# EXHIBIT C – Scope of Work

# 1.0 Introduction

* 1. **Overview**

The Human Services Department is seeking a vendor to develop and maintain a cloud-based Case Management System. The system will be a source of record for Client information, financial and non-financial service delivery, case management, case plan tracking and time management. Additionally, the system will generate reports needed for various grants and allow for ad-hoc reporting of all data entered. Case Management should be implemented for the following programs: Family Services Center, Victim Services, Landlord and Tenant Counseling.

Vendor will be responsible for full system lifecycle of the Case Management System including design, coding, ensuring that all features are fully tested, product launch, end user training and ongoing support and maintenance. Post launch, vendor shall make resources available to develop any system enhancements necessary for ongoing operations. Vendor will work with designated staff to gather all the requirements and obtain signoff both during initial implementation and for future system enhancements.

* 1. **Product Perspective**

**Family Services Center Program**

The City of Phoenix’s Human Services Department operates 3 Family Service Centers. Approximately 100 employees staff the operations. Staff roles include Clerical, Caseworker, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 8,714 households have been provided utility and rent/mortgage emergency assistance and approximately $23.5 million has been expended. The program also provides case management services to residents.

Residents contact the main center line to obtain an appointment slot to request emergency assistance.

Individuals with an appointment complete a questionnaire and provide necessary documentation either in person or online through a portal.

Caseworker Staff will work with the Client to assess the need and determine the services available. Clients willing to participate will go through the case management pathway.

Grant and other funds used for payments should follow applicable guidelines. Review and reconciliation of services are performed by Administrative and Fiscal Staff. Payments to vendors including utilities and landlord/mortgage companies are processed through a city-wide accounting system.

Clients are also provided gift cards, bus vouchers, household materials, etc. The system should provide ability to track inventory of on-hand and issued items.

If case management services will be offered, the system will generate a case plan to help track goals, tasks and outcomes. Scope of the system includes tracking of incoming and outgoing referrals.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and manage operations.

**Victim Services/Family Advocacy Center Program**

The City of Phoenix’s Human Services Department operates 1 Family Advocacy Center. Approximately 20 employees staff the operations. Staff roles include Clerical, Caseworker, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 4,355 individuals have been provided comprehensive services to victims of domestic and sexual violence, homicide, and other violent crimes, in addition to case management services. Annually more than 50,000 services have been provided.

Clients may contact the Family Advocacy Center by phone or walk-in to receive services.

Caseworker Staff work with the Client to assess the need and determine appropriate services.

Scope of the system includes tracking of incoming and outgoing referrals.

Clients are also provided gift cards, bus vouchers, household materials, etc. The system should provide ability to track inventory of on-hand and issued items.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and manage operations.

**Landlord and Tenant Program**

The City of Phoenix’s Human Services Department operates the Landlord and Tenant Program (LTP). Approximately 5 employees staff the operations. Staff roles include Clerical, Counselor, Supervisor, Administrative and Fiscal functions.

In 2021, approximately 4,000 residents (Landlord and Tenants) were provided with educational services related to the Arizona Landlord and Tenant Residential Act. Landlord and Tenant Program also offers emergency financial assistance to City of Phoenix eligible residents.

Residents contact the Landlord and Tenant program either by phone or email to schedule an appointment to request assistance.

Individuals with an appointment complete an Intake sheet and provide necessary documentation either in person or online through a portal.

Counselor Staff will work with the resident to assess the need and determine the educational need and necessary referrals. The program also provides Tenant Emergency funds to clients needing rent/mortgage/utility assistance.

Grant and other funds used for payments should follow applicable guidelines. Review and reconciliation of services are performed by Administrative and Fiscal Staff. Payments to vendors including utilities and landlord/mortgage companies are processed through a city-wide accounting system.

Staff will generate predefined reports and use the ad hoc reporting feature to assist in meeting grant requirements and managing operations.

* + 1. **Definitions:**
* Appointment – A time scheduled to assess an individual’s circumstances to determine eligibility for clients who are in imminent need of services. Multiple appointment types are provided by program services.
* Case File – A digital form used to document a client’s request and assistance provided during a set period of time.
* Primary Client – The main individual requesting assistance from the City of Phoenix.
* Household Member – Any individual living with the Primary Client in the same residence.
* FPG (Federal Poverty Guideline) – A measure of income issued every year by the Department of Health and Human Services (HHS). Federal poverty levels are used to determine your eligibility for certain programs and benefits.
* AMI (Area Median Income) – The midpoint of a specific area's income distribution and is calculated on an annual basis by the Department of Housing and Urban Development.
* SMI (State Median Income) – An annual income figure representing the point at which there are as many families earning more than that amount as there are earning less than that amount.
* House Bill – A process that consists of a compliance form and documentation to establish an individual’s proof of legal presence. Arizona Revised Statutes, Section 1-501 and 46-140.01 require local governments to determine the identity and citizenship and/or immigration status of persons applying to receive public benefits.
* Payment Reissues – Commonly needed when a check has expired and no other changes are required.
* Payment Reversals – Are commonly needed when a correction is needed for vendor information or dollar amount. Reversals requires Caseworker Staff to re-enter service information for the reissue process.
* VOCA (Victims of Crime Act) – Monies provided to the program.
* CSBG (Community Services Block Grant) – Monies provided to the program.
* CDBG (Community Development Block Grant) – Monies provided to the program.
* Self Sufficiency Matrix – Rating scale used to assess household situations in various areas such as housing, employment, income, education, support networks, etc. This information will be used by Caseworker Staff to determine appropriate services and referrals for an individual.
* Grant/Fund – Money or resources provided by grants issued by federal, state and local entities. The program must comply with applicable grant requirements.
* SAP – Accounting system used by the City of Phoenix.
* DES (Arizona Department of Economic Security) – A partner agency of the City of Phoenix.
  1. **Product Functions including User Classes**

**Family Services Center Program**

1. Clerical Staff – Responsible for booking appointments.
2. Caseworker Staff – Manage appointments, import intake information from a third-party portal, maintain client information in case files, and drive service delivery to clients.
3. Supervisor Staff – Appointment generation, review and approve services, manage gift card/bus pass inventory.
4. Administration Staff (FAS) – Review services for payment processing, setup fund/service rules and manage other system features.
5. Fiscal Staff – Perform payment processing and reconciliation, maintain vendor information.
6. All Staff - Reports are run for all data collected including client information and service information.
7. IT Support Staff – Perform system admin duties including managing access roles.

**Victim Services/Family Advocacy Center Program**

1. Clerical Staff – Responsible for entering quick services provided to the client and reconcile taxi vouchers.
2. Caseworker Staff – Maintain client information in case files and drive service delivery to clients.
3. Supervisor Staff – Review and audit client case files, and issue gift cards.
4. Administration Staff (FAC) – Setup fund/service rules, manage other system features and maintain gift card vendor information.
5. Fiscal Staff – Perform payment processing and reconciliation for gift cards.
6. All Staff - Reports are run for all data collected including client information and service information.
7. IT Support Staff – Perform system admin duties including managing access roles.

**Landlord and Tenant Program**

1. Resident – Enters intake information and uploads documentation online.
2. Clerical Staff – Responsible for booking appointments.
3. Counselor Staff – Manage appointments, maintain resident information, and drive service delivery to residents.
4. Supervisor Staff – Review and approve services.
5. Administration Staff (LTP) – Review services for payment processing, set up fund/service rules and manage other system features.
6. Fiscal Staff – Perform payment processing and reconciliation and maintain vendor information.
7. All Staff - Reports are run for all data collected including client information and service information.
8. IT Support Staff – Perform system admin duties including managing access roles.

Please refer to the functional and non-functional section requirements below for detailed information.

* 1. **Deliverables**

The following deliverables are necessary for a complete and successful implementation. Vendor will work with City staff to create an implementation schedule and obtain signoff for each deliverable before proceeding to the next deliverable. Each deliverable must be to the City’s satisfaction.

