

October 25, 2015

Nebraska Dept. of Correctional Services
Attn. Chris Kliment
Folsom & W. Prospector Place
P.O. Box 94661 (68509-4661)
Lincoln, NE 68522

Re: Response to RFP 82500-O3

To the State of Nebraska, Department of Correctional Services:

Allvest Information Services Inc., dba Assessments.com ("ADC"), is pleased to submit our response to the State of Nebraska, Department of Correctional Services' (NDCS) Request for Proposal (RFP 82500-O3) to provide "Risk Needs Assessment Instruments and Training for NDCS Parole Officers." As this response demonstrates, ADC is uniquely qualified to provide NDCS with 100% of the essential components and requirements outlined in the RFP. ADC will comply with all requirements, provisions, terms and conditions specified in the RFP.

As an innovative technology leader in the area of adult and juvenile justice risk assessment, case management and outcome measurement tools, ADC has developed over the past 17 years a mature software application that is web-based, fully-integratable and designed to be customizable to adapt to Nebraska's specific needs.

ADC has a proven, national track record of successfully implementing comprehensive systems of risk assessment instruments, case planning, and EBP (Evidence-Based Practices) programs, and successfully integrating our Assessments.com Enterprise Application with other large criminal justice information systems. Our comprehensive systems of training and technical support further ensure implementation success and the development of the internal leadership capacity necessary to extend that effectiveness well into the future.

We look forward to partnering with you.

Respectfully,



Sean Hosman
Chief Executive Officer
Allvest Information Services Inc.,
dba Assessments.com (ADC)

**This page
intentionally
left blank**

Technical Proposal

(Cost Proposal Packaged Separately)

TABLE OF CONTENTS

1. Request for Proposal Form	7
2. Corporate Overview	11
Bidder Identification and Information	11
Financial Statements	11
Change of Ownership	12
Office Location.....	12
Relationship with the State	12
Bidder’s Employee Relations to State.....	12
Contract Performance	12
Summary of Bidder’s Corporate Experience.....	13
Summary Of Bidder’s Proposed Personnel/Management Approach	21
3. Technical Approach	27
Understanding of the Project Requirements	27
Project Overview (RFP Section IV, A)	27
Scope of Work (RFP Section IV, E)	33
Revalidation	46
Training (includes RFP, Section IV, B: Project Environment)	47
On-site Demonstration	51
Established electronic methods for data entry, storage, retrieval, and automated instrument scoring/Goal of integrating the tool and scores into the Nebraska Inmate Case Management System (NICaMS)	51
Other Project Requirements (RFP Section IV, C: project Requirements)	56
Business Requirements (RFP, Section IV, D)	60
Proposed Development Approach (Includes response to RFP Section IV, G and H)	61
Implementation Planning and Design Phase	61
Implementation Execution Phase	62
Continuing Quality Control and Improvement Phase (RFP Section IV, H: provide Post Implementation Support)	62
Technical Considerations (RFP Section IV, F)	65
1. Technical Requirements	65
2. Network Requirements.....	65
3. Client-Server Requirements.....	66
4. REMOTE ACCESS (VPN)	67

Detailed Project Work Plan 68

Deliverables and Due Dates (RFP Section IV, I)..... 73

 a. No later than January 1, 2016, the selected contractor shall deliver a suite of risk/needs assessment instruments to include tools administered:..... 73

 B. 73

 1. At intake..... 73

 2. At parole board hearings 73

 3. While under parole supervision, and..... 73

 4. Prior to discharge for those released without community supervision..... 73

 C. No later than March 1, 2016, the selected contractor shall revalidate the tools using NDCS offenders and tailor the cut-off points for each risk level to meet the needs of the Nebraska offender population. 73

 D. No later than June 1, 2016, the selected contractor shall provide training to all parole officers (approximately 55)..... 73

 E. No later than December 1, 2016, the selected contractor shall provide training to all relevant NDCS facility staff (approximately 150). 73

 F. During the second and third contract years, the selected contractor shall provide refresher training to all relevant parole and NDCS facility staff..... 74

 G. No later than April 1, 2017, the selected contractor shall provide train-the-trainer services to both parole and NDCS facility staff in order to ensure self-sustainability. 74

 H. If no case management component exists, staff must be trained in how to incorporate risk/needs assessment results into an appropriate case management plan. 74

 I. The contractor shall also provide quarterly quality assurance auditing and monitoring of the implementation of the instrument within NDCS and the Adult Parole Administration during the first contract year. Reports are due March 15, 2016, June 15, 2016 and September 15, 2016. 74

 J. The selected contractor shall issue a report to the Director of NDCS and the Adult Parole Administrator to describe the first year of implementation. Report is due January 15, 2017. 74

 K. Based on the findings included in the first year of implementation report, the contractor shall provide implementation and other assistance to NDCS and Adult Parole Administration staff, as appropriate and mutually agreed upon, in order to redirect operations and ensure appropriate and consistent use of the tools among staff. 75

 L. The selected contractor shall provide results detailing the second and third years of implementation to the Director of NDCS and the Adult Parole Administrator at the conclusion of each contract year..... 75

 M. If NDCS and/or the Adult Parole Administration are unable to directly retrieve reports from the electronic risk/needs assessment program, the contractor shall provide all electronic reports to NDCS and the Adult Parole Administration within 48 hours. 75

 N. If a proprietary software program or integration of risk/needs assessment software into the Nebraska Inmate Case Management System (NICaMS) is available, the selected contractor shall provide the technical materials and support to ensure NDCS and the Adult Parole Administration have the necessary access to extract raw data, retrieve reports, and otherwise obtain information about offenders and their risk/needs assessments. 75

Appendix A: Terms and Conditions..... 77

Appendix B: Resumes..... 105

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

Appendix C: ADC Implementations by State.....	123
ALASKA.....	123
ARIZONA.....	123
CALIFORNIA.....	123
COLORADO.....	132
DELAWARE.....	133
FLORIDA.....	133
GEORGIA.....	134
IDAHO.....	135
INDIANA.....	136
IOWA.....	136
KANSAS.....	137
LOUISIANA.....	137
MICHIGAN.....	137
MONTANA.....	138
NEVADA.....	139
NEW MEXICO.....	139
NEW YORK.....	139
OHIO.....	140
OREGON.....	140
TEXAS.....	140
UTAH.....	143
SOUTH CAROLINA.....	143
WASHINGTON.....	143
WISCONSIN.....	145
WYOMING.....	145
Appendix D: ADC's Assessment Library.....	147
Appendix E: Other Forms.....	151
Appendix F: Summary Table of Requirements.....	155
Appendix F: Addendum One.....	157

Figures

Figure 1: Matrix of Recent Experience

Figure 2: Project Personnel and Duties Related to the Project

Figure 3: Assessment.com Organizational Chart

Figure 4: Two Potential Uses for the STRONG-R Assessment Suite

Figure 5: Training Table

Figure 6: AUC Values of STRONG-R Models

Figure 7: Detailed Project Workplan

1. REQUEST FOR PROPOSAL FORM

State of Nebraska
REQUEST FOR PROPOSAL FOR
CONTRACTUAL SERVICES FORM

RETURN TO:
 NE DEPT OF CORRECTIONAL SERVICES
 ATTN: Chris Kliment
 FOLSOM & W. PROSPECTOR PLACE
 P.O. BOX 94661 (68509-4661)
 LINCOLN, NE 68522
 TELEPHONE: (402) 479-5718

SOLICITATION NUMBER	RELEASE DATE
RFP 82500-O3	October 9, 2015
OPENING DATE AND TIME	PROCUREMENT CONTACT
October 27, 2015 2:00 p.m. Central Time	Chris Kliment

This form is part of the specification package and must be signed in ink and returned, along with proposal documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Department of Correctional Services, is issuing this Request for Proposal, RFP Number 82500-O3 for the purpose of selecting a qualified Contractor to provide Risk Needs Assessment Instruments and training for NDCS Parole Officers.

Written questions are due no later than October 16, 2015, and should be submitted via e-mail to chris.kliment@nebraska.gov . Written questions may also be sent by facsimile to (402) 479-5663.

Bidder should submit one (1) original of the entire proposal. Proposals must be submitted by the proposal due date and time.

PROPOSALS MUST MEET THE REQUIREMENTS OUTLINED IN THIS REQUEST FOR PROPOSAL TO BE CONSIDERED VALID. PROPOSALS WILL BE REJECTED IF NOT IN COMPLIANCE WITH THESE REQUIREMENTS.

1. Sealed proposals must be received in Nebraska Department of Correctional Services by the date and time of proposal opening indicated above. No late proposals will be accepted. No electronic, e-mail, fax, voice, or telephone proposals will be accepted.
2. This form "REQUEST FOR PROPOSAL FOR CONTRACTUAL SERVICES" MUST be manually signed, in ink, and returned by the proposal opening date and time along with bidder's proposal and any other requirements as specified in the Request for Proposal in order to be considered for an award.
3. It is the responsibility of the bidder to check the website for all information relevant to this solicitation to include addenda and/or amendments issued prior to the opening date. Website address is as follows: <http://das.nebraska.gov/materiel/purchasing.html>
4. It is understood by the parties that in the State of Nebraska's opinion, any limitation on the Contractor's liability is unconstitutional under the Nebraska State Constitution, Article XIII, Section 3, and that any limitation of liability shall not be binding on the State of Nebraska despite inclusion of such language in documents supplied with the Contractor's bid or in the final contract.

IMPORTANT NOTICE: Pursuant to Neb. Rev. Stat. §84-602.02, all State contracts in effect as of January 1, 2014 will be posted to a public website beginning July 1, 2014. All non-proprietary or confidential information as defined by Law **WILL BE POSTED FOR PUBLIC VIEWING.**

Contractor hereby grants permission to the State of Nebraska and/or its agencies to reprint or republish any and all copyrighted documents related to Contractor's response to this Request for Proposal, and any and all figures, illustrations, photographs, charts, and other supplementary material on a website accessible by the public pursuant to Neb. Rev. Stat. §84-602.02. This waiver does not

apply to proprietary information properly submitted in a separate sealed, package clearly marked "Proprietary."

Contractor represents and warrants that the contents of this response to Request for Proposal and all figures, illustrations, photographs, charts, and other supplementary material herein are original and do not libel anyone or infringe upon any patent, copyright, proprietary right, or any other right whatsoever of any other party. Contractor represents and warrants that Contractor has full power and authority to execute this Copyright Release and to grant the State of Nebraska and/or its agencies the right granted herein.

Contractor agrees to indemnify, defend, and hold harmless the State of Nebraska and/or its agencies against any and all claims, suits, and/or judgments, including costs, expenses, damages, and reasonable legal fees based upon and arising from Contractor's violation of the rights of others and/or by reason of a breach of any of the foregoing warranties.

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Proposal for Contractual Services form, the bidder guarantees compliance with the provisions stated in this Request for Proposal, agrees to the terms and conditions unless otherwise agreed to (see Section III) and certifies that bidder maintains a drug free work place environment.

Per Nebraska's Transparency in Government Procurement Act, Neb. Rev Stat §73-603 DAS is required to collect statistical information regarding the number of contracts awarded to Nebraska contractors. This information is for statistical purposes only and will not be considered for contract award purposes.

_____ **NEBRASKA CONTRACTOR AFFIDAVIT:** Bidder hereby attests that bidder is a Nebraska Contractor. "Nebraska Contractor" shall mean any bidder who has maintained a bona fide place of business and at least one employee within this state for at least the six (6) months immediately preceding the posting date of this RFP.

_____ **I hereby certify that I am a Resident disabled veteran or business located in a designated enterprise zone** in accordance with Neb. Rev. Stat. §73-107 and wish to have preference, if applicable, considered in the award of this contract.

FIRM: Allvest Information Services, Inc. dba Assessments.com

COMPLETE ADDRESS: PO Box 1802 Salt Lake City, UT 84110

TELEPHONE NUMBER: (801) 295-1385 FAX NUMBER: (801) 443-1982

SIGNATURE:  DATE: 10/26/15

TYPED NAME & TITLE OF SIGNER: Sean Hosman, Chief Executive Officer

2. CORPORATE OVERVIEW

BIDDER IDENTIFICATION AND INFORMATION

Full Company Name: Allvest Information Services Inc., dba Assessments.com

Address of Company Headquarters:

644 West North Temple, Suite 405

Salt Lake City, Utah 84116

Entity Organization: Corporation

State of Incorporation: Washington

Year First Organized to Do Business: 1998

Neither the name nor form of the organization has changed since first organized.

FINANCIAL STATEMENTS

Allvest Information Services Inc., dba Assessments.com ("ADC") is one of the nation's leading innovators in implementing evidence-based practices (EBP) for the corrections field, providing technical assistance, expertise, and the newest generation of validated assessment tools and smart technology for today's criminal justice and human services agencies. Through proven and evidence-based implementation models and web-based tools, agencies are reducing recidivism, rehabilitating adult and juvenile offenders and saving taxpayer money through improved work processes and increased efficiencies.

ADC is a **private corporation** chartered in the State of Washington in 1998. Based in Salt Lake City, Utah, ADC was formed when it created a public/private partnership with the Washington Association of Juvenile Court Administrators (WAJCA) and the Washington State Institute for Public Policy (WSIPP) to change the way the state's justice system worked with juveniles. Today, 17 years later, our relationship with WAJCA and WSIPP continues, and ADC has worked with more than 95 criminal justice agencies across the U.S. serving both adults and juveniles, including collaborations with statewide departments of probation, corrections and human services in California, Delaware, Florida, Montana, Oregon, Tennessee, Texas, Washington, and Wyoming.

Currently, ADC is a company of sixteen full-time staff, with a vast network of subcontractors available to fulfill specialty functions as needed for the many client-jurisdictions with which ADC works.

As a privately held corporation, Assessments.com does not have audited financial reports and statements available for review.

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

Assessments.com has no pending or expected litigation or real or potential financial reversals.

CHANGE OF OWNERSHIP

ADC does not anticipate any change of ownership within the next twelve months or beyond.

OFFICE LOCATION

Allvest Information Services Inc., dba Assessments.com ("ADC")
644 West North Temple, Suite 405
Salt Lake City, Utah 84116

RELATIONSHIP WITH THE STATE

ADC has not had any contractual dealings with the State of Nebraska over the previous three years, nor have any staff or subcontractors named in this proposal.

BIDDER'S EMPLOYEE RELATIONS TO STATE

No individual named in this proposal is an employee of the State of Nebraska, nor has any party in this proposal been an employee of the State of Nebraska within the past three years.

CONTRACT PERFORMANCE

ADC has not had any contracts terminated for default over the past three years, nor have we had any contracts terminated for convenience, non-performance, non-allocation of funds, or any other reason.

SUMMARY OF BIDDER'S CORPORATE EXPERIENCE

SUMMARY MATRIX OF SIMILAR PROJECTS

The matrix below provides a summary/sample of our recent experience that is similar in size, scope and complexity to the requirements of this RFP. ADC has multi-year contracts with most of these agencies. Only the most recent contract year is noted. Following the matrix are three narrative descriptions of projects to be used for purposes of comparison and reference. More can be provided easily upon request. Finally, Appendix C (ADC Implementations by State) provides even more detailed information about ADC's experience in the field.

