

Requirements Traceability Matrix Sample/Template

NOTE: THE FOLLOWING REQUIREMENTS TRACEABILITY MATRIX IS DRAWN FROM A REQUEST FOR PROPOSALS FOR AN NEW INFORMATION SYSTEM. AS PART OF THE PROCESS FOR DESIGNING THE EWARRANT SYSTEMS, JURISDICTIONS WOULD COMPLETE THIS INFORMATION UNLESS A VENDOR IS HIRED TO CONDUCT THE BUSINESS PROCESS ANALYSIS.

The Global and Functional Specifications checklists below identify desired functions and features of the Franklin County Juvenile Justice Information System (JJIS), a unified relational database which is accessible by the various units of the Juvenile Court for case initiation, management, assessment, monitoring, reporting notification and administration. The JJIS scope does not include the Franklin County Clerk of Court's Justice System (FCJS), but many forms, reports and case events relating to the juvenile may eventually be docketed to the FCJS or require access to data maintained in the FCJS. Development of the system is intended to be as a standalone system which will not interface directly to the FCJS or other applications operated by the Franklin County Clerk of Court.

Completion of the Global and Functional Specifications Checklists contained in the section is mandatory. The specifications include functional and technical requirements for the proposed JJIS application segmented by the following categories:

- **Global Specifications:** General administrative and technical specifications which apply globally across the proposed application and must be met for all units, modules and functionality. This includes but is not limited to security, application tables, application reporting, and document and user administration.
 - *Note: Documentation on the overall technical requirements, current user counts, organization charts and other data relevant to the global specifications are contained elsewhere in this RFP.*
- **Intake and Diversion Unit:** Functional requirements necessary to complete the operational, reporting, administration, and noticing requirements of the Intake and Diversion Unit.
- **Probation:** Functional requirements necessary to complete the operational, reporting, administration, and noticing requirements of the Probation Unit including Care Coordination, Pre-Sentence Investigation, Alternative to Commitment, Probation Monitoring and Supervision, Electronic Monitoring, and Department of Youth Services tracking.
- **Juvenile Detention Center (JDC):** Functional requirements necessary to complete the operational, reporting, administration, and noticing requirements of the Juvenile Detention Center including Pre-Assessment, Receiving and Slating, House Arrest, Detention Alternatives, and Detention Release activities.
- **Optional Technologies:** Includes functionality which is desirable, but NOT included in the requirements for this procurement. Optional technologies will not be scored as part of the functional requirements, but Vendors are invited to demonstrate their ability to provide

any of the optional functionality. Any optional functionality which is currently available and would be included in the proposed base package at no additional costs should be noted in the comments section.

- *Note: For any optional technology which is available at additional cost, include in Appendix E Pricing Section.*

Each of the Functional Checklists includes the following columns:

#	Functional Requirement	Response Code	Comments

Global and Functional Specifications Instructions: The Global and Functional Specifications below identify desired functions and features of JJIS.

#: This column includes the requirements number. Any references to the requirement which are made elsewhere in the vendor’s response should include this number and letter. (e.g. : 6.1.d, 8.4.g)

Response Codes: The Response Codes are described in the table below.

Comments: The comments field is intended to provide an opportunity to clarify the response for each specific requirement. This column may be used for cross reference to other sections of the Vendor’s response and is not part of the scoring criteria.

For each requirement in the checklists, provide one of the following response codes:

RESPONSE CODES		
Response Code (1)	Definition	
E	Existing	Function is operational and is provided in the proposed system with no modification or customization required. All items in this category can be demonstrated and function as expected by the Court.

RESPONSE CODES

Response Code (1)		Definition
D	In D evelopment	Function is currently in development or in beta test, and not in general release but will be included at no additional charge in the proposed system. Item in this category may or may not be able to be demonstrated to the Court during the evaluation period.
M	M odification	Function will be met by modification to the base software and will be provided in the proposed system. All work in this category would be performed by the vendor at no cost to the Court. All functionality identified in the category is expected to become part of the base package and supported through all future releases of the system. Items in this category may not be able to be demonstrated to the Court during the evaluation period.
C	C ustomization	<p>Function will be met by customization made to the base system that is specific to the Court and at a defined cost. All work in this category would be performed by the vendor. The specific cost associated with each requirement met via customization, including description of the customization, must be identified (cost for inter-related requirements can be combined) in the Appendix E Pricing Section. The total cost for customization must also be summarized in the Appendix E Pricing Section. Items in this category are not likely able to be demonstrated to the Court during the evaluation period.</p> <p>Examples of customization include but are not limited to programming for interfaces, development of custom query screens, or custom reports not included in the vendor's base package.</p>
N	Not available	Function is not available in the proposed system

Global Functional Specifications

Global functional specifications include the technical, administrative, and overall system design requirements to be met by all modules. Due to the specific needs of the different Court departments, additional requirements are included in Appendix F Section 2 Functional Specifications requirement 6, 7 and 8.

