process. All ideas are managed, prioritized and assigned to a release based upon a product roadmap or client needs with approval from a Product Review Board. After specifications are written, development will occur with owner reviews as needed. Upon completion, the release is sent through a separate QA process before the release is finalized and made available. Release notes and a live webinars are provided to help customers determine if they will take the new release.
3.5	Warranty and Maintenance		
3.5.1	Warranty Services	Describe the warranty coverage, terms and duration provided for the software and deliverables provided pursuant to this RFP.	Please refer to Exhibit 3 of the Agreement.
3.5.2	Maintenance Agreement	Describe the coverage, terms and duration of the maintenance and support agreement. Note that cost information for the maintenance and support agreement is not to be	Please refer to Exhibits 3 and 10 of the Agreement.

#	Category	Requirements	Response/Description
		provided in this Technical Proposal.	
3.5.3	Corrective Maintenance	Corrective maintenance deals with the repair of faults or defects found. Describe the process for classifying and resolving software defects reported by the Courts after the warranty period. How often will a Court be expected to implement a corrective maintenance release?	When a ticket is created it is evaluated by the customer care team to determine if it is a software defect, a configuration issue, training issue, etc. If it is a software defect it is referred for review by the development team. Once accepted by the development team it is scheduled for either a release or a hot patch. Hot patches will only be created for releases up to one year from their release date. Courts are only expected to implement hot patches when it fixes a defect that they desire fixed or if it is a security issue. Please also refer to Exhibits 3 and 10 of the Agreement.
3.5.4	Adaptive Maintenance	Adaptive maintenance is required to adapt software to changes in the environment, such as from new releases of an operating system, or where changes to one integrated component affect another component. Describe the extent to which adaptive maintenance is included in the support model so that all core products continue to operate properly when any core product is modified due to an update issued by the Contractor. How often will a Court be expected to implement an adaptive maintenance release?	The Northpointe Suite has three releases a year containing new features and updated or optimized changes to existing features. Customers are expected to update at least once a year to stay current, however this is not a requirement.
3.5.5	Support for Changes Caused by Legislative Mandates	Updates and modifications to the software are periodically needed to meet legislative mandates and statutory requirements. Describe the extent to which providing such updates is included in your support agreement or whether these are considered custom enhancements. What is the estimated development to	Legislative mandates fall into our normal product improvement process with three releases per year. Requirements for changes are required 270 days before a release and exceptions are handled on a case by case basis.

#	Category	Requirements	Response/Description
		deployment timeframe for legislative mandates?	
4	**BUSINESS CONTINUITY**		
4.1	Reliability and Availability	The proposed system must be highly reliable and available for daily operations, including a fault-tolerant architecture to protect against catastrophic failures. In the event of a system failure, the system should have the capability to recover quickly, minimize loss of data and limit impact on operations.	
		Describe how the proposed solution is designed to meet the reliability and availability requirements and protect against failures. Identify specific capabilities that will be in place to ensure that transactions such as data entry, or data exchanges are fault resistant and recoverable without loss of data.	The data storage for the Northpointe Suite is Microsoft SQL Server. It is designed to operate with full transaction logs that are backed up every ten minutes and retained for two weeks. A snapshot of the backup drives is taken daily, copied to a geographically separated datacenter, and retained for 2 weeks. New virtual servers can be created from these snapshots on demand for minimal down time.
4.2	Business Continuity Architecture	The Contractor shall provide any additional information not already covered that relates to the following topics, including recovery time objectives; both from a system-wide perspective as an information technology professional and from the perspective of an end-user inside a high-volume county:	

#	Category	Requirements	Response/Description
		1. Fault Tolerance	Load balancing and auto scaling servers is available using our AWS hosting.
		2. Fail-Over	equivant does not provide hot fail over servers as part of our standard hosting agreement.
		3. Hot Backups	All backups and snapshots are created with the Northpointe Suite available to users.
		4. Disaster Recovery	The images of the servers are copied to a geographically separated data center on a daily basis. New servers can be created from these images on demand.
		5. Point-in-Time Recovery	The SQL log files backups are taken every 10 minutes and can be restored to any point in time if required.
		6. Version Rollback (i.e. when something goes wrong with an upgrade, update or a patch)	Backups are taken before any patch is applied and can be rolled back.
5	**PRODUCT MATURITY & CUSTOMER SATISFACTION**		

#	Category	Requirements	Response/Description
5.1	Existing Deployments	The Contractor shall list of all agency names and locations that are currently using the proposed solution. Please separate list by California and non-California agencies.	California Agencies Assess Expert, Inc Los Angeles County Sheriff's Department (CA) Sacramento County Sheriff's Department (CA) California Department of Corrections and Rehabilitation (CA) San Diego County Sheriff's Department (CA) University of California San Diego (CA) San Francisco Adult Probation Department (CA) Alameda County Probation Department (CA) Santa Barbara County Probation (CA) Lassen County Sheriff's Office (CA) Perspecta Enterprise Solutions, LLC (CA) for San Diego Adult Probation Dept. HealthRight 360 (CA) Los Angeles Sheriff Department - Youth Division (CA) Riverside County Probation Department (CA) Non-California Agencies Hamilton County Sheriff's Department (IN) Kent County Sheriff's Office (MI) Kalamazoo County Sheriff's Office (MI) Lander County Sheriff's Office (NV) Grant County Sheriff's Office (WA) Kennebec County Sheriff's Office (ME) Catawba County Sheriff's Office (NC) Lexington County Detention Center (SC) Marathon County Sheriff's Office(WI) Winnebago County Sheriff's Office (WI) Sarasota County Corrections (FL) Fulton County Sheriff's Office (GA) Australian Capital Territory Services The Difference Principle (WI) Urban League of Rochester, Inc. (NY) Laramie County Veterans Treatment Court (WY) Broward County Human Services Department (FL) Door County Sheriff's Office (WI) Professional Probation & Parole Consulting, Inc. (MI) Passaic County Sheriff's Office (NJ) Portage County Justice Programs (WI) Puyallup Tribe Probation (WA) Charleston County Sheriff's Office (SC) Wayne County Sheriff's Office (MI) Pinellas County Sheriff's Office (FL)

#	Category	Requirements	Response/Description
			Franklin County Sheriff's Office Virginia Department of Corrections (VA) Massachusetts, Commonwealth of DOC (MA) South Carolina Department of Probation, Parole and Pardons (SC) New York State Information Technology Services (NY) Michigan Department of Corrections (MI) Wisconsin DOC - Office of Secretary (WI) Michigan Department of Technology, Management & Budget (MI) Norfolk County Correctional Center (MA) Durham County Sheriff's Office (NC) Oakland County (MI) Kitsap County Sheriff's Office (WA) Collier County Sheriff's Office (FL) Ada County Sheriff's Office Hudson County Correctional Center (NJ) Lubbock County Sheriff's Office (TX) Cabarrus County Sheriff's Office (NC) Berrien County Sheriff's Department (MI) Eaton County Sheriff's Office (MI) Marion County Sheriff's Office (FL) Unified Government of Athens-Clarke County (GA) Walton County Sheriff's Office (FL) Elkhart County Sheriff's Office (IN) Bernalillo County (NM) Project More, Inc (NY) New Mexico Corrections Department (NM) North Dakota Division of Juvenile Services (ND) Wyoming Department of Corrections (WY) GEO Group, Inc. (FL) Washington D.C. Department of Corrections (DC) Albermarle Charlottesville Regional Jail (VA) Brown County Sheriff's Office (WI) Saginaw County Sheriff's Office (MI) Clinton County Sheriff's Office (MI) Twin Falls County Sheriff (ID) LaCrosse County Sheriff's Department (WI) Ashland County Law Enforcement Center (WI) Sullivan County Sheriff (TN) Sauk County Sheriff Office (WI) Monroe County Sheriff's Office (MI) Polk County Sheriff's Office (IA)

#	Category	Requirements	Response/Description
			Kenosha County Sheriff's Department (WI) Outagamie County Jail (WI) Portage County Sheriff's Office (WI) Muskegon County Sheriff's Department (MI) Washtenaw County Sheriff's Department (MI) Osceola County Corrections Department (FL) Jay County Sheriff's Department (IN) Kootenai County Sheriff's Department (ID) Sebastian County (AR) Lane County Sheriff's Department (OR) Harnett County Sheriff's Department (NC) Coryell County Sheriff's Office Wisconsin DOC Region 3 Office (WI) Cumberland County (NJ) Chesterfield County Community Corrections (VA) Pine Rest Christian Mental Health Services (MI) Somerset County Probation (PA) EAC NYC TASC (NY) Ottagon Addictions Recovery Center, Inc. (MI) Essex County Correctional Facility (NJ) SEPTA Correctional Facility (OH) Salvation Army (MI) Sault Ste. Marie Chippewa Tribal Court Bexar County (TX) Dodge Co. Information Technology Department (WI) SHAR, Inc. (MI) Osborne Association (NY) Albany Co. Court Supervised Treatment Program (WY) Lycoming County (PA) Kalamazoo Probation Enhancement Program (MI) Winnebago County (WI) Clinton County Information Technology (MI) Michigan Office of Community Corrections (MI)
5.2	Customer Retention Ratio	The agencies shall score customer retention ratio based on the number of customer's planning to move off Contractor’s products vs. number that are remaining with or planning to transition to Contractor’s products. Please provide your customer recommendations or trade publications regarding their solution? A Contractor’s response to this item is optional.	Contractor's average annual customer account attrition rate is 3.5% over a 24-month period.

#	Category	Requirements	Response/Description
6	**USER INTERFACE EVALUATION**	The Contractor shall describe the user interface (UI) features that differentiate the proposed solution from competitive solutions. The description should include, but not be limited to the following categories:	
		· Data entry efficiency and customizable data entry screens	We have broad coverage data entry validation in our UI. We leverage tabs, tab order to improve data entry efficiency. The left hand navigation provides ease of use for users. The Suite itself is not responsive, but usable on some mobile devices (iPad, cell phone, etc.)
		· Efficiency of configuration screens	The configuration screens are organized to walk the users through the configuration of the Northpointe Suite. Further, an administrator can add configurable codes from any screen that is using the codes without having to go to configuration.
		· Mobile optimization and responsiveness	We have broad coverage data entry validation in our UI. We leverage tabs, tab order to improve data entry efficiency. The left hand navigation provides ease of use for users. The Suite itself is not responsive, but usable on some mobile devices (iPad, cell phone, etc.)
		· Efficiency of movement between screens & functions	Workflow configuration allows the agency to configure the flow from screen to screen and can follow the function the user performs.
		· Search and look-up efficiency	Several different search options are available. Users can search by a variety of combinations such as name, any identification number, date of birth, gender, race, status, height range, weight range, eye and hair color, case status, next court date, , aliases, monikers, military history, gang status, risk assessments, and many others as well. Also, a quick search feature is present on the header of every page that will search by name and any identification number for quickly finding and opening a different case.

#	Category	Requirements	Response/Description
		· UI consistency across the suite of product components	The Northpointe Suite provides a single consistent UI experience as all of the application was developed by equivant without interfacing with external applications.
		· Unobtrusive alerting and notification mechanisms	Notifications appear in the footer of every page with a red highlighted number next to the icon for notifications.
		· Intuitive screen, form and button layouts	All screens have a consistent and intuitive look and flow with consistent buttons and menus.
		· Ability to cut and paste from external applications, such as Microsoft Word and Adobe Acrobat Reader	Copy and paste is compatible from external applications.
		· Quick access keys and look-ahead typing	The Northpointe Suite features quick access icons in the footer of every page for viewing and opening the most important information to the case manager. Look-ahead typing is available where appropriate.
		· Minimal scrolling	Scrolling is minimal through the entire application.
		· Effectiveness of application help features	Every page in the Northpointe Suite can have custom uploaded help documents so the client can customize the documentation to match their processes.
		· Screens designs inspired by users, not programmers	The layout was designed in consultation with practitioners.
		· Screens uniquely designed for specific roles, such as intake, risk assessment and supervision officers	Great care was taken in designing the layout of screens based on roles of the users. Where appropriate, sections of pages will not be visible, based on workflow and security configuration, to users that do not perform that task.
		· UI responsiveness based on good architectural & software design.	The Northpointe Suite is designed as a single page application with a responsive UI.
		· The use of mouse navigation, clicks and control keys.	The entire application is navigable by mouse with clicks. Users caseloads and recently opened cases can be viewed and opened without having to search.
7	**REPORTS & SYSTEM GENERATED DOCUMENT CAPABILITIES**	The agencies require that the application be capable of producing system documents and reports. A system generated document receives	

#	Category	Requirements	Response/Description
		data from the application and produces a document for final editing by the user.	
		Describe in detail how the proposed solution will meet this requirement. List all existing or “canned” reports included in your solution. Explain how local reports will be created. Respond to the following:	Users can create their own reports using the ad-hoc reporting tool included in the Northpointe Suite. Also, canned reports can be copied and edited to create custom reports. Listing of canned reports: Active Caseload Count by Case Manager Active Cases by Case Manager Actual Supervision Level Approved All cases assessed with VASOR by Scores Annual Bookings by Primary Charge Assessment Completed but No Case Plan, per Supervision Level Assessments Completed Per User by Assessment Type and Supervision Level Case Plan Needs Successfully Addressed Case Plan Task Completion Codes Case Plan Task Outcomes Case Term Reasons Case Termination Reasons - Successful vs. Unsuccessful Case Termination, by Offender, Termination Date and Termination Type Case Terminations in Past 3 Months Caseload by Core Violence Risk by General Risk Caseload by Criminal Activity Summary Caseload Case Plan Summary Caseload Having a Gang Affiliation Caseload Roster Cases by Employment Status Cases Currently Enrolled in School Common Triggers Per Need Area COMPAS Core Recommended Supervision versus Actual Supervision Level Current and Historical Caseload by Correctional Mental Health Screener Scores Current and Historical Caseload by Static99R Score Current and Historical Caseload by TCU Drug Screener Score Current Caseload by Drug Test Results Current Caseload by Employment Status Current Caseload by Gang Type

#	Category	Requirements	Response/Description
			Current Caseload by High School Completion Status Current Caseload by Legal Status Current Caseload by Marital Status Current Caseload by Referral Source Current Caseload by Typology Assignment Current Caseload: Goal and Task Language in each Offender's Case Plan, per Risk and Need Level. Current Cases by General Recidivism Score and Deciles Current Inmate Length of Stay Tabulation Current Inmate Roster by Length of Stay and Current Security Level Current Inmates with Active Holds/Detainers Current Inmates with High Risk or Special Condition Flags Current Inmates with Military Background Current Jail Inmate Roster Current Minimum Level 8 or 9 Inmates by Total Time on Minimum Security Status and Total LOS Current Minimum Security Medium Risk Inmates Date of Last Clean Drug Test, Per Offender (open cases) Drug Testing Frequency Drug Testing Results, By Drug Type Drug Tests Run, Per Tester Due for Inmate Classification Review Electronic Monitoring Program Eligibility Employment History Past 12 Months Full Core Assessments by Typology Assignment High Risk Offenders with a Cognitive Need. High Risk, High Sex Offender Treatment Need High Risk, High Substance Abuse Need and Motivated for Alcohol Treatment High Risk, High Substance Abuse Need and Motivated for Drug Treatment High Risk, High Substance Abuse Need, Motivated for Alcohol Treatment High Risk, High Substance Abuse Need, Motivated for Drug Treatment High Risk/High Sex Offender Need High Violence Risk Offenders in Need of Anger Management Intervention

