
County of San Mateo Sheriff's Office



Records Management System Request for Proposal

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SAN MATEO COUNTY SHERIFF'S OFFICE

**REQUEST FOR PROPOSAL
FOR
RECORDS MANAGEMENT SYSTEM
REPORT WRITING SOFTWARE
OPTICAL IMAGING SYSTEM**

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APPENDIX

- A** – Supplemental Report Writing Questionnaire
- B** – Optical Imaging Standards
- C** – Proposed WAN

(For on-line viewing, download the file "Appendix C" separately)

Chapter 1

Rules of Preparation

Rules of Preparation

Overview

The County of San Mateo invites your company to submit a written proposal to provide a Records Management System (RMS) solution for the San Mateo County Sheriff's Office including an automated report writing module and optical storage. Currently, the County uses a PRC Computer Aided Dispatch (CAD) application with which proposing vendors will be required to interface. Although the County is only procuring a new law enforcement records management system at this time, it is nevertheless critical that the proposing vendor offer a scalable and proven solution that can be expanded to include dispatch, jail management, courts and other justice-related solutions.

The County prefers a comprehensive solution with a single, prime contractor legally and financially responsible for all hardware (where applicable), software and implementation services. Nevertheless, the County recognizes that some vendors may not be able to supply all of the required applications and/or modules. The County encourages vendors who possess stand-alone applications to team with other vendors that complement their proposal. Ultimately, the County will seek a prime vendor to assume total project accountability and responsibility.

The following information is provided as a high level overview of the systems to be replaced (Chapter 4 contains the actual functional specifications).

Law Enforcement RMS with Associated Interfaces: Vendors will be required to provide a fully integrated records management system offering interfaces with the existing PRC CAD, mobile data devices, applicable criminal information databases and a County-wide Criminal Justice System (CJIS).

Law Enforcement Report Writing Software: Vendors will be required to provide a comprehensive report writing software package for both the desktop and mobile environment, offering refined usability and tight integration with CAD and RMS data.

Optical Storage Solution: Supplementing the records management system, the proposed optical solution should be reliable, expandable and based on common standards in concert with the attached Countywide standards for optical imaging.

Navigating Your Way through This Request for Proposal

The proposal should clearly demonstrate how the hardware, software, services and support that you are proposing could best satisfy the requirements of the Sheriff's Office. This written Request for Proposal (RFP) states the scope of system requirements and specifies the rules for preparing the proposal. The RFP includes four chapters, as follows:

Chapter 1 - The current chapter provides general guidelines and rules to assist vendors in preparing their response.

Chapter 2 - Provides an overview of the current environment, the desired approach to implementing new RMS technology and statistical volumes to assist in sizing your proposed system.

Chapter 3 - Contains questions regarding the proposing company's background and qualifications, the specifications and capabilities of the proposed systems, and the services to be provided in addition to proposed costs.

Chapter 4 - Includes functional requirements and describes the instructions for completing responses to the requirements. Space is provided for the vendor to respond regarding the proposed system's ability to support each requirement.

The submitted proposal must follow the rules stated within this section and the format established within this RFP. Adherence to these rules will ensure a fair and objective analysis of all proposals. All responses must be on this form (or its copy). Additional pages

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may be attached as necessary. However, unnecessarily lengthy documents are discouraged. Failure to comply with or complete any portion of this request may result in rejection of a proposal at the discretion of the County of San Mateo. In this RFP, the terms “vendor”, “proposer”, and “offeror” are used interchangeably.

Vendor Inquiries

The Sheriff’s Office has designated Captain Paul Feyling as the project manager. Acting on his behalf, vendors should direct all questions concerning this RFP to:

[William Romesburg](#)
Project Consultant
32194 Corte Carmona
Temecula, California 92592
(909) 303-6637
(909) 303-6638 (Fax)

Contact with other County of San Mateo employees regarding this RFP is expressly prohibited without prior consent. **Vendors directly contacting other County employees during the selection process risk elimination of their proposal from further consideration.**

Pre-Proposal Conference

A Pre-Proposal Conference will be held at 2:00 p.m. on Wednesday, January 3, 2001 at:

San Mateo County Sheriff’s Office - Training Room
400 County Center
Redwood City, California 94063

Submit written questions to the Project Consultant by December 29, 2000. Verbal responses to submitted questions will be provided during the Pre-Proposal Conference, with particular emphasis on interface requirements as they relate to the existing PRC CAD and Countywide CJIS. Written addenda or clarifications that stem from the conference will be issued to all proposing vendors. Questions arising after the Pre-Proposal Conference will be answered at the discretion of the County in the form of addendum. Notes or

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minutes of the meeting will not be distributed. A tour of the communications facility will be provided after the conference.

Modifications to the RFP

1. Changes to this RFP shall be made only by formal written amendment(s) issued by The County of San Mateo.
2. In the event it becomes necessary to revise any part of this RFP, addenda shall be provided to all vendors who have registered their interest in this procurement with the County of San Mateo.
3. All addenda issued by the County of San Mateo shall be considered a part of the specifications submitted to the vendors for preparation of their proposals and should be addressed in the vendor response.

