

Clark County, Nevada

Clark County

Public Administrator and Public Guardian

Request for Information for a Case Management System
RFI No. 601474-09





TABLE OF CONTENTS

| | <u>Page</u> |
|---|-------------|
| I. Introduction | 1 |
| II. RFI Process and Review | 2 |
| A. Terms..... | 2 |
| B. Dates and Schedule..... | 3 |
| C. Review Process | 3 |
| D. Designated Contact | 4 |
| E. Submittal Requirements..... | 4 |
| F. Multi-Vendor Solutions..... | 5 |
| G. "Best of Breed" Selection | 5 |
| H. Demonstrations..... | 5 |
| I. Disclaimer | 6 |
| J. Review Information | 6 |
| III. Project Overview..... | 10 |
| A. Project Background..... | 10 |
| B. Project Scope | 10 |
| C. Company Information | 13 |
| D. Relevant Project Experience..... | 13 |
| E. Proposed Project Team | 13 |
| IV. Organizational Overview | 15 |
| V. Current Technical Environment | 16 |
| A. Applications Environment | 16 |
| B. Countywide Applications | 17 |
| C. Database Environment | 17 |
| D. Server/Storage Environment | 17 |
| E. Telecommunications Environment..... | 17 |
| F. Desktop Environment..... | 18 |
| VI. Project Expectations | 19 |
| A. Current Environment..... | 19 |
| B. Expected System Benefits | 19 |
| VII. Project Approach..... | 21 |



| | |
|---|-----------|
| VIII. Software Licensing and Support..... | 23 |
| IX. Technical Environment..... | 24 |
| A. Technical Requirements..... | 24 |
| B. Technical Architecture Information..... | 24 |
| X. Functional Environment | 25 |
| A. Functional Requirements | 25 |
| B. Additional Requested Information | 25 |
| XI. Cost Submittal..... | 26 |



TABLE OF CONTENTS

(continued)

Attachment A – “To Be” Process Model
Attachment B – Organizational Charts
Attachment C – Technical Requirements
Attachment D – Technical Questionnaire
Attachment E – Mission Conversion Analysis
Attachment F – Proposed Interfaces
Attachment G – Functional Requirements
Attachment H – Reports Currently In Use
Attachment I – Cost Submittal Worksheets



I. Introduction

Clark County, Nevada (hereinafter referred to as the County) seeks submittals from qualified vendors to provide case management software and implementation services for the County's Public Administrator and Public Guardian (also referred to as PAPG).

PAPG recently completed a business process assessment to analyze the effectiveness of its intake, client management, financial management and inventory management processes and evaluate the technology that supports these processes. The current case management system, which was originally developed in 1984, does not meet many of the requirements for existing and redesigned processes. The current technical environment also requires programming expertise to generate new management reports, and the application provides limited opportunities to enhance service delivery and achieve cost savings by interfacing with systems from partner agencies such as Social Service and the Coroner's office. Based on a business case analysis conducted by MTG Management Consultants, LLC, the County's executives concluded that it was prudent to examine the acquisition of a new system to support existing and redesigned business processes.

The current project scope provides for the delivery of new intake, client management, inventory management and financial management functionality through an implementation life cycle that includes: project planning, requirements definition, system design, system configuration, data conversion, interface and custom report development, testing, training, and post-implementation support. The County's preference is to provide a staffing level of approximately 50 percent of the total implementation hours but reserves the right to alter the mix through further discussion with RESPONDENT.



II. RFI Process and Review

This RFI is being released by Clark County, Nevada, to assist the County with formulating a strategy to replace the CMS currently used by PAPG. The County will use the responses to this RFI to develop a budget for funding the solution and gather details for the hardware, software, and implementation costs. Timely access to accurate, complete, and current case and payment information is critical to PAPG's fulfillment of its public responsibilities. In recognition of this, PAPG has made the CMS project a high priority. The future environment is being procured to ensure that all case information known by PAPG is available to authorized staff, other authorized agencies, and citizens, as appropriate.

A. Terms

The term "OWNER," as used throughout this document, will mean the County of Clark, Las Vegas, Nevada.

The term "BCC," as used throughout this document, will mean the Board of County Commissioners, which is the governing body of Clark County.

The term "County," as used throughout this document, will mean Clark County, Nevada.

The term "PAPG," as used throughout this document, will mean the Clark County, Nevada, Public Administrator and Public Guardian.

The term "Mission," as used throughout this document, will mean the existing case management and probate accounting system used by PAPG.

The term "RESPONDENT," as used throughout this document, will mean a respondent to this Request for Information.

The term "RFI," as used throughout this document, will mean Request for Information.

The term "CMS" or "system" as used throughout this document, will mean case management system.



B. Dates and Schedule

| Key Event | Date/Range |
|--|-------------------|
| RFI Publication Date | March 4, 2009 |
| Deadline for Submitting Written Questions | March 24, 2009 |
| Phone Conference to Address RFI Questions | March 31, 2009 |
| Deadline for Submitting RFI Responses | April 28, 2009 |
| Notification of Selection for Product Demonstrations | Late July |
| Product Demonstrations | Mid-August |

C. Review Process

A team of County business and technical representatives will review all RFI responses. This team will be responsible for recommending products for demonstration. All vendors will be advised of the outcome of the review and selected vendors will be given instructions for conducting demonstrations.

Responses will be reviewed on their compliance to the following criteria:

- Timely, accurate, and thorough response to the RFI.
- Ability to meet the requirements described in the RFI.
- Willingness to participate in product demonstrations.
- Ability to provide a cost-effective solution that meets the needs of the County.
- Vendor financial and organizational stability
- Proven track record of implementation success with clients that have needs similar to those of Clark County
- Desire and ability to work with complementary vendors in developing integrated solutions.
- Ability to respond to ongoing County enhancement and support requirements.
- Ability to provide documentation and transfer the knowledge necessary to manage the operation of the proposed system and its integration with existing Clark County data sources.



- Proven track record of providing superior level of service and support to clients, especially to those of similar size and sophistication.

D. Designated Contact

During the RFI response period, all questions or communication relating to the RFI must be directed to:

Veronica A. Kammler
Clark County Government Center
500 South Grand Central Parkway
4th Floor – Finance Department, Purchasing Division
Las Vegas, NV 89155
Telephone: 702- 455-8547
E-Mail: kammlerv@co.clark.nv.us

RFI questions are to be submitted as follows:

- One (1) electronic copy of questions via e-mail attachment in Microsoft Word or Microsoft Excel (Version 2000 or XP) must be e-mailed to Veronica A. Kammler (kammlerv@co.clark.nv.us) no later than 5:00PM PT on March 24, 2009.

RFI submittals are to be submitted as follows:

- Submittals will be accepted at the Clark County Government Center **on or before April 28, 2009 at 3:00 pm**. Submittal Requirements including detailed delivery/mailling instructions can be found in paragraph II.E. below.

E. Submittal Requirements

Each RESPONDENT shall submit 1 clearly labeled original and 8 paper copies of its submittal (in binders), along with 2 electronic copies on CD-ROM. The name of RESPONDENT's firm shall be indicated on the spine and/or cover of each binder.

Vendor submittals should include an index or table of contents which notes each section of the submittal. In addition, each major section of the submittal should be clearly tabbed for easy access and reference. Electronic copies should be fully indexed.

All submittals must be in a sealed envelope plainly marked with the name and address of RESPONDENT and the RFI number and title. No responsibility will attach to OWNER, or any official or employee thereof, for the pre-opening of, post-opening of, or failure to open a submittal not properly addressed and identified. **FAXED SUBMITTALS ARE NOT ALLOWED AND WILL NOT BE CONSIDERED.**



The following are detailed delivery/ mailing instructions for submittals:

Hand Delivery

Clark County Government Center
Purchasing and Contracts Division
500 South Grand Central Parkway, 4th Floor
Las Vegas, Nevada 89106

Express Delivery

Clark County Government Center
Attn: Purchasing and Contracts, 4th Floor
500 South Grand Central Parkway
Las Vegas, Nevada 89106

U.S. Mail Delivery

Clark County Government Center
Attn: Purchasing and Contracts, 4th Floor
500 South Grand Central Parkway
P.O. Box 551217
Las Vegas, Nevada 89155-1217

Regardless of the method used for delivery, RESPONDENTS shall be wholly responsible for the timely delivery of submittals.

F. Multi-Vendor Solutions

OWNER may accept multi-vendor solutions. In such submittals where RESPONDENTS partner in order to provide a comprehensive submittal, one of the parties must assume project management, legal, and financial responsibility for the system implementation. Multi-vendor submittals must be a consolidated response with all cost items included in the Cost Summary. Where necessary, RFI response pages must be duplicated for each vendor.

G. "Best of Breed" Selection

OWNER reserves the right to follow a best-of-breed selection approach and may select one or more systems from individual RESPONDENTS whether proposed in single-vendor or multi-vendor solution responses. Should this occur, OWNER may act as the systems integrator, or it may negotiate with the selected vendor(s) in order that one of the vendors takes on the roles and responsibilities of a prime contractor and systems integrator, with the associated project management, legal, and financial responsibilities.

H. Demonstrations

OWNER may require demonstrations of proposed systems and or specific applications that are installed and operational. Demonstrations will be based on scripted scenarios provided in advance by OWNER and may include demonstration of unscripted events requested at the time of demonstration. All costs of demonstrations conducted for OWNER are RESPONDENT's responsibility. In addition, OWNER may require visits to existing installations of comparable systems. OWNER will pay travel costs only for OWNER's personnel for these visits.



I. Disclaimer

This RFI is issued solely for information and planning purposes and does not constitute solicitation. Responses to this notice are not offers and cannot be accepted to form a binding contract. Respondents are solely responsible for all expenses associated with responding to this RFI. Responses shall not contain any confidential information. Any responses marked "confidential" will be rejected. Responses to this RFI will not be returned.

J. Review Information

PAPG will be reviewing submittals based on the information presented in RESPONDENTS' submittals. Areas of review, required areas of the response, and preferred organization of the response are as follows:

- Executive Summary
- Access to Program Source Code
- RESPONDENT's Experience
- Implementation Approach and Work Plan
- Approach to Support and Maintenance
- Technical Requirements
- Functional Requirements
- Project and Ongoing Costs
- Other Qualifying Factors

Each of these areas is briefly discussed below.

1. Executive Summary

This section of the response shall serve to provide OWNER with the key elements and unique features of the submittal by briefly describing how RESPONDENT is going to accomplish the project. The Executive Summary should include a schedule of major milestones.

The Executive Summary should also include a list of high-risk areas which were identified during the submittal process that are reasons for concern. These concerns will be addressed with the successful RESPONDENTS during the presentations.

2. Access to Program Source Code

OWNER must have access to application source code in the event RESPONDENT is unable or unwilling to provide necessary updates to programs. This can either be provided



by including the source code as part of the system that is delivered to OWNER, or by agreeing to place the source code in escrow.

3. RESPONDENT's Experience

Include a brief resume of all similar projects RESPONDENT's firm has performed in the past 5 years. Each project listed shall include the project start and completion dates along with the name, telephone number, and e-mail address of a contact person for the project, for review purposes. This part of the response shall include documentation of RESPONDENT's history of adherence to budget and schedule constraints. All firms are encouraged to indicate their experience of performing related work within the state of Nevada.

4. Implementation Approach and Work Plan

Describe in more detail the approach to the project. Include a preliminary project plan that includes:

- RESPONDENT's approach to the project, including the methodology to be used and the major deliverables to be produced.
- Project organization chart.
- Planning assumptions.
- Planning constraints.
- Proposed schedule (work plan) including tasks, milestones, and time estimates for completion;. OWNER and RESPONDENT resource assignments; critical path; and OWNER's review cycles. The County expects to provide a minimum staffing level of 50 percent of the total implementation hours but reserves the right to alter the mix through further discussion with RESPONDENT.
- Statement of why RESPONDENT is best suited to perform the services for this project.

5. Approach to Support and Maintenance

RESPONDENT must describe the type of maintenance/support plans available. This should include software support available, toll-free telephone numbers, service response times (in hours), warranty information, policy on software updates, customer information bulletins, fees, user groups, etc. Requested details for the response are outlined in Section VIII – Software Licensing and Support.

6. Technical Requirements

Submittals must address all hardware/software and professional service requirements and questions outlined in Section IX - Technical Environment.



7. Functional Requirements

Submittals must address all functional requirements and questions outlined in Section X – Functional Environment.

8. Project and Ongoing Costs

RESPONDENT shall quote the fixed fee amount to perform the work described in this RFI. The figure given shall be inclusive of all costs including travel, lodging, and project-related expenses. RESPONDENT shall also quote a firm fixed price for annual software support (extended warranty) for the first and second year following the warranty period. OWNER shall receive all software updates as long as OWNER elects to utilize the software support services. Additional information regarding the format and information required is detailed in Section XI – Cost Submittal.

9. Other Qualifying Factors

In addition to the areas of review described above, PAPG will also be taking the factors below into consideration when making its decision. Each RESPONDENT should ensure that the following factors are addressed within its response:

- Proven ability to meet the objectives of the clients.
- Ability to meet the desired time frames.
- General quality of the submittal and responsiveness of the submittal to the format specified; all required information must be provided.
- Quality of references.
- Demonstrated ability with at least one comparable organization within the past 2 years to successfully install a similar system with emphasis on the capabilities required by PAPG.
- Demonstration of RESPONDENT's understanding of PAPG's purpose, scope, and objectives, as well as the sustainability and quality of RESPONDENT's approach.
- Level of service and responsiveness that RESPONDENT commits to providing PAPG.
- Feasibility, timeliness, and quality of the implementation schedule; and ability to meet PAPG's implementation deadlines.
- Financial stability and resources of RESPONDENT.
- Design, capability, and functionality of the proposed application software, including the level of integration between modules as determined by the review team.
- Design, capability, and functionality of the proposed proprietary hardware, including conformance or compatibility with PAPG's IT standards and strategic direction.



- Economic feasibility and justification of all costs.
- Formatting to contain sufficient information to be reviewed without reference to any proprietary information.



III. Project Overview

A. Project Background

The Clark County Public Administrator and Public Guardian have completed a project to assess the effectiveness of and improve upon its business processes. This initiative identified the need for a CMS to provide efficient access, tracking and sharing of information, adherence to legal requirements, and monitoring of operational effectiveness. These objectives need to be supported by a CMS that can be implemented to perform the following:

- Accept electronic referrals.
- Interface with partner organizations (Social Service, Coroner's Office).
- Document case activity.
- Manage inventory and assets.
- Track worker time and productivity.
- Provide security and quality controls.

RESPONDENT's ability to and methods of achieving project objectives will be measured through the review process. The results of the County's business process assessment are included as ATTACHMENT A.

B. Project Scope

The scope of this procurement includes the major functional areas that are detailed below.

1. Intake

- *Reception* – Matching inquiries to the proper resources within PA and PG and providing referral to outside resources, if appropriate.
- *Dispatch* – Locating and sending the appropriate investigator to the scene.
- *Assessment* – Reviewing an application or referral for services by a potential client or referring agency.
- *Investigations* – Taking inventory of items found at the scene and securing valuables.
- *Case Initiation* – Reviewing supporting documentation and creating a case plan once a client has been accepted.



2. Case Activity

- *Case Maintenance* – Entering and updating case notes in client file, creating client budgets, and monitoring client outcomes.
- *Notifications and Alerts* – Receiving and sending notices that relate to the change of client status and which may lead to case closure.

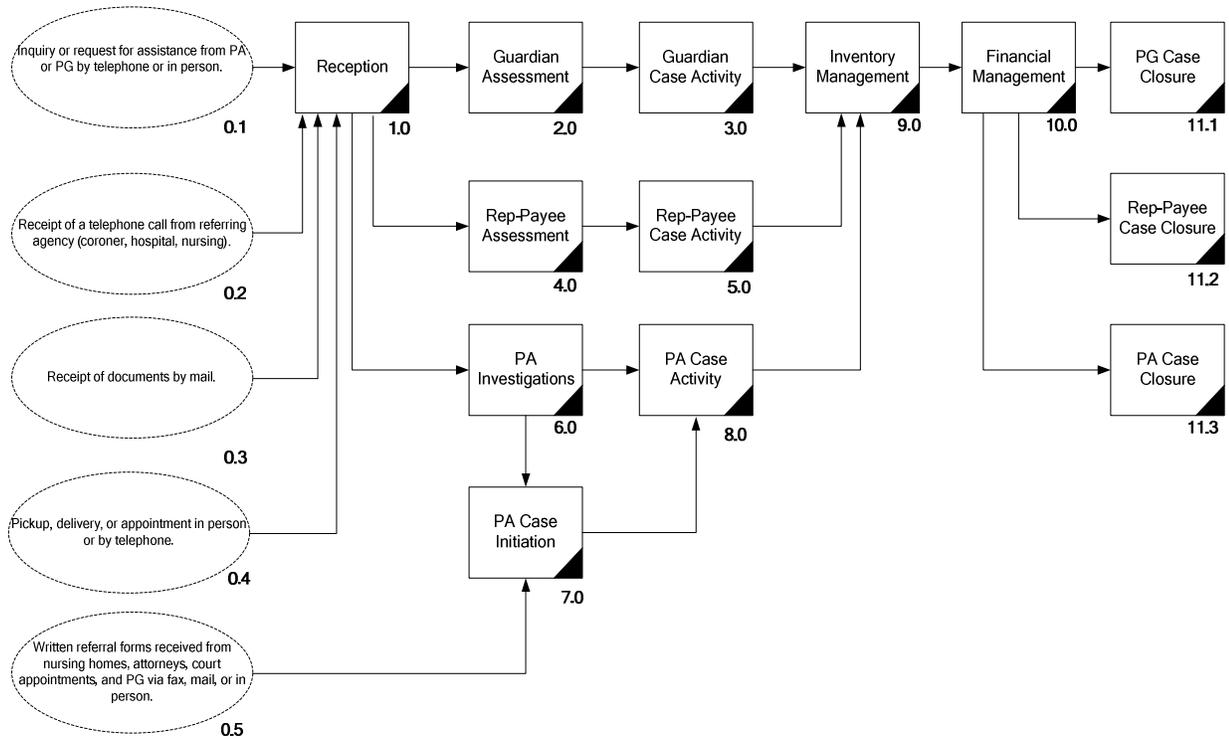
3. Inventory Management

- *Prioritization and Scheduling* – Prioritizing and scheduling requests to move client property and take it to be auctioned, if appropriate.
- *Security and Storage* – Securing client valuables in vault and larger items in warehouse for safe keeping.
- *Inventory Tracking* – Tracking items in inventory until such time as they can be sold, donated, or disposed of appropriately.
- *Shipping and Deliveries* – Having client items transported to the appropriate locations.

4. Financial Management

- *Accounts Payable (A/P)* – Paying bills and invoices for PA and PG and on behalf of clients.
- *Accounts Receivable (A/R)* – Receiving income from wages, pensions, Social Security, and other benefits, as well as payments as a result of the sale of client property and assets.
- *Reconciliation* – Comparing internal and external information and reporting discrepancies, as well as identifying suspected fraud situations.

The process flow diagram below illustrates how intake, client management, inventory management and financial management processes are related. Additional details on how this is expected to occur in the future environment are provided in Attachment A.



In addition to software providing the functionality listed above, the following implementation services are also considered within the scope of this initiative:

- *Project Planning and Management* – Management of the project scope, ongoing risks, and issues; establishment and monitoring of schedules; measurement of progress against budget and timelines; and tracking of deliverable review and approval processes.
- *System Requirements* – Review of existing functional and technical requirements and definition of detailed requirements for development and implementation of the new CMS.
- *Configuration* – Configuration of the CMS solution to meet the needs of PAPG including specific program requirements.
- *Data Conversion* – Assistance with the transfer and validation of selected data from Mission to RESPONDENT’s solution. The Mission Conversion Analysis is provided in ATTACHMENT E.
- *Interface Development* – Development of the system interfaces as outlined in ATTACHMENT F.
- *Forms and Reports Creation* – Assistance with development of the forms and reports in the CMS.



- *System Testing* – The testing required to adequately assess that the system is meeting the needs of PAPG reliably on a day-to-day basis.
- *System Training* – The necessary training to allow workers to use the CMS to perform their job functions.
- *System Documentation* – The documentation necessary to effectively administer the system.
- *System Maintenance and Support* – The professional and technical services as well as software updates necessary for PAPG to effectively manage and maintain the system implemented.

C. Company Information

Within their response, RESPONDENTS should provide the following information, for each company included on the submittal.

- Brief overview and history of the company and the services offered.
- Role on this project:
 - » Function provided.
 - » Prime contractor/subcontractor.

D. Relevant Project Experience

RESPONDENTS must include a brief description of all similar projects they have performed in the past 5 years. Each project listed shall include the name, telephone number, and e-mail address of a contact person for the project, for review purposes. This section of the response shall include documentation of RESPONDENT's history of adherence to strict schedule and budget constraints. All firms are encouraged to indicate their experience of performing related work within the state of Nevada.

In addition, RESPONDENTS' responses should address the following:

- Has the company ever had a contract canceled?
- If yes, please indicate the client(s) and explain the situation(s).

E. Proposed Project Team

Submittals need to include an example of the type of team structure that would be proposed for this project (size, background/qualifications of team members, etc.). For each member of the proposed project team, RESPONDENTS must provide information concerning the educational background, experience, and professional resumes of those persons who would



actually perform work on the project and identify whether those persons currently reside in Clark County, Nevada, or elsewhere. In addition, RESPONDENTS must indicate the present workload of the proposed staff to demonstrate their ability to devote sufficient time to meet the proposed project schedule. The successful RESPONDENT(S) shall not change proposed project personnel for which a resume is submitted without OWNER approval.



IV. Organizational Overview

The Clark County PA is responsible for administering the estates of deceased persons who have no qualified or willing person able to perform those duties. By state law, the PA is responsible for ensuring the security of a deceased person's property until it is claimed by a relative or other authorized person. The PA becomes involved with an estate when there are no known heirs, no executor has been appointed, the named executor fails to act, the PA is named as the executor, or the heirs wish for the PA to administer the estate for them.

The Clark County PG is responsible for the protection of individuals who are legally determined to be incapable of administering their own affairs. In fulfilling that responsibility, the Public Guardian's case managers render decisions regarding the personal, social, medical and financial management of their clients or wards. Like Clark County Social Service, which is the "payor of last resort," the PG is the "guardian of last resort" and will accept cases for which there is no friend or family member who can serve as the guardian, or where there have been instances in which family members or friends have abused, neglected, or financially exploited the individual.

Organizational charts for both PA and PG are provided in Attachment B.



V. Current Technical Environment

This section provides an overview of the current PAPG technical environment and the enterprise IT strategy. The Public Administrator and Public Guardian currently has a part-time vendor to support the existing CMS (Mission). The Document Imaging system is supported by Global 360 and the Clark County IT Help Desk. The department's IT infrastructure (network, servers, database, desktops) is maintained by the County Department of Information Technology. It is the Information Technology Department's goal to develop an Enterprise Technology Architecture that will leverage the County's existing investments as much as possible to enable the delivery of new services in an efficient, integrated, and cost-effective manner.

A. Applications Environment

1. Case Management System

Mission, written with Ryan McFarland RMCOBOL85, provides PAPG with basic functionality to support the department's intake, case management, and financial management processes. This COBOL application was originally developed in 1984 to give the PA and PG an accounting system to account for all of the income, expenses and property belonging to those persons or estates under their jurisdiction. The data is stored on the County's CCENTNAS2 server. System security is maintained through their user passwords. A time stamp security is also maintained on the system to restrict the time and date a user may access the system.

As Mission was implemented to meet agency requirements with technologies that were popular at that time, the system is challenged to deliver the enhanced functionality necessary to adapt to the changing requirements of today's business environment. The current system is unable to integrate new technologies to enhance service delivery to a rapidly expanding customer base.

The County's strategic direction is to replace legacy systems, such as Mission, with commercial-off-the-shelf systems that can be configured to meet the needs of the department and their clientele. A system that will enhance operational efficiency, improve service delivery response time, increase potential for wards to obtain the best financial gain possible and integrate with multiple intake channels (i.e. mobile devices) is desired.

2. Document Imaging System

PAPG currently uses the Kofile Visual Information System (KoVIS) as its solution for imaging and retrieving case documents. KoVIS does not provide PAPG with functionality for document check-in/checkout, version control, work flow, records management, or document-centric collaboration. During the next fiscal year, the County plans to assess its enterprise



content management needs and develop a strategy for implementing a process-focused enterprise content management solution.

3. Business Intelligence/Data Warehousing

The Mission technical environment requires programming skills to develop operational and management reports. The Department of Family Services and the Clark County Coroner's Offices at the County are currently piloting a Business Intelligence/Data Warehousing solution using COGNOS analysis and reporting tools. A new CMS is being developed for the Department of Social Service that will include the ability to analyze data and produce reports using COGNOS. The new Public Administrator and Public Guardian case management solution will need to provide not only enhanced end-user tools for operational reporting, but also tools (or data integration with the COGNOS toolset) for enhanced analytical reporting for the PAPG management team.

B. Countywide Applications

The County currently uses the standard Microsoft Internet Explorer, MS Office applications (Word, Excel, Access, PowerPoint), Windows 2000, Windows 2003, XP and Microsoft Exchange e-mail solution.

C. Database Environment

Mission data consists of 55 indexed sequential tables. Data for the system is maintained by the vendor on the County's IT CCENTNAS2 server. The data is stored for each department separately and backed up nightly.

The County supports both Oracle and Microsoft SQL Server database administration platforms.

D. Server/Storage Environment

County IT supports IBM P series AIX and Dell Windows 2K server environments, utilizing VMware software to leverage server resources wherever possible. Both NAS (EMC Celerra and IBM) and SAN (EMC CLARiiON and Symmetrix) technologies have been implemented as County-networked storage solutions. EMC Centera provides County businesses with content-addressed storage solutions for fixed content applications.

E. Telecommunications Environment

The County's Wide Area Network (WAN) is composed of a mixture of Frame Relay, ATM, and Ethernet links between the County Operations Center and approximately 80 remote locations. Speeds range from 1.544mb/sec (T1) on the legacy Frame and ATM links to 1000mb/sec (Gigabit Ethernet) on the newer WAN-Ethernet links. The County utilizes the Cisco Secure Network foundation to provide integrated routing, switching, and wireless solutions to meet the performance and security requirements of its business units. Directory



services are provided through Microsoft Active Directory and Computer Associates eTrust identity management solutions.

Clark County has a strategic plan to implement a new telecommunications system that can provide the necessary technology to achieve Clark County's telecommunications goals which are as follows: reduce telecommunications costs; increase security, availability, and reliability of Clark County's network infrastructure; maintain or improve on the quality of service delivery currently provide by Clark County's telecommunication services; eliminate unnecessary or inefficient telecommunications wherever possible; improve the manageability of existing/new technologies by enhancing processes and providing appropriate management tools and reporting; provide comprehensive support for advanced applications; and maximize interoperability among agencies within Clark County.

Clark County is deploying a centralized IP Telephony system based on Cisco's call manager. The system completes phone calls using packet switching over the County's converged enterprise network. Speech is captured by a codec and converted into digital audio streams for transmission. The audio stream is then broken into smaller pieces, "packets", which traverse the network to the destination where the stream is converted back into analog. This is different than traditional phone calls which rely on dedicated circuits to connect analog calls. Dial tone is provided by a traditional phone company over dedicated PRI (Primary Rate Interface) lines connected to a gateway. Latency and jitter are minimized by using VLAN's and QoS to guarantee delivery in real time. All call processing functions are redundant with a second PBX located off premise. Call recording and paging are provided as adjunct services to the main PBX.

F. Desktop Environment

The current PAPG client infrastructure consists of Dell workstations running Windows XP. Most County applications are deployed using Microsoft Installer (MSI) packages but Windows terminal services have been utilized when the logistics for deploying through MSI are not effective. To reduce the cost of managing client installations and updates, Web-enabled applications are preferred to applications that require desktop deployments. PAPG is very interested in enabling remote application access to improve productivity for mobile staff. IT supports Windows mobile device technology for this purpose.



VI. Project Expectations

A. Current Environment

A review of PAPG business processes reveals that the current CMS severely limits the capabilities of PA and PG to efficiently and securely access, track and share information, adhere to legal requirements, and monitor operational effectiveness.

The existing CMS does not pre-populate forms, letters or other notices nor does it interface with the MS Access database that is used to manage the warehouse inventory. Where security and quality controls exist, they are limited and primitive. Almost any worker with access to the system can change certain historical financial data. This inability to track when changes have been made and by whom increases the risk for waste, fraud and improper use of funds.

The system also provides little in the way of automation, in terms of notifications, alerts, scheduling, prioritization and workflow. A number of disparate manual, paper-based processes, individualized workarounds and ad-hoc tools have materialized given the lack of functionality present in the existing system and, as a result, communication and information sharing is hindered among different functional areas, as well as with partner organizations.

It is difficult to utilize the existing technology to measure and report on the performance of workers. Although the existing system allows workers to enter and categorize how time is being spent if desired, the system does not as a matter of course capture any performance data or integrate with any industry-wide reporting or performance measurement systems, which makes it difficult to manage the organization and determine the effectiveness of process changes.

A command-line based COBOL application, the current CMS relies on outdated technology with little active development, raising concerns about future support for the system. Its human interface relies on the exclusive use of non-intuitive key commands rather than menus that can be navigated by the mouse, which makes utilizing and mastering the system difficult and time-consuming.

B. Expected System Benefits

CMS replacement will support a new business environment that meets the core services, outcomes, and performance indicators previously identified as priorities by Clark County for the Public Administrator and Public Guardian by achieving higher service levels at lower costs. These benefits are briefly enumerated below.



1. Improved service delivery response time.

The ability to receive web-based referrals and share information electronically where appropriate from partners such as the Coroner's office and Social Service in the new CMS will reduce the time required to respond to requests for services. Case managers will be able to dedicate more of their time to responding to client inquiries, performing monthly visits and developing individualized case plans and budgets.

2. Enhanced operational efficiency.

With a growing and more elderly population, PA and PG must be able to keep pace so that the needs of potential clients are being met. With a new CMS, case managers will need to spend less time searching for data and manually tracking client progress. Automated work queues and electronic routing of documents will also result in a reduction in manual, paper-based processes, and the ability to access the CMS and enter and track inventory remotely will decrease redundant data entry.

3. Increased potential for wards to obtain the best financial gain possible.

Clients' daily care and quality of life is dependent upon prudent management of financial assets and the financial stability of clients. The new CMS will provide a more robust, secure and timely method for documenting case activity and tracking asset appraisals, interest on investments, property sales and other related financial gains, which will ensure that clients are obtaining the best financial gain possible in selling their personal property.



VII. Project Approach

RESPONDENT should describe in detail the approach to the project and include a preliminary project plan that includes:

- RESPONDENT's approach to the project, including the methodology to be used and the major deliverables to be produced.
- Project organization chart.
- Planning assumptions.
- Planning constraints.
- Proposed schedule (work plan) including tasks, milestones, dates for completion, OWNER and RESPONDENT resource assignments, critical path, and OWNER's review cycles. The County expects to provide a minimum staffing level of 50 percent of the total implementation hours but reserves the right to alter the mix through further discussion with RESPONDENT.
- Statement of why RESPONDENT is best suited to perform the services for this project.

In developing its submittal, RESPONDENT should specifically address the following areas and how it will deal with the following issues:

- *Project Planning and Management* – How will RESPONDENT's approach or resource allocation address PAPG needs and ensure the involvement and buy-in of PAPG staff? What type of rollout strategy does RESPONDENT recommend to meet the PAPG timeline for implementation?
- *System Requirements* – How can RESPONDENT assure PAPG that the system will meet PAPG requirements on the first day of operations?
- *Configuration* – What is RESPONDENT's approach to configuring the CMS solution to meet the needs of PAPG including specific program requirements?
- *Data Conversion* – How does RESPONDENT recommend that PAPG proceed with the transfer and validation of data from Mission to RESPONDENT's solution?
- *Interface Development* – What is RESPONDENT's approach toward development of the proposed system interfaces?
- *Forms and Reports Creation* – What kind of assistance does RESPONDENT provide with development of the forms and reports for use in the CMS?
- *System Testing* – How does RESPONDENT conduct the testing required to adequately assess that the system is meeting the needs of PAPG reliably on a day-to-day basis?



- *System Training* – PAPG requires a comprehensive training program. What is RESPONDENT's approach to user and administrator training, and what forms of documentation and in-session help are offered?
- *System Documentation* – PAPG requires a full set of system documentation. What forms of documentation and in-session help are offered?
- *System Maintenance and Support* – It is very important that the replacement CMS not only be configured to meet the needs of PAPG on day one of operations, but that the system is supported and modifications made in a timely and cost-effective manner as problems arise or as the needs of the department change over time. How does RESPONDENT seek to assist Clark County IT staff to meet this objective?



VIII. Software Licensing and Support

It is PAPG's desire to enter into a support and maintenance agreement with its CMS provider. This section defines the information PAPG seeks from RESPONDENT with regard to licensing, support and maintenance, upgrades, and warranties. Within its response, RESPONDENT must:

- Submit, as part of its submittal, a copy of all standard agreements, to include a license agreement and maintenance, support, and escrow agreements.
- Describe the type of maintenance/support plans available. This should include but not be limited to:
 - » The different levels of software support available.
 - » RESPONDENT's recommendation for the level of software support necessary for PAPG.
 - » Mediums for support (Web sites, toll-free numbers, e-mail, fax, etc.).
 - » Service response times (in hours).
 - » Standard warranty period.
 - » Policy on software upgrades.
 - » Frequency of software upgrades.
 - » Cost of software upgrades.
 - » Customer information bulletins.
 - » User groups.
 - » Nature of software license (user-based versus enterprise-level).

The above information should be provided for each piece of software proposed and/or vendor solution.



IX. Technical Environment

This section defines and discusses PAPG's technical requirements for a new electronic CMS. In addition to the technical requirements, PAPG asks RESPONDENTS to provide additional technical information regarding their solution.

A. Technical Requirements

PAPG's technical requirements are included as ATTACHMENT C. For each of the technical requirements, RESPONDENT must indicate whether its proposed solution meets, partially meets, or does not meet the requirements. The valid response codes for the technical requirements are defined below:

- "I" – No customization needed for proposed system.
- "F" – Scheduled for a future release.
- "M" – Modification of the application source code needed for proposed system.
- "N" – Outside the scope of system and not proposed.

B. Technical Architecture Information

In addition to the technical requirements, PAPG seeks additional information regarding the architecture and components of the proposed solution. This questionnaire is included as ATTACHMENT D and must be completed in its entirety by RESPONDENT, but generally RESPONDENTS should address the following topics:

- *Architecture* – Please describe the architecture of the proposed solution. If possible, please include a diagram depicting the proposed solution. Areas that should be addressed include, at a minimum:
 - » Proposed storage solution.
 - » Proposed database solution.
 - » Proposed application and Web server solution.
 - » Proposed reporting and publication solution.
 - » Necessary network devices included in the solution.
- *Ideal Solution* – RESPONDENT should discuss why its proposed solution architecture is ideal to meet the needs of PAPG.
- *Hardware/Software List* – Based on the proposed solution architecture, RESPONDENT should provide PAPG with a detailed list of the hardware and software required to implement the proposed solution.



X. Functional Environment

This section defines and discusses PAPG's functional requirements for a new system that supports intake, eligibility determination, case management, and financial management. In addition to the functional requirements, PAPG asks RESPONDENTS to provide additional functional information regarding their proposed solution.

A. Functional Requirements

PAPG's functional requirements for a CMS are included as ATTACHMENT G. The organization of the functional requirements is defined in the table below.

For each of the functional requirements, RESPONDENT must indicate whether its proposed solution meets, partially meets, or does not meet the requirements. The valid response codes for the functional requirements are defined below.

- "I" – No customization needed, but configuration may be required. Please provide the level of effort needed to configure system (in person-hours).
- "F" – Scheduled for a future release. Please provide expected release date.
- "M" – Modification of the application source code needed for proposed system. Please provide the level of effort needed to make changes (in person-hours).
- "N" – Outside the scope of the system and not proposed.

Reporting is a key component of the new CMS. ATTACHMENT H provides sample management reports currently utilized by OWNER. The proposed system should at a minimum ensure that comparable reporting capabilities exist.

B. Additional Requested Information

It is important to note that the functional requirements listed in the attachments are based on a review of existing business processes and planned changes in line with PAPG's desired future environment. At the same time, there are areas where PAPG may decide to minimize the configuration and customization costs associated with this procurement and be willing to amend its business processes to conform to the processes within the CONTRACTOR's system, especially when these changes do not negatively impact service delivery. Therefore, RESPONDENTS should focus their responses on detailing how their system manages the functional requirements and how PAPG may alter its business processes to achieve conformance with the functional requirements within the context of RESPONDENT's system, or explain why the functional requirement(s) may not be necessary as part of a new implementation.



XI. Cost Submittal

This section provides the format to supply the detailed breakdown and summary of licensing and cost for the systems proposed to PAPG. Worksheets for the submission of all cost information are included as ATTACHMENT I. The following cost schedules are included in the attachment:

- *Schedule 1: Summary* – This schedule summarizes the total cost of software, hardware, professional services, and maintenance for the proposed system. The schedule consolidates information provided on the other cost schedules. Also included on Schedule 1 is the cost of software maintenance for a 10-year period. If the bid includes third-party software, include the software maintenance cost for the third-party products.
- *Schedule 2: Software Licensing Fees* – On this schedule provide detailed information on all software licenses that are required to support the submittal. This will include first-party software which should include licensing information for each component or module that is included in the submittal. Provide licensing alternatives to describe your procurement options (seats, named users, concurrent users, Internet users, limited-use users). Include the cost of the license, the number of seats included in the license, and the costs of each additional user. Also include any discounts that are being applied. In addition to the first-party licensing information include information related to third-party application and system software that is included in the submittal.
- *Schedule 3: Hardware Costs* – Provide an itemized list of all hardware included in this submittal. This should include all of the hardware that will be provided by the vendor, hardware that will need to be acquired from third parties, and assumptions about hardware that exists within the County that will be used to support the system. For all hardware that will be purchased, include the number of units, the unit costs, the installation costs, and any applicable discounts. It is important to note that PAPG reserves the right to purchase specified hardware from its own hardware vendor(s) and may not include hardware in the final contract.
- *Schedule 4: Professional Services* – Describe and list all costs that would be associated with the implementation of the proposed CMS solution. These costs should be delineated for each of the following areas as they relate to the entire implementation life cycle:
 - » *Project Planning and Management* – Management of the project scope, ongoing risks and issues; establishment and monitoring of schedules; measurement of progress against budget and timelines; and tracking of deliverable review and approval processes.



- » *System Requirements/Design* – Review of existing functional and technical requirements, definition of detailed requirements, and design of the new CMS.
- » *Configuration/Build* – Configuration and modification of the CMS solution to meet the needs of PAPG including specific program requirements.
- » *System Testing* – The testing required to adequately assess that the system is meeting the needs of PAPG reliably on a day-to-day basis.
- » *System Training and Documentation* – The necessary training to allow workers to use the CMS to perform their job functions. This should include all costs associated with user and PAPG technical team training and documentation.
- » *GoLive & Support* – The level of preparation for implementation and post-implementation support that will be provided.

The hours and rates for each of these phases should be allocated to one of the following implementation activities:

- » *Data Conversion* – Assistance with the transfer and validation of selected data from Mission to RESPONDENT's solution. The Mission Conversion Analysis is provided in ATTACHMENT E.
- » *Interfaces* – The development of the system interfaces outlined in ATTACHMENT F.
- » *Modifications and Customization* – The development and configuration of the system to meet the specific needs of PAPG.
- » *Forms and Reports Creation* – Assistance with development of the forms and reports in the CMS.
- » *All Other Implementation Services* – Other activities that are not directly related to the above.

This schedule should include the blended rate and number of hours for each activity, including an estimate of the number of hours of County staff time that will be required.

- *Schedule 5: Training Costs* – Describe on this schedule the cost of providing end-user and technical team training. The types and location of classes to be provided and the number of students to be trained in each class should be included. Also, include an estimate of the total time the County staff will spend on training-related activities.
- *Schedule 6: Travel and Other Costs* – Identify any direct travel-related costs and provide an itemized list of any costs not identified elsewhere.



It is PAPG's desire to pay the vendor for services and software based upon the acceptance of project deliverables and milestones. Please indicate whether RESPONDENT objects to this payment strategy.

Attachment A
"To Be" Process Model

Public Administrator and Public Guardian
Clark County, Nevada
Business Process Assessment

Attachment A – “To Be Model”





TABLE OF CONTENTS

| | <u>Page</u> |
|--|-------------|
| I. Introduction | 5 |
| A. Approach..... | 5 |
| B. Purpose..... | 5 |
| C. Overview..... | 5 |
| II. Reception | 8 |
| A. Findings..... | 8 |
| B. Opportunities..... | 9 |
| III. Guardian and Rep Payee Case Assessment | 13 |
| A. Findings..... | 13 |
| B. Opportunities..... | 14 |
| IV. PA Investigations | 17 |
| A. Findings..... | 17 |
| B. Opportunities..... | 17 |
| V. PA Case Initiation | 20 |
| A. Findings..... | 20 |
| B. Opportunities..... | 20 |
| VI. Guardian and Rep Payee Case Activity | 23 |
| A. Findings..... | 23 |
| B. Opportunities..... | 25 |
| VII. Inventory Management | 28 |
| A. Findings..... | 28 |
| B. Opportunities..... | 29 |
| VIII. Financial Management | 32 |
| A. Findings..... | 32 |
| B. Opportunities..... | 33 |
| IX. Revised Business Process Descriptions | 36 |
| X. Revised Business Process Diagrams | 83 |



I. Introduction



I. Introduction

The Business Process Assessment is designed to review current business processes employed by PA and PG and to identify opportunities for improving case management processes and agency interactions. In particular, the project is focused on the interaction and data sharing among different functional areas in order to determine appropriate process and system changes and plan for the implementation of those changes.

A. Approach

This document describes findings, opportunities and recommendations related to PA and PG processes identified through a variety of methods including:

- Analysis of current business processes.
- Review of the current technology environment.
- Interviews and focus group sessions with PA and PG staff and stakeholders.
- Review of background documentation and other materials.

B. Purpose

The purpose of this document is to capture findings, opportunities and recommendations that were identified by stakeholder groups, process owners and the project team during the development of the current environment deliverable. Specifically, opportunities for improvement were considered if they are projected to result in:

- Greater accountability.
- Better sharing of information.
- Improved client monitoring and tracking.
- Reduction in redundant or duplicate work.
- Increased productivity and efficiency.
- Reduction in paper based processes.

The opportunities described in this document provide the basis for recommendations to change the business practices of PA and PG.

C. Overview

This document discusses issues within the context of four functional areas, as categorized in the table below, and concludes with an illustration of how the redesigned processes might look.



| Intake | Case Management | Inventory Management | Financial Management |
|-------------------------|----------------------------|----------------------|----------------------|
| Reception | Guardianship Case Activity | Warehouse Management | Accounts Receivable |
| Guardianship Assessment | Rep-Payee Case Activity | Vault Management | Accounts Payable |
| Rep-Payee Assessment | PA Case Activity | | Reconciliation |
| Investigations | Guardianship Case Closure | | |
| PA Initiation | Rep-Payee Case Closure | | |

Each section covers processes within these functional areas, and addresses pertinent findings, opportunities for improvement and associated recommendations. Each table of opportunities contains the following information:

- *Reference* – A unique identifier of the opportunity.
- *Opportunity Title* – A descriptive title of the opportunity.
- *Recommendation* – The recommended course of action.
- *Policy* – An indication of whether there is a need for a change in policy with the recommendation.
- *Technology* – An indication of whether there is a need for a change in technology support with the recommendation.
- *Organization* – An indication of whether the recommendation necessitates a change in organizational structure or a change in individual roles and responsibilities.

Following the tables are detailed descriptions of the opportunities and their associated recommendations. Often the recommendations provide a range of alternative approaches for addressing issues, although it is likely that additional recommendations will materialize as the project continues.



II. Reception



II. Reception

The front office is primarily responsible for managing requests for information and referrals, dispatching PA investigators, scheduling PG trainings, and processing mail, deliveries and pickups. Findings, opportunities and associated recommendations are presented below.

A. Findings

Listed below are three primary findings related to reception.

1. The Volume and Types of Calls are Difficult to Manage Given Existing Technology Support

Public service specialists (PSS) manage hundreds of calls on a daily basis, some of which are unrelated to the services provided by PA and PG. It is the primary responsibility of the PSS to determine the relevance of the call, and to handle every call with a high degree of professionalism. However, some of the calls are difficult and inappropriate, which takes a significant amount of time for the PSS to manage.

In addition, there is no standard process for dealing with difficult callers. While it is understood that the nature of the call varies considerably, a standard process, including some sort of pre-recorded message difficult callers could be routed to, would help eliminate some of the frustration felt while handling these calls.

2. Rep-Payee Clients Comprise the Largest Percentage of Harassing or Repetitive Callers

Rep-payee clients comprise the largest percentage of harassing or repetitive callers. Clients are typically requesting additional funds or checking on the status of their payments. Both PSS and case managers spend a considerable amount of time responding to these calls, as well as calls from bill collectors and other interested parties.

3. It Is Difficult to Access Information in Mission That May Relate to a Specific Call Request

PSS are required to gather pertinent information about each call before it is transferred to a case manager. In order to know the nature of the call and the name of the assigned case manager, the PSS may have to look up the information twice in Mission, once for PA and another time for PG. Indeed, Mission has a number of limitations that increases the amount of time PSS spend with each caller. In particular, Mission is unable to recognize spelling variations and unable to search when specific case information is unknown, forcing PSS to use multiple screens to ascertain pertinent information. In addition, a caller may have a case number provided by Metro Police or the Coroner's Office, but these numbers do not correspond to PA case files. The inability to find information in a timely fashion is frustrating for both the individual seeking information, as well as the PSS attempting to aid the caller.



4. Tracking the Availability of Staff Resources and Dispatching Investigators Is Inefficient

PSS need to track the availability of both PA and PG personnel in order to appropriately route calls. Currently it is up to PA and PG personnel to notify the front desk of their status. There is no way for PSS to check at a glance as to the availability of different staff members.

Dispatching PA investigators is likewise a manual process, whereby information is relayed over the telephone by the PSS. Information is captured on a call out sheet, but then the paper is thrown away after the investigator has been dispatched. This information is obtained again later in the process. This redundant process lends itself to a high probability of capturing inaccurate and/or incomplete information, and therefore presents a considerable opportunity for improvement.