#	Category	Requirements	Response/Description
			Historical Inmate Population by Primary Offense Category by Crime Class Historical Inmates by Primary Offense Category, Crime Class and LOS Homeless Offenders Inmate Population by Primary Offense Category and Crime Class Inmates by Primary Current Charge Jail Roster of Minimum Security Inmates Lab Test Results Medium Security and low or Medium Risk Inmates Minimum Pre-Sentence by Total and Average LOS Minimum Security and Low Risk Inmates Most Common Goals Used in Case Planning Most Common Need Areas Addressed in Case Planning Need Areas per Offender Number and Percentage of Assessments Completed Per User Offender Education Profile Offender Interests Offender Population by Job History (Past 12 Months) and Current Employment Status Offender Strengths, by Risk Level Offenders with Missed Drug Tests, by Appointment Date (open cases) Open Case Plans Updated Open Cases by Custody Status Percentage of Drug Tests Positive vs. Negative Percentage of Drug Tests Tampered With Percentage of High Risk Offenders with Cognitive Treatment Needs Percentage of High Violent Risk Population in Need of Anger Management Intervention Percentage of Missed Drug Tests Percentage of Open Cases in which Restitution is Ordered Percentage of Person Records with Interests Specified Percentage of Population with Stable vs. Unstable Housing Percentage of Sex Offenders Required to Register Who are Actually Registered. Percentage of Substance Abusers with a Mental Health Issue

#	Category	Requirements	Response/Description
			Population by Assessment-Recommended, Officer-Recommended and Approved Supervision Level Population by Educational Level Positive Drug Tests by Offender, Date, Type and Result (open cases) Primary Current Offense Category Primary Offender Strengths Listed Primary Offense Category by Crime Class Recommended Supervision Level vs. Actual Supervision Level Roster of Incomplete Assessments, by User, with Non-completion Reason Roster of Offenders' Drug Test Frequency, by Recidivism Risk and Substance Abuse Need Roster of Unregistered Sex Offenders Sex Offender Caseload Time Served on Sentenced Status Time Served on Unsentenced Status
		1. Is the proposed solution compatible with 3rd party reporting tools?	Yes. The Suite is compatible with 3rd party reporting tools through ad hoc database.
		2. If so, can all database fields be accessed using external reporting	Yes, The Suite is compatible with 3rd party reporting tools through ad hoc database.

#	Category	Requirements	Response/Description
		tools?	
		3. Describe how complex queries and/or large data set queries are optimized with the proposed solution.	Northpointe Suite's reporting system creates the queries against a separate reporting database as to not affect the production transactional database. Every night this database is updated and optimized for these queries.
		4. Describe the recommended method(s) for mining & analyzing data with the proposed solution.	Data exported from the Northpointe Suite's reporting system is a standard flat file and can be used with any third-party BI solution.
		5. Describe standard reporting categories and criteria available to the end user.	The included stock reports cover the entire scope of the Northpointe Suite. In addition to this, most data entry screens have a printable version that can be printed individually or as part of a print packet for a case. For instance, a user could print the basic case information, assessments, conditions of supervision, and violations of conditions as one report.
		6. Describe the application's ability to create ad hoc reporting and user defined report generation schedules.	The system has a full ad-hoc reporting solution where the users can select data elements and create conditions, totals, and sorting. It supports chart creation as well as standard listings. The ad-hoc reports query a reporting database that is refreshed nightly.
		7. Describe PTRA's capabilities for generating reports based on statistical & AI/ML models including descriptive, predictive & preventative reports.	The data for these reports would be exported from the data extract tool in imported into the counties data modeling or reporting system.
8	**FORM GENERATION & PROCESSING**	The Contractor shall describe the proposed solution's form generation and processing capabilities. List any internal tools that are used and describe the level of integration and support for 3rd party forms and/or form tools.	The Northpointe Suite supports form generation integrated with Microsoft Word. A mail merge document is created in Word and uploaded. It then lets the user map the mail merge fields with data elements from the case. The forms can then be created and output in a variety of formats including Word and PDF. The created forms are stored in the document management system and can also be printed.

#	Category	Requirements	Response/Description
9	**SYSTEM ARCHITECTURE**	Product must have minimal impact on external client workstation applications that are run concurrently. Please describe any dependencies or limitations while running the application concurrently on a workstation with other applications. Please note that all answers should include a physical/local solution and a cloud solution, such as AWS or MS Azure.	The Northpointe Suite can be hosted through Northpointe using AWS in the GovCloud region or the agency can manage their own servers and host on premise. The server load for the Northpointe Suite is dependent on the number of concurrent users. The workstation load is simply running a web browser.
		Product should not alter the behavior of the underlying operating system on the client. Please describe if there is any impact to the underlying operating system upon installation of the system.	There is no impact to the underlying operating system.
9.1	Diagrams & Documentation	Describe the overall system architecture and topology for your proposed solution. Include information on the underlying platforms and software on which the core components, such as case management, content management and risk assessment are built and supported. Please provide recommended topology, service environment and installation model. Describe the benefits of this architecture for the agencies as well as any constraints or risks that will need to be addressed to ensure the success of the architectural approach. Contractor shall provide draft architecture documents and diagrams	If hosting on-prem, the Northpointe Suite requires one web server (IIS) and one Microsoft SQL Server. It is fully self-contained and all modules (case management, risk assessments, reporting, etc.) are components in this single application. The SQL Server requires two databases, one transactional database and one reporting database. No on-prem servers are required for equivant's AWS GovCloud hosted option. A requirements matrix is attached that specifies server architecture for on-prem installs based on number of concurrent users and recommended configuration.

#	Category	Requirements	Response/Description
		as needed to illustrate the system's architecture for the following environments:	
		1. Production environment for with less than 250 users	A customer with 11 – 50 concurrent users: Application Server Minimum Requirements are Memory: 8GB, Processor: 2 core – 64-bit 2.0Ghz, Hard Drive, Driver space requirements vary depending on modules used, Software Requirements: Operating System – Windows Server 2012 R2 (Minimum), Windows Server 2016 recommended if the agency will be using failover clusters or *Always on Availability* groups at any time from implementation into the future, known issues exist with the clustering code in older version and will impact performance negatively; Internet Information Services (IIS) 7, IIS 8.5 recommended for Windows Server 2012 R2; .Net Framework 4.5. Database (SQL) Server Minimum Requirements are Memory: 8GB; Processor: 2 core – 64-bit 2.0Ghz, 4 core recommended; Hard Drive: 128GB, drive space requirements will vary depending on modules used; Software Requirements: SQL Server 2012 R2 (minimum), SQL Server 2016 *recommended*, latest SQL Server updates and Service Packs.
		2. Production environment for 250 to 500 users	A customer with 51 - 100 concurrent users: Application Server Minimum Requirements are Memory: 8GB,

#	Category	Requirements	Response/Description
			Process: 4 core – 64-bit 2.0Ghz, Hard Drive: drive space requirements vary depending on modules used, Software Requirements: Operating System – Windows Server 2012 R2 (Minimum), Windows Server 2016 recommended if the agency will be using failover clusters or *Always on Availability* groups at any time from implementation into the future, known issues exist with the clustering code in older version and will impact performance greatly, Internet Information Services (IIS) 7, IIS 8.5 recommended (Windows Server 2012 R2 – Minimum), .Net Framework 4.5 Database (SQL) Server Minimum Requirements are Memory: 16GB, Processor: 2 core – 64-bit 2.0Ghz, Hard Drive: 128GB, drive space requirements will vary depending on modules used; Software Requirements: SQL Server 2012 R2 (minimum), SQL Server 2016 recommended, latest SQL Server updates and Service Packs.
		3. Production environment for 500+ users	A customer with 101 - 350 concurrent users: Application Server Minimum Requirements are Memory: 16GB, Process: 4 core – 64-bit 2.0Ghz, Hard Drive: drive space requirements vary depending on modules used, Software Requirements: Operating System – Windows Server 2012 R2 (minimum), Windows Server 2016 recommended if the agency will be using failover clusters or *Always on Availability* groups at any time from implementation into the future, IIS 8.5 recommended for Windows Server 2012 R2, .Net Framework 4.5 Database (SQL) Server Minimum Requirements are Memory: 16GB, Processor: 4 core – 64-bit 2.0Ghz, Hard Drive: 128GB, drive space requirements will vary depending on modules used, additional space will be necessary if multiple modules are licensed; Software Requirements: SQL Server 2012 R2 (minimum), SQL Server 2016 recommended, latest SQL Server updates and Service Packs.
		4. Data center hosting over 2500 users from multiple agencies	A customer with 351 – 2000 concurrent users from multiple agencies: Application Server Minimum Requirements are two application servers may be required, required load balancing capabilities configured and functional; Memory: 16GB, Process: 4 core – 64-bit 2.0Ghz, Hard Drive: drive space requirements vary depending on

#	Category	Requirements	Response/Description
			modules used, Software Requirements: Operating System – Windows Server 2016, IIS 8.5 recommended (Windows Server 2012 R2 – Minimum), .Net Framework 4.5 Database (SQL) Server Minimum Requirements are Memory: 32GB, Processor: 4 core – 64-bit 2.0Ghz, Hard Drive: 128GB, drive space requirements will vary depending on modules used, additional space will be necessary if multiple modules are licensed; Software Requirements: SQL Server 2016, latest SQL Server updates and Service Packs.
		5. Contractor hosted infrastructure	The Northpointe Suite is a web-based application that may be hosted using an intranet or internet network architecture. Database server space requirements may vary depending on the user base, modules licensed and the transaction volume. equivant provides hosting services for agencies if desired, to help control the capital outlay required to purchase the required hardware and software.
		6. Disaster recovery environment	For on-prem installs, equivant does not provide guidance on disaster recovery.
		7. Development & testing environment	equivant includes a testing environment as standard. A development environment is an optional upgrade.
		8. Training environment	A training environment is an optional upgrade.
		9. Reporting environment	A separate reporting environment is not necessary as a reporting database is included in each environment.
		10. Other recommended environments	
9.2	Components	Provide a list of the proposed solution's mandatory and optional internal and external components. Respond to the following for each component:	The Northpointe Suite is a complete solution and does not rely on the use of external components. All internal components are proprietary and not disclosed.
		1. Is the component required for core functionality?	
		2. Provide a functional description of the component.	

#	Category	Requirements	Response/Description
		3. If the component does not work on all of the previously mentioned platforms, identify its limitations.	
		4. Describe and/or diagram how the component is coupled to other components.	
		5. List communication protocols and/or standards used by this component.	
		6. List any dependencies this component has on other internal or external components.	
		7. Identify the support model under which this component is covered.	
		8. Can the component be leveraged in a cloud environment or is it required to be installed locally or on a physical device.	All features are available to both on-prem and AWS hosted with the exception of Active Directory integration being exclusive to on-prem.
9.2.1	Web Servers	Describe the supported Web Servers and their versions.	IIS 8.5 or newer
9.2.2	Oracle Products	If proposed solution is based on Java technologies, describe support for Oracle WebLogic application server and the supported versions.	equivant does not use Java technologies.
9.3	Computing Environment	List the names of all supported computing environments in the following section. Identify the version and Contractor's level of support for each.	Web Server: Windows Server 2012r2 or newer with IIS 8.5 or newer SQL Server: Microsoft SQL Server 2012 (Standard, Web, or Enterprise) or newer Northpointe does not support Windows Server or SQL Server with on premise configurations. equivant supports all server configuration, maintenance, patching, and recovery on AWS hosted configurations.

#	Category	Requirements	Response/Description
9.3.1	Hardware Environment:	Describe the hardware environment required to utilize the proposed software in a local data center and a cloud hosted datacenter. In the event there is more than one suitable hardware platform, list the best options indicating the relative strengths and drawbacks (if any) of each. Detail the necessary hardware for each of the following environments:	A requirements matrix is attached that specifies server architecture for on-prem installs based on number of concurrent users and recommended configuration. No on-prem servers are required for equivant's AWS GovCloud hosted option.
		1. Production environment for less than 250 users	
		2. Production environment for 250 to 500 users	
		3. Production environment for 500+ users	
		4. Data center hosting over 2500 users from multiple courts/counties	
9.3.2	Network Environment:	Describe the network environment required to utilize the proposed software for a local data center and a cloud hosted data center. In the event that there is more than one suitable network configuration, list options indicating any relative strengths and drawbacks of each. Detail the necessary network infrastructure for each of the following environments:	equivant does not make recommendations for local networks for on-prem installs. A broadband connection is the only network requirement for using the AWS GovCloud hosted option.
		1. Production environment for less than 250 users.	
		2. Production environment for 250 to 500 users.	
		3. Production environment for 500+	

#	Category	Requirements	Response/Description
		users.	
		4. At a center hosting over 2500 users from multiple courts	
9.3.3	Operating System(s):	Identify the operating system(s) required by the proposed application software and other architectural components. In the event there is more than one suitable operating system, list all options indicating any relative strengths and drawbacks of each.	Workstations require a web browser and is not operating system dependent. Web Server: Windows Server 2012r2 or newer with IIS 8.5 or newer Windows Server with SQL Server: Microsoft SQL Server 2012 (Standard, Web, or Enterprise) or newer
9.3.4	Desktop Requirements:	Identify the desktop computer hardware and software specifications that are required by the solution. Include typical requirements for a "power user," occasional/casual user, report viewer, system administrator and work requester. Also, note if local administrative access is required on desktops and in what situations that would be required. Detail the necessary desktops for each of the following environments:	Workstations require a web browser and does not require administrative access. This is the same regardless of the number of users.
		1. Production environment with less than 250 users	
		2. Production environment for 250 to 500 users	
		3. Production environment for 500+ users	
		4. Data center hosting over 2500 users from multiple agencies.	