Submission of Proposals

Vendors electing to submit a written response to the proposal must prepare and submit one signed original plus ten (10) printed copies (total of 11) of the proposal. Proposals should be submitted in a sealed envelope or box, marked "Proposal for The County of San Mateo Sheriff's Office Records Management System", and received by the Sheriff's Office no later than Monday, January 22, 2001 at 3:00 p.m. Proposals should be addressed to:

San Mateo County Sheriff's Office
400 County Center
Redwood City, California 94063
Attention: Captain Paul Feyling

Proposals received by the Sheriff's Office after the above date and time will not be considered. Evaluation of the proposals is expected to be completed within ninety (90) days after receipt of the proposals.

Upon receipt of proposals, each vendor shall be presumed to be thoroughly familiar with installation sites and with all specifications and requirements of this proposal. The failure or omission to examine any form, instrument or document shall in no way relieve vendors

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from any obligation in respect to its proposal, in particular with regard to understanding the interfacing requirements as they pertain to the PRC CAD and the CJIS database.

Medium of Document

This RFP is the property of the County of San Mateo. The electronic version of the RFP is available in Microsoft Word for Windows 2000 for use by vendors in preparing their proposal responses. The document may also be downloaded from the County's web site at <http://www.smcsheriff.com>. For written responses, the original format and page numbering of this RFP must be maintained. Appropriate narrative clarification of answers is encouraged as needed. However, narrative should be provided on additional pages in order to maintain the original format and pagination (e.g., Exhibits, Attachments, etc). Any omissions or errors in the submitted proposals are the responsibility of the submitting vendor. **Any other duplication or use of this document is prohibited.**

Notification of Withdrawal of Proposal

Proposals may be modified or withdrawn prior to the date and time specified for proposal submission by an authorized representative of the vendor by formal written notice. Proposals submitted will become the property of the County after the proposal submission deadline.

Independent Contract Agreement

All applicable terms and conditions will be incorporated into any resulting contract. The County reserves the right to obtain the most favorable terms and may require vendors to modify their proposals. In addition, the successful vendor will be required to enter into a written agreement with the County under which the vendor will undertake certain obligations relating to the implementation and performance of the records management system. These obligations include, but are not limited to, the following:

Knowledge of Conditions - Before submitting a proposal, vendors must carefully examine this Request for Proposal and inform themselves thoroughly as to all the difficulties involved in the completion of all work pursuant to the requirements of this document. Pleas

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of ignorance of conditions or difficulties that may be encountered in the execution of the work pursuant to this document as a result of a failure to make the necessary examinations or investigations shall not be accepted for any failures or omissions on the part of successful vendors to fulfill, nor shall they be accepted as a basis for any claims whatsoever for extra compensation or for the extension of time.

Inclusion of Documents - A copy of the Request for Proposal and the proposal submitted in response to this RFP will be required to be included as part of the final contract with the selected vendor. In addition to the completed proposal, a resulting purchasing contract may include, but not be limited to, written correspondence or facsimiles between the County or its consultant and the vendor subsequent to proposal submission.

Accountability - The selected vendor will be required to submit monthly status reports covering such items as progress of work being performed, milestones attained, problems encountered and corrective action taken. The vendor shall attend project status meetings at least once per month during the course of the entire implementation period or scope of the project. Project financial reporting and invoicing will be mutually agreed upon.

Insurance - The successful vendor shall not start work until all insurance requirements meet the approval of the County's Risk Manager. The prime vendor is also responsible for all sub-contractor insurance requirements.

Duplicate copies of original insurance policies including original issued certificates of insurance and endorsements required by this Agreement shall be provided to the County's Risk Manager. The vendor shall agree to furnish and maintain, during the period of this agreement, insurance coverage meeting the following requirements:

- a. Commercial General Liability Insurance at minimum combined single limits of \$5,000,000 per occurrence aggregate for Bodily Injury and Property Damage. Coverage shall include, but not be limited to: blanket contractual; products/completed operations; broad form property damage. Any exclusion for product liability or safety shall be removed. Coverage for Products/Completed Operations must be maintained for at least two (2) years after the work is completed. Contractual Liability must be maintained with respect to the vendor's obligations contained in the agreement.
- b. Workers Compensation insurance at statutory limits, including employers liability coverage at \$1,000,000 per occurrence.
- c. Commercial automobile liability insurance at minimum combined single limits of \$1,000,000 per occurrence for any auto.
- d. Errors and Omissions (i.e. Professional negligence).

Vendor shall provide the following endorsements:

- a. The County of San Mateo shall be named an additional insured (CG 2010 1185) with respect to general liability and automobile liability.
- b. All liability policies shall contain cross liability and severability of interest clauses.

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- c. A waiver of subrogation in favor of the County of San Mateo with respect to the worker's compensation insurance.
- d. The policy shall be endorsed to require the insured to immediately notify the County of San Mateo of any material changes in the insurance coverage.
- e. The contractor's insurance shall be primary coverage as respects the County of San Mateo.