Figure 1: Matrix of Recent Experience

Year	Services	Location	Contracting Agency
2015	Software Maintenance and Training	Fresno, Merced, Lake, and Imperial Counties, CA, and Colorado	Geo Reentry Services (Adult)
2015	Software Maintenance, Training, and Technical Assistance	Seminole County, FL	Sheriff's Office (Adult)
2015	Customized Software Design, Development, Maintenance, and Technical Assistance	Washington	Department of Corrections (Adult)
2015	Customized Software Design and Technical Assistance	Washington	Correctional Industries (Adult)
2015	Software Development, Maintenance, Training, and Technical Assistance	El Paso County, TX	Juvenile Probation
2015	Software Design, Maintenance, Training, and Technical Assistance	Sacramento County, CA	Probation Department
2015	Software Maintenance, Training, and Technical Assistance	Imperial County, CA	Probation Department (Adult and Juvenile)
2015	Software Maintenance and Training	Comal County, TX	Juvenile Probation Department

Year	Services	Location	Contracting Agency
2015	Software Maintenance, Training, and Technical Assistance	Lassen County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Wyoming & Montana	Volunteers of America
2015	Software Development, Maintenance, Training, and Technical Assistance	Fresno County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Merced County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Florida	Department of Juvenile Justice
2015	Software Development, Maintenance, Training, and Technical Assistance	Kings County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Humboldt County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Lake County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Mendocino County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Plumas County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Sutter County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Yuba County, CA	Probation Department (Adult and Juvenile)
2015	Software Development, Maintenance, Training, and Technical Assistance	Delaware	Department of Children, Youth, and their Families

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

Washington Department of Corrections: STRONG-R Development

Description of Project: Assessments.com worked with Washington Department of Corrections (WA DOC) and Washington State University (WSU) personnel to train a development team and work collaboratively to design the implementation of the STRONG-R and Offender Change Plan, throughout the department (prisons and community).

- a) **The time period of the project:** October 8, 2013 - January 21, 2014
- b) **The scheduled and actual completion dates & budget:** Scheduled - January 21, 2014; Actual - January 21, 2014 (planned and actual budget was \$168,800). Separate completion dates were established within the overall contract for specific projects:
 - Customized Development Team Curriculum, Training, and Report - October 8, 2013 - November 10, 2013 (Actual completion: October 29, 2013)
 - Stakeholder Education and Project Initiation - October 8, 2013 - December 10, 2013 (Actual completion: November 30, 2013)
 - Develop and publish a comprehensive strategy and implementation plan (CSIP) for implementing the STRONG-R tool set including the offender change plan - October 8, 2013 - January 21, 2014 (Actual completion: January 21, 2014)
- c) **The Contractor's responsibilities:**
 - Provide training, staff development, and technical assistance in the areas of internal/external communications, risk assessment implementation, case management implementation, software development, training, and quality assurance.
 - Draft STRONG-R business requirements
 - Facilitate working sessions with the development team
 - Provide "just in time" education and coaching on case planning for participants in the business requirements activity
 - Provide on-site consultation and organization of working sessions to bring participants to a level of understanding for developing and administering an Offender Change Plan.
 - Provide telephone consultation as needed to consult with team members on process and activities for the development of the business requirements.
 - Develop and publish a comprehensive strategy and implementation plan (CSIP) for implementing the STRONG-R tool set including the offender change plan.
 - Develop and document the training strategy for how department staff will be trained on the use of the tool.
 - Draft an outline, including objectives and modules of the training curriculum for DOC staff (with enough detail for steering committee to understand how the individual elements

contribute to a thorough understanding of how staff will become proficient in the use of the tool).

- d) **For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address):**

Dan Pacholke, Secretary
Washington State Department of Corrections
(360) 725-8213
Email: djpacholke@DOC1.WA.GOV

- e) ADC was the **prime Contractor** for this project.

State of Wyoming, Department of Family Services

Description of Project: ADC worked with the State of Wyoming Department of Family Services to provide ADC software (the Assessments.com Enterprise Application -AEA; the Positive Achievement Change Tool -PACT; and the Youth Empowered Success - YES - Case Plan), consulting services, integration of the software with existing Wyoming Information Systems, and training for approximately 160 participants.

- a) **The time period of the project:** April 29, 2008 - March 1, 2010
- b) **The scheduled and actual completion dates:** Scheduled: March 1, 2010; Actual: March 1, 2010 (planned and actual budget was \$324,750)
- c) **The Contractor's responsibilities:**
- Install the Assessments.com Enterprise Application (AEA), configured and managed on the Department's servers, for electronic assessments, case plans, and reporting purposes.
 - Ensure the assessment tool is tailored to fit State of Wyoming needs through implementation team input and final approval
 - Prepare a comprehensive strategy for implementation within 120 days of the starts of the Contract
 - Work closely with the Department to ensure Assessments.com and WYCAPS within 90 days of the start of the Contract.
 - Provide the Agency with an enterprise site license for Assessments.com for use by agency employees statewide.
 - Provide training for approximately 160 agency staff in EBP, Motivational Interviewing, performing PACT assessments, case plan development, and reporting, including video-critiquing.
 - Basic training for all participants (4 days, delivered in two 2-day phases; 100 users) covering research, principles of EBP, the assessment instrument, the software application, and Motivational Interviewing.
 - EBP Liaison Training (25 Liaisons)- Additional training for local liaisons to become support and quality assurance providers promoting sustainability. As content-specialized experts, the

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

Liaisons received additional training increasing their skill levels regarding the PACT, EBP, the ADC software application, and What Works research.

- System Training was designed to focus on the ADC software application (60 -100 users).
- Train the Trainers (15 trainers) - A five-day course designed to train and certify local Department staff to become trainers in the PACT and Assessments.com software.
- Video critiquing of assessment and interviewing skills for 100 participants, including review of staff videos and evaluation and feedback services (including telephone follow-up for each).
- Provide integration consulting for linking AEA with existing Wyoming Information Systems for increased productivity including Domain 1 integration, user integration, and subject integration.
- Provide customizations to the AEA based on identified Department needs and requirements, including custom report development, custom assessment/form development, and external application modules.
- Work closely with the implementation team throughout the entirety of the project
- Submit monthly progress reports as well as quarterly expenditure reports to the Agency by the close of business the last Friday of the month
- Provide Agency with a final summary report by March 31, 2010

d) For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address):

Jeff Lamm, Program Manager
Wyoming Department of Family Services
(307) 777-8914
jeffrey.lamm@wyo.gov

e) ADC was the prime Contractor for this project.

State of Washington, Department of Corrections

Description of Project: ADC worked with Washington Department of Corrections to customize/modify WA DOC's customized software application - the Offender Supervision Plan System (OSPS) - consisting of the following four components: the Offender Supervision Plan (OSP), the Offender Needs Assessment (ONA), the Criminal Conviction Record (CCR) and the Static Risk Assessment (SRA).

a) **The time period of the project:** January 28, 2013 - May 9, 2013

b) **The scheduled and actual completion dates:** Scheduled Completion Date - May 9, 2013. Actual Completion Date - May 9, 2013. Planned and Actual Budget - \$140,000

- High Level Task Design - Scheduled: February 15, 2013; Actual: February 15, 2013
- Detailed Design - Scheduled: March 8, 2013; Actual: March 8, 2013
- Regression Test and Code Acceptance - Scheduled: May 9, 2013; Actual: May 9, 2013

c) **The Contractor's responsibilities:**

- High Level Design
 - Clearly define the scoring differences between the two versions of the Static Risk Assessment;
 - Prepare development environment;
 - Identify the areas in the existing code to be modified;
 - Identify potential areas where those modifications will affect other parts of the application or other system and integration interfaces;
 - Analyze current user interfaces and identify areas and specifications of required modification;
 - Review areas of potential modification with WA DOC for feedback.
- Detailed Design
 - Develop specifications for changes to code where necessary;
 - Develop specifications for changes to areas that will be affected by code changes (including other system and integration interfaces);
 - Consult with research personnel on design and scoring changes;
 - Develop mock-up of changes to the user interface;
 - Acquire mock-up approval from WA DOC staff.
- Regression Test and Code Acceptance
 - Implement code changes as designed;
 - test new code;
 - Test entire application to verify places where the code changes may have affected any other areas or interfaces;
 - Make modifications and bug fixes as necessary;
 - Deliver build to WA DOC for STR V. 2.0
 - After testing by WA DOC, fix any bugs identified by WA DOC.

d) **For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address):**

Anmarie Aylward
Assistant Secretary, Community Corrections Division
Washington Department of Corrections
Phone: 260-725-8787
email: aaylward@doc1.wa.gov

- e) ADC was the **prime Contractor** for this project

NARRATIVE PROJECT DESCRIPTIONS - SUBCONTRACTOR EXPERIENCE

Washington Department of Corrections: STRONG-R Development

Description of Project: Dr. Hamilton worked with Washington Department of Corrections (WA DOC) to create recidivism prediction models, and validate the STRONG-R risk and needs assessment tools, using five years of data and roughly 50,000 reentering offenders.

- a) **The time period of the project:** October 8, 2012 – April 31, 2014
- b) **The scheduled and actual completion dates:** Scheduled - July 31, 2014; Actual - April 31, 2014.
- c) **The Contractor's responsibilities:**
- Identified appropriate static and dynamic items to be used to predict recidivism.
 - Utilized state-of-the-art statistical methods to select and weight each item to predict four different types of recidivism (i.e., violent, property, drug, and any felony).
 - Created prediction models to identify criminogenic needs in eight areas, including: education, employment, peers, family, aggression, mental health, substance abuse, residential, and criminal attitudes/behaviors.
 - Created a screening instrument to identify low risk offenders in need of less supervision and interventions.
 - Created a risk classification system to be used as part of supervision and case management practices. STRONG-R categories include: Low, Moderate, High Drug, High property, High Violent, and Criminally Diverse.
 - Provided statewide technical assistance to assist with the development and training of the STRONG-R risk and needs assessment models.
 - Assessed the predictive validity of all models created. It should be noted, that all models created identified to possess strong levels of predictive performance, outperforming models similar to the LS/CMI, ORAS, and WRNA risk-need assessment instruments (see Drake, 2014).

d) For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address):

Dan Pacholke, Secretary
Washington State Department of Corrections
(360) 725-8213
Email: djpacholke@DOC1.WA.GOV

e) Dr. Hamilton (working as a faculty member of Washington State University) was the Principal Investigator for this project.

Washington Juvenile Court Administrators: PACT Development

Description of Project: Dr. Hamilton worked with Washington State Center for Court Research (WSCCR) to create recidivism prediction models, and validate the Positive Achievement Change Tool (PACT) risk and needs assessment tools, using ten years of data and roughly 35,000 youthful offenders.

a) **The time period of the project:** October 1, 2014 – March 31, 2015

b) **The scheduled and actual completion dates:** Scheduled - October 1, 2014 – March 31, 201

c) **The Contractor's responsibilities:**

- Identified appropriate static and dynamic items to be used to predict recidivism.
- Utilized state-of-the-art statistical methods to select and weight each item to predict four different types of recidivism (i.e., violent, property, drug, and any reconviction).
- Created a screening instrument to identify low risk offenders in need of less supervision and interventions.
- Provided technical assistance to assist with the development and training of the PACT risk and needs assessment models.
- Assessed the predictive validity of all models created. It should be noted, that all models created identified to possess strong levels of predictive performance, outperforming models similar to the YLS/CMI.

d) For reference purposes, a customer name (including the name of a contact person, a current telephone number, a facsimile number, and e-mail address):

Carl McCurley, Ph.D., Manager
Washington State Center for Court Research
Administrative Office of the Courts
1206 Quince Street SE
Olympia, WA 98504-1170
(360) 705-5312
Email: carl.mccurley@courts.was.gov

- e) Dr. Hamilton (working as a faculty member of Washington State University) was the Principal Investigator for the described portions of the project.

SUMMARY OF BIDDER'S PROPOSED PERSONNEL/MANAGEMENT APPROACH

ADC's staff includes experts in evidence-based practices in criminal and juvenile justice, implementation, training, and technical assistance, technology and technology-integrated assessments, data reporting and extraction, data analysis, and criminal justice research (including assessment validation and customization). We have staff who have worked through implementation of our products as both clients and consultants and have used our products in various jurisdictions (large and small) for several years. We understand the challenges and issues faced specifically by adult corrections and community corrections professionals.

The table below illustrates staff to be assigned to this project, including names, titles, job duties and responsibilities related to the project. The four shaded positions represent those assigned to the Project Leadership Team. Please refer to Appendix B for resumes.

Figure 2: Project Personnel and Duties Related to the Project

Name	Title	Duties/Responsibilities Related to Project
Sean Hosman	CEO	Project oversight/Co-lead
Marjorie Rist	Chief Operating Officer & Director of Professional Services	Project Manager & Technical Assistance (Consulting), Training
Casey Riley	Chief Technology Officer	Oversee the implementation of the technical components of the project
Dr. Zachary Hamilton	Lead Researcher	Assessment validation
Matt Brantley	Director of Customer Support Services	Customer support and project management/business analysis
Amy Sturm	Senior Engineer	User Interface Development/Customizations
Gwen Clinton	Trainer and Client Representative	Training

Specifically, the qualifications of personnel to be assigned to this project are listed below:

Sean B.D. Hosman, J.D., CEO - Sean has more than 17 years of experience working closely with over 95 public and private juvenile and adult justice agencies and large human services systems to improve practices and provide positive results. Sean received both his

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

bachelor's and his law degree from Brigham Young University. He is a member of the Utah State Bar, the Colorado State Bar and the American Bar Association. He is also a member of the Motivational Interviewing Network of Trainers (MINT) and continues to train at least annually with the authors of MI, William Miller, Ph.D. and Theresa Moyers Ph.D., including recent updates from the Third Edition of Motivational Interviewing, published in 2013. Sean manages the day-to-day operations of the Business Development Department and participates regularly in various professional services including training, technical assistance, consulting, and client/user engagement, as well as participates regularly in new product development. Sean is an active member of American Correctional Association (ACA) and International Community Corrections Association (ICCA).

Marjorie Rist, B.A., Chief Operating Officer - With 20 years in the correctional industry, Marjorie has worked in, supervised, managed, and implemented change in juvenile and adult corrections, institutions and the community, work release programs, pretrial release programs, community treatment programs, institutional programming, and residential treatment centers. Her experiential history is extremely valuable in understanding organizational dynamics and the practical considerations of implementation. Her current role at ADC has allowed Marjorie to focus on two primary areas of interest: using implementation science to support correctional reform and using technology to support data-driven decision-making. Marjorie has a Bachelor's Degree in Management from St. Mary's College of California. She manages the day-to-day operations of the Professional Services division, where she provides a great deal of technical assistance for clients as well as some training, assists regularly with the authoring of technical and policy documents, gathering of client specifications, and various other business development tasks, as well as participates regularly in new product development. Marjorie is an active member of American Correctional Association (ACA), International Community Corrections Association (ICCA), International Corrections and Probation Association (ICPA), and the American Probation and Parole Association (APPA).

Casey Riley, B.A., Chief Technology Officer - Casey holds a Bachelor's of Science degree from Boise State University in Electrical Engineering (Computer and Control Systems Emphasis) and has more than 19 years of experience in the technology industry, with approximately 7 years of that with Assessments.com. He is experienced with working in fast-paced startup/small company environments where it is necessary to remain flexible with ever-changing demands and responsibilities as well as in medium to large corporate/government environments, and has experience transitioning engineering teams through growth phases while sustaining steady development through those times of change. Casey's skills include managing all aspects of product development within software technology companies, including implementing product development life cycles, software release schedules, QA pipeline and customer service trouble ticket handling, requirements documentation structure and documentation process of products to be developed by engineering, and skills in managing multiple lead engineers on projects with teams that are in diverse locations. Casey is currently managing day-to-day operations of the Assessments.com Engineering team and will manage the technical aspects of implementation.