#	Category	Requirements	Response/Description
9.4	Client Web Browser Requirements	If the application is web-based, list the supported web browsers. Include version and level of support. Describe the browser plug-ins or ActiveX controls required for the solution.	IE 11, Chrome, Edge, and Edge (Chromium) are all fully tested and supported. No browser plug-in or controls are required for base functionality. If signature capture with Topaz signature pads is desired, SigWeb drivers and plug-in is required.
9.5	Virtualization	Include the version and level of support when responding to the following questions:	
9.5.1	Server Virtualization	List the names of the proposed solution's supported server virtualization platforms or cloud services (IAAS)	AWS for equivant hosting Any virtualization platform that can host our supported Windows Server for on premise
9.5.2	Desktop Virtualization	List the names of the proposed solution's supported desktop virtualization, thin-clients and/or zero clients. Does your solution allow for other hardware within the virtual desktop environment, such as tablets or smartphones?	Clients only require a supported web browser which could be used through a thin-client if desired. This is true for tablets and smartphones as well.
9.6	Data Management		
9.6.1	Database Platform(s):	The Contractor should identify the ideal database platform for the proposed software. In the event there is more than one suitable database platform, list all options indicating any relative strengths and drawbacks of each. Detail the database architecture for each of the following environments:	No on-prem servers are required for equivant's AWS GovCloud hosted option.
		1. Production environment with less than 250 users	
		2. Production environment with 250 to 500 users	
		3. Production environment with	

#	Category	Requirements	Response/Description
		500+ users	
		4. Data center hosting over 2500 users from multiple courts/counties	
9.6.2	Supported Databases	List supported databases, including the version and level(s) of support.	Microsoft SQL Server 2012 or newer is fully supported.
9.6.3	Data Consistency	Describe how data consistency is handled within the proposed solution.	The Northpointe Suite uses a fully relational normalized database to prevent duplicate data entry and promote data consistency.
9.6.4	Database Environments	Does the solution allow for multiple environments for data, such as test, development or high availability?	Our standard contracts allow for two environments (production and test). Additional environments can be negotiated.
9.6.5	Stored Procedures & Views	Describe how stored procedures and views are used within the proposed solution.	The database uses many stored procedures for selects, inserts, and updates. It also uses stored procedures for special processing tasks such as building the reporting database.
9.6.6	Database Components	In addition to the database server describe any software components that are required to run on Database Server.	No additional components are required.
9.7	Software		
9.7.1	Licensing & Ownership	Specify the customer's ownership and licensing rights with regard to the proposed software. Describe for both internal and external components. If the solution proposed uses open source software, the Contractor should provide indemnity. Also, describe how enhancements paid for by one California agency will be made available to other agencies without duplicating payment for the development effort.	equivant has developed and owns all rights to the Northpointe Suite. All components are internal components. All enhancements paid for by other clients are made available to other agencies without duplicating payment.
9.7.2	Code Transparency	1. Specify whether source code is viewable by agency.	The source code is not viewable by anyone outside equivant.
		2. Will agency have access to version control repository?	The agency does not have access to the version control repository. Placing the source code in escrow is an option.

#	Category	Requirements	Response/Description
9.7.3	Languages	Specify software language(s) used for the following components:	
		1. Core Components	VB.NET, C#, JavaScript
		2. Add-on Components	VB.NET, C#, JavaScript
		3. Scripting/Automation	VB.NET, C#, JavaScript
		4. Database Manipulation and Queries	T-SQL
9.7.4	Portability & Extensibility	1. Will agency have the ability to compile the code in-house?	No
		2. What tools or packages are recommended for development?	The API is standard SOAP web services and any tool or language that can call web services is appropriate.
		3. Are the recommended tools included with the proposed solution?	No
9.8	Security	The proposed solution shall include access controls over functions as well as ensuring the confidentiality of sensitive and private information. Describe the overall security features of the system. Explain how software and hardware security controls are used to enable or restrict access to documents, functions and data. Identify integrity features which would enable multiple user groups such as courts and justice partners to share the system and have access to the same data while maintaining data integrity.	The Northpointe Suite has two basic forms of security, role based, and case based. Role based security describes what functions a user can access in the system. Case based describes the which cases the user performs those functions on. Users can be assigned to one or more roles. Case based security is based on the user's agency. Users are assigned to one agency and users have access to that agencies data. Additionally, users can be assigned inter-agency access in read only or full access modes.
9.8.1	Authentication	List the supported methods of authentication. Describe the degree to which the authentication method is supported (full or limited support) and if applicable, specify the protocol and version number.	For AWS deployments, named users with passwords is the only authentication method. On premise deployments additionally support active directory authentication so users do not have to be maintained inside the Northpointe Suite.

#	Category	Requirements	Response/Description
		9.8.1.1 Describe authentication integration with solutions like Computer Associates SiteMinder, Microsoft Active Directory, Office 365 and protocols such as OAuth.	Active Directory (AD) groups can be mapped to roles and agencies in the Northpointe Suite. When a user signs into the Northpointe Suite, it will either create or update the user's information from AD. When users are deactivated in AD or removed from a mapped group, it will deactivate the user in the Northpointe Suite.
9.8.2	Access Control	Describe how access control is managed within the core application, database and across internal and external components.	The Northpointe Suite uses named users and passwords for identity management. Within the application, it has two basic forms of security, role based, and case based. Role based security describes what functions a user can access in the system. Case based describes which cases the user can perform those functions on. Users can be assigned to one or more roles. Case based security is based on the user's agency. Users are assigned to one agency and users have access to that agencies data. Additionally, users can be assigned inter-agency access in read only or full access modes. All sessions to the application are protected with an encrypted, randomly generated session ID which prevents hijacking of users sessions and guarantees the identity of the user. Users do not have access to the database and no external components are employed.
9.8.3	Justice Partner, Public & Remote or Internet-Based Access	Describe security for remote access into the system for end-users and justice partners. Include but do not limit to encryption methods for data protection both in transit and at rest, browser requirements and authentication methods.	All access to the Northpointe Suite is through the web browser. equivant hosting in AWS is encrypted at rest (encrypted EBS volumes) and in transit (TLS 1.2) using any of our supported browsers. Authentication is by named user and password. The passwords are not stored, rather a hash of the passwords is stored.
9.8.4	Security Logging	Describe the methods for logging access to the end user applications, data and user configuration/maintenance screens. Identify event types captured, how access to the log is made and how security of the log is provided.	The event log is configurable as to the events that the agency wishes to capture. Types of events captured include opening of cases, creation/ update/deletion of records, new violations, risk assessment calculated, and so on. Access to the event log is determined by user's role and no users can delete records from the event log.

#	Category	Requirements	Response/Description
9.8.5	Encryption		
9.8.5.1	Protocols & Standards	List encryption protocols and standards used by the proposed system. Include version numbers when applicable.	TLS 1.2 for web encryption AES-256 for data storage
9.8.5.2	Encrypted Communications	Specify encryption methods used for communications between client, server, data replication and any external components.	TLS 1.2
9.8.5.3	Encryption of Sensitive Data	What methods does the proposed solution use to protect sensitive data like social security numbers?	Social security numbers are stored encrypted in the database using AES-256
		1. Describe what data elements are currently configured to be sensitive data.	Social security numbers.
		2. Is there a configuration option or mechanism to define what data elements are sensitive data and subject to encryption.	No
9.8.5.4	Other Encryption	List any other encryption used by the proposed solution, include local and cloud installation.	
9.8.6	Security Zones	Describe security design features preventing malicious input into the system	The Northpointe Suite sanitizes all data entry fields as well as uses parameterized queries to prevent SQL injection attacks. Users cannot directly write SQL for reporting but use a GUI which generates SQL and applies the proper case based security so users cannot report on data they do not have access to.

#	Category	Requirements	Response/Description
9.8.6.1	N-Tier architecture design supporting security zones	Describe if the proposed solution can be deployed in an n-tiered environment protected by security zones.	The Northpointe Suite is deployed with 1 or more web servers (if more than one server is used, it is only for load balancing) and with 1 SQL Server. When hosting through Northpointe, these servers are not public facing as the web traffic comes through an AWS Elastic Load Balancer.
9.8.6.2	Security Requirements	Provide the proposed products application documentation for security processes, network protocols and ports.	HTTPS traffic through 443 is the only protocol required when using equivant's AWS hosting. For on premise installs, the web server would communicate with the SQL Server over TCP 1433.
9.8.7	Proxy Support	Describe the proposed products use with proxy services, devices and/or applications that have been used with the proposed system.	Any proxy service in use by other clients were configured and supported by the client. equivant does not track our client's infrastructure.
9.8.8	Integration with Existing Identity Management Systems	List and describe which Identity Management Systems are currently supported and how it's integrated.	Active Directory groups can be mapped to roles and agencies in the Northpointe Suite. When a user signs into the Northpointe Suite, it will either create or update the user's information from AD. When users are deactivated in AD or removed from a mapped group, it will deactivate the user in the Northpointe Suite.
10	**CONFIGURATION CONSTRAINTS**	The proposed solution should be highly configurable and allow the majority of changes to reference tables, screens, reports, forms, documents, help screens, business rules and work-flow to be made with configuration tools rather than custom code. The Contractor shall describe the overall level and manner of system configurability with regards to these items. Does the proposed solution allow approved copying of existing live configuration for common configuration items (conditions of	Reference tables, forms, and help screens are fully configurable through the GUI without custom code. Many business rules are configurable through application setting changes, but some rules may not be able to be configured and require custom code. The workflow configuration allows the administrator to enable/disable and change the ordering screens as users work through cases. Screens are not fully configurable, but some screens can be disabled as well as custom fields added to many. Ad-hoc reports can be added and rights to run these reports granted to users through administrator functions. It does not allow for copying of live data into configuration.

#	Category	Requirements	Response/Description
		release, reporting instructions, other)?	
10.1	Responsiveness to Required Changes	The proposed solution must be designed to enable the user to respond in a timely manner to legislative mandates and changes in regulations without the need for significant involvement by IT personnel. However, the system must also have the option to secure configurable options from user manipulation. This includes the use of table-driven parameters and menu capabilities that enable system administrators to tailor the system to meet their operational needs. Describe how the system is designed to meet this requirement.	Support with configuration changes is covered in the support and maintenance agreement. All configuration is secured by role to prevent unauthorized changes. If regulations are changed, equivant recommends changing the configuration in the testing environment first to verify the changes made fit the desired result.
10.2	Role-Based Preference	The proposed solution should ideally have the capability to configure role-based preferences that enable users to interact with the system more efficiently. Identify and describe the proposed solution's support for role-based preferences.	Security in the Northpointe Suite is role based. Users may have one or more roles with optimistic security (if one of the roles grants permission to a function, the user has permission). Roles are fully configurable, and each function of the software can be assigned to the role. For example, access to the person record could be assigned to a case manager role as read and write but not delete and another role could have read only access to the person record.

#	Category	Requirements	Response/Description
11	INSTALLATION, ADMINISTRATION & MAINTENANCE		
11.1	Tools	The Contractor shall list the recommended tools for administration and maintenance of the proposed solution, including the core application, the database and all internal and external components. If the tools are not included in the base offering then identify them as such.	No tools are needed for maintenance for equivant's AWS hosted solution. For on premise installs, SQL Server Management Studio which is part of SQL Server and IIS Manager which is part of Windows Server are the only tools needed for maintenance. All administration is performed inside of the Northpointe Suite through the web based interface.
11.2	Administration	The Contractor should describe administration tools/features that differentiate the proposed solution from competitor solutions.	All features and administration are performed through the web based interface.
11.3	Client Installation	The Contractor shall provide an overview of the client installation process, including any related external components. Indicate what post-installation steps are required, such as types of configuration parameters that need to be modified.	There is no client installation needed. It is fully a web based application.
		Proposed solution must be able to run on the client while logged into the OS with standard user permissions.	There are no elevated permissions required. It is fully a web based application.
		The client should not require post-installation changes to system security settings.	There are no changes to system security settings required. It is fully a web based application.

#	Category	Requirements	Response/Description
11.4	Server Installation	The Contractor shall provide an overview of the server installation process, including any related external components. Indicate any post-installation steps that are required.	There is no server installation process required for equivant's AWS hosted solution. For on premise solutions, application files will be copied to the web server and added as an application to IIS. The web.config file will be updated to have the proper connection string that will point to the SQL Server. Scripts are provided for creating or updating the database on the SQL Server. A full install process document is provided to the customer and our Customer Care team will walk the customer through the process.
11.5	Patch/Upgrade Installation	The Contractor shall provide an overview of the patch/upgrade installation process. Discuss the standard release update process for the core application and all internal and external components.	There are no external components in the Northpointe Suite. It is a fully self-contained solution. The patch process is similar to the install process, copy updated files to the web server and update the web.config file for proper connection string. Then scripts are provided for creating or updating the database on the SQL Server. A full install process document is provided to the customer and our Customer Care team will walk the client through the process.
12	**Diagnostics & Performance Optimization**		
12.1	Recommended Diagnostic Tools	The Contractor shall list recommended tools and best practices for diagnosing and managing optimal performance with proposed solution. Indicate whether the tools are included as part of the proposed solution.	No tools are needed for managing the Northpointe Suite. In equivant's AWS hosted solution, Northpointe will continually monitor and optimize the solution as needed. In the on premise hosted option with performance issues, the agency would open a customer care ticket and Northpointe would evaluate the cause and recommend or supply the solution.

#	Category	Requirements	Response/Description
12.2	Support for Performance Optimization	The Contractor shall specify the degree to which performance optimization for the proposed solution is covered under the support agreements. Be specific if the level of support is not consistent across all components. Does the solution have defined procedures and methodologies documented and available for performance and application optimization?	Performance optimizations are not guaranteed under the support agreement. However, the Contractor performs optimizations and works with clients to address performance issues.
13	**AUDITING & MONITORING**	Contractor shall describe the following for the base application, database(s) and any internal and external components.	
13.1	Auditing	Describe the proposed solution's auditing features not already covered in 9.8.4 (Security Logging), including but not limited to: Database transaction auditing, authentication audits and security violation options.	No additional auditing features to note.
13.2	Monitoring	1. Provide a description of the recommended monitoring architecture for the proposed solution.	For equivant's AWS hosted option, we employ AWS CloudWatch to view the health of all servers and Red Gate's SQL Monitor to monitor the health and performance of the SQL Servers. This gives us an early warning system that will notify us of issues before users experience any adverse performance.
		2. Identify which of the following monitoring tools are included as part of the base offering and the support model under which they are covered.	
		a. Health Monitoring	For equivant's AWS hosted option, we monitor server health.
		b. Application Monitoring	For equivant's AWS hosted option, we monitor the application's health

#	Category	Requirements	Response/Description
		c. Database Monitoring	For equivant's AWS hosted option, we monitor the database's health
		d. Performance Monitoring	For equivant's AWS hosted option, we monitor the performance of the application.
		e. Work-flow Monitoring	No Workflow monitoring.
		f. Data Exchange Monitoring	No data exchange monitoring.
13.3	Logging	The Contractor shall provide an overall description of the recommended logging architecture for the proposed solution and respond to the following items.	
		1. Describe the solution's support for Syslog	Syslog will work with the Northpointe Suite, but we do not offer support for Syslog.
		2. Describe the types and/or categories of information logged	The Northpointe Suite can log events in the system such as record creation, deletes, and updates. These logs are visible from within the application. Further, it can log all web service calls from the application or interfaces.
		3. Describe the solution's ability to set logging levels	Each loggable event in the Northpointe Suite can be enabled or disabled by record type. The priority level of each can also be set for configurable data retention. Logging of web service calls can be enabled or disabled globally.
		4. Describe the solution's ability to limit log size	The data retention policy for the event log can be configured by specifying the number of days to keep the data by priority level. Logging of web service calls can be configured globally by number of days.
		5. Describe the solution's ability to archive and roll logs	The archival of event logs is not yet implemented. The archival of web service calls can be configured.
14	**DOCUMENTATION & TRAINING**	The agencies require a comprehensive documentation and training program developed by the Contractor in cooperation with the Court and delivered "just-in-time". The Contractor shall provide in-person training to end-users, technical staff	