All insurance shall be purchased from an insurance company with a current A.M. Best rating of not less than A:VII. All insurance must be written on forms filed with and approved by the California State Board of Insurance. Certificates of insurance shall be prepared and executed by the insurance company or its authorized agent and shall contain provisions representing and warranting the following:

- a. The company is licensed to do business in the State of California.
- b. The company's forms have been approved by the California State Board of Insurance.
- c. Sets forth all endorsements as required above.
- d. The certificate must also show that the County will receive a registered notice (30) days before any material change in coverage.

Warranty - All equipment and software are to be under warranty for two years from date of acceptance. The warranty shall require the vendor to be responsible for all cost of parts, labor, field service, pickup and delivery related to repairs or corrections during the warranty period.

The vendor warrants that the items furnished will conform to its description and any applicable specifications shall be of good merchantable quality and fit for the known purpose for which sold. This warranty is in addition to any standard warranty or service guarantee by the vendor to the County.

All equipment furnished shall be guaranteed by the vendor for a minimum period of two years against defects in design, material, and workmanship. The warranty period shall begin with acceptance of the completed work. Warranty repairs to correct discrepancies identified during this period will include labor and materials at no cost to the County. Any faulty equipment that, in the judgment of the County, is not reasonably repairable shall be replaced by the vendor as a warranty action.

Bonds - The successful vendor may be required to provide a Payment Bond and Maintenance Bond. Vendors should include any costs for such bonds as separate line items in this proposal. The County will decide whether or not to mandate bonding during contract negotiations.

The Performance Bond shall be required (through completion of warranty) in the amount of 100% of the contract amount at the time the contract is executed. The Performance Bond must be executed by a corporate surety authorized and admitted to do business in the State of California and licensed by the State to issue surety bonds.

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The Performance Bond shall guarantee that the vendor will repair and/or replace any defects in workmanship or materials used therein, for a period of one (1) year from the date of final acceptance of the work by the owner.

The Payment Bond, if required, should be in an amount equal to the total contract price and guarantee payment to all persons supplying labor and materials or furnishing equipment in the execution of the contract.

The Maintenance Bond, if required, should be in an amount equal to the total contract price and shall secure maintenance of the project by the vendor for a period of one (1) year, from the expiration of the one (1) year guarantee of the Performance Bond, as stated above.

Costs - All costs must be detailed specifically in the vendor cost section of the proposal. No additional charges (e.g., for transportation, container packing, installation, training, out-of-pocket expenses, etc.) will be allowed unless so specified in the proposal. Costs should be itemized on appropriate pages. Vendors must fill out all appropriate cost pages in Chapter 5 (or replica of these pages). The County will not be liable for any costs associated with the preparation, transmittal or presentation of any proposals or material submitted in response to this request for proposal.

Payment Schedules - The County will require a payment schedule based on defined and measurable milestones.

Under no circumstances will payments be made in advance of work performed. The County will require substantial holdback of all contract monies (a minimum of 10%) until acceptable performance is demonstrated.

Training - The County and the vendor will develop a mutually agreeable training schedule. Training will be conducted at The County of San Mateo Sheriff's Office facilities and consist of both operational and administrative information. Training is a critical issue for County personnel. In preparing your response, be prepared to address the number of persons to be trained, estimated hours of training and the availability of training medium materials (including photocopies, electronic formats and videotape).

Software Defects - The vendor shall promptly correct all software defects for which the vendor is responsible, within a time period agreed upon by the County and the vendor.

Indemnification - Vendors shall defend, indemnify and hold harmless the County, its officers, officials, employees, designated volunteers (reserves) and agents from or on account of any injury or damage received or sustained by any person or persons during or on account of any operation proximately connected with the provisions of any provided services by vendor, its suppliers or subcontractors, their agents, employees, or for the vendor or their agents names responsibility for, or for both; or by consequence of any negligent act or omission in connection with the same; or by use of any improper materials or by or

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on account of any act or omission of vendor, its suppliers, subcontractors, or the agents or employees

Further, Vendor agrees, at its own expense, to defend, indemnify and hold harmless the County, its officers, employees, agents and designated volunteers, from any and all claims, costs, including attorney fees or liability arising from or based upon the alleged violation of any applicable laws, ordinances or regulations and all suits and actions of every name and description that may be brought against the County which could result from any operation or activity under this contract to be awarded whether such activity or operation be performed by vendor or subcontractor or by anyone directly or indirectly employed by either.

Patents and Royalties - Vendor, without exception, shall indemnify and hold harmless the County, its officers, officials, employees, designated volunteers (reserves) and agents from any liability of any nature or kind, including costs and expenses for or on account of trademark, copyrighted, patented, or non-patented invention, process or article manufactured or used in the performance of the contract, including its use by County. If the vendor uses any design, device or materials covered by patent, trademark or copyright, it shall be mutually understood and agreed without exception that the proposal prices shall include all royalties or costs arising from the use of such design, device or materials in any way involved in the work.

Resolution of Disputes -The vendor and County agree that in the event of any controversy, dispute, or claim between the County and the Vendor arising out of, in connection with or in relation to the interpretation, performance or breach of this agreement, including but not limited to any claims based on contract, tort or statute before filing a lawsuit the parties agree to submit the matter to Alternative Dispute Resolution pursuant to the laws of the State of California. The vendor and County shall select a third party arbitrator or mediator. All forms of Alternative Dispute Resolution may be used except binding arbitration. The proceedings shall be conducted in accordance with the laws of the State of California.