1. Documented use cases
2. Proof of successful user acceptance testing (shall cover all use case scenarios)
3. Staff training
4. Product launch on a certified cloud platform

**2.0 Requirements**

Offeror should complete the requirements section by rating the capabilities of their proposed solution against the specific requirements defined. Please use the Capability Value scoring provided below to respond to each requirement. There may be requirements that do not require a rating. Such fields will be marked as “Do Not Rate” by the Customer only. In addition, Offeror must provide a narrative for each requirement where Offeror responds with a capability value of 0, 1, 2, or 3. A narrative is required to understand the Offeror’s solution capabilities that meet each specified requirement.

**Capability Value Rating Criteria for Offeror Response to Requirements**

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| **Capability Value** | **Description** |
| 0 | Functionality Not Provided: Solution does not meet requirement, even with a third-party solution. |
| 1 | Functionality Provided but Requires Integration with Third Party: Solution requires third party hardware/software solution to meet requirement. Please name and identify third party solution required in the Description and/or Comments field |
| 2 | Functionality Provided but Requires Extensive Configuration: Implies that solution requires configuration and programming in excess of three weeks and/or 120hrs to deliver the requirement. |
| 3 | Functionality Provided Out-Of-The-Box: The Offeror provides the functionality from its existing code base and basic/minimal configuration may be required to deliver requirement. |

NOTE: Neglecting to provide a capability value rating for any requirement and/or not providing a written narrative as instructed will be interpreted as nonresponsive. The following table sets forth requirements which include a combination of business and technology requirements (functional and non-functional).

Rating the capabilities of the Offeror’s proposed solution against security and privacy requirements requires the City of Phoenix Information Security and Privacy Office (ISPO) to gather information and assess the current maturity of the security program and privacy program implemented across the Offeror and the City of Phoenix. Assessing security program and privacy program maturity requires the completion of a questionnaire based on the latest version of the National Institute of Standards and Technology (NIST) Cybersecurity Framework's and Privacy Framework’s core functions, categories, and subcategories. This questionnaire is provided by ISPO upon request.

**2.1 Functional Requirements – Family Services Center Program**

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| **2.1.1 Appointment Slot Generation**: Administrative Staff generate one-hour daily appointment slots for various appointment types (Rent, Utility, Case Management, etc.) for 3 Family Service Center locations. The type and number of daily appointment slots are determined based on funding and staff availability. Caseworker Staff are assigned to the slots by Administrative Staff. Appointments are held virtually and in-person. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide reports for fiscal year funds spent and available for rent and utility appointment types by location. This information will be used to calculate the current week’s financial assistance appointment slots. |  |  |
| 2 | Provide a report for previous 24 months of weekly slots by appointment type to assist in trend analysis. |  |  |
| 3 | Provide a screen where Administrative Staff can enter various financial assistance appointment types needed for hourly slots for the current week (Hourly Slots: 7am, 8am, 9am, 10am, 11am, 1pm 2pm, 3pm, 4pm). This action should generate slots which can be assigned to Caseworker Staff.  See Exhibit 2.1.1.3 |  |  |
| 4 | Caseworker should be able to choose appointments they can serve for generated appointment slots based on their availability. This feature should have the ability to be turned on and off by Administrative Staff. |  |  |
| 5 | Administrative Staff finalize the assignments and schedule which secures the appointment slots from any assignment changes by Caseworker Staff. |  |  |
| 6 | Administrative Staff can generate new appointment slots on an ad-hoc basis. |  |  |
| 7 | Printable schedules by location or individual staff. |  |  |
| 8 | Caseworker dashboard should display the schedule for the week. Supervisor Staff and above can view Caseworker Staff schedule using various filters. |  |  |

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| **2.1.2 Weekly Appointment Booking**: Residents needing assistance with utility or rent call the main line and make an appointment at one of the 3 Family Service Centers. Clerical staff answering the phones search for a free appointment type for assistance requested and place the client in that slot. Most of the slots are booked on Mondays with remaining few booked on rest of the days. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Clerical Staff can book an appointment for an open slot. The following information is collected for each resident: First Name, Last Name, Middle Initial, Gender, social security number (generate pseudo if none provided), date of birth, phone # and email address, Physical Address, etc. |  |  |
| 2 | Client information is updated if the record already exists in the system. This allows tracking of history for all appointments for a specific Client. |  |  |
| 3 | Provide ability for Clerical Staff to view prior service information for the client they are booking. |  |  |
| 4 | Appointment slot is blocked while Clerical Staff are speaking to the resident and entering information into the appointment slot details. |  |  |
| 5 | When a booking is completed, a third-party portal API should be called to send appointment information which includes Client Name, Email, Date of Birth, Appointment Date/Time, Location, Assigned Caseworker. The resident will use the portal to register and complete a questionnaire. All related appointments use the original appointment ID when sending information to the third-party portal API. |  |  |
| 6 | The following rules need to be applied to booking:   1. No duplicate financial assistance appointments in the same week 2. Other business rules as applicable |  |  |
| **2.1.3 Appointment Management**: Staff have the ability to view and manage appointments at various locations. New appointments can be created, and existing appointments updated as needed including cancellation. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide a listing of all appointments that can be sorted and filtered. This list includes appointments generated and manually created. |  |  |
| 2 | Provide appointment Create, Edit and Cancel based on staff access role. |  |  |
| 3 | Fields for Appointment:  Client Name, Date/Time, Type (DD), Location, Caseworker, Prescreen Caseworker, Interpreter Required Checkbox, Is Return Appointment Checkbox, Appointment Outcome, etc. |  |  |
| 4 | Provide ability to link an appointment to a Client case file. |  |  |

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| **2.1.4 Client Search**: Staff search and filter clients for a given criteria in preparation for service delivery. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide ability to search for Clients using the following fields:  Last Four of SSN, First Name, Last Name, Date of Birth, Client ID (Internal), Case ID (Internal), Address, other fields as determined. |  |  |
| 2 | Provide listing of case files and associated services for each selected Client. |  |  |
| 3 | The listing of case files and associated services can be filtered and sorted. |  |  |

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| **2.1.5 New Case File Generation**: This section is part of the Client Case File. The case file holds Client information and services provided during a period of time. The client will have one or more appointments for a given case file as needed to complete the evaluation. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Creating a case file should generate the appropriate screens needed to track client information, service information, and case management. |  |  |
| 2 | Only staff with appropriate access are allowed to create a case file or update information. |  |  |

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| **2.1.6 Case Management Summary**: This section is part of the Client Case File. Caseworker Staff capture household summary information such as Family Type, Housing Type, Income Summary, Family Size, Presenting Problem (Reason for Assistance), etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case Management Summary:  Number of Household Members by Type (Adult, Children, Elderly), Presenting Problem, Housing Type, Family Type (DD), Source, Case Open Date, Case Closed Date, Case Status, Council District, etc. |  |  |
| 2 | Read only fields carried from other screens for staff reference:  Family Size, Income, FPG, AMI, Address, Contact Info (Email and Phone Number for Primary Client), etc. |  |  |

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| **2.1.7 Household Members**: This section is part of the Client Case File. Caseworker Staff capture information for the Primary applicant and other household members. Members need to be unique as determined by their Social Security Number and must be part of the household at the time the assistance was requested. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Household Members:  First Name, Last Name, Date of Birth, Social Security Number (Unique), Race, Gender, Email Address, Home Address, Latino Status, Marital Status, Insurance Type (DD), Disability Status, Military Status, Veteran Status, Work Status, Preferred Language, Media Release, Independent Living Status, Educational Status, etc.  \*Some fields are disabled based on certain criteria (ex. Age) |  |  |

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| **2.1.8 Household Income**: This section is part of the Client Case File. Caseworker Staff capture the complete 30-day history of income needs to have all cash and non-cash inputs to complete it. This income history directly affects whether a client will be eligible for case funding or not. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Income Summary:  No Income Checkbox (If none to report) for each household member 18 and older.  Non-Cash Benefits, Non-Cash Types, Additional Fields as Needed. |  |  |
| 2 | Fields for Individual Income:  Income Recipient Name, Income Type (Employment, Social Security, etc.), Pay Frequency, Date Income Received, Income Amount, Income Source (SSA, etc.), Earned Income Checkbox, Income Verification Type, Include for CSD checkbox, HS eligibility checkbox, Medicare Deduction and Other Allowable Deductions, etc. |  |  |
| 3 | Show a summary of FPG, AMI, SMI, plus any income limits set by various grants. |  |  |
| 4 | Show a summary of FPG, AMI, SMI, plus any income limits set by various grants with deductions. |  |  |