B. Opportunities

PA and PG have several opportunities for change with respect to the client/ward intake process. These are summarized in the table below.

| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|--|---|--------|------------|--------------|
| III.B.1 | Increase front office effectiveness. | <ul style="list-style-type: none"> Track calls. Introductory recording. Caller ID. Queue calls. Record calls. Appointment only. | ✓ | ✓ | ✓ |
| III.B.2 | Decrease time needed to respond to and handle inquiries. | <ul style="list-style-type: none"> Cross reference outside ID numbers. Allow partner agencies to access and enter data into CMS. Implement a single CMS for use by both PA and PG. | ✓ | ✓ | ✓ |
| III.B.3 | Improve tracking and dispatch capabilities. | <ul style="list-style-type: none"> Online availability. Electronic referrals. Automated dispatch. Online delivery and pickup tracking system. | ✓ | ✓ | |

These opportunities and associated recommendations are described in greater detail below.



1. Increase Front Office Effectiveness

It is possible to increase the effectiveness of the front office by decreasing the number of inappropriate callers and visitors. Inappropriate and unrelated callers detract from providing the office's core service functions. Below are a range of associated recommendations that can assist in increasing the effectiveness of the front office. Recommendations presented below range in severity, from least to most severe.

- *Have PSS Track Calls* – This will provide a record of the nature and frequency of different types of calls to see how much time and effort is being taken by each type of call. It will help determine if a small number of callers are monopolizing the time of PSS. However, it will not directly decrease the number of inappropriate calls.
- *Implement a Caller Identification System* – This will allow PSS to identify frequent, inappropriate callers and prioritize those calls accordingly.
- *Create an Introductory Recording With Basic Information, Including the Purpose of the Office, Operating Hours, How to Refer a Case, etc.* – Such a recording would address calls requesting general information, thus decreasing the need for PSS to answer these calls.
- *Allow Calls to be Placed in a Queue* – One factor that makes it difficult to manage the volume of calls is the lack of a way to prioritize calls by putting them into a queue. A queue would help the PSS determine callers requiring immediate assistance from those requesting general information.
- *Record Calls* – Ask caller for permission to record call for customer service purposes and inform him or her that complaints and disputes can only be resolved if the call can be recorded. This will discourage rep-payee callers and others from becoming abusive or calling incessantly.¹
- *Make Both PA and PG by Appointment Only* – Abusive, obscene or inappropriate people would not be allowed on the premises, and only those who had made a prior appointment would be seen. One factor to consider, however, is that this may make the office appear less approachable and responsive to the needs of the community.

2. Decrease Time Needed to Respond to and Handle Inquiries

The current system forces the PSS to navigate multiple screens and search in both open and closed records for pertinent information, which is time consuming. With this business process assessment and potential for procurement of a replacement CMS, there is an opportunity to decrease the time needed to respond to a caller's request while keeping other calls on hold, which directly impacts customer satisfaction. Below are three recommendations for decreasing the time needed to respond to and manage customer inquiries for information.

¹ Rep-payee clients have been identified as the majority of repeat callers.



- *Cross-Reference Coroner and Metro Case Numbers With PA Cases* – Family members of the deceased sometimes will only have a case number related to the Coroner's office or Metro Police. When the family member calls PA they expect that the number will help identify the case. Allowing PSS to record this information will allow subsequent inquiries to more easily locate important information.
- *Allow Partner Agencies to Interface With or Otherwise Have Limited Access to the PA and PG CMS* – The optimal solution would allow partner agencies to enter information directly into the PA system with appropriate security measures in place. This would improve the completeness and accuracy of the referral information being entered, reduce redundant data entry and allow PA and PG to have more complete, holistic information in order to provide better service to all concerned parties.
- *Implement a UNified CMS That Has Flexible Search Options* – A unified CMS would allow PSS to search for and retrieve information in a timelier manner. If PA and PG were to use a single CMS, the amount of time it currently takes for PSS to search two separate systems would be eliminated. PSS would then be able to spend more of their time assisting caller rather than navigating information technology.

3. Improve Tracking and Dispatch Capabilities

The front office provides a central location for numerous key business activities, including scheduling pickups and deliveries, receiving PA referral information, dispatching PA investigators and maintaining calendars and schedules.

- *Require Workers to Show Availability Online* – Workers would be required to keep an up-to-date schedule and/or use instant messaging software that identifies availability (busy, available, out to lunch, etc.) This will free PSS time for more important activities while more accurately reflecting actual worker status, thus allowing PSS to route calls to the appropriate resource more efficiently.
- *Implement Work Flow Rules That Automate the Dispatch of Investigators* – One option is for investigators to enter availability on a weekly basis so that the CMS could automatically select and electronically notify the next available investigator for dispatch.
- *Track Pickups and Deliveries Online* – On occasion, the status of a pick up or delivery is questioned. In these cases, PSS have to search through hard copy files to retrieve the delivery/pick-up request. This search is a burden and time-consuming process that can be eliminated by tracking pickups and deliveries online.



III. Guardian and Rep Payee Case Assessment



III. Guardian and Rep Payee Case Assessment

Once referrals have been received, the application undergoes an assessment to determine the appropriateness of the application for the program. During the assessment process, referring material is reviewed for the appropriateness of the request.

For guardianship referrals, a decision whether to seek temporary guardianship is made, and the referral is either accepted or the referring party is notified that an application is not accepted. In the case when temporary guardianship is granted, case managers may be required to secure the ward's property.

Individuals who are capable of making sound decisions, but lack the ability to manage their personal finances may be appropriate candidates for one of two representative payee (rep-payee) programs, one for those over 60 years of age and one for those younger than 60.

On occasion, a person will be referred to the guardianship program, but be more appropriate for the rep-payee program. This is determined during the guardian assessment process, and applications are routed appropriately.

The findings, opportunities and associated recommendations for effectively and efficiently reviewing guardian and rep-payee applications are addressed below.

A. Findings

Two findings related to the guardianship and rep-payee referral assessment process are discussed.

1. Referrals Require Immediate and Timely Review

All referrals are reviewed immediately by both a supervisor and the Public Guardian. This review is to determine the level of urgency of the application, as well as to conduct an initial assessment as to the appropriateness of the request. For prospective clients of the guardianship program, a visit must be conducted for 7 working days of receiving the referral, and for rep-payee program over 60 years of age, a visit must be conducted within 10 working days. Thus, anything that can increase the speed and efficiency for reviewing referrals is an important opportunity for improvement.

While there is a standard referral form used for referring a case, this form is only available in hard copy and is either dropped off at the front desk, mailed or faxed to the intake case manager. Information is then entered into Mission in an unstructured field called the AC screen.



2. Tracking Activities Related to Case Referral Status Are Manual, Non-Standard Processes

Supervisors are responsible for tracking all case management activity, including check requests and documents sent to court. In addition, during the assessment process the Public Guardian petitions the court for guardianship, which requires tracking of the court's processes (i.e., when the case is to be heard, status of petition, etc.). However, tracking of case referral status is without the benefit of any system-wide tool and is performed by disparate spreadsheets maintained by individual case managers.

B. Opportunities

There are several opportunities for change in PA and PG with respect to the assessment processes. These are summarized in the table below.

| Reference | Opportunities | Recommendation | Policy | Technology | Organization |
|-----------|---|--|--------|------------|--------------|
| IV.B.1 | Decrease number of inappropriate requests for services. | <ul style="list-style-type: none"> Additional online resources. | ✓ | ✓ | |
| IV.B.2 | Decrease the amount of duplicate work. | <ul style="list-style-type: none"> Institute electronic referrals. Scan data from faxed referrals into CMS. | ✓ | ✓ | ✓ |
| IV.B.3 | Improve accountability and transparency | <ul style="list-style-type: none"> Work flow management procedures. Automate case assignment. Automate letter requests. | ✓ | ✓ | |

These opportunities and associated recommendations are described in greater detail below.

1. Decrease the Number of Inappropriate Requests for Services

During the assessment process applications are reviewed to determine if they are appropriate for PG services. By providing additional information to the referring party of who qualifies for the program would help potential applicants determine if the service is appropriate for them.

- Provide Additional Online Resources* – Currently, information is posted on the Website listing qualifications for services. It would be useful to create a checklist that provides additional detail of who qualifies for services.



2. Decrease the Amount of Duplicate Work

Throughout the intake process, some of the same information is obtained by the referring party, the PSS and the intake case manager. There are opportunities to reduce the amount of double entry, and to streamline the intake process.

- *Require Frequent, Known Referrers (Coroner's Office, Hospitals, Nursing Homes) to Submit Referral Information in an Electronic Format* – At a minimum, the electronic referral could take the format of a form that is completed and submitted online. Currently, while there is a standard referral form used for referring a case, this form is either dropped off at the front office or sent or faxed to the LOS requiring that the information be entered again, this time into Mission, which does not impose any structure to how this information is entered.
- *Scan and Download Data Into the CMS* – Hard copy referrals would be scanned, the data optically deciphered and automatically downloaded into the system. This would eliminate a considerable amount of redundant work re-entering data that should be automatically accessible to the CMS.

3. Improve Accountability and Transparency

Due to the time sensitivity of many transactions at PG, it is important to have a transparent system that allows employees to see the status of document review and approval. Instituting work flow management procedures would create a more transparent process, with adequate controls for ensuring the timely submission of reports.

- *Implement Supervisor Work Queues With Appropriate Prioritization and Notification* – When documents require supervisory approval they can automatically be assigned to the supervisor's queue and prioritized based on pre-set rules. The system can then provide notification to the supervisor that documents require review. In addition, consider implementing electronic signatures, as doing so will completely eliminate routing paper documents throughout the office and decrease opportunities for documents to be misplaced.
- *Automate Process for Assigning Case Manager* – The assignment of case managers to a specific case is based on a rotating schedule, and thus can easily be automated with the ability of supervisors to override any such assignment, if necessary.
- *Automate Request Letters* – There are several instances where the letters should be automatically created and pre-populated with data from selected fields from the CMS based on work flow rules.



IV. PA Investigations



IV. PA Investigations

The PA office is responsible for securing property when family is not present at a death. Investigators are dispatched either by the PSS at the front desk or through an answering service after-hours. Below are findings, opportunities and recommendations for improving the PA investigations process.

A. Findings

Listed below are three findings associated with PA Investigations.

1. Duties and Responsibilities Overlap With the Coroner's Office, Which Results in Confusing Policies and Duplicate Work

Certain job functions performed by PA, such as that of securing property, could be interpreted by statute to be a responsibility of the Coroner's office. For instance, one of the strategic initiatives identified for the Coroner's office involves securing property, although this function is currently performed by PA.

Policies that specify to whom property can be released are different between PA and the Coroner's office. The Coroner's office can only release property to next of kin, while PA can release property to any family member that is present at the scene. On occasion, investigators are called out to basically transfer the property from the Coroner official to the family member present. If the Coroner's office could release to family members, the need to call out an investigator in those instances would be eliminated.

2. Some Investigator Call-Outs in the Middle of the Night Are Unnecessary

On occasion, nursing homes and other long-term care facilities call for an investigator in the middle of the night. These facilities typically have a place to put the deceased until morning. Dispatching an investigator during non-business hours is more costly than if dispatched during normal business hours. This has been identified as a potential cost savings by PA management.

3. New Tablet PC Hardware Cannot Fully Be Utilized

PA recently purchased new handheld devices, which will allow investigators to log inventory at the scene, thus creating the inventory of personnel effects document in an electronic form. This will ease the process of checking in inventory into the vault and the warehouse. However, data entered into the new devices can not be downloaded into Mission, and therefore duplicate data entry will still be required.

B. Opportunities

PA has several opportunities for change with respect to investigations. These are summarized in the table below.



| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|---------------------------------|---|--------|------------|--------------|
| V.B.1 | Promote interagency cooperation | <ul style="list-style-type: none"> Clarify roles and responsibilities. Enhance cooperation. | ✓ | ✓ | ✓ |
| V.B.2 | Reduce redundant data entry | <ul style="list-style-type: none"> Interface with CMS. | | ✓ | ✓ |

These opportunities and associated recommendations are described in greater detail below.

1. Promote Inter-Agency Cooperation

There is an opportunity to promote better inter-agency cooperation. Recommendations include the following:

- Clarify Roles and Responsibility Between the Coroner’s Office and PA* – Having a clearer understanding of which agency performs a particular function will minimize confusion and duplication. Consider sharing resources and/or the allocation of labor among the two agencies.
- Enhance Cooperation Between Stakeholders and Partner Agencies* – This includes Metro, Social Service, hospitals and nursing homes. In certain cases, this should also include sharing data and providing limited access to the CMS.

2. Reduce Redundant Data Entry

There is an opportunity to leverage new technology to decrease the amount of redundant data entry.

- Develop an Interface Between Investigator Handheld Devices and the CMS* – Having the capability to download information entered on site by the investigator into the CMS will eliminate the redundant process of entering this data into the CMS.



V. PA Case Initiation



V. PA Case Initiation

The intake process continues in PA with PA case initiation. Once property is brought back to PA by the investigator, the executive assistant checks the inventory into the system. Below are findings, opportunities and associated recommendations for PA case initiation.

A. Findings

Listed below are three findings associated with initiating a case in PA.

1. Cases are Referred Between PA and PG

An investigator can be called out on an on-going guardian or rep-payee case. In these instances, the executive assistant verifies the case type and contacts PG. Case information is then transferred from one agency to the other. With respect to cases referred by PG where a ward has passed away, it can potentially be months before the case is identified as a PG referral case. If there was a better way to cross-reference PA cases with referral case, all concerned parties, including case managers and the courts, would receive earlier notification.

2. Vault Check-In Process is a Manual, Paper-Based Process With Potential for Error and Abuse

Items are inventoried on a hard copy form with multiple copies. The items are then placed in an envelope, and information is logged manually into a notebook. Copies are stored in the vault, and the same inventory information is entered into Mission. This manual, paper-based process has numerous time-consuming and tedious steps with significant potential for error and abuse.

3. The PA Case Initiation Process Contains Numerous Notifications

There are several notifications that occur during the PA case initiation process:

- If this was formerly a PG case, the PA executive assistant notifies the PG case manager of the date of death and the newly assigned PA case manager.
- The PA executive assistant notifies the LOS to pull a closed PA case.
- The PA executive assistant notifies the estate coordinator of a newly assigned case.

Some notifications are sent by e-mail, but estate coordinators are notified of a new case when they receive the paper case file from the executive assistant.

B. Opportunities

PA has several opportunities for change with respect to case initiation. These are summarized in the table below.



| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|--|--|--------|------------|--------------|
| VI.B.1 | Increase efficiency. | <ul style="list-style-type: none"> PA and PG data sharing. Electronic notifications. New cases in work queue. | | ✓ | ✓ |
| VI.B.2 | Streamline processes and enhance visibility. | <ul style="list-style-type: none"> Computerize vault check-in. | | ✓ | ✓ |

These opportunities and associated recommendations are described in greater detail below.

1. Increase Efficiency

Data and information must be shared between PA and PG.

- Allow for Sharing of Data Between PA and PG* – Relevant data needs to be shared between PA and PG. When the executive assistant enters case information, it should be readily apparent if this was previously a PG case. This will eliminate the executive assistant having to check for PG or PA open cases.
- Electronic Notifications* – Multiple notifications to case managers and PA management staff should occur when certain steps in the work flow are completed.
- Assign Cases to Work Queue* – Instead of having the executive assistant physically give case files to estate coordinators, cases with associated tasks should appear in the appropriate case manager’s work queue with automatic notification. This would obviate the need to route and store paper case files and avoid any associated delays.

2. Provide an Easier Method of Checking-In Inventory

Estate coordinators and PA management need to be able to easily identify what inventory is being held in the vault and warehouse.

- Keep Records of Items Inventoried During The Inventory Check-In Process in the CMS* – Storing records of inventoried property in the CMS will reduce the need to conduct a physical inventory in the vault or warehouse. The inventory will be more accurate and more easily accessible to all staff.



VI. Guardian and Rep Payee Case Activity



VI. Guardian and Rep Payee Case Activity

Once a case is granted permanent guardianship, the case is assigned an on-going case manager who is responsible for managing the financial, medical and personal health and well-being of the ward. Providing the best possible service is the ultimate goal of the agency, and the case manager strives to make decisions with the ward's best possible interest at heart.

Once a rep-payee application is accepted, case managers are responsible for managing the client's finances. The client's bills and income are sent directly to PG, and the client's finances are managed according to his or her budget. This budget dictates how the client's funds are to be spent, and can only be altered by supervisory approval. Since the rep-payee program is voluntary and non-legal process, accountings are not due to the court and there are no statutes dictating case management.

Below are a series of findings, opportunities and recommendations that will assist the agency in continuing to provide high quality care to their wards and rep-payee clients.

A. Findings

Listed below are several findings associated with the guardian case activity process.

1. Processes Related to Ongoing Case Management Are Not Standardized and Unsupported by the CMS

Given the specific needs of the ward, each case is unique and distinct. However, some standard processes for managing and monitoring ongoing case activity would help to ensure a consistent level of service provided to each ward. Due to a lack of support in Mission, case managers are left to their own devices to set up individual processes for managing case activity and recalling important information. This creates a lack of consistency in case management activities, and makes it difficult for someone else to step in and manage the case in the event that the case manager leaves the organization or if there is an emergency and the assigned case manager is not available.

Case managers record all case activity in an unstructured field in Mission called the T/C screen. While a procedure has been developed for structuring information (chronologically with date, time and case manager name on the top of every entry), it remains difficult to find specific information within the field. There is no find function in Mission, so case managers typically have to recall when a specific entry was made or read through the entire record.

Mission does not differentiate between closed and open cases, and it allows data entered in the past to be altered. From an auditing perspective this is problematic, because past financial data can be altered. In addition, having closed and open cases together generally creates confusion among case managers, especially if wards have similar names.



2. Emphasis on Accountability Is Not Supported by Notifications, Scheduling or Structured Review Processes

The operations of the PG office are driven by statutes and an emphasis on accountability. Case managers are required to visit their wards monthly, pay bills by important due dates, and manage their wards' medical needs, including prescription renewals. However, case managers and the FOS A/R must manually track filing dates and other important case management activity such as annual accountings. There is no notification system for upcoming reports that are due or scheduling functionality in Mission. The reports that the FOS A/R runs such as one that lists the cases for that month requiring an annual accounting provide the only notification that an accounting must be filed. Moreover, since Mission is unable to capture certain types of information, case managers must develop alternative locations for this data, such as in personal spreadsheets and text files. This deficiency is widely recognized, and case managers are expected to utilize their own processes and tools.

As highlighted in the Auditor's report, there have been instances when filings have not been made by their due dates. While PG recognizes the importance of meeting important filing dates and maintaining a high level of accountability and traceability, it becomes particularly difficult to do so without a proper notification system and structured review processes. The annual accounting, for instance, must be approved by the case manager, the supervisor and the Public Guardian so tracking where the document is in the approval process is very important. For the over 60 rep-payee clients, a report is produced every six months for a supervisor to review. To ensure that important activities do not slip through the cracks, PG needs to develop a more structured and transparent process for reviewing case activity.

3. Case Managers Have Difficulty Tracking Property of Wards

The lack of a proper inventory tracking system impedes the case managers' (as well as FOS A/R's) ability to accurately track property of wards. Inventory is brought into the warehouse and vault, and therefore must be recorded and tracked during guardianship case activity as well. There is no formal process for giving inventory information to the FOS A/R to track in Mission and record for annual accountings.

In addition, some items are being managed by third parties such as eBay and Las Vegas Auction. Both eBay consultants and Las Vegas Auction workers track their inventories separately, and PG is given a copy of this inventory list. Without a robust internal system for monitoring inventory, PG is not able to accurately reconcile these third party inventories with its own.

4. Duplicate Entry of Data for Over 60 Rep-Payee Clients Is Required for Mission and NAPIS

Currently, the rep-payee 60-plus case manager and the management analyst are required to enter information into two separate systems: Mission and NAPIS, to meet the state's reporting requirements. In the near future, the state will be using a different system that will



require even more client information to be entered. This will be the equivalent of entering the same data into two different systems, and will result in redundant work.

B. Opportunities

PA and PG have several opportunities for change with respect to client activity. There are a number of these summarized in the table below.

| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|---|--|--------|------------|--------------|
| VII.B.1 | Increase transparency and accountability. | <ul style="list-style-type: none"> Standardize processes. Create notifications and track key events using CMS. | | ✓ | |
| VII.B.2 | Increase automation. | <ul style="list-style-type: none"> Automate form letters. | ✓ | ✓ | ✓ |

These opportunities and associated recommendations are described in greater detail below.

1. Increase Transparency and Accountability

There is an opportunity to increase the overall transparency and accountability of managing case activity. Since verifying documents is an important component of case activity, specific recommendations include:

- Develop Standard Processes for Verifying Requests, Tracking Inventory, and Managing Case Activity* – While it is understood that each case is unique, certain steps can be taken to developing common practices and processes.
- Automate Notifications and Tracking* – Critical documents are due to the court on specific dates and must be tracked. This was highlighted in the auditor’s report to PG.
- Reconcile E-Bay Consultant’s List of Inventory with that of PG’s Inventory Tracking System.*

2. Increase Automation

Numerous requests are prepared by PG. It is recommended to automate the creation of certain document types in order to eliminate the need for redundant processes.



- *Automate the Creation of General Form Letters* – Upon guardian case approval, the system will generate a series of forms that are sent out to the income source, companies, and all interested parties.
- *Streamline Napis Reporting Process* – Work with Dept. of Aging to develop a streamlined reporting process. It is also possible to specify that the CMS be customized with an interface to the state program so that data will only have to be entered once.



VII. Inventory Management



VII. Inventory Management

Managing inventory is an important component of both PG and PA case activity. Inventory is brought into the vault and/or the warehouse by PG case managers or PA investigators. Below are findings, opportunities and recommendations associated with improving inventory management.

A. Findings

Below are a series of findings related to inventory management.

1. There Is a Lack of Consistent, Reliable and Accountable Inventory Tracking

Items are brought to both the warehouse and the vault when inventory is secured. Inventory is tracked in either the warehouse's Access database or a manual log in the vault. The Access system used in the warehouse is a stand-alone database that is not shared or accessible by other departments in PA or PG. This system dramatically impedes the case manager's ability to track inventory in either the vault or the warehouse.

In addition, the Financial Office Specialist for Accounts Receivables (FOS A/R) is primarily responsible for maintaining accurate inventory records for the courts, which requires up-to-date inventory tracking. Since there is not a formal process for notifying the FOS A/R of inventory, and inventory is captured sporadically and tracked in many different systems, tracking inventory is an extremely cumbersome and difficult process.

2. Not all Items Are Inventoried Onsite

Items brought to PA by investigators are inventoried onsite, and are accompanied by an inventory of personnel effects. This is in contrast to items that are brought in by warehouse personnel. In this case, items are store in the receiving area until they are able to be inventoried. Waiting to inventory items causes delays in inventory tracking. This is problematic if a family member calls and the case manager is unable to specifically tell the family member what items are in the warehouse.

3. There Is a Lack of Communication Between Warehouse Personnel and Case Managers

Communication between warehouse/vault personnel and case managers is the exception rather than the rule. Since Mission and the Warehouse's Access database do not share data, there is no way to determine what items are in the warehouse once inventoried. Case managers typically do not receive regular notifications about when cleanouts are scheduled or when work orders are to be completed. The primary communication between warehouse personnel and case managers occurs through e-mail.



4. Scheduling Clean-Outs Are Dependent on the Availability of an Outside Moving Company

Warehouse personnel work with an outside moving company to conduct clean-outs. Scheduling clean-outs is highly dependent upon the availability of the moving company. This decreases the warehouse's ability to plan and schedule, as well as decreases their flexibility.

5. Warehouse Policies and Procedures Are Not Widely Known

There is an inconsistent understanding of warehouse operations between the case managers, estate coordinators and warehouse personnel. Some processes are believed to have changed in the last couple of years, which has led to general confusion among case managers.

6. Paper-Based Processes Lead to Redundancies

Particularly with the vault, numerous paper based processes are evident that are redundant and inefficient. The vault check-in process requires numerous forms in triplicate to accomplish what a CMS with proper notification could do far more efficiently.

B. Opportunities

PA and PG have several opportunities for improvement with respect to warehouse and vault management. These are summarized in the table below.

| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|--|--|--------|------------|--------------|
| VIII.B.1 | Streamline processes and enhance accountability. | <ul style="list-style-type: none"> Inventory on-site. Integrate inventory into CMS. Provide online schedules. | ✓ | ✓ | ✓ |
| VIII.B.2 | Create notifications in CMS. | <ul style="list-style-type: none"> Notify FOS A/R items have been sold. Notify custodian to ship property. Notify warehouse of work order request. Notify warehouse of new vehicle in lot. | | ✓ | |

These opportunities and associated recommendations are described in greater detail below.



1. Streamline Processes and Increase Accountability

- *Enter Property On-Site Into Inventory Using Tablet PCS or Other Handheld Devices* – One option is for inventory to be entered on-site and later downloaded to the CMS.
- *Attach Vault and Warehouse Inventory to Relevant Case Info in CMS* – If inventory must be stored in a separate application, it has to be seamlessly integrated so that case managers can access it from within the CMS.
- *Provide Schedules of Warehouse Activities Online* – By placing warehouse schedules online, there will be no confusion as to what work is currently in progress.

2. Automate Notifications

There are numerous notifications that are sent between warehouse personnel and others at PA and PG that should be automated. Requests should simply arrive as tasks in the work queue for warehouse personnel. For instance:

- Notify FOS A/R items have been sold.
- Notify custodian to ship property.
- Notify warehouse of work order request.
- Notify warehouse of new vehicles in lot.



VIII. Financial Management



VIII. Financial Management

Appropriate financial management processes are crucial to support the mission and vision of PA and PG, but the current system is characterized by numerous manual, paper-based processes that create additional workload for accounting personnel. The following findings, opportunities and recommendations are provided to improve the financial management process.

A. Findings

Listed below are a series of findings associated with key financial management processes.

1. Key Accounting Personnel Lack Staff Back-Up

It is unclear who in the organization is qualified to perform accounting functions should the two key accounting personnel be unable to do their work for an extended period of time.

2. Current "Autopay" Is a Request to Process Multiple Transactions, But This Is Not Automated

The existing "autopay" request is not a process whereby checks are automatically paid by the CMS on a certain schedule, but rather a single request that serves to remind the FOS A/P to print checks of the same amount at certain intervals.

3. Numerous Unrelated Reports Are Run by FOS A/R

There are reports run by the FOS A/R that are unrelated to her job function, but merely serve to notify PA case managers of different events.

4. Assigning and Using Vendor Codes Is Difficult and Confusing.

Assigning and using vendor codes in Mission is difficult and confusing. The wrong vendor code can easily be assigned to a case, and errors are not easy to detect. In addition, once vendor codes are created they can not be combined or deleted, so there are numerous inactive codes in the system. In addition, it is unclear why FOS A/P are managing these codes, as these could be perceived as an area of potential conflict.

5. Financial Data Has the Potential for Being Manipulated

There are no restrictions to how far back changes to financial data can be made in the CMS, and there is no way to track who made the changes, so there is the potential for error or abuse.



6. Requesting, Processing and Verifying Checks Is a Cumbersome Process

Check request errors are not identifiable until after the check has been cut so checks have to be voided unnecessarily. Copies of checks are made and routed for review, which adds additional time to the process. Moreover, check information is captured on an associated spreadsheet. The process of FOS A/P making copies of daily balance sheets once a month to send to CPA would also be unnecessary if the information were captured and communicated via the CMS.

7. Reconciliation Activities Are Tedious and Time-Consuming

Bank reconciliation process is a time-consuming process that must be completed every morning, and due to the slowness experienced on any one machine, two computers are used to allow the FOS A/R to continue working. Finding discrepancies and inconsistencies between the bank account and Mission even prior to taking steps to resolve any discrepancies is also a tedious, manual process.

B. Opportunities

PA and PG have several opportunities for change with respect to financial management. These are summarized in the table below.

| Reference | Opportunity | Recommendation | Policy | Technology | Organization |
|-----------|--|--|--------|------------|--------------|
| IX.B.1 | Streamline and/or eliminate processes. | <ul style="list-style-type: none"> Submit check requests electronically. Eliminate manual set-up of accounts and vendor codes. Eliminate reports used for notification only. Automate scheduling of bank reconciliation. | | ✓ | ✓ |
| IX.B.2 | Automate payments and notifications. | <ul style="list-style-type: none"> Schedule automatic payments within CMS. Automatically notify case managers about changes in inventory. | | ✓ | |

These opportunities and associated recommendations are described in greater detail below.



1. Streamline and/or Eliminate Paper-Based and Manual Processes

- *Submit Check Requests Electronically* – Requests for payment can be submitted electronically so that the request can be approved or rejected for payment by individuals with the appropriate security access within the CMS itself. Notifications and verifications can also be performed electronically. If copies of checks are needed for a paper trail, these should be imaged and accessed as images from within the CMS.
- *Eliminate the Need to Set Up Accounts and Vendor Codes Manually* – The CMS needs the capability to track transactions by vendors as well as the capability to alert staff to the possibility of entering a duplicate vendor in the system. If a supervisor needs to approve the addition of a new vendor to prevent duplicate entries, this approval can also take place as an electronic request in the supervisor's work queue.
- *Eliminate the Need to Run Reports for Purposes of Notification* – Allow case managers to use CMS tools to track and be notified of key court processes and changes in inventory.
- *Automate Scheduling of Bank Reconciliation.* The interface with Bank of America should allow for reconciliation to take place on automated schedule and flag amounts that do not reconcile for review.

2. Automate Payments and Notifications

- *Schedule Automatic Payment of Transactions in CMS* – Payments of known amounts that are paid on regular intervals should be scheduled to be paid automatically by the CMS.
- *Allow CMS to Notify Case Managers of Changes in Inventory* – FOS (AR) should not have to track changes in inventory manually. This is a capability that needs to exist within the CMS.



IX. Revised Business Process Descriptions



IX. Revised Business Process Descriptions

Process Name: Reception

Process Number: 1.0

Process Description and Goals

Description:

- 0.1 Inquires and/or requests are received by the front desk via a telephone call.
- 1.1 The call is routed through an introductory recording.
- 1.2 The call is placed in a queue, depending on current call volume.
- 1.3 The PSS requests permission from the caller to record the call for customer service purposes.
- 1.4 It is determined if the inquiry is related to PA or PG.
- 1.5 If the inquiry is obviously not related to PA or PG, the PSS makes a determination if there is a possibility to provide a helpful reference. If the PSS is able to do so, he or she may refer the caller to the appropriate county or other agency resource.
- 1.6 The PSS determines if the call is to dispatch a PA investigator.
- 1.7 If the inquiry is for an investigator call-out, the PSS dispatches the investigator based on a weekly schedule (PA Dispatch 1.7.1).
- 1.8 If the inquiry is related to PA or PG and is not for an investigator call out, the PSS looks up information provided by the caller in the CMS. This includes case numbers provided by the Coroner or Metro Police.
- 1.9 Based on the information found in the CMS, the PSS transfers the call to the appropriate PA or PG resource (Guardian Assessment 2.1).
- 0.2 Mail comes into the office through the front desk.
- 1.10 The PSS processes the mail (Process Mail 1.10.1).
- 0.3 Case managers request that packages be picked-up or dropped off at the front desk, and client's and family members arrive at the front desk for an appointment.
- 1.11 The PSS processes appointments, pick-ups and drop-offs. (Appointments, Pick-up, Drop-off 1.11.1).

Goals:

- To provide timely information and friendly customer service.
- To be as helpful as possible given other calls on hold and the constraints of the legal statutes.
- To route calls to the appropriate resource.



| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|---|--|---|--|
| <ul style="list-style-type: none"> Public service specialists (PSS) at front office. Family and friends of clients. Creditors, realtors and other interested parties. Case managers. Answering service. Investigators. Couriers. | <ul style="list-style-type: none"> Request for information. Request from referring agency. Unopened mail. Interested individuals waiting to be seen. | <ul style="list-style-type: none"> Call or mail sent to appropriate resource. Investigator sent to the scene of death. Mail sorted and sent to the proper area. Appointments kept. Documents routed. | <ul style="list-style-type: none"> Guardianship applications can be downloaded from the Website or mailed upon request, but PSS at front office do not volunteer this information or process requests for applications. Investigators cannot access Mission and are provided with minimal info prior to arriving at the scene. |

Process Name: PA Dispatch and PG Scheduling

Process Number: 1.7

Process Description and Goals

Description:

- 1.6 Investigators are dispatched to respond to death scenes and to secure property if the deceased is determined to not have next-of-kin in Clark County at the time of death.
- 1.7.1 The PSS enters the information in the system. The PSS captures all pertinent information, including the location, referring party, and the deceased name.
- 0.4 Electronic referral data exists in scratchpad state from the Coroner's office, police department (Metro Police), hospice care, hospitals and nursing facilities awaiting review. Requests are not accepted from mortuaries or the general public.
- 1.7.2 PSS reviews any referral data entered in the CMS as appropriate and allows the CMS to proceed with notification of the investigator.
- 1.7.3 The CMS prioritizes the request in queue based on preset work flow rules.
- 1.7.4 The CMS pages the primary investigator on-call and subsequently the back-up if the primary does not respond. The investigator on-call is dispatched based on a schedule that is prepared in advance. The schedule is divided into three shifts, with a primary and back-up investigator assigned for each shift. If the primary and back-up investigators are already dispatched or do not respond, the CMS notifies the PSS, which searches for additional coverage using all available resources.



Process Description and Goals

- 1.7.5 The CMS provides a notification with the details of the case to the investigator in his or her work queue.
- 0.5 Guardianship training is provided for interested parties every second Wednesday of the month.
- 1.7.6 The CMS schedules the training room for those who are interested in guardian training. The schedule is developed one year in advance.
- 1.7.7 Supervisor enters the schedule of the case manager that will instruct the class into the CMS.
- 1.7.8 The CMS notifies staff about the schedule 6 months in advance.
- 1.7.9 The PSS prepares the training documents.
- 1.7.10 The CMS schedules attendees and prints the roster.
- 1.7.11 The CMS pre-populates the certificates of completion with the relevant information for attendees.

Goals:

- To quickly and accurately dispatch investigators with all relevant information.
- To minimize training room schedule conflicts.

Process Name: Process Mail

Process Number: 1.10

Process Description and Goals

Description:

- 0.2 The PSS receives mail.
- 1.10.1 It is determined if the mail is appropriate and pertains to PA or PG business.
- 1.10.2 Solicitations and junk mail not deemed relevant to PA or PG is shredded. Mail that was incorrectly routed may be returned to sender.
- 1.10.3 PSS open mail that is related to PA and PG business.
- 1.10.4 PSS enters information presented on the mail into the CMS looking for the name of the assigned case manager.
- 1.10.5 PSS write the case manager's initials in pencil on the document.
- 1.10.6 PSS stamp the date and time on the document.
- 1.10.7 Checks are handled differently from other documents.
- 1.10.8 If it is a check, it is placed in the Accounts Receivable mail slot.
- 1.10.9 If it is not a check, it is placed in the assigned case manager's mail slot.
- 1.10.10 It is determined if it is a legal document or escrow check.
- 1.10.11 A routing slip is completed and attached to the escrow check.
- 1.10.12 It is determined if the item is for PA or PG.



Process Description and Goals

- 1.10.13 If this is for PA, it goes to the mail slot for the PA Executive Assistant.
- 1.10.14 If intended for PG, it goes to the mail slot for the PG Legal Office Specialist.

Goals:

- To sort through mail to process PA and PG documents.
- To route documents to the proper area.

Process Name: Process Appointments, Drop-offs and Pick-ups

Process Number: 1.11

Process Description and Goals

Description:

- 0.3 An individual has an appointment or is dropping-off or picking-up material.
- 1.11.1 The nature of the request is determined.
- 1.11.2 Appointments are directed to the appropriate staff.
- 1.11.3 It is determined if a referral application is being dropped off.
- 1.11.4 It is determined if the referring agency has any questions regarding the referral application.
- 1.11.5 If there are no questions, the application is stamped with the date and time, and placed in the Legal Office Specialist mail slot.
- 1.11.6 If there are questions, the individual is referred to the Daily Questions person.
- 1.11.7 It is determined if there is a check for a large amount being picked up. PSS have some discretion as to what is large for the specific individual making the request, but any amount over \$5000 is definitely determined to be large.
- 1.11.8 For large checks, the PSS asks for photo ID, and makes a copy of both the ID and the check.
- 1.11.9 Customers are required to sign the check stub, which is then stapled by the PSS to the ID and the copy of the check. Delivery slips are then imaged for future reference (Imaging 3.7.1).
- 1.11.10 A simple signature on the check stub (for smaller checks) or on the delivery slip will suffice. PSS place the stapled documentation into the mail slot of assigned case manager. Delivery slips are then imaged for future reference (Imaging 3.7).

Goals:

- Documents routed to the correct area.
- Appointments handled in a courteous and timely manner.



Process Name: Guardian Assessment

Process Number: 2.0

Process Description and Goals

Description:

- 2.1 The legal office specialist (LOS) receives notification of online referral. Client may be referred by hospital, nursing home, doctor, family member, friends, Metro police or any other interested individuals.
- 2.2 The LOS reviews the referral information to ensure that pertinent information was entered.
- 2.3 The request is then assigned to a supervisor's work queue for review. In all cases, referrals are reviewed by the Public Guardian.
- 2.4 The case management supervisor and/or Public Guardian review their work queue.
- 2.5 The case management supervisor and/or Public Guardian enter issues or concerns into the CMS.
- 2.6 The case management supervisor and/or Public Guardian prioritize responses, and notes if the case is an emergency.
- 2.7 If it is an emergency, proceed to File Temporary Guardianship (2.7.1).
- 2.8 Once temporary guardianship is granted, it is determined if the case will be filed for permanent guardianship.
- 2.9 If the case is to be filled for permanent guardianship, proceed to File Permanent Guardianship (2.9.1).
- 2.10 If it is not an emergency, the intake case manager reviews referral material Review Referral Material (2.10.1).
- 2.11 As a result of review of referral material, the intake case manager determines if the case is appropriate for guardianship, if the case should be referred to the rep-payee program or if the case should be closed. In the case of temporary guardianships that are to be considered for permanent guardianship, the decision of rep-payee or close case is also made. If it is determined the case is more appropriate for the rep-payee program, the process continues to Rep Payee Assessment (4.1). If the case is appropriate for the guardianship program, proceed to File Permanent Guardianship (2.9.1).
- 2.12 It is determined if the court approves of guardianship. If the court does not approve of the case, the process returns to the decision of if the case should be filed as a permanent guardianship, rep-payee, or if the case should be closed (2.11). If the court approves, the case continues to Guardian Case Activity (3.1).
- 2.13 If the case is to be closed, the case manager enters case closure information into the CMS.
- 2.14 The case manager assigns the case to the supervisor's queue for review.



Process Description and Goals

- Goals:
- To identify and respond to those clients who are in most urgent need.
 - To develop a thorough assessment process that identifies those with the most need for our services.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|---|---|---|--|
| <ul style="list-style-type: none"> • Legal Office Specialist. • Intake Case Manager. • Supervisor. • Public Guardian. | <ul style="list-style-type: none"> • Referral by fax or telephone. | <ul style="list-style-type: none"> • A decision regarding the appropriateness of the case. | <ul style="list-style-type: none"> • Routing and prioritization of work flow are all manual processes with no notification in Mission as to when work has been completed or reviewed. |

Process Name: File Temporary Guardianship
Process Number: 2.7

Process Description and Goals

- Description:
- 2.7.1 The case manager visits the proposed ward immediately.
 - 2.7.2 The intake case manager prepares a work-up in the CMS.
 - 2.7.3 The intake case manager assigns the work-up to a supervisor's queue.
 - 2.7.4 As part of the work-up the intake case manager secures assets of the proposed ward – PG Secure Assets (2.7.4.1). In the case of a temporary guardianship, these are items that are in immediate and direct threat.
 - 2.7.5 The work-up is sent to the supervisor and then on to the Public Guardian for review.
 - 2.7.6 The supervisor assigns the updated work-up in the case manager's queue.
 - 2.7.7 The intake case manager receives the reviewed work-up back, makes necessary changes, and assigns it to the Public Guardian's queue.
 - 2.7.8 The Public Guardian reviews and approves the work-up, and assigns it to the LOS's queue.
 - 2.7.9 The LOS prepares documents to forward to the attorney. CMS has pre-populated the appropriate document template for review by the LOS.
 - 2.7.10 The CMS assigns a case manager based on a predetermined rotation.
 - 2.7.11 The Public Guardian reviews and signs documents.
 - 2.7.12 The LOS notarizes documents.



Process Description and Goals

2.7.13 The case manager files the documents with the court immediately.

Goals:

- To process temporary guardianship cases expediently.

Sub-process Name: PG Secure Assets

Sub-process Number: 2.7.4

Sub-process Description and Goals

Descriptions:

- 2.7.4.1 As part of preparing the work-up, the case manager secures property and assets, including financial assets, including bank accounts, insurance policies, stocks, etc.
- 2.7.4.2 The case manager secures property of value and cash at the proposed ward's residence.
- 2.7.4.3 The case manager takes pictures of the inventory. These pictures are later uploaded into the CMS as an attachment to the case file.
- 2.7.4.4 The case manager enters all inventory that is being taken from the residence onto an inventory sheet with a witness present.
- 2.7.4.5 It is determined if the case is for temporary or permanent guardianship. If the case is for temporary guardianship, the cash manager returns items of value to the vault immediately (Vault Check-in Process 9.3.1).
- 2.7.4.6 If the case manager is securing property for permanent guardianship, the appraiser and the e-bay consultant are called. The case manager is typically present when the appraiser and e-bay consultant are at the ward's residence.
- 2.7.4.7 The e-bay consultant/appraiser determines items of value.
- 2.7.4.8 Items taken by the e-bay consultant are inventoried in the Tablet PC.
- 2.7.4.9 The e-bay consultant takes items to be sold on e-bay.
- 2.7.4.10 Information from the Tablet PC is immediately downloaded into the CMS, and a notification is generated to FOS AR. Items taken from the residence by the case manager are returned to the vault. (Vault Check-in 9.3.1).
- 2.7.4.11 The case manager determines if a clean-out is required.
- 2.7.4.12 If a clean-out is not required, the process continues to 2.7.5.
- 2.7.4.13 If a clean-out is required the CMS verifies that funds are available for a private clean-out.
- 2.7.4.14 If there are not funds for a private clean-out, the case manager generates an electronic work order requesting the warehouse to conduct clean out. The process continues to Clean Out (9.2.1).
- 2.7.4.15 If there are funds, an electronic work order is generated requesting the clean-out to be conducted by an outside agency.



Sub-process Description and Goals

- 2.7.4.16 The outside agency conducts the clean-out. The agency inventories items on the Tablet PC, and notes if a full clean-out is required.
- 2.7.4.17 The outside agency counts cash found on-site. Other items of valuable are packed into boxes and labeled, including a description of the item.
- 2.7.4.18 The outside agency returns items of value, including cash, to the Vault, prompting Vault Check-in (9.3.1).
- 2.7.4.19 The case manager generates an electronic work order for a full clean-out based on the information entered by the outside cleanout agency. (Clean Out 9.2.1).
- 2.7.4.20 It is determined if PG has the authority to sell items. Items would be sold to help cover the ward's medical/living expenses.
- 2.7.4.21 If PG does not have authority, items are held until further notice.
- 2.7.4.22 If the PG has the authority to sell, items are sold.
- 2.7.4.23 Inventory is updated in the CMS.

Goals:

- To ensure the safety of the ward's belongings.
- To maximize the value of the ward's estate in order to cover the ward's living expenses.

Sub--process Name: File Permanent Guardianship

Sub-process Number: 2.9

Sub-process Description and Goals

Description:

- 2.9.1 The intake case manager prepares a list of necessary steps as part of preparing the work-up.
- 2.9.2 After the petition work-up is completed, the intake case manager assigns the work-up to the supervisor's queue for review.
- 2.9.3 The supervisor approves the work-up.
- 2.9.4 The intake case manager completes the necessary paperwork, which includes sending electronic notifications to the referring agency and all interested parties.
- 2.9.5 The CMS assigns an ongoing case manager based on priorities set in the system.
- 2.9.6 The supervisor returns the work-up to the intake case manager's queue.
- 2.9.7 The intake case manager makes the necessary changes.
- 2.9.8 The LOS prepares documents to send to the attorney.



Sub-process Description and Goals

- 2.9.9 The LOS assigns the legal documents to the attorney’s work queue.
- 2.9.10 The attorney prepares all necessary documents.
- 2.9.11 The attorney assigns the documents to the case manager’s queue for the approval and signature of the Public Guardian.
- 2.9.12 Legal documents are reviewed and signed by the Public Guardian.
- 2.9.13 Legal documents are returned to the LOS to forward to the attorney to file with the court.
- 2.9.14 Once the documents for permanent guardianship are submitted to the court, the on-going case manager takes over the case. A guardian request takes a considerable amount of time to decide. In the meantime, the on-going case manager is responsible for monitoring the proposed ward. The proposed ward must attend their court hearing to discuss with the judge their decision.
- 2.9.15 If the ward is unable to come to court, a medical affidavit explaining why they are unable to attend is filled out by a doctor.
- 2.9.16 The medical affidavit is filed with the court.
- 2.9.17 The ongoing case manager visits the proposed ward prior to court.

Goals:

- To provide a comprehensive and responsive guardianship filing process.

Sub-process Name: Review Referral Material

Sub-process Number: 2.10

Sub-process Description and Goals

Description:

- 2.10.1 Notification from the CMS to review referral data in “scratch-pad state” is received by the intake case manager awaiting review and approval.
- 2.10.2 The intake case manager verifies county guarantee or income source.
- 2.10.3 The intake case manager lists assets and property.
- 2.10.4 The intake case manager verifies background information.
- 2.10.5 The intake case manager reviews medical information.
- 2.10.6 The intake case manager identifies family members.
- 2.10.7 The intake case manager determines if there is missing information.
- 2.10.8 If there is no information missing, the intake case manager visits the proposed ward.
- 2.10.9 After the intake case manager visits the proposed ward, the supervisor reviews the referral material in CMS.
- 2.10.10 After supervisory review, the Public Guardian reviews and approves referral



Sub-process Description and Goals

- material.
- 2.10.11 If there is information missing, the case manager sends an electronic notification to those who have access to CMS or letter to the referring party requesting additional information.
- 2.10.12 The intake case manager determines if additional information is received. If the intake case manager receives the information, they visit the proposed ward (2.10.8).
- 2.10.13 If information is not received, the intake case manager makes a second request for information.
- 2.10.14 The case manager determines if additional information is received. If the information is received, proceed to visit proposed ward (process 2.10.8).
- 2.10.15 If information is not received, the case manager contacts the referring party.
- 2.10.16 The case manager sends a final notice of case closure due to non-cooperation.
- 2.10.17 The case manager enters case closure information into CMS.
- 2.10.18 The case is assigned to a supervisor's work queue for review.