Other - The County will require vendors to provide, under the final contract such items as performance guarantees for response time, capacity guarantees, system availability, rights to source code, and system acceptance criteria. The selected vendor should be prepared to commit to these items.

The selected vendor may offer product enhancements, either in quantity or feature, so as to make its bid more appealing to the County.

Errors and Omissions

The vendor shall point out to County, and not be allowed to take advantage of any obvious errors and/or omissions in these specifications or in the vendor's specifications submitted with his/her proposal.

Rights to Pertinent Materials

All responses, inquiries, and correspondence relating to this RFP and all reports, charts, displays, schedules, exhibits, and other documentation produced by the vendor that are submitted as part of the proposal shall become the property of the County upon receipt by the County.

Government Code Sections 6250 et. Seq., the “Public Records Act,” defines public record as any writing containing information relating to the conduct of the public’s business. The Public Records Act provides that public records shall be disclosed upon written request, and that any citizen has a right to inspect any public record, unless the document is exempted from the disclosure requirements. The County of San Mateo cannot represent or guarantee that any information submitted in response to the RFP will be confidential. If the County of San Mateo receives a request for any document submitted in response to this RFP, it will not assert any privileges that may exist on behalf of the person on business submitting the proposal. It is the responsibility of the person or business entity submitting the proposal to assert any applicable privileges or reasons why the document should not be produced.

News Releases

News releases and all other related information (e.g., recommendations, etc.) pertaining to this project shall not be made available to anyone without prior approval by the County of San Mateo.

Right to Reject Proposals

The County reserves the right to reject any and all proposals or any part of any proposal, to waive minor defects or technicalities, or to solicit new proposals on the same project or on a modified project which may include portions of the originally proposed project as the County may deem necessary in its interest.

The County reserves the right to cancel the award of a contract at any time should the vendor fail to comply with the terms and conditions of this RFP. In all matters relating to

the cancellation of this RFP, the County shall be the sole judge of its best interest and vendor compliance with terms and conditions.

Demonstrations

As part of the evaluation process the County will require demonstrations of similar systems and/or specific applications that are installed and operational. Finalist vendors should be prepared to demonstrate applications and answer questions with the San Mateo County Sheriff's Office Steering Committee. All costs of the demonstrations are the vendor's responsibility. Additionally, the County may require visits to existing installations of comparable systems.

Evaluations

An evaluation team, composed of representatives from the County of San Mateo, will evaluate proposals on a variety of quantitative and qualitative criteria. *The lowest price proposal will not necessarily be selected.*

Selected vendors may be invited to make oral presentations to the evaluation team. The vendor representative(s) attending the oral presentation shall be technically qualified to respond to questions related to the proposed system and its components.

The criteria upon which the evaluation of the proposals will be based includes, but is not limited to, the following.

1. Adherence of the proposal to the format specified herein; all required information must be provided as indicated herein.
2. Completeness of the proposal.
3. Quality and depth of references.
4. Previously demonstrated ability to successfully install computer and communications systems with emphasis on the specific applications required by the County.
5. Level of service and responsiveness that the vendor commits to providing to the County of San Mateo.

6. Financial stability and resources of the vendor.
7. Experience and technical expertise of staff.
8. Design, capability, and functionality of system and application software as determined by the evaluation team.
9. Current availability and ability to demonstrate installation of the proposed software applications required by the County.
10. Level of integration between applications and demonstrated interfaces with external systems/devices.
11. Capability, design, reliability, warranty and expandability of proposed hardware.
12. Economic feasibility and justification of all costs.
13. Vendor willingness and ability to negotiate a contract acceptable to the County of San Mateo.
14. Feasibility, timeliness and quality of software implementation schedule and conversion plans.
15. Level of assistance to be provided to the County by the vendor during the implementation process as part of the contract.
16. The number of hours and extent of user training.
17. Quality and extent of the documentation to be provided.

Each proposal will be carefully reviewed by the evaluation team based on these 17 criteria. At least two vendors will be invited to present an oral demonstration of their system's capabilities.

Exceptions to the RFP

The format of the RFP must be followed and all requested information must be submitted as indicated. However, the County is receptive to any additional suggestions pertaining to phasing and scheduling of application development, equipment installation and software implementation, additional related capabilities, and any alternative methods of obtaining any portion of the system requirements.

Discrimination and Equal Opportunity

It is the policy of the County of San Mateo to afford all people an equal opportunity to bid on any contract being released by the County. The County of San Mateo has a policy that prohibits discrimination against any person because of race, color, creed, marital status, religion, age, sex, sexual orientation, national origin or disability in the award or performance of any contract. The County of San Mateo will require its employees, agents and contractors to adhere to this policy.

Board of Supervisors Approval

The Board may, at its discretion, reject, accept or modify any proposal recommended to it by the evaluation team.

Immigration Laws

Vendor shall take all steps necessary to ensure that all its employees and any sub-contractors are authorized to work in the United States as required by the Immigration Reform and Control Act of 1986.