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| **2.1.9 Self Sufficiency Matrix**: This section is part of the Client Case File. Caseworker Staff gather information from the client to determine the level of self-sufficiency in areas such as income, employment, housing, healthcare, etc. Self-sufficiency is assessed at the opening and closing of the case, in addition to intervals as determined by Caseworker Staff. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Assessment Types:   1. Case Management, see Exhibit 2.1.9.1.A 2. Financial Assistance, see Exhibit 2.1.9.1.B 3. Quick Assessment   For each Assessment Type:  Assessment Sub-Type (DD), Opening, Review, and Closing |  |  |
| 2 | For each of the domains in an assessment, record the matrix score (DD, 1-10) and staff evaluation; provide a templated evaluation that staff can customize. |  |  |
| 3 | Administrator Staff can edit or delete assessment questions, scoring and templates. |  |  |

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| **2.1.10 Proof of Legal Residency**: This section is part of the Client Case File. Caseworker Staff verify the Primary applicant proof of legal residency if required by the grant and sign compliance checklist (a House Bill 2008 or equivalent). | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | System should recognize documents by type and check against the Fund and Compliance Checklist. |  |  |
| 2 | Generate a printed report for the Caseworker to sign electronically, see Exhibit 2.1.10.2 (Form 2008, A.R.S. Section 1-501 COMPLIANCE CHECKLIST) |  |  |

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| **2.1.11 Collateral Contact**: This section is part of the Client Case File. Caseworker Staff work with the client to complete collateral contact forms. There are currently 4 types of forms Utility, General, Landlord, and Client Statement of Truth. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Utility Vendor Collateral Contact:  Vendor Name, Appointment Date, Contact Name, Contact Phone Number, Notes, Account Number, Recent 30-Day Usage/Bill, Name on Bill, Name of Contact, Phone Number, Guaranteed With, Fund(s), Information Obtained, etc. |  |  |
| 2 | Fields for General Collateral Contact:  Applicant Name, Date, Agency Name, Contact Name, Contact Phone Number, Contact Title, Information Obtained, etc. |  |  |
| 3 | Fields for Landlord Collateral Contact:  Household Member (DD), Landlord Search (Sourced from Vendor Setup), Landlord Name (DD), Landlord Contact, Lease Terms (DD), Lease Begin Date, Lease End Date, Total Amount Owed, Rent Amount, Information Obtained, etc. |  |  |
| 4 | Fields for Statement of Truth:  Statement Date, Person Name, Statement, etc.  This should be printable and signed by the Client or validated by Caseworker Staff per Client’s verbal attestation. |  |  |

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| **2.1.12 Case Plan**: This section is part of the Client Case File. Caseworker Staff work with the client to identify goals or tasks for case management. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Overall Plan Objective:  Objective Name (DD), etc. |  |  |
| 2 | Fields for Plan Goals:  Goal Name, Goal Priority, Templated Text based on the self-sufficiency matrix domain, etc. |  |  |
| 3 | Fields for Goal Tasks:  Task Name and short description, Start Date, Due Date, Responsible Party, Completed Date, Completed By Name, Task Completed By Client, Successful Status, Complete Status, Is Focused On Employment, Templated Text based on the self-sufficiency matrix domain, etc. |  |  |
| 4 | Administrative Staff can setup templated text for goals and tasks. |  |  |

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| **2.1.13 Utility Financial Assistance**: This section is part of the Client Case File. Caseworker Staff will gather information from the client and apply the service and funding rules for utility assistance. Staff will have the ability to void the service and/or reissue a payment. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Caseworker Staff will set the Program Category for the case file. The program category will restrict the services and funds available to the Client. |  |  |
| 2 | Fields for Service Type Utility Payment and Utility Deposit:  Utility Name, Account Number (pulled from Collateral Contact), Name on Account/Joint (pulled into Client Release of Information form), Address, Utility Payment Status, Date of Service, Caseworker Notes, etc.  Multiple rows for payment allocation with the following fields: Fund Name, Amount Used for Payment |  |  |
| 3 | Utility Assistance Types:   1. Utility Payment 2. Utility Deposit |  |  |
| 4 | This service should follow payment criteria based on the Fund, Service Type, and Program Category. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use.  For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup. |  |  |
| 5 | Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 6 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 7 | Caseworker Staff can make changes to services until the service is approved or if the service is rejected by FAS Staff. After approval, changes are restricted to Administrative Staff. |  |  |
| 8 | Utility service status is automatically set to “Ready for Fax” unless the fund rule requires supervisory action such as approval. |  |  |
| 9 | Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts. |  |  |
| 10 | Prefilled Client Release of Information (ROI), see Exhibit 2.1.13.10 |  |  |
| 11 | System should ensure the following conditions are met:  Income has been entered, Demographic data for all members is completed, completed Self-Sufficiency Matrix, Client has an appointment for the service date, completed proof of legal status if applicable, all required documentation is uploaded, etc. |  |  |
| 12 | System should apply the following fund rules:  Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded, fund specific data such as COVID Crisis designation or Child Present, pre-requisite funds used (example: LIHEAP Supplemental), time period restrictions, etc. |  |  |
| 13 | Supervisor approval is needed to use funds from a non-home location. |  |  |

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| **2.1.14 Rental and Mortgage Financial Assistance**: This section is part of the Client Case File. Caseworker Staff will gather information from the client and apply the service and funding rules for rental/mortgage assistance. This service will require approval from the Caseworker Supervisor. This information should be transmitted to the SAP payment system. Staff will have the ability to void the service and/or reissue a payment. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Caseworker Staff will set the Program Category for the case file. The program category will restrict the services and funds available to the Client. |  |  |
| 2 | Fields for Service Type Rental Payments:  Vendor Name, Mortgage Account, Special Instructions, Eviction Date, Caseworker Notes, etc.  Multiple rows for payment allocation with the following fields: Fund Name, Amount Used for Payment |  |  |
| 3 | Rental/Mortgage Assistance Types:   1. Hotel / Motel Voucher 2. Mortgage Payment 3. Rent Deposit 4. Rent Payment - Move-In 5. Rental Payments 6. Utilities Included in Rent |  |  |
| 4 | This service should follow payment criteria based on the Fund, Service Type, and Program Category. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use.  For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup. |  |  |
| 5 | Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 6 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 7 | Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff. |  |  |
| 8 | Rent and mortgage service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well. |  |  |
| 9 | Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts. |  |  |
| 10 | Upon submission, rent service status is set to “Submitted” and forwarded to Supervisor Staff for approval. |  |  |
| 11 | System should ensure the following conditions are met:  Income has been entered, Demographic data for all members is completed, completed Self-Sufficiency Matrix, Client has an appointment for the service date, proof of legal status if applicable, all required documentation is uploaded, etc. |  |  |
| 12 | System should apply the following fund rules:  Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded, fund specific data such as COVID Crisis designation or Child Present, pre-requisite funds used (example: LIHEAP Supplemental), time period restrictions, etc. |  |  |
| 13 | Supervisor approval is needed to use funds from a non-home location. |  |  |
| **2.1.15 Non-Financial Assistance**: This section is part of the Client Case File. Caseworker Staff will record service details for information and referrals provided to the client. In addition, this section will also track items of monetary value issued to the client such as bus passes, grocery vouchers, etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Non-Financial Assistance Types:   1. Bus Passes 2. Clothing Voucher 3. Food Voucher 4. Gasoline Voucher 5. Information 6. Referral 7. Quick Assessment |  |  |
| 2 | Details captured for Information and Quick Assessment service types:  Service Date, Assistance Type, Caseworker Notes (Example: Information provided), Time Spent by Caseworker Staff, Attachments, etc. |  |  |
| 3 | Details captured for Referrals:  Partner Agency, Contact Information, Referral Type, etc.  Provide ability to generate, manage and send referrals to other agencies.  See Exhibit 2.1.15.3 |  |  |
| 4 | Details captured for Passes, Vouchers, and Household Goods:  Vendor Name, Item Type, Item Count, Caseworker Notes, etc.  Enforce max limits for goods, passes and vouchers. |  |  |
| 5 | As new non-financial services are developed system should allow related fields and provide for reporting. |  |  |
| 6 | Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 7 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 8 | Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff. |  |  |