Goals:

- To thoroughly assess a prospective client's situation and appropriateness for the Guardianship program.



Process Name: Guardian Case Activity

Process Number: 3.0

Process Description and Goals

Description:

- 3.1 Once a case is approved by the court (PG Case Assessment 2.0), the ongoing case manager follows the priorities listed on the ward's checklist.
- 3.2 The ongoing case manager ensures the proper placement of the ward in terms of living conditions. It is the Public Guardian's responsibility to ensure that the ward is living in a safe environment. The ongoing case manager secures the ward's assets. The process then continues to PG Secure Assets (2.7.4.1).
- 3.3 The dates to complete the Inventories and Appraisements Report will be generated by the CMS. According to statute, PG has 45 days to report an inventory to the attorney to file with the court (Inventory Reporting 3.3.1).
- 3.4 The ongoing case manager develops a short and long-term case plan for the ward based on their monthly income and bills, and their specific medical needs. A budget is a component of the case plan. The budget will be used to determine appropriate expenses and manage money. This plan and budget is developed in the CMS.
- 3.5 Once completed, the case plan is assigned to the supervisor's queue for review.
- 3.6 Once the plan is approved, the case manager adheres to the ward's needs according to the plan. This includes making all of their financial, medical and legal decisions in conjunction with the Public Guardian. Part of managing the ward is ensuring that their food stamp debit card is swiped once a month, if applicable. This is a process conducted by the financial specialist. (Activate Food Stamp Funds 3.6.1).
- 3.7 Throughout this entire process items are sent to imaging (Imaging 3.7.1).
- 3.8 The ongoing case manager visits the ward every month.
- 3.9 The ongoing case manager enters the date visited into CMS and fee activity associated with their activities. The CMS will also have notifications to remind case managers when they should schedule to visit the ward. The supervisor can review visitation dates by running a query.
- 3.10 The on-going case manager develops a list of concerns in the CMS to ask the ward the next time they visit. This is to help with follow-up on important issues.
- 3.11 The FOS A/R receives a notification when it is time to develop an annual report for a ward. Guardian Annual Reports (3.11.1).
- 3.12 As part of managing the ward's needs, the on-going case manager sends checks and bills to Accounts Receivable and Accounts Payable upon receipt. The ongoing case manager determines if monthly expenditures vary.
- 3.13 For monthly expenditures that don't vary, the on-going case manager makes a request for automated payments to Account Payables (10.2.1).



Process Description and Goals

- 3.14 If monthly expenditures do vary, the ongoing case manager makes requests for individual payments to Accounts Payable (10.2.1). The ongoing case manager continues to manage the ward’s medical and financial needs in either case.
- 3.15 The ongoing case manager determines if it is time to set up an account. There are a variety of accounts that can be set up to benefit the ward. If an account does not need to be set up, the ongoing case manager continues to manage the ward’s financial and medical needs.
- 3.16 If an account is to be set up, an electronic form is filled out by the ongoing case manager. The request is submitted for supervisory review and approval.
- 3.17 It is determined if the Public Guardian wishes to invest the ward’s funds.
- 3.18 If the Public Guardian decides to invest funds on the ward’s behalf, the process proceeds to Investments (3.18.1).
- 3.19 The ongoing case manager determines if there is a change in the ward’s status. A change qualifies as a change in housing, medical or financial needs. If there is no change in case status, the case manager continues to manage the case as stipulated in the case plan.
- 3.20 If there is a change in the account, it is determined if it is a case closure. If the case warrants closure, the process continues to Guardian Case Closure (11.1.1).
- 3.21 If there is a change in account status and it is not a case closure, the case plan is revised, and submitted to a supervisor for review. Once approved, the ongoing case manager continues managing the case as stipulated in the new case plan.

Goals:

- To provide comprehensive and high quality care to wards.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|---|--|---|---------------------------------------|
| <ul style="list-style-type: none"> ● Case manager. ● Ward. ● Supervisor. ● LOA. | <ul style="list-style-type: none"> ● Data from income source and monthly bills. | <ul style="list-style-type: none"> ● A case plan of how to manage the ward’s finances. | |



Process Name: Inventory Reporting

Process Number: 3.3

Process Description and Goals

Description:

- 3.3.1 The FOS A/R receives notification from the CMS that an Inventory and Appraisalment report is due to the court.
- 3.3.2 Inventory information has already been adequately recorded in the CMS. The FOS A/R verifies the record.
- 3.3.3 Once verified, an inventory report is generated in the CMS.
- 3.3.4 FOS A/R prepares a cover letter to the appointed attorney and attaches the Inventory and Appraisalment Report. The letter requests the attorney to file the inventory with the court, and to send PG a filed and stamped document.
- 3.3.5 The letter and report are assigned to the ongoing case manager's queue for review.
- 3.3.6 The case manager reviews and prints the cover letter and the report.
- 3.3.7 The Public Guardian or Public Administrator reviews the report and signs the cover letter.
- 3.3.8 The supervisor routes the report to the FOS A/R .
- 3.3.9 FOS A/R sends the original to attorney.
- 3.3.10 FOS A/R sends an electronic version of the report to the CPA. When the approved copy is received from court, the LOS routes to case manager for imaging (Imaging 3.7.1).

Goals:

- To maintain an accurate and real-time inventory of the ward property.

Process Name: Activate Food Stamp Funds

Process Number: 3.6.1

Process Description and Goals

Description:

- 3.6.1.1 Food stamp debit cards are ran by the FOS A/R on the first of the month.
- 3.6.1.2 The FOS A/R swipes the ward's food stamp debit card in the point of sale machine located in the Accounts Receivables work space.
- 3.6.1.3 By swiping the card, the FOS A/R retrieves the money from Nevada state welfare. The State provides the monthly food stamp benefit. Food stamp benefits that remain in the account longer than 365 days are no longer available to the cardholder and the amount will be removed from the balance. Nevada state welfare monitors this process.



Process Description and Goals

3.6.1.4 The FOS A/R deposits the money into the proper food stamp account in the CMS. The case manager will cut a check for the ward for their food expenses.

Goals:

- To ensure that wards who are incapable of handling food stamp cards are able to take advantage of the benefits.

Sub-process Name: PG Imaging

Sub-process Number: 3.7

Sub-process Description and Goals

Description:

- 3.7.1 The on-going case manager determines if a document is ready to be imaged. All imaged documents go into a filing system to be picked up by the LOA every two weeks.
- 3.7.2 If the case manager is not ready to image, the filing system is not put out for pick-up and the legal office assistant (LOA) returns on the scheduled pick up date.
- 3.7.3 The ongoing case manager codes the document if it is ready to be imaged.
- 3.7.4 The material is picked up by the LOA every two weeks.
- 3.7.5 It is determined if it is a new case.
- 3.7.6 If it is not a new case, the LOA finds the hard copy of the data lead sheet in the folder. Lead sheets are kept alphabetically in a file folder according to case type.
- 3.7.7 If it is a new case, a data lead sheet is created from a pre-populated form in the CMS.
- 3.7.8 The document is prepped by removing all staples and paper clips, and taping all paper tears and pictures onto a sheet of paper.
- 3.7.9 The document and lead sheet are coded. There are over 27 different code types including legal, medical, financial, etc. Coding the document helps the case manager retrieve a specific document at a later date.
- 3.7.10 The document is scanned.
- 3.7.11 The LOA scrolls through the image and removes all non-essential images, including billing instructions and cover sheets.
- 3.7.12 The imaged file is indexed, and ready immediately.
- 3.7.13 The LOA files the hard copy of the document. Imaged documents are available to case managers within 24 hours.

Goals:



Sub-process Description and Goals

- To store case files electronically for easy retrieval of information.

Sub-process Name: PG Annual Reports

Sub-process Number: 3.11

Sub-process Description and Goals

Description:

- 3.11.1 If PG is the guardian of person, once a year the ongoing case manager develops an annual progress report. The report notifies the court of the physical and mental status of the ward. The case manager receives a notification that the annual progress report is due.
- 3.11.2 When the annual progress report is due, the ongoing case manager will develop the narrative of the report in the CMS.
- 3.11.3 The report is assigned into the supervisor's work queue for review.
- 3.11.4 After being reviewed, the LOS will assign the report to the attorney's work queue to file with the court. After court approval, the LOS receives the report back from the court, and forwards it to the case manager to code and image (PG Imaging 3.7.1).
- 3.11.5 The other annual report due to the court is an annual accounting. The FOS A/R is notified by the CMS that an annual accounting is due. When appointed Public Guardian of the person, an annual report is due to the court on the anniversary of the guardianship date. If PG is only the assigned guardian of estate, only an annual accounting is required.
- 3.11.6 If the ward has more than \$5K, the FOS A/R requests a compliance review for the year's stock value from Prudent Investors Network, Inc. (PIN). This report is requested a month prior to the accounting due date, due to the time involved to receive the report. This report is reviewed by the case manager and approved by the Public Guardian and filed with accounting. When the accounting and compliance review are approved by the Public Guardian, it is sent to the attorney for processing. A copy of the signed compliance review is sent back to PIN. Based off of this report the adjustments are made to the ward's stocks to reflect market value.
- 3.11.7 The FOS A/R prompts the system to run the annual accounting report.
- 3.11.8 It is determined if the ward's estate is valued over \$5K.
- 3.11.9 If the estate is not valued over \$5K, the accounting report is reviewed by the case manager and FOS A/R files the report in the case file.
- 3.11.10 If the ward has over \$5K it is determined if a federal fiduciary report is required.
- 3.11.11 If it is required, copies of the annual accounting report are submitted to both the PG and the Veteran Affairs office (VA) for review and approval. The VA will review the accounting and reply with an approval letter. This letter must be attached to the petition when the assigned attorney returns it to the PG office. Another letter from the PG to the assigned attorney is included with the petition requesting that an additional Filed Stamped Certified Order be sent to



Sub-process Description and Goals

- the attention of Accounts Receivables. This copy is forwarded to the VA.
- 3.11.12 The FOS A/R prepares a cover letter.
- 3.11.13 The FOS A/R attaches the annual accounting report to the case manager's queue for review. The cover letter explains all case activity for the last year, and makes any future necessary requests on behalf of the ward, including permission to give additional funds to ward. If this is the first annual accounting and more assets have been realized, an amended I&A must be filed. This information is included in the cover letter to the attorney.
- 3.11.14 Once the case manager reviews the report it is assigned to the Public Guardian's queue for review and approval. The Public Guardian reviews and signs.
- 3.11.15 After the review, the FOS A/R receives the signed copy and makes copies of the packet. A copy is placed in the ward's file.
- 3.11.16 The FOS A/R sends the signed, original copy of the report and the letter to the attorney.
- 3.11.17 The attorney returns the documents again for verification. The case managers, Public Guardian and the FOS A/R verify the documents.
- 3.11.18 The documents are routed through the LOS back to the attorney.

Goals:

- To provide an annual update of the ward's status.

Sub-process Name: Investment

Sub-process Number: 3.18

Process Description and Goals

Description:

- 3.18.1 When it is determined by the case manager and the Public Guardian to invest the ward's funds, the case manager will follow the Clark County Investment Procedures. The case manager will evaluate the financial status of the ward.
- 3.18.2 The case manager enters the ward's financial status information into the CMS.
- 3.18.3 The investment firm receives the information electronically.
- 3.18.4 The investment firm produces an investment recommendation (IR). The case manager sends all existing statements (if applicable). In order to create an IR, the investment firm needs to know the cost basis of any existing assets before making a recommendation. PIN may need to collaborate with the CPA in order to proceed.
- 3.18.5 The IR report is sent electronically to the case manager.
- 3.18.6 The case manager reviews the IR for corrections.



Process Description and Goals

- 3.18.7 The case manager will assign the revised IR to their supervisor's queue for review. The supervisor then forwards the IR to the Public Guardian for review and approval.
- 3.18.8 The LOS receives the approved IR, and assigns it to the CPA's work queue.
- 3.18.9 The LOS assigns to the attorney's work queue to file with the court.
- 3.18.10 The LOS receives the court approval.
- 3.18.11 The LOS sends notification to the case manager of court approval.
- 3.18.12 Once the investment is approved, the investment firm develops the necessary paperwork for the account.
- 3.18.13 The investment firm will send an e-mail to PG notifying them they are prepared to invest as stipulated in the IR.
- 3.18.14 It is determined if the funds are coming from an investment account.
- 3.18.15 If the funds are coming from an investment account, the investment firm generates ACAT (account transfer) paperwork.
- 3.18.16 In both cases the investment firm invests the funds.
- 3.18.17 Accounts Receivable receives notice of the investment sent out through the CMS.
- 3.18.18 Accounts Receivable creates an "S" account to track stock activity, record dividends, interest, principle and market value adjustments.

Goal:

- To generate the greatest return of investment to benefit our wards.



Process Name: Rep-Payee Assessment

Process Number: 4.0

Process Description and Goals

Description:

- 4.1 The case manager receives referrals from the front office (Reception 1.0) and directly via the online form, fax, telephone or in-person during bi-weekly visits to the shelter. Clients are typically referred by an income source or mandated by the courts. The supervisor reviews all referrals and assigns a case manager to the case. Cases are assigned based on the client's age and the workload of the case manager. The over 60 rep-payee program is partially subsidized by a state grant. There are additional workload requirements for the case managers for these cases as opposed to the under 60 case managers.
- 4.2 The case manager determines if it is an appropriate referral.
- 4.3 If it is not appropriate, a letter is sent to the requestor of services explaining the decision.
- 4.4 If it is an appropriate request, the CMS assigns a case manager based on predetermined criteria (i.e., current workload, case type, etc.).
- 4.5 It is determined if the client is over 60 years of age.
- 4.6 If the client is over the age of 60, the case manager must respond to the case within 10 days.
- 4.7 It is determined if the client wants the services of the rep-payee program. Rep-payee is a voluntary program. While anyone can refer a client, the program requires the potential client's consent, except in those cases where the court has mandated Clark County Public Guardian specifically to be the rep-payee.
- 4.8 If a client refuses services, a notification is sent to the requestor explaining the reason for not taking the case.
- 4.9 The client signs the paperwork if they wish to have services.
- 4.10 The case manager will develop an entry in the CMS for the client, outlining the income source and a summary of the client's needs.
- 4.11 The case manager develops a budget for the client in the CMS.
- 4.12 The case write-up, including the budget, is assigned to the supervisor's work queue for review. Upon approval, the case continues to Rep-Payee Case Activity (5.1).



Process Description and Goals

Goals:

- To provide high quality of services to clients.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|--|--|--|---------------------------------------|
| <ul style="list-style-type: none"> • Case Manager. • Supervisor. | <ul style="list-style-type: none"> • Data collected on the referral form. | <ul style="list-style-type: none"> • Case work-up. • A decision to accept the client or not. | |



Process Name: Rep-Payee Case Activity

Process Number: 5.0

Process Description and Goals

Description:

- 5.1 After the completion of the Rep-Payee Case Assessment (4.0), the LOS ensures all relevant case information has been entered into the CMS. Since referrals are made via the online form, most of the fields should be populated.
- 5.2 It is determined if the client is over 60 years of age.
- 5.3 If the client is over the age of 60, the CMS will send all relevant case information into the state NAPIS system. There will be an interface between these two systems. The over 60 rep-payee program is a grant program offered through the state. There are specific requirements for the administration of this program, since some of its funding comes from the state.
- 5.4 The case manager will visit the over 60 client once a month.
- 5.5 The management analyst develops the quarterly report for the NV State Department of Aging. The report is submitted electronically to the state.
- 5.6 For all rep-payee cases, the case manager administers funds according to the budget developed during the assessment process. The case manager requests that all of the rep-payee's bills and income be routed to the office. In order for clients to continue participation in the program, they must agree to have all of their bills sent to the rep-payee office. They are not allowed to have outside bank accounts, or have income that is not reported to their rep-payee case manager.
- 5.7 The case manager receives all bills and income. Checks come in through Reception (1.0) to Accounts Receivable (10.1).
- 5.8 The case manager continues to monitor the client's accounts and activity.
- 5.9 It is determined if the client is over the age of 60 or exempt from paying fees.
- 5.10 If the rep-payee is not over 60 or exempt, they are required to pay a monthly fee of \$33 for the rep-payee service. For clients over the age of 60, minors or those who only have VA income, the service is free.
- 5.11 It is determined if the monthly amount of the bill varies.
- 5.12 If the amount does not vary, the case manager fills out the auto-pay request form, and submits it to Account Payable (10.2.1) for processing. Typically bills that do not vary include rent and the client's personal expense funds.
- 5.13 If the amount of the payment does vary, the case manager submits an electronic check request to Account Payable (10.2.1).
- 5.14 It is determined if the client is over 60.
- 5.15 For clients over 60 years of age the supervisor reviews the case in the CMS every six months.
- 5.16 It is determined if a rep-payee case needs to be closed. If the case is to be closed, the case advances to Rep-Payee Case Closure (11.2.1).



Process Description and Goals

- 5.17 If it does not need to be closed but requires a change, the case manager revises the case plan in the CMS.
- 5.18 The case manager assigns the new case plan to the supervisor’s work queue for review and approval.

Goals:

- To provide high quality services to clients.
- To help client’s manage their finances more effectively.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|--|--|---|---|
| <ul style="list-style-type: none"> • Case Manager. • Supervisor. | <ul style="list-style-type: none"> • Data from income source and monthly bills. | <ul style="list-style-type: none"> • A budget outlining how to manage the ward’s finances. | <ul style="list-style-type: none"> • Throughout the entire process, workers are capturing case notes and tracking time per activity manually in Mission. |



Process Name: PA Investigations

Process Number: 6.0

Process Description and Goals

Description:

- 6.1 The Coroner, hospital, Metro police or other notifying agency inform the Public Administrator's office of a death. The investigator receives a telephone call through the answering service or PSS at the front desk notifying them that there is a case.
- 6.2 The investigator responds to the scene.
- 6.3 The investigator enters case information into the Tablet PC.
- 6.4 The investigator collects any personal and valuable items that are present at the scene. The investigator typically looks for jewelry, guns, wills and money to take back to PA and secure in the vault (Vault Check-in 9.3.1). The investigator completes the inventory of personal effects in the Tablet PC. The investigator prints a copy for the witness. At the scene it is determined if additional action should be taken, such as ordering a lockout, or calling a locksmith (Warehouse Activity 9.7). If action is required, the investigator completes the work order in the Tablet PC, and sends an electronic work order to the warehouse.
- 6.5 If there is a vehicle on the scene, the investigator determines if the vehicle was owned by the deceased. Typically, a title needs to be found to establish ownership.
- 6.6 The investigator determines if the vehicle is in a safe place or if it is in jeopardy of being stolen or vandalized. If the vehicle is in danger, investigator arranges for a tow (Tow Vehicle 9.5.1).
- 6.7 The investigator returns to the PA warehouse. A determination is made as to the presence of any personal items.
- 6.8 The investigator puts the items into a manila envelope.
- 6.9 The investigator drops the items into a secure drop box.
- 6.10 The investigator determines if there are household items brought back to the warehouse.
- 6.11 If household items are retrieved, they are taken to the warehouse holding area. These items are subsequently checked into the warehouse (Warehouse Check-in 9.4.1).
- 6.12 It is determined if guns are retrieved.
- 6.13 If guns were retrieved, they are secured in the safe.
- 6.14 The PA executive assistant verifies the household items brought back to the warehouse.
- 6.15 PA executive assistant takes personal items, guns and envelopes from the secure drop-off in the warehouse to the vault so that new cases are initiated where necessary (PA Case Initiation 7.1) and items are checked into the vault inventory (Vault Check-in 9.3.1).



| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/Observations</i> |
|--|---|--|---|
| <ul style="list-style-type: none"> ● Field Investigators. ● Supervisor. ● Executive Assistant. ● Public Administrator. ● Deputy Public Administrator. | <ul style="list-style-type: none"> ● Information collected at the scene. | <ul style="list-style-type: none"> ● Inventory of Personal Effects. | <ul style="list-style-type: none"> ● Investigations are moving to a process whereby the inventory sheet will be filled out electronically on a tablet PC; however, this information will still need to be reentered into Mission manually. |



Process Name: PA Case Initiation

Process Number: 7.0

Process Description and Goals

Description:

- 6.15 PA cases are initiated when an investigator responds to a scene, and the PA takes items from the warehouse to the vault to check-in (PA Investigations 6.1).
- 7.1 The executive assistant enters the decedent's name into the CMS.
- 7.2 The CMS verifies if it is a PG open case or a PA closed case.
- 7.3 The CMS determines if the case is a PG open case.
- 7.4 If it is a PG case, the CMS sends a notification to the PG case manager assigned to the case. The CMS informs the case manager of the date of death and the assigned PA case manager's name.
- 7.5 It is determined if it is a PA closed case.
- 7.6 If it is a PA closed case, the CMS notifies the appropriate PA case manager.
- 7.7 If it is not a PA closed case, the executive assistant enters case information into the CMS.
- 7.8 The CMS assigns a case manager.
- 7.9 The case manager assigned to the case is notified by the CMS, and the process continues to Vault Check-in (9.3.1) and PA Case Activity (8.1).

Goals:

- To quickly respond to the scene.
- To appropriately manage the securing of immediate personal belongings.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|--|---|--|---------------------------------------|
| <ul style="list-style-type: none"> • Executive Assistant. | <ul style="list-style-type: none"> • Case information. | <ul style="list-style-type: none"> • The appropriate assignment of cases. | |



Process Name: PA Case Activity

Process Number: 8.0

Process Description and Goals

Description:

- 8.1 Once the case is initiated (PA Case Initiation 7.0), the case manager receives notification from the CMS.
- 8.2 The estate coordinator enters the narrative into the CMS.
- 8.3 The estate coordinator determines if there is property. If there is no property, proceed to PA Case Closure (11.3.1).
- 8.4 If property has been located the estate coordinator determines if the family has been located. Hospitals and the Coroner's office are in charge of notifying the family.
- 8.5 If family has been located, the estate coordinator waits to receive notice from the family.
- 8.6 It is determined if the family or executor of the will wants to be involved in probating the case.
- 8.7 If the family does want to be involved, PA releases the property to the family. If the family is able to be located, the process continues to PA Family Release (8.7.1).
- 8.8 If the family is unable to be located or does not want to be involved, it is determined if there is property of value.
- 8.9 If the decedent does not have property of value, then any property that came in with the deceased is held for 40 days.
- 8.10 After 40 days, the estate coordinator prepares an electronic work order to donate or dispose of property, and the case is electronically submitted to PA Case Closure (11.3.1).
- 8.11 If there is property of value, the estate coordinator determines if there is a title to the decedent's vehicle. If there is a title, the process continues to Tow Vehicle (9.5.1), and an electronic work order is submitted to the warehouse.
- 8.12 For all cases that have property, the CMS determines if there are sufficient funds for funeral expenses.
- 8.13 If there are insufficient funds at this time an electronic request is submitted to Clark County Social Service (CCSS).
- 8.14 If there are sufficient funds the estate coordinator contacts the mortuary and makes arrangements.
- 8.15 The estate coordinator submits an electronic work order and orders a Clean Out (9.2.1). During a clean-out, warehouse personnel may find a car title. If the title is in the decedent's name, the car is brought in during clean-out.
- 8.16 For both cases, the estate coordinator reviews the clean out order and inventory in the CMS.



Process Description and Goals

- 8.17 The estate coordinator orders death certificate, change of address and if there is real property, orders preliminary title report. These requests are conducted electronically.
- 8.18 The estate coordinator contacts all agencies to verify assets (banks, insurance companies, etc) by sending letters in the mail. The CMS notifies A/R that property has been secured for inventory tracking.
- 8.19 The estate coordinator determines asset value.
- 8.20 The estate coordinator prepares a worksheet.
- 8.21 It is determined if the estate is valued over \$20K.
- 8.22 If the estate is not valued over \$20K, then the case manager files an affidavit. (PA Affidavit 8.22.1). After the PA Affidavit, the case continues to PA Case Closure (11.3.1).
- 8.23 If the estate is valued over \$20K, the CMS assigns an attorney to the case.
- 8.24 It is determined if the estate is valued over \$75K.
- 8.25 If the estate is valued between \$20 and \$75K, the estate coordinator will prepare a set aside. (PA Set Aside 8.25.1). After PA Set Aside the case continues to PA Case Closure (11.3.1).
- 8.26 If the estate is valued over \$75K, the case continues to PA Probate (8.26.1). After PA Probate the case continues to PA Case Closure (11.3.1).

Goals:

- To properly manage and dispose of a decedent's real and personal property.

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|---|---|--|---|
| <ul style="list-style-type: none"> • Estate coordinator (EC). • Supervisor. | <ul style="list-style-type: none"> • Data and inventory collected during investigation. • Information about assets, bills and estate. | <ul style="list-style-type: none"> • Resolution of the ward's estate. | <ul style="list-style-type: none"> • Throughout this entire process the case manager is entering all information into Mission. |



Process Name: PA Family Release

Process Number: 8.7

Process Description and Goals

Description:

- 8.7.1 The family notifies the estate coordinator to set up an appointment.
- 8.7.2 The estate coordinator enters the appointment date into the CMS, which then sends a notification to the vault and warehouse to prepare property.
- 8.7.3 The vault manager has the family sign an affidavit.
- 8.7.4 The CMS determines if the vault manager is required to collect fees from the family. If yes, the vault manager collects the fees, and the money is sent to Accounts Receivable (10.1.1).
- 8.7.5 In the case that the family pays the fees or there are no fees required, the property is released to the family.
- 8.7.6 The vault manager notes who the property was released to.
- 8.7.7 It is determined if the PA has decedent's funds. If not, the case proceeds to PA Case Closure (11.3.1).
- 8.7.8 If so, the estate coordinator submits an electronic check request to Accounts Payable (10.2.1). The case then proceeds to PA Case Closure (11.3.1).

Process Name: PA Affidavit

Process Number: 8.22

Process Description and Goals

Description:

- 8.22.1 The executive assistant receives notification to prepare paperwork.
- 8.22.2 The executive assistant prepares the affidavit.
- 8.22.3 The custodian files the affidavit with the court and delivers the affidavit to the estate coordinator (9.7.14.1).
- 8.22.4 The estate coordinator receives the affidavit of entitlement from the court.
- 8.22.5 The estate coordinator sends certified copies of the affidavit to the CPA.
- 8.22.6 The estate coordinator liquidates and collects all assets.
- 8.22.7 The estate coordinator files with the CPA to obtain tax clearance.
- 8.22.8 The estate coordinator sends the affidavit of heirships to all possible heirs.



Process Name: PA Set Aside

Process Number: 8.25

Process Description and Goals

Description:

- 8.25.1 FOS A/R prepares the set aside letter for the court.
- 8.25.2 The FOS A/R assigns the set aside letter to the estate coordinator's queue for review.
- 8.25.3 The estate coordinator reviews the set aside letter.
- 8.25.4 Once approved, it is assigned to the PA's work queue to review. Once approved by the PA, it is assigned to Accounts Receivable's queue to forward to the attorney.
- 8.25.5 The estate coordinator receives legal documents for review and approval.
- 8.25.6 The estate coordinator receives the court order for appointment.
- 8.25.7 The estate coordinator sends certified copies of the affidavit to the CPA.
- 8.25.8 The estate coordinator liquidates and collects all assets.
- 8.25.9 The estate coordinator files with the CPA to obtain tax clearance.
- 8.25.10 The estate coordinator sends the affidavit of heirships to all possible heirs.

Process Name: PA Probate

Process Number: 8.26

Process Description and Goals

Description:

- 8.26.1 The FOS A/R receives notification to prepare PA probate.
- 8.26.2 The FOS A/R runs the inventory report.
- 8.26.3 The FOS A/R electronically attaches a cover letter to the report.
- 8.26.4 The FOS A/R assigns the report to the appropriate estate coordinator's queue.
- 8.26.5 The estate coordinator reviews the probate request.
- 8.26.6 The estate coordinator assigns the report to the Public Administrator's work queue for approval.
- 8.26.7 After approval, the report is assigned to both the attorney's and CPA's work queue.
- 8.26.8 The attorney files the legal documents with the court.
- 8.26.9 The attorney sends court order and letters of administration.
- 8.26.10 The attorney sends 60/90 day notice to creditor's report.



Process Description and Goals

- 8.26.11 The attorney sends confirmation of the sale of real property, if applicable.
- 8.26.12 The CMS sends a request to the attorney to send notices to known creditors.
- 8.26.13 The estate coordinator sends letters of administration to CPA.
- 8.26.14 The CMS verifies claim information.
- 8.26.15 All claims are assigned to the PA's work queue for review. Approved claims are paid through the final court order.
- 8.26.16 It is determined if a claim is denied.
- 8.26.17 If the claim is rejected, the estate coordinator sends an electronic request to the attorney to file rejection of claim. Creditors can continue to appeal the decision.
- 8.26.18 The estate coordinator collects and liquidates all assets.
- 8.26.19 The estate coordinator electronically files with the CPA to obtain tax clearance.
- 8.26.20 The estate coordinator notifies Accounts Receivables to conduct PA Final Accounting (8.26.20.1).
- 8.26.21 The estate coordinator sends the affidavit of heirships to all possible heirs. The final order will list the estate distribution requirements.
- 8.26.22 The estate coordinator forwards the completed affidavit of heirships to the attorney. The attorney files the affidavit of heirships with the court.
- 8.26.23 The estate coordinator receives the final order of distribution and images the document. The final distribution entails zeroing out the account by paying fees, expenses, creditors, and making distributions to heirs.

Process Name: PA Final Accounting

Process Number: 8.26.20

Sub-process Description and Goals

Description:

- 8.26.20.1 The FOS A/R receives notification to run the final accounting reports to be forwarded to the attorney. Attorney prepares the estate's final petition and accounting for court approval.
- 8.26.20.2 The FOS A/R verifies that assets have been sold and the CPA has been paid.
- 8.26.20.3 The FOS A/R verifies approved claims in the CMS.
- 8.26.20.4 The FOS A/R prompts the CMS to run reports.
- 8.26.20.5 The FOS A/R prepares a cover letter and electronically attaches the final accounting.
- 8.26.20.6 The report is assigned to the case manager's queue for review. A/R determines what fees are to be incorporated in the final accounting. If additional assets were located, the I&A report is attached.



Sub-process Description and Goals

- 8.26.20.7 Once the case manager reviews the file, the report is assigned to the PA's queue for review and approval. The PA signs the cover letter, and returns it to the FOS A/R.
- 8.26.20.8 The FOS A/R sends the original copy of the letter with the summary accounting to the attorney to file with the court. The documents are then returned to the office and all documents are imaged (Imaging 3.7.1).

Goals:

- To provide an accounting report of the assets of the estate.



Sub-process Name: Inventory Management

Sub-process Number: 9.0

Sub-process Description and Goals

Description:

- 9.1 Items enter the warehouse or vault.
- 9.2 A work order may request a clean out (Clean Out 9.2.1).
- 9.3 As a result of a clean out or a PG Secure Assets (2.7.4.18) items may enter the vault (Vault Check-in 9.3.1).
- 9.4 Items brought in during a clean out, may also require check-in into the warehouse (Warehouse Check-in 9.4.1).
- 9.5 Vehicles may be towed to the warehouse (Tow Vehicle 9.5.1).
- 9.6 Case manager may request to donate or dispose of items (Donate or Dispose 9.6.1).
- 9.7 There is also general warehouse activity that takes place (Warehouse Activity 9.7.1).

| <i>Process Participants</i> | <i>Inputs</i> | <i>Outputs</i> | <i>Additional Notes/ Observations</i> |
|--|---|---|--|
| <ul style="list-style-type: none"> • Estate coordinator. • Case managers. • Supervisors. • Warehouse and vault personnel. • Private moving company. • Las Vegas Auction. • Tow company. | <ul style="list-style-type: none"> • Ward's residence and assets. • Ward's vehicle. • Inventory of Personal Effects. • Work orders. | <ul style="list-style-type: none"> • Residence cleaned out. • Vehicle towed. • Items checked into the warehouse/vault. • Items disposed or donated. • Shipping and delivering goods. | <p>Access database provides IT support for warehouse management processes, but system is separate from Mission with no interface and redundant data entry.</p> |



Sub-process Name: Clean Out

Sub-process Number: 9.2

Sub-process Description and Goals

Description:

- 9.2.1 Warehouse personnel receive an electronic work order authorizing a clean out from case managers. Case managers can look in the CMS if they wish to know the status of their work order. The average time to complete a clean-out is one day. Occasionally, it may take two days to complete a clean-out.
- 9.2.2 The CMS assigns a priority to the work order.
- 9.2.3 The work order will give warehouse personnel the information needed to determine if large items and furniture are involved.
- 9.2.4 If large items and furniture are not involved, warehouse personnel will conduct the clean out themselves.
- 9.2.5 Warehouse personnel secure assets, including clothing, personal items and any hidden valuables.
- 9.2.6 Warehouse personnel enter inventory information into Tablet PC.
- 9.2.7 If a title is found during clean out and the vehicle appears to be in danger of being stolen or vandalized, Warehouse personnel will make a determination if a vehicle on the scene needs to be towed. (Tow Vehicle 9.5.1).
- 9.2.8 If large items and furniture are involved, warehouse personnel call Las Vegas Auction (LVA) to determine when the clean out can be scheduled. Warehouse personnel work around the availability of LVA to schedule clean outs. The typical time to complete a clean-out is 2-4 weeks.
- 9.2.9 Warehouse personnel coordinate their schedules to make sure they are available when LVA is available.
- 9.2.10 Warehouse personnel secure assets, including clothing, personal items and any hidden valuables.
- 9.2.11 LVA personnel accompany warehouse personnel to conduct the clean out.
- 9.2.12 LVA personnel determine what can be sold at auction and the value of these items.
- 9.2.13 Currently, all items from PG (even those to be sold) are taken to the warehouse for storage, while PA allows some items to be taken directly to LVA for sale. The Tablet PC is synced with the CMS, and inventory information is populated into the decedent's case file. The system then sends a notification to the estate coordinator to reflect completion of the clean out during Warehouse Check-in (9.4.1)

Goals:

- To appropriately secure all personal and household items.
- To respond in a quick and efficient manner.



Sub-process Name: Vault Check-in

Sub-process Number: 9.3

Sub-process Description and Goals

Description:

- 9.3.1 The executive assistant verifies property entered into the CMS by the investigator.
- 9.3.2 The executive assistant creates a label from the CMS case file and attaches it to the envelope.
- 9.3.3 The executive assistant sets aside all cash, jewelry and guns for double verification.
- 9.3.4 The executive assistant verifies set aside property with the vault manager.
- 9.3.5 The executive assistant files the envelope in the property envelope bin alphabetically by decedent's last name.
- 9.3.6 The executive assistant counts cash with the vault manager present.
- 9.3.7 The executive assistant verifies the amount entered into the CMS.
- 9.3.8 The executive assistant writes in the amount on the deposit slip.
- 9.3.9 If the cash needs to be soaked, it is sent to the warehouse. The executive assistant sets the envelope for the soaking cash on table until the cash is returned from warehouse.
- 9.3.10 The FOS A/R verifies if cash is being soaked.
- 9.3.11 If cash does need to be soaked, the FOS A/R sets notification in the CMS that cash requires soaking.
- 9.3.12 The FOS A/R counts cash on Thursdays with the vault manager. The FOS A/R develops a deposit slip.
- 9.3.13 The FOS A/R verifies in the CMS the amount of cash to be deposited for each respective ward or estate.
- 9.3.14 The FOS A/R gives the cash to the vault manager to release to the armored car that comes for pick-up every Friday. When bank pick-up arrives, the front desk notifies the vault manager. The vault manager releases the cash to the bank pick-up.

Goals:

- To appropriately secure all personal items.



Process Name: Warehouse Check-in

Process Number: 9.4

Process Description and Goals

Description:

- 9.2.14 Items are delivered to the warehouse either by Las Vegas Auction or warehouse personnel. Warehouse personnel will receive system notification of items to be checked in, including cars towed to the facility.
- 9.4.1 Inventory is scanned into the Tablet PC and synced with the CMS.
- 9.4.2 It is determined if the items brought into the warehouse are items of value or household items.
- 9.4.3 Warehouse personnel deposit values in secured drop box, and the process continues to Vault Check-in (9.3.1).
- 9.4.4 If household items were brought in, it is determined if there is a large amount of goods to be stored.
- 9.4.5 If there is a large amount of goods, they are stored in a wooden vault.
- 9.4.6 If there are not a lot of items, the goods are stored in a titan or a bin.
- 9.4.7 All of the goods are stored in their appropriate location.
- 9.4.8 Warehouse personnel update the CMS with work order completion information, including the bin location. A notification is sent to the case manager or estate coordinator that the work order has been completed.

Goals:

- To provide accurate and transparent warehouse management.

Sub-process Name: Tow Vehicle

Sub-process Number: 9.5

Sub-process Description and Goals

Description:

- 9.5.1 It is determined if the vehicle needs to be towed.
- 9.5.2 If it does, warehouse personnel go to the tow location.
- 9.5.3 Warehouse personnel call the tow company to take the vehicle to LVA or the warehouse.
- 9.5.4 Once the vehicle is towed to LVA or warehouse, warehouse personnel update the CMS with work order completion information.
- 9.5.5 The CMS generates a notification to the case manager that the work order has been completed.



Sub-process Name: Donate or Dispose

Sub-process Number: 9.6

Sub-process Description and Goals

Description:

- 9.6.1 Warehouse personnel receive an electronic work order to donate or dispose.
- 9.6.2 Warehouse personnel place items in donation bin.
- 9.6.3 Warehouse personnel update the CMS that the work order has been completed.
- 9.6.4 The CMS sends a notification to the case manager/estate coordinator that the work order has been completed.

Sub-process Name: Warehouse Activity

Sub-process Number: 9.7

Sub-process Description and Goals

Description:

- 9.7.1 Warehouse personnel receive an electronic request to look at items in the warehouse.
- 9.7.2 In this case, warehouse personnel put items in the case manager review area.
- 9.7.3 The case manager sends an electronic notification to warehouse personnel if items are taken from the warehouse. Warehouse personnel then update the CMS (9.7.15).
- 9.7.4 Warehouse personnel receive electronic notification that the family wishes to pick up their family member's items.
- 9.7.5 Warehouse personnel put family items in the receiving area.
- 9.7.6 The case manager escorts the family to the receiving area, and the family retrieves their family member's possessions. Items taken by family are updated in the CMS (9.7.15).
- 9.7.7 Warehouse personnel receive electronic notification to ship goods.
- 9.7.8 If property is to be shipped, the process continues to Shipping (9.7.8.1). All items to be shipped are noted in the CMS (9.7.15).
- 9.7.9 It is determined if warehouse personnel are to remove or install a lockout. Warehouse personnel receive electronic notification.
- 9.7.10 If this is the case, warehouse personnel remove or install lockout, and the CMS is updated (9.7.15).
- 9.7.11 Warehouse personnel receive electronic notification if items are to be picked up.
- 9.7.12 If this is the case, warehouse personnel go to the facility and pick up property. All property that has been picked up is entered in the CMS (9.7.15).



Sub-process Description and Goals

- 9.7.13 Warehouse personnel receive electronic notification that property is to be delivered.
- 9.7.14 If property is to be delivered the process continues to Delivery (9.7.14.1).
- 9.7.15 All additions or subtractions of property are noted in the CMS.
- 9.7.16 Warehouse personnel receive notification that property is to be sold.
- 9.7.17 If property is to be sold, it is determined if an advertisement needs to be placed with the local newspaper.
- 9.7.18 If yes, an advertisement is made in the local paper.
- 9.7.19 Warehouse personnel enter dates LVA is available.
- 9.7.20 LVA picks up inventory and takes it to auction.
- 9.7.21 LVA sends check and itemized inventory to vault manager.
- 9.7.22 Sold inventory is entered into the CMS. The CMS notifies the FOS A/R of inventory sold (Inventory Tracking and Reporting 2.8.3.9.1).
- 9.7.23 Warehouse personnel receive notification to call a locksmith.
- 9.7.24 Warehouse personnel call a locksmith and arranged schedule.
- 9.7.25 Warehouse personnel go with the locksmith to re-key or open a lock.



Sub-process Name: Shipping

Sub-process Number: 9.7.8

Sub-process Description and Goals

Description:

- 9.7.8.1 The custodian receives electronic notification of request to ship goods.
- 9.7.8.2 This electronic work order identifies if the shipment should be shipped immediately or if an estimate needs to be provided to the case manager.
- 9.7.8.3 If an estimate is required, the custodian provides an estimate, and if the CMS determines that there are sufficient funds for shipping, a request is made to the case manager for approval.
- 9.7.8.4 If there are insufficient funds or the case manager does not approve the spending, the case manager requests funds from the family.
- 9.7.8.5 The case manager and the family determine what items are to be shipped.
- 9.7.8.6 It is determined if the items that are not to be shipped will be donated or disposed.
- 9.7.8.7 If items are to be donated or disposed of the case manager sends the custodian an electronic notification, and the process continues to Donate or Dispose (9.6.1).
- 9.7.8.9 If items are to be shipped the case manager sends an electronic notification to the custodian of items to be shipped once the money is received by the case manager. The custodian ships the goods.
- 9.7.8.10 The custodian enters information into the CMS, and a notification is sent to the case manager.

Goals:

- To deliver property, goods and checks to the proper recipients in a timely manner.



Sub-process Name: Delivery

Sub-process Number: 9.7.14

Sub-process Description and Goals

Description:

- 9.7.14.1 The custodian receives an electronic notification which identifies the priority associated with delivering that item. Items for delivery include checks, legal documents, etc.
- 9.7.14.2 The custodian delivers paperwork and checks.
- 9.7.14.3 The custodian enters delivery information into the handheld and a notification is sent to the case manager that the items have been delivered.

Goals:

- To deliver property, goods and checks to the proper recipients in a timely manner.



Process Name: Financial Management

Process Number: 10.0

Process Description and Goals

Description:

- 10.1 Accounts Receivable (10.1.1).
- 10.2 Accounts Payable (10.2.1).
- 10.3 Reconciliation (10.3.1).

| Process Participants | Inputs | Outputs | Additional Notes/ Observations |
|--|--|--|---|
| <ul style="list-style-type: none"> • Case Managers. • Accounts Receivable personnel. • Supervisor. • Accounts Payable personnel. | <ul style="list-style-type: none"> • Checks. • Bills. • Food stamp debit card. • Request for payments. | <ul style="list-style-type: none"> • Daily Balance Report. • Payments. | |

Process Name: Accounts Receivable

Process Number: 10.1

Process Description and Goals

Description:

- 10.1.1 Checks come into the office through Process Mail (1.3). Checks are picked up by the vault manager out of Account Receivable's basket.
- 10.1.2 The vault manager runs a tally on all incoming checks.
- 10.1.3 The checks are given to the FOS A/R who runs a separate, independent tally.
- 10.1.4 The FOS A/R images the checks.
- 10.1.5 The optical scanner enters check information in a "scratch pad state" for verification and approval. The CMS provides a list of potential client matches in the CMS. The FOS A/R selects appropriate client and case manager info in CMS and notifies assigned case manager in CMS.
- 10.1.6 The FOS A/R secures all original checks.
- 10.1.7 The case manager categorizes the check and CMS shows the effect on the client's budget and daily balance.



Process Description and Goals

- 10.1.8 The FOS A/R completes the deposit slip and tally.
- 10.1.9 The FOS A/R takes the deposit to the front office for pick up for deposit.
- 10.1.10 The FOS A/R sends monthly report to CPA to reconcile the account.
- 10.1.11 Another trigger for the Accounts Receivable process is the financial specialist will receive stock reports in the mail. (Process Mail 1.10.3).
- 10.1.12 The FOS A/R compares the prior period cash balance to the current period cash balance. The FOS A/R records all stock purchasing, sales, dividends and activity in Mission. The FOS A/R is responsible for recording all stock activity.
- 10.1.13 If the stock experienced a significant loss, the FOS A/R notifies the case manager and the Public Guardian.
- 10.1.14 The FOS A/R then images and files the statement.

Goals:

- To provide accurate accountancy of the client or ward's financial records.

Process Name: Accounts Payable

Process Number: 10.2

Process Description and Goals

Description:

- 10.2.1 Receive appropriate electronic A/P form from case manager. There are a variety of forms that could be categorized as one of four areas: one-time check requests, autopay requests, processing of fund transfers and processing of different account funds.
- 10.2.2 One-time payment (10.2.2.1).
- 10.2.3 Autopay transaction (10.2.3.1).
- 10.2.4 Process accounts (10.2.4.1).
- 10.2.5 Process transfers (10.2.5.1).

Goals:

- To provide accurate accountancy of all client financial records.
- To ensure payments of bills and other services are made efficiently and accurately.



Process Name: One Time Payment

Process Number: 10.2.1

Process Description and Goals

Description:

- 10.2.2.1 FOS A/P receives a notification that case manager has requested that a one-time check payment be made with associated invoices imaged in the CMS. FOS A/P reviews requests coded as priority/rush first.
- 10.2.2.2 FOS A/P verifies that the information in the check request is consistent internally and with the information for that name and account in the CMS.
- 10.2.2.3 CMS matches check request against list of existing vendors in the CMS for potential matches.
- 10.2.2.4 It is determined if the request involves a new vendor.
- 10.2.2.5 If a new vendor is required, the system prompts the FOS A/P to enter the vendor's information.
- 10.2.2.6 The process of cutting a check is the same for all transactions that require it. (Process Check 10.2.2.6.1).
- 10.2.2.7 FOS A/P assigns checks to the appropriate PA or PG supervisor for verification. There are two individuals identified for both PA and PG to supervise this process. For the PG organization, this is the Public Guardian or the Case Management Supervisor. For the PA organization, this is the Deputy Public Administrator or the Vault Manager.
- 10.2.2.8 Supervisor will verify and return the checks to FOS A/P to be mailed or delivered.
- 10.2.2.9 The process for checks that are sent out for delivery is covered in Delivery (9.7.14.1).
- 10.2.2.10 Checks that will be mailed are placed in the appropriate mail slot.