Other General Conditions

- **Current Manufacture** - Equipment furnished under this specification shall be standard products of manufacturers regularly engaged in the production of such equipment and shall be the manufacturer's latest design. All material and equipment offered shall be new and unused. All equipment shall be UL approved and shall meet FCC acceptance (A, B or both).
- **Prior Use** - The County reserves the right to use equipment and material furnished under this proposal prior to final acceptance. Such use shall not constitute acceptance of the work or any part thereof by the County.
- **Current Version** - "Packaged" application and system software shall be the most current published or vendor's version in use, as of date of system delivery.
- **Changes** - No alteration in any of the terms, conditions, delivery, price, quality, or specifications of items ordered will be effective without the written consent of the County.

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- **Penalties** - The County may wish to include in the final contract penalty provisions for non-performance such as liquidated damages.
- **Unavailability of Funds** - If funds are not available to the County, this award will be postponed, canceled or phased. The County makes no guarantee by release of this RFP that any proposals will be selected and/or funded.
- **Compliance with General Rules and Laws** - Vendor shall be familiar with the nature and extent of the specifications, site conditions, traffic and safety requirements, and comply with all federal, state and local laws, ordinances, rules and regulations. Vendor shall determine how compliance with requirements, laws, rules, and regulations will affect vendors' cost, progress, or performance of the work.
- **Background Checks** - The successful vendor will be required to authorize the investigation of its personnel proposed to have access to non-public areas of the Sheriff's Office facilities. The scope of the background check is at the discretion of the Sheriff's Office. Proposed staff will be required to provide their full legal name, date of birth and social security number.
- **Notice to Proceed** – Will be issued after the County receives the fully executed contract.

Key Events and Projected Dates

Listed below are target dates by which the County expects certain events to be completed:

Release of RFP to Vendors	December 15, 2000
Deadline for Submission of Written Questions	December 29, 2000
Vendor Pre-Proposal Conference and Site Visit (2:00 p.m.)	January 3, 2001
Proposal Submission Deadline (3:00 p.m.)	January 22, 2001

Chapter 2

Historic Information, Volumes

Chapter
2

Historic Information, Volumes

Background



Located just south of San Francisco, with a population of 750,000, San Mateo County encompasses more than 550 square miles and contains twenty-four cities. The Sheriff's Office provides dispatch and records management services for some cities within the County. Their use of the existing and future technology has been analyzed and included in the volumes section of the RFP.

In terms of law enforcement records management, the San Mateo County Sheriff's Office records bureau processes in excess of 16,000 case reports and 4,000 restraining orders per year. These documents are processed by a staff of 34 records technicians, each with a variety of records management responsibilities.

Historically, the Sheriff's Office has processed criminal and civil records manually, resulting in inefficiency and redundant data entry. To make criminal record data available to employees, records personnel routinely optically scan crime-related documents into a database where they are made available via the local Novell network. Records personnel reference and catalogue each report, providing descriptive indexing. However, the application does not index the data contained within the scanned images, thereby preventing useful searching, amendment and other analysis.

To compensate for the lack of an RMS, many standalone desktop applications have been developed for various purposes. However, none of the eighteen applications are interfaced with each other.

Recognizing the limitations of the current environment, the Sheriff's Office has embarked on an initiative to implement a modern law enforcement records management system that

will reduce inefficiency, increase accuracy and provide critical tools to each of the more than 600 Sheriff's Office employees.

As an initial step in implementing a modern records management system, the Sheriff's Office retained Cit Com, Inc., a consulting firm specializing in public safety software procurement, in March of 2000 to prepare a conceptual design document and provide guidance in the procurement process. The following RFP is the result of nine months of research and documentation of functional requirements.

Current Application Environment

Existing CAD

Presently, County Communications is using a COBOL PRC computer aided dispatch (CAD) solution purchased in 1993. The CAD system has been heavily customized to meet the demands of the multitude of agencies served by the system including the Sheriff's Office, four police agencies, seventeen fire agencies and countywide emergency medical services (EMS).

Existing RMS

Adapting to the absence of an integrated records management system, the Sheriff's Office has deployed a host of standalone applications to meet the needs of specific user groups. The following categories describe those applications currently in use that may be impacted by the introduction of a records management system (non-impacted applications are not shown).

FileMagic Plus

To facilitate viewing of crime report data, the records bureau, in March 1995, adopted a procedure of optically scanning crime reports and saving the images in FileMagic Plus v4.0 (a database application). The FileMagic files are available via the Sheriff's Novell network to authorized personnel. Records personnel reference and catalogue each report, providing descriptive indexing. However, the application does not index the data contained within the scanned images, thereby preventing useful searching, amendment and other

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analysis. The Sheriff's Office anticipates that the proposed optical imaging solution will be capable of archiving existing file magic data in addition to operating as a fully functional imaging system, integrated with RMS.

FileMaker Pro

Similar to the use of FileMagic, FileMaker Pro is utilized for managing juvenile case reports. Additionally, the application is used by patrol as a crime report database stored on each assigned laptop. The reports are available for viewing by authorized personnel only.