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| **2.1.16 Incoming Referral Tracking**: This feature provides tracking for referrals sent to the program and their disposition. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Dashboard for a program level summary.   1. Program Level Summary 2. Referrals Needing Assignment 3. List of the users (Caseworker Staff) assigned referrals |  |  |
| 2 | Fields for Referral:  Client Information (search for existing clients), Client Name, Client Phone Number, Client Email Address, Client Home Address, Client ID and Social Security Number (to populate if existing client), Notes, Referral Source and Contact Information, Presenting Problem, Referral Date, Outcome, Referral Close Date, Assigned Caseworker, Assigned Center Location, etc. |  |  |
| 3 | Provide a capability to search referrals by Client Name and Date of Birth. |  |  |

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| **2.1.17 Supervisor Approvals and Overrides**: All services marked as requiring supervisor approval cannot proceed without a supervisor’s review. Some fund sources allow for overrides of eligibility criteria; multi-level approvals needed based on fund rules. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide a listing for Supervisor Staff to view and take action for approvals and overrides. |  |  |
| 2 | Supervisor Staff can view the service details, Approve, Reject, enter Override Reason (DD) and Comments. |  |  |
| 3 | Supervisor approved check based payments are transmitted to SAP (Status: Needs Check). |  |  |
| 4 | Supervisor approved utility services proceed to FAS review (Status: Ready for Fax). |  |  |
| 5 | If a service is rejected by the supervisor, Caseworker Staff will be able to edit the service for changes. |  |  |

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| **2.1.18 Service and Appointment Summary**: This section is part of the Client Case File. This is used to generate Client forms for signature to verify receipt of services. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide a Services Today Report, see Exhibit 2.1.18.1 |  |  |
| 2 | Caseworker Staff sets the status/outcome of the appointment from a drop-down list. |  |  |
| 3 | Provide a Letter of Guarantee, see Exhibit 2.1.18.3 |  |  |
| 4 | Prefilled Client Release of Information (ROI) |  |  |
| 5 | Provide a Child Support Referral Form, see Exhibit 2.1.18.5 |  |  |

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| **2.1.19 FAS Service Review**: All utility services require FAS review in order to approve for payment. Services are submitted to the utility vendor manually. Upon verification by the vendor, services are forwarded for Fiscal processing. Services rejected by FAS Staff will allow Caseworker Staff to edit the service information. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | FAS Staff should have ability to set individual services to “Rejected” with a note for Caseworker Staff or set the status (multiple services) to “Submitted to the utility vendor”. |  |  |
| 2 | Generate a report that can be sorted, filtered and exported to excel. This report will be sent daily to multiple utility companies manually. See Exhibit 2.1.19.2 |  |  |
| 3 | FAS Staff can review services that were submitted to the utility vendor. This page should have ability to set individual services to “Rejected” with a note for Caseworker Staff or set the status (multiple services) to “Submitted to Fiscal”. |  |  |

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| **2.1.20 Utility Service Adjustments**: All services can be edited or deleted by Caseworker Staff prior to supervisor approval. After approval, any edits, changes or adjustments can only be made by Administrative Staff. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | FAS Staff can adjust service amounts posted to a fund cost center. All adjustments made by FAS Staff must be flagged for Fiscal review so that changes can be made in the SAP accounting system. Example: moving a service amount from Fund A to Fund B by FAS Staff. |  |  |
| 2 | Maintain a history log for all edits, changes and adjustments made after approval. |  |  |

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| **2.1.21 Rent and Mortgage Service Adjustments**: All services can be edited or deleted by Caseworker Staff prior to supervisor approval. After approval, any edits, changes or adjustments can only be made by Administrative Staff. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | FAS Staff can adjust service amounts posted to a fund cost center. All adjustments made by FAS Staff must be flagged for Fiscal review so that changes can be made in the SAP accounting system. Example: moving a service amount from Fund A to Fund B by FAS Staff. |  |  |
| 2 | Provide a check search page where Clerical Staff can request a void. Provide a drop down for Void Reasons and an area for Void Notes. |  |  |
| 3 | Provide FAS ability to approve void requests from Clerical Staff. The approval step should credit the appropriate funds and email the Fiscal Team to review the pending void. |  |  |
| 4 | Provide ability for Fiscal to mark the check number as voided in SAP. This should email Caseworker Staff to re-enter services. This will enable Caseworker Staff to re-enter the service information, vendor information and amount for resubmission. |  |  |
| 5 | Provide history of all service updates after approval. Amount changes, check number changes, vendor changes, and all other fields should track changes. |  |  |

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| **2.1.22 Case Notes**: This section is part of the Client Case File. Provide ability for Caseworker Staff to make notes in free form text related to case information. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case Notes:  Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc. |  |  |
| 2 | Read Only Fields for Case Notes:  Household Demographics, Case File Information, Income Details, Presenting Problem, Appointment and Service Details (by drop down selection), Referral Details (by drop down selection), Vendor Details from Collateral Contact (by drop down selection), etc. |  |  |
| 3 | Case notes should have a note type and a corresponding message template |  |  |
| 4 | Case notes should allow for spell check |  |  |
| 5 | Case notes should be printable |  |  |
| 6 | Case notes should track Day, Time and Username |  |  |
| 7 | Case notes should not allow deletions. All submitted notes are Read Only. |  |  |

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| **2.1.23 Staffing**: Staffing is a process where supervisor and caseworker can discuss potential funding options to provide a service. This is prior to service creation and approval. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Caseworker can select a supervisor who will be notified to review eligibility for service approval. |  |  |
| 2 | Fields for Staffing entered by the Caseworker:  Income, Household Composition, Amount Owed, House Bill Status, Crisis, Recommendation, etc. |  |  |
| 3 | Read Only Fields for Staffing:  Previous Service History (pulled from prior records), etc. |  |  |
| 4 | Fields for Staffing entered by the Supervisor:  Approval, Comments, etc. |  |  |

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| **2.1.24 LIHEAP Points**: This section is part of the Client Case File. Client income and expenses are used to calculate LIHEAP points in order to decide if LIHEAP related funds can be provided. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for LIHEAP Point Calculation:  Client gross Income for the past 30 days, Gas Cost, Electric Cost, Utility Fees in Rent, Deliverable Fuel Cost, Average Monthly Utility Cost, Monthly Utility Cost, Monthly Gross Income, Percent of Energy Burden, Allowable Payment, Points Fields, Mixed Household Information, etc.  See Exhibit 2.1.24.1 |  |  |

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| **2.1.25 EN005**: This section is part of the Client Case File. Department of Economic Security requires this additional data at service time if staff are using the funds designated as requiring an EN005. Caseworker Staff will sign the EN005 document. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for EN005:  Subsidized Housing Status, Does the Client Make Utility Payments? Status, Amount, Vendor Name, Migrant Farmworker Status, Seasonal Farmworker Status, Receiving Food Stamps Status, Crisis, additional yes/no questions as needed, auto-populated fields from other areas of the case file, etc. |  |  |
| 2 | Generate a printed report for the Caseworker to sign electronically, see Exhibit 2.1.25.2 |  |  |

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| **2.1.26 Document Upload**: This section is part of the Client Case File. Caseworker Staff will upload the client provided documents (Uploaded through the portal or provided on-site) and assign the appropriate document type and household member. These documents are used to verify the house bill and as proof of income and presenting problem. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Document types:   1. Picture ID 2. Birth Certificate 3. Social Security Card 4. Certificate of US Citizenship 5. Multiple Other Document Types |  |  |
| 2 | Fields for Documents for Casefile:  Document Type, Household Member, File Type, Date Uploaded, Uploaded By Name, etc. |  |  |
| 3 | Provide integrated uploading of documents from a desktop scanner. |  |  |
| 4 | System should recognize documents by type and check against the Fund and Compliance Checklist and allowed funds to use. |  |  |
| 5 | Household Member documents (ID, Social Security Card, Birth Certificate, etc.) are linked to the client information. These documents are used to verify legal status as applicable. The document type determines the category of legal residency and available funds for use. |  |  |
| 6 | Appointment documents (Eviction Notices, Lease Documents, etc.) are linked to the appointment. |  |  |
| 7 | Provide document delete function to authorized roles only. |  |  |