#	Category	Requirements	Response/Description
		and Court trainers. The training should go beyond simply navigating the system and should include training tailored to the role-based day-to-day operational system based activities of court stakeholders.	
		Training deliverables must include an effective combination of written material coupled with classroom sessions and hands-on practice. If computer-based modules or other delivery means are also available, then please include them in your description when addressing the items below. All training materials shall be effectively cataloged, reusable, and modifiable by the Court/county. The Contractor shall describe what differentiates the documentation and training included with the proposed solution from documentation and training provided by competitive solutions. The description shall address each of the following areas:	

#	Category	Requirements	Response/Description
		1. Training Program Overview	The Northpointe training strategy will accomplish the skill development required to successfully utilize the Northpointe Suite software with integrated functionality. Training is accessed through Professional Services Staff, all of whom are former Criminal Justice Practitioners, conforming to adult learning principles and techniques. As such, all training curricula has been designed with a flow of information that builds upon practical experiences and learning anchors and includes Basic, Advanced, Train-the Trainer (T4T), at all levels including but not limited to line staff, supervisors, administrators, and IT. Trainings are customized and reflect agency configuration decisions, policy and procedure. All trainings will require access to computers and the local installation of the Northpointe Suite. Trainings, based on the specified type, are conducted on-site, via WebEx, and e-learning training sessions.
		2. End User Documentation & Training	The training strategy follows the workflow and configuration decisions made through joint consultation between the agency and Northpointe, Inc., combined with didactic, hands-on and experiential training methods employed in each session. Practical and hands-on exercises are emphasized. Documentation includes a library of user manuals related to training objectives and functionality use, as well as a customized PowerPoint and corresponding handouts, based on local configuration and policy decisions.
		3. Technical Documentation & Training	Technical documentation is maintained at the Project Manager and Implementation Specialist levels, including deliverables such as Configuration Checklists, User and Configuration Manuals and timelines. Training is delivered based on decisions and configuration at the local level.

#	Category	Requirements	Response/Description
		4. Installation/Configuration Documentation & Training	Installation/Configuration Training is a component of implementation and offered as a stand-alone option, completed in person or via WebEx, based on agency needs. Installation/Configuration documentation includes a locally based Configuration Checklist, User and Configuration Manuals. Software updates are detailed in documentation and live webinars (recorded and available for future viewing) at product deployment.
		5. System Administrator Documentation & Training	System Administrator training is delivered to designed agency participants with didactic and pedagogy as the basis of instruction. Training is designed and delivered to reflect local specifications and configuration. Training includes hands-on exercises and testing. Documentation for all Northpointe Suite functionality is available electronically and provided to the agency for use and distribution.
		6. Troubleshooting/Maintenance Documentation & Training	Troubleshooting/Maintenance Training is completed during implementation and at Project Closeout and supported by the assigned Account Manager and Customer Care to ensure the agency is proficient at problem solving at the local level and the related process to escalate issues, if needed. Documentation on these processes is provided to the agency for use and distribution.
		7. Interface Developer Documentation & Training	Interface Developer Training is administered by designated Northpointe staff, familiar with local configuration and workflow. Mapping exercises are incorporated into the training program. Documentation includes a Data Dictionary, Business Case and Workflow analysis, and specification documents.

#	Category	Requirements	Response/Description
		8. Train-the-Trainer Documentation & Training	Train-the-Trainer (T4T) is a professionally designed training program that incorporates components of both pedagogy and Education Sciences, creating an environment for an integral training to support students' learning. The training model incorporates strategies to equip participants with the competencies necessary to effectively mentor, facilitate knowledge acquisition, application and skills in the use of the Northpointe Suite. Through coaching and mentoring, these individuals will communicate as local subject matter experts. Pre and Post-Tests are incorporated, as well as teachbacks for certification. Documentation includes a customized PowerPoint and corresponding lesson plan, based on local configuration and policy decisions.
		9. Self Service Documentation & Training	Self-Service documentation is maintained by Northpointe, Inc. to reflect the most recent configuration available. Documents can be uploaded within the Northpointe Suite for easy user access with training focused as an elemental piece of the implementation process.
15	**DATA MIGRATION**	Requires that the Contractor have a defined approach for conducting data migration and experience with migrating data from the technologies currently in use by the Courts. The Contractor must perform an in-depth analysis of provided data structures and values, develop a plan for translating data, and develop	

#	Category	Requirements	Response/Description
		procedures for migrating and validating data.	
15.1	Data Conversion Philosophy, Approach & Methodology	The Contractor shall describe their strategy for conducting data conversion for the project, including the philosophy, approach, methodology, tools and procedures to be used in developing conversion specifications and the identification of any potential issues. Describe the constraints and risks associated with data conversion for this project and how you will address these to ensure successful data conversion.	Data Conversion enables the Agency to retain the electronic person/case data that has accumulated over time in a legacy system. This historical data will be extracted from the legacy system, transformed to match the Northpointe Suite data model, and loaded to the Northpointe Suite database. Images and Files Conversion of images and files is not included in this scope of work. Identity Consolidation The consolidation, or de-duplication, of identity records from the legacy data source is not included in this scope of work. equivant can provide an estimated cost for identity consolidation technical services if needed, and the Agency requests to have equivant perform this service. Data Conversion Strategy equivant will facilitate data conversion planning session(s) with staff and provide a Data Conversion Strategy Plan deliverable for review and approval. The equivant conversion methodology includes seven distinct steps: • Data Mapping • Script Development • Data Checking • Test Data Load

#	Category	Requirements	Response/Description
			• Mock Conversion • Final Conversion • Stabilization Data Mapping equivant’s Data Conversion engineer will help an agency analyze the legacy system data model and determine which data needs to be migrated to the Northpointe Suite and where it should be viewed within the Northpointe Suite application. The Agency will develop a data conversion mapping spreadsheet that describes which data fields from the legacy system(s) should match up to which data fields in Northpointe Suite. These mapping rules will be utilized during the test data load to validate. Script Development Script development (refinement) might be necessary where the Agency has specific business requirements for handling legacy data that differ from standard equivant data conversion scripts. The equivant Data Conversion engineer maintains separate scripts for each of the primary components of the Northpointe Suite application. Data Checking Once data has been extracted from the agency's legacy system, the Data Conversion engineer will load the data to a staging area and check for referential integrity, correct field lengths and formats, and valid code values. The engineer will provide the agency with a Data

#	Category	Requirements	Response/Description
			Issues Report. The first section of the report, Stop Issues, lists the issues that must be corrected before the data conversion can move forward. The second section, Observations, presents issues that may affect the quality of the data, but do not necessarily have to be corrected in order for the conversion to continue. You may choose to clean-up the data in the legacy system(s) prior to performing data conversion. Data conversion does not include equivant staff fixing or scrubbing the Agency's source data from the legacy system. Code Value Mapping During the data-checking phase, code values will also be validated against existing Northpointe Suite code values. If a given code does not have a matching value in Northpointe Suite, you will have the opportunity to create a matching code or map the invalid code to an existing code. All codes must have a matching value, a mapped value, or a default value before the conversion can continue. Test Data Load Once the data conversion scripts are developed, the Agency will provide a sample data set of approximately 1,000 representative records, defined per the Data Mapping business rules. equivant will run a test data load on this data set and provide a Data Issues Report to the Agency that details any required modification to the source data and scripts. equivant will rerun the test data load process with a new set of sample test data after identified issues have been remedied.

#	Category	Requirements	Response/Description
			Mock Conversion equivant will perform two mock conversions to prepare for the final go-live conversion. After each mock conversion, equivant will provide a Data Statistics Report containing detailed statistics by script, source table and Northpointe Suite table to guarantee that the conversion effort has accounted for each row of data. After each mock conversion, the Agency will review the converted data and document any corrections needed. The Data Conversion engineer will correct the Northpointe Suite data, if needed, and update the scripts for the next conversion run. Corrections may require changes to the source data. These corrections are the responsibility of the Agency. Final Conversion The final conversion will occur just prior to go-live. At this time, all agreed upon data will be migrated from legacy systems to the Agency's production Northpointe Suite environment as rehearsed during the mock conversions. During the week prior to your go-live, a conference call will take place to review the go-live plan, determine the resources required, and solidify outstanding go-live items. This will include reviewing roles, responsibilities and timelines for the final data conversion. In order to ensure that the conversion runs smoothly during the go-live run, the Agency may be requested to “freeze” day-to-day operations prior go-live. This provides the Agency and equivant the time needed to effectively implement the conversion process. Deliverables for Data Conversion: • Data Conversion Strategy • Data Mapping Support • Data Conversion Mapping Spreadsheet (Agency) • Data Code Value Mapping (Agency)

#	Category	Requirements	Response/Description
			• Data Loaded into Northpointe Suite • Data Issues Report • Data Statistics Report Data Validation (Agency)
15.2	Document Image Migration Philosophy, Approach & Methodology	The Contractor shall describe their strategy for conducting the migration of document images from existing Document Management Systems into the Case Management System, including the philosophy, approach, methodology, tools and procedures to be used in determining migration specifications and the identification of any potential issues. Describe the constraints and risks associated with data conversion for this project and how you will address these to ensure successful document migration.	Conversion of images and files is not included in this scope of work.
15.3	Where and How	The Contractor shall indicate where and how data conversion will be performed. Describe the methods used to ensure data safety, security and confidentiality.	For equivant's AWS hosted option, data to be converted would be upload to Northpointe through a secure FTP in the AWS GovCloud. The conversion would be performed on the servers in the GovCloud region and stood up as site for verification.
15.4	Available Options	The Contractor shall explicitly describe which of the following data conversion services are available with the proposed solution:	
		1. The Contractor provides full data conversion from start to finish including the preliminary data cleansing.	Yes. Data converstion services, sanitation and transformation is available.
		2. The Contractor provides full data conversion after the court performs an intensive data cleansing in advance of the actual data	This option is available as a cooperation between equivant and the agency.

#	Category	Requirements	Response/Description
		conversion.	
		3. The court is responsible for all data conversion.	This service is not available.
15.5	Configuration Migration	In support of the configuration mentioned in Section 10 describe configuration migration between environments (Test, Production, etc.) and the tools to support configuration migration.	Configuration migration between environments is currently a manual process.
16	**VALUE-ADD TECHNICAL FEATURES**		
16.1	Paperless Pretrial	The proposed solution should help PTS remove their dependency on paper. The Contractor should list any additional information not already covered that will help facilitate this.	The document management system supports a paperless solution. It supports attaching documents to cases, searching, and redacting.
16.2	Print-On-Demand	The Contractor shall describe the scope of the solution's print-on-demand capabilities.	All documents can also be printed on demand without waiting for jobs to run.
16.5	Additional Features	The Contractor should list any additional technical information that has not already been covered and differentiates the proposed solution from competitive solutions.	

#	Category	Requirements	Response/Description
16.5.1	System Integration with Supporting Software	Does the system allow for integrations with alternative software packages such as records management? List all of the software products the proposed solution integrates with. Provide the details of the integration and the location/court where the integration is currently being used.	The Northpointe Suite has current interfaces with many in house developed solutions as well as other key justice partners in the industry. It can be and is integrated with records management systems. **State Information System** WICS - Wisconsin Department of Corrections SOMS - California Department of Corrections and Rehabilitation **Justice Partners:** TriTech - Elkhart County IN, Catawba County NC, Marathon County WI, Sullivan County TN, Portage County WI, Durham County NC, LaCrosse County WI, Chesterfield County VA New World - Wayne County MI, Walton County FL, Hamilton County IN ETS - Charleston County Adult Detention Center SC Intellitech - Franklin County OH, Oakland County MI Beacon - Marion County FL Caliber Justice - Virginia Peninsula Regional Jail & Support Services VA, PCMS - San Diego Adult Probation Department CA Coris - Virginia DOC Tyler - Alameda County CA GTL - Norfolk County MA Securus - Sullivan County TN
16.5.2	Contractor-hosted Solution	The Contractor shall describe if they offer a Contractor-hosted solution and how it will meet the requirements of this RFP. Include in the response a description of the hosted solutions ability to authenticate through AD, if the application can run on a variety of cloud hosting solutions and the ability to interface with Office 365.	equivant offers a full hosted solution implemented on the AWS GovCloud. The hosted solution cannot authenticate with Active Directory. It can also be hosted on premise or in other cloud hosting solution such as Azure.

SAAS Hosting

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
1	FedRAMP certified	Federal Risk and Authorization Management Program (FedRAMP High) certification is mandatory if Contractor proposes a software as a service (SaaS) solution. FedRAMP is a government-wide program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services. FedRAMP consists of a subset of NIST Special Publication 800-53 security controls specifically selected to provide protection in cloud environments.	Yes	Northpointe hosts in the AWS GovCloud and leverages the controls in already in place.
2	ISO 270001 certified	ISO 27001 certification is desired of Contractor organization to ensure maturity in quality and process. Accredited certification to ISO 27001 demonstrates that an organization is following international information security best practices. The objective of the standard itself is to provide requirements for establishing, implementing, maintaining and continuously improving an Information Security Management System (ISMS).	In progress	Northpointe is currently engaged in a biennial audit cycle that runs through July 2022.
3	AICPA/SOC compliance	Are current AICPA/SOC 1, 2 and 3 reports (SOC 2 is preferred) available for Contractor hosting services?	Yes	
5	HIPAA compliance	Does Contractor hosting facilities and the service offering comply with HIPAA Privacy and Security rules?	Yes	
6	Hosting Facilities	Are the Contractor hosting facilities (including compute, network, data storage, backup, archive devices, and the data storage media), and disaster recovery facilities located in the United States?	Yes	
7	Custodian Personnel	Do all Contractor personnel potentially having access to the judicial branch Data have background-checks, are authorized to work and based in the United States?	Yes	

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
8	Business Continuity /Disaster Recoverability	For Contractor hosted solution, is there a disaster recovery solution in place to ensure business continuity in the event of a system or catastrophic failure?	Yes	
9	Client Data Integrity	Does Contractor hosting solution include intrusion detection/prevention system to ensure judicial branch entity Data integrity and access only by authorized accounts/personnel?	Yes	
10	Backups	Does Contractor provide periodic incremental and full back up of judicial branch entity Data?	Yes	
11	Backups and Recovery	Does Contractor provide recovery from backup upon client request or system corruption?	Yes	
12	Data Export	Does Contractor have the capability to export clients' raw Data in human readable and machine readable format to enable portability to another system, if necessary?	Yes	
13	Data Import	Does Contractor have the capability to import clients' Data, possibly from an existing system?	Yes	
14	Availability	Is Contractor hosted solution available and accessible 24/7/365 to all authorized users (excluding scheduled maintenance)?	Yes	
15	Section 508 Compliance	Does Contractor solution user interface comply with Section 508 of the Rehabilitation Act of 1973. In 1998, Congress amended the Rehabilitation Act of 1973 to require Federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities. The law (29 U.S.C. § 794 (d)) applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology. Under Section 508, agencies must give disabled employees and members of the public access to information that is comparable to access available to others.	Yes	We partially comply and have been working toward full compliance.