Criminal Justice Information System (CJIS)

CJIS is a multi-jurisdictional criminal justice system, serving the counties of Marin, Monterey, Kern, San Joaquin and San Mateo. The system offers several modules that are used inconsistently amongst the participating agencies, including: records management for law enforcement, courts, district attorney's office and jails¹.

In San Mateo County, CJIS is used as the primary data management application for the Courts, the District Attorney's Office and the Jails. CJIS is available at select Sheriff's Office workstations.

The system has been in use for approximately fifteen years and is highly customized. CJIS is not a commercially available product and is supported by the County's Information Services Division (ISD) in conjunction with a contract consultant. Vendors will be required to interface their RMS product with CJIS primarily to ensure that master name records are supplied to the RMS. We anticipate that vendors will have substantial information requirements regarding the CJIS interface in order to accurately cost out this aspect of the proposal. Therefore, we have allocated time during the scheduled pre-proposal conference for vendors to speak with ISD specifically about the CJIS interface.

¹ These are the primary applications, other modules exist.

Technology for Productivity (TFP)

TFP serves as the primary photo imaging system for the Sheriff's Office with a single server, seven workstations and five capture workstations. TFP is interfaced with CJIS for a twice-daily exchange of descriptive data.

Autocite

The Autocite product compiles data from citations into a centralized database, offering automated bail and court appearance information as well as search capabilities. Interfaces with other Sheriff's Office applications are under development.

LiveScan

Livescan electronically captures fingerprints, mugshots and arrest information with automated verification of identity through an automated fingerprint identification system (AFIS). The LiveScan application is interfaced with CAD ID.

Intergraph Records Management System (I/LEADS)

Utilized by the Sheriff's Office employees assigned to the San Francisco International Airport, I/LEADS is a commercially available records management system offered by Intergraph Public Safety.

RIMS

Utilized by the Sheriff's Office employees assigned to East Palo Alto, RiMS is a commercially available records management system offered by Dispatch Automation (a sole proprietorship owned by Tony Richards).

Microsoft Access

The Sheriff's Office technical support staff has accommodated many user requirements for entering, storing and retrieving data with the use of Microsoft Access. There are more than a dozen standalone uses of access.

Report Writing Templates

Some PC's and laptops are equipped with stored templates of police reports in Microsoft Word format. No automated report writing software exists.

Volumes

This section presents application volume information for sizing the processing capabilities of the RMS. Estimated five-year volumes are included and will be used as the baseline for guaranteeing response time requirements. Proposed system equipment is identified indicating the specific numbers of devices to be included in vendor proposals. System performance will be evaluated based on a fully operational RMS with the maximum number of records for all applications stored on-line.

RMS Connectivity

The Sheriff's Office will require RMS connectivity to the following physical locations. Servers should be located at the 400 County Center address, with remote connectivity to the remaining locations (achieved by utilizing the proposed network infrastructure located in Appendix C).

Department	Location	Licenses
Records, Detectives ² , Administration	400 County Center, Redwood City (3 rd Floor)	60
Court	400 County Center, Redwood City (2 nd Floor)	15
MaGuire Jail Facility	330 Bradford Street, Redwood City	5
San Francisco Airport	SFO	4
Crime Lab	31 Tower Road, San Mateo	10
Women's Correctional	1590 Maple Street, Redwood City	5

² Excluding Narcotics which are located off site at a location to be disclosed to the finalist vendor only – please factor an additional six licenses into cost calculations

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Center		
Work Furlough Facilities	1580 Maple Street, Redwood City	5
Sheriff's Work Program	1580 Maple Street, Redwood City	5
Brisbane	388 88'th Street, Broadmoor	10
Broadmoor	50 Park Lane, Brisbane	5

Vendors should also provide licensing costs for 50 mobile workstations recognizing that these workstations are not currently live. The licensing should allow for use of the proposed report writing application and variable access to RMS files for use in the field.

Proposed System Equipment

Whereas the selected vendor will be required to utilize the existing hardware wherever possible, the County anticipates the vendor will provide specifications and pricing for the following application-specific hardware:

<u>RMS Equipment</u>	<u>Minimum Equipment</u>
Programmer Workstations	As Required
Diagnostic Workstations	As Required
Laptop Workstations	15
Barcode Readers	5 Portable, 5 Fixed

Statistical Information

	<u>Current</u>	<u>In 5 Years</u>
<u>DEMOGRAPHIC</u>		
Total Area (square miles)	460	460
<u>COMPUTER AIDED DISPATCH</u>		
Call Taker/Dispatch Positions	13	15
Supervisor Positions	11	12

County of San Mateo RMS RFP
Chapter 2: Historic Information, Volumes

DISPATCHED CALLS FOR SERVICE (PER YEAR)

Total:	85,000	100,000
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OTHER VOLUMES

Number of Reports (per year)	45,000	65,000
Sworn/Uniformed Personnel	475	515
Civilian Personnel	150	175
Number of Property/Evidence Articles Processed (per year)	75,000	85,000

Chapter 3

Vendor Response

Vendor Response

A: INTRODUCTION

As previously stated, all responses must be submitted on this form (or its copy). This section establishes the format and specific content for vendor response to this proposal, as follows:

Subsection B - Asks vendors general information questions regarding their company and subcontractors. Additionally, it provides a checklist to ensure vendor compliance with required RFP responses.