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| **2.1.27 FSC Portal Integration**: The portal will receive appointment information where clients can submit a questionnaire. The portal also provides questionnaire download for import of questionnaire information and documents uploaded by the client. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Send Client information to the portal via API anytime a new appointment is created, or the Client is booked for a second appointment, or the Client cancelled an appointment. The appointments within the same time period should refer to the Questionnaire ID provided by the portal. |  |  |
| 2 | Record Questionnaire ID provided by the portal when the appointment information is transmitted by the API. |  |  |
| 3 | Download information and documents from the portal via API for a given Questionnaire ID and upload to the appropriate sections in the case file. |  |  |
| 4 | Send appointment slots to the portal via API to allow client to book their own appointment. |  |  |
| 5 | Received booked appointment slots from the portal via API and update the appointment details with Questionnaire ID and Resident/Client Information. |  |  |

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| **2.1.28 FSC Payment Processing and Reporting**: Fiscal Staff run reports below to support various actions needed for reconciliation and grant compliance. Administrative and Fiscal Staff review service amounts and take necessary steps to issue payments to vendors which include utility and landlord/mortgage companies. Staff should have the ability to mark items as processed. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Submitted Utilities:  Fiscal Staff will have the ability to mark faxed payments as Processed.  Fiscal Staff use this report to view a list of utilities that have been faxed and need to be paid. Fiscal summarizes the data by utility company and fund source and exports into excel spreadsheet that is used as an invoice to be processed in SAP.  See Exhibit 2.1.28.1 |  |  |
| 2 | CSD Billable Hours List Report:  Fiscal Staff use this report to determine what services Caseworkers provide to Clients. We use this for our methodology to know how much Admin money to allocate and bill to DES. This report is exported into Excel for sorting.  See Exhibit 2.1.28.2 |  |  |
| 3 | Submitted Purchase Orders Report:  Fiscal Staff will have the ability to mark purchase orders as Processed.  Fiscal Staff use this report to identify when a check needs to be written for gift card purchases. |  |  |
| 4 | Accounting Journal Corrections Report:  Fiscal Staff will have the ability to mark journal corrections as Processed.  Fiscal Staff use this report to flag when 2 or more fund sources were used to provide a service. The service is paid in SAP to one fund source and Fiscal uses this report to complete a journal entry moving the correct amount of the expenditure to the second fund source used. This report also shows a fund adjustment made after the original service has been processed that requires a journal entry.  See Exhibit 2.1.28.4 |  |  |
| 5 | Fund Source Detail Report:  Fiscal Staff use this report to view information by Month and Fund Source to export of report of monthly services provided. This report is sent to DES to provide them backup for voucher services that have been billed. |  |  |
| 6 | Case Management Report:  Fiscal Staff use this report to view information by Month and send to DES. The data in the report is a combination of programmatic and Fiscal data.  See Exhibit 2.1.28.6 |  |  |
| 7 | Service Adjustment Report:  Fiscal Staff will have the ability to mark service adjustments as Processed.  Fiscal Staff use this report to view any fund and/or amount changes made to a service after the service has been entered. The report is used to assist in reconciliation and changes to services billed.  See Exhibit 2.1.28.7 |  |  |
| 8 | Fund Balance Report:  Fiscal Staff use this report to view all the Fund Source Allocations, Expenditures, Percent of Year and Remaining Balance. The report also shows how the funds have been allocated by Family Service Center. |  |  |

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| **2.1.29 FSC Program Reports**: Program Staff run reports below to support various actions needed for grant reporting, compliance and operations. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Case Management Report Types:  Caseworker, Supervisor, Center Manager, Program, etc.  See Exhibit 2.1.29.1 |  |  |
| 2 | Administrative Report Types:  Water Report (See Exhibit 2.1.29.2-Water), City Manager Dashboard (See Exhibit 2.1.29.2-CM Dashboard), Housing In Kind Report (See Exhibit 2.1.29.2-Choice Voucher), DES performance measures (See Exhibit 2.1.28.6), CSBG Reports (See Exhibit 2.1.29.2-Annual CSBG), Expenditure Report (See Exhibit 2.1.29.2-Expenditure), Board Participation (See Exhibit 2.1.29.2-Board Participation), Fund Adjustments (See Exhibit 2.1.28.7), Media Interest Report (See Exhibit 2.1.29.2-Media Interest) |  |  |
| 3 | Ad-hoc reporting capability for all data in the system. We currently use Power BI, see sample reports, see Exhibit 2.1.29.3. All reports should have the ability be sorted and filtered. The data should include demographics, services (Non-Financial and Financial), payments, and referrals. |  |  |

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| **2.1.30 Gift Card Inventory**: This is used to record and track gift cards (And other items of monetary value) purchased. At periodic intervals, the information is used to reconcile on-hand inventory, purchased and issued amounts. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Gift Cards Purchased:  Vendor, Quantity, Card Denomination, Purchase Order Number, Purchase By Name, Purchase Date, Attachments (Receipts), etc. |  |  |
| 2 | Maintain the on-hand total as gift cards are added or removed from the inventory. |  |  |
| 3 | Provide for periodic reconciliation of inventory (verified by two staff members) and maintain a snapshot of the results. |  |  |
| 4 | Adjustment for inventory imbalances with audit history. |  |  |
| 5 | Provide ability to scan individual gift cards, this will allow each card to be tracked from purchase through service delivery. |  |  |
| 6 | Provide ability to submit and approve Purchase Orders for gift cards. Three or more levels of approval are required; Requestor, Approver and Fiscal. |  |  |
| 7 | Fields for Purchase Orders:  Vendor, Monetary Amount per unit, Number of Units, GL Account to charge, Memo on the purchase, etc. |  |  |
| 8 | Provide ability to track inventory transfers. |  |  |

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| **2.1.31 Staff Dashboard**: A role specific dashboard for caseworker, supervisor, and administrative staff to view items requiring action. This will also provide summary level information using graphs, charts, etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Caseworker view includes the following:  Open cases, appointments scheduled, fund balances, items submitted to supervisor approval/override, alerts, etc. |  |  |
| 2 | Supervisor view includes the following:  Staff case load, Staff appointments, fund balances, Staffing requests, items needing approval/override, etc. |  |  |
| 3 | Administrative staff view includes the following:  Fund balances, center statistics (appointment counts, served counts, etc.), items needing approval/override, etc. |  |  |

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| **2.1.32 Admin Functions**: Administrative Staff will have the ability to manage client profiles (example: merge), generate audit information, allocate funds to services, transmit data to partner agencies, etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide ability to merge duplicated client profiles |  |  |
| 2 | Generate audit reports which includes client and service data, and client documentation. |  |  |
| 3 | Funds get allocated every Fiscal Year to each location. Funds are also reallocated as needed. These allocations will spend down via services. |  |  |
| 4 | Provide a report with the spend down of the fund vs how many weeks of the fiscal year has passed. This report should also include staff count and average service amount. |  |  |
| 5 | Provide a data interface to transmit grant information to Wildfire GMS. |  |  |
| 6 | Provide data interface to partner agencies as needed to exchange client and service information. We currently have an interface to DES. |  |  |