#	Global Functional Specifications	Response Code	Comments
1.0	Case Creation and Case Intake		
1.1	Case Creation		
a.	System creates a unique Juvenile ID number (JID) upon initial creation of a juvenile's first case.		
b.	System creates a unique episode identifier for each of the following events: <ul style="list-style-type: none"> • Intake/Diversion • Unruly • Juvenile Detention • Juvenile Detention house arrest • Alternative to Detention • Care Coordination • Pre-Sentence Investigation • Alternative to Commitment Assessment (only) • Probation Supervision • Electronic Monitoring • DYS Commitment. 		
c.	System-created unique episode identifier includes: <ul style="list-style-type: none"> • year of onset; • unit identifier; and • episode number (e.g., 14PSI0001). 		
d.	Ability for authorized users to create new case, assign cases and cancel case creation.		
e.	System displays instructions and specific requirements for each sub-department.		
f.	Ability to require fields be entered when a new case is initiated.		
g.	Ability to save in-progress cases for completion at a later time.		
h.	System maintains all historical data on each juvenile.		
i.	System maintains a history of court participants and their roles and relationship to each juvenile case.		
j.	System maintains a record of assigned judge, magistrate and staff assigned to juvenile by period of assignment.		
k.	System maintains Core Record Data for juvenile, including but not limited to: <ul style="list-style-type: none"> • JID 		

#	Global Functional Specifications	Response Code	Comments
	<ul style="list-style-type: none"> • First name, middle name, last name, suffix • Last known address, e-mail address • Home and cell phone numbers • Guardian name and contact information • Social Security Number • Date of Birth • Race and Ethnicity • Sex • Photograph • Episode index 		
l.	Ability to auto-fill specific data or copy case data from a prior juvenile case to create new case or add an episode.		
m.	Ability to amend or correct case data.		
n.	System provides a single overview of data for each juvenile showing all cases, episodes and JID.		
o.	Ability to search for a JID to match existing record to the new juvenile case or episode. Enable record to be updated with new or additional information.		
p.	System provides role-based ability to merge records and reconcile conflicting information when a single youth has more than one JID.		
q.	Ability to record reasons if case creation is cancelled or cases are merged.		
r.	Ability to designate physical and email addresses for distribution of documents, letters and reminders.		
s.	Ability for system to differentiate functions depending on whether the action is to initiate a new case or an action recorded on an existing case.		
1.2	Case Management and Administration		
a.	Ability to record each transfer, program initiation, interview, appearance or contact.		
b.	Ability to record results of all screenings and assessments as identified in Appendix F Section 2 Functional Specifications requirement 6, 7 and 8.		
c.	Ability to track programs and services referrals.		
d.	Enable assignment to programs and services based upon compatibility between juvenile and program acceptance criteria.		
e.	Enable tracking of juveniles in programs and services including but not limited to: <ul style="list-style-type: none"> • Referral date • Enrollment date • Completion date • Terminated not served • Program status • Termination status • Program name 		

#	Global Functional Specifications	Response Code	Comments
	<ul style="list-style-type: none"> Program code 		
f.	<p>Ability to capture, maintain and update the system to record information on programs and services including but not limited to:</p> <ul style="list-style-type: none"> Name Type Location where service provided, including address Contact information including telephone numbers, email addresses Exclusion profiles (e.g., all boys/all girls, age limits, etc.). 		
g.	<p>Enable authorized user to record the same action/event on multiple cases to which a specific action applies with a single transaction. This includes, but is not limited to:</p> <ul style="list-style-type: none"> Enter/update events in multiple cases with a single transaction; Link multiple cases/ juvenile to a single transaction; Assign/reassign a group of cases from one unit/ probation officer/ detention officer, etc. to another unit/officer; Generate individual documents or packets of documents for selected group of cases/juveniles by a single case processing action/ transaction. 		
h.	Enable creation, maintenance and updates of case plans.		
i.	<p>Ability for chronological entry of case notes by episode identifier including but not limited to:</p> <ul style="list-style-type: none"> Date and time of contact Type of contact Place of contact Participants Intervention Homework/goals Text field Author. 		
j.	Ability to link/attach a digital photograph to the youth's record at any point.		
k.	Enable display of most current photograph on active record, and maintain a history of prior photographs.		
l.	Ability to store and display photographs of juvenile and link to date and text describing photos.		
m.	Role-based ability to change an episode from active to inactive status or from inactive to active status without deleting data elements associated with the record.		
n.	Role-based ability to designate a case as sealed or expunged without deleting data elements associated with the record.		
1.3	Workflow		
a.	Ability to configure an unlimited number of workflow rules through a table, workflow wizard, or graphical interface where each rule includes a trigger and response(s) and allows the establishment of notifications, assignments		