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
16	Mobility	Does Contractor solution support multiple device user interfaces (desktops/laptops, tablets, and smart phones) over HTTP/S? E.g. HTML5	Yes	
17	Mobile Apps	Does Contractor solution include native apps available for tablets and smart phones?	No	
18	Mobile Support	Does Contractor solution provide user interface that dynamically adjusts to varying device resolutions such as computer, tablet, or smart phone?	No	
19	Performance SLA	Does Contractor hosted solution provide response time guarantees?	Yes	
20	Bandwidth measurement	Contractor solution shall have bandwidth consumption optimization measures in place.	Yes	
21	Performance SLA	Does Contractor hosted solution provide automatic scalability without impacting existing service or SLA?	No	
22	Metrics Dashboard	Does Contractor hosted solution include dashboard for monitoring performance and SLA metrics?	No	
23	Network Security	Does Contractor hosted solution include distributed denial of service (DDoS) defense and prevention?	Yes	
24	Log Analysis	Does Contractor hosted solution provide log data analysis tools available to clients?	Yes	We don't provide the tools, but the County could acquire their own. We could also provide access to log data, upon request.
25	Confidentiality	Does Contractor restrict exposing any part of client data whether direct, indirect or derived data with other third parties?	Yes	
26	Outage Scheduling	Does Contractor hosting provide notice with reasonable lead time to client for any planned downtime, version upgrades, user interface changes, or feature upgrades?	Yes	
27	Customer Support	Does Contractor provide e-mail and phone based support?	Yes	
28	Assurance in confidentiality	Does Contractor provide data privacy assurance, notification of any breach in security, and performance guarantee?	Yes	

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
29	Operational integrity	Does Contractor have a published, enforced data governance policy and processes to ensure clients' data privacy and access?	Yes	We meet this requirement.
30	Product roadmap	Does Contractor share their feature and release roadmap with clients?	Yes	
31	Privacy policies	Does Contractor provide privacy policies documentation for hosted clients?	Yes	We meet this requirement.
32	Incident response	Does Contractor hosted solution include incident management system along with documented policy & process in place to resolve any operational incident?	Yes	
33	Data management	Does Contractor publish policies about Data retention, deletion and destruction for hosted service?	Yes	
34	Thin Client	Does Contractor solution require client side plugins or installation?	Yes	We do not have signature or other for tablets today, but use the Topaz install. Future consideration. (note iDMS has this)
35	Availability SLA	Does Contractor guarantee recovery point objective (RPO) for application availability in the event of system failure or disaster for hosted solution?	Yes	We guarantee recovery point objective with exclusions for certain acts of God or catastrophic events that prohibit recovery.
36	Availability SLA	Does Contractor guarantee recovery time objective (RTO) for application availability in the event of system failure or disaster for hosted solution?	Yes	We guarantee recovery time objective with exclusions for certain acts of God or catastrophic events that prohibit recovery.

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
37	User Creation	Does Contractor solution support user creation via batch upload of identity extract from active directory or existing systems?	No	This is not a standard feature but could be added.
38	Roles Configuration	Does Contractor solution support configurable role based access control?	Yes	
39	Workflow Configuration	Contractor shall configure document routing, approval, notification, and other workflow configurations in accordance with JCC IT detailed requirement.	Yes	
40	Single Sign-On Integration	Does Contractor hosted solution support single-sign-on (SSO) with SAML 2.0 or ADFS?	Yes	We meet this requirement.
	Identity Management	Does your solution support Identity Management, including Business to Customer and Business to Business? If so, what services/protocols are supported?	No	
41	Private Networking	Does Contractor hosted solution support private network connection or VPN tunneling connectivity?	Yes	We meet this requirement.
42	User Training	Does Contractor provide training materials and conduct interactive training sessions for proposed solution?	Yes	
	Justice Partner Access	Does the hosted solution provide a secured authenticated access portal for trusted justice partners?	Yes	
	Confidentiality	Is the Contractor hosted solution Multi-Tenant? How does the solution provide adequate security & isolation from other clients using the solution for data at rest and data in transit?	No	Shared servers are used in our standard hosted option. However, each customer on the shared server has their own environment and database on the shared server. Each customer's application only has access to their own database and only authorized Northpointe personnel have access to servers. All Data is encrypted in transit and at rest.

#	Category	Requirements	Response (Yes, No, in-progress)	Explanation (not required for yes/no response)
	Confidentiality	How does the Contractor hosted solution utilize cloud based file storages such as S3? What security features are in place to restrict access?	Yes	Northpointe uses AWS GovCloud for hosting. All Data inside the GovCloud is stored on encrypted EBS volumes and are only accessible and the volumes are only accessible by the attached server. The servers are not publicly addressable as the web traffic comes through a load balancer. Snapshots of these encrypted volumes are stored in S3. Public access to S3 is disabled account wide.
		List all additional Cloud/On-prem Services required for effectiveness/functioning of the solution. Ex: AWS/Azure/GCP services		AWS EC2, S3 (for backups)
	Outage Scheduling	Does Contractor have a predetermined upgrade & maintenance schedule for the SaaS solution, that is different from the agency's schedule?	Yes	Northpointe has a maintenance window from 9pm-11:59pm EST on the first Sunday of each month for security patches. If there is a high priority patch, an emergency maintenance window will be scheduled, and the customers notified. Updates to the Northpointe Suite will be scheduled with the customer and will be based on their schedule.
	Outage Scheduling	What is Contractor's automatic version upgrade policies? Are your version upgrades and/or maintenance patches roll-out any of the live environments without the prior explicit approval and/or coordination with the agency management?	No	We will first update the customer's test site and let them verify changes. The customer can then schedule the change for their production site. Northpointe will never update the customer's application without the customer's approval.

2.0 Implementation and Deployment Services

Item #	Implementation and Deployment Services	Response
2.1	Describe your implementation planning process (including project management, best practices, Organizational Change Management, Communications, and Personnel management).	**Project Startup, Planning, and Management** In conjunction with an agency's team, we will provide project management and oversight services to coordinate the project. Our Project Lead will coordinate activities for the project as well as coordinate internal technical, data conversion, integration, testing and training resources to ensure a successful project. We will provide the following project management services: - Coordination of project resources and work so that milestones are achieved in an efficient manner - Assign tasks so as to minimize implementation time and cost while taking into consideration resource and time constraints - Serve as the main point of contact for the agency's project manager - Provide updates to the work plan and project budget as appropriate - Participate in project status meetings and steering committee meetings - Provide monthly project status reports - Update risk and issue management document as appropriate - Process project financial information - Obtain acceptance of project deliverables Our Project Lead will monitor project resources to ensure quality delivery of services and that the deliverables are completed in accordance with the project requirements. Our Project Lead will work with the agency's team to complete the upfront plans that will help guide the project. The primary scope of these activities is to produce plans that define processes and procedures which will help guide the project team through implementation. We will also produce several planning deliverables, including a final Statement of Work and a project plan for each agency. **Project Management and Risk Factors** - The Project Lead will be responsible for obtaining any required authorizations, approvals, and-or signoffs by a customer that are related to project deliverables and project progression in a timeframe that aligns with the project work plan. Delays to this process as well as any customer tasks not completed within the work plan timeframe will be subject to the Change Order Management process, delayed deadlines, and increased

		services fees. - This does not include the expenses associated with your activities or resources assigned to the project. - The project schedule is contingent upon the timely attainment of several external milestones that are outside the control of equivant. Examples include but are not limited to the acquisition of the requisite software licenses and hardware and the approval of requisite capital appropriation requests as required. - Circumstances may necessitate changes to the tasks and/or time estimates, at which time an agency and equivant will discuss these changes in good faith at the earliest opportunity. **Customer Resources** - equivant assumes that an agency's key project team resources will be committed to the project as of the project start date. - equivant assumes an agency will provide the following resources to ensure a successful implementation of the products. - Executive Steering Committee – Without proper vision and guidance from an organization's executives, many projects fail to reach their desired goals and objectives. The role of the Executive Steering Committee will be to participate in setting the goals and scope of the project and to participate in periodic status meetings with the project team. - Project Manager - A Project Manager for each phase who has appropriate decision-making authority. - Subject Matter Experts - These resources will be considered part of the core project team and will participate in tasks including Project Team training. Often these experts consist of Functional Leads in their respective areas of expertise, as well as other supporting personnel from the various departments. The resources designated for these roles should have a good working knowledge of how their agency processes are performed and understand the reasons for the current processes.

2.2	Describe your recommendation for roles your company personnel will assume and the roles that Court and pretrial staff should assume in the implementation process.	Court and Pretrial staff will identify their internal stakeholders and include all management, end user, and IT resources necessary to complete the requirements, analysis, configuration, and training work outlined in this document. Upon contract execution, the Court and pretrial staff will prepare for the project launch by coordinating project resources: - Executive Steering Committee: Without proper vision and guidance from an organization's executives, many projects fail to reach their desired goals and objectives. The role of the Executive Steering Committee will be to participate in setting the goals and scope of the project and to participate in periodic status meetings with the project team. - Project Manager - A Project Manager for each phase who has appropriate decision-making authority. - Subject Matter Experts - These resources will be considered part of the core project team and will participate in tasks including Project Team training. Often these experts consist of Functional Leads in their respective areas of expertise, as well as other supporting personnel from the various departments. The resources designated for these roles should have a good working knowledge of how Court and pretrial processes are performed and understand the reasons for the current processes. - IT Experts/Engineers – Technical resources will be needed for the data conversion work effort as well as interface design/build efforts. equivant will utilize the total number of hours listed within the Statement of Work as needed for any of the estimated activities included herein. Identified hours in the Work Breakdown Structure may be moved between tasks as necessary to complete service delivery. **Our Responsibilities** • Upon execution of the contract, an equivant Project Lead will be assigned. The equivant Operations Division will process the contract and prepare for project launch within two weeks of contract execution, dependent upon equivant service team availability. The equivant Project Lead will coordinate kick-off tasks and assign the equivant project team. Circumstances may necessitate changes to the tasks and/or time estimates, at which time equivant and the Agency will, in good faith, discuss these changes and any potential adjustments in tasks, time or costs per the approved change management process as outlined. **Agency Responsibilities** • The Agency will identify their internal stakeholders and include all management, end user and IT resources necessary to complete the work effort outlined in the Statement of Work. • The Agency will also be responsible for contacting and/or securing any third-party

		resources required to build/test/implement interfaces to systems beyond the boundary of the Northpointe Suite application; equivant does not schedule or manage any third-party resources as part of the project scope. This includes all Agency technical personnel that may be assigned to interface or broker development efforts. equivant will work directly with the Agency's appointed Project Manager for resource coordination when necessary. • Upon contract execution, the Agency will prepare for project launch by coordinating all stakeholders, scheduling the project kick-off call with the equivant PM and reviewing the scope in detail.
2.3	Describe how your proposed management practices, procedures and tools conform to industry best practices and describe the benefits of your approach. Include coordination and control of deployment activities in order to identify and mitigate issues; overall approach to communication at all levels for the life of the project; organizational change management process; staffing level management process and personnel management process.	Our vision of enterprise IVR, IWR, mobile and web applications is to deliver the simplest solution to our government users through various technology development. The technology exists to bring several solutions to the field, and we are working to provide a positive virtual user experience with our development initiatives while considering the economic cost. We develop solutions while balancing the sensitive data needs of the criminal justice sector and navigating the challenges around data standardization in justice. This remains a hurdle for many agencies across the country as there is a behavioral change that must take place to adopt new technologies as well as meet the strict data and security mandates. The field is changing, and this change needs to be managed carefully. We offer two primary distinctions. The first is that we are not a standard 'software company'; our services team is comprised of former practitioners that have done the work you do. We have these subject matter experts drive the product changes and define functional use cases for our Development team to ensure what goes into the product resonates with users. Second, we employ a credentialed Research division capable of delivering data science services and validation projects. Our researchers hold advanced degrees and work with jurisdictions to perform location validation on jurisdiction specific populations. They provide agencies with full reports including recommendations on practice and policy based on empirical evidence.

2.4	Describe how you would manage the use of any required interfaces or electronic tools that have been purchased and/or installed. Examples of local interfaces may include jail management systems, booking systems, imaging systems, and probation systems.	• All work effort included for the interface is based upon an Agency's use of the existing Northpointe Suite Web Services for incoming and outgoing data exchange. The Agency will follow the specifications, schemas, and file formats as defined by equivant. • Successful implementation of the API Web Services requires the involvement of the Agency's technical resources and the Agency's third party vendor. The scope of delivery services for equivant does not extend beyond the Northpointe Suite system. • If additional fields or services are required by the Agency, equivant will issue a Change Control Request form outlining the additional time and cost associated with the requirement modification. equivant reserves the right to accept or deny any requested change/s to the existing Northpointe Suite API services. **DEFINE** • equivant will deliver the online API technical specification document which includes field definition and layout. • The Agency and its third party vendor will review the technical specification and initiate data mapping activities in order to verify the fields that equivant requires. The third party vendor must be involved in the definition stage in order to provide field validation, and final sign off that the interface is passing the necessary data to the Northpointe Suite. equivant will be available to provide technical consulting related to field definition. All technical consulting will be delivered remotely, as directed by the equivant Project Lead. • The equivant Project Lead will schedule a Team Review meeting with the Agency/ third party vendor to review final specification issues (if any). • Identified issues will be submitted by the Agency to the equivant Project Lead in writing for review. • If issues require changes to the existing Northpointe Suite API services, equivant will review the requested scope change. No changes will be made to any existing API without an approved Change Control Request allocating additional time and budget for the work. • Upon resolution of outstanding issues, the Agency will approve the final data map defining all fields to be exchanged between the Northpointe Suite and the third party. This approval will mark the completion of the Define phase.