Zachary Hamilton, Ph.D., Lead Researcher - Dr. Hamilton holds both a Master's degree and Ph.D. in Criminal Justice from Rutgers University. He is the Director of the Washington State Institute for Criminal Justice Research and an Assistant professor for Washington

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

State University in the Department of Criminal Justice and Criminology. With over 40 publications to his credit, including recent assessment validations relevant to this proposal, Dr. Hamilton is one of the foremost experts in the field of risk assessment and programming for criminal justice populations. As part of this project, he will be conducting the analyses necessary to ensure the validity and reliability of the assessment tool as it is customized to meet the needs of the State of Nebraska.

Matt Brantley, Director of Help Desk Services - As the Director of Customer Support Services, Matt has been the primary contact for most clients needing bug-fixes, maintenance attention, and customization requests. He is intimately familiar with all of ADC clients' software applications, databases, problem resolution tickets, and software updates and releases. Matt has been responsible for upgrades to various support processes and tracking procedures during his time with ADC (three years), including the addition of a support portal allowing client-generated help desk tickets, as well as beginning the implementation and access to various support videos and tutorials. Matt also assists in project management, business analysis, and facilitation of client implementations and installations, ensuring a high degree of coordination between engineering and professional services deliverables.

Amy Sturm, Senior Engineer - Amy has over a decade of experience in software, e-learning, and user interface design. She holds a Bachelor's degree in Multimedia with an emphasis on interactive media development, and has substantial programming and design experience with a broad variety of organizations. She has designed and implemented e-learning programs for organizations including American Express, Insignia technology Services, and UBM. Amy works with ADC on user interface design and software customizations.

Gwen Clinton, M.A., Trainer and Client Representative - Gwen is the lead trainer and client representative for ADC, and has two Masters degrees (Psychology and Varying Exceptionalities). She worked as a Probation Officer for seven years and has an extensive history in mental health (Commitment Targeted Case Management) and Education (special education for more than 12 years).

In addition to those individuals assigned directly to this project, ADC has a strong and highly qualified staff of other individuals who serve in supporting roles. Some of these who participate in the technical and content work of the organization include:

Laurie Gillies, B.A., Senior Engineer - Laurie has a Bachelor's degree in Computer Science and more than 17 years of experience in the tech industry, the most recent eight years of which have been with Assessments.com. During her time with time with ADC, Laurie has been involved with the development, installation, and maintenance of all of ADC's applications, source code, databases, and client systems (including PACT™, STRONG™, STRONG™ and PACT™ Case Plans, as well as standard and customized reporting), including the adoption of various new technologies for new or revised software products and web services.

Chad Klem, Senior Engineer - Chad has worked with ADC as an engineer in varying full-time, part-time, and independent contractor capacities for approximately 15 years, returning to ADC more than two years ago, in a full-time capacity to assist with customization of

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

client applications and development of new products. Chad is considered a “full stack” developer, with skills that span the gamut of the development spectrum (front-end/user interface, back-end/database, API’s, etc.). Having completed a substantial amount of the original ADC AEA architecture, and then having a wide array of experience in cutting-edge technologies, Chad has been invaluable in the process of continuous modernization of ADC’s technology platforms.

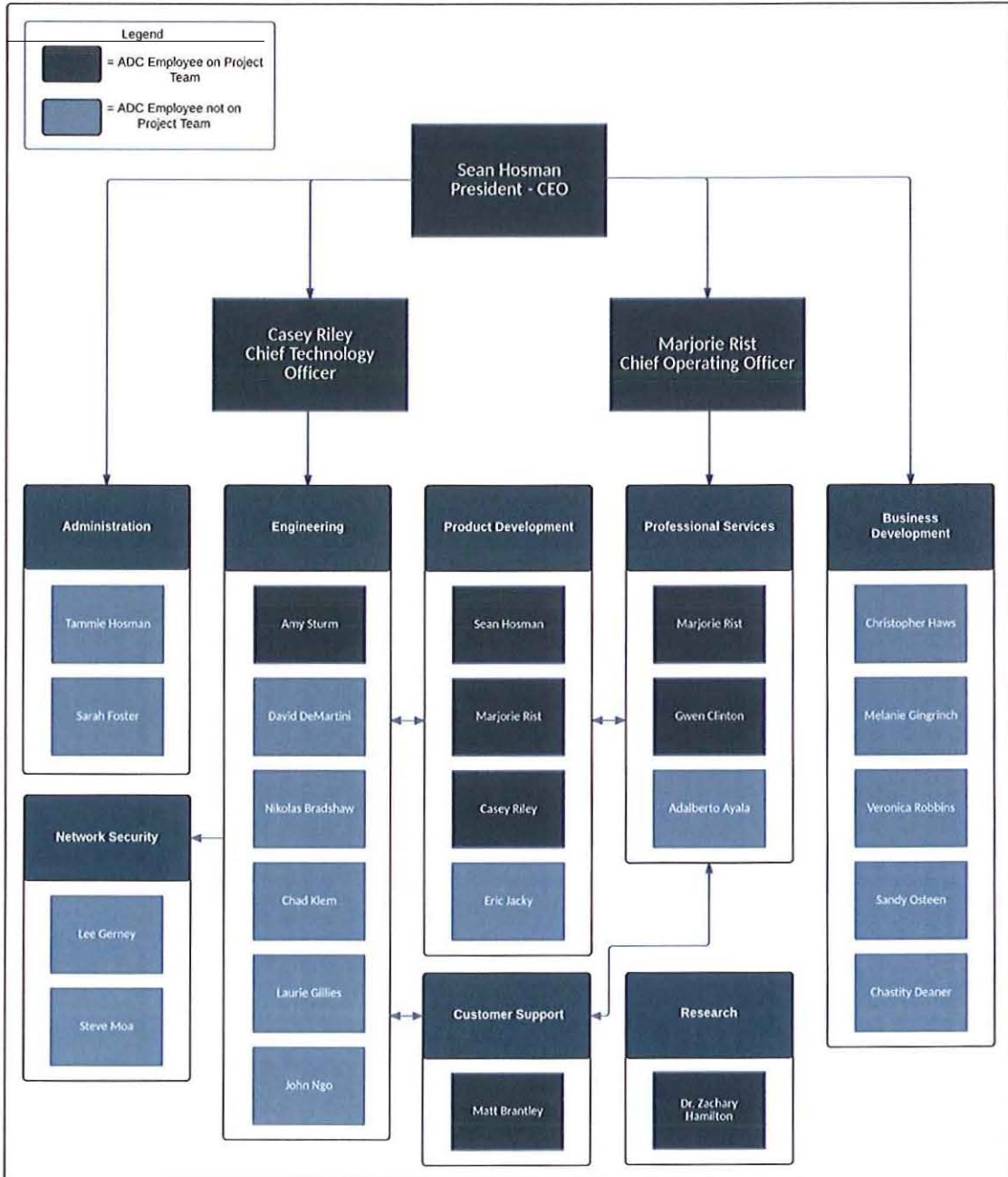
David DeMartini, Senior Engineer - David was specifically recruited by ADC more than three years ago for his expertise in data warehousing and business intelligence solutions. When he came to ADC approximately three years ago, he had more than 21 years of industry experience, including in systems administration, script and compiled language software development and systems architecture. During the five years prior to coming to ADC, David was a managing director, responsible for design and deployment of several industry-leading applications, including a DNA profiling system for Internet Identity and other crucial systems for clients such as Hewlett Packard and California Department of Corrections. In addition, David invented and holds a U.S. patent (Patent #7548968) for a software process, known as Policing Internet Domains, that facilitates the enforcement of intellectual property on the internet.

Eric Jacky, B.A., Product Development Manager - Eric first worked with the ADC engineering team in 2009 for a contracted project, and then joined the team full-time in 2013. His specialty is website and UI design, where he has focused for more than 16 years. He has vast experience in working directly with customers to gather interface requirements, focused on usability. Since joining ADC in a full-time capacity, Eric has become an integral part of the team, handling client maintenance, issue resolution, customizations, deployments, and assisting in the development of new technologies. Eric’s unique set of experience contributes to his success as Product Development Manager.

Christopher “CJ” Haws, Sales Account Manager - CJ has been with ADC for approximately six years, acting in various capacities throughout. Prior to Sales and Marketing, CJ was the Director of Help Desk Services, where he became intimately familiar with all of ADC clients’ software applications. This knowledge has benefited him greatly as he works with new and existing clients to identify solutions that are best-suited for their unique needs. He remains closely part of the team providing customer support services.

The organizational chart below illustrates the placement of each of these staff members within the organization, including reporting relationships. The dark green boxes represent staff identified for the project team, and the light green boxes represent all other staff.

Figure 3: Assessments.com Organizational Chart



The takeaway from all this information is that ADC has the *capacity* and *expertise* needed to successfully complete the project for the State of Nebraska.

Project Leadership

The leadership team for the project includes Sean Hosman, CEO; Marjorie Rist, Chief Operations Officer; Casey Riley, Chief Technology Officer; and Dr. Zachary Hamilton, Lead Researcher. Marjorie Rist will serve as the Project Director, with the assistance of Sean Hosman serving as co-lead. Ms. Rist has served personally as Project Director on multiple projects with ADC, including the most complex projects in recent years which typically have multiple objectives, tasks, participants, stakeholders, and timelines. Her past experience as Chief Probation Officer for a department implementing ADC products and training gives her perspective that is very valuable for our clients as she understands the process from both the points-of-view of contractor and client. She has trained officers, institutional personnel, and support staff on Evidence-Based Practices and has been charged with implementing them in her own department.

ADC's specific approach to project management is described more fully in the sections on *Proposed Development Approach* and *Detailed Project Work Plan*.

Subcontractors

Name: Dr. Zachary K. Hamilton
Address: 1 West 14th Avenue, Spokane, WA 99204
Phone: (509) 336-9208

Specific Tasks:
Initial validation of the STRONG-R for Nebraska Offender Population
Re-validation of STRONG-R at 3-years

Percentage of performance hours: 14.4%

Total Percentage of subcontractor performance hours: 14.4%

3. TECHNICAL APPROACH

UNDERSTANDING OF THE PROJECT REQUIREMENTS

PROJECT OVERVIEW (RFP SECTION IV, A)

As a long-standing expert in the field, ADC understands the importance of risk and needs assessments to effective, evidence-based supervision and rehabilitation of offenders, both in and out of custody. They affect public safety on several levels and can dramatically impact an individual's likelihood to re-offend. We also understand the need for tools that can be used for assessment, case planning, and reporting at various points in the correctional system. For almost 20 years, we have been developing these tools for jurisdictions around the country serving both juveniles and adults, and we are now on the forefront of the development of fourth generation (4G) tools that include analysis of both static and dynamic measures and integrated case planning functionality. Our proposed solution also includes models to assess risk of recidivism, the likelihood of infraction behavior while in custody (including violence against staff, as well as other inmates), how likely certain offenders are to violate community supervision, and the likelihood of future sexual re-offense for sex offenders. This tool can also be customized, over time, to predict additional outcomes, specific to the needs and desires of NDCS. These characteristics make our solution particularly well-suited to be used at the points in the correctional process identified by NDCS - (1) at intake, (2) at parole board hearings, (3) while under parole supervision, and (4) prior to discharge for those released without community supervision, when the outcome to be predicted is likelihood of the offender engaging in future criminal behavior.

Furthermore, our integrated needs assessment determines the primary targets for treatment that, if treated, should have the greatest reduction in likelihood of re-offense. Our Offender Change Plan tool helps translate assessment results into a case plan, including Evidence-Based Practices (EBPs) that can be implemented through the supervision process. This Change Plan can also be customized to include the various programs offered by community-based organizations and providers throughout NDCS facilities and communities.

These tools are the **Assessments.com Enterprise Application (AEA)** and the **Static Risk and Offender Needs Guide- Revised (STRONG-R) Assessment and Offender Change Plan**. More detail about these tools is provided below in the *Scope of Work* section.

BRIEF HISTORY OF THE STRONG-R

In 2006, the Washington State Institute for Public Policy (WSIPP) developed the Washington Static Risk Assessment (SRA), and in approximately 2007, the Washington State Department of Corrections (DOC) adopted the SRA throughout the correctional system. WSIPP and DOC then developed the Washington Offender Needs Assessment (ONA). The ONA utilizes dynamic factors to identify an individual offender's criminogenic

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

needs. In partnership, these two tools were further developed by WSIPP and Assessments.com, and marketed together as the Static Risk and Offender Needs Guide (STRONG) in many jurisdictions, particularly throughout California.

Since the implementation of the SRA and ONA in Washington, the Department of Corrections has captured more than 45,000 completed ONA's on its offender population. In 2012, researchers from Washington State University (WSU), Idaho State University (ISU), and Dr. Robert Barnoski, under the direction of Dr. Zachary Hamilton from WSU, completed an exploratory analysis using available DOC data from existing ONA assessments, and other available data elements, which revealed that the current SRA could be revised to substantially improve predictive accuracy.

Dr. Hamilton's work culminated in the Static Risk and Offender Needs Guide - Revised (STRONG-R), which incorporates both static and dynamic risk factors, is gender-specific, and provides evidence-based measurements of change in criminogenic need over time for each offender.

The STRONG-R was then validated by Dr. Hamilton in 2013 on a Washington State DOC population consisting of 44,010 offenders (see the *Other Project Requirements* section on page 47 for more detail on validation results). In 2014, WSIPP published the results of its review of the five risk assessments that had been tested on adult offenders in Washington. These included the following assessments:

- 1) Level of Service Inventory-Revised (LSI-R)
- 2) Static Risk and Offender Needs Guide-Revised (STRONG-R)
- 3) Static Risk Assessment (SRA)
- 4) Static Risk Assessment, revised (SRA2)
- 5) Ohio Risk Assessment System (ORAS)

Among the five, ***WSIPP determined that the STRONG-R has the highest predictive accuracy of criminal recidivism.***¹

The AEA and STRONG-R, along with the Offender Change Plan, and the consulting, technical support and training provided by ADC expert staff during the implementation process will provide the support needed by NDCS to ensure that the legislatively-mandated deadlines are completed on time (by June 1, 2016):

A. THE DAILY SUPERVISION AND TRAINING OF STAFF MEMBERS OF THE OFFICE, INCLUDING TRAINING REGARDING EVIDENCE-BASED PRACTICES IN SUPERVISION PURSUANT TO SECTION 99 OF THIS ACT;

The detailed training plan provided by ADC (see page 56) includes training in the use of risk and needs assessment, risk-based supervision strategies, relationship skills, cognitive

¹ Washington State Institute for Public Policy. *Predicting Criminal Recidivism: A Systematic Review of Offender Risk Assessments in Washington State*. February 2014.

behavioral interventions, community-based resources, criminal risk factors, targeting criminal risk factors to reduce recidivism, and proper use of a matrix of administrative sanctions, custodial sanctions, and rewards evidence practices, and a variety of other required topics, for all required staff.

B. THE ASSESSMENT, EVALUATION, AND SUPERVISION OF INDIVIDUALS WHO ARE SUBJECT TO PAROLE SUPERVISION, INCLUDING LIFETIME COMMUNITY SUPERVISION PURSUANT TO SECTION 83-174.03.

The AEA and the STRONG-R (with Offender Change Plan) provide tools for the assessment of individuals subject to supervision, the analysis of those results, and the components of case planning to support supervision - all based on the best and most current research in the field. A Sex Offender Model Recidivism model can be custom-constructed for inclusion within the STRONG-R, which could be particularly helpful for the supervision of sex offenders requiring lifetime supervision (Section 83-174.03).

C. RISK AND NEEDS ASSESSMENT MEANS AN ACTUARIAL TOOL THAT HAS BEEN VALIDATED IN NEBRASKA TO DETERMINE THE LIKELIHOOD OF THE PAROLEE ENGAGING IN FUTURE CRIMINAL BEHAVIOR.