Process Name: Process Check

Process Number: 10.2.2.6

Process Description and Goals

Description:

- 10.2.2.6.1 The process for cutting the check is the same for all transactions that require it. The process begins with the FOS A/P receiving an electronic check request.
- 10.2.2.6.2 The check is cut in the CMS.
- 10.2.2.6.3 The CMS logs the completed transaction into the Daily Balancing Report.



Process Description and Goals

- 10.2.2.6.4 Requests for voiding or cancelling a check can be received from a case manager at any time.
- 10.2.2.6.5 The FOS A/P voids the check in the CMS. All activity, including voided and cancelled checks and stop payments, are recorded by the CMS in the Daily Balancing Report.
- 10.2.2.6.6 **The FOS A/P electronically receives the stop payment request form** and the stop payment request to the bank, from the case manager with the approval from a supervisor.
- 10.2.2.6.7 These requests require changing the status of checks by the FOS A/P in the CMS.

Process Name: Autopay Transaction

Process Number: 10.2.3

Process Description and Goals

Description:

- 10.2.3.1 The FOS A/P receives a system notification to establish an automatic payment order from the case manager or the appropriate supervisor.
- 10.2.3.2 The form identifies if this is a new autopay request.
- 10.2.3.3 If it is not a new request, the appropriate action is taken. The autopay transaction is put on hold, changed, or any existing hold removed as per the directions on the completed form.
- 10.2.3.4 For new autopays, the FOS A/P verifies the autopay information against what is in the CMS.
- 10.2.3.5 The FOS A/P creates the autopay account by assigning the amount to be charged and scheduling the payment date.
- 10.2.3.6 The system generates payments at the scheduled time without subsequent prompting and alerts the FOS A/P that the autopay has been scheduled.

Process Name: Process Accounts

Process Number: 10.2.4

Process Description and Goals

Description:

- 10.2.4.1 The FOS A/P receives notification to set aside funds for burial accounts, to close burial accounts, or to pay back or borrow from imprest account.
- 10.2.4.2 The FOS A/P creates a new burial account number in the CMS and cuts a check (Process Check 10.2.2.6.1).
- 10.2.4.3 The FOS A/P prompts the CMS to electronically deposit funds.



Process Name: Process Transfers

Process Number: 10.2.5

Process Description and Goals

Description:

- 10.2.5.1 The FOS A/P may initiate a transfer upon receipt of the electronic transfer request form from a case manager.
- 10.2.5.2 The FOS A/P may initiate a transfer to pay attorney fees upon receipt of a copy of the court order with supervisor approval.
- 10.2.5.3 The FOS A/P may initiate a transfer upon receipt of an impound form from a case manager with supervisor approval. The amount deposited into this account is at the discretion of the case manager; the purpose of the account is to have enough money to pay fees in the future.
- 10.2.5.4 The FOS A/P may also initiate a transfer to release funds for paying fees upon receipt of an impound release from a case manager with supervisor approval.
- 10.2.5.5 The FOS A/P processes all transfer requests in the same manner in the CMS. Transfers are verified for accuracy when the end of day reconciliation takes place. Process 10.3.1 describes reconciliation taking place in the morning.

Process Name: Reconciliation

Process Number: 10.3

Process Description and Goals

Description:

- 10.3.1 Every morning, reconciliation between the CMS and the bank occurs.
- 10.3.2 The CMS automatically downloads PA and PG bank info into the CMS.
- 10.3.3 The CMS identifies discrepancies in the amounts in the CMS and information about those accounts downloaded from the bank.
- 10.3.4 It is determined if there are misdirected deposits.
- 10.3.5 If the system detects a problem, a notification is sent to the FOS A/R.
- 10.3.6 The system generates a daily log for the CPA, which is submitted electronically.
- 10.3.7 It is determined if it is the end of the day.
- 10.3.8 At the end of the day, the CMS uploads information to the bank.



Process Name: PG Case Closure

Process Number: 11.1

Process Description and Goals

Description:

- 11.1.1 The case manager receives electronic notification that warrants case closure.
- 11.1.2 It is determined if the ward regained competency.
- 11.1.3 If yes, the case manager receives a doctor's assessment.
- 11.1.4 If this is not the case, it is determined if the ward passed away.
- 11.1.5 If the client has not passed away, a family member may wish to assume guardianship responsibility.
- 11.1.6 In this case the family member is referred to the guardianship training class.
- 11.1.7 If the ward does pass away, a system notification is sent to the entire department, the CPA firm, the attorneys and CCSS.
- 11.1.8 The case manager verifies in the CMS if there is personal property.
- 11.1.9 It is determined if the ward has family.
- 11.1.10 If they do have family the case manager contacts them.
- 11.1.11 It is determined if the estate is worth over \$75K.
- 11.1.12 If the decedent has more than \$75K, it is determined if the family wishes to probate the case.
- 11.1.13 If family wishes to probate the case, the case manager schedules a time for them to come and pick up personal items.
- 11.1.14 If family does not wish to probate the case and the estate is worth over \$75K, the case is referred to the PA Case Activity (8.1).
- 11.1.15 If the ward does not have more \$75K, the case proceeds to PG Set Aside (11.1.15.1).
- 11.1.16 A final accounting is prepared (11.1.16.1), and an electronic check requests are issued to Accounts Payables (10.2.1).
- 11.1.17 The case manager enters case closure information into the CMS.

Goals:

- To ensure the ward's business matters are completed.



Process Name: Guardian Set Aside

Process Number: 11.1.15

Process Description and Goals

Description:

- 11.1.15.1 The case manager sends an electronic request for the death certificate.
- 11.1.15.2 The case manager sends electronic notification to all interested parties that the ward/client has passed away.
- 11.1.15.3 The case manager sends an electronic request to the CPA for tax clearance. The tax clearance form is assigned into the FOS A/R work queue once received.
- 11.1.15.4 The case manager ensures there is no outstanding debt.
- 11.1.15.5 The case manager returns all outstanding funds to the income source
- 11.1.15.6 The FOS A/P prompts the system to close the burial account.
- 11.1.15.7 The case manager sends an electronic notification to the attorney to create set aside.
- 11.1.15.8 The court returns the court order to the office.
- 11.1.15.9 Once the court order comes back to the office, the case manager and FOS A/P distribute the funds as specified in the order.
- 11.1.15.10 The case manager updates the CMS.
- 11.1.15.11 The case manager submits an electronic check requests to Accounts Payable (10.2.1).

Process Name: Guardian Final Accounting

Process Number: 11.1.16

Process Description and Goals

Description:

- 11.1.16.1 The FOS A/R will receive electronic notification that a final accounting must be prepared.
- 11.1.16.2 The FOS A/R ensures in the CMS that all assets have been sold, distributed, or have a named beneficiary. If more assets have been located an amended inventory must be submitted to the court and filed with the final accounting. Accounts Receivable ensures all bills are paid before running final accounting
- 11.1.16.3 The FOS A/R prompts the system to run the final accounting report.
- 11.1.16.4 The FOS A/R generates a cover letter and attaches the final accounting.
- 11.1.16.5 The FOS A/R assigns the report to the case manager's work queue for review. This cover letter advises the attorney what to do with any remaining assets and what fees are to be incorporated in the final accounting. If addi-



Process Description and Goals

tional assets were located, the I&A report is attached.

11.1.16.6 The report is reviewed and signed by the PG and is assigned to the attorney's work queue, and the report is filed with the court.

11.1.16.7 The report is then sent to the case manager's queue.

11.1.16.8 The report is sent to FOS A/R queue.

Goals:

- To provide an annual update of the status of the ward.

Process Name: Rep-Payee Case Closure

Process Number: 11.2

Process Description and Goals

Description:

11.2.1 It is determined if the rep-payee passes away. If the client did not pass away, the client has either been terminated from the program or is leaving voluntarily.

11.2.2 If the rep-payee does pass away, the case is flagged and a notification is sent in the CMS to the entire office.

11.2.3 In all cases, the case manager notifies the referring party.

11.2.4 The case manager sends an electronic notification to the income source.

11.2.5 It is determined if the client passed away.

11.2.6 If the client did pass away, it is determined if the family wishes to probate the case.

11.2.7 If they do not wish to probate, the case is referred to PA (PA Case Activity 8.0.1).

11.2.8 If they wish to probate, the funds are released to the family.

11.2.9 If the client did not pass away, it is determined if another payee has been chosen for the case.

11.2.10 If there is another rep-payee, the case manager transfers the remaining balance of the account to the new rep-payee.

11.2.11 If there is not another rep-payee, the remaining balance is transferred back to the income source.

11.2.12 For all cases to be closed, the case manager enters case closure information into the CMS.

Goals:

- To ensure the ward's business matters are completed.



Process Name: PA Case Closure

Process Number: 11.3

Process Description and Goals

Description:

- 11.3.1 It is determined if there was property involved in the case. If not proceed to 11.3.7.
- 11.3.2 If there is property, the case manager pays all outstanding bills and expense, including tow bills, locksmith and lockout fees.
- 11.3.3 The estate coordinator zeros out the account by paying all the bills and giving remaining funds to the heirs.
- 11.3.4 The estate coordinator prepares the file by purging all unnecessary documents and coding all other documents.
- 11.3.5 The estate coordinator then submits an electronic check request or transfer form to pay bills and distribute funds to Accounts Payable (10.2.1), and gives the file to the executive assistant to close the account. If there are items to donate or dispose, the estate coordinator electronically submits a 'donate or dispose' (9.6.1) work order to the warehouse.
- 11.3.6 The executive assistant verifies the document coding completed by the case managers.
- 11.3.7 The executive assistant puts the case closure date into the CMS.
- 11.3.8 The CMS creates a data lead sheet.
- 11.3.9 The executive assistant sorts out the documents after the lead sheet.
- 11.3.10 The executive assistant scans the file.
- 11.3.11 The executive assistant scrolls through the image and remove all non-essential images, including billing instructions and cover sheets.
- 11.3.12 The imaged file is indexed.
- 11.3.13 The image is downloaded.
- 11.3.14 The executive assistant files the hard copy of the document. Imaged documents are available to case managers within 24 hours.

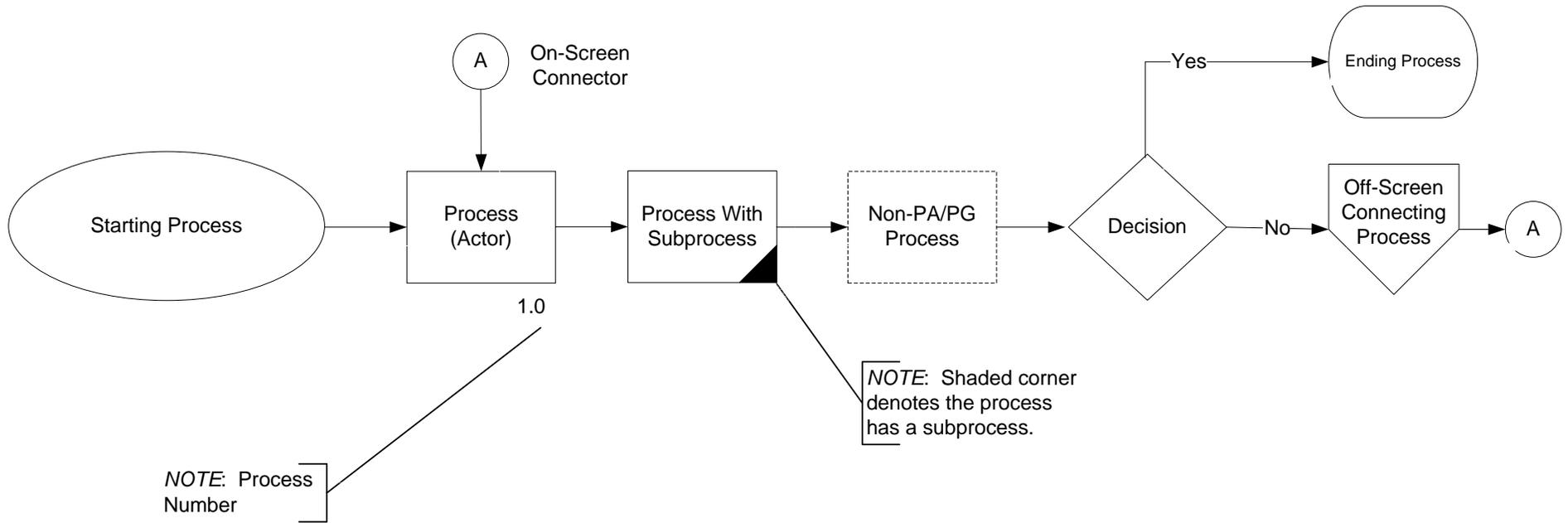
Goals:

- To store case files electronically for easy retrieval of information.

X. Revised Business Process Diagrams

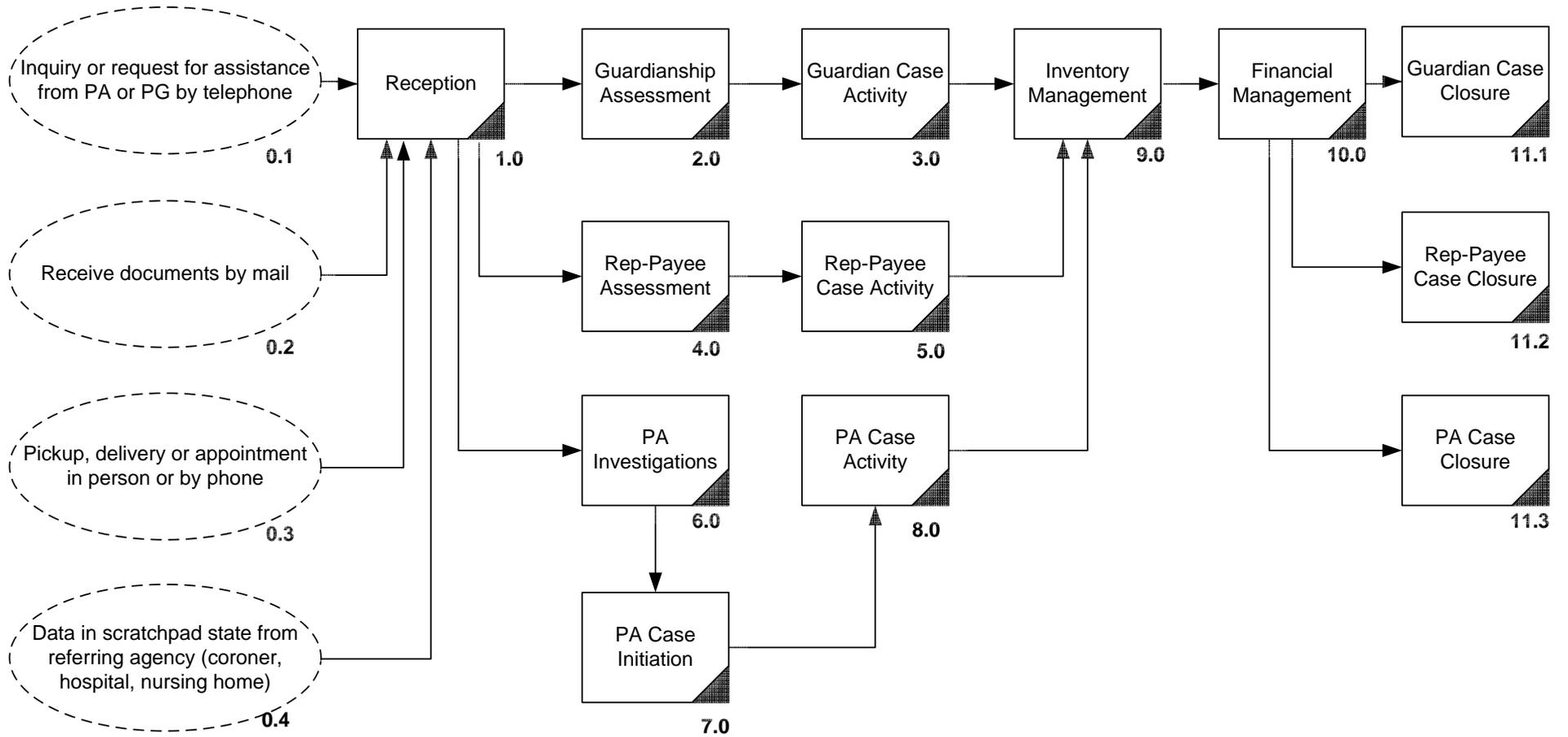
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Sample Process Flow



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

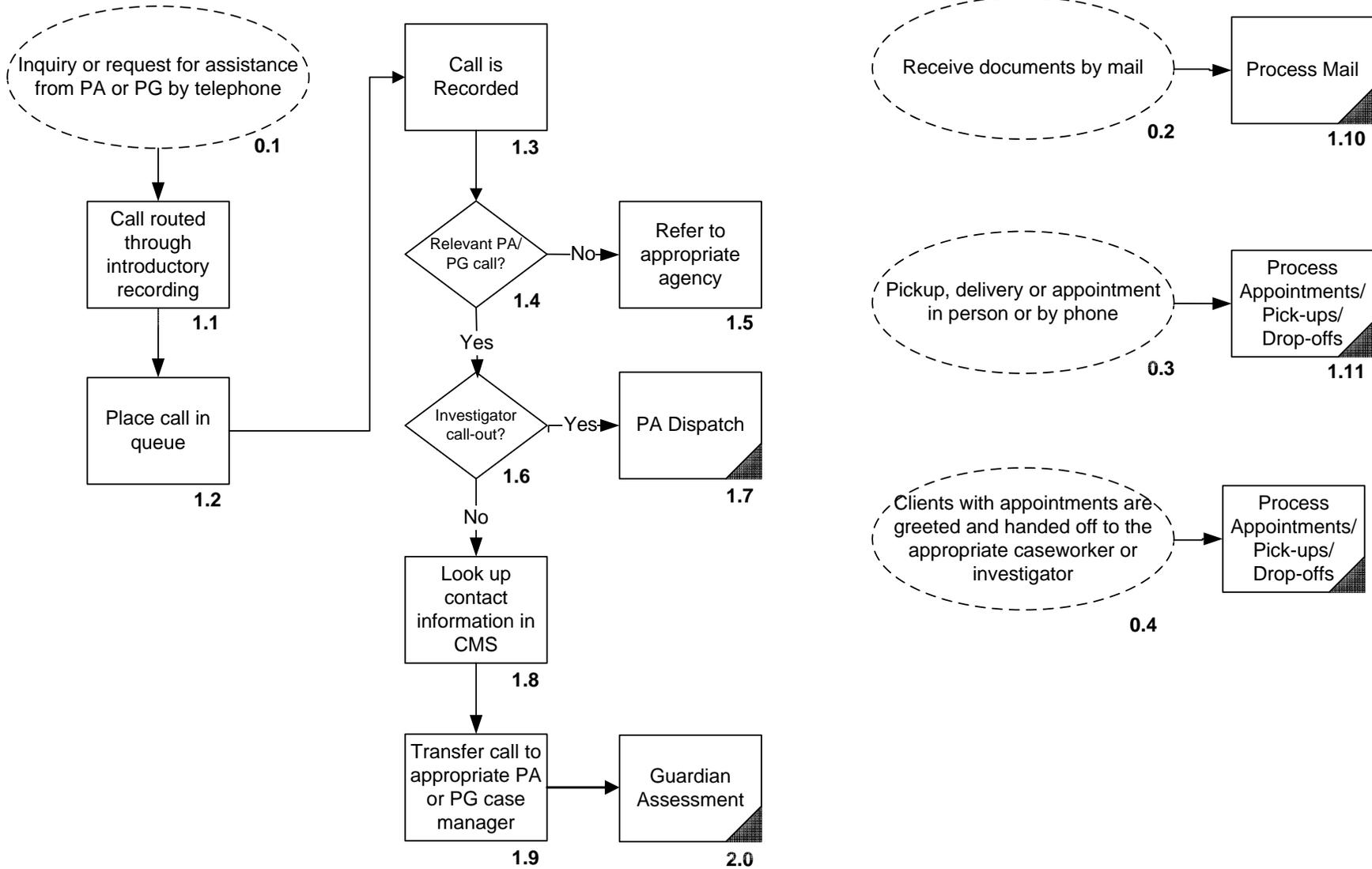
High Level Process Overview



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

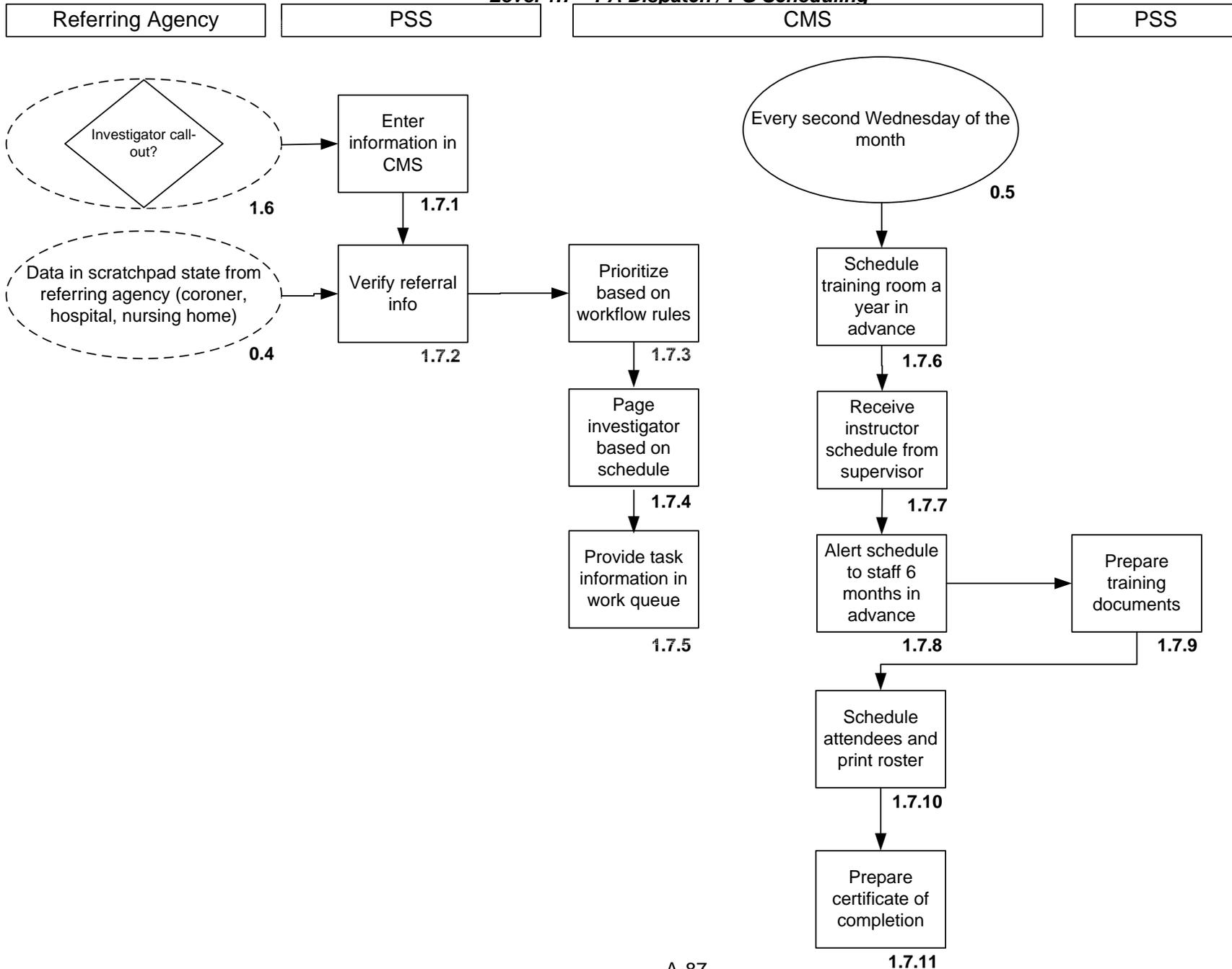
Level 1.0 – Reception

Public Service Specialists



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

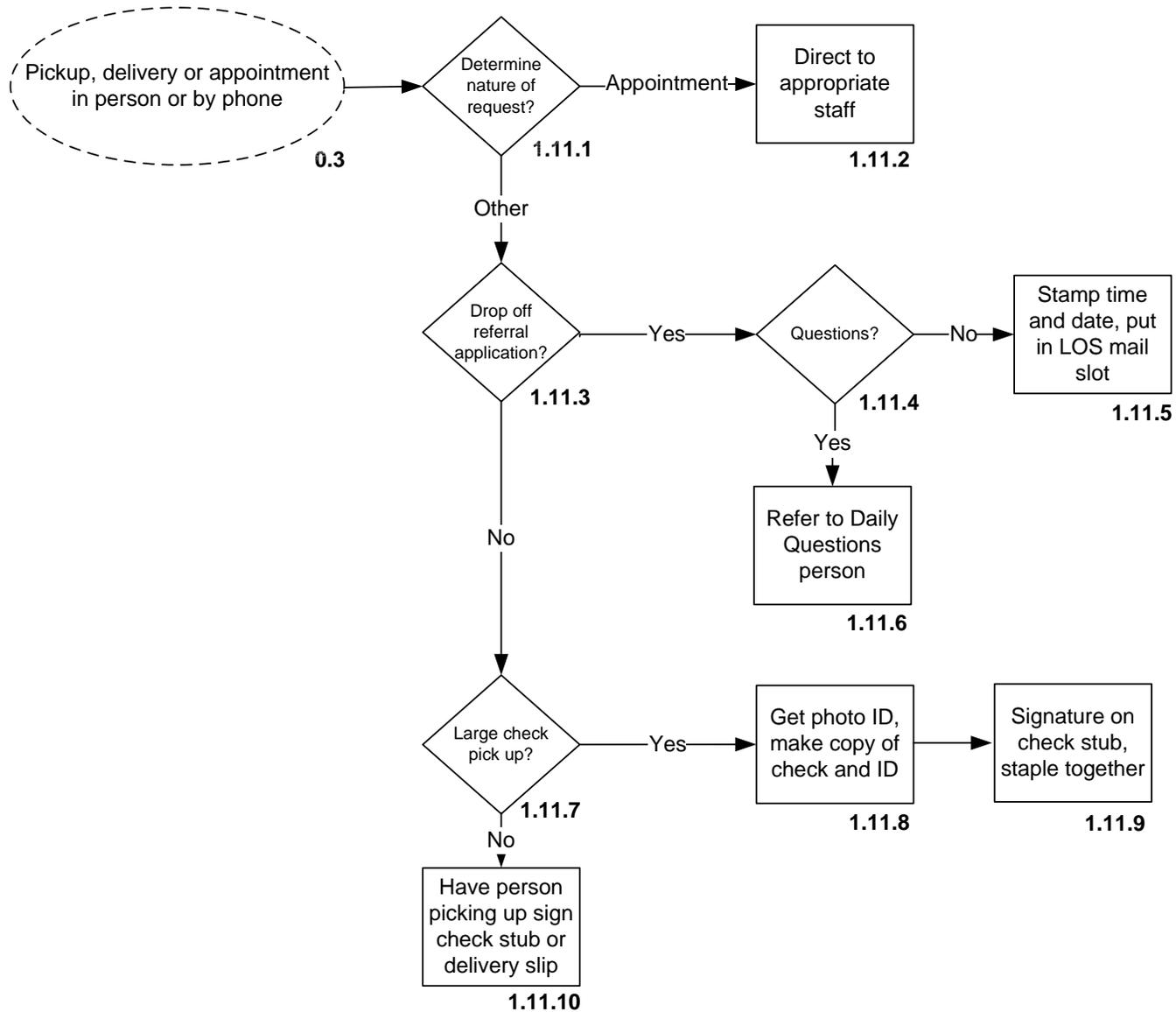
Level 1.7 – PA Dispatch / PG Scheduling



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

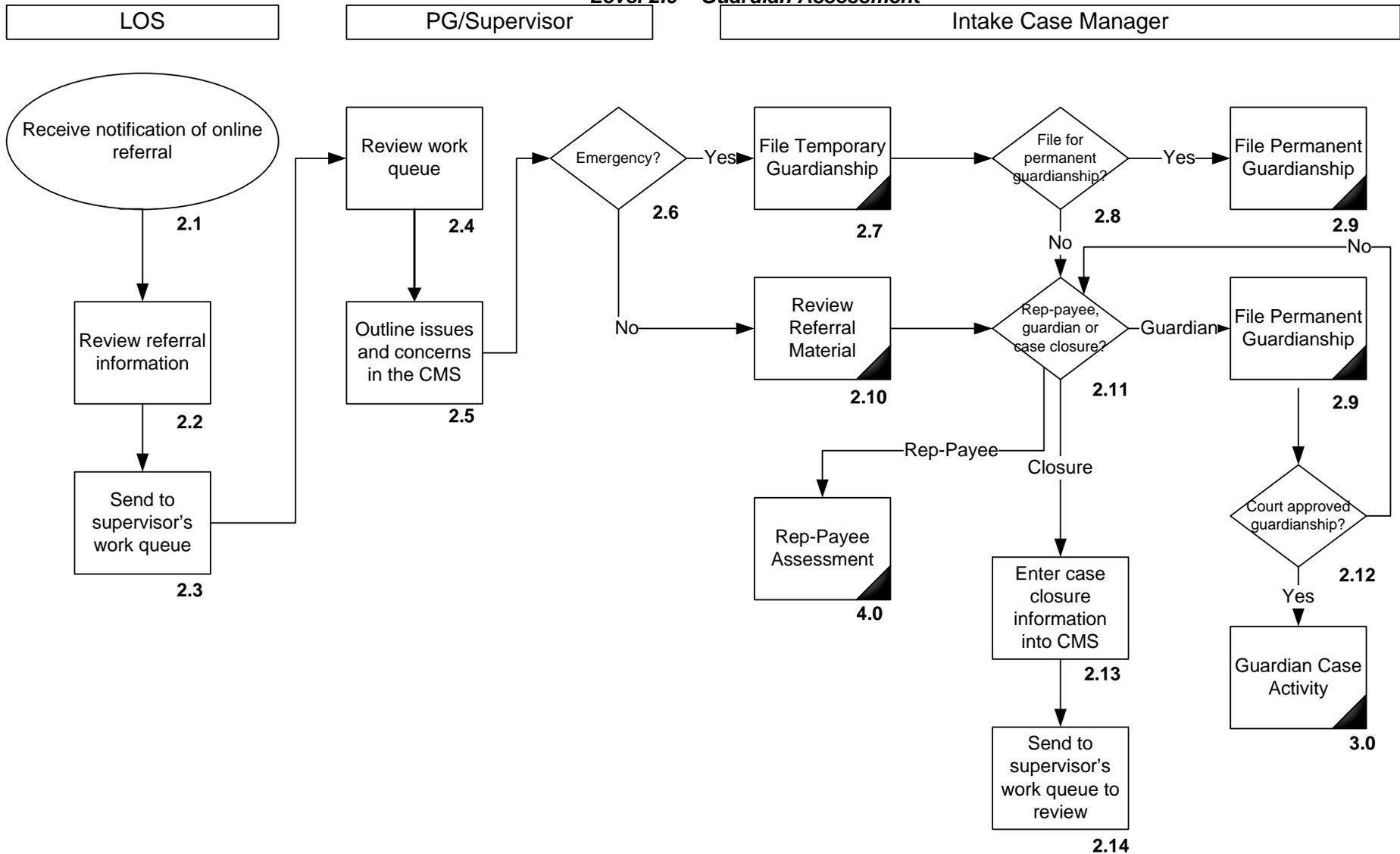
Level 1.11 – Process Appointment / Pickup / Drop-off

PUBLIC SERVICE SPECIALIST



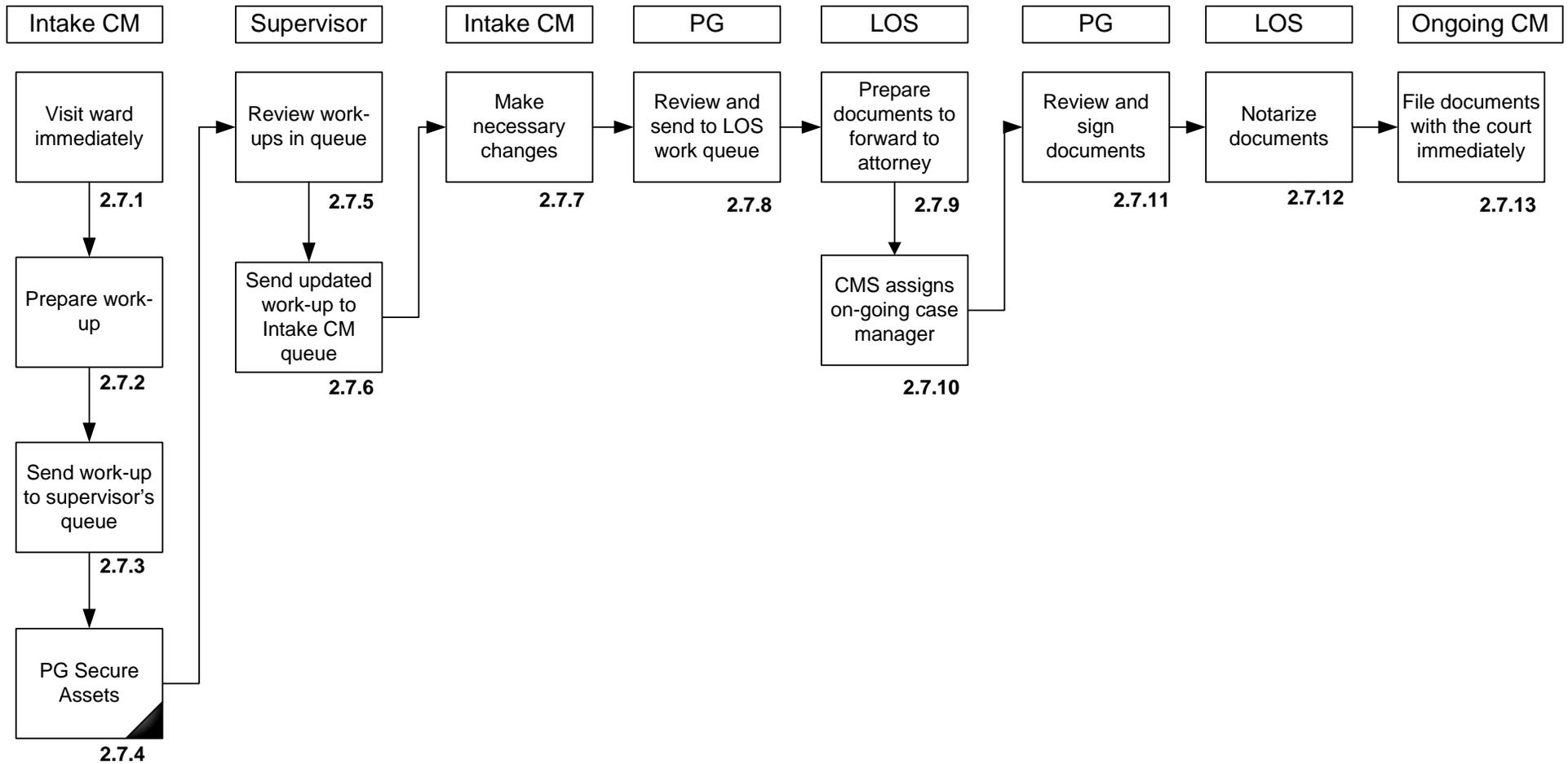
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 2.0 – Guardian Assessment



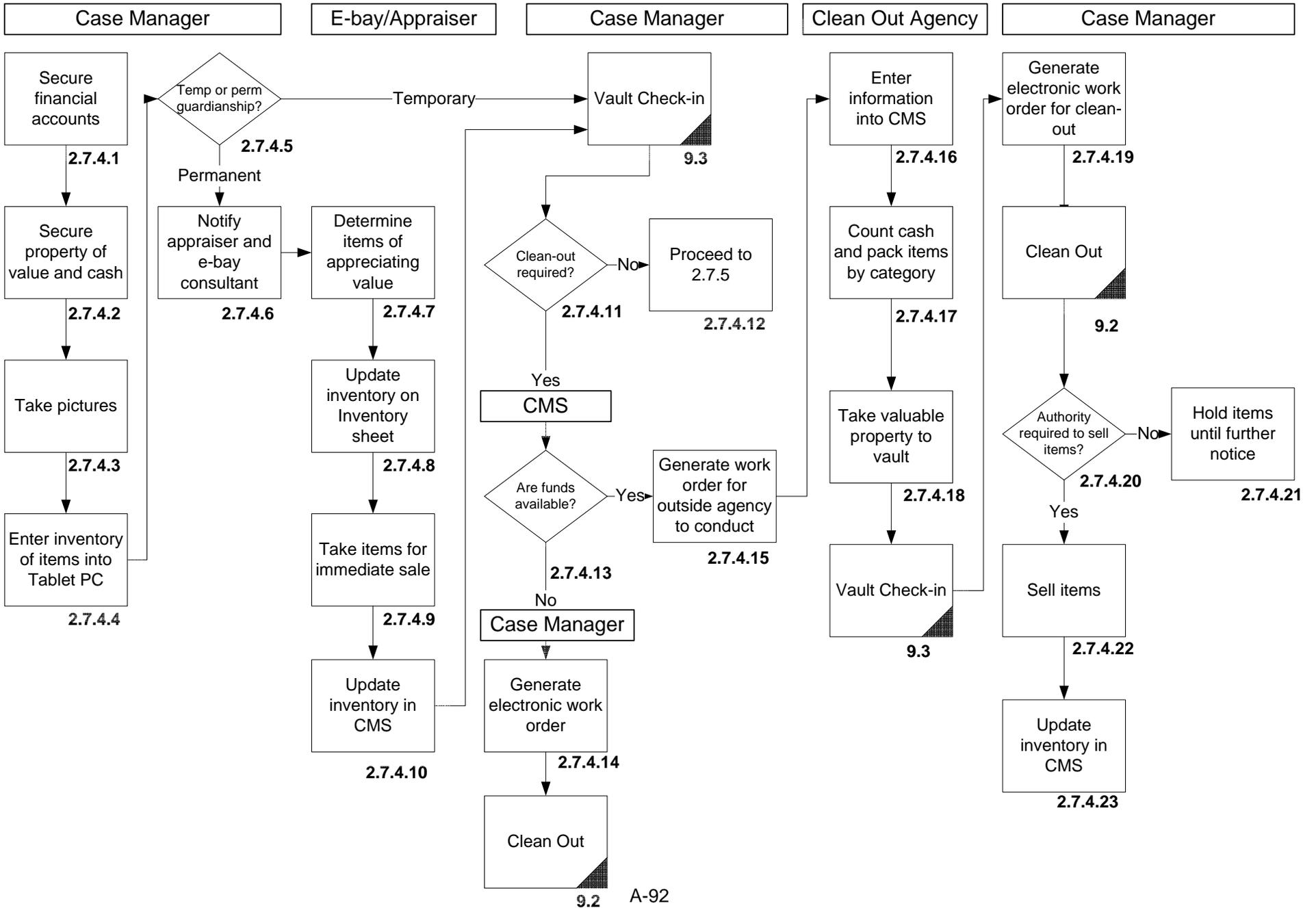
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 2.7 – File Temporary Guardianship



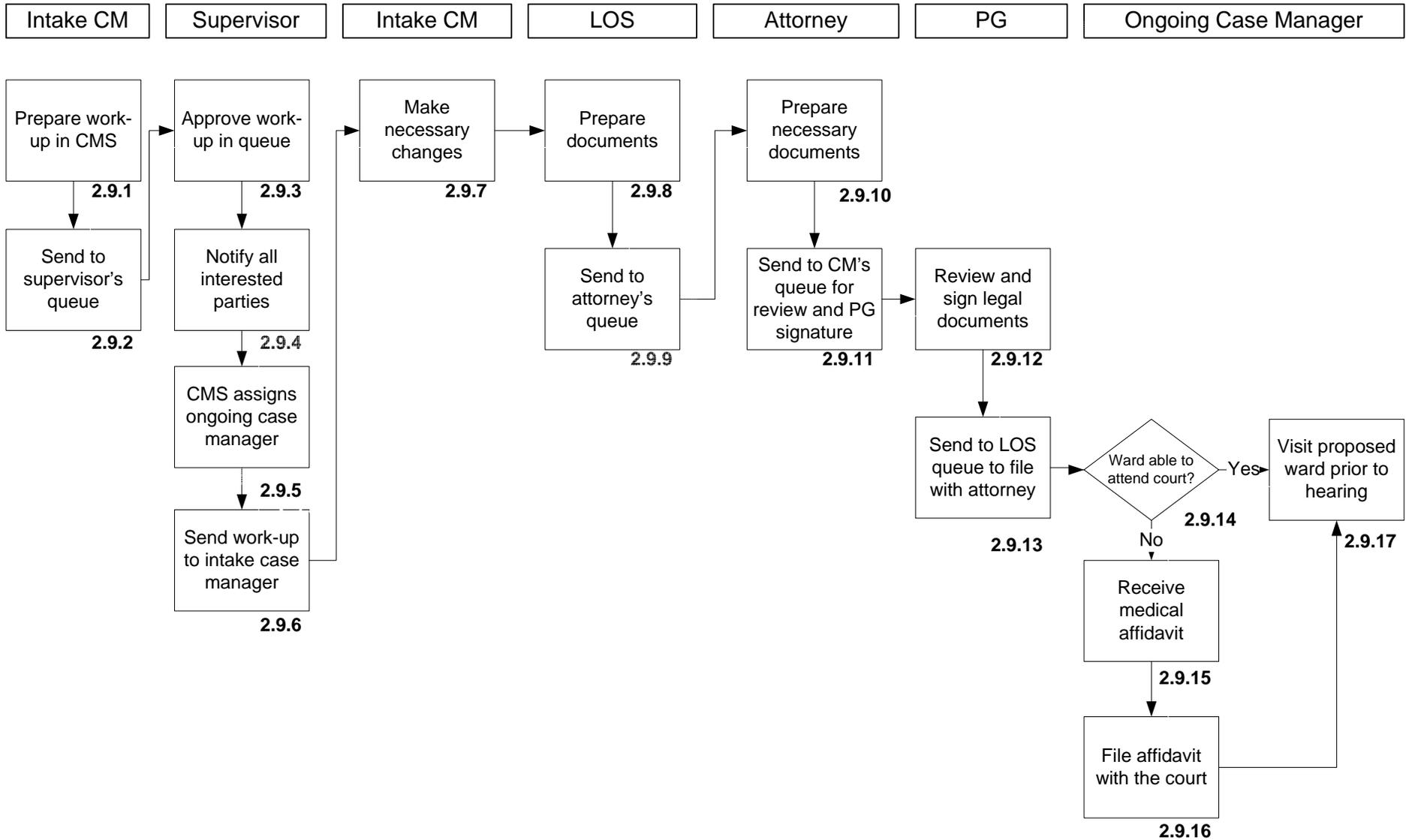
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 2.7.4 – Public Guardian Secure Assets



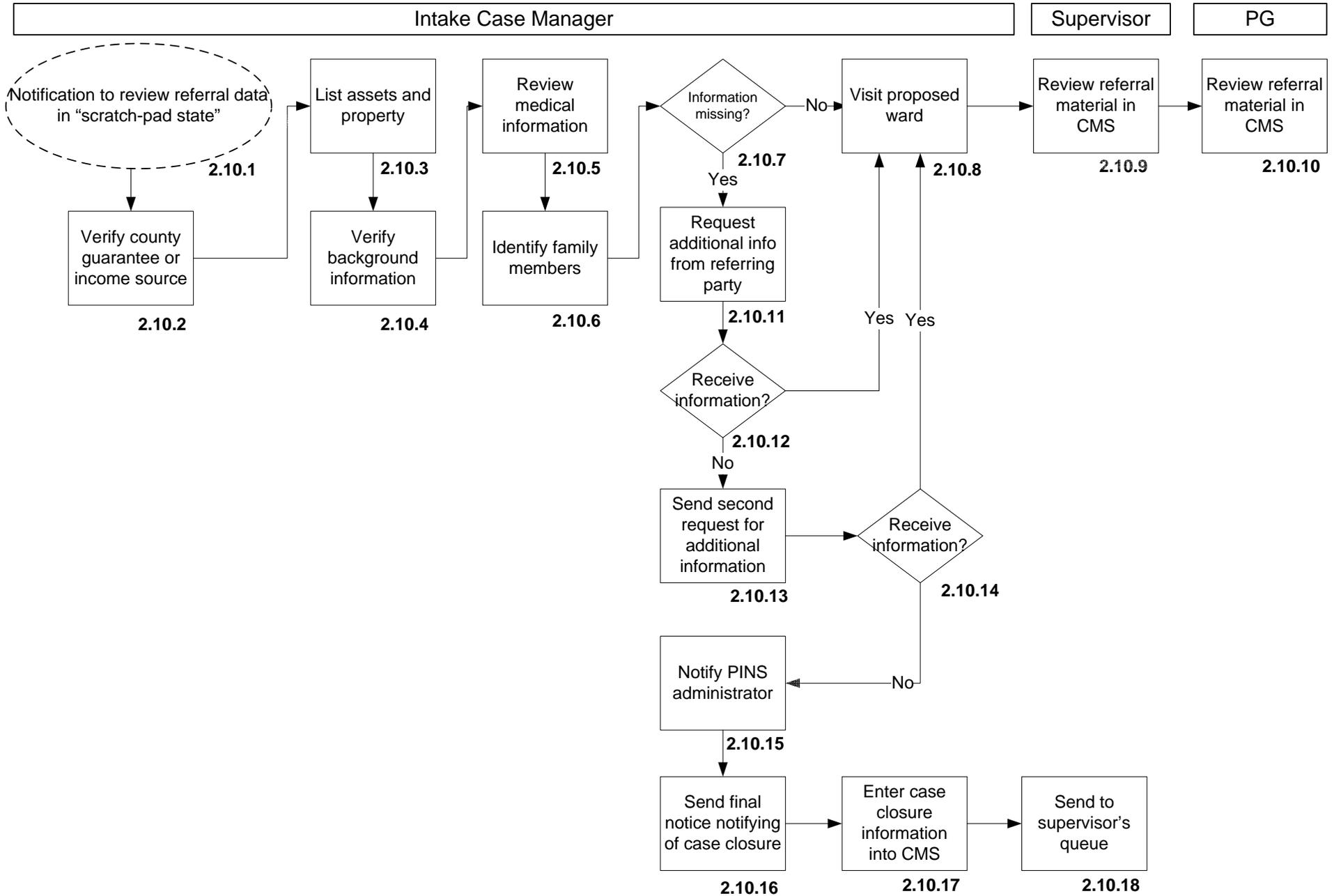
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 2.9 – File Permanent Guardianship