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| **2.1.33 Admin Setup**: Administrative Staff should be able to configure the following sections: Self-Assessment Matrix, Case Note Types, Service and Funding Rules. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Housing Assistance service types below should be supported. Allow a payment max. Housing payments require supervisor approval.  Rent Payment - Move-In, Rent Payment - Eviction Prevention, Rent Deposit, Rental Payments, Mortgage Payment, Hotel / Motel Voucher, Utilities Included in Rent |  |  |
| 2 | Utility Assistance service types below should be supported. Allow a payment max. Utilities are automatically approved by the system.  Utility Deposit, Utility Payment |  |  |
| 3 | Non-Financial Assistance service types below should be supported:  Information and Referral, Referral Type, Bus Passes, Quick Emergency Assessment, Clothing Voucher, Food Voucher, Gasoline Voucher, Household Materials |  |  |
| 4 | Allow Program Offerings (AKA allowed services) to be created to group services. The Offering will restrict the services and funds available at service delivery for a given case file. |  |  |
| 5 | Fund Source should allow for the following fields:   1. CostCenter 2. GLAccountNumber 3. Fund Name 4. Active/Inactive Status 5. If this fund requires EN005 data 6. Maximum Payment or Payment Scale based on Household Demographics (Member count, Income, Minor, Veteran, etc.) 7. Can the Max be Overridden 8. Can this fund only be received once per fiscal year 9. Can the one time per year restriction be waived 10. As applicable AMI, SMI, FPG Limit 11. As Applicable AMI, SMI, FPG w/Elderly or Disabled 12. Override percentages by level 13. Is medicare deducted from gross income 14. Is a minor child required to be in the household 15. Is a minor child with legal status required to be in the household |  |  |
| 6 | Fund source should allow setup of max limits for goods, passes and vouchers based on household characteristics. |  |  |
| 7 | Staff need the ability to map what funds can be used for what service types. This mapping is made for each Program Offering that has been defined by staff. System will need to associate the following information:   1. Program Offering 2. Service Type 3. Fund Source 4. Spending limit for this combination 5. Is the spending limit overridable |  |  |
| 8 | System should support service types and fund rules to ensure the grant requirements are met. See Exhibit 2.1.33.8, additional fund detail provided on request. |  |  |
| 9 | Administrative Staff can setup vendors in the system.  Fields for Vendors:  FEINumber, Vendor Name, Vendor Type, Website, Contact Name, Contact Phone Number, Organization/Location Address, Hours of Operation, SAP Vendor ID, Active/Inactive Status, etc. |  |  |
| 10 | Administrative Staff can setup document types needed to satisfy fund proof of legal residency requirements. This will support the House Bill generation by Caseworker Staff. |  |  |
| 11 | AMI, SMI, FPG calculations automatically performed for federal and state guidelines to be used as part of the fund setup. |  |  |
| 12 | Provide ability to manage FSC location information, address, program contact information, etc. |  |  |
| 13 | Provide ability to manage the self sufficiency matrix domains, rating scales, language, templates, etc. |  |  |
| 14 | Provide ability to manage case plan, predefined goals and tasks, templated text, etc. |  |  |

**2.2 Functional Requirements – Victim Services/Family Advocacy Center Program**

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| **2.2.1 Client Search**: Staff search and filter clients for a given criteria in preparation for service delivery. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide ability to search for Clients using the following fields:  Last Four of SSN, First Name, Last Name, Date of Birth, Client ID (Internal), Case ID (Internal), Address, etc. |  |  |
| 2 | Provide listing of case files and associated services for each selected Client. |  |  |
| 3 | The listing of case files and associated services can be filtered and sorted. |  |  |

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| **2.2.2 FAC New Case File Generation**: This section is part of the Client Case File for FAC Program. The case file is created to track services provided during a period of time. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Creating a case file should generate the appropriate screens needed to track client information and service information. |  |  |
| 2 | Only staff with appropriate access are allowed to create a case file or update information. |  |  |

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| **2.2.3 FAC Case Management Summary**: This section is part of the Client Case File for FAC Program. Caseworker Staff capture household summary information such as Crime Type, Housing Type, Incident Information, etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case Management Summary:  Client Information, Case Open Date, Caseworker, Crime Type, Number of Children, Is Blue File Checkbox, Incident Information which includes Date of Incident and Police Report Number, Case Notes, Children Count and Information (Name, Age, Male/Female Status, etc), Emergency Contact, Decedent Information, Danger Assessment, Associated Referral Information, CPS/APS Hotline Information, etc. |  |  |
| 2 | Attachments include Case Correspondence in the form of documents (Example: Emails and text messages), etc. |  |  |

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| **2.2.4 FAC Client Information**: This section is part of the Client Case File for FAC Program. Caseworker Staff capture information for the Primary applicant. Caseworker Staff search the system for client information to prevent duplicates. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Client Information:  First Name, Last Name, Date of Birth, Race, Gender, Email Address, Home Address, Latino Status, Phone Number, Disability Status, Preferred Language, VOCA Client, VOCA Classification, VOCA Gender, etc. |  |  |

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| **2.2.5 FAC Offender Information**: This section is part of the Client Case File for FAC Program. Caseworker Staff capture information for the Offender of the Primary Client. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Offender Information:  Name, Date of Birth, Relationship to the Victim, Ethnicity, Hispanic Status, Height, Weight, Hair Color, Eye Color, AKA’s, Physical Description, Vehicle Information, Address, Phone Number, Employment Information (Address, Phone, Cross Streets), Drug Use Status, Drug Use Description, History of Mental Illness Status, Mental Illness Description, Child Abuse Status, Military Status, Weapon Status, Weapon Description, etc. |  | . |

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| **2.2.6 FAC APRAIS**: This information is used to assess the safety of clients. Caseworker Staff utilize this information for safety planning with the client. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Danger Assessment:  Yes/No Checkbox with related Assessment Question, etc.  APRAIS Form is setup through admin. |  |  |

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| **2.2.7 FAC Case Notes**: This section is part of the Client Case File for FAC Program. Provide ability for Caseworker Staff to make notes in free form text related to case information. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case Notes:  Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc. |  |  |
| 2 | Case notes should have a note type and a corresponding message template |  |  |
| 3 | Case notes should allow for spell check |  |  |
| 4 | Case notes should be printable |  |  |
| 5 | Case notes should track Day, Time and Username. |  |  |
| 6 | Case notes should not allow deletions. All submitted notes are Read Only. |  |  |

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| **2.2.8 FAC Document Upload**: This section is part of the Client Case File for FAC Program. Caseworker Staff will upload the client provided documents and assign the appropriate document type. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Document Types:  Referral form, PD APRAIS Form, Release of Information, Order of Protection Petition, Affidavit of Service, Injunction Petition, Fee waiver form for Injunction, Services Today Form, Referrals to outside agencies, etc. |  |  |
| 2 | Fields for Documents for Casefile:  Document Type, File Type, Date Uploaded, Uploaded By Name, etc. |  |  |
| 3 | Provide integrated uploading of documents from a desktop scanner. |  |  |
| 4 | Provide document delete function to authorized roles only. |  |  |

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| **2.2.9 FAC Non-Financial Service**: This section tracks the non-financial services provided by Caseworker Staff: Bus passes (daily, weekly, monthly), food vouchers (Walmart & McDonalds), clothing vouchers (Walmart), gasoline vouchers (Circle K) and quick services such as: Order of Protection, safety planning, victim’s rights, etc. This section also allows for referrals to be generated for partner agencies. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| **1** | Non-Financial Assistance Types:   1. Bus Passes 2. Clothing Voucher 3. Food Voucher 4. Gasoline Voucher 5. Quick Services 6. Referral |  |  |
| 2 | Details captured for Quick Services:  Service Date, List of Services Provided (Checklist), Caseworker Notes, etc. |  |  |
| 3 | Details captured for Referrals:  Partner Agency, Contact Information, Referral Type, etc.  Provide ability to generate, manage and send referrals to other agencies. |  |  |
| 4 | Details captured for Passes and Vouchers:  Vendor Name, Item Type, Item Count, Counselor Notes, etc.  Enforce max limits for goods, passes and vouchers. |  |  |
| 5 | As new non-financial services are developed system should allow related fields and provide for reporting. |  |  |
| 6 | Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 7 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 8 | Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff. |  |  |