The STRONG-R is an actuarial tool that has been validated in the state of Washington. Our project plan includes validation using a Nebraska offender population by March 1, 2016.

D. THE OFFICE OF PAROLE ADMINISTRATION SHALL ESTABLISH AN EVIDENCE-BASED PROCESS THAT UTILIZES A RISK AND NEEDS ASSESSMENT TO MEASURE CRIMINAL RISK FACTORS AND SPECIFIC INDIVIDUAL NEEDS.

ADC will support the achievement of this requirement through the provision of the STRONG-R (specifically including the Needs assessment model), training for staff, and consultation with department leaders on the implementation process. As mentioned previously, the STRONG-R is a risk and needs assessment that measures criminal risk factors and specific individual needs. Much more detail is provided on this below.

E. THE RISK AND NEEDS ASSESSMENT SHALL BE PERFORMED AT THE COMMENCEMENT OF THE PAROLE TERM AND EVERY SIX MONTHS THEREAFTER BY OFFICE STAFF TRAINED AND CERTIFIED IN THE USE OF THE RISK AND NEEDS ASSESSMENT.

Through this plan, all appropriate staff will be trained in the use of the STRONG-R and evidence-based practices, including interviewing skills. They will receive basic and booster training in the first year, refresher training in years two and three, and they will also have

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

access to online help and e-learning resources to ensure that they are both certified and fully prepared to administer the assessment. In addition, the STRONG-R can be administered multiple times without additional cost, and the results of different STRONG-R assessments, over time, can be compared to each other to help officers assess growth and changes in risk factors.

F. THE OFFICE SHALL TEST THE VALIDITY OF THE RISK AND NEEDS ASSESSMENT AT LEAST EVERY FIVE YEARS.

In addition to validating the tool using a Nebraska offender population by March 1, 2016, ADC's plan includes a full re-validation of the tool at the end of the first three year contract period.

G. THE OFFICE SHALL PROVIDE TRAINING TO ITS PAROLE OFFICERS ON USE OF A RISK AND NEEDS ASSESSMENT, RISK-BASED SUPERVISION STRATEGIES, RELATIONSHIP SKILLS, COGNITIVE BEHAVIORAL INTERVENTIONS, COMMUNITY-BASED RESOURCES, CRIMINAL RISK FACTORS, TARGETING CRIMINAL RISK FACTORS TO REDUCE RECIDIVISM, AND PROPER USE OF A MATRIX OF ADMINISTRATIVE SANCTIONS, CUSTODIAL SANCTIONS, AND REWARDS DEVELOPED PURSUANT TO SECTION 83-1,119. ALL PAROLE OFFICERS EMPLOYED ON THE EFFECTIVE DATE OF THIS ACT SHALL COMPLETE THE TRAINING REQUIREMENTS SET FORTH IN THIS SUBSECTION ON OR BEFORE JULY 1, 2016. EACH PAROLE OFFICER HIRED ON OR AFTER THE EFFECTIVE DATE OF THIS ACT SHALL COMPLETE THE TRAINING REQUIREMENTS SET FORTH IN THIS SUBSECTION WITHIN ONE YEAR AFTER HIS OR HER HIRE DATE.

All of these training topics are included in our detailed training plan. Please refer to the Training section beginning on page 47.

H. THE OFFICE SHALL PROVIDE TRAINING FOR CHIEF PAROLE OFFICERS TO BECOME TRAINERS SO AS TO ENSURE LONG-TERM AND SELF-SUFFICIENT TRAINING CAPACITY IN THE STATE.

This training of chief parole officers to serve as trainers is included in our detailed training plan as well. Please refer to the Training section beginning on page 47.

RULES AND REGULATIONS (RFP, PGS 36-37)

With regard to legislatively required rules and regulations, ADC has extensive experience providing technical assistance with regard to the development, modification, and implementation of rules and regulations that are supportive of evidence-based practices in general, and risk/needs assessment, case management and supervision practices, in particular, as well as their associated quality assurances processes and mechanisms.

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

With regard to requirements for parole-eligible inmates to be assessed and specified information being included in the release decision, the Assessments.com software solution proposed for NDCS includes a set of individual reports that are available to support these requirements, and depending on configuration decisions made during the implementation process, a vast majority of the required information is included in these reports.

With regard to rules and regulations for the risk assessment and management for inmates, Assessments.com is willing and able to provide any degree of technical assistance in the development and promulgation of these policies that may be desired by NDCS. At a minimum, if desired by the Department, ADC can weave training on these various rules and regulations into the training curriculum that will be provided to all end-users of the assessment and case planning tools.

**This page
intentionally
left blank**

SCOPE OF WORK (RFP SECTION IV, E)

A SUITE OF INSTRUMENTS THAT CAN BE USED TO PREDICT OFFENDER BEHAVIOR AT SPECIFIC POINTS IN THE CORRECTIONAL SYSTEM

Assessments.com Enterprise Application (AEA) and the *Static Risk and Offender Needs Guide- Revised (STRONG-R), including the Offender Change Plan.*

Assessments.com Enterprise Application (AEA)

The AEA is a versatile web-based software application designed to make corrections professionals more effective, efficient and productive. The software is just a tool, but it is a dependable tool and offers a variety of easy-to-use modules for automatic assessment scoring, individualized case planning and intelligent data gathering and analysis. The database structure is Microsoft's scalable SQL Server, which facilitates not just data entry, but quick retrieval of helpful, accurate information, which creates rich opportunities for enhancing accountability and performance measurement and improvement.

The AEA operates as either a hosted Internet application (maintained on ADC's own secure servers) or software that can be licensed and installed on your Department's servers. (For this proposal, ADC is recommending and proposing a subscription-based, hosted application, due to ease of set-up and best fit for the timelines and other requirements from NCDS.) It has a proven record of stability extending over 15 years and is, today, being used in more than 80 different jurisdictions. One great feature of the Assessments.com software is that it is integratable and, in fact, has been integrated, seamlessly, with numerous existing private and public information management systems. It is designed to allow departments to easily and completely share information in all aspects of assessment, case planning and outcome measurement, regardless of the type of electronic source of that information.

The current version of the AEA represents an ever-growing and wide array of user-defined enhancements that continue to increase its utility for users and administrators, as well as the productivity of line staff. Its features include well-thought-out assessment logic requirements for improved inter-rater reliability and accuracy, built-in customizable help screens, multiple reporting modules, both for individuals and aggregate groups (total population or subsets of population), and one of the most advanced automated, real-world case planning modules available in the industry. The AEA includes a large library of multiple juvenile and adult risk and needs assessments, short screens for mental and behavioral health, and instruments to measure health, education, and substance abuse indicators and progress.

A core component of the AEA is the Assessment Engine™. More than simply a test generator, the assessment engine automatically programs a complete battery of outcome-based reports with every new assessment. These reports enable administrators to observe patterns of progress, at various group and individual levels as well as identify gaps in available treatment services throughout a jurisdiction or on a community-specific level. Comparative reports allow you to inspect progress of individuals, groups and providers.

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

Another versatile feature of this engine allows Assessments.com to “publish” in the software application new (locally developed or selected) assessments, without having to use programming code. New assessments can be easily and quickly added, as newer tools become available, and existing assessments, can easily and quickly be modified and improved as its many users develop new ideas for making the assessments and the software better.

ADC maintains an extensive assessment library that can be used with the Assessment Engine. While we are recommending one of those tools to meet the needs of NDCS at this time, please refer to Appendix D for a complete list of assessments in the current assessment library.

Static Risk and Offender Needs Guide- Revised (STRONG-R)



The ***Static Risk and Offender Needs Guide-Revised (STRONG-R)*** is a fourth generation (4G) tool which incorporates both static and dynamic risk factors, is gender-specific, provides evidence-based measurements of change over time for each offender, and incorporates a case management tool to assist parole officers with supervision.

The STRONG-R has been developed with separate and unique scoring models for both men and women. There are also several secondary models available. All models are scored, based on the same item pool. *For users, this means that they are able to generate multiple assessments, or risk and needs scales, on an offender, with only one data input session and by completing only one instrument.* The various scales, or models, include:

- Recidivism
- Institutional Infraction
- Technical Violation
- Sex Offender (male only)
- Needs Assessment

RECIDIVISM MODEL:

The STRONG-R Recidivism Model predicts low, moderate, or high risk for general felony recidivism. Within the high-risk category, the model further differentiates whether an offender is at high risk to commit a drug-related felony, property-related felony, or violent felony. The recidivism model also includes a Low-Risk Screener (LRS), which is a shorter version of the full assessment that can be administered without an interview (which means if it can be integrated with the NiCaMS, officers will be able to complete the LRS through automation), and can be used to filter out the vast majority of the low risk offenders, allowing staff to focus time and resources on higher risk offenders.

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

INSTITUTIONAL INFRACTION MODEL:

The institutional Infraction Model can be used to predict the likelihood of infraction behavior while in-custody. It can predict infraction behavior in three categories: violence against staff, violence against non-staff, and other non-violent serious infraction behavior. This model can be used to enhance classification within facilities and assist with programming prioritization while in custody.

TECHNICAL VIOLATION MODEL:

The Community Supervision Violation Model can be utilized to predict how likely certain offenders are to violate community supervision. This allows staff to identify those offenders most likely to abscond from supervision, allowing staff to provide enhanced resources to reduce the likelihood of absconding, and therefore, improve engagement and outcomes of supervision.

SEX OFFENDER MODEL (MALE ONLY):

The male Sex Offender Model can be used to predict the likelihood of future sexual re-offense.

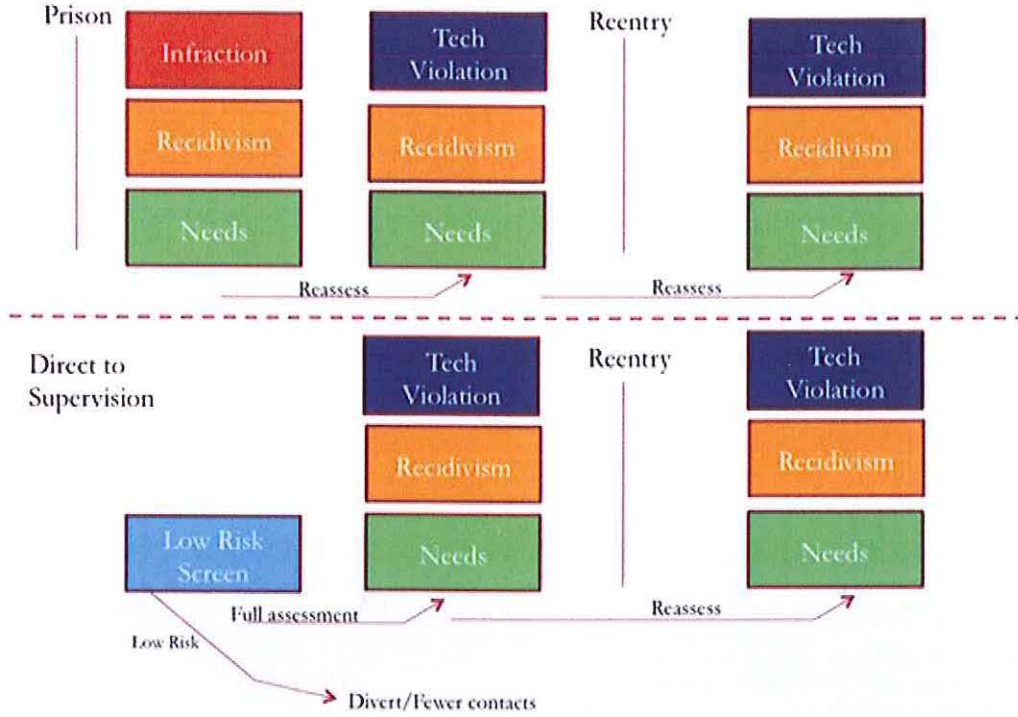
NEEDS ASSESSMENT:

The STRONG-R Needs Assessment uses the same item pool to determine the primary targets for treatment that, if treated, should have the greatest reduction in likelihood of re-offense. Also included in the Needs Assessment are measures of responsivity and stability factors that, if addressed, make an offender more likely to respond to treatment. The Needs Assessment scores in the following areas:

- Education/Employment
- Residential
- Substance Abuse
- Aggression
- Friends
- Partner/Family/Children
- Mental Health
- Attitudes and Behaviors

These models are produced using a general pool of items that are updated/reassessed as the offender moves through the system. For users, at each stage, multiple scores or categories of risk/needs are provided. These additional scores allow the user to design case plans that account for greater details of recidivism and more specification with regard to event type (crimes of violence, property offenses, drug offenses, or general felonies). As specified the NDCS system would start with prison intake, where models provide predictions for recidivism, needs, and infraction behavior. These models would provide users with the offenders' greatest need areas/domains as well as their most probable type of recidivism or likelihood of committing a serious or violent infraction. At reentry, recidivism and needs outcomes are again provided as well as estimates for technical violations. Providing risk and needs scores at this stage may assess in parole decisions or provide an indication of risk for those released without community supervision. In the community, estimates of recidivism, needs, and technical violations are re-assessed, updating risk and needs assessments at the supervision stage will assist officers in the management of offenders under parole supervision. In addition, screening tools have been created to assist in removing or diverting lower risk cases/offenders from criminal justice caseloads. Figure 4 below provides an illustration of two potential uses of the STRONG-R Assessment suite.

Figure 4: Two Potential Uses of the STRONG-R Assessment Suite



The screenshot below shows the basic screen layout for the STRONG-R offender home page. The static header with the offender's name, DOC number, location, status, risk level category, and assigned CO remain at the top of the screen. The center of the screen is dynamic and shows all of the assessments for that offender, providing access to multiple assessments over time. These can include assessments administered at intake, prior to parole board hearings, while under parole supervision, and prior to discharge for those released without community supervision.



Offender: OFFENDER, John A

DOC#: 973704

Offender Location: Larch Corrections Center

Change

Overall Status: Inmate

RLC: Moderate

Assigned CC/CCO: Lastname, Firstname

Online - Offender

Offender (Home Page)	Status	Assessment	Updated By	Date	
STRONG-R	In-work	• STRONG-R	Userfirst Userlast	6/28/13	Delete
Reports	In-effect	• STRONG-R	Userfirst Userlast	6/28/13	
OSP Archives	Archived	• OSA	Userfirst Userlast	6/28/13	
CCR	Archived	• SRA 2.0	Userfirst Userlast	6/28/13	
	Archived	• SLR	Userfirst Userlast	6/28/13	
	Archived	• SRA 1.0	Userfirst Userlast	6/28/13	

Assessments.com

© 2001 - 2013 Assessments.com. All rights reserved.

STRONG- R Assessment

When the STRONG-R link on the sidebar is activated, the user begins to enter assessment data from the offender's interview and static records. A status bar alerts the user to the amount of progress completed for each domain and a Progress graph shows progress toward completion of the total assessment. If a user leaves the session without completing the assessment, it is saved as "In-work" and, when the user returns, he is taken to where he left off with assessment entry.

STRONG-R
Userfirst Userlast
http

Offender: OFFENDER, John A DOC#: 973704 Offender Location: Larch Corrections Center [Change](#)

Overall Status: Inmate RLC: Moderate Assigned CC/CO: Lastname, Firstname [Outbase - Offender](#)

Offender Home Page
STRONG-R
Reports
OSP Archives
CCR

14% In-Work
[Open/Close/Collect](#)

Progress
14

Connectional Events

21 Time since last Conviction

- No prior conviction
- More than 3 years
- More than 18 mos to 3 years
- More than 6 mos to 18 mos
- 0 mos to 6 mos

22 Security Threat Group

- No
- Yes

23 Annual Prison Visitations

- Not returning from prison
- Just entered prison (if offender has been in prison less than 6 months)
- Ten or more
- Five to nine
- One to Four
- None
- Six or more
- One to Five
- None

24 Number of prison infractions during current incarceration

- None
- One to Two
- Three to Six
- Seven or more

Assessments.com © 2011-2014 Assessments.com. All rights reserved.