		DEVELOP • The third party vendor will commence development of the API as required to send and receive data to the Northpointe Suite. Development will be done based on the approved data map from the Define phase above. • The Agency will work to define and build the test datasets that are required in order to initiate system testing between equivant and the Agency once the interface has been fully developed. • The Agency will build and configure the UAT environment for testing. This UAT environment will be configured to communicate with the Northpointe Suite system. Upon completion of the UAT environment build, equivant Project Lead and Agency Project Manager will prepare a final schedule for system testing. The equivant technical lead and the third party vendor team will be coordinated to execute all system testing. • Once the Agency completes development of their side of the interface, and a UAT environment is functional for testing purposes, the Agency will provide a Notice to Proceed to equivant. **TEST** • Upon receipt of the Notice to Proceed, equivant will finalize configuration of the Northpointe Suite API web service on the UAT server housing the application. • equivant technical resources will be assigned by the equivant Project Lead to execute a system test with the Agency. System testing will commence once both the Agency and the equivant technical team have confirmed the schedule for testing availability. The Agency will provide technical resources that understand the technical specifications of the interface to work with equivant in the testing phase. • The Agency will be responsible for validating all test data results during System Testing. • equivant is not responsible for any interface related development and/or testing activities on the Agency's side of the interface or network. This remains the responsibility of the Agency and is not a part of the contracted services outlined within this RFP. This includes: 1. Interface development on the Agency or third party system. 2. Interface test data creation. 3. System communication through Agency networks and/or firewalls to access the Agency hosted web server/s. • Any delays to the project due to third party constraints or third party system setup or availability are out of the control of equivant, and will not affect contractual license terms and conditions as set forth and agreed upon.

2.5	Describe the process involved in implementing any required specific configurations, e.g., terms of supervision and pretrial release, and the creation of standard local documents using case management information. Identify any local personnel required to accomplish the task.	• The Northpointe Suite has numerous decision points included in the configuration sections of the software, allowing for custom setup in many areas. equivant delivers the software with many of the configurable fields pre-populated with common criminal justice default values to simplify the process for new implementations. The configuration support work included in a project provides the Agency with an overview of the configuration options and assists with the key decisions required for Go Live. • Software configuration is primarily the Agency's responsibility and is completed by the assigned Agency System Administrator during the project implementation with support from equivant. • equivant will facilitate configuration setup with the Agency based on contracted software modules. Configuration setup will focus on the key functions and workflow needs as identified during the workflow analysis activity. System administrators will be the audience for this software configuration activity, as it addresses system setup, configuration and system management. In addition, agency personnel that will be responsible for the ongoing maintenance of the system should be included in all configuration work.

2.6	Describe the process, resources, and expertise necessary in converting data from existing system into the new application.	**Data Conversion** Data Conversion enables the Agency to retain the electronic person/case Data that has accumulated over time in a legacy system. This historical Data will be extracted from the legacy system, transformed to match the Northpointe Suite data model, and loaded to the Northpointe Suite database. **Identity Consolidation** The consolidation, or de-duplication, of identity records from the legacy data source is not typically included in a scope of work. equivant can provide an estimated cost for identity consolidation technical services if needed, and the Agency requests to have equivant perform this service. **Data Conversion Strategy** equivant will facilitate data conversion planning session(s) with staff and provide a Data Conversion Strategy Plan deliverable for review and approval. The equivant conversion methodology includes seven distinct steps: o Data Mapping o Script Development o Data Checking o Test Data Load o Mock Conversion o Final Conversion o Stabilization **Data Mapping** equivant's Data Conversion engineer will help you analyze the legacy system data model and determine which data needs to be migrated to the Northpointe Suite and where it should be viewed within the Northpointe Suite application. The Agency will develop a data conversion mapping spreadsheet that describes which data fields from the legacy system(s) should match up to which data fields in Northpointe Suite. These mapping rules will be utilized during the test data load to validate

		Script Development Script development (refinement) might be necessary where the Agency has specific business requirements for handling legacy data that differ from standard equivant data conversion scripts. The equivant Data Conversion engineer maintains separate scripts for each of the primary components of the Northpointe Suite application. **Data Checking** Once data has been extracted from your legacy system, the Data Conversion engineer will load the data to a staging area and check for referential integrity, correct field lengths and formats, and valid code values. The engineer will provide you with a Data Issues Report. The first section of the report, Stop Issues, lists the issues that must be corrected before the data conversion can move forward. The second section, Observations, presents issues that may affect the quality of the Data, but do not necessarily have to be corrected in order for the conversion to continue. You may choose to clean-up the Data in the legacy system(s) prior to performing data conversion. Data conversion does not include equivant staff fixing or scrubbing the Agency's source Data from the legacy system. **Code Value Mapping** During the data-checking phase, code values will also be validated against existing Northpointe Suite code values. If a given code does not have a matching value in Northpointe Suite, you will have the opportunity to create a matching code or map the invalid code to an existing code. All codes must have a matching value, a mapped value, or a default value before the conversion can continue. **Test Data Load** Once the data conversion scripts are developed, the Agency will provide a sample data set of approximately 1,000 representative records, defined per the Data Mapping business rules. equivant will run a test data load on this data set and provide a Data Issues Report to the Agency that details any required modification to the source data and scripts. equivant will rerun the test data load process with a new set of sample test data after identified issues have been remedied. **Mock Conversion** equivant will perform two mock conversions to prepare for the final go-live conversion. After each mock conversion, equivant will provide a Data Statistics Report containing detailed statistics by script, source table and Northpointe Suite table to guarantee that the conversion effort has accounted for each row of data. After each mock conversion, the Agency will review the converted data and document any corrections needed. The Data Conversion engineer will correct the Northpointe Suite data, if needed, and update the scripts for the next conversion run. Corrections may require changes to the source data. These corrections are the responsibility of the Agency.

		Final Conversion The final conversion will occur just prior to go-live. At this time, all agreed upon Data will be migrated from legacy systems to the Agency's production Northpointe Suite environment as rehearsed during the mock conversions. During the week prior to your go-live, a conference call will take place to review the go-live plan, determine the resources required, and solidify outstanding go-live items. This will include reviewing roles, responsibilities and timelines for the final data conversion.

2.7	Describe your process for coordinating user acceptance.	The Northpointe Suite application is a COTS solution (commercial off the shelf). In order to ensure that the installed application meets the functional scope as defined by equivant in its software documentation, the Agency will perform user acceptance testing. equivant assumes that the Agency will complete this testing within three (3) business days depending on the size and scope of the implementation. equivant will provide one (1) staff to support the UAT during this period. equivant will assist the agency during the UAT period by answering questions regarding functionality or operation, and by investigating reported software application issues and by remediating any validated software defects. The agency will be responsible for managing and conducting the UAT, including the coordination of any third parties other than equivant if needed. The Agency will develop a user acceptance test plan that will delineate the use cases to be tested, the Data to be used in testing each use case, the expected outcome of each test and the pass/fail criterion for each test. The means by which the test cases will be tracked, and the outcomes reported will be in a mutually agreeable format. The fully completed user acceptance test plan must be provided to equivant prior to the start of user acceptance testing. equivant will review the test plan and provide feedback to the agency regarding the scope and sufficiency of the test plan. During the UAT period, daily stand-up calls will be scheduled at a mutually agreeable time each business day to review the progress of the testing and the status of any open items. Once the agency has successfully completed the User Acceptance Test the Software may be deployed to the production environment for production use.
2.8	Describe your process for implementing change management.	Any change or modification to the Statement of Work, functionality, or response of the application or integration needs will result in a Change Control and will be managed through the Change Management Process. Requests to change the scope of the project by adding or editing requirements will be represented within a specific Change Control Request form, regardless of the size or impact of the requested change. Although either party may request a change, documenting the change will be overseen by the equivant Project Lead. Joint approval of the Change Control Request form is required before work on the change is scheduled and initiated by the equivant project team.

2.9	Describe your process for managing critical defect scenarios.	Responses to customer requests are prioritized based on specific criteria. equivant will assess each issue to ensure the Customer Care staff responds as quickly as possible to the most urgent needs. equivant uses the following criteria to prioritize reported issues: PRIORITY 1 (Urgent) - Down Production System :This type of problem is considered the most critical, under any circumstances. These calls are handled immediately and all appropriate Managers are notified. Customer contact is maintained until equivant and the Customer reach a viable resolution. PRIORITY 2 (High) - Critical Business Process Function is Unavailable: A P2 problem is when critical tasks cannot be performed in the production system, but the error does not impair essential operations. Processing can still continue in a restricted manner. The primary goal is to eliminate as soon as possible functional limitations or restrictions to those key portions of the system that adversely impact operation of the production system. PRIORITY 3 (Normal) - Normal Priority: These calls make up over 90% of calls to Customer Care. P3 issues cover topics such general advice, annoyances, non-business critical defects, and general "how-to" questions regarding the application. PRIORITY 4 (Low) - Cosmetic Issues and Documentation: System functionality is largely correct except for minor details, such as a cosmetic issue. Business impact is minor. P4 issues also include documentation errors, which are normally corrected in the next maintenance release of the product. **Response Time** equivant will respond as quickly as possible to each request, but uses the response time targets for Average First Reply Time, during the defined hours of operation, provided in the table below. First Reply Time is defined as the time it takes an equivant Customer Care Agent to respond to an agency's request for assistance. <table><tr><th>Average First Reply Time Target</th><th>Average Resolution Time Target</th></tr><tr><td>Urgent - 1 hour</td><td>As soon as possible, but not more than 3 calendar days for hosted solutions and 6 calendar days for on-premise solutions.</td></tr><tr><td>High – 8 business hours</td><td>5 calendar days for hosted solutions and 10 calendar days for on-premise solutions (not including development or release time).</td></tr></table>

		Normal – 2 business days Next scheduled patch deployment. Low – 2 business days Next available software deployment. **Resolution Time** Resolution time will vary depending on the severity and complexity of the reported problem. Resolution time is defined as the time it takes equivant to sufficiently remedy the problem or return the system to operational status. Resolution may mean that a temporary fix has been provided to correct a problem until a permanent solution can be delivered. Average Resolution Time targets are provided in the table above. Elapsed time for development effort is not included in Resolution time.
2.10	Describe your process for coordinating software upgrades and version management.	Our software releases go through full regression test cycles after the Quality Assurance department has completed the individual test plans. In addition, our technical services team receives each release to schedule and execute load testing, and penetration testing to validate system performance and security. This is required prior to packaging the final software release for installation. Our software release schedule is published in Quarter 3 of each year; the schedule outlines each release planned for the following year so customers have ample notice and can plan on the best timeframe for upgrades. This schedule is posted to our ZenDesk support platform so it can be accessed at any time. In addition, hot patches needed to remediate a Priority 1 defect are coordinated by our Customer Care department. All communication related to a specific patch needed by a customer is tracked in an active support ticket until closure. We provide user manuals for each of our major modules. In addition, we publish configuration guides for the System Administrators to utilize for ongoing system management. Each software release is accompanied by a set of full Release Notes identifying new enhancements, customer customizations, and defect corrections. All documentation is stored on our ZenDesk support platform so customers can access the information at any time.
2.11	Describe the process employed to track and report progress in system deployment.	Our project management approach encapsulates all tasks from the launch of the project in our Operations department through project closure. Our methodology is focused heavily on evidence-based case design and an agency's daily workflow. The management of the implementation follows a specific roadmap as applicable: Note that once a project is “closed”, the customer is transitioned from the Operations team to the Customer Care team for ongoing support of the application. All our customers enjoy the fact that they have an assigned Account Manager to work with once in the support phase; this Account Manager works to ensure customers are communicated with throughout each term and is available to answer questions as they come up. This oversight structure is in place to ensure customer success.
2.12	Describe the process and standards employed in determining when phases of deployment are satisfactorily completed.	Deployment is scheduled once the planned professional services near completion and the team is validating the final data conversion (when applicable). We validate the UAT environment, including the software configuration, that is used for the duration of the implementation phase. Once that environment is validated, we copy the software configuration and apply it to the production environment. The application files are also copied from UAT to production to ensure versioning is correct. The UAT environment is

		wiped of all test data used throughout the project. Once these steps are complete, the Project Lead confirms final go live with the Agency's Project Manager so users can be coordinated within the agency, and expectations set for the final deployment, or launch.
2.13	Describe the process involved in implementing any required state and local configurations, e.g., implementation of state statutes and rules, creation of standard state documents, state calendar, etc. Include any local personnel required to accomplish the task.	This is completed during the Configuration process. The agency System Administrator is responsible for the configuration of the site. The equivant Implementation Specialist will work alongside throughout that process to ensure that the site is configured accurately and meets the agency workflow requirements. Most required forms can be configured and maintained by the agency via the Forms Generator or Data Sheets that exist in the software.
2.14	Describe the process involved in assessing and recommending how the required hardware and software that will ensure improved performance for the end-users is to be achieved, and how it is scalable to meet the future needs of the pretrial program.	The equivant Project Lead is responsible for communicating on a regular and ongoing basis with the customer implementation team. Those communications allow the equivant Project Lead to ensure that tasks are being completed to the satisfaction of the customer. The Statement of Work will outline the service deliverables and set forth milestones for their completion. That process provides an avenue for dialogue between the agency PM and equivant PM to ensure continuity and satisfaction throughout the implementation.

3.0 Implementation and Deployment Services

The following sections set forth the Contractor's and Court's tasks, roles and responsibilities and the services for which the Contractor or Court shall be responsible. The Court roles and responsibilities may include or be assigned to 3rd Party (trusted justice partner such as Probation or Pretrial Services) as part of separate agreement, MOU or other mutually agreed upon instrument.

3.1	**Preliminary Business Analysis Services tasks, roles and responsibilities.** Preliminary Business Analysis Services include the tasks, activities and deliverables required by the Contractor to gain sufficient knowledge about the Court and pretrial environment and overall requirements to enable creation of an implementation strategy and approach, a deployment plan and to successfully deploy the PTRA. The following table identifies the Contractor's and Court's Preliminary Business Analysis Services tasks, roles and responsibilities.	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
	1. Participate in meetings with the Court, Probation and/or pretrial staff to understand high-level requirements, priorities and existing team and reporting structure within the pretrial environment.	X			
	2. **Deliverable**: Develop and present to a Preliminary Business Analysis Plan that clearly highlights the Contractor recommended steps to obtain the required knowledge to start the deployment process. This plan should clearly articulate the key steps that will be performed by the Contractor for obtaining requisite knowledge as well as lay out the time and effort requirements from the court.	X			
	3. Review, approve and accept the Preliminary Business Analysis Plan.		X		
	4. Execute the Preliminary Business Analysis Plan and obtain the required knowledge to start the deployment process.	X			
	5. **Deliverable**: Document the results of Preliminary Business Analysis and present to Court.	X			
	6. Review, approve and accept the results of the Preliminary Business Analysis,		X		

3.2	**Implementation Strategy and Approach Services Tasks, Roles and Responsibilities.** Implementation Strategy and Approach Services are the activities and Deliverables associated with developing and refining the deployment and training strategy and approach and methodology that will be used for deployment of the proposed solution. The following table identifies the Contractor's and Court's Implementation Strategy and Approach Services tasks, roles and responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/ Rationale and Benefit to the Court**
	1. **Deliverable**: Document and present to Court the recommended Implementation Strategy and Approach, including a communication plan that accounts for all constituents (e.g., Courts and justice partners, etc.) and a technical environment plan that includes the scope and objectives of non-production and production environments.	X			
	2. Review, approve and accept the recommended implementation strategy and approach, communication plan, and technical environment plan.		X		
	3. **Deliverable**: Develop a Contractor Staffing Plan that identifies Contractor staff levels required at various points in the project and supports the implementation strategy and approach.	X			
	4. Review, approve and accept the Contractor Staffing Plan.		X		
	5. **Deliverable**: Recommend a Court and Pretrial Staffing Plan that identifies staff levels required at various points in the project and that will support the implementation strategy and approach.	X			
	6. **Deliverable**: Develop and present a detailed, standards-based methodology with proposed toolsets to complete this deployment initiative within time and budget.	X			
	7. Review, approve and accept the methodology and toolsets for deploying the application.		X		
	8. **Deliverable**: Provide recommendations on appropriate deployment of logical environments to support Contractor's recommended deployment strategy (e.g., testing, data conversion, etc.)	X			
	9. Review, approve and accept recommendations on appropriate deployment environments.		X		

3.3 Implementation Services

The Deployment Services are those services, as described in the following subsections that must be performed to successfully deploy the PTRA.