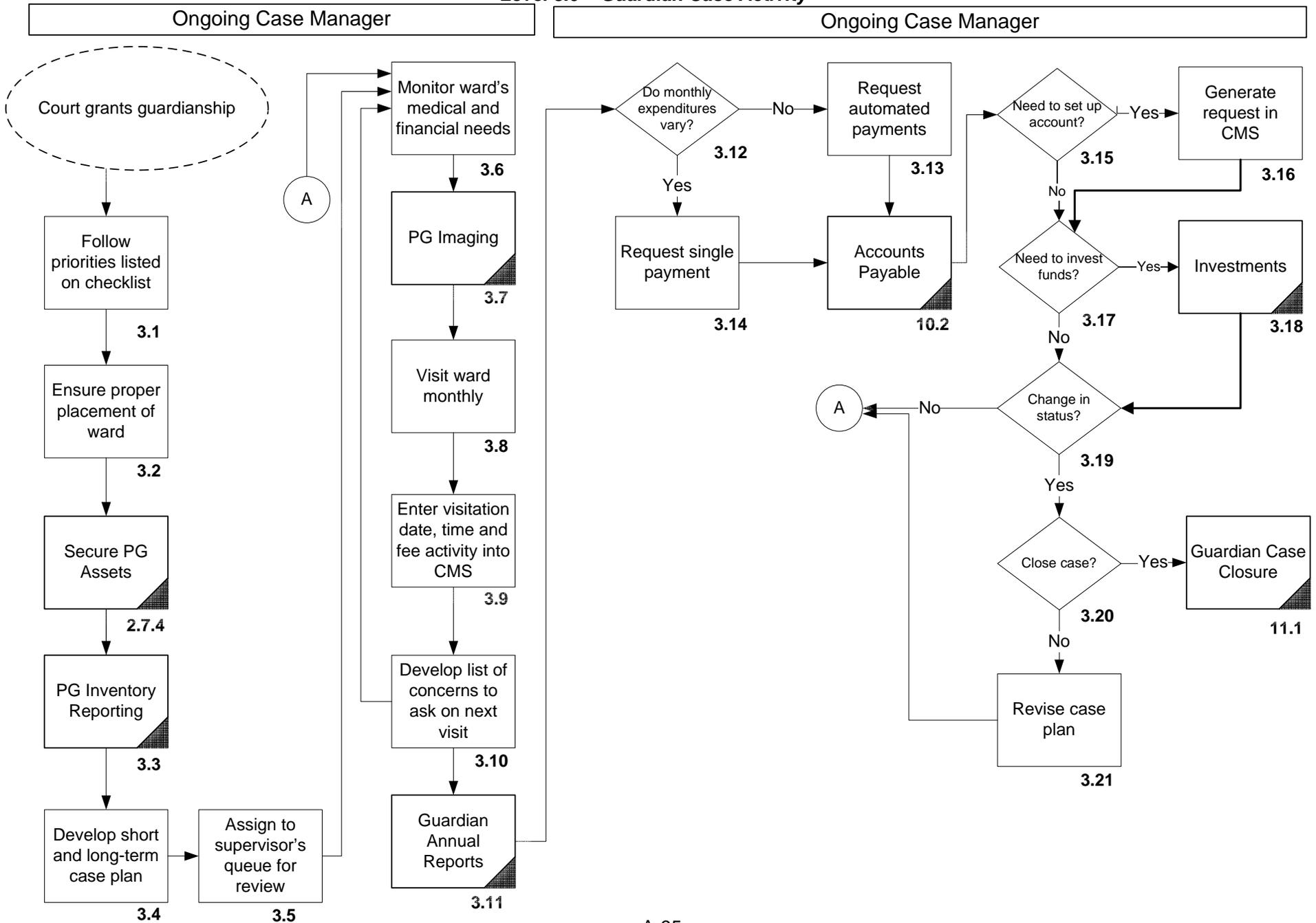
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 2.10 – Review Referral Material



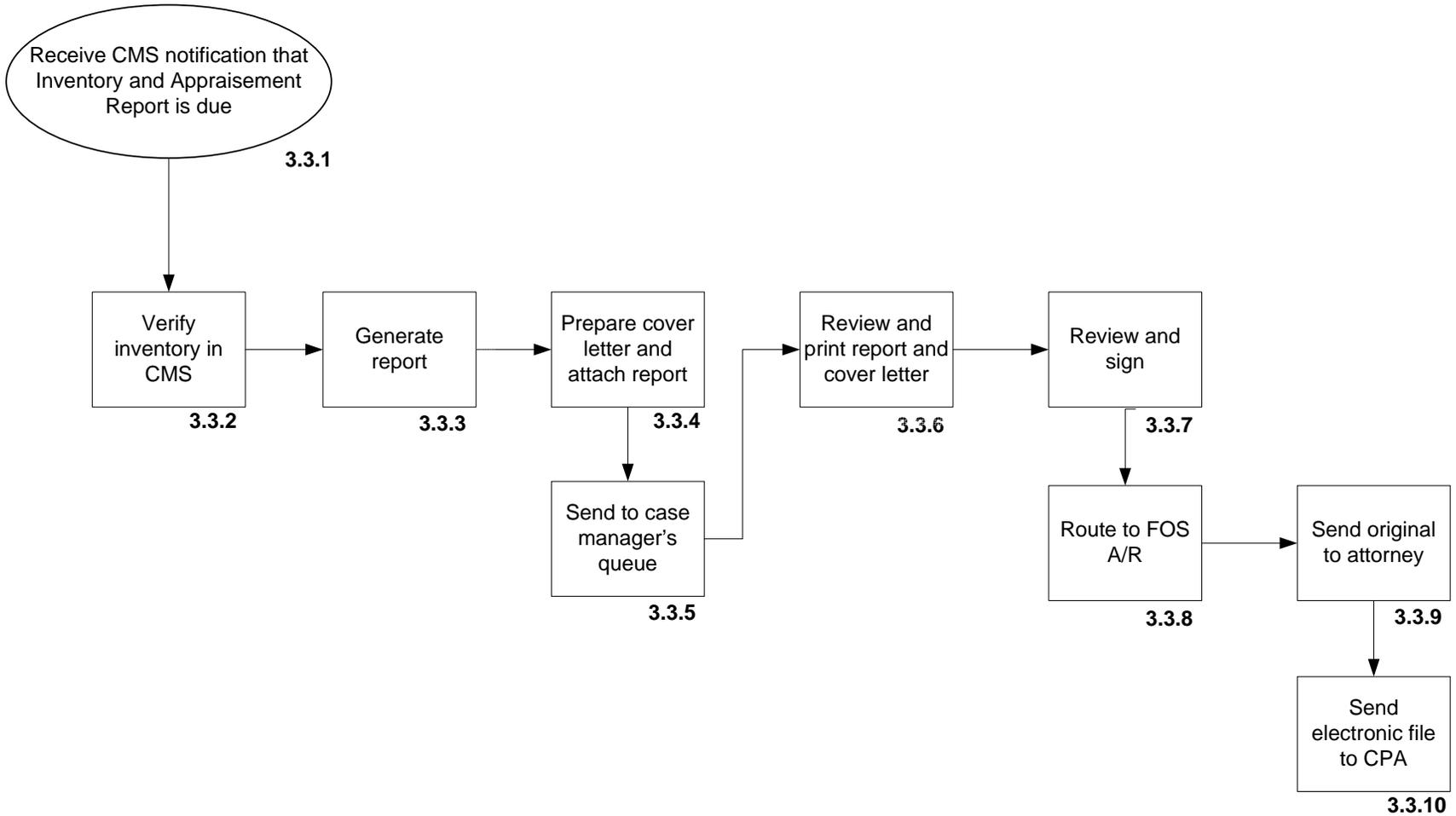
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 3.0 – Guardian Case Activity



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

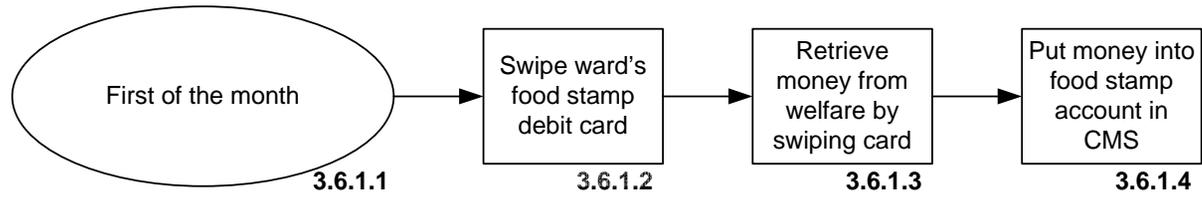
Level 3.3 – PG Inventory Reporting



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

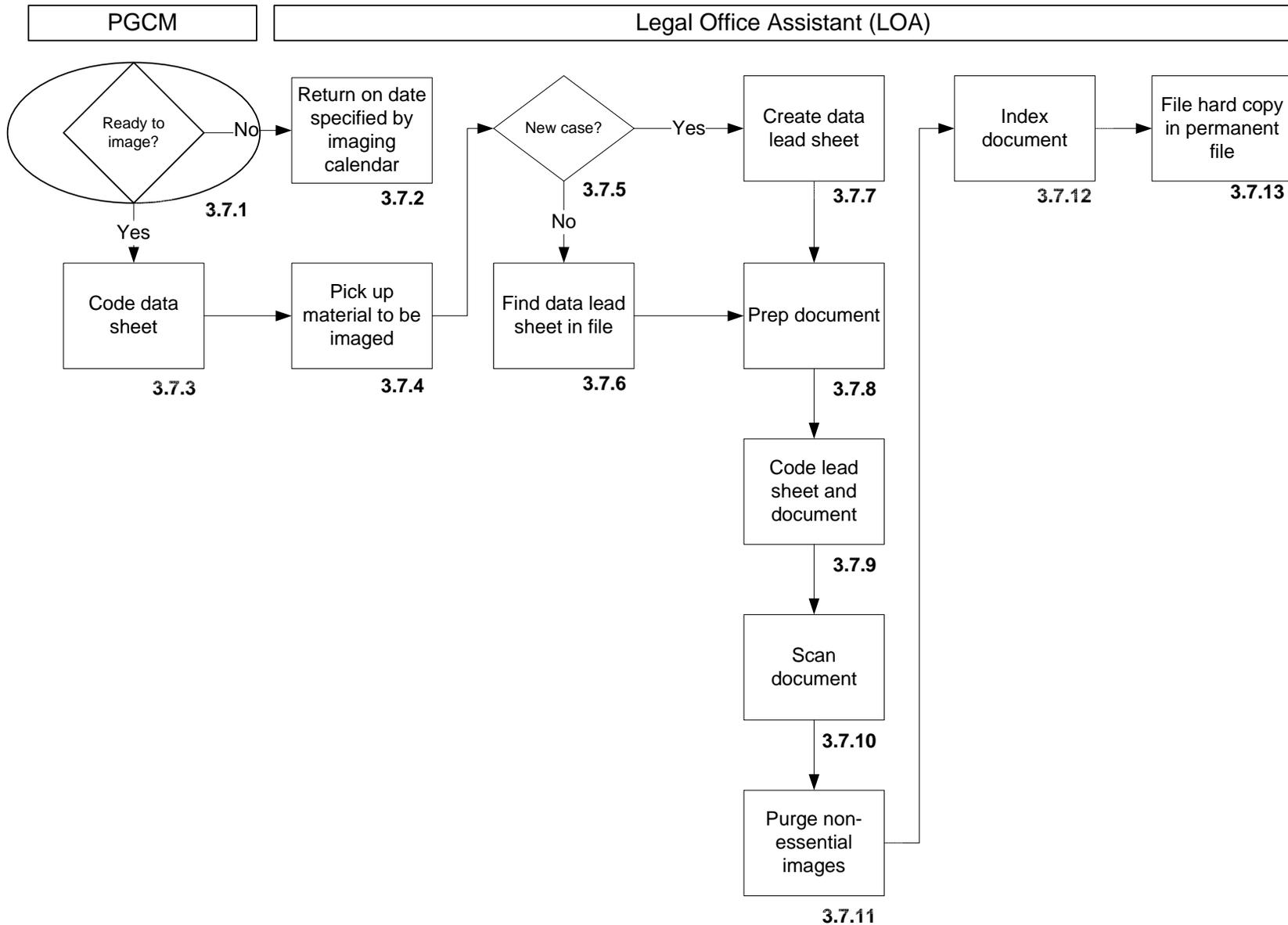
Level 3.6.1 – Activate Food Stamp Funds

Financial Office Specialist – Accounts Receivable



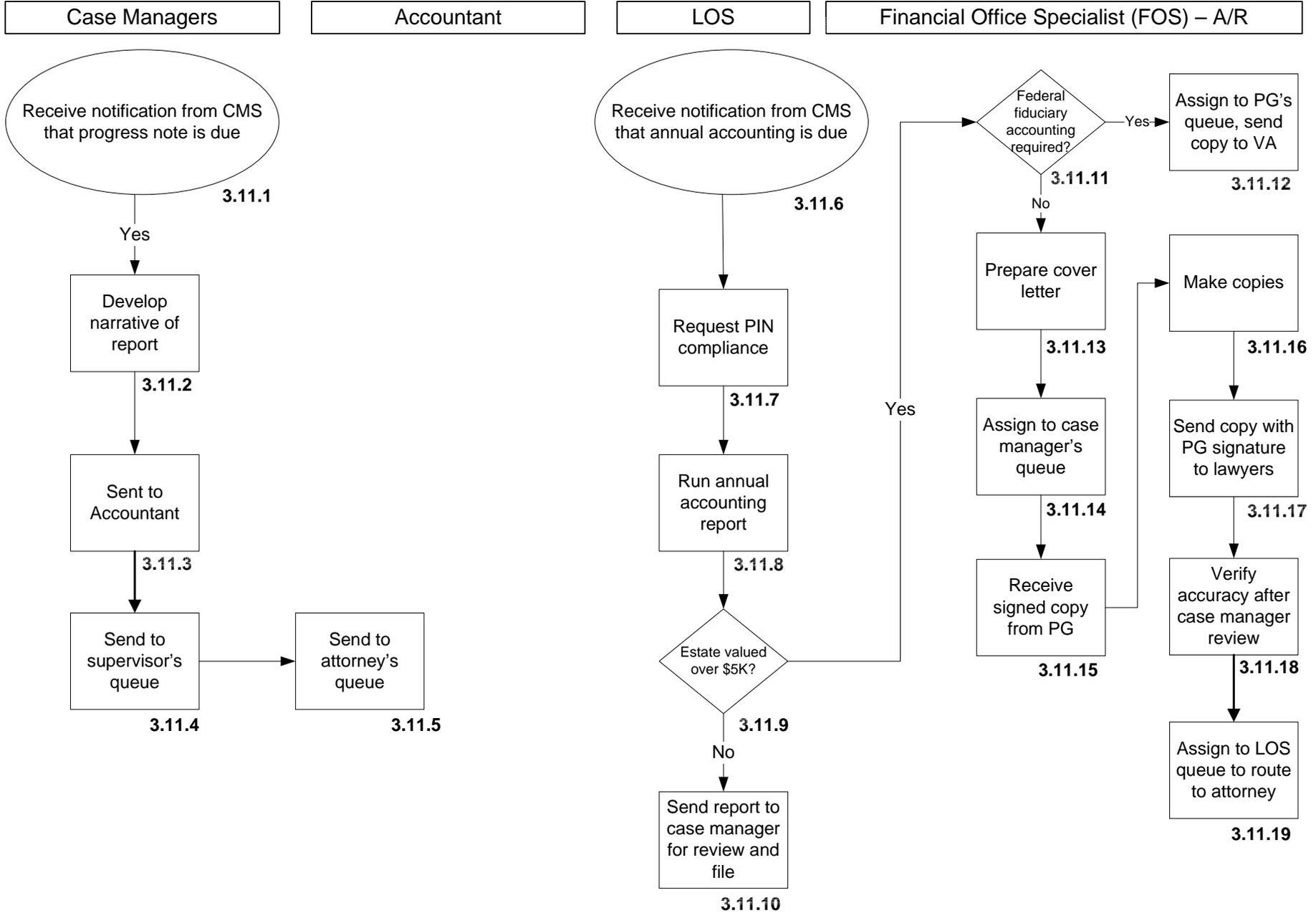
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 3.7 – PG Imaging



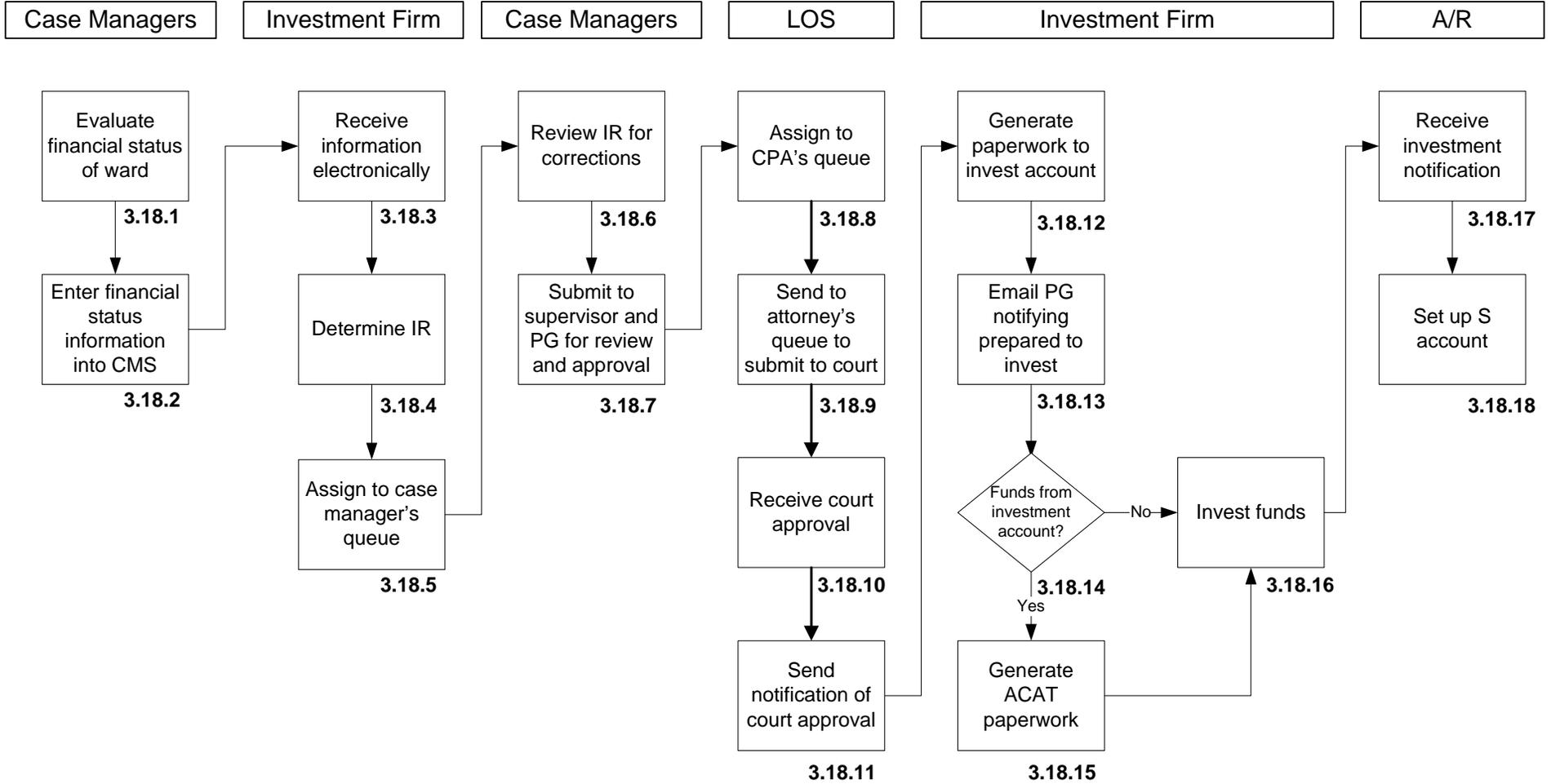
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 3.11 – Guardian Annual Reports



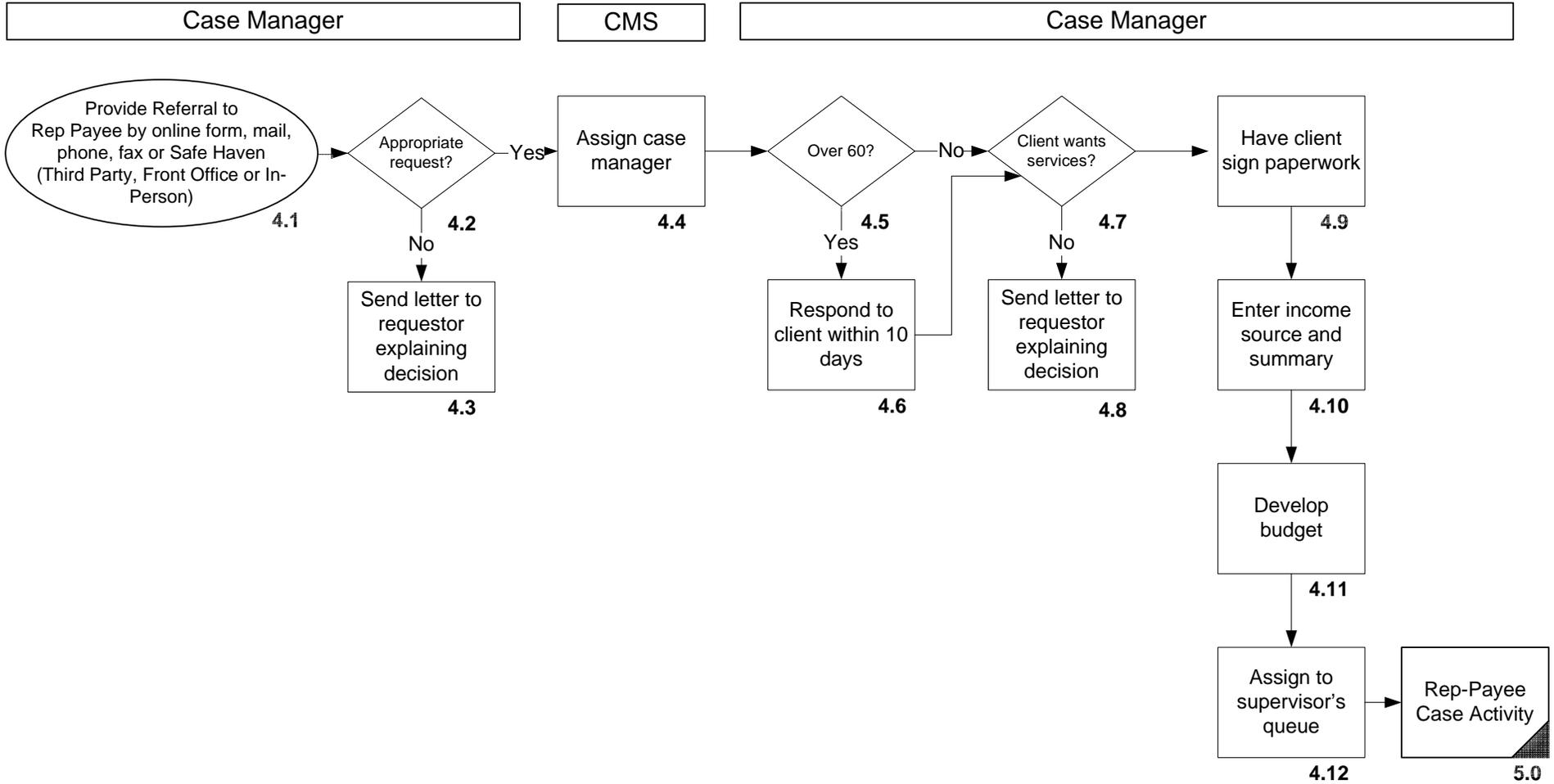
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 3.18 – Investment



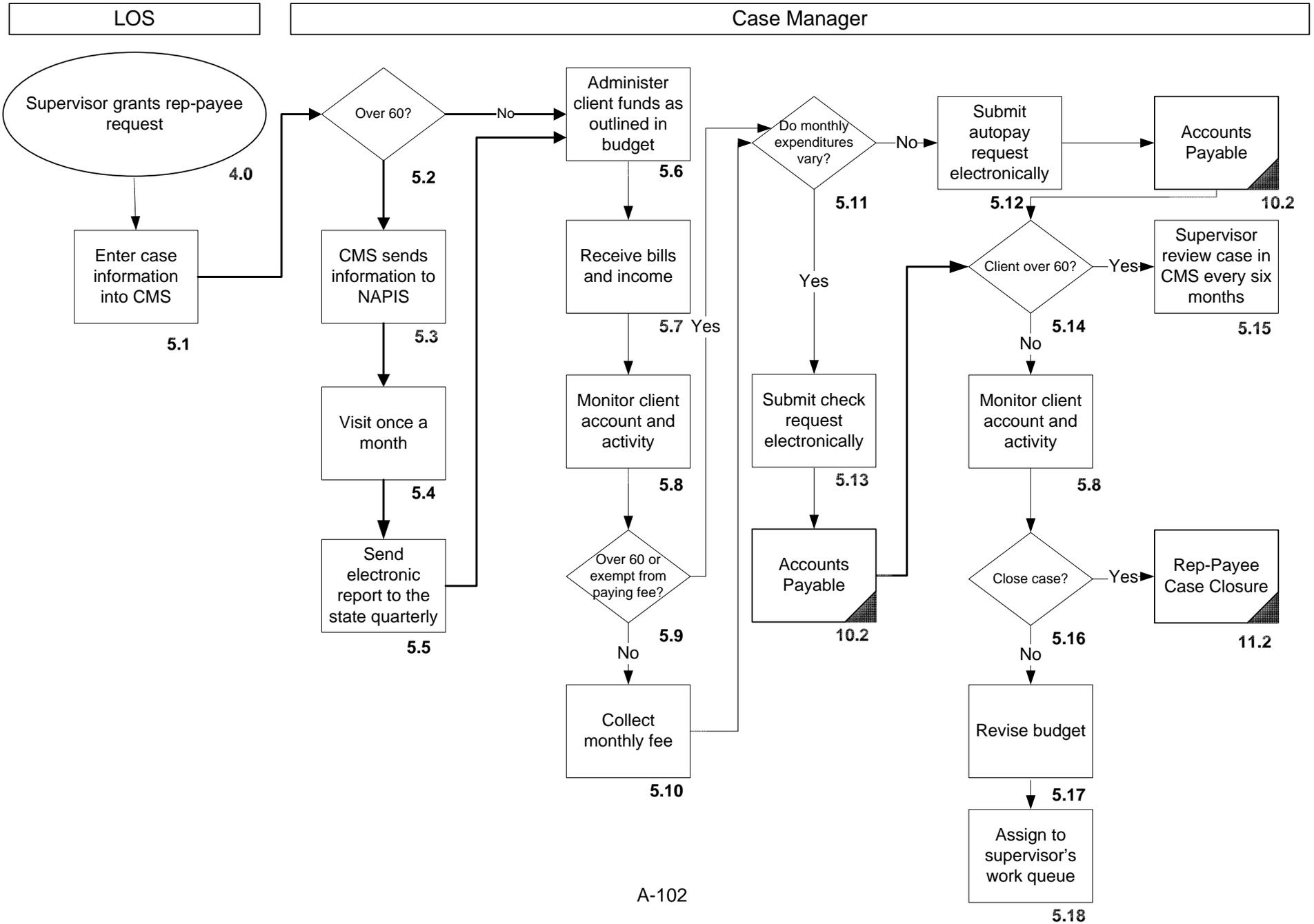
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 4.0 – Rep-payee Assessment



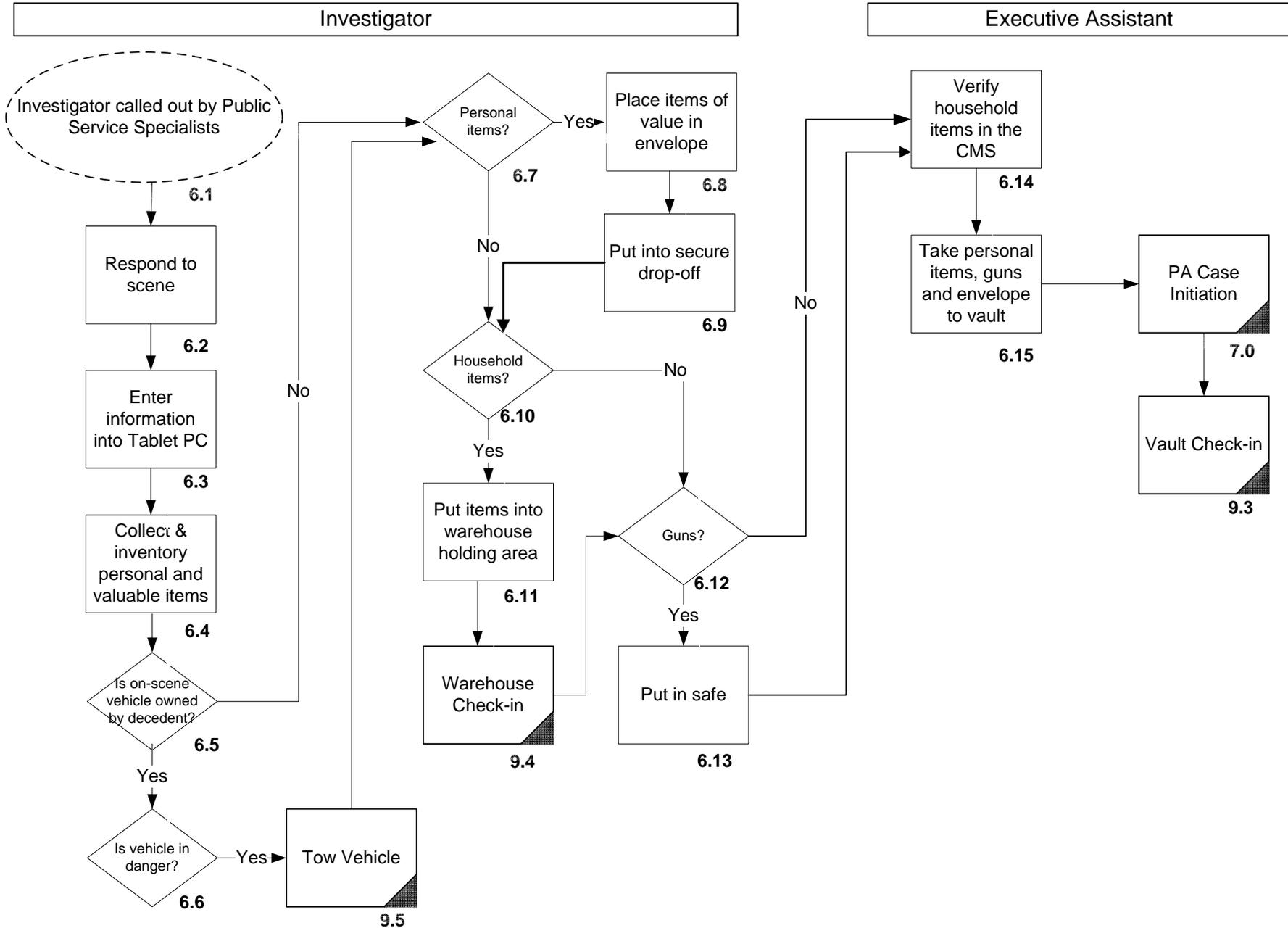
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 5.0 – Rep-Payee Case Activity



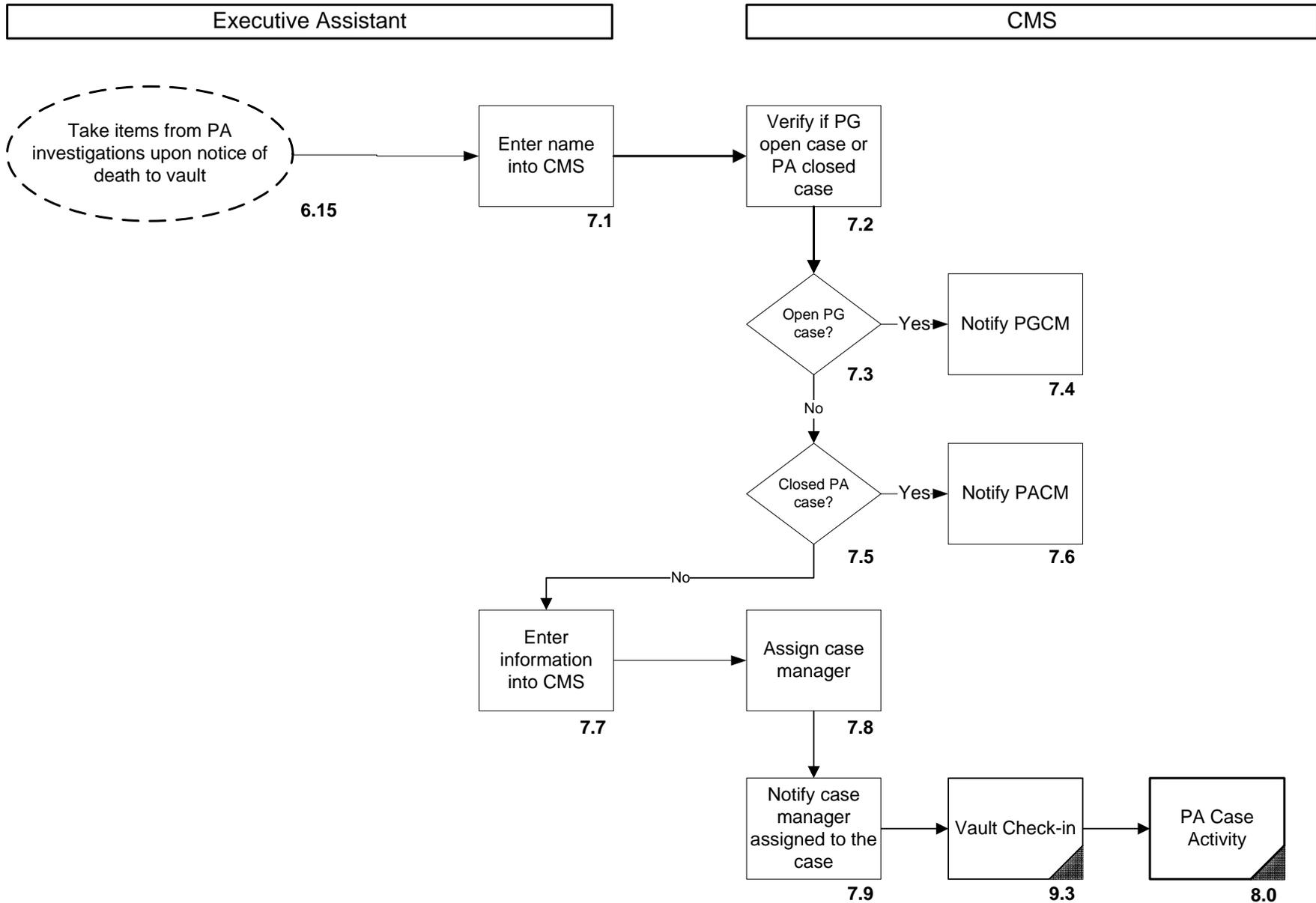
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 6.0 – PA Investigations



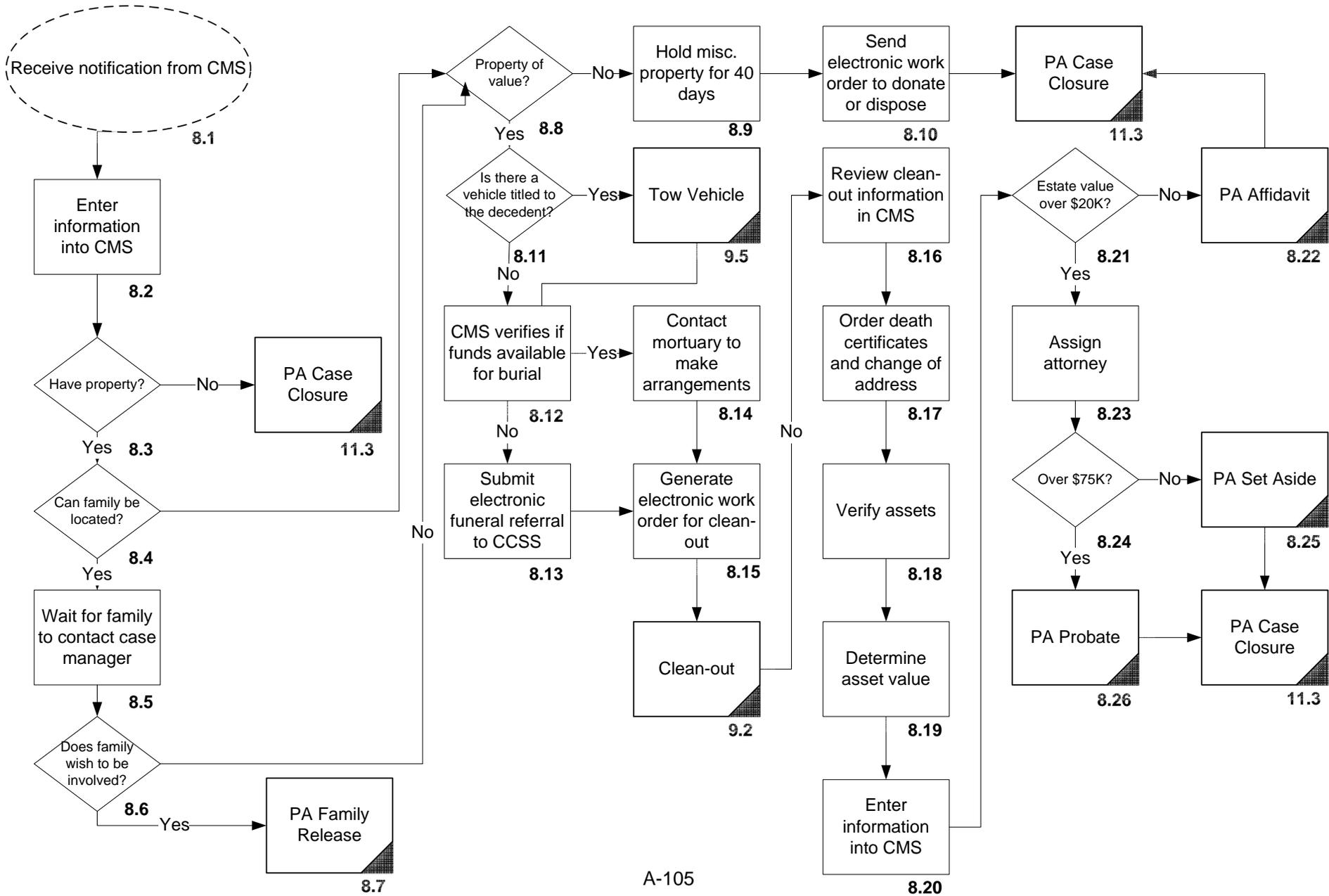
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 7.0 – PA Case Initiation



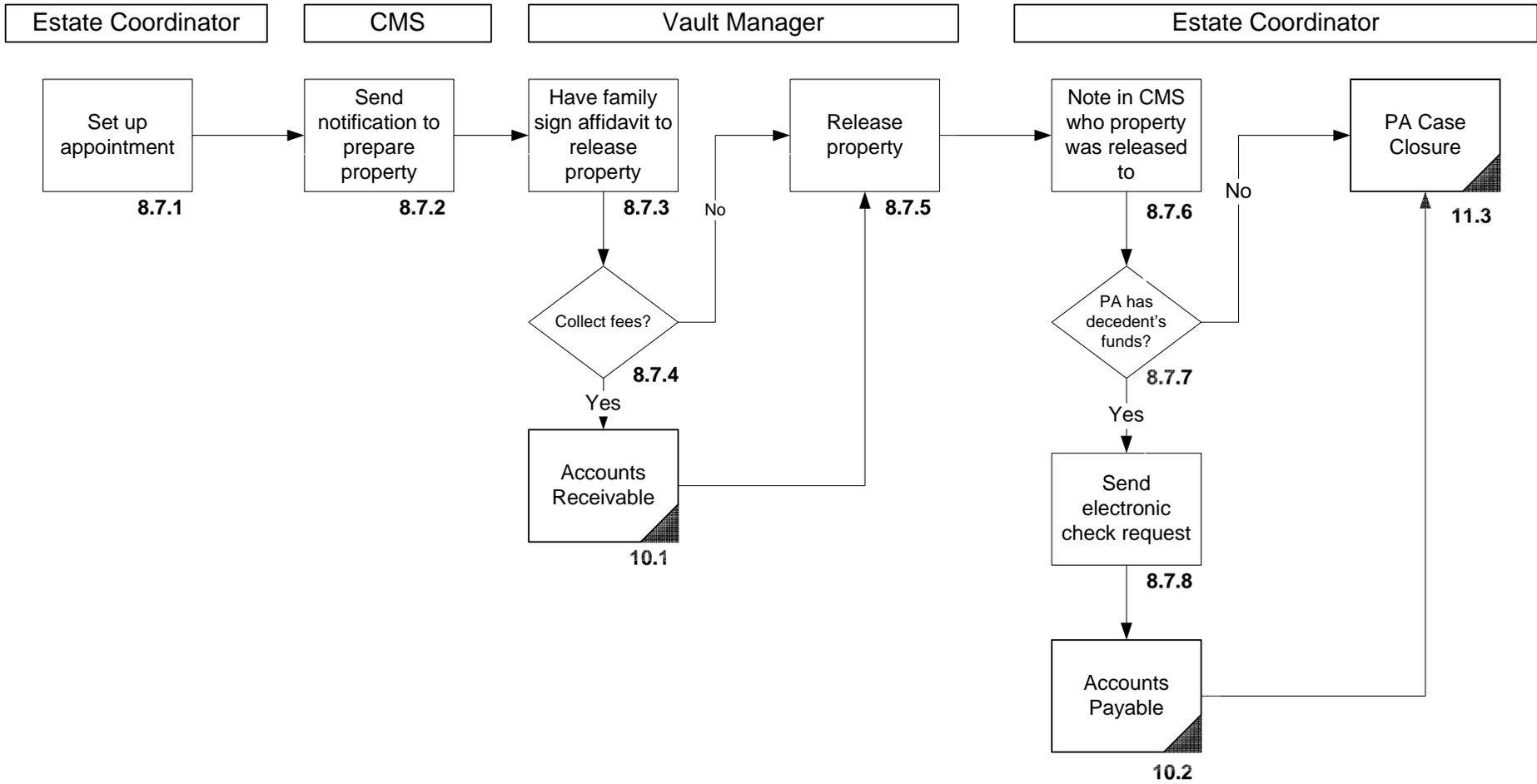
**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

Level 8.0 – PA Case Activity



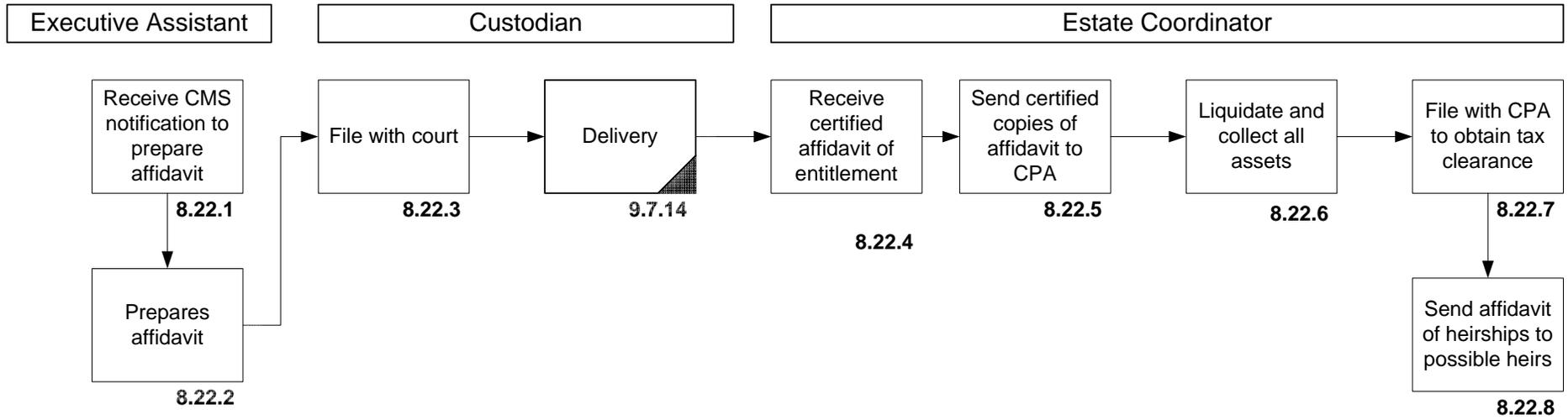
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 8.7 – PA Family Release



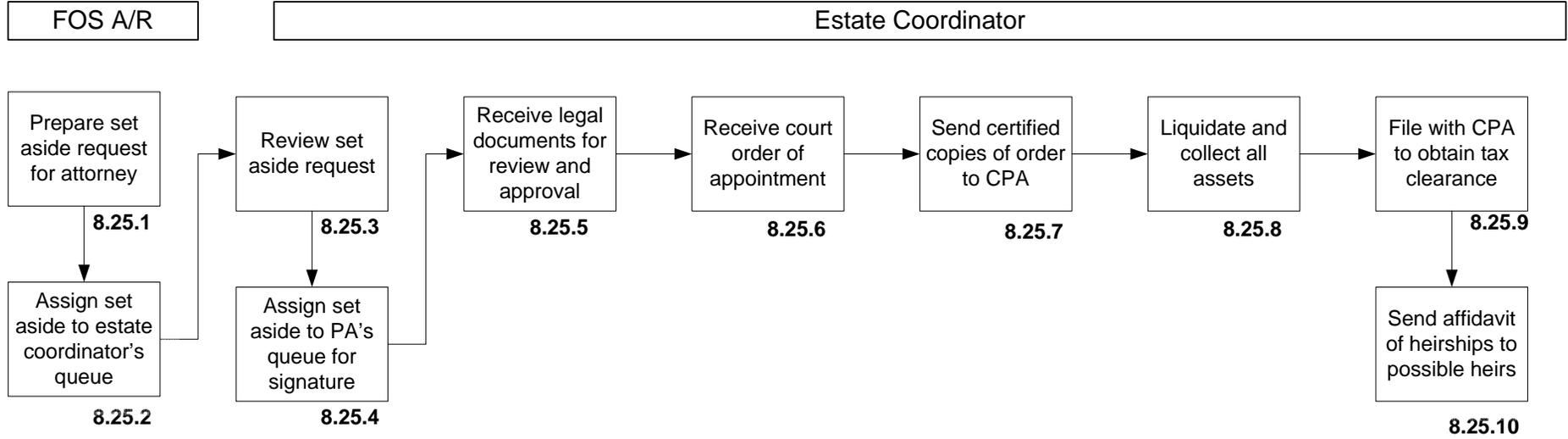
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 8.22 – PA Affidavit