The screenshot below illustrates completion status indicators for different domains of an in-progress ("in-work") assessment. The user can complete the different modules in any order and in multiple sessions, if desired.

The screenshot displays the STRONG-R assessment interface for an offender named John A. OFFENDER. The interface includes a header with the offender's name, DOC#: 973704, and Offender Location: Larch Corrections Center. Below the header, the overall status is 'Inmate' and the RLC is 'Moderate'. The assigned CC/CCO is 'Lastname, Firstname'. The main content area shows the 'Demographics' section with a progress indicator and a list of assessment domains with their completion status.

Demographics

1. Age at time of current assessment

- 60 or older
- Under 18
- 20 to 39
- 50 to 59
- 20 to 29
- 40 to 49
- 18 to 19

2. Age at first conviction

- 24 or older
- 18 to 23
- 15 to 18
- Less than 15

Juvenile Record

Total Adult Felony Record

Total Adult Misdemeanor Record

Alcohol Offenses

Correctional Events

Residential

Education/Vocational

Assessments.com © 2015 Assessments.com. All rights reserved.

Once an assessment has been completed, a user can review all information entered for an offender, by item, including written notes by clicking on the assessment from the offender's main screen and then selecting the area or domain to be reviewed.

The screenshot displays the STRONG-R assessment interface for an offender. At the top right is the Department of Corrections logo. The main header area includes the following information:

- Offender:** OFFENDER, John A
- DOC#:** 973704
- Offender Location:** Larch Corrections Center
- Overall Status:** Inmate
- RIC:** Moderate
- Assigned CC/CCO:** Lastname, Firstname

Below the header is a navigation menu with the following items:

- Offender Home Page
- STRONG-R
- Reports
- OSP Archives
- CCR

The main content area is a list of assessment domains, each with a small icon to its right:

- Demographics
- Juvenile Record
- Total Adult Felony Record
- Total Adult Misdemeanor Record
- Alcohol Offenses
- Correctional Events
- Residential
- Education/Vocational
- Employment
- Social Influences
- Substance Abuse
- Mental Health
- Aggression
- Attitudes/Behaviors

At the bottom left of the interface is the text "Assessments.com" and at the bottom center is the copyright notice "© 2011 - 2013 Assessments.com. All rights reserved."

STRONG - R Reports

When the user clicks on the "Reports" button, a summary view of available reports appears, allowing the user to select the desired report.

The screenshot displays the STRONG-R Reports interface. At the top right is the Department of Corrections logo. The main header area includes the following information:

- Offender:** OFFENDER, John A DOC#: 973704
- Offender Location:** Larch Corrections Center [Change](#)
- Overall Status:** Inmate
- RLC:** Moderate
- Assigned CC/CCO:** Lastname, Firstname [OnBase - Offender](#)

On the left side, there is a navigation menu with the following options:

- Offender Home Page
- STRONG R**
- Reports**
- OSP Archives
- CCR

Below the navigation menu is a "Filter by:" section with dropdown menus for:

- Status
- Assessment
- Updated By
- Date

At the bottom left of the filter section is a button labeled "Print Blank STRONG R".

The main content area is a table with the following data:






Status	Assessment	Updated By	Date					
In work	STRONG R	Moon, J	7/15/15	In Work				
In Effect	STRONG R	Smith, J	7/1/15	Needs Report	Report Version			CCR
Archived	QNA	Smith, J	6/1/15	Offender Needs Report	Report Version	Needs Scores	Protective Scores	
Archived	SAR J.O	Smith, J	7/1/15		Report Version			CCR
Archived	QNA	Smith, J	7/1/15	Offender Needs Report	Report Version	Needs Scores	Protective Scores	
Archived	QNA	Haus, K	6/1/11	Offender Needs Report	Report Version	Needs Scores	Protective Scores	

At the bottom of the page, there is a footer with the text "Assessments.com" on the left and "© 2001 - 2015 Assessments.com. All rights reserved." on the right.

The Offender Needs Report (ONR) shows risk levels in each of the domains as well as the offender's overall risk level classification (see below).

Needs Reports









Offender: OFFENDER, John A DOC Number: 973704 Offender Location: Larch Corrections Center
 Overall Status: Inmate RLC: Moderate Assigned CC/CCO: Lastname, Firstname

Scores from STRONG-R Assessment completed by Firstname Lastname on 05/12/2015			
Risk Level Classification: Moderate			
Domain	Low	Moderate	High
SOCIAL INFLUENCES			
EDUCATIONAL/VOCATIONAL			
EMPLOYMENT			
SUBSTANCE ABUSE			
AGGRESSION			
ATTITUDES/BEHAVIORS			
MENTAL HEALTH			
RESIDENTIAL			

The Offender Needs Comparison Report compares results compares results for two or more assessments over time.

View Report for: STRONG-R ~ Test, Johnny : 2/9/2015 ▼
 Select Report Type: Report Version ▼ GO!

For printer friendly version [click here.](#)

Domain	Date	% of Max	Score
EMPLOYMENT	3/5/2013	 36.36%	4
RESIDENTIAL	9/18/2014	 36.36%	4
MENTAL HEALTH	3/5/2013	 45.45%	10
ATTITUDES/BEHAVIORS	9/18/2014	 45.45%	10
AGGRESSION	3/5/2013	 50.00%	4
SUBSTANCE ABUSE	9/18/2014	 50.00%	4
EDUCATIONAL/VOCATIONAL	3/5/2013	 30.00%	3
SOCIAL INFLUENCES	9/18/2014	 30.00%	3

The STRONG-R Overview Reports summarizes need and protective classifications in each domain.

View Report for: STRONG-R ~ Test, Johnny : 2/9/2015

Select Report Type: Overview Report **GO!**

For printer friendly version [click here](#).

Subject: Test, Johnny

Completed by: Admin, Account

DOB: 1/1/1987

Completed: 2/9/2013

Risk Level Classification: Moderate

Risk Level Classification From STR Completed on 03/04/2013

Need			Domain	Protective		
Low	Moderate	High		Low	Moderate	High
██████████			SOCIAL INFLUENCES			
██████████			EDUCATIONAL/VOCATIONAL	██████████	██████████	██████████
██████████			EMPLOYMENT	██████████		
██████████			SUBSTANCE ABUSE	██████████		
██████████			AGGRESSION	██████████		
██████████			ATTITUDES/BEHAVIORS	██████████		
██████████			MENTAL HEALTH	██████████	██████████	
██████████			RESIDENTIAL	██████████	██████████	

Case Planning with the Offender Change Plan

The STRONG-R Offender Change Plan is an advanced, fourth generation case planning system—a validated risk/needs assessment linked to an assessment driven, automated case plan leading to behavioral objectives and “point and click” treatment interventions.

Upon completion of a STRONG-R, the Offender Change Plan uses STRONG-R results to display a narrative and graphical representation of prioritized criminogenic needs as a starting point, and then guides officers and case managers through a user-friendly sequence of screens that formulate customizable goals/objectives and actions/interventions, forming the core of evidence-based supervision planning. This software module is highly configurable in order to allow each jurisdiction to add/delete/modify the standard domains, goals, interventions, programs, and reports.

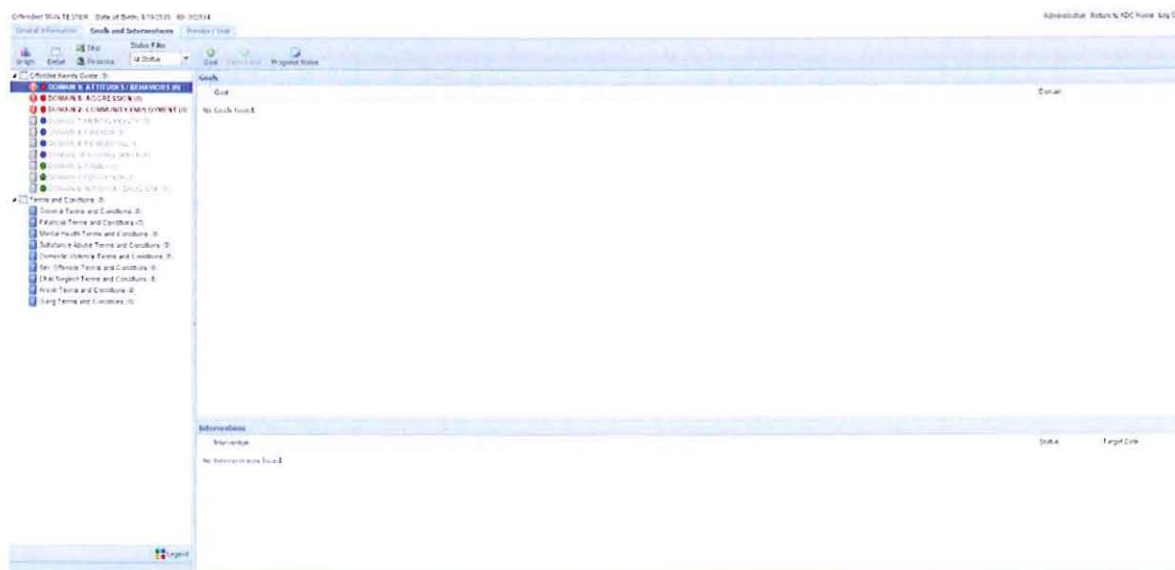
Below is a list highlighting some of the unique features of the Offender Change Plan.

- Goals are linked to assessment responses (not just domains), and targeted interventions are linked to case plan goals. This activity aligns with the EBP principle of targeting criminogenic needs.
- Works with any validated assessment, and can combine assessment results from multiple assessments to create multi-model case plans that work throughout the continuum of care and services.

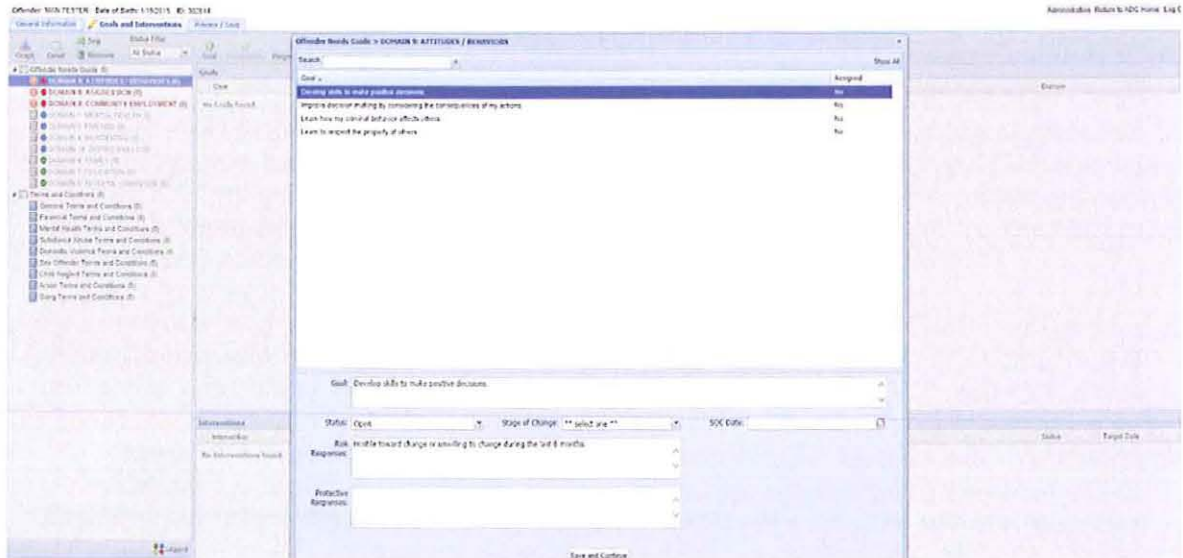
- Can be programmed to automatically determine eligibility for specific cognitive-behavioral treatment or other programs.
- All assessment domains are listed with icons to prioritize their risk ranking; color-coding makes the user aware of the highest areas of Criminogenic need.
- The Offender Change Plan includes an automatic determination of eligibility for certain EBP programs and subsequent automatic creation of Goals and Interventions.
 - Also supported is the manual assignment of groups of offenders, determined eligible for EBP programs, by a supervisor instead of by each Probation Officer.
- Drop down menus in the Goal screen allows user to choose the offender's current "Stage of Change" related to the particular goal.
- Software includes a baseline, pre-populated set of current research-based Goals and Interventions to minimize or eliminate the need for local customizations, which can be managed by a designated NCDS system administrator.

The following series of screenshots is a sample case plan that has been configured for a particular jurisdiction, using the assessment selected by that jurisdiction. Please note that the sample provided here is just a sample to illustrate the one version that incorporates many of the available features.

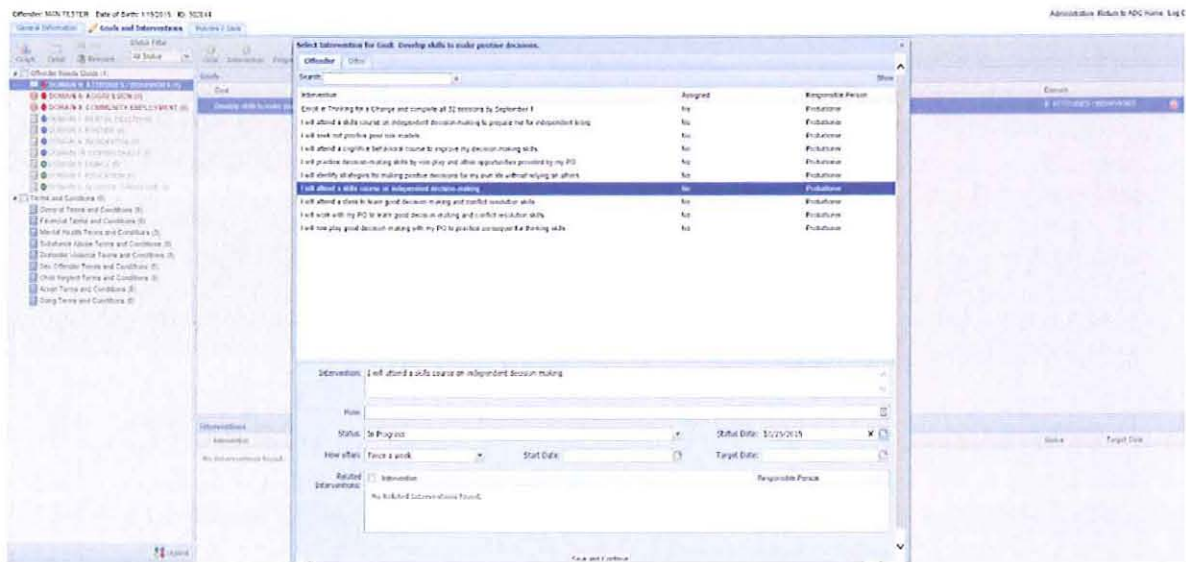
The screenshot below provides a view of the display of the prioritized criminogenic needs that are imported into the Offender Change Plan.



The screenshot below provides an illustration of the various customized goals and goal features that can be configured for a jurisdiction.



The screen below provides a view of the customized interventions and some of the intervention features that can be configured for a jurisdiction.