#	Global Functional Specifications	Response Code	Comments
	and tasks based upon defined decision points in the workflow process. This may include displaying prompts for scheduling events or notifications.		
b.	Enable assignment and scheduling of team/combined caseloads and record assignment in the juvenile's Core Record Data.		
c.	Enable standard and ad hoc checklists to track progress against case processes and defined events in the juvenile case. Checklists to be defined by business rules and set up as workflows.		
d.	Ability to establish a standard set of interview questions and capture answers on line (using templates) for specific conferences and interviews (including family conference, probation checklists, JDC assessments and slating).		
e.	Ability for supervisor to review work processes for unit staff and by case and officer.		
2.0	Schedule Creation		
2.1	Scheduling and Assignment (NOTE: The Court uses Lotus Notes for scheduling and email, not Outlook).		
a.	Ability to assign and reassign juvenile to services and programs, court staff and/or departments/sub-departments using one or more of the following methods: <ul style="list-style-type: none"> • Random • By rotation • Pre-defined business rules • Other specific conditions • Manually. 		
b.	Ability for user to configure calendar to define dates, day of week, times and number of appointments.		
c.	Ability to maintain a master calendar/schedule at the departmental/sub-departmental level and allow viewing access to calendars.		
d.	Ability to search across calendars to identify available dates/times when all required participants are available.		
e.	Ability to view and update real time calendar and schedule. Calendar will be displayed in graphical and table formats.		
2.2	Alerts and Ticklers		
a.	Enable system to provide ticklers, alerts and prompt capabilities including the ability to identify events coming due or overdue, periods about to expire or expired, and events of which user should be aware based on defined business rules.		
b.	Ability for system users to set ticklers and reminders with an alert or notification issued when the timing criteria has been reached.		
c.	Enable alerts to supervisors according to department or sub-department criteria when:		

#	Global Functional Specifications	Response Code	Comments
	<ul style="list-style-type: none"> an officer has had insufficient contact with a juvenile based upon established criteria, an officer's caseload exceeds specified levels, other predefined factors. 		
d.	Enable configuration of system to provide user alerts about or regarding action required on case based upon defined business rules.		
e.	Enable alerts related to the juvenile to appear on all screens. (e.g. warrant)		
f.	Enable display of flags related to juvenile in all views and on case headers.		
g.	Ability to flag special conditions and safety concerns on juvenile record.		
h.	Enable configuration of system to send automated email messages to designated email addresses as defined by business rules.		
i.	Ability to trigger an alert if a manager/supervisor attempts to assign a user to an inactive profile/ prior employee ID.		
2.3	Notifications		
a.	Ability to generate and send electronic mail notices according to defined business rules.		
b.	Ability to generate automatic and manual establishment of reminders (ticklers) for upcoming scheduled events.		
c.	Ability to track electronic notifications sent and record date, time and user initiating notification.		
d.	Ability to send e-mail notifications to confirm new user account requests and creation of the account.		
e.	Enable scheduling and notification of conferences as updates on the system.		
3.0	Documents and Forms		
a.	System supports the following form elements: checkboxes, radio buttons, pull-down menus, date fields, text entry.		
b.	Enable auto fill of forms where juvenile record or data is matched to JID.		
c.	Ability to populate any form or document with the most recent record information for all fields.		
d.	Ability for authorized user to edit all fields.		
e.	System supports automatic calculation for figures or dates within form fields.		
f.	Ability to modify data prepopulated in documents or forms.		
g.	Ability to use MS Word templates or a form letter generator (wizard) to download any system generated form letters in MS Word or PDF.		
h.	Ability to generate documents or forms triggered by specific events.		