3.3.1 Implementation Requirement: Implementation/Deployment Project Management Services

Deployment Project Management Services are the activities and Deliverables associated with developing and maintaining an Implementation/Deployment project Plan and schedule for deployment of the application. The following table identifies the Contractor's and Court's Deployment Planning Services tasks, roles and responsibilities.

Implementation/Deployment Project Management Services Tasks, Roles and Responsibilities	Contractor	Court	Issue	Proposed Solution/Rationale and Benefit to the Court
1. **Deliverable**: Develop, document and maintain the Implementation/Deployment Project Plan throughout the course of the engagement. This plan is based on the approved overall approach, methodology and use of proposed toolsets and processes. Contractor shall update this plan on a periodic basis as defined by Court (e.g., monthly, bi-monthly). This plan shall be developed and maintained in Microsoft Project software or an alternative project management tool approved by Court. This plan shall include all required details such as staffing, timelines, key activities, milestones, deliverables, actual progress against plan, variances, etc. Implementation/Deployment Project Plan will take into consideration Court holidays. Provide timelines for off-the-shelf product implementation as well as California specific enhancement release timeline	X			
2. Review, approve and accept Implementation/Deployment Project Plan		X		

3. Establish, maintain and update a Deployment Knowledge Base with all deliverables and documents within the scope of the Deployment Services. In addition to full and accurate documentation of the Contractor's own activities, Contractor will include in the Deployment Knowledge Base all documents, information and data on which they rely to perform Deployment Services, including but not limited to the following: configuration guides, training manuals, assessment reports, user manuals, system level setup and procedures, all queries, form templates, reports and tuning parameters around the database or servers. The Deployment Knowledge Base must be fully indexed and key word searchable.	X			

3.3.2 Deployment Requirements: Infrastructure Assessment and Implementation Services

Infrastructure Assessment and Implementation Services are the activities and Deliverables required to assess and to validate that all components of the Pretrial technical infrastructure, which must be able to support the PTRA, DMS, and the traffic generated through their use. These components include, but are not limited to, desktops, laptops, network elements, scanners, printers, etc. Infrastructure Assessment and Implementation Services also include coordinating and managing the implementation of other needed components. The following table (Table 4) identifies the Contractor's and Pretrial Infrastructure Assessment and Implementation Services tasks, roles and responsibilities.

Contractor's Infrastructure Assessments and Deployment Services will focus on evaluating Pretrial infrastructure in four main areas:

1. **Desktop Environment –** Evaluation of desktop machines and devices, Operating System (OS), and required software components and printers.

2. **Network Environment –** Evaluation of bandwidth and capacity planning capabilities against anticipated traffic volumes due to implementation of the PTRA and DMS and projected growth.

3. **Data Center Environment –** Contractor will evaluate Pretrial connectivity and environment readiness (e.g., Application, Data Exchange Infrastructure, DMS, etc.) based on the infrastructure recommendations from the Deployment Strategy and Approach and Planning phases.

4. **Document Management System Environment –** As part of DMS implementation, Contractor will undertake an assessment to determine additional infrastructure items (scanners, document scanning software, printers, and intermediate servers), storage requirements, and suitability for integration with Application integration components.

In addition, during the Infrastructure Assessment, Contractor will identify gaps, formulate recommendations, and communicate an action plan for Court to address the findings in the Infrastructure Assessment. Information will be shared at regular and pre-defined stages of the Assessment. Contractor will deliver the final Infrastructure Assessment Findings report to the Court for review and approval.

Infrastructure Assessment and Implementation Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. **Deliverable:** Develop and document an Infrastructure Assessment Plan and template for assessing all components of the Pretrial technical infrastructure.	X			
2. Review, approve and accept the Infrastructure Assessment Plan and template.		X		
3. Perform the infrastructure assessment for all technical components for Pretrial Services.	X			
4. **Deliverable:** Document and present the findings of the infrastructure assessment, including recommendations on specific areas that need to be upgraded, standardized or secured.	X			
5. Review, approve and accept the findings of the infrastructure assessment.		X		
6. Perform hardware and connectivity capacity planning for Pretrial Services.	X			
7. Review, approve and accept hardware and connectivity capacity planning.		X		
8. **Deliverable:** Document and present an assessment of required hardware as well as the network infrastructure required at a minimum to support the rollout.	X			
9. Review, approve and accept the hardware and network infrastructure assessment.		X		
10. Manage the installation of any additional hardware or network infrastructure and coordinate with third parties as required.		X		
11. Review, approve and accept the installed hardware or network infrastructure.	X			

12. Measure bandwidth utilization and minimum hardware required to support rollout.	X			
13. **Deliverable:** Provide documented findings of the minimum requirements for desktop hardware along with bandwidth utilization numbers to support sizing of the network to the hosting data center.	X			
14. Review, approve and accept documented findings.		X		

3.3.3 Deployment Requirement: Operational Process and Procedures Services

Operational Process and Procedures Services are the activities and Deliverables required to assess the existing processes and procedures, perform a gap analysis with the process options compatible with the Application and develop and document recommended case management operational processes and procedures that will be utilized with the Application.

Operational Processes and Procedures Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. Identify current operational processes and procedures used for pretrial management by working in conjunction with the Courts and Pretrial Services.	X			
2. **Deliverable:** Assess the existing (“as is”) operational processes and procedures against the end state (“to be”) PTRA configurations, processes and procedures, and develop recommendations on processes that will meet requirements.	X			
3. Review, approve and accept the “as is” versus “to be” assessment and the process recommendations.		X		
4. **Deliverable**: Document approved procedures in an approved format.	X			
5. Review, approve and accept approved procedures.		X		
6. **Deliverable:** Develop and provide a business impact analysis based on the “as is” versus “to be” assessment.	X			
7. Review, approve and accept the business impact analysis.		X		

3.3.4 Deployment Requirement: Application Configuration Services

Application Configuration Services are the activities and deliverables required to configure the PTRA to support business processes. The following table identifies the Contractor's and Court's Application Configuration Services tasks, roles and responsibilities.

Application Configuration Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. Conduct training sessions/system walkthroughs for Pretrial business process staff to provide an understanding of the application and business context for configurations.	X			
2. Conduct SME Education Sessions about system and configuration impacts.	X			
3. Identify end state ("to be") configurations by working in conjunction with the Court and Pretrial.	X			
4. **Deliverable:** Develop a detailed application configuration strategy that will meet requirements.	X			
5. Review, approve and accept the "as is" versus "to be" assessment and the configuration strategy.		X		
6. **Deliverable:** Develop and document a detailed application configuration plan that links to data exchange configuration.	X			
7. Review, approve and accept the detailed application configuration plan.		X		
8. **Deliverable:** Create and maintain a detailed application configuration workbook incorporating all recommended Configuration Items (CIs).	X			
9. Review, approve and accept the detailed application configuration workbook.		X		
10. Configure approved CIs as documented in the detailed application configuration workbook into the PTRA.	X			
11. **Deliverable:** Create and submit a detailed configuration workbook listing the final application configuration details of the PTRA.	X			
12. Review, approve and accept the configuration workbook.		X		

13. Perform Application Configuration Services activities in synchronization with the Data Integration Services	X			
14. Identify Forms, Notices, and Reports requirements and design by working in conjunction with the Court and Pretrial.	X			
15. **Deliverable:** Forms, Notices, and Reports Design Documents		X		
16. Review, approve and accept Forms, Notices, and Reports Design Documents.	X			
17. Test approved configurations based on the Detailed Application Configuration Workbook. Unit test the configuration.	X			
18. Identify defects and changes.		X		
19. Remediate identified defects and changes.	X			

3.3.5 Deployment Requirement: Data Conversion Services

Data Conversion Services are the activities and Deliverables associated with the assessment, planning, mapping, scripting, conversion and testing required for the conversion of data from the current systems to the PTRA.

The following table identifies the Contractor's and Court's Data Conversion tasks, roles and responsibilities.

Data Conversion Services Tasks, Roles and Responsibilities	Contractor	Court	Issue	Proposed Solution/Rationale and Benefit to the Court
1. Identify sources of data from the current systems by working in conjunction with the Court.	X			
2. **Deliverable:** Assess the existing ("as is") sources of Data (including software, code, functionality, and Data) against the end state ("to be") PTRA, and develop a detailed Data Conversion Strategy and Data Conversion Plan for each source of data based on the assessment	X			
3. Review, approve and accept the detailed Data Conversion Strategy and Data Conversion Plan.		X		
4. **Deliverable:** For each source of Data, develop and document the detailed data schema/maps from current systems to the PTRA.	X			

5. **Deliverable:** For each source of Data, identify and document data elements which cannot be converted through the automated tools and/or other exceptions and develop a plan to achieve data conversion through alternative means (e.g., manual conversion, manual entry).	X			
6. Review, approve and accept mapping and plan for converting data elements which cannot be converted through automated tools and/or other exceptions.		X		
7. Configure data conversion tools, as required to perform data conversion.	X			
8. Provide all relevant technical documentation (development/configuration manuals etc.) on such data conversion scripts and tools.	X			
9. Perform data conversion through automated or manual processes as approved by Court.	X			
10. **Deliverable:** Create a comprehensive Data Conversion Test Plan for each source of Data.	x			
11. Review, approve and accept all Data Conversion Test Plans.		X		
12. **Deliverable:** Conduct data conversion testing using Contractor's validation process, identify errors and exceptions and document and provide a report on the testing results to Court.	X			
13. Conduct data conversion re-testing until requirements are met.	X			
14. Review, approve and accept conversion testing and retesting results.		X		

3.3.6 Deployment Requirement: Data Integration Services

Data Integration Services are the activities and Deliverables associated with the assessment, planning, design, development, modification, and testing of the data exchanges between the Court and county and state partners, and the PTRA. This includes justice partner exchanges and electronic services, as well as the PTRA portal. The following table identifies the Contractor's and Court's Data Integration Services tasks, roles and responsibilities.

Data Integration Services Tasks, Roles and Responsibilities	Contractor	Court	Issue	Proposed Solution/Rationale and Benefit to the Court
1. Create an inventory of data exchanges (local and statewide exchanges) including internal, justice partner, and Contractor exchanges and portal access, and create a Gap Analysis that assesses the existing ("as is") state and scope of exchanges against the end state ("to be") state and scope of exchanges.	X			
2. Identify data exchange requirements between the current Court and partner systems and the PTRA, and analyze them against proposed data exchange standards, access requirements, etc. and present recommended exchanges to the Court.	X			
3. Ensure that such data exchange requirements between the Court and partner systems and the PTRA are identified by working in conjunction with the Court and Court's county and state justice partners (e.g., jail, probation, JCC, CA DOJ). Additionally, ensure that any gaps or exceptions identified in configuration or data conversion affecting data exchanges as well as deficiencies in the data exchange standards are also assessed.	X			
4. **Deliverable:** Develop and provide to Court, a Gap Analysis that includes recommendations on the new exchanges that need to be configured and developed.	X			
5. Review, approve and accept the Gap Analysis.		X		
6. Discuss Gap Analysis results with justice partners.	X			
7. **Deliverable:** Develop and maintain a detailed Data Exchange Deployment Plan consisting of the end-to-end process for exchange deployment (from the "as is" to the "to be" states) including organization of local data exchange deployment team, including Court, Contractor and justice partner resources, as needed.	X			
8. Review, approve and accept the detailed Data Exchange Deployment Plan		X		

9. **Deliverable**: Develop and maintain a data integration pre-testing activities workbook including connectivity of Contractors/partners, development of Court policy file, and configuration of exchanges.	X			
10. Review, approve, and accept the pre-testing activities workbook.		X		
11. Perform the necessary activities to configure and deploy exchanges as required and approved by the Court.	X			
12. **Deliverable:** Conduct data exchange deployment (for both local and statewide exchanges) and integration testing using Contractor's validation process, identify errors and exceptions and document and provide testing and traceability matrix results to Court.	X			
13. Conduct data exchange deployment and integration re-testing until requirements are met.	X			
14. Review, approve and accept data exchange deployment and integration testing and retesting results.		X		
15. Provide Court with one data integration technical subject matter expert, as requested by the Court.	X			
16. Perform Data Integration Services activities in synchronization with the Application Configuration Services.	X			

3.3.7 Deployment Requirement: Document Management System (DMS) Configuration Services

Document Management System (DMS) Configuration Services are the activities and Deliverables associated with developing and implementing DMS infrastructure requirements and integrating the DMS with the PTRA. The following table identifies the Contractor's and Court's Document Management System Configuration Services tasks, roles and responsibilities.

Document Management System Configuration Services Roles and Responsibilities	Contractor	Court	Issue	Proposed Solution/Rationale and Benefit to the Court
1. **Deliverable:** Develop a DMS Integration Plan and Approach for integrating existing Document Management Systems (DMS)	X			

with PTRA.				
2. Review, approve and accept plan and approach for integrating existing DMS with PTRA.		X		
3. **Deliverable:** For pretrial that does not have an existing DMS, provide a plan and approach for:	X			
· Gathering DMS requirements.				
· Implementing the DMS infrastructure required (e.g., scanners, intermediate servers).				
· Integrating DMS use into specific Application business processes (e.g., workflows). · Integrating the DMS infrastructure with the hosted DMS application.				
4. Review, approve and accept plan and approach for DMS infrastructure implementation and integration with Application for pretrial that do not have an existing DMS.		X		
5. **Deliverable:** Perform integration of (new as well as existing) DMS with PTRA.	X			
6. Review, approve and accept integration of (new as well as existing) DMS with PTRA.		X		
7. Coordinate the implementation of the DMS infrastructure required and integrate with PTRA and the DMS application.	X			

3.3.8 Implementation Requirement: Testing Services

Testing Services are the activities and Deliverables associated with planning and executing testing for Acceptance by the Court of the entire set of contracted Deployment requirements (e.g., configuration, exchanges). The following table identifies the Contractor's and Court's Testing Services tasks, roles and responsibilities.