REVALIDATION

The STRONG-R is designed to be modified to incorporate weighted items and cut offs. These weights and cut-offs can be modified to suit any population, including females and juveniles. This is completed by cross-walking available NDOC data (i.e., criminal history, correctional events and/or risk needs items). We will then complete a multi-stage validation. First, a matched sample will be drawn, using propensity score modeling (PSM) techniques. This sample will match offenders currently sampled from the Washington STRONG-R sample (N~50,000). Once created, this matched subset will be used to make adjustments to the item weight and risk category (i.e., low, moderate, high), recalibrating the STRONG-R models and cut-offs to the Nebraska population characteristics and demographics. These processes will allow for a Nebraska-specific version of the tool. This method of taking an "off the shelf" tool and calibrating its' scoring for the local population is our novel way of "re-making" the STRONG-R specifically for the Nebraska population. This method will increase the accuracy and validity of the instrument for predicting recidivism for Nebraska offenders, and is not offered by any other adult offender assessment. These re-calibration efforts will be conducted within the first four months of the contract's initiation, and will require NDCS to provide available data as early as possible within the contract timeframe. If requisite assessment and outcome data are available, project analysts will assess the predictive validity of any and all of the STRONG-R models selected. Once all models are developed, the validity of the matched sample will be assessed using Receiver Operator Characteristics (ROC) analysis. This "retrospective" evaluation will provide an understanding of the instrument's validity prior to implementation and will serve to provide confidence and initial estimates of the tool's likely performance in Nebraska.

Once the STRONG-R has been implemented, a second, "prospective" longitudinal study will be completed to assess the tool's validity and construct validity. An initial review of the Nebraska offender population will determine the number of subjects that will be required for this second study. It is estimated that this number may be able to be reached within the first year of full-scale implementation, after which all newly assessed offender data will be gathered on the STRONG-R assessment and will form the validation sample. All offenders will be tracked for a minimum of 18 months (and may be extended to 24 if preferred) on identified recidivism outcomes. Given the 12 months needed for sample development and the 18 months needed for follow-up, the full period of data collection will require a 30 months. An additional six months will then be needed to assemble, clean the data set, and perform the scheduled analyses.

To provide a detailed validation of the tool, four outcomes will be collected, including: any felony, violent felony, property felony, and drug felony reconviction. Additional outcomes may also be collected if desired. Each outcome measure will be dichotomous (was vs. was not rearrested/reconvicted). Continuous risk scores generated from the described scoring models will be gathered for each offender. The offender scores and their outcome(s) will be entered into a ROC, the outcome of which is the Area Under the Curve (AUC) statistic. This statistic ranges from 0.5 to 1.0. Statistical tests will be completed to ensure that the AUC(s) for each model significantly exceeds the AUC value of 0.5, which is the accepted method of indicating the "predictive validity" of the tool (Barnoski, 2004). Furthermore, the strength of the prediction will be assessed using criteria outlined by Rice and Harris (2005).

TRAINING (INCLUDES RFP, SECTION IV, B: PROJECT ENVIRONMENT)

Implementations of this nature are ultimately gauged by their sustainability. A critical component is the establishment of a well-planned training program and long-term quality assurance framework that ensures productivity and accurate results, while helping users, clients, and stakeholders receive the most benefits from the system. ADC will train NDCS staff in all necessary curricula and help NDCS establish a cadre of in-house EBP/STRONG-R experts.

It should be noted that this is an expertise in which ADC has extensive experience. We continue to train hundreds of line staff each year around the country, and as a result, we are continually updating our training curricula to include new research and improved exercises and lesson plans to become more effective at increasing staff competencies in the subject matters listed below.

ADC regularly provides training in the following areas:

- EBP/"What Works" theory and research
- PACT Assessment and Case Plan System
- Software Training
- Motivational Interviewing
- Effective Case Planning and Management
- Individual Coaching and Videotape Critiquing
- Thinking for a Change (T4C)
- Train-the-Trainers/Liaisons
- EBP for Line Level Supervisors
- Sustainability Measures
- Business Practices Analysis

ADC provides training using a variety of curricula, formats and schedules, depending on the topic) and staff category (i.e., Supervisors, Line Staff, Chief Parole Officers, etc.). The following is ADC's proposal for training services for NCDS. The chart on the following page (Figure 4) illustrates a summary of ADC's proposed training and how that training can help satisfy NDCS's training requirements with legislated deadlines. It is followed by a more detailed description of training events.

Figure 5: Training Chart

The Intersection Between NDCS-Required Training And ADC-Provided Training	Training required for all parole officers by the legislative deadline of July 1, 2016*							Additional ADC Training Topics					
	Use of a risk and needs assessment	Risk-based supervision strategies	Relationship skills	Cognitive behavioral interventions	Community-based resources	Criminal risk factors	Targeting criminal risk factors to reduce recidivism	Proper use of a matrix of admin. sanctions, custodial sanctions, and rewards (section 83-1, 119)	Trainer-the-Trainer training for Chief Parole Officers	Case management	Coaching, Mentoring, Role-modeling	Enhanced Communications Techniques	Advanced EBP and STRONG-R skills
ADC Provided Training (see below for detailed descriptions)													
Basic Staff Training (Initial; 2 days)**													
Basic Staff Training (Booster & Case Plan; 2 days)													
Refresher training (1 day in each of years 2 and 3)													
Train the Trainers (5 days)													
Online help and support													

* By July 1, 2016 for existing parole officers and within the first year of employment for new hires.

** Initial Basic Staff Training for Parole Officers will take place in May 2016.

Basic staff training. This training for all NDCS users (approximately 215; 65 parole officers and 150 relevant NDCS facility staff) consists of three phases as described below.

The first phase is the **initial two-day training** of the staff which covers the use of the risk and needs assessment, risk-based supervision strategies, relationship skills, cognitive behavioral interventions, community-based resources, criminal risk factors, targeting criminal risk factors to reduce recidivism, and proper use of a matrix of administrative sanctions, custodial sanctions, and rewards.

The second phase is a **two-day booster STRONG-R and case planning course** that takes place 60 – 120 days after the initial training. The first day of this training is designed to increase quality assurance measures, and addresses key elements of the first training using a “lessons learned” format from the staff and participants. The focus is to increase the users’ learning and confidence in the effective administration of the assessment and to test and ensure high inter-rater reliability. The second day focuses on case management and the use of the Offender Change Plan.

The third phase consists of **one- day refresher training** in each of years two and three.

All three phases of basic staff training will be provided on-site at some combination of the locations listed on RFP p. 37. The exact locations for each training session will be selected in consultation with NDCS. (Project Environment)

Train-the-Trainer. This will be a **five-day course** offered during the first quarter of the second year (no later than April 1, 2017), to include all Chief Parole Officers. This training will ensure that NDCS has the in-house ability to train new staff in the future as they come on, and to provide continuing training for all staff thereby promoting sustainability of your investment. Chief Parole Officers would first attend all basic training and then, by completing these additional five days of training, become in-house “experts” in EBP and the STRONG-R. They will be taught skills relating to coaching, mentoring and role modeling, and enhanced communication techniques. This training is then followed by co-facilitation of a full two-day training where ADC trainers work directly with NDCS trainers to ensure they are adhering to the training model. ADC will also provide a series of training phone calls throughout the implementation period to answer trainer questions and assist with troubleshooting any training-related issues.

The Train-the-Trainer course will be offered on-site at one of the locations listed on RFP pg. 37, to be selected by NDCS.

Online Help and Help Desk Support. ADC is dedicated to customer service. Our goal is to ensure that NDCS staff can use the assessment tools effectively, so they can implement proactive interventions, which enhance public safety and institutional security. To this end, in addition to the on-site training described above, ADC also provides support and real-time ongoing training through our online help system and help desk support.

The help system built into ADC's online system is a valuable tool for ongoing user support. Our online help library covers an expansive array of topics encountered by users as they enter data, interpret results, use those results for case planning, and develop and print reports. It provides users with the real-time support they need exactly when they need it. Help prompts (like the yellow question mark in the screenshot below) appear on the page and users can mouse over the icon to display the help. Alternately, users can click on the link on the upper left portion of the page to search the help library.

STRONG-R
Userfirst Userlast

Offender: OFFENDER, John A DOC #: 973704 Offender Location: Larch Corrections Center Change

Overall Status: Inmate RIC: Moderate Assigned CC/CCO: Lastname, Firstname On/Off - Offender

Residential

10. Residence during the most recent 6 months in the community

- Rent/own residence as primary occupant most recent 6 months in the community
- Family residence most recent 6 months in the community
- Group home/Transitional housing most recent 6 months in the community
- Housing Voucher most recent 6 months in the community
- Friend's residence most recent 6 months in the community
- Residential treatment most recent 6 months in the community
- Homeless - being on the street or in shelter
- Transient - from residence to residence most recent 6 months in the community

Select the response that indicates the housing situation that applies to the offender for the majority of the 6-month review period, if more than one answer applies.

11. Occupants of current residence at time of assessment or reassessment or immediately prior to incarceration

-Select all that apply

- No current residence
- Living alone
- Living with spouse
- Living with other relatives
- Living with minor children
- Living with adult children
- Living with friends with positive influence
- Living with friends with anti-social influence
- Other

12. Residence at the time of the most recent offense

- Rent/own residence at time of most recent offense
- Family residence at time of most recent offense
- Group home/Transitional Housing at time of most recent offense
- Housing voucher at time of most recent offense
- Friend's residence at time of most recent offense
- Residential treatment at time of most recent offense

Assessments.com © 2015 Assessments.com. All rights reserved.

Our help desk provides yet another source of powerful user support. Help Desk Support is available through phone contact, a Support Portal, and Email.

Phone: 877-277-3778

Portal: support.assessments.com

Email: c.support@assessments.com

The most preferred method of submitting for support is the Support Portal, which allows for the highest level of issue tracking in order to best present accurate monthly reports. Support is conducted through initial ticket submission, follow up communication and clarification, and live screen sharing debug sessions.

ON-SITE DEMONSTRATION

ADC will happily comply with the requirement for an on-site demonstration of the AEA and STRONG-R. The demonstration will include, at a minimum: overviews of the software program used to track results, the various methods by which results can be extracted and/or otherwise retrieved from the data system, the feasibility of integrating any proprietary software program into the Nebraska Inmate Case Management System (NICaMS), an estimate of the amount of time required to conduct each thorough assessment, how the various items and domains are scored, how to calculate final scores, how the information gleaned from the risk assessment instruments are best used to inform case management practices, and whether any override factors may exist and how to use them.

Access to a test environment for staff to practice using the instrument will be provided. ADC will, of course, answer any questions that arise during the demonstration about the software tools, the assessment, or ADC's proposed implementation plan.

ESTABLISHED ELECTRONIC METHODS FOR DATA ENTRY, STORAGE, RETRIEVAL, AND AUTOMATED INSTRUMENT SCORING/GOAL OF INTEGRATING THE TOOL AND SCORES INTO THE NEBRASKA INMATE CASE MANAGEMENT SYSTEM (NICAMS)

ADC's AEA has a long history of success in many jurisdictions as an effective electronic tool for data entry, storage, retrieval and automated instrument scoring. This can be documented through the *Summary of Bidder's Corporate Experience*, above, and the information provided in *Appendix C: ADC Implementations by State*. The AEA was developed to improve the entire assessment and supervision process - data entry through reporting - through the creation of an electronic tool.

The application is described in detail above, and the following is provided by way of technical specification (more detail is available on request):

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

The AEA utilizes a standard N-tier architecture by isolating certain aspects of the system into discrete logical strata, which consist of the Client User Interface Tier (or "application layer"), the Business Logic Tier (or "API layer"), and the Database Tier.

The application layer consists of an ASP.NET web page application, using Responsive Design and AngularJS for user interaction and templating.

The API layer consists of ASP.NET WebAPI running on the .NET Framework 4.5 for REST-based web services communicating with JSON data.

The database layer consists of MS SQL 2014.

Integration with NICaMS

Integration with the Nebraska Inmate Case Management System (NICaMS) is not only feasible but highly recommended, for the sake of data reliability (error reduction) and convenience for the end-user. ADC has integrated the AEA and assessments tools with many Departments' Management Information Systems (MIS) or systems of record (SOR). ADC has at the ready, and makes available to agency IT personnel, one or more Integration APIs (Application Program Interfaces).

ADC's preferred method of data exchange is through the utilization of RESTful APIs, using JSON data format. However, depending on a jurisdiction's needs/desires, ADC has utilized many, many methods, but more recent implementations have typically relied on web services (with either XML or JSON data), which offer lightweight, secure data transfer that result in fast data transfer. In each case, the specific method is mutually agreed upon between ADC engineering personnel and agency IT personnel, and implemented in the most successful and sustainable way possible, keeping the end-user experience as a priority.

Currently, ADC offers multiple web APIs for various levels of data transfer, with the two most relevant types likely to be:

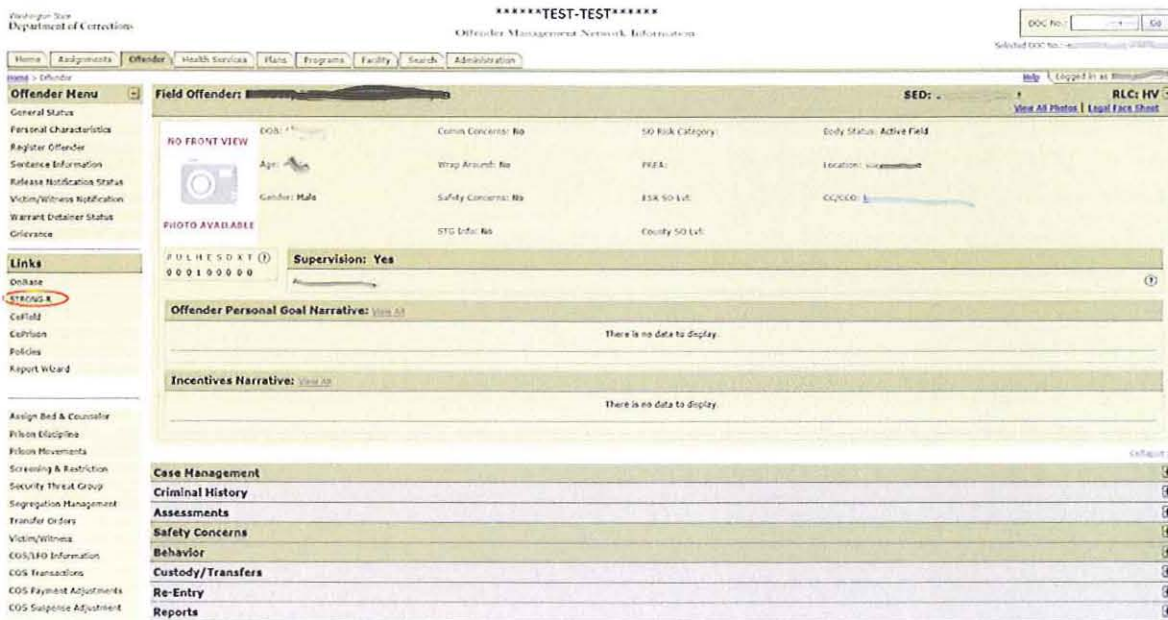
1. User/Subject Integration. Integrate and authenticate Users and Subjects within the Assessments/com Enterprise Application (AEA). This is often referred to as allowing "single sign on" between the SOR and AEA.
2. Criminal History Integration. Depending on the tool(s) selected by the Department, one especially productive area for integration relates to offenders' "record of referrals." Because prior criminal history has been proven by research to be an extremely reliable predictor of future criminal behavior, virtually all validated risk/needs assessments include information relating to record of referrals. This information, however, has also proven to be the most complicated, time-consuming and difficult to complete because of the many different ways offenses are described, defined and recorded. Mapping this criminal history information with the Department's own internal System of Record (SOR) allows assessment questions that rely on criminal history data to be filled

out automatically by the system, saving valuable time for those doing the assessment. This automated process also greatly increases inter-rater reliability.