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| **2.2.10 FAC Financial Service**: FAC Staff provide financial services such as greyhound bus tickets, hotel/motel, safety locks, etc. The payment is made to the vendor as a check and guarantee letter issued. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Financial Service Types:   1. Taxi One Way 2. Taxi Two Way 3. Bus Ticket 4. Hotel/Motel 5. Safety Locks |  |  |
| 2 | Service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well. |  |  |
| 3 | Generate a Letter of Guarantee to the vendor. |  |  |
| 4 | Provide an update to Caseworker Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 5 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 6 | Caseworker Staff can make changes to services until the service is approved. After approval, changes are restricted to Administrative Staff. |  |  |
| 7 | This service should follow payment criteria based on the Fund and Service Type. Display real time analysis and alerts using Fund and Service Rules to assist the Caseworker determined funds to use.  For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup. |  |  |
| 8 | Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts. |  |  |
| 9 | Upon submission, service status is set to “Submitted” and forwarded to Supervisor Staff for approval. |  |  |
| 10 | System should ensure the required data is entered. |  |  |
| 11 | System should apply fund and service rules. |  |  |

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| **2.2.11 FAC Referral Dashboard/Search**: The dashboard provides a summary of incoming referrals processed. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Referral Search:  Last Name, First Name, Middle Initial, Gender, Date of Birth, Client ID, etc. |  |  |
| 2 | Make it a program level summary. See Exhibit 2.2.11.2 |  |  |
| 3 | List of the user’s (Caseworker and Supervisor Staff) assigned referrals. |  |  |
| 4 | Provide a capability to search referrals by Client Name and Date of Birth. |  |  |

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| **2.2.12 FAC Referral Data**: Incoming referrals are received from partner agencies. The referral information is needed for Caseworker Staff to make initial contact with client. Caseworker Staff will determine whether case management service is applicable. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Referral Data:  Person Name, Gender, Date of Birth, Ethnicity, Race, Latino Status, Preferred Language, Home Address, Phone Number, Email, VOCA Client, VOCA Client Classification, Referring Agency including Contact Information, Incident Report Number/Date, Incident Report Date Received, Referral Crime Type, Referral Narrative, Notes, Attachments, Contact History (Contact Date, Contact Outcome and Notes), Assigned Caseworker, Referral Status, etc. |  |  |
| 2 | Referrals can be linked to a case file as determined by Caseworker Staff. |  |  |

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| **2.2.13 Gift Card Inventory**: Please refer to the Gift Card Inventory Process under Family Services Center Program (Section 2.1.30) All programs use the same process. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Refer to section 2.1.30 |  |  |

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| **2.2.14 Reporting**: The program uses canned/predetermined reports to provide to the grants. Ad hoc reporting capability will be used for operational reasons. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | VOCA Quarterly Report, see 2.2.14.1 |  |  |
| 2 | Ad-hoc reporting capability for all data in the system. We currently use Power BI. All reports should have the ability be sorted and filtered. |  |  |

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| **2.2.15 Admin Setup**: This section is used manage the fund and service rules. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Define service types and associated fields |  |  |
| 2 | Define the fund rules and associated fields, including approval requirements and override options.  Max limits for goods, passes and vouchers based on household characteristics. |  |  |
| 3 | APRAIS setup Danger Levels and Questions, see Exhibit 2.2.15.3 |  |  |

**2.3 Functional Requirements – Landlord and Tenant Program**

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| **2.3.1 Appointment Management**: Staff have the ability to create appointment slots, book residents, view and manage appointments. New appointments can be created, and existing appointments updated as needed, including cancellation. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| **1** | Staff can book an appointment for an open slot. The following information is collected for each appointment for the resident data: First Name, Last Name, Phone Number, Email address, Physical Address, Interpreter, Landlord or Tenant, Call Reason, etc. |  |  |
| 2 | Provide a listing of all appointments that can be sorted and filtered by both location and resident name. |  |  |
| 3 | Provide appointment slot create, edit and cancel based on staff access role. |  |  |
| 4 | Fields for Appointment for counselor information tracking:  Resident Name, Date/Time, Type (DD), Location, Counselor, Appointment Outcome, No Show Status, etc. |  |  |
| 5 | Provide the ability to link an appointment to a resident case file. |  |  |

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| **2.3.2 Online Intake Form**: Resident enters intake information and uploads documentation online. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Refer to the Intake Form, See Exhibit 2.3.2.1 |  |  |
| 2 | This will be a one-time upload of intake information and documentation. |  |  |
| 3 | Notify Staff when a resident submits an intake form. |  |  |
| 4 | Intake information and documentation imported into a case file. |  |  |

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| **2.3.3 New Case File Generation**: This section is part of the Resident Case File for the Landlord and Tenant Program. The case file is created to track services provided during a period of time. The Resident will have one or more appointments for a given case file. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Creating a case file should generate the appropriate screens needed to track information. |  |  |
| 2 | Only staff with appropriate access are allowed to create a case file or update information. |  |  |

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| **2.3.4 Case File Summary**: This section is part of the Resident Case File for the Landlord and Tenant Program. Counselor Staff capture household summary information such as Household Income, Tenancy Type, Monthly Rent/Mortgage Amount, etc. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case File Summary:  Adults in the Household, Children in the Household, Household Income, AMI, Case Manager, Additional Lessee, Tenancy Type, Occupancy Years/Months, Source, Address, Case Open Date, Case Close Date, Council District, Resident Type (Landlord or Tenant), Reason, Monthly Rent/Mortgage Amount, Rent/Mortgage Paid Checkbox, Security Deposit Amount, Security Deposit Paid Checkbox, COVID Crisis Status, Eviction in Progress Checkbox, Female Head of Household Checkbox, Case Notes, Presenting Problem (DD with description), Visit Type (In Person or Call In), etc. |  |  |
| 2 | Read only fields (Carried from Information on Other Pages):  Resident Name, Resident Contact Type, Resident Phone Number, Resident Email, etc. |  |  |

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| **2.3.5 Resident Information**: This section can be part of the Resident Case File but also a Resident can exist independently to receive quick services. Counselor Staff capture information for the Primary resident. Services are tracked separately for count accuracy and Residents can be duplicated in the system. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Resident Information:  First Name, Last Name, Date of Birth, Race, Gender, Email Address, Home Address, Latino Status, Phone Number, Marital Status, Disability Status, Employment Status, Preferred Language, Educational Status, Military Status, Foreign Born Status, Rural Resident Status, COP Resident Status, Head of Household Status, Is COP Employee Checkbox etc. |  |  |

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| **2.3.6 Financial Service**: The program provides services for the following: Pet Boarding, Utility/Rental Deposits, Moving Costs. Vendors are paid through the Fiscal check payment processing. This information should be transmitted to the SAP payment system. Staff will have the ability to void the service and/or reissue a payment. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Financial Service types:   1. Pet Boarding expenses 2. Rent and Utility Payment/Deposit (Landlord and Tenant Emergency Assistance) |  |  |
| 2 | Fields for Service Type:  Vendor Name, Date of Service, Amount, Counselor Notes, Additional Fields based on service type, etc. |  |  |
| 3 | This service should follow payment criteria determined based on the Fund and Service Type. Display real-time analysis and alerts using Fund and Service Rules to assist the Counselor.  For instance, Fund ABC max one-time payment is $100, service max is $200 but cannot be used more than once every 12 months. Refer to the Fund Rules under Admin Setup. |  |  |
| 4 | Provide an update to Counselor Staff if the service is automatically approved or pending supervisor approval. |  |  |
| 5 | Provide a history of status changes. For example: Submitted, Approved, Rejected, Overridden, Payment Completed, etc. |  |  |
| 6 | Counselor Staff can change services until the service is approved or if the service is rejected by Administrative Staff. After approval, changes are restricted to Administrative Staff. |  |  |
| 7 | Service amounts are posted against the appropriate fund balance to maintain a current total balance and prevent over-withdrawn amounts. |  |  |
| 8 | System should ensure the required data has been entered. |  |  |
| 9 | System should apply the following fund rules:  Fund maximum is not exceeded, maximum number of payments is not exceeded, income eligibility, the budgeted amount is not exceeded. |  |  |
| 10 | Financial Service information needs to be sent to SAP to generate checks, ensure required information is included in the transmission. The following day assigned check numbers received from SAP need to be recorded against the service. As future check updates (Example: Check Cashed) are obtained from SAP, the service should be updated as well. |  |  |