Subsection C - Requires vendor reference information. Vendor subcontractor reference information should also be supplied, and included in the vendor's proposal.

Subsection D - Requires a summary of the applications to be proposed, the terms and specifications, documentation, maintenance and installation and training for the application software.

Subsection E - Requires specific information regarding the Computer Hardware and System Software being proposed.

Subsection F - Requires specific information regarding the Network and Communications Architecture being proposed.

Subsection G - Requires specific information about the plan for implementing the proposed applications providing required training to user personnel.

Subsection H - Requires information regarding warranty and maintenance services to be provided.

Subsection I - Requires information regarding vendor contractual responsibilities.

Subsection J - Requires specific pricing information regarding the Computer Hardware and System Software being proposed.

Subsection K – Requires information on any exceptions to RFP terms and conditions as outlined in Section I.

Vendors are required to respond to all questions in one of three ways:

- (a) Provide information where requested directly in the spaces indicated; or
- (b) Provide information requested in an attachment clearly indicating the page number and item number to which responding; or
- (c) Instead of an attachment, provide the information requested (e.g., description, explanation) immediately below the question or request for information. A diskette copy of the RFP can be provided.

Adherence to the overall format of the RFP is required. Vendors who omit responses may be deemed unresponsive and risk being eliminated.

2. Checklist

- a. The following checklist has been included to ensure vendor compliance to the required RFP responses. Please indicate whether each item specified is included in your response and cross-reference to the page where the item is located.

<i>RFP</i>		<i>Included</i>	<i>Proposal</i>
<i>Section</i>	<i>Item</i>	<i>(Yes/No)</i>	<i>Page Refer- ence</i>
3-B	Financial Statements	_____	_____
3-C	Reference List	_____	_____
3-D	Interface Approaches	_____	_____
3-C	Documentation Table of Contents	_____	_____
3-E	Computer Room Layout	_____	_____
3-E	Technical Brochures	_____	_____
3-E	Hardware, System Software & System Administration Training Course Outlines	_____	_____
3-F	Proposed System Diagram	_____	_____
3-G	Implementation Schedule	_____	_____
3-G	Resumes	_____	_____
3-G	Acceptance Test Plan	_____	_____
3-I	Contracts for Hardware Purchase and Maintenance	_____	_____
3-I	Contracts for Software Purchase and Maintenance	_____	_____

- b. If any of the requested items are not included, please explain the reason. Proposals may be rejected if any requested item is not completed and submitted.

3. Vendor Services Overview

Please fill in the appropriate company name in the column next to the product or service to be provided by that vendor.

	<i>Provided By (Vendor Name)</i>
a. Prime contractor/project management services	_____
b. RMS hardware/software	_____
c. Report writing software	_____
d. Optical imaging hardware/software	_____
e. Application software programs	_____
f. Other software (describe) _____	_____
g. RMS hardware maintenance services	_____
h. Report writing hardware maintenance services	_____
i. Optical imaging hardware maintenance services	_____
j. Application software maintenance/support	_____
k. Workstations/PCs/Printers	_____
l. PC/Workstation/Printer maintenance services	_____
m. Training (describe if necessary) _____	_____
_____	_____
n. Other _____	_____
o. Other _____	_____

C. VENDOR REFERENCES _____ (Vendor Name) Total Installed Sites: _____

Instructions: Complete the reference list as indicated for at least 10 sites that are currently using the system(s) that would be proposed by the vendor. Provide total number of installed site with similar configuration.

Provide a list of all reference sites. List attached? Y/N _____

<i>NAME, ADDRESS, CONTACT, TITLE, PHONE NUMBER</i>	<i>Configuration Installed</i>	<i>Approximate Service Area Population</i>	<i>Operational Applications</i>	<i>Installation Dates</i>
(1)				
(2)				
(3)				

C. VENDOR REFERENCES _____ (Vendor Name) Total Installed Sites: _____

<i>NAME, ADDRESS, CONTACT, TITLE, PHONE NUMBER</i>	<i>Configuration Installed</i>	<i>Approximate Service Area Population</i>	<i>Operational Applications</i>	<i>Installation Dates</i>
(4)				
(5)				
(6)				
(7)				

C. VENDOR REFERENCES _____ **(Vendor Name)** **Total Installed Sites:** _____

D. SUMMARY OF APPLICATIONS

A summary of the major application software requirements is provided below:

Law Enforcement Records Management System (RMS)

The law enforcement RMS should access multiple databases (internal and external) and handle processing requirements for the San Mateo Sheriff's Office. The system should be user-friendly and support extensive ad-hoc reporting capabilities based upon open-systems architecture. Some of the key features are as follows:

