



*"Service with Excellence
& Integrity"*

Arkansas Department of Community Correction

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ADMINISTRATIVE DIRECTIVE: 09-03

DATA SYSTEM PROJECTS

TO: DEPARTMENT OF COMMUNITY CORRECTION EMPLOYEES

FROM: G. DAVID GUNTARP, DIRECTOR

SUPERSEDES: AD 08-14

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APPROVED: Signature on File

EFFECTIVE: FEBRUARY 13, 2009

- I. APPLICABILITY.** This policy applies to Department of Community Correction (DCC) employees, and vendors involved with DCC information technology systems development, enhancement or maintenance projects.
- II. POLICY.** It is DCC policy to utilize accepted and standard business processes in the review, development, enhancement and maintenance of DCC IT systems and in working with vendors regarding any aspect of a DCC data system.
- III. DEFINITIONS.**
- A. **Approver.** The DCC designated employee that has the authority to make project decisions once the overall project and any costs have been approved by the Director.
 - B. **Fix.** A correction to a system, part or segment of a system that should have been or was working properly initially.
 - C. **Project Coordinator.** The DCC employee assigned to manage any new system development, enhancement or maintenance project. This person analyzes the business needs of the DCC requestor to help identify business problems and propose solutions related to the assigned project. This person also researches, plans and recommends software and system choices to meet business requirements, develops cost analysis, gives design considerations, implements timelines, conducts feasibility studies before making recommendations, plans, organizes and manages resources to bring about the successful completion of project goals and objectives. This person will usually be the agency Project Manager, Data Processing Manager or the IT Administrator.

- D. **Project Team.** One or more DCC employees used as subject matter experts regarding the project/system enhancement request and who assist and/or consult with the Project Coordinator on a project to explain, review and/or explore operational parameters, business needs and how a specific project meets those needs. Project team members may be designated from across various sections of the agency depending upon the specific project. Supervisors and/or Project Coordinators are responsible for identifying project team members based upon the scope of the project and the expertise of individual staff to contribute to the project.
- E. **Requestor.** The DCC employee who has identified a specific business need and provides the project overview, scope of work and works with the Project Coordinator, reviewing and documenting the project.
- F. **Statement of Work (SOW).** Document submitted by Vendors to the DCC including the work to be done, any anticipated costs to the agency, a design analysis, estimated development time, and anticipated payment structure for an IT project or system enhancement.
- G. **Tracking ID.** A unique identifier requested by the vendor and provided by the Project Coordinator to track a specific project or fix before working more than two hours on an issue.
- H. **User.** Any DCC employee who utilizes DCC computer systems.
- I. **User Support.** The DCC employee in the IT Section designated by the IT Administrator to serve as the IT User Support person to work with DCC employees in resolving and documenting system issues.
- J. **Vendor.** Any external resources used to assist with DCC system development, enhancement or maintenance projects.

IV. PROJECTS AND SYSTEM ENHANCEMENT PROCEDURES. The following process will be used to request, review, approve and manage changes to any DCC data system or IT project.

- A. An employee requesting a specific project and/or system change may make a request by completing an electronic request on EagleNet using the Project System Enhancement Request Form. The project will be reviewed and a determination made by the Project Coordinators as to the feasibility.
- B. If the project is determined feasible, the project will be assigned to a Project Coordinator who will obtain approval from the Chief Deputy Director to proceed with research. The Project Coordinator will work with the Requestor to identify Project Team members and facilitate any necessary meetings to gather and document the detail requirements.