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| **2.3.7 Non-Financial Service**: This section is used to record various information and counseling provided to the Resident. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Non-Financial Service types:   1. Education of Landlord and Tenant rights and responsibilities 2. Bus Passes 3. Food Voucher 4. Gasoline Voucher 5. Referral |  |  |
| 2 | Education Services:   1. Counselor records information discussed, allow for multiple topics to be selected. 2. Create a Work Plan (See Work Plan section below) with templated goals and tasks. 3. Upon completion of service, generate email with work plan and resource information as attachments. |  |  |
| 3 | Details captured for Referrals:  Partner Agency, Contact Information, Referral Type, etc.  Provide ability to generate, manage and send referrals to other agencies. |  |  |
| 4 | Details captured for Passes and Vouchers:  Vendor Name, Item Type, Item Count, Counselor Notes, etc.  Enforce max limits for goods, passes and vouchers. |  |  |
| 5 | As new non-financial services are developed system should allow related fields and provide for reporting. |  |  |

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| **2.3.8 Work Plan**: This section is part of the Resident Case File. Upon completion of the educational service the resident is provided with a work plan that identifies the areas that they received education and next steps to address their situation. They also receive an email that includes any documents/forms they may need to achieve their goals. See exhibit 2.3.8. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Overall Plan Objective:  Objective Name (DD), etc. |  |  |
| 2 | Fields for Work Goals:  Goal Name, Goal Priority, Templated Text based on the goal, etc. |  |  |
| 3 | Fields for Goal Tasks:  Task Name and short description, Start Date, Due Date, Responsible Party, Completed Date, Completed By Name, Task Completed By Resident, Successful Status, Complete Status, Templated Text based on the Task, etc. |  |  |
| 4 | Provide ability to attach documents to the work plan. |  |  |
| 5 | Email work plan and attached documents to the resident. |  |  |
| 6 | Administrative Staff can setup templated text for goals and tasks. |  |  |

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| **2.3.9 Case Notes**: This section is part of the Resident Case File for the Landlord Tenant Program. Provide ability for Counselor Staff to make notes in free form text related to case information. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Case Notes:  Note Type, Entered By, Narrative, Private Checkbox, Entered Date, Effective Date, Direct Contact Checkbox, etc. |  |  |
| 2 | Case notes should have a note type and a corresponding message template |  |  |
| 3 | Case notes should allow for spell check |  |  |
| 4 | Case notes should be printable |  |  |
| 5 | Case notes should track Day, Time and Username |  |  |
| 6 | Case notes should not allow deletions. All submitted notes are Read Only. |  |  |

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| **2.3.10 Document Upload**: This section is part of the Resident Case File for the Landlord and Tenant Program. Counselor Staff will upload the Resident provided documents and assign the appropriate document type. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Document Types:   1. Lease Documents 2. Landlord Correspondence 3. Utility Documents 4. Photo ID |  |  |
| 2 | Fields for Documents for Casefile:  Document Type, File Type, Date Uploaded, Uploaded By Name, etc. |  |  |
| 3 | Provide integrated uploading of documents from a desktop scanner. |  |  |

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| **2.3.11 Quick Service**: Information is provided to an individual or in a group setting, who may or may not provide their personal identifiable information. A Case File is not created in this situation, but the data needs to be included in applicable reports. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Fields for Quick Service:  Type (Education, etc.), Individuals Attended (as applicable), Date/Time, Location Address, Resident Status, Comments, Attachments, other fields as needed, etc. |  |  |

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| **2.3.12 Incoming Referral Tracking**: This feature provides tracking for referrals sent to the program and their disposition. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Dashboard for a program level summary.   1. Program Level Summary 2. Referrals Needing Assignment 3. List of the users (Counselor Staff) assigned or making the referrals |  |  |
| 2 | Fields for Referral:  Resident Information (search for existing Residents), Resident Name, Resident Phone Number, Resident Email Address, Resident Home Address, Resident ID, Notes, Referral Source and Contact Information, Presenting Problem, Referral Date, Outcome, Referral Close Date, Assigned Counselor, Assigned Center Location, etc. |  |  |
| 3 | Provide a capability to search referrals by Resident Name and address. |  |  |

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| **2.3.13 Reporting**: The program uses canned/predetermined reports to provide to the grants. Ad hoc reporting capability will be used for operational reasons. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | CDBG Quarterly Report, see Exhibit 2.3.13.1 |  |  |
| 2 | COP Weekly Report, see Exhibit 2.3.13.2 |  |  |
| 3 | Ad-hoc reporting capability for all data in the system. We currently use Power BI. This report can be sorted and filtered. |  |  |

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| **2.3.14 Admin Setup**: This section is used manage the fund and service rules. In addition, this section is used to design the work plan goals, tasks and templates. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Define service types and associated fields |  |  |
| 2 | Define the fund rules and associated fields, including approval requirements and override options. Please refer to the LTP Fund Matrix, see Exhibit 2.3.14.2  Max limits for goods, passes and vouchers based on household characteristics. |  |  |
| 3 | Create predefined work plan templates, goals and tasks. |  |  |

**2.4 Functional Requirements – User Security**

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| **2.4.1 Account creation and access**: Administration Staff create user accounts and assigns appropriate roles. Access must be restricted to authorized users and devices, and credentials must be secure. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | On initial login for staff accounts (setup by administrator), user is prompted for new password to be setup. |  |  |
| 2 | After three unsuccessful login attempts, system should be locked for 1 hour or until unlocked by the administrator. |  |  |
| 3 | Login authorization expires after 30 minutes of inactivity and user is redirected to login prompt. |  |  |
| 4 | User should be able to reset forgotten password. |  |  |
| 5 | Password must be at least 8 characters with a minimum of one upper case, one number and special character. |  |  |
| 6 | Password cannot be reused for 12 months. |  |  |
| 7 | Password must be changed every 90 days. |  |  |
| 8 | Email notification will be sent to the user anytime password is changed. |  |  |
| 9 | Users should be able to manage account settings such as security questions for password reset, etc. |  |  |

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| **2.4.2 User Account Management:** Administrative Staff can manage user profile information and access roles. | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Provide ability to assign and manage user profile information and access roles |  |  |
| 2 | User status can be updated to active or inactive |  |  |
| 3 | Access roles can be assigned to job code (job title) or on a temporary basis. |  |  |
| 4 | Provide granular access to various system features so that appropriate profiles can be created. |  |  |

**2.5 Non-functional Requirements**

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| **2.5.1 Hosting and Performance Requirements** | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | 100% cloud-based and administered by vendor’s personnel |  |  |
| 2 | System should be available at all times except during maintenance |  |  |
| 3 | Page loads and processing must finish in accordance with industry standards |  |  |
| 4 | In the event of storage failure, data loss cannot exceed more than one hour. System must be restored to the state not older than one hour prior to reported issue. |  |  |

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| **2.5.2 Usability Requirements** | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Website must operate as designed in all major browsers and end user devices (desktops and laptops). |  |  |
| 2 | Content must adhere to responsive design principles on the following screen sizes: desktops, laptops and tablets. |  |  |
| 3 | User friendly and intuitive interface. |  |  |

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| **2.5.3 Software Updates** | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Critical system problems (ex: affects large # of users) must be resolved within 4 hours and non-critical within 24 hours. |  |  |
| 2 | Product updates for base system should be at least once a quarter and performed during scheduled downtime. |  |  |

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| **2.5.4 Training and Support** | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Periodic training for case workers and admin staff. |  |  |
| 2 | Website with training materials, FAQs, etc. |  |  |
| 3 | Provide a user-friendly method to request technical support and or assistance and describe how said support will be accessed. (Ex: phone, email, support web site.) Acknowledgement of support request should be received in no less than 2 hours after submittal. Escalation procedures should be made available preferably via a dedicated point of contact. |  |  |
| 4 | Escalation procedures should be made available preferably via a dedicated point of contact. |  |  |

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| **2.5.5 Compliance Requirements** | | | |
| **Item #** | **Requirement** | **Capability Value (0-3)** | **Narrative** |
| 1 | Data must be retained for 6 years |  |  |
| 2 | Export all data including system configuration in CSV or XLS format and documents stored as requested by the City. |  |  |