Other methods that are available include the return of various levels of assessment data to the local SOR. Typically, if agencies are interested returning data to their system of record, they include, at a minimum, the risk levels for each offender assessment completed. ADC has API's available that return data for each offender assessment, which can include (and has been as detailed as) need domain levels, raw risk and need scores, and even responses or subsets of responses. The level of detail required should be determined by the agency, and ADC is available to advise or provide support as needed/desired.

The standard APIs have been configured on the client-jurisdiction side in as little as a week, but a time or resource estimate should be considered in conjunction with the level of data transfer desired, and the processes required by the agency IT department.

The screenshots below show just a few examples of a user's view of how ADC software and assessments have been seamlessly integrated into the information systems of various jurisdictions.



Department of Juvenile Justice

Active Youth:

Active Program:

Select a CaseLoad

Select a Program

Not Released from the Program

Registration Process Incomplete

Youth Listing:

Refresh Youth Search

Add New Referral **Modules** Reports LogOut

- Juvenile Registration
- Special Alerts & Alias
- School
- Family Member
- Youth Notes
- Referral >
- Manage Caseload
- Merge Youth
- Staff Maintenance
- Agency Maintenance
- Unit Maintenance
- PACT**

SEAMLESS INTEGRATION LINK TO ASSESSMENTS.COM

Seamless Integration Link to Assessments.com

146.63.49.208 - Terminal Services Client (JOMIS 200)
 SoftTec JCS -- Juvenile Tracking (v2.0.516)

Seamless Integration Link to Assessments.com

SoftTec JCS -- Juvenile Search

Juvenile Information	Family	Intake Information
ID	Last	Case Number
SSN	First	Police Rpt Num
Last JOMIS	Middle	Referred Filed By
First	SSN	Referral Date 11/13
Middle	Maiden	Interested Party Last
DOB 11/13		Interested Party First
Prober ID		
Receipt #		
Check #		

Use Exact Match on Name Spelling
 Use SOUNDEX for Name Fields
 Include Aliases in Search
 Include Archives in Search
 Include Sealed Records in Search

ID	Name: Last	First	Middle	Birth Date	Gender	Race
00042595	JOMIS	SUPER	DUPER	09/05/1985	Male	Multirace
	WHAT	ME	WORRY	AKA		
	DOC	WHAT'S UP		AKA		
	JOMIS	YOUNGER		Nephew		
	JOMIS	SMILING JACK		Brother - In La		
	JOMIS	PRINCIPAL		Principal		
	BREADWAY	WAYNE		Teacher		
	JOMIS	OLDER		Father - Legal		
	JOMIS	ANODDER		Mother - Biolog		

Juvenile's Legal Name
 Juvenile's Alias
 Family/Contact Name

Start | W2KTERMS - Terminal Ser... | SoftTec JCS -- Administra... | Soft Tec JCS -- Juvenil... | 2:47 PM

Assessments.com

Nebraska Department of Correctional Services
 Response to RFP 82500-03

OTHER PROJECT REQUIREMENTS (RFP SECTION IV, C: PROJECT REQUIREMENTS)

A. CONTRACTORS SHALL STATE WHETHER THEIR INSTRUMENT IS AVAILABLE IN THE PUBLIC DOMAIN OR WHETHER THERE ARE NON-TRAINING COSTS ASSOCIATED WITH THE TOOL. IF SUCH COSTS ARE ASSOCIATED, PROSPECTIVE BIDDERS SHALL INCLUDE THE AMOUNT OF THESE COSTS IN THEIR BID PROPOSAL.

The STRONG-R is a proprietary assessment, validated on a population in the United States (State of Washington), available exclusively from Assessments.com, and is not available in the public domain. The non-training costs that are included are subscription fees required to use the web-based system, and are inclusive of all software application updates and releases throughout the contract period.

B. IF THE VENDOR'S ELECTRONIC METHOD OF DATA COLLECTION WILL BE THROUGH A PROGRAM OR ON A PLATFORM OUTSIDE OF THE NEBRASKA INMATE CASE MANAGEMENT SYSTEM (NICAMS), THE CONTRACTOR SHALL STATE THE AVAILABLE OPTIONS FOR DATA STORAGE (E.G., PHYSICAL SERVERS HOUSED ON-SITE, CLOUD-BASED DATA STORAGE, ET AL.) THE PLATFORM BASE. PREFERENCE WILL BE GIV CONTRACTORS SHALL PROVIDE A THOROUGH DESCRIPTION OF THEIR CURRENT ELECTRONIC PLATFORM; THE FEASIBILITY OF INTEGRATION WITH NICAMS (E.G., THROUGH PASSING DATA FROM THE THIRD-PARTY PLATFORM INTO NICAMS, BY CONSTRUCTING THE SCORING ALGORITHMS INTO A DEDICATED SCREEN IN NICAMS, ET AL.); AND AN ESTIMATE OF THE TIME AND COSTS ASSOCIATED WITH THE TECHNICAL, PHYSICAL, AND MANUAL RESOURCES NEEDED FOR THIS INTEGRATION TO OCCUR. EN TO CONTRACTORS WITH PLATFORMS BASED ON SQL SERVER 2012, THOUGH THEY MUST ENSURE THAT ANY CHANGES MADE TO THE PROGRAM WILL BE FORWARD COMPATIBLE WITH FUTURE VERSIONS OF SQL SERVER. IF A CLOUD-BASED DATA STORAGE METHOD IS USED, THE CONTRACTOR SHALL PROVIDE DOCUMENTATION TO ENSURE THAT ITS STORAGE METHOD COMPLIES WITH HIPAA AND OTHER RELEVANT CONFIDENTIALITY REQUIREMENTS.

A thorough description of the software platform is described above in the section regarding "Established electronic methods for data entry..." on page 51. Integration feasibility and methodology is described in section above under the heading "Integration with NICaMS" on page 56.

ADC understands how critical the security and integrity of personal, business, and client information is to the Department, so we go to great lengths to keep this data safe and private. Security components of the software and services provided through this project comply fully with the Nebraska Information Technology Commission (NITC) and Nebraska Office of the Chief Information Officer (OCIO) Standards and Guidelines outlined in the RFP document. A summary of the security elements instituted by ADC follows.

- **Administrative Safeguards.** Employees are trained on secure and appropriate handling of confidential data. Policies are in place that prohibit the disclosure of confidential data, as well as user credentials, via insecure channels. All employees must access confidential data via credentialed access. Under no circumstances will ADC make your account information or specific assessment data available to any third party without your prior approval.

- **Technical Safeguards.** Assessments.com servers are protected by a state-of-the-art firewall to foil hacker intrusions. Only authorized traffic and requests from legitimate sources are allowed through our dedicated hardware firewalls to ensure the safety of both users' data and our server equipment. All production servers continuously run current antivirus and antimalware software.
- **Physical Safeguards.** All servers are physically secured in a remote location, and only required personnel are provided access.
- **Security Incident Procedures.** Assessments.com has a security incident policy in place with pre-defined procedures for likely security incidents. A predefined response team exists and is trained for response to these incidents. This policy requires a debrief on any security incident to ensure that appropriate responses were taken and to determine if any future changes to policy are required, and notification to any client-agency if there was any sort of data breach.
- **Data Backup Plan.** All development, production, and operational data is backed up at a minimum of nightly intervals, based on classification. Production database data, which is in constant flux, undergoes a transactional backup every 15 minutes. Backups are stored both locally, for quick restoration, and at an offsite data center for disaster recovery purposes.
- **Cryptographic Measure.** Browser-level encryption protects all of your confidential data and information - before it travels over the web. 128-bit Secure Sockets Layer (SSL) encryption is employed by Assessments.com and most financial institutions, medical data centers, and government agencies to ensure that data is secure from interception during transmission. To authorize and certify access, we use VeriSign, an advanced security solution designed to provide secure communications and transactions over the Internet and private networks. Password protected information is only available to you or authorized users within your organization. Assessments.com is committed to working with the agency data steward to identify and satisfy any other requirements for the safeguarding of confidential data at rest and in transit.

C. THE PROPOSED PRICE OFFERED BY THE BIDDER SHALL BE INCLUSIVE OF ALL COSTS TO BE INCURRED DURING THE THREE (3) YEAR CONTRACT PERIOD. ANY UPGRADES OR UPDATES TO THE TOOLS, TRAINING, OR ANY OTHER ENHANCEMENTS RELATING TO THE PROJECT DELIVERABLES THAT OCCUR DURING THIS CONTRACT PERIOD SHALL BE PROVIDED TO NDCS AT NO ADDITIONAL COST. IN ADDITION, THE PRICE UNDER THIS CONTRACT SHALL INCLUDE ALL TECHNICAL ASSISTANCE, SUPPORT, AND ALL OTHER CONTACTS MADE BY NDCS TO THE CONTRACTOR DURING THE CONTRACT PERIOD; THE CONTRACTOR WILL NOT BE ALLOWED TO CHARGE FOR THE PROVISION OF THESE SERVICES ON AN AD HOC BASIS.

As noted above, any updates to the software applications are included in standard subscription fees. With regard to the STRONG-R tool and training, those are included as they are developed (meaning, curriculum is updated on a regular basis, and if modifications are made to Nebraska's customized version of the STRONG-R, those modifications will be included). The pricing included in this Cost Proposal includes all technical assistance, support, and other contacts, as outlined in this proposal.

D. ALL PROPOSALS MUST INCORPORATE THE CURRENT PREDICTIVE VALIDITY RATING OF THEIR TOOLS AND INDICATE THE MOST RECENT YEAR IN WHICH THE TOOL WAS VALIDATED TO COMPUTE THIS VALIDITY RATING. NO INSTRUMENTS WITH AN AREA UNDER THE CURVE (AUC) RATING LESS THAN 0.66 WILL BE CONSIDERED.

Like many system-based assessment suites, the STRONG-R provides estimates of recidivism at each stage and screening tools can be built to improve efficiencies. Unlike other assessments, the STRONG-R provides domain-based assessment of needs, using only dynamic items, or those that can be impacted by interventions and services. This needs assessment provides an assessment of criminogenic needs, separately from risk, that is more efficient in directing case management efforts and intervention prioritization. Furthermore, at each stage, specified criminal justice outcomes, beyond recidivism, are provided, which include infractions, and technical violations. All outcomes, items, and weights can be tailored to meet the needs of NDC. Finally, each tool has been outlined to be gender-specific, creating separate estimates for males and females. The table below provides the AUC values of all STRONG-R scales created to date. As one can see, all AUC model values exceed 0.66².

² Zachary Hamilton, Ph.D, et al. *Designed to Fit: The development and validation of the STRONG-R recidivism risk assessment*. Accepted for publication in *Criminal Justice and Behavior*, February 2016. A technical report of these findings was presented to the Washington State Department of Corrections, 2014.

Figure 6: AUC Values of STRONG-R Models

Outcome	Male	Female
Recidivism		
Violent	0.74	0.74
Property	0.78	0.74
Drug	0.76	0.73
Any Felony	0.74	0.72
Low Risk Screener	0.70	0.68
Needs	0.67	0.68
Infractions		
Violent	0.79	0.75
Nonviolent Serious	0.67	0.68
Technical Violations		
Serious	0.72	0.72
Frequent low level (6+)	0.70	0.71

REVALIDATION OF THE SUITE OF INSTRUMENTS SHALL OCCUR EVERY THREE YEARS. NDCS IS OPEN TO PROSPECTIVE BIDDERS REVALIDATING THEIR OWN INSTRUMENTS, BUT WILL BE ALLOWED TO CONSIDER REVALIDATION THROUGH ALTERNATE SOURCES (E.G., INTERNAL NDCS RESEARCHERS, EXTERNAL RESEARCH ORGANIZATIONS, LOCAL UNIVERSITIES OR RESEARCH CENTERS, ET AL.). IN LIGHT OF THIS, RESEARCHERS SHALL PROVIDE COST ESTIMATES FOR THEIR SERVICES BOTH WITH AND WITHOUT THE 3-YEAR POST-IMPLEMENTATION REVALIDATION COMPONENT.

Revalidation at the 3-year mark is described above, in the section titled "Revalidation" on page 46.

ADC's cost proposal separates the cost for this re-validation effort and provides a total, overall cost with and without this element.

BUSINESS REQUIREMENTS (RFP, SECTION IV, D)

ADC will abide by all Administrative Regulations, Operational Memoranda, and other relevant NDCS policies and operational procedures.

PROPOSED DEVELOPMENT APPROACH (INCLUDES RESPONSE TO RFP SECTION IV, G AND H)

ADC takes a collaborative approach to project development and implementation. It should be explicitly stated that all customizations, modifications, and upgrades to the system will be managed in the way that is best-suited for the organization, and will be highly vetted and coordinated with NDCS.

The information contained herein is merely a sample or initial starting place, and the suggested methodology for implementation for NDCS. It is anticipated that once the contract is awarded, ADC personnel will work closely with NDCS personnel to refine the Project Plan and associated dates and elements.

In general, the project approach is comprised of three primary phases, including:

1. Implementation Planning & Design
2. Implementation Execution
3. Continuing Quality Control and Improvement

Please refer to the *Detailed Project Work Plan* section, below, for timelines associated with the activities within each of these phases.

IMPLEMENTATION PLANNING AND DESIGN PHASE

Once the contract is signed, ADC personnel will begin planning work with administration from NDCS to identify members of and create an Implementation Team that represents a "diagonal slice" of the organization and is representative of the various user types. On-site planning work will begin with the identified team being trained in the basics of risk/needs assessment and evidence-based case planning strategies, etc., followed by a two-day facilitated meeting with the team where functional workgroups are identified and tasks are outlined, including work around customization of the STRONG-R, and development business rules for use in the various locations (these Business Rules will inform software customization needs and any potential modifications to local policies or procedures).

After the initial on-site meeting, ADC will work with the various functional workgroups remotely to coach them through and monitor progress of the various tasks required for implementation. Specific training needs, schedules, plans, and curricula customization requirements will be determined during the planning phase as well, ensuring NDCS's specific needs are met in the best way possible. Once the requirements for any software configurations or report customizations are documented and agreed upon, ADC will begin the development of the specified customizations to NDCS's application.

This phase also includes the delivery of the initial version of the customized STRONG-R, which will include item/response verbiage that has been vetted by NDCS personnel as well as the adjusted item weights and NE-specific cut-points.

During the Planning and Design Phase, ADC engineers will begin development of the various software configurations, report customizations, and any additional features. During this phase, there will be regular updates

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-03

provided for NDCS administration, as defined by the agencies, to ensure that the project stays on track.

IMPLEMENTATION EXECUTION PHASE

Implementation will include two primary functions: training (for internal trainers and users) and software application testing (to verify all desired functionalities are available as specified). As a general rule, any required training should be closely aligned with implementation to reduce the "training to implementation gap," allowing users to begin using the software shortly after being trained. Our training plan and detailed project work plan.

Throughout this phase (and all phases), and in addition to the on-site training that is provided, ADC personnel will remain available for phone consultation and assistance as needed, for agency personnel (including administration, subject matter experts, I-Team members, and trainers).

Software testing begins with ADC engineering placing the full system into the test environment to allow multiple NDCS users to test the various functionality sets. It is of utmost importance that the identified testers test "early and often" to identify any issues that may require resolution or additional changes before pushing these enhancements to production. Depending on the needs/desires of NDCS, ADC can also implement various tools or customization sets in phases, in a way that is responsive to NDCS's priorities, but again, this will be determined during the planning phase.