#	Global Functional Specifications	Response Code	Comments
i.	Enable use of desktop word processing for templates, document creation, and editing.		
j.	Ability to attach multiple supporting documents and link them to a new or existing juvenile case or a case event in formats including but not limited to: PDFs, Word processing documents, JPEGs and TIFs. Record date, time, and index data relevant to scanned item.		
k.	Ability to link images of generated documents to record for future reference, including applied electronic signature, if applicable.		
l.	Ability for auto-generated documents to automatically link to related case for future reference.		
m.	Ability to review and electronically approve forms.		
n.	Ability to select a document, digital photograph or set of documents for viewing and printing.		
o.	Ability to transmit reports and notices using email to outside parties.		
p.	Ability to generate mailing labels using system data.		
4.0	Episode and Case Closure		
a.	Ability for system to automatically close an episode based on defined business rules.		
b.	Ability for system to automatically close a case based on defined business rules.		
c.	Ability to record episode and case closure reason and authorization.		
d.	Ability for system to prevent episode being closed based on defined business rules (e.g., probation requirements have not been met).		
e.	Ability to restore episode from previously closed episode.		
f.	Ability for system to automatically designate a case with no active episodes as "inactive".		
g.	Ability to designate a case as sealed.		
h.	Access to sealed cases is role-based.		
5.0	Management and Statistical Reporting		
5.1	Query and Ad Hoc Retrieval		
a.	Ability to design and modify queries and ad hoc retrieval by authorized user.		
b.	Ability to select data based upon department or sub-department affiliation.		
c.	Ability to perform ad hoc queries using simple or complex conditional queries.		

#	Global Functional Specifications	Response Code	Comments
d.	Enable string of query commands to be unlimited.		
e.	Enable queries to be constructed either using simple form filters, or by a query builder tool.		
f.	Allow ad hoc reports to be created using any or many fields of data related to a youth or set of youths without requiring the knowledge of programming languages.		
g.	Ability to export query and report data including data from all fields to Microsoft Excel and any designated reporting and analysis tools.		
h.	Ability to direct reports to a workstation screen, file, network printer or e-mail account.		
i.	Ability to publish ad hoc report scripts to a shared environment.		
j.	Ability to retain ad hoc report scripts.		
5.2	Reports and Management Reporting		
a.	Ability to design and modify reporting mechanisms by authorized user.		
b.	Ability to show graphs, charts or other graphical representations of data.		
c.	Ability for placement of reports in user-defined locations in order for eased execution of reports.		
d.	Ability for user lacking report writing knowledge to easily run reports.		
e.	Enable summary report for any involvement tracked in the application for any individual.		
f.	System includes collection of commonly used standard reports.		
g.	System includes flexible report writer to create custom views for statistical and managerial reports without need of programming assistance.		
h.	Ability for reports to be distributed and viewed outside of the application.		
i.	Ability to export reports to multiple formats including Excel, Adobe Acrobat, and any designated reporting and analysis tools, natively without the purchase of additional third party software.		
j.	Ability to format reports to accommodate multiple paper sizes and viewing layouts.		
k.	Ability to schedule reports to run automatically or at a pre-determined time.		
l.	Ability to print reports to variety of printers.		
m.	Ability to generate reports in MS Word.		
n.	Ability to use MS Word templates or a form letter generator (wizard). Reports shall be generated prefilled with specific data stored within the application and downloaded to the user's PC.		

#	Global Functional Specifications	Response Code	Comments
o.	Ability of utilizing stored data to be added or modified in reports.		
p.	Ability to link generated reports to related cases for future reference.		
q.	Ability for auto-generated reports to automatically link to related case for future reference.		
r.	Ability for generated reports to be viewed on user's PC, printed as hard copy, or e-mailed.		
s.	Ability for all reports to be capable of producing information for a distinct point in time (current or historical date) or across a range of dates (e.g., week, month, annual).		
t.	Ability to capture and track number and duration of staff activities by user-specified criteria such as assigned staff and type of activity.		
u.	Ability to produce report that summarizes scheduled activities.		
v.	Ability to produce reports that permit monitoring of program providers, assignments, decisions, performance criteria, services and programs.		
w.	<p>Enable time-based reporting including, but not limited to:</p> <ul style="list-style-type: none"> • Duration of time assigned to programs, departments and sub-departments by terminated youth • Number of events in a defined period; • Exception report that identifies cases that do not meet predefined criteria (e.g., youth who have not received the required number of contacts during defined period). 		
x.	Ability to determine report format and structure including, but not limited to, aggregated or disaggregated formats.		
y.	<p>System provides a portal page or user defined page based upon role with information including but not limited to:</p> <ul style="list-style-type: none"> • Summary metrics (i.e., total youth); • Itemized lists (i.e., each youth listed). 		