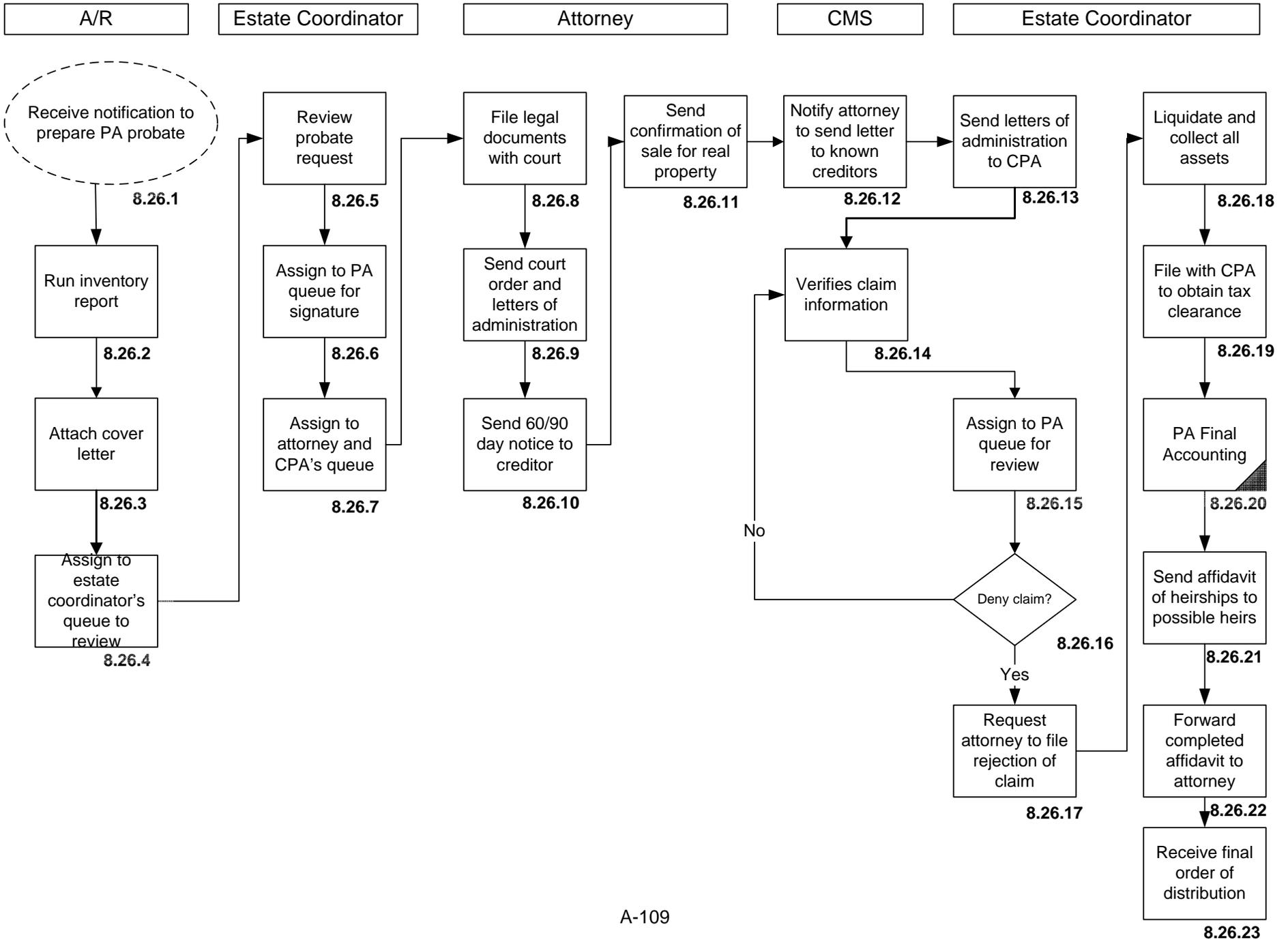
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 8.25 – PA Set Aside



**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

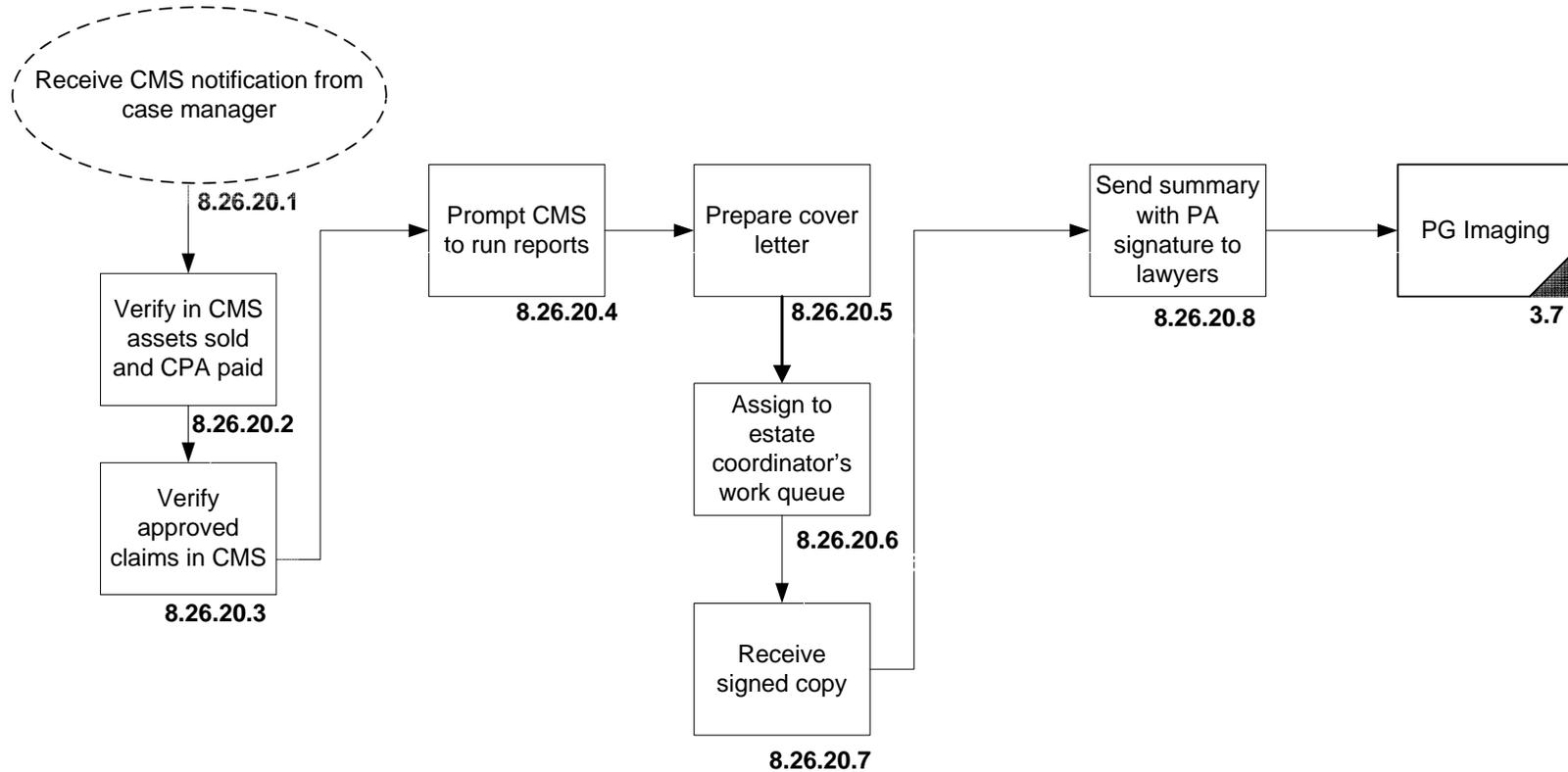
Level 8.26 – PA Probate Case



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 8.26.20 – PA Final Accounting

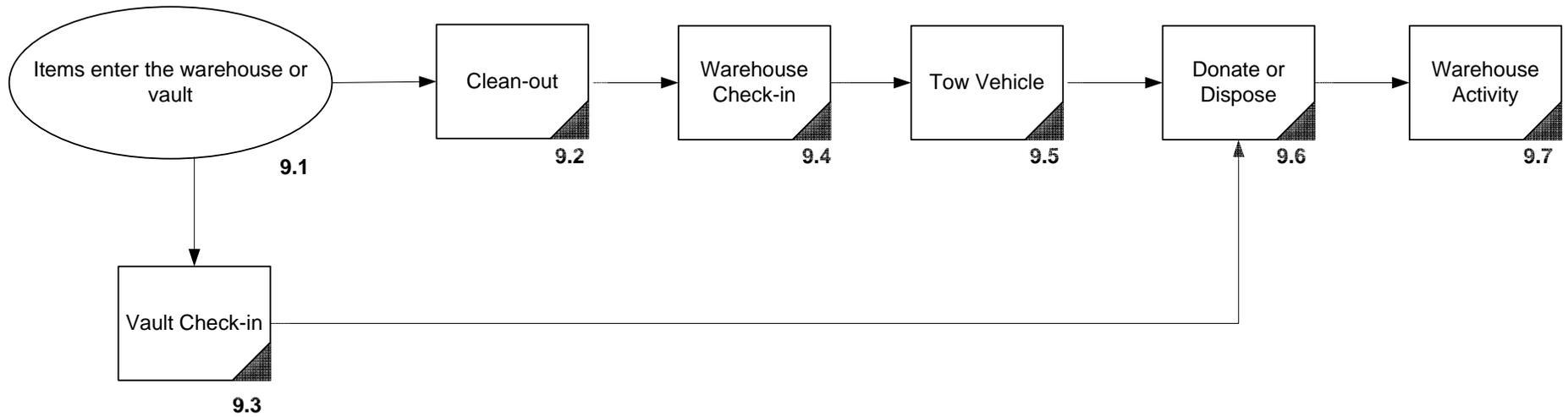
Financial Office Specialist – Accounts Receivable



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

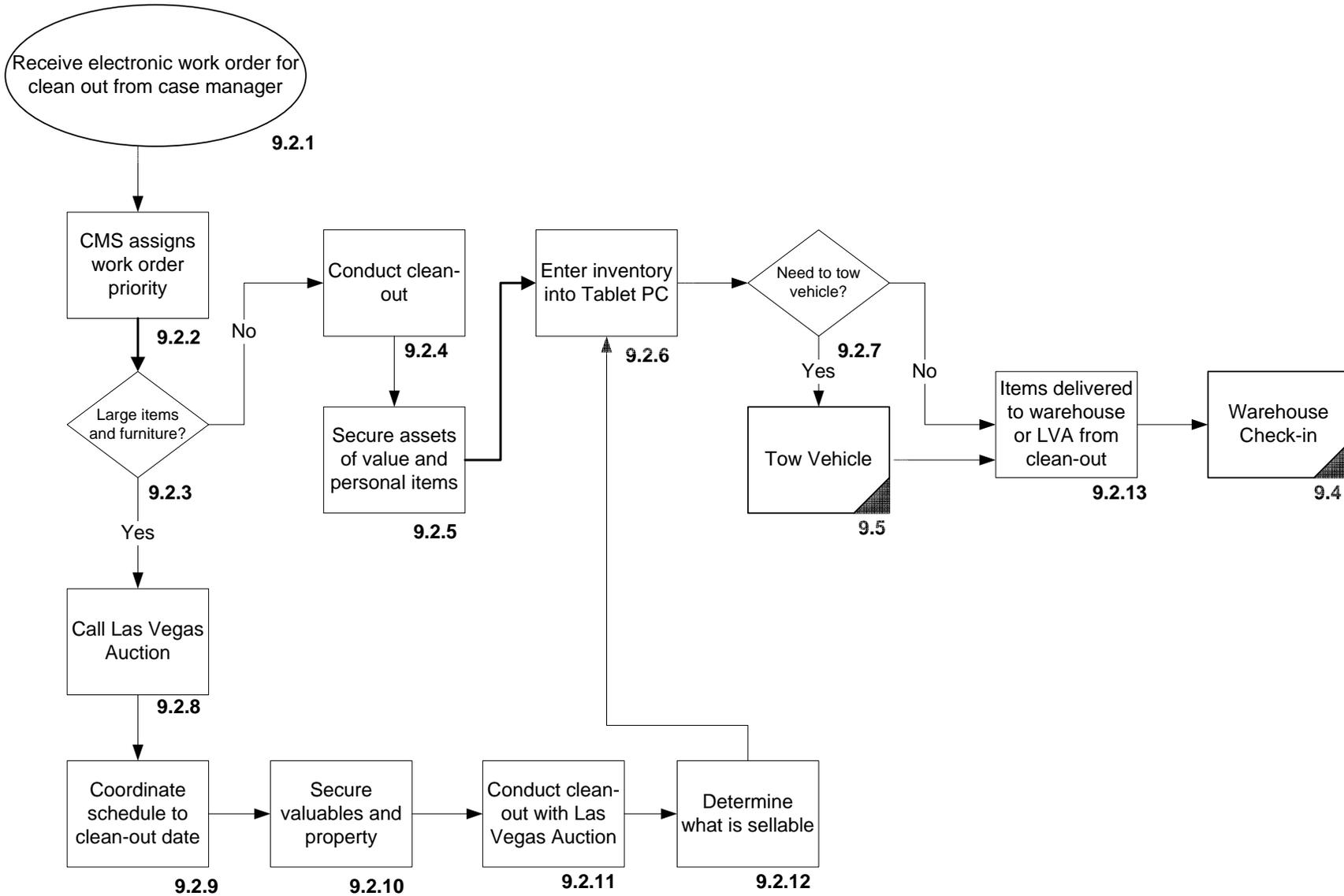
Level 9.0 – Inventory Management

Warehouse Personnel and Vault Manager



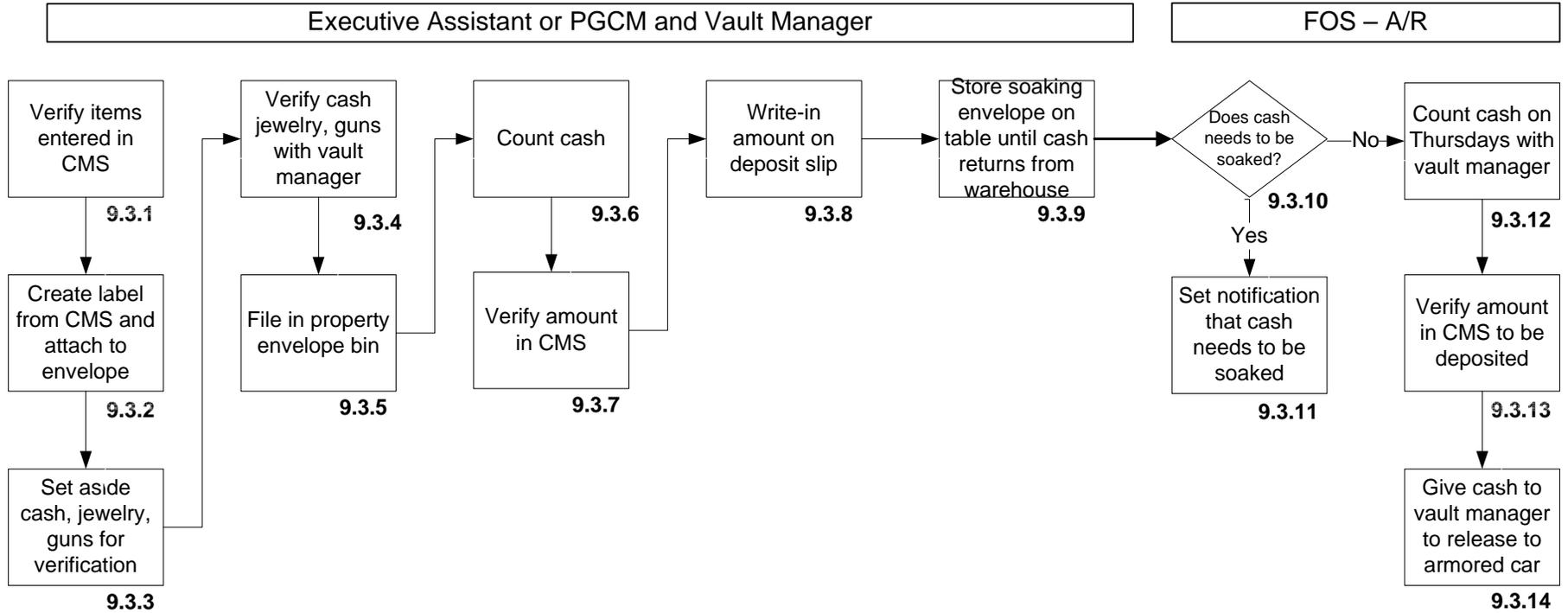
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 9.2 – Clean Out



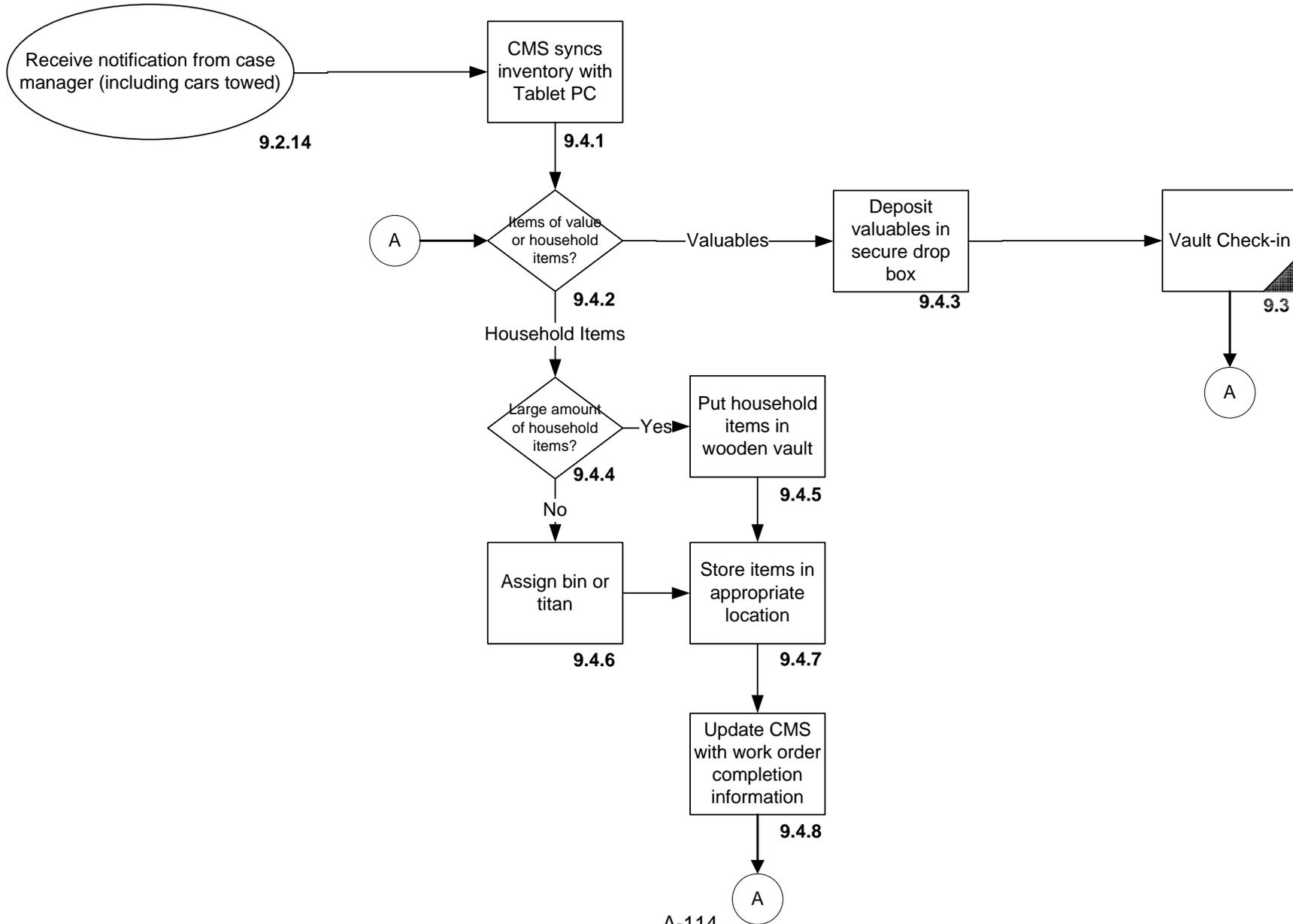
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 9.3 – Vault Check-in



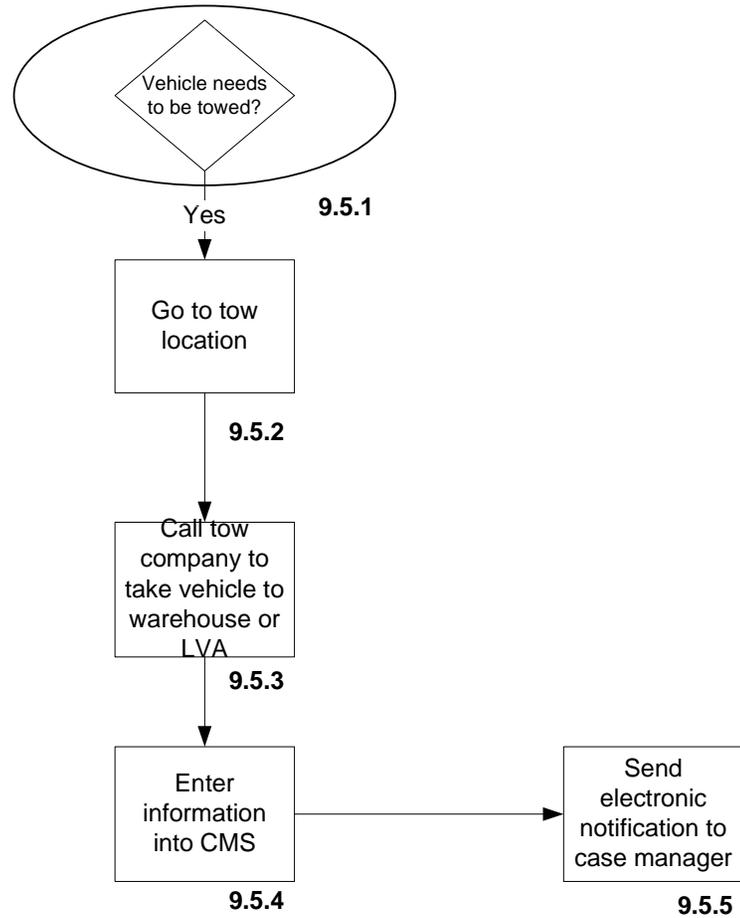
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 9.4 – Warehouse Check-in



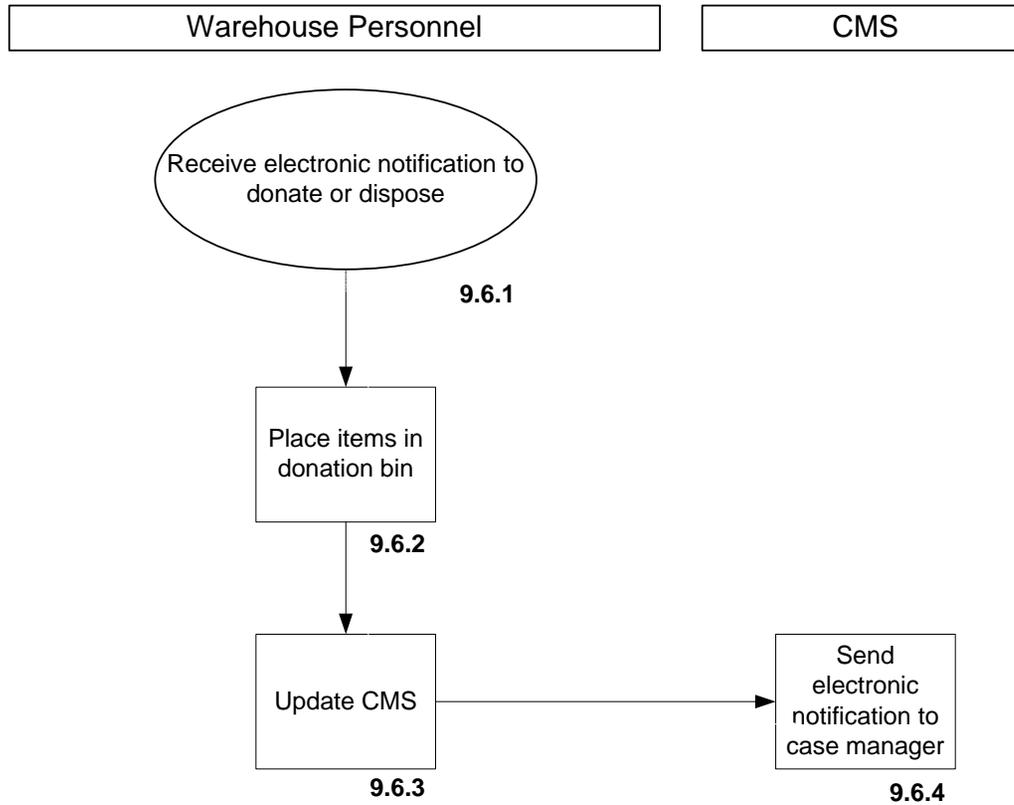
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 9.5 – Tow Vehicle



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

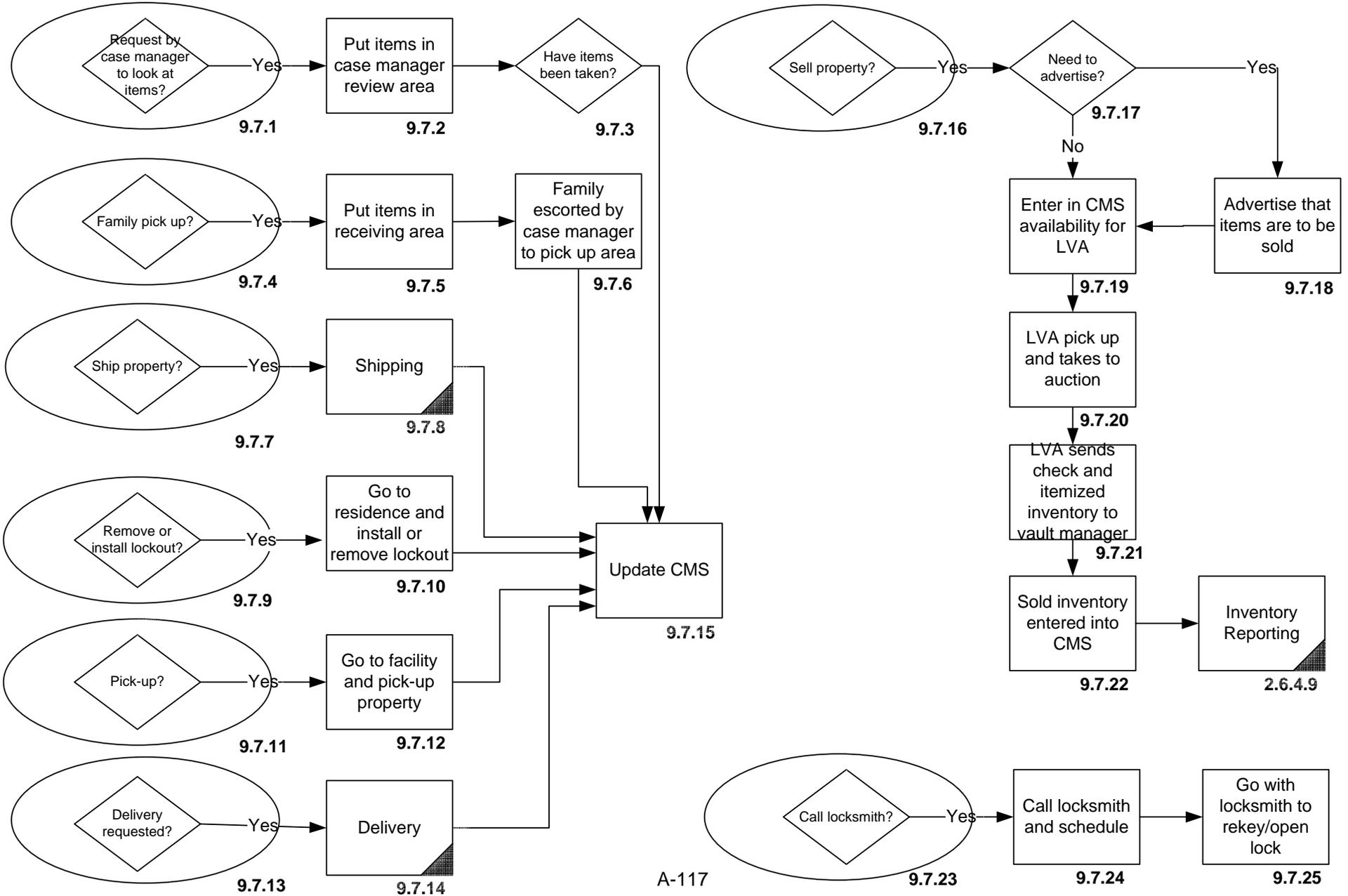
Level 9.6 – Donate Or Dispose



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

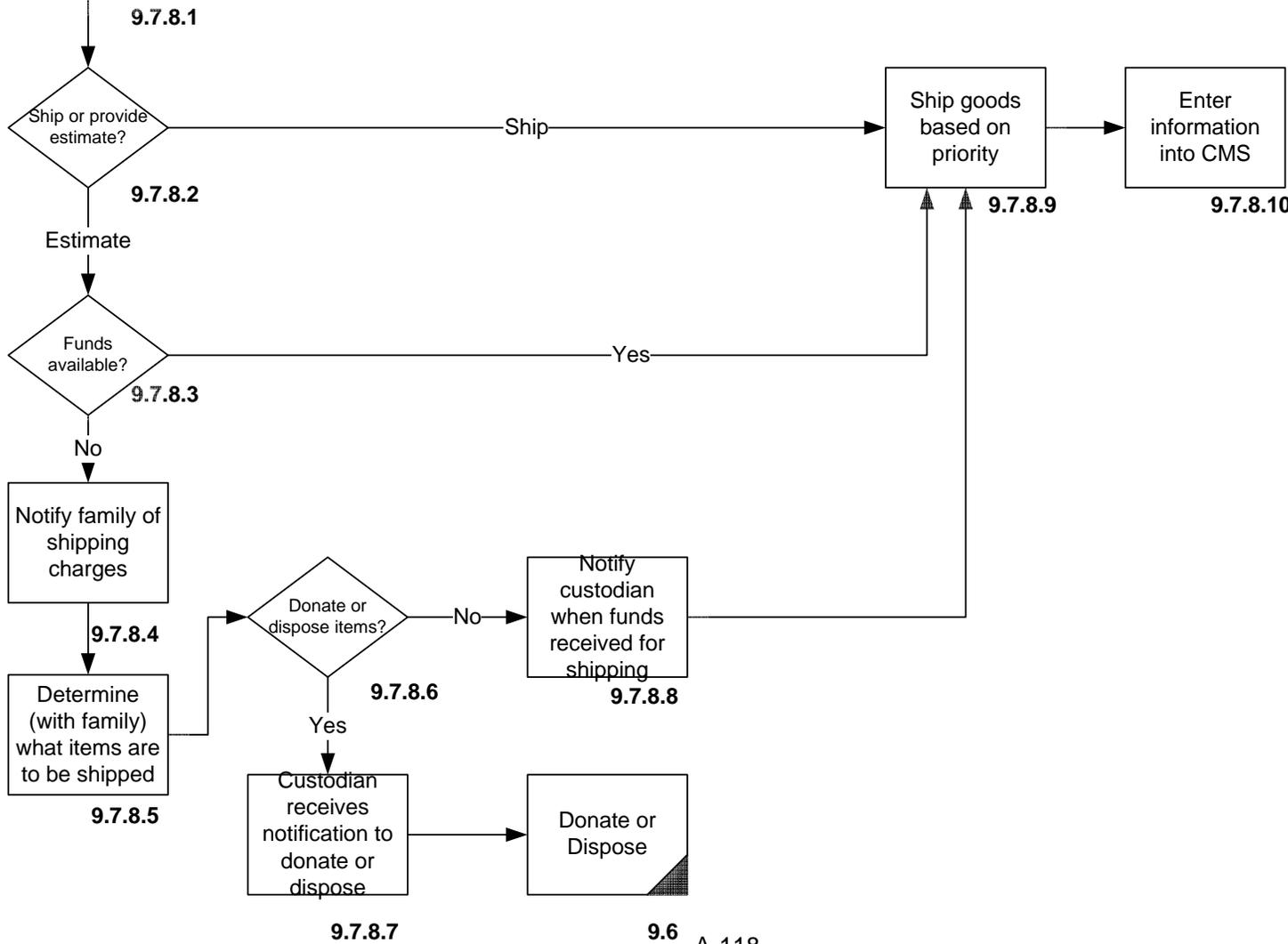
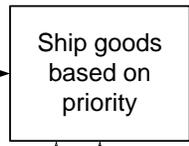
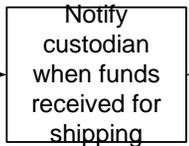
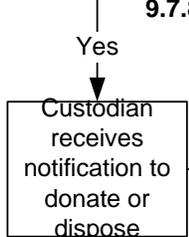
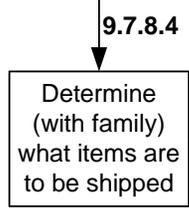
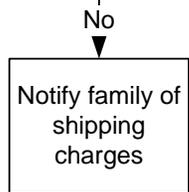
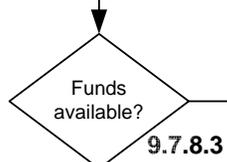
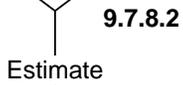
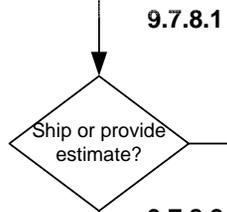
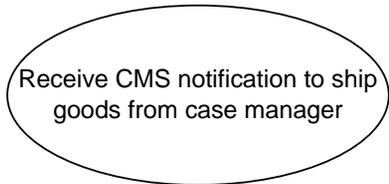
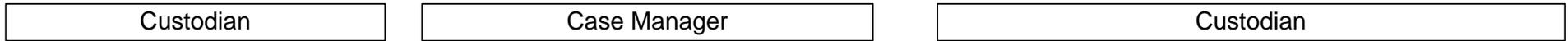
Level 9.7 – Warehouse Activity

Warehouse Personnel



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

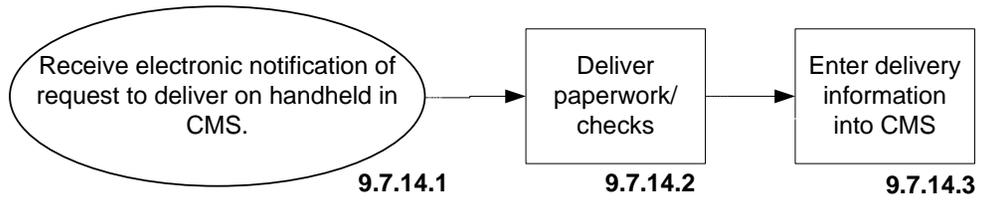
Level 9.7.8 – Shipping



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

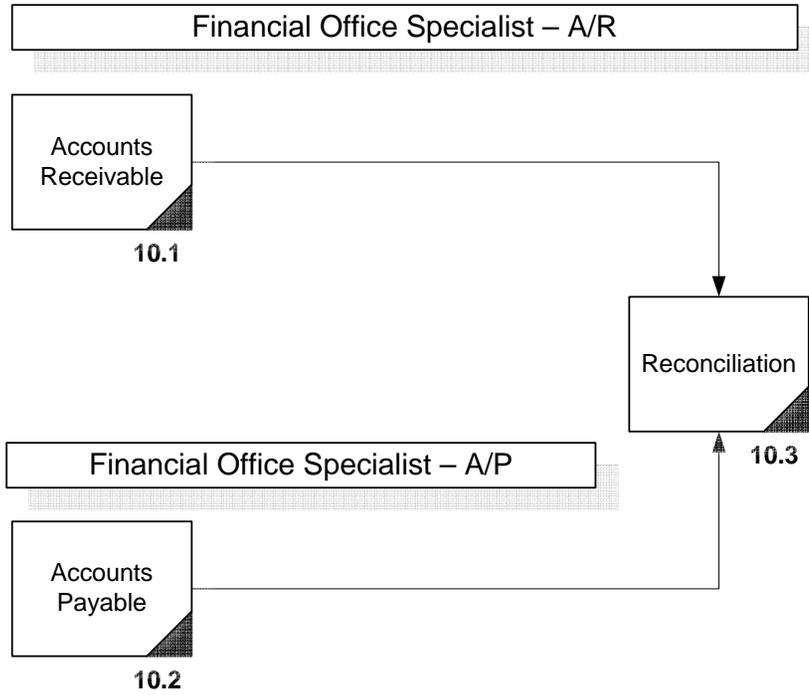
Level 9.7.14 – Delivery

Custodian



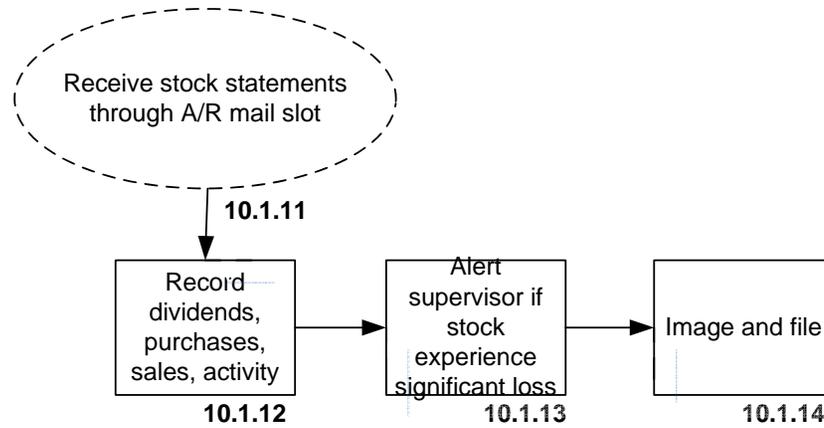
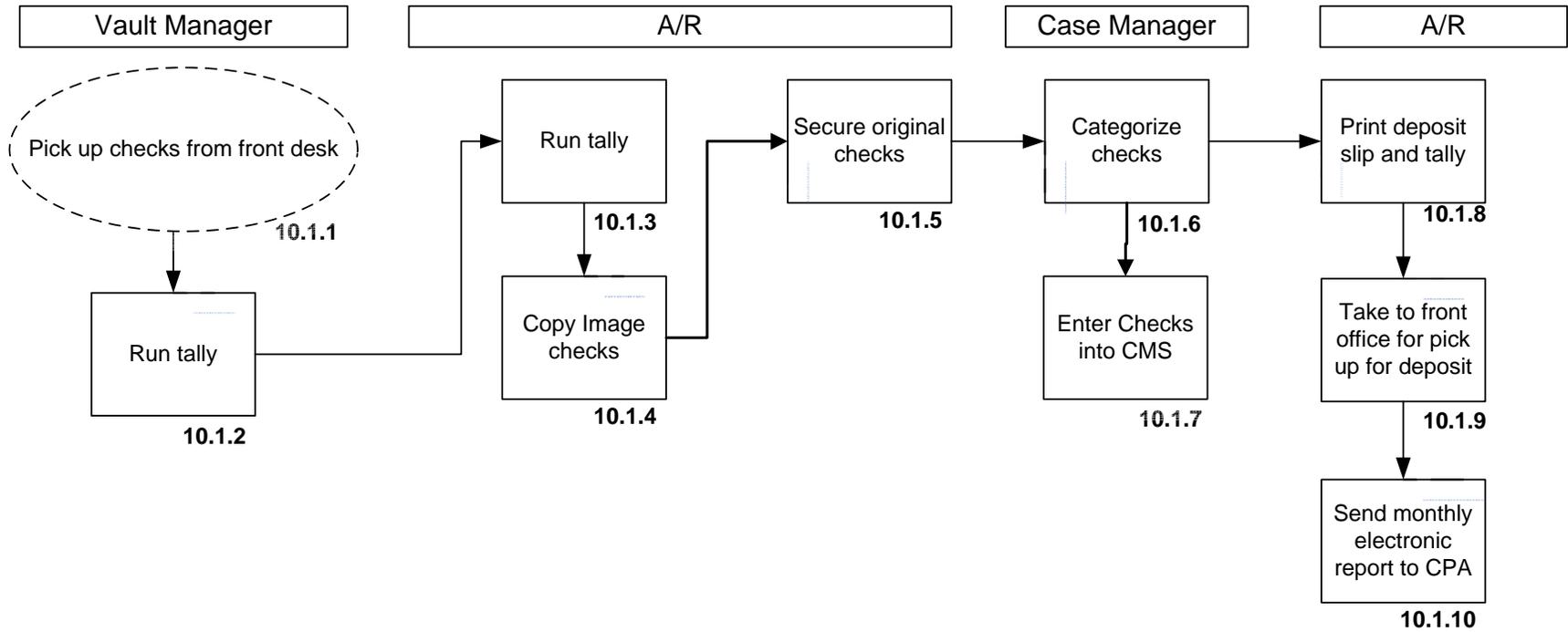
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 10.0 – Financial Management



**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

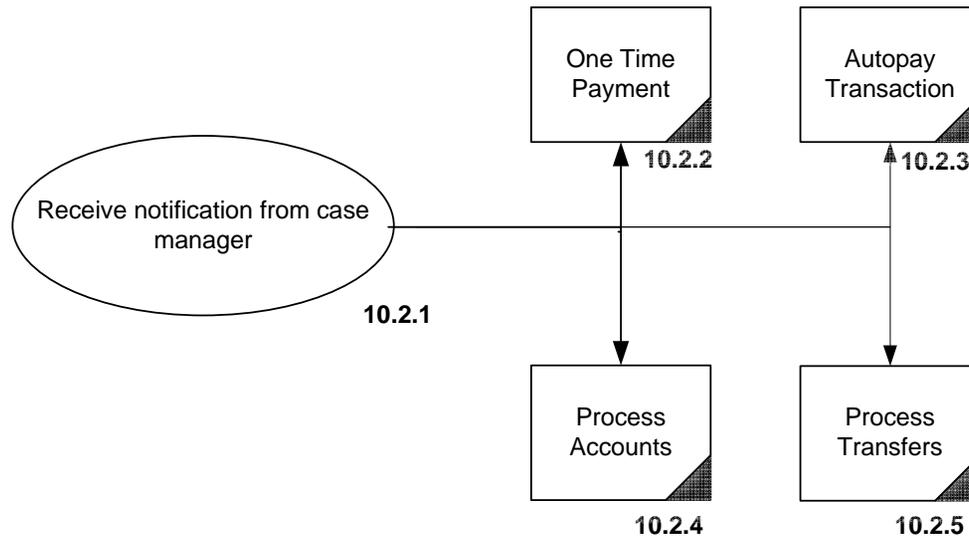
Level 10.1 – Accounts Receivable



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 10.2 – Accounts Payable

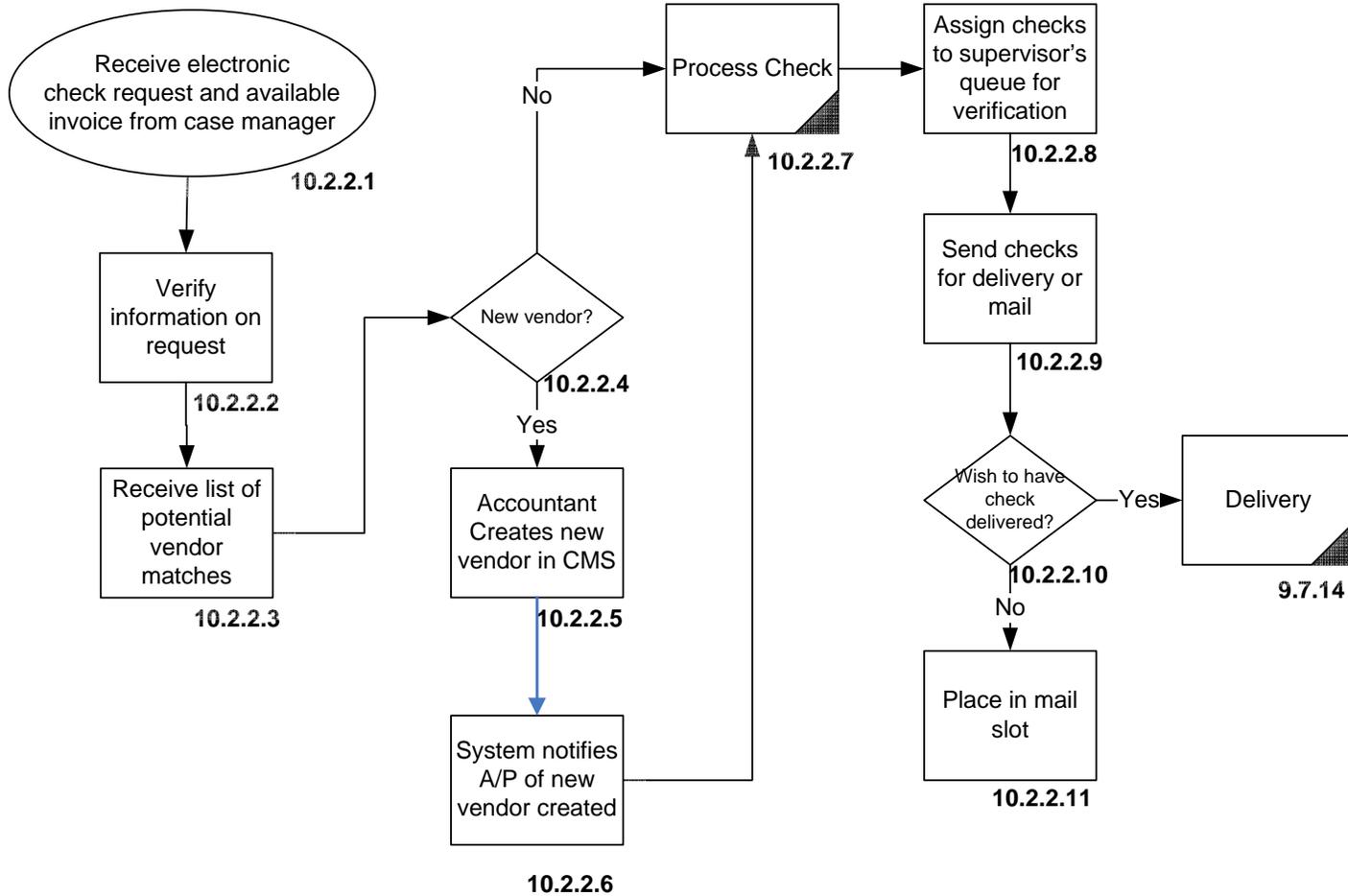
Financial Office Specialist - Accounts Payable