Once software is tested and accepted, then it will be placed in a production environment that will not be available to users until a designated "go live," date which should be scheduled after all users have been fully trained in the initial PACT training.

RFP Section IV, G - Perform Implementation. In addition to scheduled monitoring calls during the first year of implementation, ADC will shall also provide quarterly quality assurance auditing and monitoring of the implementation of the instrument within NDCS and the Adult Parole Administration, which will be submitted by March 15, 2016, June 15, 2016 and September 15, 2016. A report will be issued (by January 15, 2017) to the Director of NDCS and the Adult Parole Administrator to describe the first year of implementation. All reports will be submitted both electronically and in hard copy.

CONTINUING QUALITY CONTROL AND IMPROVEMENT PHASE (RFP SECTION IV, H: PROVIDE POST IMPLEMENTATION SUPPORT)

The continuing quality control and improvement phase includes the system being used by users and any issues being reported through the support protocol

described below. Also, during this phase, ADC will provide NDCS with updates to their system as they are developed and applicable to NDCS's application.

As mentioned in the training section, above, our help desk is an excellent source of user support. Help Desk Support is available through phone contact, a Support Portal, and Email.

Phone: 877-277-3778
Portal: support.assessments.com
Email: c.support@assessments.com

The most preferred method of submitting for support is the Support Portal, which allows for the highest level of issue tracking in order to best present accurate monthly reports. Support is conducted through initial ticket submission, follow up communication and clarification, and live screen sharing debug sessions.

ADC is also including re-validation of the STRONG-R tool.

It should be noted that as part of continual subscription fees, ADC technical assistance personnel will remain available for phone consultation and assistance as needed, for agency personnel (including administration, subject matter experts, I-team members, and trainers).

Based on the findings of the first year monitoring report, ADC will work with NDCS to determine what, if any, actions need to be taken to redirect operations and ensure appropriate and consistent use of the tools among staff. Results of the second and third years of implementation will be reported to the Director of NDCS and the Adult Parole Administrator at the end of each contract year. The reports will be submitted both electronically and in hard copy.

**This page
intentionally
left blank**

TECHNICAL CONSIDERATIONS (RFP SECTION IV, F)

1. TECHNICAL REQUIREMENTS

All equipment used must comply with Nebraska Information Technology Commission (NITC) and Nebraska Office of the Chief Information Officer (OCIO) Standards and Guidelines. The Standards and Guidelines are available at <http://www.nitc.ne.gov/standards/>. Specific standards include:

- a. 2-201 – Technology Access Clause
- b. 8-101 – Information Security Standard
- c. 8-102 – Data Security Standard
- d. 8-301 – Password Standard
- e. 8-303 – Remote Access Standard
- f. 8-304 – Remote Administration of Internal Devices Standard

All NDCS Computing resources must comply with AR 104.06 – Computer and Telephone Equipment Usage.

ADC has reviewed the Nebraska Information Technology Commission (NITC) and Nebraska Office for the Chief Information Officer (OCIO) Standards and Guidelines outlined in the proposal, and the application will comply with the Standards and Guidelines as described above, largely in “Other Project Requirements, Section B” on page 56.

2. NETWORK REQUIREMENTS

- a. Contractor will provide the following information before installation begins:
 1. Network diagrams or schematics that show logical or physical connectivity of system
 2. Port requirements – speed and duplex
 3. Firewall rule sets and other special network requirements
 4. Other LAN and WAN requirements – bandwidth or protocols

All of this information will be provided prior to installation, as required.

3. CLIENT-SERVER REQUIREMENTS

- a. **The contractor must identify if software will be installed on existing State workstations or if the contractor will be supplying new workstations. The contractor will need to identify if their application is web-based or a separate Windows-based application.**

The Assessments.com software application is a web-based application (compatible with Evergreen browsers), allowing it to be used on existing State workstations via the internet. No software will be installed on State workstations.

- b. **As of this time, any new software installed on State workstations will need to be compatible with Windows 7 64 bit and Internet Explorer 10. If special client configurations or plugins are required, the contractor must specify. All software must also be forward compatible in case of any changes to NDCS standard operating programs.**

ADC software is compatible with Windows 7 64 bit and Internet Explorer 10. It is also forward compatible. No special client configurations or plugins are required. We recommend that users be at the recommended supported browser for the operating system at all times and install Internet Explorer recommended patches.

- c. **If new servers are required for the project, the physical location for those servers must be identified. If a server is serving multiple sites, it is recommended to place a Virtual Server at the State of Nebraska Data Center for Enterprise Services. If a server is placed at each site, it will need to be a rack mount server (as opposed to a desktop computer) and it will need a proper housing such as a rack in a communications room that has proper environmental controls, power, and cooling.**

While the proposed software can also be installed in the NDCS environment, Assessments.com is proposing a hosted, subscription-based solution (for ease of set-up, in consideration of NDCS IT resources and the legislatively-mandated timelines associated with this project). As such, the application will be hosted on an Assessments.com server located in our secure data center.

4. REMOTE ACCESS (VPN)

- a. **NDCS will provide the contractor with a maximum of three individual VPN accounts upon request. The VPN system for the State of Nebraska is provided by the Nebraska Office of the CIO (OCIO). OCIO bills NDCS for all contractor VPN access on a monthly basis.**

If this is needed, ADC is experienced with remote access to client services through VPN and will complete required tasks with a maximum of three VPN accounts. With the proposed hosted solution, these VPN accounts may not be required.

- d. **The contractor notifies the DCS project manager about the need for remote access. DCS will give the OCIO VPN form to the contractor and they will return one form for each person who needs access. The form will be signed by the DCS project manager for authorization, and then the form will be given to DCS IT to review network policies. IT will submit the request to OCIO and when the account is ready, IT will send connection instructions to the contractor directly.**

ADC agrees to these conditions and will follow these requirements, if needed.

DETAILED PROJECT WORK PLAN

The chart on the following pages illustrates the detailed project work plan, including tasks, implementation periods and required deadlines. The tasks in bold represent required deliverables identified in RFP Section IV, I (*Deliverables and Due Dates*). The details for each activity are provided throughout the proposal with page numbers referenced in the Required Deadlines and Comments column of the chart. Our response to the required deliverables is further summarized in the section below.

Task*	Year 1													Year 2				Year 3				Required Deadlines and Comments
	D	J	F	M	A	M	J	J	A	S	O	N	D	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Basic 2-day Training for Parole Officers																						Pg. 47-50 June 1, 2016
"Go Live" with software, including any modifications from the testing phase.																						
Review of Aggregate Reporting Needs																						
Booster STRONG-R training for Parole Officers (2-days)																						Pg. 47-50 To be scheduled for 60-120 days after initial Basic Training
Delivery of additional, defined aggregate reports																						
Basic Training for NDCS facility staff (2-days)																						Pg. 47-50 December 1, 2016
Booster STRONG-R training for NDCS facility staff (2-days)																						Pg. 47-50 To be scheduled for 60-120 days after initial Basic Training
Train-the-Trainer training for Chief Parole Officers (5-days)																						Pg. 47-50 April 1, 2017
First year implementation report																						Pg. 74 January 15, 2017

Task*	Year 1													Year 2				Year 3				Required Deadlines and Comments
	D	J	F	M	A	M	J	J	A	S	O	N	D	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Provide electronic reports to NDCS and Adult Parole Admin within 48 hours if they are unable to retrieve them directly																						Pg. 75 Ongoing
Provide technical materials and support for integration of the STRONG-R into NICaMS.																						Pgs. 52 and 75 To be coordinated with NCDS IT personnel

*Items in bold represent required deliverables.

DELIVERABLES AND DUE DATES (RFP SECTION IV, I)

A. NO LATER THAN JANUARY 1, 2016, THE SELECTED CONTRACTOR SHALL DELIVER A SUITE OF RISK/NEEDS ASSESSMENT INSTRUMENTS TO INCLUDE TOOLS ADMINISTERED:

B.

1. AT INTAKE
2. AT PAROLE BOARD HEARINGS
3. WHILE UNDER PAROLE SUPERVISION, AND
4. PRIOR TO DISCHARGE FOR THOSE RELEASED WITHOUT COMMUNITY SUPERVISION.

Assessments.com will deliver the STRONG-R (which can be used at all four decision points listed above), including items, responses, and draft weights/scoring, for the customized Nebraska STRONG-R by January 1, 2016. More detail about this is provided in the *Scope of Work* section.

C. NO LATER THAN MARCH 1, 2016, THE SELECTED CONTRACTOR SHALL REVALIDATE THE TOOLS USING NDCS OFFENDERS AND TAILOR THE CUT-OFF POINTS FOR EACH RISK LEVEL TO MEET THE NEEDS OF THE NEBRASKA OFFENDER POPULATION.

Assessments.com and Dr. Hamilton will modify the scoring weights and cut-off points for each risk level to meet the needs of NDCS by March 1, 2016.

D. NO LATER THAN JUNE 1, 2016, THE SELECTED CONTRACTOR SHALL PROVIDE TRAINING TO ALL PAROLE OFFICERS (APPROXIMATELY 55).

Basic training (2-day) for all parole officers will be provided in May 2016, meeting this deadline. Please refer to the Training section for more details. ADC will also provide an additional 2-day Booster STRONG-R training for parole officers 60-120 days after basic training, exceeding this training requirement.

The full software suite, with Nebraska-specific scoring will be delivered prior to the start of staff training.

E. NO LATER THAN DECEMBER 1, 2016, THE SELECTED CONTRACTOR SHALL PROVIDE TRAINING TO ALL RELEVANT NDCS FACILITY STAFF (APPROXIMATELY 150).

Basic training (2-day) for all relevant NDCS facility staff will be provided in November 2016, meeting this deadline. Please refer to the Training section for more details. ADC will also provide an additional 2-day Booster STRONG-R training for relevant NDCS facility staff 60-120 days after basic training, exceeding this training requirement.

Assessments.com

Nebraska Department of Correctional Services
Response to RFP 82500-O3

F. DURING THE SECOND AND THIRD CONTRACT YEARS, THE SELECTED CONTRACTOR SHALL PROVIDE REFRESHER TRAINING TO ALL RELEVANT PAROLE AND NDCS FACILITY STAFF.

A four-hour refresher training will be provided for parole officers during the second quarter of years two and three (to be scheduled with NDCS). This refresher training will be provided in the fourth quarter of years two and three for relevant NDCS facility staff. Please refer to the training section for more detail.

G. NO LATER THAN APRIL 1, 2017, THE SELECTED CONTRACTOR SHALL PROVIDE TRAIN-THE-TRAINER SERVICES TO BOTH PAROLE AND NDCS FACILITY STAFF IN ORDER TO ENSURE SELF-SUSTAINABILITY.

Train-the-trainer training (5 days) will take place during the first quarter of year two (as scheduled with NDCS), and will be completed prior to April 1, 2017. It will include Chief Parole Officers and NDCS selected facility staff. Please refer to the Training section for more details.

H. IF NO CASE MANAGEMENT COMPONENT EXISTS, STAFF MUST BE TRAINED IN HOW TO INCORPORATE RISK/NEEDS ASSESSMENT RESULTS INTO AN APPROPRIATE CASE MANAGEMENT PLAN.

A case management component is included in the STRONG-R and training in the case management component will take place as part of Basic, Booster, and refresher training.

I. THE CONTRACTOR SHALL ALSO PROVIDE QUARTERLY QUALITY ASSURANCE AUDITING AND MONITORING OF THE IMPLEMENTATION OF THE INSTRUMENT WITHIN NDCS AND THE ADULT PAROLE ADMINISTRATION DURING THE FIRST CONTRACT YEAR. REPORTS ARE DUE MARCH 15, 2016, JUNE 15, 2016 AND SEPTEMBER 15, 2016.

These reports will be delivered prior to the required deadlines.

J. THE SELECTED CONTRACTOR SHALL ISSUE A REPORT TO THE DIRECTOR OF NDCS AND THE ADULT PAROLE ADMINISTRATOR TO DESCRIBE THE FIRST YEAR OF IMPLEMENTATION. REPORT IS DUE JANUARY 15, 2017.

This report will be developed with the input of the Implementation Team. It will be delivered electronically and in hard copy prior to the January 15, 2017 deadline.

K. BASED ON THE FINDINGS INCLUDED IN THE FIRST YEAR OF IMPLEMENTATION REPORT, THE CONTRACTOR SHALL PROVIDE IMPLEMENTATION AND OTHER ASSISTANCE TO NDCS AND ADULT PAROLE ADMINISTRATION STAFF, AS APPROPRIATE AND MUTUALLY AGREED UPON, IN ORDER TO REDIRECT OPERATIONS AND ENSURE APPROPRIATE AND CONSISTENT USE OF THE TOOLS AMONG STAFF.

ADC staff will meet with NDCS and Adult Parole Administration staff (either in person or via web conference, whichever is mutually agreeable) after the submittal of the first year of implementation report to determine assistance needed to redirect operations, as needed, and optimize the use of the tools (ensure appropriate and consistent use of the tools). A prioritized list of assistance tasks and activities will be developed through mutual agreement and implemented as agreed.

L. THE SELECTED CONTRACTOR SHALL PROVIDE RESULTS DETAILING THE SECOND AND THIRD YEARS OF IMPLEMENTATION TO THE DIRECTOR OF NDCS AND THE ADULT PAROLE ADMINISTRATOR AT THE CONCLUSION OF EACH CONTRACT YEAR.

After consultation with NDCS and Adult Parole Administration staff, ADC will develop year-end implementation reports for years two and three.

M. IF NDCS AND/OR THE ADULT PAROLE ADMINISTRATION ARE UNABLE TO DIRECTLY RETRIEVE REPORTS FROM THE ELECTRONIC RISK/NEEDS ASSESSMENT PROGRAM, THE CONTRACTOR SHALL PROVIDE ALL ELECTRONIC REPORTS TO NDCS AND THE ADULT PAROLE ADMINISTRATION WITHIN 48 HOURS.

Assessments.com is committed to not only providing the front-end application required for assessment tool administration but also data contained within the application, which is extremely valuable for evaluation and resource allocation decision making. As such, ADC provides both individual and aggregate reports that are readily accessible to users of the system. A sample of some of the Individualized reports are displayed above, starting on page 41. Available aggregate reports generally meet the data requirements of client jurisdictions. Additionally, after initial implementation, ADC will work with NDCS personnel to review available aggregate reports and those that are further required, for NDCS, in order to ensure that NDCS has regular access to specific data required by the agency. If additional data is required, then ADC will work with NDCS to supply data extractions within 48 hours of defined request.

N. IF A PROPRIETARY SOFTWARE PROGRAM OR INTEGRATION OF RISK/NEEDS ASSESSMENT SOFTWARE INTO THE NEBRASKA INMATE CASE MANAGEMENT SYSTEM (NICAMS) IS AVAILABLE, THE SELECTED CONTRACTOR SHALL PROVIDE THE TECHNICAL MATERIALS AND SUPPORT TO ENSURE NDCS AND THE ADULT PAROLE ADMINISTRATION HAVE THE NECESSARY ACCESS TO EXTRACT RAW DATA, RETRIEVE REPORTS, AND OTHERWISE OBTAIN INFORMATION ABOUT OFFENDERS AND THEIR RISK/NEEDS ASSESSMENTS.

Please see section m. above. Access to both individualized and aggregate data will also be included in training materials and curricula. "Access to extract raw data" can be provided in multiple ways, and ADC will work with NDCS Administration to define the best avenue for the Agency.

**This page
intentionally
left blank**