Testing Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**

1. **Deliverable**: Develop, document and maintain a Test Plan for all Deployment Services, including the plan for end-to-end testing, network performance testing, data integration testing, application configuration testing, roles-based access testing and Acceptance testing. The Test Plan will define criteria for entering and exiting the various test phases.	X			
2. Review, approve and accept the Test Plan.		X		
3. Prepare and document test cases, test scripts and test data as required by the Test Plan.	X			
4. Review, approve and accept test cases, test scripts, and test data.		X		
5. **Deliverable:** Perform end-to-end testing, network performance testing, data integration testing, application configuration testing, mock cutover testing, and roles-based access testing, using industry standard methodologies and best practices. Such testing shall include testing for any and all application release versions issued prior to Final Acceptance of the Services.	X			
6. Support Acceptance testing processes.	X			
7. Conduct Acceptance testing.		X		
8. **Deliverable:** Manage, identify, classify, and document any Deployment Services-related deficiencies or errors found as a result of testing, using prescribed tools.	X			
9. Resolve Deployment requirements-related deficiencies and errors found as a result of testing. Such Resolution shall include retesting.	X			
10. **Deliverable:** Document and provide the testing and retesting and traceability matrix results for approval.	X			
11. Develop any additionally needed test scripts for any subsequent Application releases prior to a Final Acceptance of the Services.	X			
12. Review, approve and accept testing, retesting and traceability matrix results.		X		

3.3.9 Implementation Requirement: Cutover and Stabilization Services

Cutover and Stabilization Services are the activities and Deliverables required to successfully manage the Cutover from existing systems to the PTRA ("go live" support) without affecting the day-to-day functioning and ensuring that the transition process to the PTRA is completed quickly and in the most efficient manner possible. The following table identifies the Contractor's and Court's Cutover and Stabilization Services tasks, roles and responsibilities.

Cutover and Stabilization Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. **Deliverable:** Define and document the Cutover and Stabilization Services Plan to be performed by Contractor.	X			
2. Review, approve and accept the Operational Cutover and Stabilization Services Plan.		X		
3. Perform and coordinate cutover activities in accordance with the Cutover and Stabilization Services Plan.	X			
4. Provide expert on-site support to Court and pretrial personnel during the Cutover, to ensure that the Cutover and transition are performed smoothly.	X			
5. Provide expert on-site resolution of any issues or problems that may arise in the post-Cutover transition stabilization period and/or manage resolution through approved processes and procedures.	X			
6. Perform all activities as provided, at minimum, in the defined exit criteria.	X			
7. Coordinate with pretrial help desk as required, including problem management and Incident management processes.	X			
8. Train help desk and provide requisite help desk scripts and tools for Deployment Services and daily support and maintenance.	X			
9. Review, approve and accept scripts.		X		

3.3.10 Implementation Requirement: Training Services

Training Services are the activities and Deliverables associated with training the PTRA configuration administrators and End-Users for the purpose of supporting the PTRA and fully utilizing the functions and features of the applications through formal training (which may include classroom training, computer or web based training) and informal methods during the Deployment. The following table identifies the Contractor's and Court's Training Services tasks, roles and responsibilities.

Training Services Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. **Deliverable:** Develop, document and maintain a Training Plan, including training schedule, instructor requirements, facilitator requirements, module/class structure, facilities requirements, alternative facility options, and specific training data issues.	X			
2. Review, approve and accept the Training Plan.		X		
3. **Deliverable:** Provide Application configuration and administration training to administrators.	X			
4. **Deliverable:** Provide Application End-User training and help desk training.	X			
5. **Deliverable:** Provide ongoing, pre-scheduled Application End-User training and help desk training for any subsequent application releases prior to Final Acceptance of the Services.	X			
6. Create and maintain the training configurations on the Application training instances as requested.	X			
7. **Deliverable:** Provide DMS operational training to specified End-Users.	X			
8. **Deliverable:** Provide specified End-Users with ongoing, pre-scheduled DMS operational training for any subsequent Application releases prior to Final Acceptance of the Services.	X			
9. Review, approve and accept training.		X		
10. Review, approve and accept justice partner training session.		X		

3.4 Implementation Requirement: Project Management Services

Implementation Project Management Services are the activities and Deliverables associated with providing project management throughout the term of the engagement. The following table identifies the Contractor's and Court's Implementation Project Management Services tasks, roles and responsibilities.

Implementation Project Management Services Tasks, Roles and Responsibilities	**Contractor**	**Court**	**Issue**	**Proposed Solution/Rationale and Benefit to the Court**
1. Provide project strategy and direction including overall scope and timelines.		X		
2. Provide, and review with Court, Contractor project metrics reporting on Contractor's accomplishment of milestones, SLRs and associated Deliverables.	X			
3. Review, approve and accept project metrics, SLRs, milestones and Deliverables.		X		
4. Develop and present remediation plans to resolve Deployment Services related issues.	X			
5. Review, approve and accept remediation plans to resolve Deployment Services related issues.		X		
6. **Deliverable:** Participate in the creation of a local agency specific release plan.	X			
7. Coordinate the application releases between the pre-production environments to the production environment.	X			
8. Participate as requested t in technical and business planning/governance meetings to establish and communicate decisions.	X			
9. Adhere to Incident and problem management processes and tools.	X			
10. Contractor Project Lead shall schedule and conduct weekly project status meetings with appropriate Contractor resources in accordance with the Project Communications Plan with Court Project Manager and other key participants as the Project Manager may require.	X			
11. Participate in weekly project status report meetings.		X		

12. **Deliverable:** Provide written weekly project status reports to the Court Project Manager including status updates of applicable items in the Project Plan (e.g. the project schedule) in a format agreed to by Court, including escalation of any issues and risks that may impact Critical Milestones, as well as issue and risk mitigation actions.	X			
13. Execute projects using PMI best practices including standard project life cycle activities, project initiation, planning, execution, control and closure, and Acceptance.	X			
14. Coordinate all Services, activities and dependencies and serve as the single point of contact/interface to Court including coordinating Contractor, Third Party and Court resources to ensure the on-time delivery of tested/quality checked Deliverables as defined in the Project Plan.	X			
15. Prepare and present a quarterly Executive Management Report in a mutually agreed upon format.	X			
16. **Deliverable:** Provide a Change Management Plan outlining the review process for documenting and approving changes in project scope.	X			
17. Provide single portal access for all documents and reports	X			
18. Provide a regular Implementation Summary Report that includes current status of milestones and all SLRs.	X			
19. Review, approve and accept Implementation Summary Report.		X		
20. **Deliverable:** Develop overall approach and strategy to manage and maintain a Deployment Knowledge Base that will contain deployment documents and Deliverables from deployment, including recommendations on content, structure and tools.	X			
21. Review, approve and accept overall approach and strategy to manage and maintain a Deployment Knowledge Base.		X		
22. **Deliverable:** Manage and maintain the specified Deployment Knowledge Base throughout the Application deployment process, incorporating Application documents and Deliverables.	X			

23. **Deliverable:** Update the Deployment Knowledge Base with all deliverables and documents as a part of Cutover and Stabilization Services.	X			
24. Review, approve and accept the updated Deployment Knowledge Base after all deliverables and documents.		X		

3.5 Implementation Requirement: Customer Satisfaction Management Services

Customer Satisfaction Management Services are the activities associated with developing, implementing and reporting on Customer Satisfaction surveys to the Court Project Management team. The following table identifies Contractor's and Court's Customer Satisfaction Management Services tasks, roles and responsibilities.

Customer Satisfaction Management Services Tasks, Roles and Responsibilities	Contractor	Court	Issue	Proposed Solution/Rationale and Benefit to the Court
1. Establish Customer Satisfaction Survey requirements.		X		
2. **Deliverable:** Develop Customer Satisfaction Survey in accordance with survey requirements.	X			
3. Review, approve and accept Contractor developed Customer Satisfaction Survey.		X		
4. Conduct quarterly Customer Satisfaction Surveys to the Court.		X		
5. Meet with Court to review Customer Satisfaction reports and make recommendations on how to resolve customer dissatisfaction.	X			
6. **Deliverable:** Prepare a Customer Satisfaction Project Plan to resolve customer dissatisfaction.	X			
7. Review, provide additional input as required, approve and accept Customer Satisfaction Project Plan.		X		
8. Execute Court-Accepted Customer Satisfaction Project Plan.	X			

4.0 Requirements Definitions

4.1 “Application” means the complete pretrial risk assessment application (PTRA), including all associated software, data exchanges, and external systems to be implemented by Contractor.

4.2 “Training Plan” means the plan that the Contractor shall develop for respecting End-User and configuration administrator Application training.

4.3 “Critical Milestones” means those milestones, activities, actions and projects identified as such in this Agreement, but are not limited to this Agreement. Additional milestones may be negotiated by individual courts.

4.4 “Customer Satisfaction” means a subjective rating obtained through customer satisfaction surveys conducted from time to time in accordance with terms defined herein.

4.5 “Cutover” means going-live on the Application, at one or more locations, and where all personnel who are provided access to pretrial case management system(s) are able to access the Application and perform their normal daily operations using the production environment of the Application.

4.6 “Final Acceptance” means written Acceptance of all Services and Deliverables including signoff on all exit criteria as defined in the Cutover and Stabilizations Services.

4.7 “Incident” means either a (i) single event or (ii) abnormal activity for a function monitored by Contractor, each requiring a Contractor response typically denoted by a request for service or identification of a problem. Court or designee will determine the Incident Priority Level of each reported Incident. Contractor will provide an escalation procedure (to be approved by Court) for resolution of reported and non-reported incidents.

4.8 “Incident Resolution” means the point at which Contractor has responded to an Incident and Contractor has either: (a) conducted and successfully completed a Root Cause Analysis on a problem and appropriately corrected both the results and the cause of the problem; or (b) has provided an appropriate answer to an inquiry or an informational question that is understood by and acceptable to Court or designee. In both cases, the Incident is not resolved until Court or designee is convinced and satisfied that it has been resolved.

4.9 “Implementation and Deployment Project Plan” means the plan that Contractor shall develop with respect to the Implementation/Deployment Services, as defined in Exhibit 3.

4.10 “Knowledge Transfer Plan” means the plan the Contractor shall develop and execute respecting the knowledge required for Contractor to start the implementation process, as defined in Exhibit 3.

4.11 “Measurement Interval” means the period in which a given SLR is measured (e.g., one (1) month, one (1) year, etc.).

4.12 “Measurement Tool” means a tool used to measure processes, equipment, and networks systems.

4.13 “Performance Target” is defined as the desired level of service Court or designee is seeking for that particular Service Level Requirement.

4.14 “Priority Level” is a defined category that identifies the degree of business criticality and importance of specific Incidents and the associated Contractor response requirements attributed to any such Incident. The Priority Level table categories and descriptions set forth in Exhibit 3 apply to all Services.

4.15 “Reporting Period” means the interval of time between providing reports. Unless otherwise specified, all reports are provided on a monthly basis within three (3) Business Days of the close of the calendar month.

4.16 “Resolve” or “Resolution” means to repair, replace, reconfigure, reinstall, re-route, or otherwise provide a complete solution to an Incident that returns the system and/or End-User(s) to non-degraded full functionality. Implementing a Workaround is a partial or temporary resolution.

4.17 “Root Cause Analysis” is a problem analysis process undertaken to identify and quantify the underlying cause(s) of an Incident and document the necessary corrective actions to be taken to prevent recurring problems and/or trends which could result in problems.

4.18 “Implementation Plan” means the plan for deployment of the Application that the Contractor shall develop and maintain throughout the course of the Implementation/Deployment Services in accordance with Exhibit 3.

4.19 “Workaround” is a temporary solution that Vendor or Court can implement in the event of an Incident as an alternate method of providing full Service or process functionality that allows the affected system(s) and/or process(es) to deliver to Court an acceptable level of business operations functionality until a permanent Incident Resolution can be implemented. Any such Workaround must be acceptable to and approved by Court.

EXHIBIT 8
FEES, PRICING AND PAYMENT TERMS

Revision 1 of Section-Other or Additional Costs (based on an individual Court/CJP deployment)

	SMALL			MEDIUM			LARGE			ENTERPRISE		
Description	**Unit Cost**	**No. of Units**	**Total Cost**	**Unit Cost**	**No. of Units**	**Total Cost**	**Unit Cost**	**No. of Units**	**Total Cost**	**Unit Cost**	**No. of Units**	**Total Cost**
Document Scanning Services	$175	0	**$0**	$175	0	**$0**	$175	0	**$0**	$175	0	**$0**
DMS Integration	$175	150	**$26,250**	$175	250	**$43,750**	$175	250	**$43,750**	$175	400	**$70,000**
Integration Services (integration using existing Services API)	$175	100	**$17,500**	$175	250	**$43,750**	$175	400	**$70,000**	$175	950	**$166,250**
Additional Data Exchanges/Interfaces (custom)	$175	150	**$26,250**	$175	400	**$70,000**	$175	800	**$140,000**	$175	1400	**$245,000**
Topaz Signature Pads	$199	125	**$24,875**	$199	325	**$64,675**	$199	750	**$149,250**	$199	750	**$149,250**
iDMS Server License	$2,100	1	**$2,100**	$2,100	1	**$2,100**	$2,100	1	**$2,100**	$2,100	1	**$2,100**
Judicial Portal*	$15,000	1	**$15,000**	$24,000	1	**$24,000**	$40,000	1	**$40,000**	$50,000	1	**$50,000**
Northpointe Reporting**	$10,000	1	**$10,000**	$12,000	1	**$$12,000**	$15,000	1	**$15,000**	$25,000	1	**$25,000**
			$0			**$0**			**$0**			**$0**
			$0			**$0**			**$0**			**$0**
			$0			**$0**			**$0**			**$0**
Total			**$121,975**			**$260,275**			**$460,100**			**$707,600**

Assumptions/Additional Comments

Integration services and additional data exchanges have been populated above based on several assumptions regarding Court/CJP size.

Document Scanning Services are not provided by Contractor; Third Party providers would be required to complete this work effort. As such, no pricing is provided.

Topaz Signature Pads are optional depending on individual Court/CJP needs per implementation. Signature pads are not sold by Contractor directly; Third Party direct purchasing needed.

These costs would be incurred during the Implementation project and are categorized as one-time fees. This assumes no on-going services work related to integrations or data exchanges are requested by individual Courts/CJPs. As requirements vary Court by Court and over time, on-going fees may occur.

Discounts for the additional recurring costs listed in the chart above, are as follows (Topaz Signature Pads excluded) :
5% discount for annual additional costs equaling $200,000 or above (5% total discount on additional costs, annually)
Another 5% discount for annual additional costs equaling $300,000 or above (10% total discount on additional costs, annually)
Another 5% discount for annual additional costs equaling $400,000 or above (15% total discount on additional costs, annually)
Example: if a bundle of additional costs equals $420,000, a 15% discount will be applied to the recurring additional costs, resulting in $357,000 of annual additional costs.

*Judicial Portal Includes

- Expedite release decisions
- Unlimited number of users
- Seamlessly access defendant information
- Easy-to-view case details
- Two-way communication
- Highest security standards

**Northpointe Reporting

- Pre-built interfaces
- Stock reports
- Seamlessly connect reporting databases
- Report writer workstation
- Run and distribute reports
- Singular report experience