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

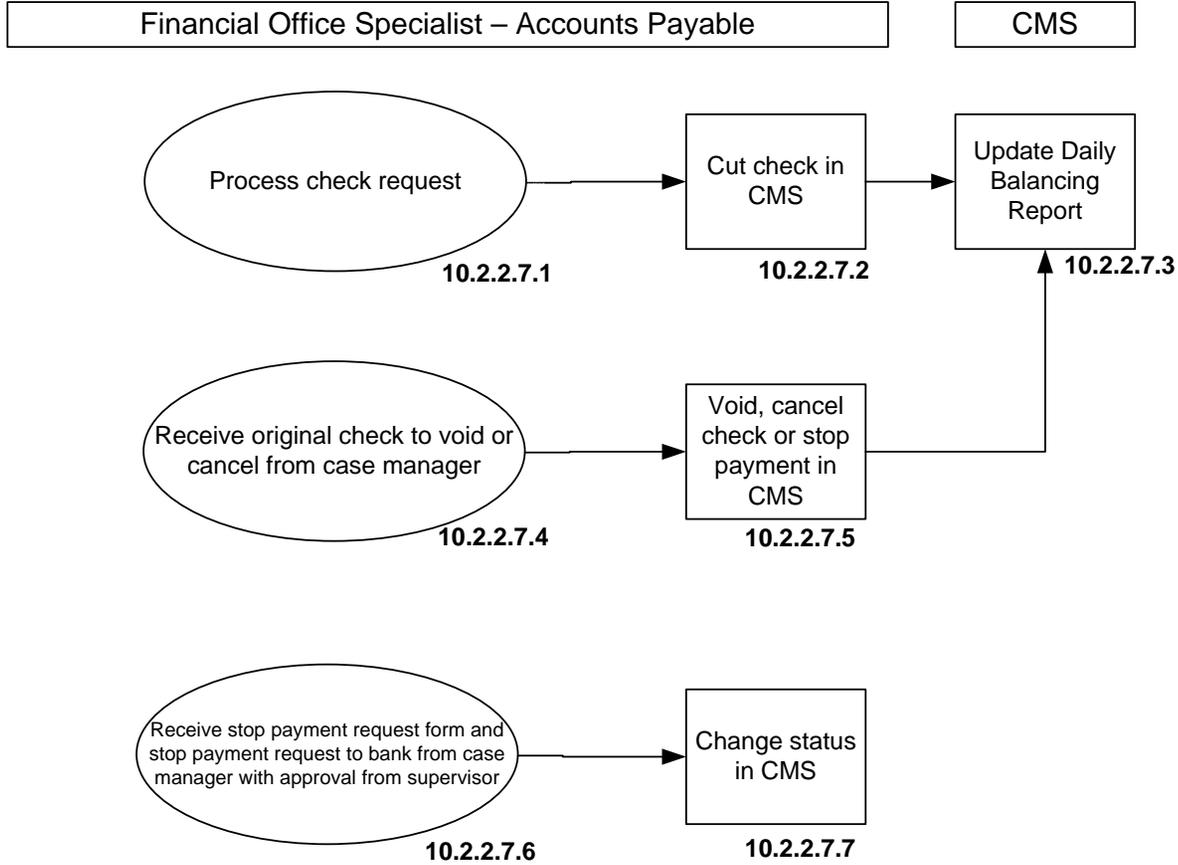
Level 10.2.2 – One-Time Payment

Financial Office Specialist - Accounts Payable



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

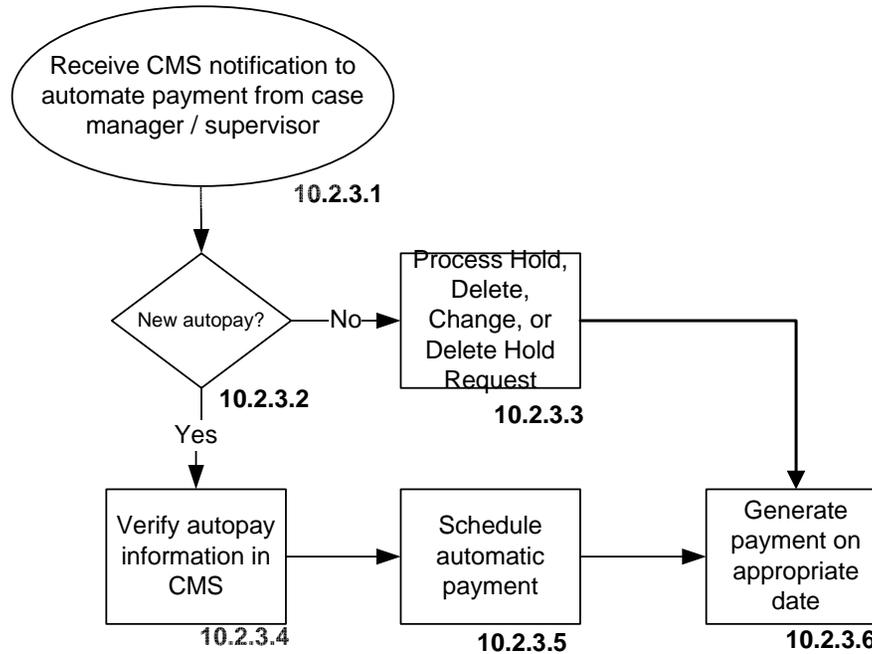
Level 10.2.2.7 – Process Check



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

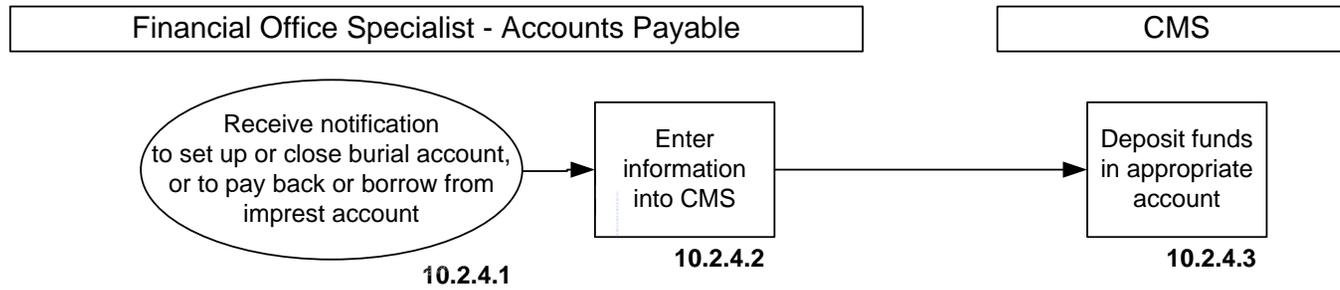
Level 10.2.3 – Autopay Transaction

Financial Office Specialist - Accounts Payable CMS



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

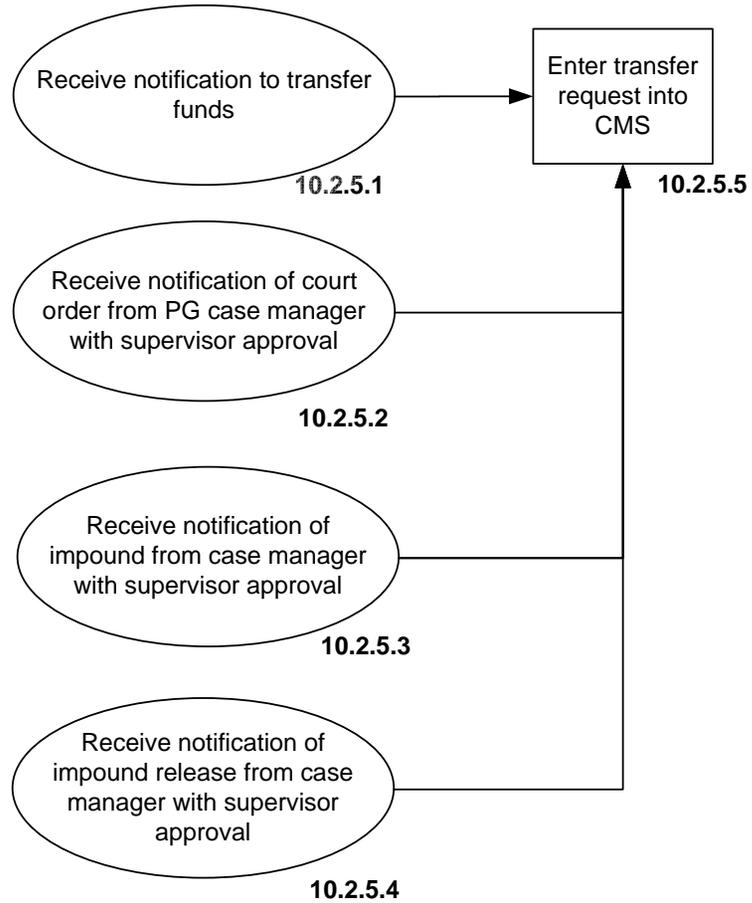
Level 10.2.4 – Process Accounts



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

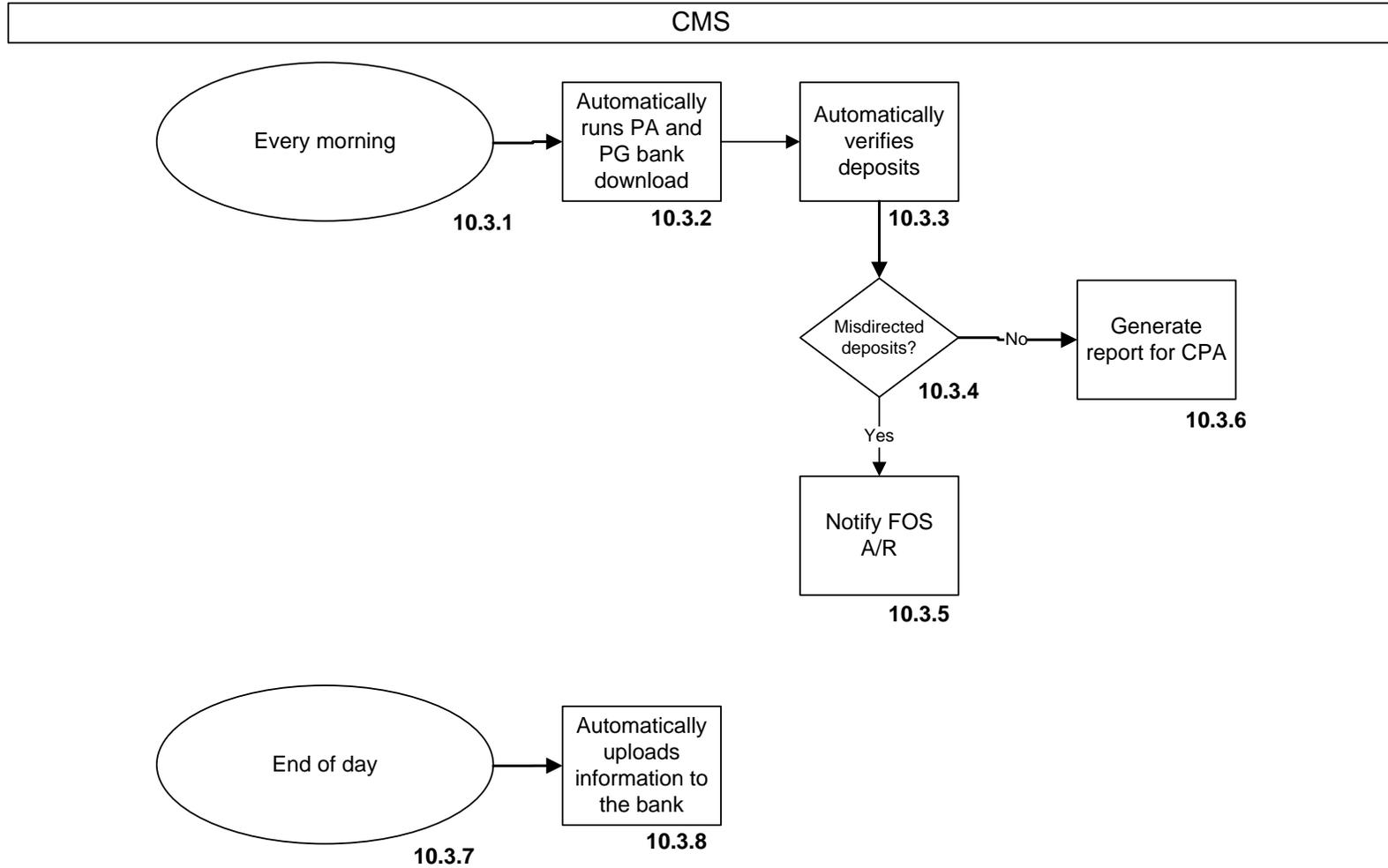
Level 10.2.5 – Process Transfers

Financial Office Specialist – Accounts Payable



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

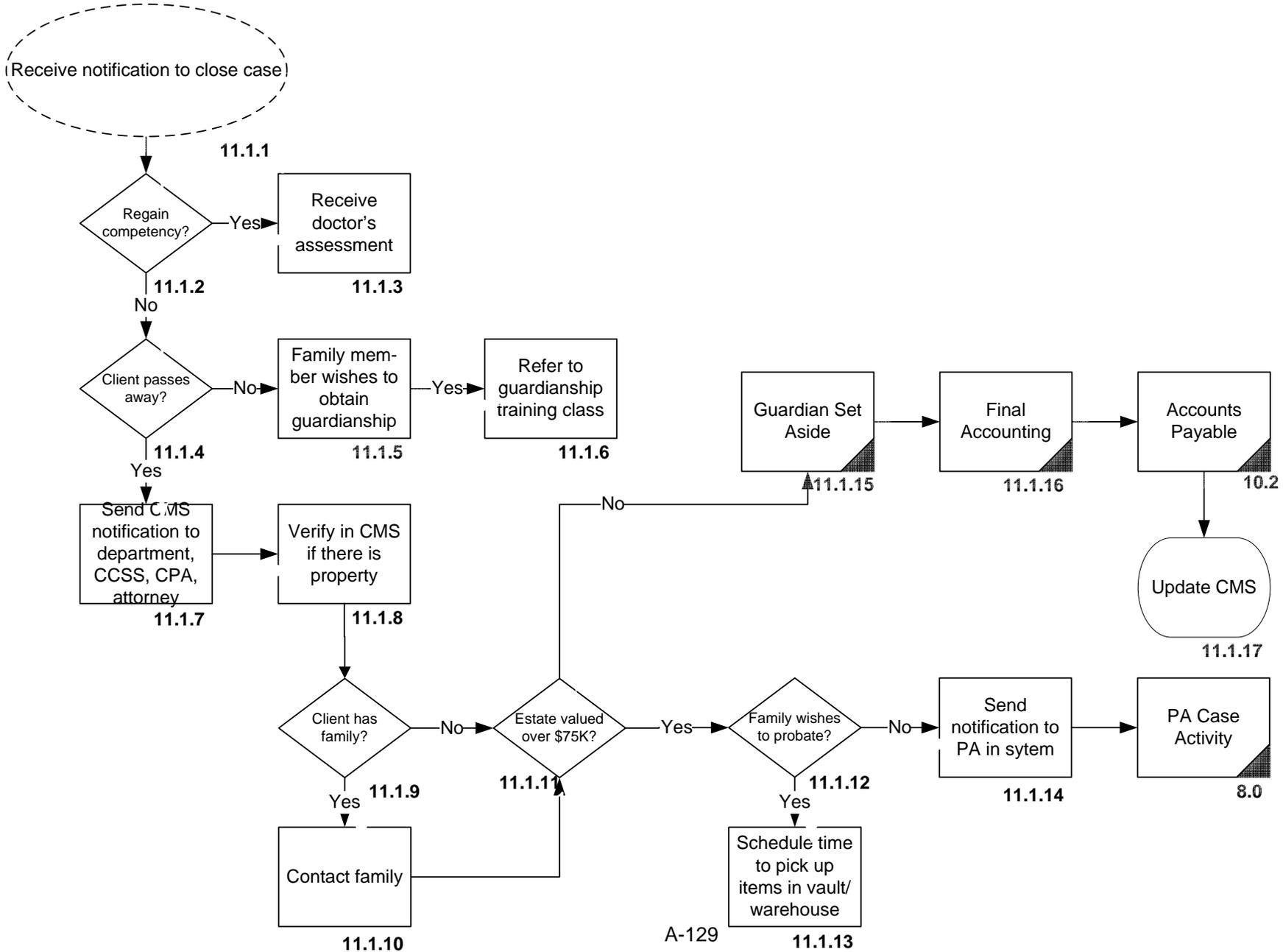
Level 10.3 – Reconciliation



**CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT**

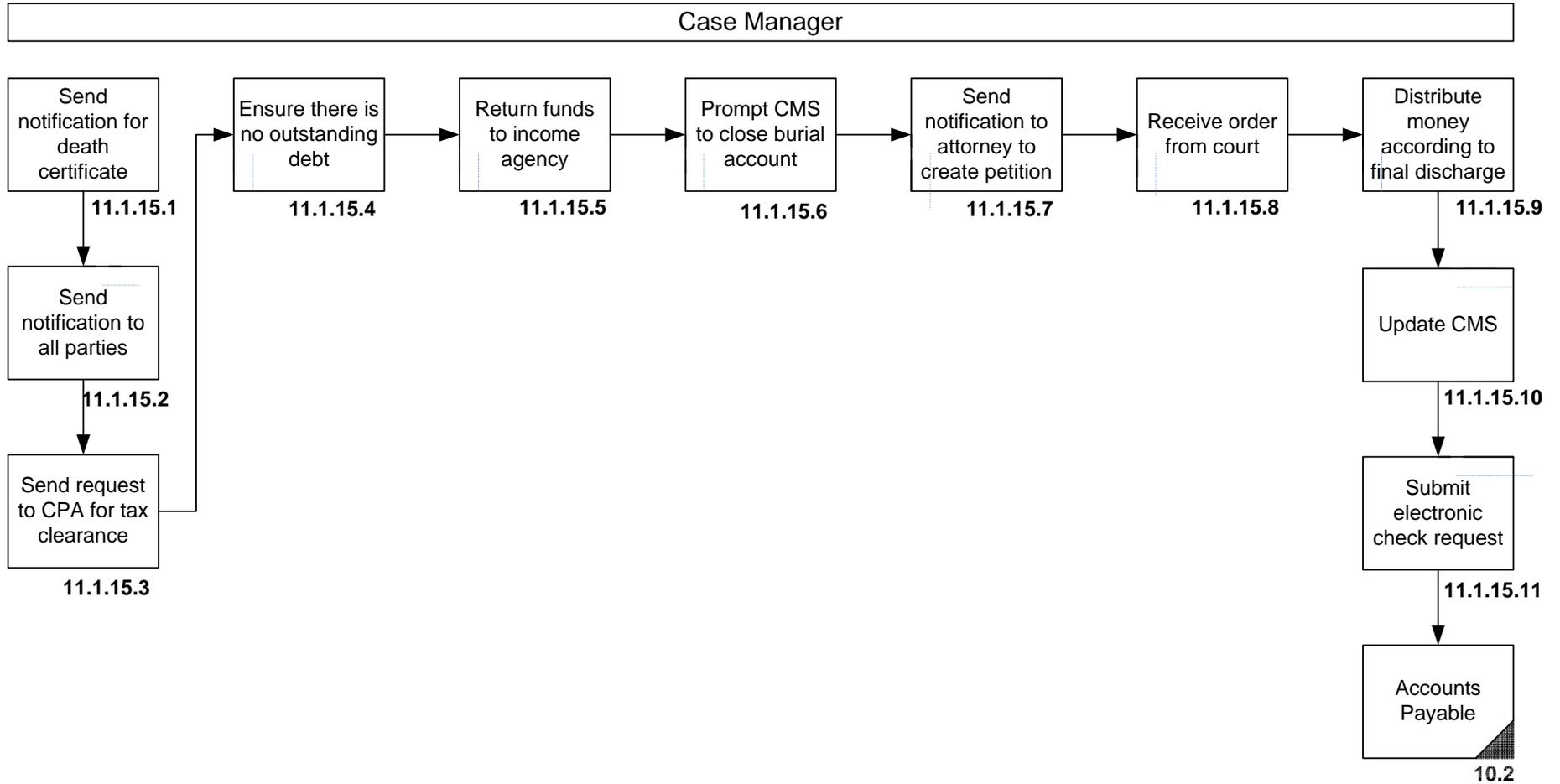
Level 11.1 – Guardian Case Closure

Case Manager



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 11.1.15 – Guardian Set Aside

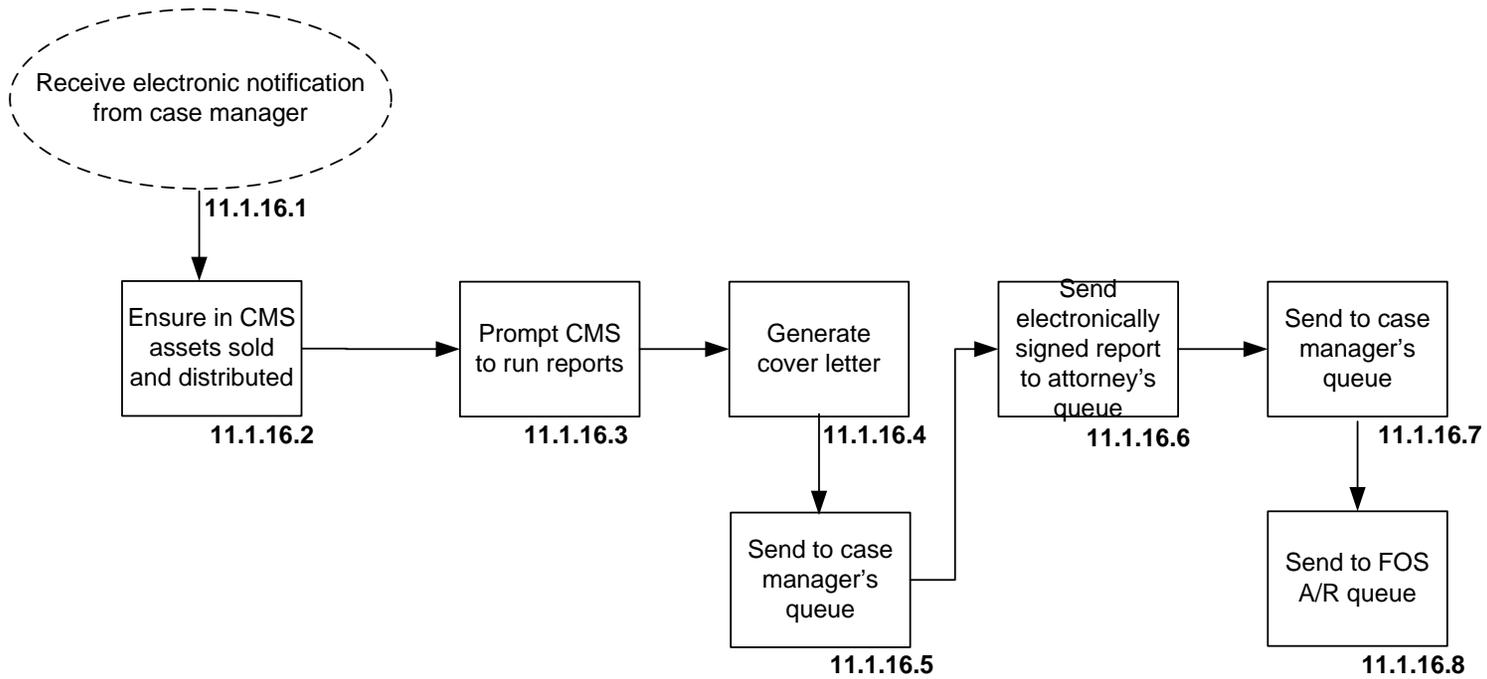


CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 11.1.16 – Guardian Final Accounting

Financial Office Specialist – Accounts Receivable

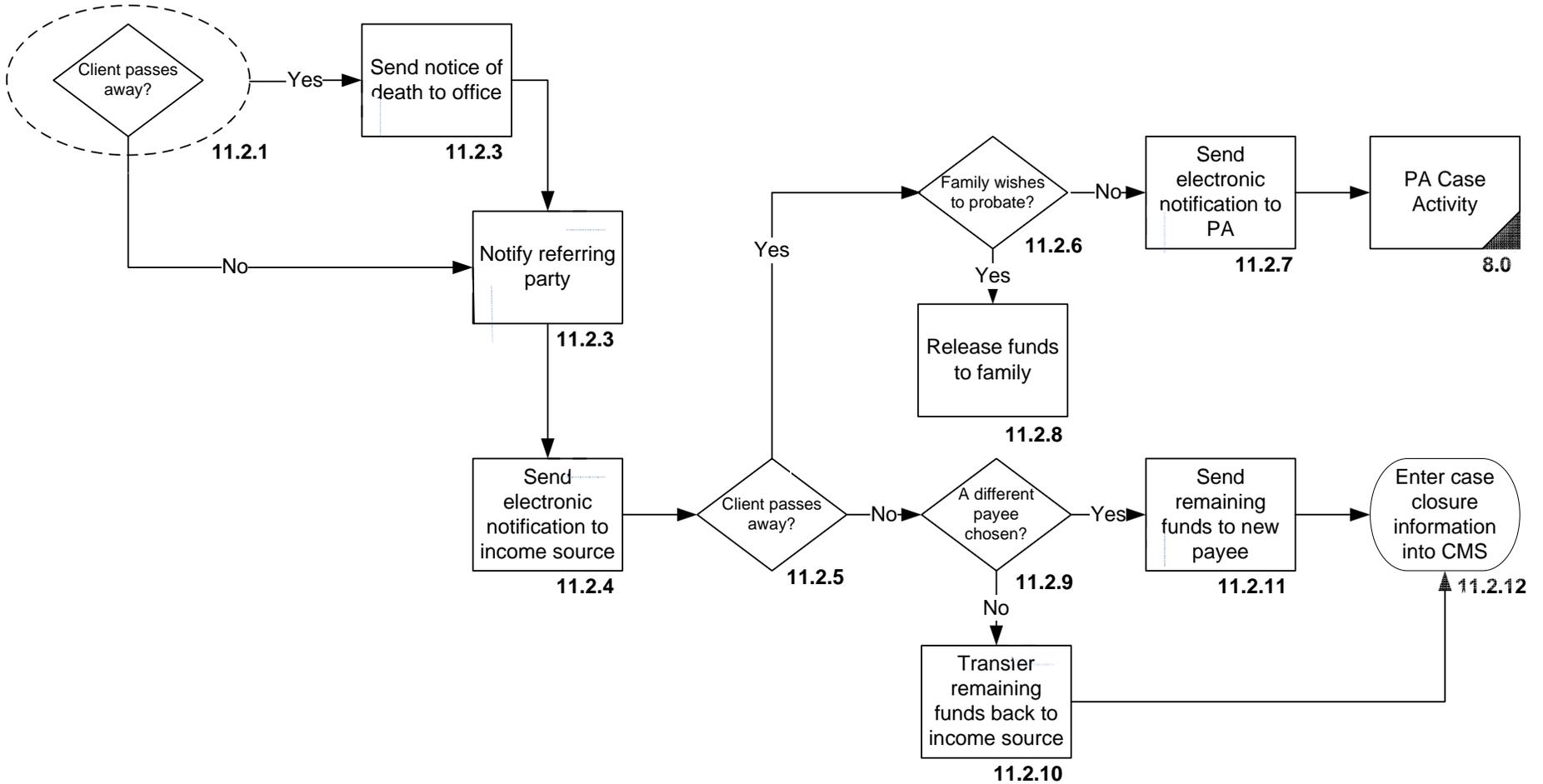
Case Manager



CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

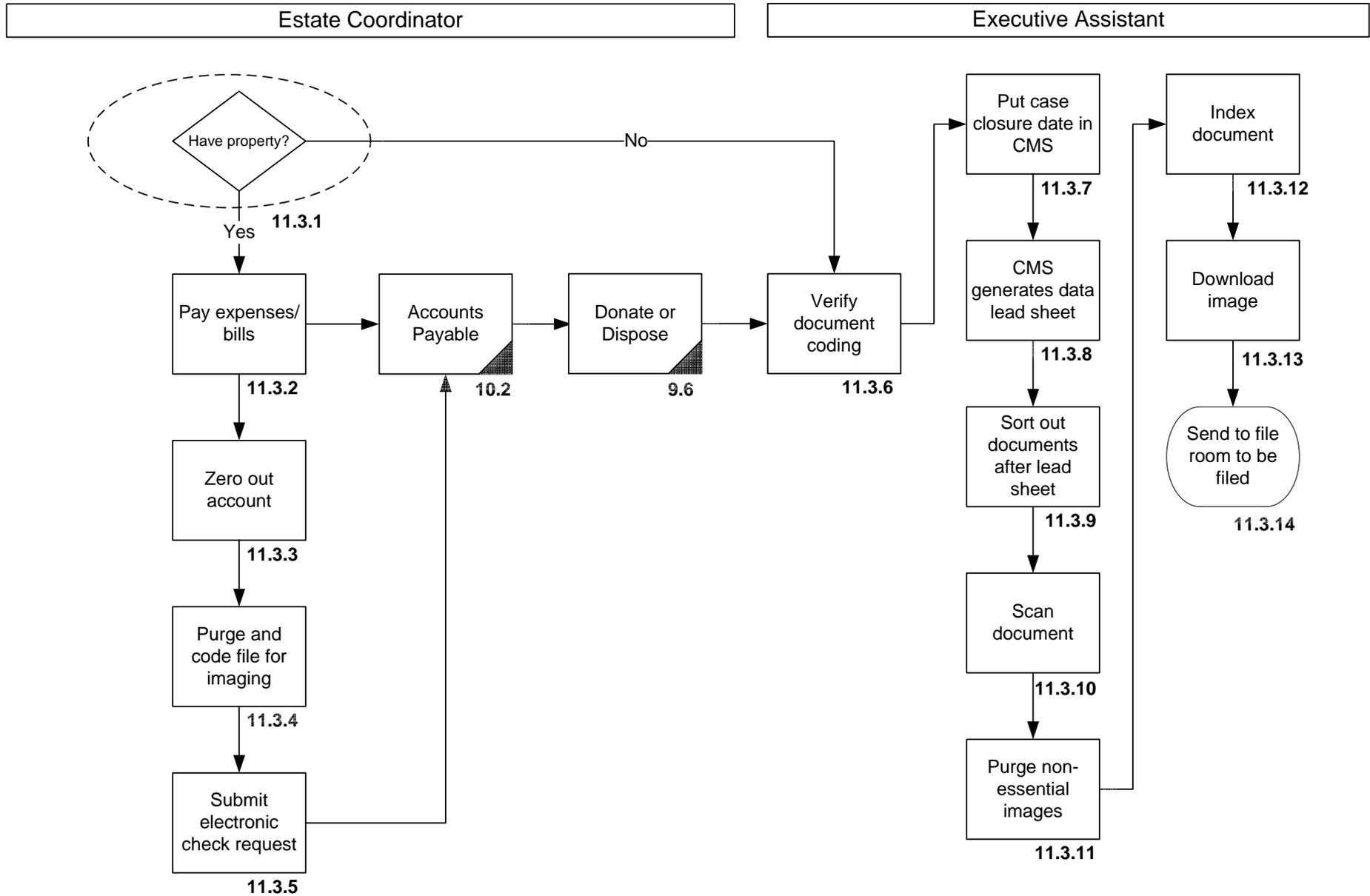
Level 11.2 – Rep-Payee Case Closure

Case Manager

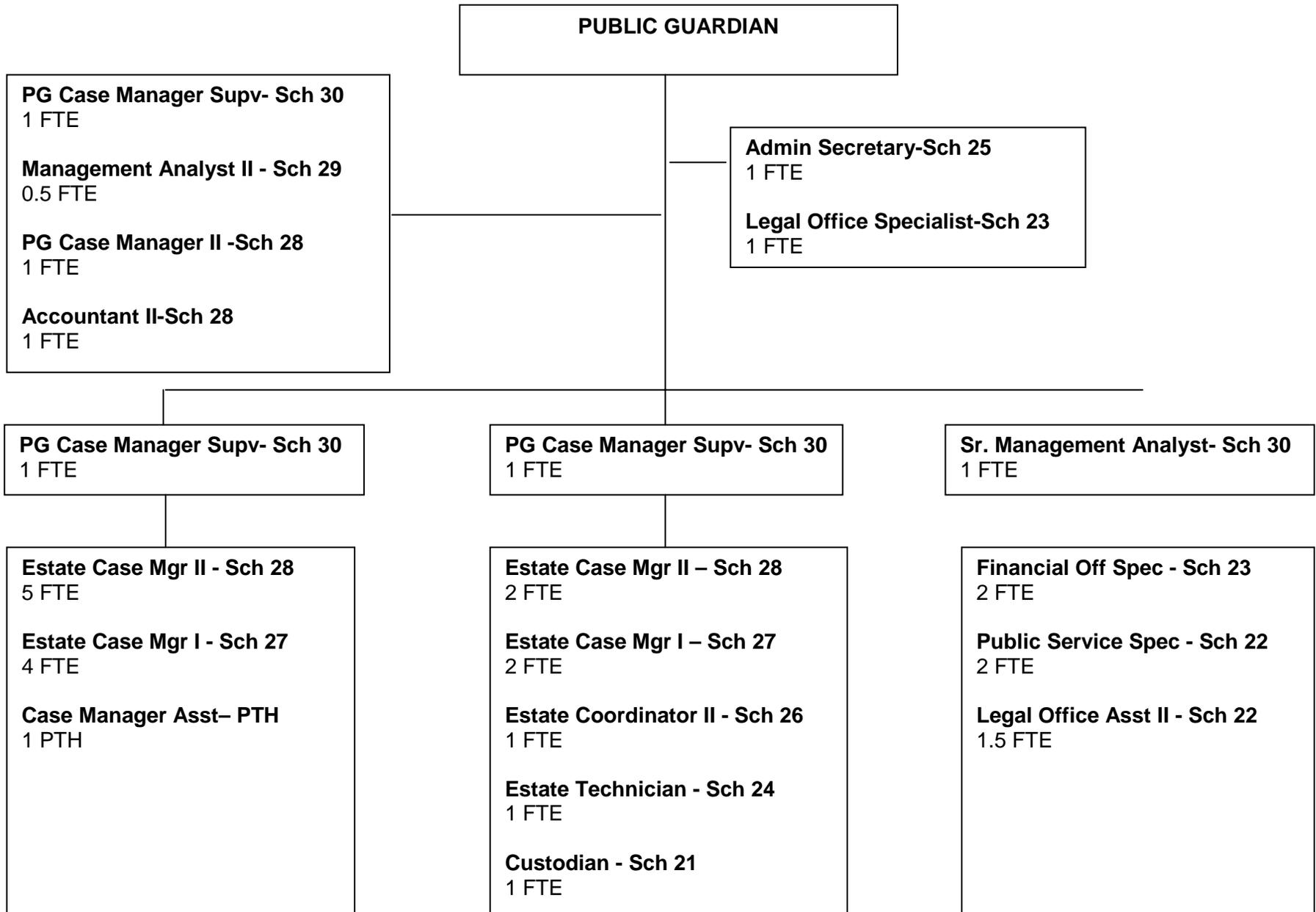


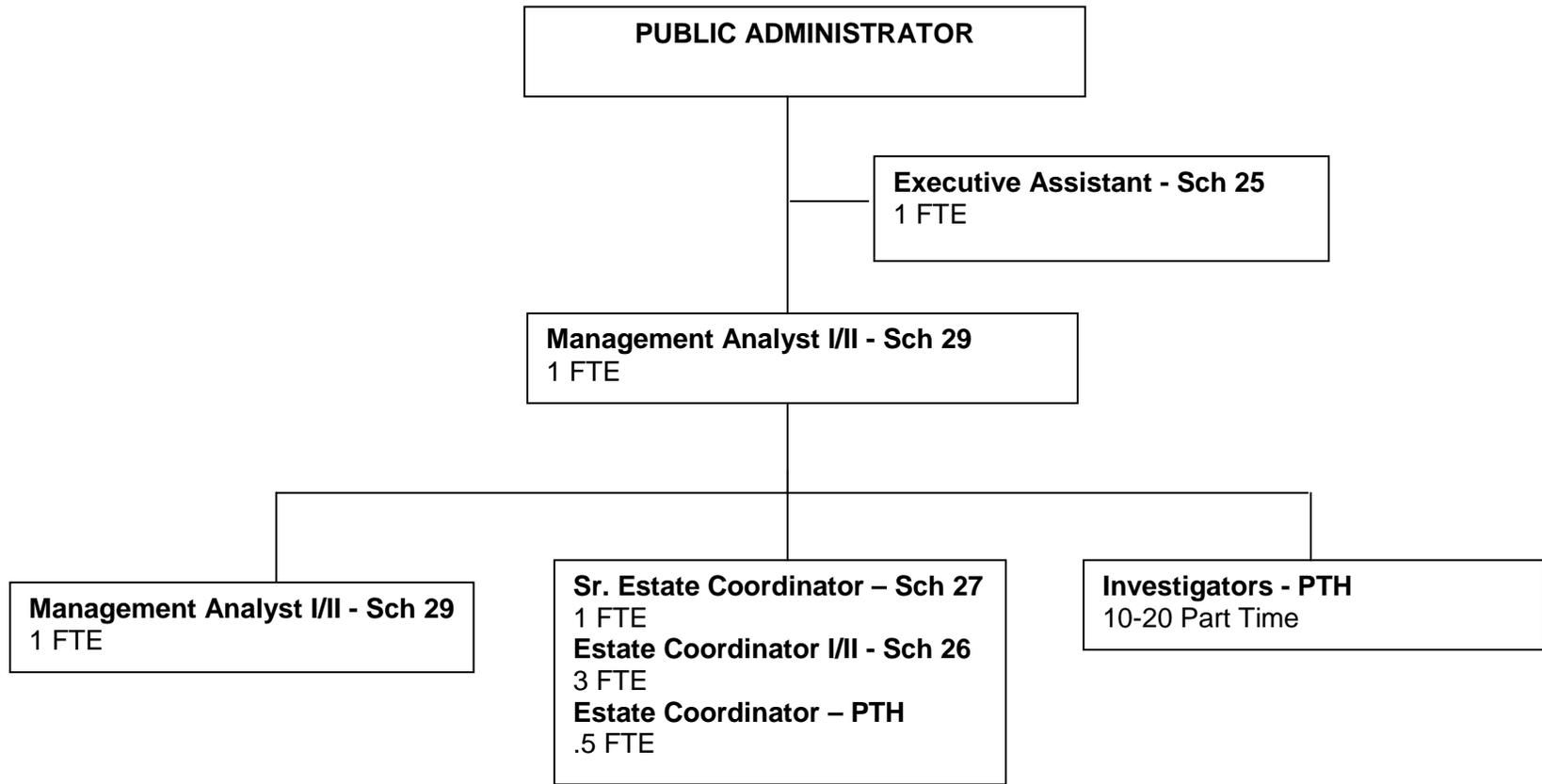
CLARK COUNTY, NEVADA
PA AND PG BUSINESS PROCESS ASSESSMENT

Level 11.3 – PA Case Closure



Attachment B
Organizational Charts





Attachment C
Technical Requirements

Attachment C – Technical Requirements

Importance Ratings: 1 = Desired, 2 = Important, 3 = Critical

Valid Response Codes:

“I” – No customization needed for proposed system, but configuration may be required.

“F” – Scheduled for a future release.

“M” – Modification of application source code needed for proposed system.

“N” – Outside the scope of the system and not proposed.

If “F,” please indicate expected release date (e.g., 9/21/06).

If “I” or “M,” please indicate the degree of configuration or customization for the level of effort required in person-hours.