- C. The Project Coordinator, Requestor, IT Administrator and the Project Team will draft, review, and approve the business requirements to be used in the development of a vendor SOW.
- D. The Project Coordinator, Requestor and Project Team will review the requirements with the vendor to ensure understanding of the project requirements.
- E. The Vendor will provide a SOW detailing the work to be done, identifying specific data needs or usage, design, impact and cost analysis, and the approximate time needed to complete the project.
- F. The Project Coordinator will forward the SOW to the Chief Deputy Director who will recommend approval or rejection of the project to the Director.
- G. The Project Coordinator will assign a tracking identification number to each request logged onto EagleNet and notify the vendor to begin work on an approved project.
- H. The Vendor will complete the approved project and move the program code to a designated test site (if available).
- I. The Project Coordinator will facilitate user acceptance testing with the Project Team and any other DCC staff members as might be appropriate.
- J. Upon successful testing, the Project Coordinator will request the vendor to move the code to the production site or facilitate moving the software into production for testing.
- K. The Project Coordinator will facilitate production testing with the Requestor, Project Team and any other DCC staff members as might be appropriate.
- L. Upon successful production testing, Project Coordinator will obtain approval signatures from the Requestor(s) and Project Team.
- M. The Vendor will submit an invoice for the request to the Project Coordinator who will review and verify invoicing before forwarding to the IT Administrator.
- N. The Information Technology Administrator will signoff on the invoice and forward it to Administrative Services for payment. For each approved project, the vendor will limit the invoice amount to the maximum estimate for the work.

- V. **SYSTEM ISSUES/FIXES.** The following process will be used to report and address IT systems fixes.
- A. Any User of a DCC system may report a system fix to the IT User Support Group via Voice Mail, Email, or EagleNet.
 - B. The vendor may bill for support that is not directly related to a software defect or functional enhancement if the solution requires no more than one hour to resolve.
 - C. The IT User Support and/or Project Coordinator will determine the impact and method of addressing requests concerning IT system.
 - 1. Issues created by network slowness, system loading, server operational considerations, etc. will be addressed and resolved with the internal or external vendor via the IT help desk.
 - 2. Issues which require more than 2 hours of billable time will be defined as a project (see IV) and will be assigned a Project Coordinator.
 - 3. Issues which require less than 2 hours of billable time will be defined as a help desk matter and will not be assigned a Project Coordinator.
 - D. Upon receiving a fix, the Project Coordinator will assign a tracking number, and the Resource or Vendor will determine if the problem is a fix or an enhancement of the current operating system and report back to the IT User Support as to the determination.
 - E. The Resource/Vendor will correct the problem and make the fix available for testing at a designated test site (if available).
 - F. The IT User Support and/or Project Coordinator will facilitate user acceptance testing with Requestor and/or Subject Matter Experts.
 - G. Upon successful testing of the fix, the IT User Support or Project Coordinator will request that the Resource/Vendor move the fix into production.
 - H. User Support and/or Project Coordinator will facilitate production testing with user and/or subject matter experts.
 - I. Upon successful testing, the Requestor and/or subject matter experts will sign off (via email or fax) indicating that the work has been successfully completed.

- J. The Project Coordinator will maintain record of all projects initiated.

VI. BILLING/PAYMENT GUIDELINES.

- A. DCC will not provide additional vendor compensation for fixes to existing systems. System development/enhancements should be invoiced separately or be clearly identified by tracking number and/or description in each invoice submitted to DCC. The actual invoice shall be as agreed upon by the DCC and Vendor/Resource.
 - 1. Vendors will provide cost estimates as either a “Fixed cost” or “Not to Exceed Cost.”
 - 2. On each cost estimate, the vendor must identify any deposit (generally a percentage of the overall cost for a project which shall be used as an initial payment on a project) prior to the implementation of any effort on a large project.
 - 3. The Vendor and the Project Coordinator will establish any other payments that may be made when each of the deliverables is met (generally used for large projects) as indicated in the initial SOW, prior to project approval.
 - 4. DCC will issue a final payment upon satisfactory completion of the project and acceptance signoff by the Requestor and/or Project Team.
- B. The Vendor will bill for Help Desk issues by displaying the title, tracking identification number, and hours worked for each event on the monthly invoice. Each item will contain the DCC cross reference issue number if one has been assigned.
- C. DCC employees may not give verbal authorization to any vendor or resource to incur unapproved or approved costs for DCC projects. The vendor will not accept verbal approval for orders or issues and will require an e-mail message with the Issue Title and Identification Number in the message header for each individual approval.
- D. The vendor will provide an invoice format as agreed upon by DCC, including cross reference of DCC and vendor issue numbers, and will provide status reports of projects (periodic or upon request).