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|--|--|---------------|------------------------|
| ID | Database | | | |
| 1 | Ability to utilize Oracle v10.0 or higher as a database platform. | 2 | | |
| 2 | Ability to utilize SQL Server 2005 as a database platform. | 2 | | |
| 3 | Ability to utilize ODBC-compliant client connections. | 2 | | |
| 4 | System utilizes one common database. | 3 | | |
| 5 | Support for Microsoft database client driver software. | 2 | | |
| 6 | Support for database vendor client driver software. | 2 | | |
| 7 | Database modeling tools to be provided (list integrated and/or compatible tools). | 2 | | |
| 8 | Integrated Data Dictionary to be provided. | 2 | | |
| 9 | Database performance monitoring and tuning tools to be provided. | 2 | | |
| 10 | Ability to access the database directly for query purposes. | 2 | | |
| 11 | Ability to access the database directly for add/update/delete purposes. | 2 | | |
| 12 | Ability to access the database through an API for query/add/update/delete purposes. | 2 | | |
| 13 | Ability to access the database directly through third party tools such as TOAD for Oracle. | 2 | | |
| 14 | Ability to mirror the production database to a reporting database, with a maximum update cycle of nightly (preferably near real time). | 2 | | |
| | Operating Systems | | | |
| 15 | Support for Microsoft Windows Vista or later for user workstations. | 2 | | |
| 16 | Support for Microsoft Windows 2000 SP2 or later for user workstations. | 3 | | |
| 17 | Support for AIX Server for IBM P-series. | 3 | | |
| 18 | Support for Windows Mobile. | 2 | | |
| 19 | Support for Windows CE. | 2 | | |
| 20 | Support for Windows XP Tablet PC Edition. | 2 | | |
| | Connectivity | | | |
| 21 | Ability to execute under TCP/IP protocol. | 3 | | |
| 22 | Ability to execute under an Ethernet network. | 3 | | |
| 23 | Ability to execute within an Intranet environment. | 3 | | |
| 24 | Ability to execute from the Internet. | 2 | | |
| 25 | Ability to execute reliably in a wireless 802.11x environment (fault tolerant connection). | 2 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|------------------------------------|--|--|---------------|------------------------|
| ID | Database | | | |
| 26 | Ability to execute utilizing WebVPN. | 2 | | |
| 27 | Ability to access system while offline and sync up when internet access is available . | 2 | | |
| 28 | Ability to execute reliably in wireless cellular environment (fault tolerant connection). | 2 | | |
| 29 | GPS capabilities on handheld/mobile devices. | 1 | | |
| Messaging and File Transfer | | | | |
| 30 | Ability to perform file transfers (FTP files) with PGP encryption. | 2 | | |
| 31 | Ability to perform secure file transfers utilizing FTPS. | 2 | | |
| 32 | Ability to utilize an internal application email structure. | 2 | | |
| 33 | Ability to utilize Microsoft Exchange email. | 2 | | |
| 34 | Ability to fax files. | 1 | | |
| Security and Data Integrity | | | | |
| 35 | Ability to determine which employees are utilizing the system at any point in time, with appropriate security control. | 3 | | |
| 36 | Ability to restrict access (view and update) to data fields and windows to users with proper security. | 3 | | |
| 37 | Ability to limit the types of transactions a user can process. | 3 | | |
| 38 | Ability to report on User ID activity (and inactivity). | 3 | | |
| 39 | Ability to support required password changes on a user-defined basis. | 3 | | |
| 40 | Ability to support suspension of User ID after a user-defined number of failed login attempts (requiring admin reset). | 3 | | |
| 41 | Ability to support automatic logoff (timeout) when system is left unused for a user-defined period of time. | 3 | | |
| 42 | Ability to provide report of failed login attempts. | 3 | | |
| 43 | Ability to provide an automated audit trail of all transactions. | 3 | | |
| | Ability to record the following minimum data on all transactions: | | | |
| 44 | a) Type of change. | 3 | | |
| 45 | b) Login ID. | 3 | | |
| 46 | c) Terminal ID. | 3 | | |
| 47 | d) IP address. | 3 | | |
| 48 | e) Timestamp of change to the subseconds. | 3 | | |
| 49 | f) Old value of data. | 3 | | |
| 50 | Ability to maintain an active history with accurate work-in-process information for cases based on the data that was in effect at the time the case was processed. | 3 | | |
| 51 | System is normalized, with all unique data elements occurring only once in the database. | 2 | | |
| 52 | Ability to utilize Microsoft Active Directory for application security authentication. | 2 | | |
| 53 | Ability to support security by multiple groups of functionality assigned to multiple groups of users. | 2 | | |
| 54 | Ability to support and force alpha/numeric/special characters in passwords. | 2 | | |
| 55 | Ability to force passwords to be different from past passwords. | 2 | | |
| 56 | Ability to export data using system utilities. | 2 | | |
| 57 | Ability to query transactions from an internal or external audit perspective for unusual activity. | 3 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|--------------------------------------|---|--|---------------|------------------------|
| ID | Database | | | |
| 58 | Ability for system administrator to delete "bad" information within the CMS while maintaining a log of what and when information was deleted. | 2 | | |
| 59 | Inability to delete items from the system without history. | 3 | | |
| Human Interface and Usability | | | | |
| 60 | System clearly indicates to the user which "mode" the user is in (e.g., test, production or training). | 3 | | |
| 61 | Formatting and word processing-like capabilities when entering text of any kind (type-ahead capability, cut/paste/import/export/file references/spell check, bold, underline, italics, word wrap, etc.). | 3 | | |
| 62 | Ability to set screen fields to default values upon initial entry into a blank screen. | 3 | | |
| 63 | Ability to access other application screens without backing out of menus or menu paths. | 3 | | |
| 64 | Ability to open multiple screens/windows/sessions concurrently. | 3 | | |
| 65 | Presence of easily accessible on-line help documentation. | 3 | | |
| 66 | All modules of the solution to be fully integrated. | 2 | | |
| 67 | System clearly indicates which version the user is in. | 2 | | |
| 68 | System is fully browser-based from an end user's perspective, using Microsoft Internet Explorer 6.0 or later client. | 2 | | |
| 69 | Context-sensitive help screens based on a user's application privileges and where they are in the application. | 2 | | |
| 70 | Ability to utilize drop-down lists for each field. | 2 | | |
| 71 | Ability to define edits as mandatory or warnings. | 2 | | |
| 72 | Incorrectly entered data to be highlighted and descriptive error messages to give users a strong indication of what the issue is and how to resolve the issue (standardized color/flash/reverse video display characteristics). | 2 | | |
| 73 | Ability to utilize on-line error message help screens, which can be accessed directly from the error message. | 2 | | |
| 74 | Ability to highlight required elements upon transaction entry. | 2 | | |
| 75 | Ability to provide keystrokes for rapid data entry and movement from screen to screen ("hotkeys" or coding reduction techniques). | 2 | | |
| 76 | End user screens contain triggers to additional data screens based on specific data entry. | 2 | | |
| 77 | Ability to record freeform text in comment fields. | 2 | | |
| 78 | Ability to integrate voice recognition software. | 2 | | |
| Reporting | | | | |
| 78 | Standard reporting tool to output data in set format or customizable format for management or third party purposes. | 3 | | |
| 79 | Ability for ad hoc queries and reports based on user-defined requirements. | 3 | | |
| 80 | Ability to generate reports using any fields in the database as per security authorization. | 3 | | |
| 81 | Ability to produce reports as printed reports, displays, or extract files with the ability to download statistical data to a spreadsheet program and database program or transmit electronically. | 3 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|---|--|---------------|------------------------|
| ID | Database | | | |
| 82 | Reports to be run in real-time or batch mode based on administrator-configurable criteria. | 3 | | |
| 83 | Ability to save ad hoc queries, reports, formats and macros in a well-organized library online. | 2 | | |
| 84 | Ability to set report retention policy based on report type and capability of overriding the retention policy for specific reports. | 2 | | |
| 85 | Report writer utility should allow the user to extract needed data from multiple files and create reports in a flexible, user-defined format without the need for custom development. | 2 | | |
| 86 | Ability to search for reports and text within reports. | 2 | | |
| 87 | Ability to create reports real-time online. | 3 | | |
| | Publication | | | |
| 88 | Ability to output to an Excel spreadsheet. | 2 | | |
| 89 | Ability to send data to PCL5 compliant printers (laser printers). | 3 | | |
| 90 | Ability to send data to PCL3, PCL3E and PCL3-GUI compliant printers (inkjet printers). | 2 | | |
| 91 | Ability to email data (Exchange, SMTP). | 2 | | |
| 92 | Ability to output images (TIFF). | 2 | | |
| 93 | Ability to save as PDF. | 2 | | |
| 94 | Ability to output to XML. | 2 | | |
| 95 | Ability to output to HTML. | 2 | | |
| 96 | Ability for printed output to be routed dynamically by workstation and document type. | 2 | | |
| 97 | Ability for output destined for print to be printed real time or in a batch mode. | 2 | | |
| 98 | Ability to utilize electronic signatures. | 2 | | |
| 99 | Ability to fax data. | 1 | | |
| | Integration | | | |
| 100 | Provide capability to link to scanned images of paper documents from within the CMS. | 3 | | |
| 101 | Allow workers to store photos with other client information as part of each case file. | 3 | | |
| 102 | Ability to launch, with client specific parameters, Global 360 KoVis v5.0 or later. | 2 | | |
| 103 | Ability to launch, with client specific parameters, Global 360 KoVis Convergence Imaging web retrieval client. | 2 | | |
| 104 | Ability to launch document management subsystem with client specific parameters from application screens. | 2 | | |
| 105 | Ability to integrate with .NET/ASP programming (current County standard). | 2 | | |
| 106 | Ability to integrate with bar-coding software (list possible solutions). | 2 | | |
| 107 | Document management solution to be integrated with CMS. | 2 | | |
| 108 | Ability to link to external internet sources from a summary screen (e.g., assessor, anywho.com). | 1 | | |
| 109 | Ability to integrate with Cognos Reporting tools. | 2 | | |
| 110 | Ability to handle electronic signatures and acceptance. | 2 | | |

Attachment D
Technical Questionnaire

Attachment D – Technical Questionnaire

| Question ID Number | Question |
|------------------------------|--|
| Software Architecture | |
| SA – 1 | Please describe the application architecture(s). |
| SA – 2 | Is the user interface browser-based? If yes, please indicate which portions of the user interface are browser-based (e.g., public access) and for which browser, if any, it is optimized. |
| SA – 3 | Please describe your development methodology, tools (please indicate versions), and languages. |
| SA – 4 | Please describe the application's print requirements. |
| SA – 5 | Where does the application code reside? Describe the application's presentation, business logic, and data layer. Provide an architectural hardware/software drawing. |
| SA – 7 | Please describe the application security architecture. Please include password management, encryption, database connectivity, database security and transaction security in your response. |
| SA – 8 | How many concurrent users can the proposed solution accommodate? |

| Question ID Number | Question |
|------------------------------|---|
| SA – 9 | Is the application scalable? Please describe. |
| SA – 10 | Does the system require additional software to operate correctly? Please describe the functionality that the software serves and the version(s) supported. |
| SA – 11 | List all software and versions required to run the application. |
| SA – 12 | Please list the supported languages and schedulers for batch processing. |
| SA – 13 | Please describe the management and configuration of reports and form templates used for document generation. |
| Hardware Architecture | |
| HA – 1 | Please describe the ideal hardware architecture and configuration for your proposed solution. |
| HA – 2 | Please list the specific hardware components necessary to implement the proposed solution. Please include the make and model of the hardware components and the recommended configuration (processors, speed, memory, etc.) |

| Question ID Number | Question |
|------------------------------------|--|
| HA – 3 | PAPG is interested in a fully redundant hardware environment. Please describe how your proposed solution will meet this objective. |
| <i>Application Toolsets</i> | |
| AT – 1 | List the application development toolsets integrated/compliant with the application. |
| AT – 2 | List the online training development toolsets integrated/compliant with the application. |
| AT – 3 | List the user guide development toolsets integrated/compliant with the application. |
| AT – 4 | List the database diagram/design toolsets integrated/compliant with the application. |
| AT – 5 | List the report development toolsets integrated/compliant with the application. |
| AT – 6 | List the security administration toolsets integrated/compliant with the application. |

| Question ID Number | Question |
|-------------------------------|--|
| Integration/Middleware | |
| Integration – 1 | Please describe your solution’s integration components. Describe how your approach will meet the needs of PAPG. |
| Integration – 2 | Does your proposed solution contain a middleware component? If so, please describe. |
| Integration – 3 | Please describe the approach, technology, and services used to integrate the CMS and document management system (DMS). |
| Communications | |
| Communication – 1 | Please describe which communication protocols are required? |
| Communication – 2 | Please describe the method used to communicate to the database server (e.g., Open Database Connectivity [ODBC], Native Application Programming Interface (API)). |
| Database | |
| Database – 1 | Please describe the database solution proposed for this project. Furthermore, explain why that solution will best meet the needs of PAPG. |
| Database – 2 | Please describe any requirements to operate your proposed database solution. |

| Question ID Number | Question |
|--------------------|--|
| Database – 3 | If PAPG operates in four environments (production/training/test/development), what licenses will be required? |
| Database – 4 | Can database backups be performed without downtime? |
| Database – 5 | Does your solution utilize data warehousing? If yes, please describe the implementation of the data warehousing. |
| Database – 6 | Describe how the application tier connects to the database to ensure secure access to database data. |
| Database – 7 | Describe how the data stored within the database is secured. |
| Database – 8 | Describe how your application supports database concurrency. |
| Database – 9 | Describe how your solution supports database replication. |
| Database – 10 | Please describe your strategy/timing for supporting any upcoming releases of your preferred database solution. |

| Question ID Number | Question |
|--|--|
| Desktop | |
| Desktop – 1 | What is the recommended desktop to support the application? |
| Desktop – 2 | If the solution utilizes a Web browser, please indicate the type and version of supported browsers. |
| Desktop – 3 | Does the application require any software or registry entries on the desktop? If yes, please describe. |
| Network | |
| Network – 1 | Does your application support Dynamic Host Configuration Protocol (DHCP)? |
| Network – 2 | Describe the firewall configurations necessary for operations. Please include any additional configuration and port requirements for a public access component. |
| Network – 3 | Please project the minimum, maximum, and average bandwidth between server and client for the following scenarios: application start-up, standard inquiry, and image display. |
| Support, System Responsiveness and Backup | |
| Support – 1 | Please list the maintenance and support options. Is technical support available 5 days-a-week from 6 a.m. to 6 p.m.? Is 24 hour, 365 day support an option? |

| Question ID Number | Question |
|------------------------------------|--|
| Responsiveness – 1 | What is the longest response time for processing a transaction within the application? Are delays limited to less than 3 seconds even under peak usage? What is the time measurement from the time the enter key is pressed until the screen is presented for viewing? |
| Backup – 1 | Please describe the preferred enterprise backup and recovery solution. |
| <i>Audit and Conversion</i> | |
| Audit Capability – 1 | Describe the auditing capabilities within your system. |
| Conversion – 1 | What tools and methods do you plan to use to complete data conversion? |

Attachment E
Mission Conversion Analysis



Attachment E – Mission Conversion Analysis

Mission, the Case Management System for the Public Administrator and Public Guardian, has Subject Matter as well as Administrative Tables as follows:

I. Subject Matter

- A. **Clients**
- B. **Case Management**
- C. **Banking**
- D. **Buyer**
- E. **New Inventory**

II. Administrative

- A. **Backup PBA**
Backup of the production database to a text file.
- B. **Report**
List of Mission reports by ID, user, and frequency.
- C. **Schedule**
List of detailed report information.
- D. **Security**
Table containing User ID's and associated permissions.
- E. **Table**
List of tables, table ID's, and descriptions.
- F. **Log**
Log containing deleted transaction names and inventory assets by date and User ID.



G. Location

List of Mission tables and associated locations.

H. Word Processing

Temporary work space that allows you to transfer application data to WordPad and Microsoft Word.

I. Work

Temporary work space used internally by reporting programs.

J. Sort

Temporary work space for maintaining sort.

K. Help

Mission help files.

Attachment F
Proposed Interfaces

Attachment F – Proposed Interfaces

| ID | Date Flow | Description | From System | To System | Frequency |
|----|-----------|----------------------------------|--------------------|--------------------|------------|
| 1 | Inbound | Social Service CMS Client Data | Social Service CMS | New CMS | TBD |
| 2 | Inbound | Coroner Deceased Client Data | Coroner CMS | New CMS | TBD |
| 3 | Outbound | Public Guardian Client Data | New CMS | Social Service CMS | TBD |
| 4 | Outbound | Public Administrator Client Data | New CMS | Coroner CMS | TBD |
| 5 | Outbound | Positive Pay Transactions | New CMS | Bank of America | Daily |
| 6 | Outbound | Positive Pay Daily Report | New CMS | Bank of America | Daily |
| 7 | Outbound | Check Writing Software | New CMS | Check Writing SW | Daily |
| 8 | Outbound | Imaging - Indexing data | New CMS | KoVis | Real Time |
| 9 | Outbound | Imaging Retrieval | New CMS | KoVis | Real Time |
| 10 | Outbound | Treasurer | New CMS | Treasurer System | Bi-monthly |
| 11 | Outbound | Business Intelligence (BI) Suite | New CMS | BI System | Daily |
| 12 | Outbound | Assessor data inquiry | New CMS | Assessor System | Real Time |
| 13 | Inbound | Check Register | Bank of America | New CMS | Weekly |
| 14 | Inbound | Imaging - Indexing data request | KoVis | KoVis | Real Time |
| 15 | Inbound | ACH Deposits | Bank of America | New CMS | Daily |
| 16 | Inbound | Positive Pay Transactions | Bank of America | New CMS | Daily |
| 17 | Inbound | Assessor data response | Assessor System | New CMS | Real Time |

Attachment G
Functional Requirements

Attachment G – Functional Requirements

Intake

Importance Ratings: 1 = Desired, 2 = Important, 3 = Critical

Valid Response Codes:

“I” – No customization needed for proposed system, but configuration may be required.

“F” – Scheduled for a future release.

“M” – Modification of application source code needed for proposed system.

“N” – Outside the scope of the system and not proposed.

If “F,” please indicate expected release date (e.g., 9/21/06).

If “I” or “M,” please indicate the degree of configuration or customization for the level of effort required in person-hours.

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|---|--|---------------|------------------------|
| ID | Display and Search | | | |
| 1 | Ability to display various data items in a single case/client record, including names, nicknames, aliases, social security numbers, addresses, dates of birth, dates of death, type of case (e.g., guardian, real estate, burial, court report, impress, probate, wills, trust, rep-payee, etc.), status (i.e. open or closed, legal authority granted, etc.), social history, medical data, referral information, case narrative, contact information of related parties, heirs, information pertaining to assessor's parcels, pensions, income, assets, real estate, property, other accounts, coroner's case number, and other external reference numbers. | 3 | | |
| 2 | Allow the user to perform flexible client/case searches by single or multiple identifying criteria, including names, nicknames, aliases, social security numbers, addresses, dates of birth, dates of death, type of case (e.g., guardian, real estate, burial, court report, impress, probate, wills, trust, rep-payee, etc.), status (i.e. open or closed, legal authority granted, etc.), assessor's parcels, coroner's case number, and other external reference numbers. | 3 | | |
| 3 | Provide for summary case info (i.e. "at-a-glance" information related to a case) with relevant links to the associated detailed information. | 3 | | |
| 4 | Soundex (sounds-like) search capabilities to help find clients with names with common variations, misspellings, etc. | 3 | | |
| 5 | Ability to display and search scanned/imaged documents by type (e.g., legal document), by date, or by document title. | 2 | | |
| 6 | Ability to quickly identify case manager assigned to case/client to facilitate routing of mail. | 3 | | |
| 7 | Ability to modify/add/delete search filters using pre-defined fields from the database and apply these to previously returned search results to further restrict the results. | 2 | | |
| 8 | Ability to customize view of summary case information by user. | 2 | | |
| 9 | Ability to display case initiation information, including date and time of initial application entry. | 3 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------------------|---|--|------------------|------------------------|
| Initial Entry of Client Data | | | | |
| 10 | Ability to enter various data items in a single case/client record, including names, nicknames, aliases, social security numbers, addresses, dates of birth, dates of death, type of case (e.g., guardian, real estate, burial, court report, impress, probate, wills, trust, rep-payee, etc.), status (i.e. open or closed, legal authority granted, etc.), social history, medical data, referral information, case narrative, contact information of related parties, heirs, information pertaining to assessor's parcels, pensions, income, assets, real estate, property, other accounts, coroner's case number, and other external reference numbers. | 3 | | |
| 11 | Ability to initiate an application for services based upon info sent in electronically from other organizations (i.e., referrals). | 3 | | |
| 12 | Ability to retain a snapshot of original information from referral source. | 2 | | |
| 13 | Provide for entry of client's living situation information including medical and social history, housing situation, workplace info, wages, debts, and assets. | 3 | | |
| 14 | Ability to capture notes for different categories of case correspondence. | 3 | | |
| 15 | Provide ability to carry client information forward from screen to screen for new or existing, related or selected, cases without re-entry of data. | 3 | | |
| 16 | Provide for the entry of other agency case numbers, i.e., relate case number to identifiers of other agencies and departments. | 3 | | |
| 17 | Ability to relate a client to one or multiple cases/clients. | 3 | | |
| 18 | Provide a method for capturing family or other household relationships and relate to case data. | 2 | | |
| 19 | Auto-populate user configurable data field defaults (e.g., today's date) for various case data items, with the option to override default data. | 2 | | |
| 20 | Import scanned data from applications for state, county, and federal claims or applications. | 1 | | |
| 21 | Auto-populate city and state fields when a user enters a zip code. | 1 | | |
| 22 | Provide for mass update/addition of information to cases. | 1 | | |
| Data Validation | | | | |
| 23 | Include a mechanism for correcting erroneously assigned case numbers or data with a warning to prevent errors and duplicate case records. | 3 | | |
| 24 | Capture unverified/multiple versions of client data in a "draft" state (e.g., in a "staging area" or "scratch pad state") to allow staff to verify and approve or reject the data entries. | 3 | | |
| 25 | Perform specific validation and required field edits for specified types of records (e.g. case data from other agencies). | 2 | | |
| 26 | Provide ability to merge records when multiple cases with duplicate information are discovered for the same client. | 2 | | |
| 27 | Screen clients who are no longer eligible due to non-adherence to program requirements. | 2 | | |
| 28 | Automatically generate letters or notifications identifying missing referral information. | 2 | | |
| Scheduling and Dispatch | | | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|--|--|------------------|------------------------|
| 29 | Display each worker's detailed scheduled and available time slots for each day, with overviews by week or month, and availability of personnel, including case managers and investigators. | 3 | | |
| 30 | Alert supervisor if rescheduling is required due to lack of worker availability or other issue or lack of response within a specified period of time. | 2 | | |
| 31 | Ability to schedule classes and print confirmation/attendance certificates. | 2 | | |
| 32 | Allow investigators to enter their potential availability into the system. | 1 | | |
| Intake Reports | | | | |
| 33 | Track intake workload and caseload throughput based on work queue statistics (e.g., number of appointments scheduled, number of entries made). | 3 | | |
| 34 | Produce reports that track conformance to time and other performance standards maintainable as business rules (e.g., response due within x hours of application receipt). | 3 | | |
| 35 | Generate online, real-time productivity reports that track output of each worker. | 3 | | |
| 36 | Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines. | 3 | | |
| 37 | Generate list of all clients/cases by facility, attorney and other user-defined parameters. | 2 | | |
| 38 | Track denials from state, county, and federal applications for benefits and reasons for denials. | 2 | | |

Case Activity

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|--|--|---------------|------------------------|
| ID | Case Planning and Tracking | | | |
| 1 | Ability to create checklists of required tasks for cases. | 3 | | |
| 2 | Ability to view client history customizable by date-range and category. | 3 | | |
| 3 | Facilitate the creation of case management plans that address client issues including those of the following nature: legal, financial, medical, psychiatric, property, independent living, placement. | 3 | | |
| 4 | Allow for tracking of periodic visit data to include general environment, physical condition, socialization, mental condition, special needs, problems, new services, etc. | 3 | | |
| 5 | Allow case planning to be customized with program-specific information (e.g., Rep-Payee, Guardianship). | 2 | | |
| 6 | Provide case planning tools that allow workers to create and track client progress with respect to measurable goals, outcomes and milestones. | 2 | | |
| 7 | Ability to create and monitor a budget for a case. | 2 | | |
| 8 | Post records of automated financial transactions and other user-definable events within the case history. | 2 | | |
| 9 | Provide the capability to track all changes in placement including the dates the changes in placement occurred. | 2 | | |
| 10 | Provide case planning capabilities over different time periods (i.e. short-term and long-term case plans). | 1 | | |
| Case Notes | | | | |
| 11 | Ability to enter notes on case records on that certain events occurred (such as certain certificates were ordered) and set up reminders for follow-up action if necessary. | 3 | | |
| 12 | Ability to display notes and case history in reverse chronological order with most recent events at the top of the case notes. | 2 | | |
| 13 | Provide capability for users to review case notes for a pre-defined period of time before making these final. These notes should not be available to be edited by workers other than the originating worker during this time. | 2 | | |
| Case Maintenance | | | | |
| 14 | Generate confirmation/receipt itemizing all received documents and completion of scheduled events (i.e., all items associated with an open case), including receipt of key documents, towing confirmation, inventory goods receipts, asset sales, etc. | 3 | | |
| 15 | Ability to enter receipt of all items into the system, even if the case number is initially unknown (e.g., a tax bill is received for a piece of property that was not previously disclosed or reported; a case number is missing or incorrect). | 3 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|--|---|--|---------------|------------------------|
| 16 | Ability to "link" invoices and other associated documents to specific cases. | 3 | | |
| 17 | Ability to update information into the case record about that have a relational effect to clients (e.g. family members, assigned attorney, service providers) for programs, referrals, services and payments, including contact names, tax information, billing addresses, and multiple mailing/shipping addresses, date last contacted, and date follow-up actions are required. | 3 | | |
| 18 | Ability for third parties to submit data to be entered into the system (attorneys, CPAs, etc.) | 1 | | |
| Notifications and Alerts | | | | |
| 19 | Automatically generate notices to be sent to case managers, clients, or other interested parties (e.g., attorneys, CPAs, other internal staff, etc.) as appropriate based upon timing of certain case events, such as the receipt of certain documents (e.g., escrow checks, legal documents, letters of administration, petitions, etc.), the addition of assets to case records, reaching periodic deadlines, or the closing of a case. | 3 | | |
| 20 | Provide notification and reminder functionality similar to that of Microsoft Outlook. | 3 | | |
| 21 | Ability to publish notifications to Microsoft Outlook's calendar. | 3 | | |
| 22 | Notify user when client info exists which may relate to new case based on user-defined criteria. | 2 | | |
| 23 | Automatically generate an "expected item" in the case checklist for items which generate a notification. | 2 | | |
| 24 | Ability to send notification to CPA or other interested parties if property or other assets are added to a case record after a specified date. | 2 | | |
| 25 | Allow system to print notices in real time or batch mode according to user-defined sequences and/or time frames that include future dates (e.g., batch print letters at the end of business day for mailing the next day). | 1 | | |
| Case Activity Forms and Reports | | | | |
| 26 | Ability to produce a report of summary case data to provide to external parties (e.g., from a subpoena request), which may be less detailed than the summary data available to internal users. | 3 | | |
| 27 | Ability to automatically generate preformatted letters with information from case data using predefined templates. | 3 | | |
| 28 | Output to forms and other pre-printed documents. | 3 | | |
| 29 | Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established guidelines. | 3 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|---|--|---------------|------------------------|
| 30 | Generate caseload management reports which detail the number and distribution of new and existing cases. Caseloads are defined in terms of both the number and the weight of cases. | 3 | | |
| 31 | Allow system to manually generate and print generic notices. | 2 | | |
| 32 | Ability to assist with the preparation of attorney documents. | 2 | | |
| 33 | Ability to generate required forms for rep-payee cases from pre-defined templates, including year-end surveys. | 2 | | |
| 34 | Ability to generate periodic or ad hoc reports showing the status of required items or certain threshold values (e.g., \$50K alerts, \$2K Medicaid alerts, etc.) | 2 | | |
| 35 | Provide ability to suppress inclusion of user-designated confidential information on notices and other documents. | 1 | | |
| 36 | Ability to track performance of related third parties (e.g. did an attorney respond to our referrals quickly and effectively?) | 1 | | |
| 37 | List of variances/exceptions to scheduled/anticipated activities. | 3 | | |
| 38 | Ability to automatically publish updates to case activity to internet or intranet site based on user-definable parameters. | 2 | | |

Inventory Management

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|--|--|--|---------------|------------------------|
| ID | General | | | |
| 1 | Full integration with other system components, including financials and case management. | 3 | | |
| Inventory Entry | | | | |
| 2 | Ability to enter inventory items by case/client. | 3 | | |
| 3 | Ability to automatically create "anticipated inventory lists" from information entered remotely on tablet PCs or elsewhere in the system. | 3 | | |
| 4 | Ability to maintain categories of inventoried items (furniture, household items, clothing, vehicles, electronics, real property, jewelry, legal documents, etc.) | 3 | | |
| 5 | Ability to display and select inventory categories in drop-down menus on portable devices in the field. | 3 | | |
| 6 | Ability to exclude certain inventory items from inclusion on external inventory reports. | 3 | | |
| 7 | Ability to enter co-ownership information for certain items. | 3 | | |
| 8 | Ability to enter and track items that will be auctioned. | 3 | | |
| 9 | Ability to indicate that appraisals are necessary for certain inventory items. | 3 | | |
| 10 | Ability to enter appraisal values for inventoried items and update as needed. | 3 | | |
| 11 | Ability to enter sale amount and commission amount for auctioned inventory items (i.e., show net and gross sales prices). | 3 | | |
| 12 | Ability to enter items and track inventory items without financial value. | 2 | | |
| Storage and Security | | | | |
| 13 | Ability to enter and track stock keeping unit (SKU) and electronic barcode information. | 3 | | |
| 14 | Ability to track bin number and other storage location information (racks, car locations, etc.) | 3 | | |
| 15 | Ability to handle multiple inventory locations, including "secure" locations (e.g., the vault). | 3 | | |
| 16 | Ability to assign storage locations to inventory for specific cases/clients. | 3 | | |
| 17 | Ability to integrate with radio frequency identification device (RFID) technology. | 2 | | |
| 18 | Ability to restrict access to inventory lists of items kept in secure locations (e.g., the vault). | 1 | | |
| 19 | Ability to enter car information, such as mileage, model, year, and condition | 3 | | |
| 20 | Ability to track combined weight of items in particular storage locations (e.g., on particular shelves). | 1 | | |
| Inventory Tracking and Warehouse Management | | | | |
| 21 | Ability to enter receipt of inventoried items at the warehouse or vault, both manually and electronically. | 3 | | |
| 22 | Ability to facilitate the physical matching of received goods to "anticipated item lists" and automatically identify any discrepancies. | 3 | | |

| | Requirement Description | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|----|--|--|--------------------------|-------------------------------|
| 23 | Ability to track all inventory movements, both within the warehouse and externally. | 3 | | |
| 24 | Ability to use barcode or RFID information on both inventory items and storage locations to facilitate the movement and tracking of inventory within the warehouse. | 2 | | |
| 25 | Ability to manually and automatically block inventory movements or generate a warning, based on user-defined criteria such as "pending property release," "awaiting case manager approval," "awaiting inspection," or "family to pickup soon". | 3 | | |
| 26 | Ability for case managers or other employees to enter/update status of reviewed items and send notifications to inventory personnel. | 3 | | |
| 27 | Ability to print a "receipt" for items received at the warehouse or vault. | 2 | | |
| 28 | Ability to track the status of inventory to be disposed. | 2 | | |
| 29 | Ability to generate and print packing lists and labels. | 2 | | |
| 30 | Ability to assist with the tracking and management of inventoried cars in the County's parking lot. | 2 | | |
| 31 | Ability to show a visual representation of the warehouse on a tablet PC or PDA, including open and filled storage locations. | 1 | | |
| 32 | Ability to send electronic notification to handheld devices and tablet PCs when items are received. | 1 | | |
| | Shipping and Deliveries | | | |
| 33 | Ability to automatically generate and send requests for pickups or deliveries, either on-line or from the field (electronic work order functionality). | 3 | | |
| 34 | Ability to schedule and prioritize shipments and outbound deliveries. | 3 | | |
| 35 | Ability to show scheduled pickups and deliveries on a shared calendar. | 3 | | |
| 36 | Ability to enter method of payment for shipping. | 3 | | |
| 37 | Ability to generate and print shipping lists and labels. | 3 | | |
| 38 | Ability to send electronic notification of deliveries to handheld devices and tablet PCs. | 1 | | |
| 39 | Ability to verify that funds are available for shipping. | 1 | | |
| | Inventory Reports | | | |
| 40 | List of all inventoried items | 3 | | |
| 41 | Appraised value of all inventory. | 3 | | |
| 42 | List of all auction items. | 3 | | |
| 43 | Appraised value of all auction items. | 3 | | |
| 44 | Location of all inventoried items. | 3 | | |
| 45 | Location of inventoried items for a specific case. | 3 | | |
| 46 | Value of inventory for a specific case. | 3 | | |
| 47 | Ability to generate and customize a summary-level inventory report for submission to interested parties (e.g., courts, CPAs, etc.) | 3 | | |
| 48 | List of all goods received on a specified date or date range. | 3 | | |
| 49 | Inventory movements on a specified date or date range. | 3 | | |
| 50 | List of discrepancies between anticipated inventory items and goods received. | 3 | | |
| 51 | List of scheduled pickups, deliveries, shipments, etc. | 3 | | |
| 52 | List of variances/exceptions to scheduled/anticipated activities. | 3 | | |

Financial Management

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|---|--|---------------|------------------------|
| ID | General Financial Requirements | | | |
| 1 | Ability to track all financial transactions by case/client. | 3 | | |
| 2 | Comply with generally accepted accounting principles (GAAP) for governmental entities. | 3 | | |
| 3 | Comply with special accounting requirements for PA/PG entities, including trust and probate accounting requirements. | 3 | | |
| 4 | Ability to track stocks, bonds, and other securities transactions, including holdings, purchases, sales, dividends, gains/losses, refundable security deposits, etc. | 3 | | |
| 5 | Full integration with other system components, including inventory management, case management, and asset management. | 3 | | |
| 6 | Allow a user with the appropriate security level to void or correct financial transactions without deleting them (i.e., maintain a complete audit trail). | 3 | | |
| 7 | Ability to calculate and post interest to accounts and line items as appropriate. | 3 | | |
| 8 | Ability to send and receive financial files via file transfer protocol (FTP) | 3 | | |
| 9 | Ability to "set aside" amounts from accounts to be used for specific purposes (e.g., burials, creditor claims, impound accounts, patient trust funds, etc.) | 3 | | |
| 10 | Ability to warn of insufficient funds in the estate or account, as appropriate, and place any invoices entered against an account in a "holding" state until they are approved by a supervisor or case manager. | 2 | | |
| 11 | Ability to generate notifications based on certain financial threshold values in an account (e.g., \$50K alerts, \$5K alerts, \$2K Medicaid alerts, etc.) | 2 | | |
| 12 | Ability to handle ACH/EFT transactions. | 3 | | |
| | Accounts Payable (A/P) | | | |
| 13 | Ability to search, add, delete for use, modify or change shared vendor information and track history. | 3 | | |
| 14 | Ability for vendor master records to capture multiple "c/o" (care of) addresses. | 3 | | |
| 15 | Track vendor activity by providing vendor history for payment changes. | 3 | | |
| 16 | Ability for case managers and other interested parties to enter check requests electronically for approval and payment. | 3 | | |
| 17 | Allow for multiple levels of approval for check requests, including A/P supervisors and case managers when appropriate. | 3 | | |
| 18 | Ability to set up recurring payments, with or without dollar amount. | 3 | | |
| 19 | General ledger chart of accounts (income and expenses) with the ability to indicate whether they are monetary or statistic general ledger accounts. | 3 | | |
| 20 | Ability for check runs to draw from multiple bank accounts. | 3 | | |
| 21 | Ability to handle multiple check lots and check number ranges. | 3 | | |
| 22 | Ability to produce a "test" check run that can be reviewed before printing checks. | 3 | | |
| 23 | Ability to generate checks from the system automatically or manually (i.e. batch and one-time processing). | 3 | | |

| | Requirement Description | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|----|--|--|----------------------|-------------------------------|
| 24 | Ability to produce checks based on configurable, changeable rules. | 3 | | |
| 25 | Ability to schedule check runs for periodic intervals or predefined dates based on predefined criteria. | 3 | | |
| 26 | Provide the user with the capability to view and maintain the status of checks; allow the user to enter a specific date range, apply a search filter and view the retrieved case and check information including when the check cleared. | 3 | | |
| 27 | Ability to interface with, or replace, Create-a-Check application. | 3 | | |
| 28 | Ability for case managers and other interested parties to block accounts or checks associated with a particular case for payment. | 3 | | |
| 29 | Ability to block account for payment for prolonged periods of time (i.e., years) until final accounting or closure occurs. | 2 | | |
| 30 | Ability for case managers to "pre-approve" certain checks or accounts if they know they will be out of the office or otherwise unavailable. | 2 | | |
| 31 | Ability to prevent duplicate invoice entries for the same vendor. | 3 | | |
| 32 | Ability to produce a remittance copy or check backup to send to vendor with a payment. | 2 | | |
| 33 | Ability to classify payments as either "for mail" or "for delivery" (i.e. ability to enter different payment types and classifications). | 3 | | |
| 34 | Ability to retain an electronic copy of all checks issued. | 2 | | |
| 35 | Ability to post check activity to case notes. | 2 | | |
| 36 | Ability to cancel outstanding checks if they are over six months old. | 3 | | |
| | Accounts Receivable (A/R) | | | |
| 37 | Allow for a cash account receivable with printed receipts. | 3 | | |
| 38 | Ability to produce a daily check deposit report. | 3 | | |
| 39 | Provide capability to print weekly cash deposits to bank. | 2 | | |
| 40 | Ability to capture images of incoming checks. | 2 | | |
| 41 | Ability to assign captured images of incoming checks to deposit transactions in the system. | 2 | | |
| 42 | Ability to route deposit transactions to case managers for review/approval. | 1 | | |
| | Reconciliation | | | |
| 43 | Ability to upload, download, and process bank files (e.g., deposits, positive pay, cashed checks, etc.) | 3 | | |
| 44 | Ability to interface with Bank of America for daily reconciliation. | 3 | | |
| 45 | Ability to perform money management with Treasury Function. | 2 | | |
| 46 | Ability to perform monthly reconciliation. | 3 | | |
| 47 | Ability to maintain separate investment, checking, control disbursement, etc, at a high level. | 3 | | |
| | Time-Tracking, Fee Calculation, and Billing | | | |
| 48 | Ability to track time spent working by employees on case activities. | 3 | | |
| 49 | Ability to enter hourly rates for employees by general employee classifications. | 2 | | |
| 50 | Ability to calculate fees for cases/clients based on predefined rates and time spent by employees on activities. | 2 | | |
| 51 | Ability to automatically generate fees for/to rep-payee accounts. | 2 | | |
| 52 | Ability to facilitate the calculation of allowable billable amounts by case/client. | 2 | | |

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|--------------------------|---|--|---------------|------------------------|
| 53 | Ability to refund or cancel portions of billed/invoiced amount(s) within 60 days if ordered to do so by the Court. | 2 | | |
| Asset Management | | | | |
| 54 | Ability to capture all property assets for a case/client, real or otherwise, including property that might be held under a different name. | 3 | | |
| 55 | Ability to track the status of assets (e.g. Pending, Sell, Sold, Hold, Abandoned, Toss, Distributed, Split for Sale, Split for Distribution, Collect, Collected, Deleted, etc.) | 3 | | |
| 56 | Provide the capability to track court approved sale information. | 3 | | |
| 57 | Ability to track appraisal/valuation information. | 3 | | |
| 58 | Ability to post auction revenue to each estate item. | 3 | | |
| 59 | Ability to track gains and losses on assets over time. | 3 | | |
| 60 | Ability to manage title information for assets, including the process of transferring titles to the County. | 2 | | |
| Financial Reports | | | | |
| 61 | All required annual accounting reports, including existing 9156, 9065, and 9043 reports. | 3 | | |
| 62 | All reports required for tax reporting, including existing 9038, 9066, 9068, and 9161 reports. | 3 | | |
| 63 | Listing and summary of all financial transactions by case/client. | 3 | | |
| 64 | Listing and summary of all financial transactions by time period. | 3 | | |
| 65 | Listing of all financial transactions by amount. | 3 | | |
| 66 | Provide check register and reconciliation reports to balance accounts. | 3 | | |
| 67 | Provide a listing of checks issued including case number, client name, check number, date of check, and total amounts. | 3 | | |
| 68 | Provide detailed and summary lists of payments made to a specific client or vendor over specific periods (e.g., monthly for life of case). | 3 | | |
| 69 | Listing of all amounts deposited. | 3 | | |
| 70 | Listing of all miscellaneous debits. | 3 | | |

Work Flow

| Requirement Description | | Importance 3=Critical 2=Important 1=Desired | Response Code | Additional Information |
|-------------------------|--|--|---------------|------------------------|
| ID | Work Flow | | | |
| 1 | Provide a flexible, hierarchical approval process that dynamically sets approval path based upon transactional data and allows individuals with higher levels of authority to approve transactions that have not been approved by individuals with lower levels of authority. | 3 | | |
| 2 | Provide notifications to parties involved in work flow chain when escalation is needed. | 3 | | |
| | Allow work flow rules which are based on the following: | | | |
| 3 | a) Tolerances. | 2 | | |
| 4 | b) Events or "triggers". | 2 | | |
| 5 | c) User-defined parameters. | 2 | | |
| | Provide configurable screen alerts, ticklers and prompts that persist on-screen until dismissed to notify workers by textual or easily recognizable graphics of: | | | |
| 6 | a) Special conditions. | 2 | | |
| 7 | b) Special status. | 2 | | |
| 8 | c) Special processing needs. | 2 | | |
| 9 | d) Prerequisites or required actions. | 3 | | |
| 10 | Provide for batch/group reassignment of cases to another worker or supervisor. | 2 | | |
| 11 | Maintain a log of work queue assignments, changes, and completed tasks – all transactions should be accounted for, with no "lost" or automatically deleted work flow transactions. | 2 | | |
| 12 | Provide capability for program administrators and business analysts to alter the work flows (i.e. change the flow of screens and edit rules to determine which fields or sub-screens show up) instead of requiring IT developers or CMS vendor to perform major system modifications. | 3 | | |
| 13 | Allow supervisors to display, insert, update, filter, monitor, assign, reassign, prioritize and delete tasks in a user's work queue, including changing the priority of tasks and status indicator. | 2 | | |
| 14 | Provide capability for system to automatically re-route work flow transactions based on user-definable criteria if there is no response within a specified period of time. | 2 | | |
| 15 | Allow coworker to delegate work flow responsibilities to other designated workers according to pre-defined rules (e.g., by case category, worker type, priority code, case status, worker rotation policies, caseload balancing, availability of resources, first available spot in queue), but allow supervisors to override assignments. | 1 | | |
| 16 | Have system flag cases, based on predefined criteria or as part of a random audit, which may require follow-up by a supervisor. | 1 | | |

Attachment H
Reports Currently In Use

Attachment H – Reports Currently In Use

This appendix lists the reports currently used by the PG and PA in Mission, the existing CMS.

| Report Number | Description |
|---------------|--|
| 9025 | All transactions for a specific account. |
| 9026 | All expense transactions. |
| 9027/9087 | All accounts by function/division (“office”). |
| 9028 | Posts transactions to account of checks to be cut. |
| 9030 | Appropriate interest to accounts. |
| 9034 | Vendors. |
| 9035 | Codes and divisions/functions (“offices”). |
| 9036 | Checks prior to printing. |
| 9037 | Check numbers and transfers/debits/credits in a specified range. |
| 9037 | Check register of checks printed. |
| 9038 | Receipts and disbursements by code. |
| 9039 | Transactions by client, division/function (“office”), or caseworker. |
| 9040 | Posts autopay transactions. |
| 9043 | Check reconciliation. |
| 9054 | Accounts by referral source. |
| 9057 | Caseworker notes (comments “CO” screens). |
| 9058 | Interest-bearing accounts. |
| 9059 | Non-interest-bearing accounts. |
| 9060 | Yearly statistics. |
| 9062 | Alphabetical listing of accounts with caseworker. |
| 9063 | All transactions by vendor. |
| 9064 | Cases per caseworker. |
| 9065 | Charges to clients (account worker “AW” screens). |
| 9066 | Account Interest Report. |
| 9068 | Interest IRM Form 1099. |
| 9075 | All transactions of a certain amount. |
| 9076/9088 | Fees reported by transaction code and category. |
| 9077 | Closed accounts. |
| 9078 | Clients with balances over \$2,000. |
| 9080 | A/R. |
| 9081 | A/P (disbursements). |

| Report Number | Description |
|---------------|--|
| 9083 | All autopay transactions. |
| 9086 | Daily office totals (for bank reconciliation). |
| 9087 | Accounts with non-zero balance. |
| 9117 | Account schedule by date. |
| 9119 | All active and inactive cases. |
| 9150 | Account addresses. |
| 9152 | Case counts by function ("office"). |
| 9153 | Number of deceased clients with given time frame. |
| 9156 | Summary of accounts. |
| 9157 | Case counts by type. |
| 9161 | Account Category Report. |
| 9171 | Checks by amount. |
| 9177 | CO and AW screen worksheets (comments and account). |
| 9182 | Clients with multiple accounts. |
| 9185 | User IDs. |
| 9187 | Heirs report. |
| 9188 | Transaction reversals. |
| 9189 | Checks categorized for given day. |
| 9190 | Client addresses. |
| 9192 | Accounts and amounts by vendor ID. |
| 9194 | Client location codes. |
| 9195 | Autopay transactions by caseworker. |
| 9196 | Caseworker activity logs. |
| 9197 | Client birthdays. |
| 9198 | All unpaid transactions. |
| 9206 | Current assets. |
| 9215 | Client information with caseworker activity totals. |
| 9217 | Account information for clients receiving SSA or SSI income. |
| 9218 | All deleted transactions. |
| 9221 | Checks with different transaction dates. |
| 9243/9072 | Client facilities and addresses, caseworker billing. |
| 9245 | Lists autopay by code or date. |
| 9250 | Clear state dated checks from system. |
| 9251 | All caseworker IDs. |

| Report Number | Description |
|---------------|---|
| 9252 | Clients' date of last visit. |
| 9255 | Banking information ("BK" screens). |
| 9261 | Fees charged and account balances for all rep-payee clients on a monthly basis. |
| 9265 | Month-end balance. |
| 9271 | Daily extract from imaging. |
| 9275 | Autopay transactions for a given date or code. |
| 9278 | Client initial contact. |
| 9284 | Vendor transactions by category code. |

Attachment I
Cost Submittal Worksheets

Attachment I – Cost Proposal Worksheets

Schedule 1 – Summary

Summary of Total Software, Professional Services, and Maintenance Costs

| Cost Categories | Proposed Cost in RFP | Explanation/Notes (if necessary)** |
|---|----------------------|------------------------------------|
| Software License Fees (Schedule 2) | | |
| Hardware Costs (Schedule 3) | | |
| Professional Services (Schedules 4): | | |
| Training (schedule 5) | | |
| Travel and Other Costs (Schedule 6) | | |
| Total Cost During Project Period | | |

1st Party Maintenance Fees

| Period | | Explanation/Notes (if necessary)** |
|------------|--|------------------------------------|
| Year One* | | |
| Year Two | | |
| Year Three | | |
| Year Four | | |
| Year Five | | |
| Year Six | | |
| Year Seven | | |
| Year Eight | | |
| Year Nine | | |
| Year Ten | | |

| | |
|--|--|
| Total 3rd Party Application Software 1st Year Maintenance Fees | |
| Total 3rd Party System Software 1st Year Maintenance Fees | |

*Please indicate in the Assumptions/Comments section below, the point at which "year one" maintenance fees become due (e.g., at go-live).

**Attach additional notes (if needed) to provide full explanation.

| Assumptions/Additional Comments |
|---------------------------------|
| |

Attachment I – Cost Proposal Worksheets

Schedule 4 – Professional Services

Estimated Professional Services By Implementation Phase

1. Estimated Vendor Hours and Cost

| Phase** | Activity | Data Conversion | | | Interfaces | | | Mods & Customizations | | | Forms and Reports Creation | | | All Other Implementation Services | | | Total | |
|-----------------------------------|----------|-----------------|-------|-------------|------------|-------|-------------|-----------------------|-------|-------------|----------------------------|-------|-------------|-----------------------------------|-------|-------------|----------|-------------|
| | | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Cost |
| Project Planning and Management | | | | | | | | | | | | | | | | | 0 | \$ - |
| System Requirement/Design | | | | | | | | | | | | | | | | | 0 | \$ - |
| Configuration/Build | | | | | | | | | | | | | | | | | 0 | \$ - |
| System Testing | | | | | | | | | | | | | | | | | 0 | \$ - |
| System Training and Documentation | | | | | | | | | | | | | | | | | | |
| GoLive & Support | | | | | | | | | | | | | | | | | 0 | \$ - |
| (add additional cells if needed) | | | | | | | | | | | | | | | | | 0 | \$ - |
| Total | | 0 | | \$ - | 0 | | \$ - | 0 | | \$ - | 0 | | \$ - | 0 | | \$ - | 0 | \$ - |

* Please use (and specify) the proposed blended rate for each phase.

**These are generic terms that should correspond with any implementation methodology.

2. Assumed Government Hourly Participation (Please input the estimated "Hours" only)

| Phase | Activity | Data Conversion | | | Interfaces | | | Mods & Customizations | | | Custom Report Dev. | | | All Other Implementation Services | | | Total | |
|-----------------------------------|----------|-----------------|-------|------|-------------|-------|------|-----------------------|-------|------|--------------------|-------|------|-----------------------------------|--------|------|-------------|------|
| | | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate* | Cost | Hours | Rate** | Cost | Hours | Cost |
| Project Planning and Management | | | | | | | | | | | | | | | | | 0 | |
| System Requirement/Design | | | | | | | | | | | | | | | | | 0 | |
| Configuration/Build | | | | | | | | | | | | | | | | | 0 | |
| System Testing | | | | | | | | | | | | | | | | | 0 | |
| System Training and Documentation | | | | | | | | | | | | | | | | | | |
| GoLive & Support | | | | | | | | | | | | | | | | | 0 | |
| (add additional cells if needed) | | | | | | | | | | | | | | | | | | |
| Total | | 0.00 | | | 0.00 | | | 0 | | | 0 | | | 0.00 | | | 0.00 | |

Assumptions/Additional Comments

Attachment I – Cost Proposal Worksheets

Schedule 5 – Training Costs***

1. Core Training Hours and Costs By Trainee**

| Class | # of Students | Project Team Training | | | Total County Proj. Team Training Hours Spent |
|-------|---------------|-----------------------|---------|------|--|
| | | Hours | Cost/Hr | Cost | |

| | | | | | |
|--------------|---|---|--|-----|--|
| | | | | | |
| | | | | | |
| | | | | | |
| Total | 0 | 0 | | \$0 | |

| Class | # of Students | End User | | | Total County Hours Spent |
|-------|---------------|----------|---------|------|--------------------------|
| | | Hours | Cost/Hr | Cost | |

| | | | | | |
|--------------|---|---|--|--|--|
| | | | | | |
| | | | | | |
| | | | | | |
| Total | 0 | 0 | | | |

| Totals | |
|--|-----|
| Total Hours of Training Provided: | 0 |
| Total Cost of Training Hours: | \$0 |
| Total County Hours Spent on Training Activities: | 0 |

| Class | # of Students | Other Training* | | | Total County Other Training Hours Spent |
|-------|---------------|-----------------|---------|------|---|
| | | Hours | Cost/Hr | Cost | |

| | | | | | |
|--------------|---|---|--|-----|--|
| | | | | | |
| | | | | | |
| | | | | | |
| Total | 0 | 0 | | \$0 | |

2. Additional Training Costs

| Item | Quantity | Unit Cost | Total Cost |
|--------------------|----------|-----------|------------|
| | | | |
| | | | |
| | | | |
| Grand Total | | | |

3. Total Training Costs

| | |
|---|--------|
| Total Core Training Costs + Additional Training Costs | \$0.00 |
|---|--------|

Assumptions/Additional Comments