General System Features

- ***Use of Graphical User Interface (GUI) and "Windows" Technologies*** - The system should be designed for ease of use, taking advantage of industry standard graphical interfaces. As only one example, the use of "pull down" fields with automatic defaults and automatic fill (i.e., character matching).
- ***Flexible Search Capabilities*** - The new system should provide for flexible search capabilities, e.g., phonetic/soundex, text, and field searches. Additionally, these systems should provide the ability to search by descriptors such as names/aliases; physical characteristics; vehicle information; geographic locations; and others.
- ***Ad-Hoc Reporting Capabilities*** - System should provide advanced and flexible query and search capabilities through user-friendly, ad-hoc reporting.
- ***"Super" Query Capabilities*** - Ability to query multiple databases, e.g., local and state name databases, through use of a single transaction.
- ***Integration of Commercial and Departmental Electronic References*** - Electronic access to reference materials such as maps, general orders (department specific), legal source book, penal codes, etc.
- ***Electronic Routing of Documents*** - Ability to define document workflow/routing for review, approval, or informational purposes.
- ***Security*** - Flexibility to secure data based on various parameters, e.g., user ID, database field, etc. Information regarding juveniles should be secured from the public.
- ***Data Entry Interface Flexibility*** - Ability to accommodate either text-based or form-based entry. For example, "straight" data entry functions may be faster with text-based entry forms. Also, prompting for required data fields is desired.
- ***Streamline Data Entry*** - Reduce redundant data entry. Internal and external databases should be "linked" to the greatest extent possible to take advantage of common database elements such as names and locations, and to electronically transfer data

Chapter 3: Vendor Response

from and to other systems as appropriate. For example, property records should be “linked” to appropriate case records.

- **Validation and Edits** - Accommodate multi-agency, multi-jurisdiction data edits. Standardize where feasible, e.g., use of crime codes, location abbreviations, addresses, etc.
- **Consolidated Workstation Access** - Access to pertinent applications/systems should be provided through a single end user device (i.e., PCs, laptops, etc.). For example, access to Department of Justice (DOJ) law enforcement databases, RMS applications, office automation, etc., could all be performed from a single workstation.
- **Open System Architecture** - The system should be open, allowing for access to as many regional information sources as possible. The database should adhere to open database connectivity (ODBC) standards. Data communication protocols should consider de-facto standards such as TCP/IP. These will facilitate the integration with external systems and minimize the possibility of early obsolescence and dependence on a single vendor.
- **Loosely Coupled Interfaces** - Interfaces with other systems should be designed so that upgrades to one system do not significantly impact other systems. The interfaces should utilize standard data communications protocols and message formats, particularly with regard to CJIS.
- **Redundant or Fault Tolerant Processing Systems** - To the greatest extent possible, and where practical, single points of potential failure in hardware and network components should be eliminated. A redundant or fault-tolerant server design is not required, but is highly desired.
- **System Availability** - Automated Field Reporting (AFR) should be available to field officers 24 hours per day, 7 days per week. High availability (i.e., 99.99% of the time) of the Records Management System (RMS) is also critical.
- **Data Conversion** - Several standalone databases have been created for specific users within the Sheriff’s Office. Most, if not all, have been created in MS Access. Proposing vendors are encouraged to provide quotes for data conversion from identifiable applications.

Specific Records Management Features

- **CAD Connectivity** - Interfacing the existing CAD system to the base RMS will dramatically decrease redundant data entry, improve accuracy and streamline the flow of law enforcement records.

- **System Interfaces** - These interface requirements include capabilities for query of pertinent data (e.g., CJIS - District Attorney, Court, Jail) and exchange of data to minimize redundant data entry (e.g., download from CAD). System interfaces will likely include:
 - CLETS/DOJ/NCIC/AWS
 - CJIS (Jail Management, Court Management, District Attorney's Module)
 - Probation Data System (PDS)
 - AFIS
 - Livescan
 - DMV photo database
 - Autocite
 - I/LEADS
 - RiMS
 - IFAS (County Finance)
 - TFP
 - FACES
 - County Building and Safety (for floor plans)
 - CAL ID and ultimately CAL Photo/CAL Gang
 - TMS
 - County GIS

- **Comprehensive and Integrated RMS Modules** - A complete RMS system that provides integrated modules for law enforcement records functions, including:

Master Name File: Incorporates subject records from various sources. Individuals identified in incident or crime reports (suspect, victim, witness, complainant, department names, etc.) would be permanently stored. Field interview records, warrants, missing person reports and all other name based data entry would be indexed to this file. The software would provide a menu for name search both by exact spelling and by phonetic (Soundex) search capability.

Master Vehicle Index: Incorporates vehicle records from various sources. Vehicles identified in incident or crime reports would be stored. Additionally, vehicle attributes would be stored whenever CLETS inquiries are accessed that involve vehicles. The software would provide a menu for searching for vehicles by selected attributes including partial license plates/VINs and support CLETS/SVS entry from the application.

Incident and Crime Reporting: Includes investigation of non-criminal incidents, such as traffic and bicycle accidents, as well as documenting criminal activity. Incident reports may be completed for any incident that requires

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documentation. Normally, incidents would originate from dispatched calls for service. The disposition of the incident from CAD would determine whether a report would accompany the deputy's response.

An automatic and sequential report number would be obtained from CAD that would provide a single case number. The dispatch generated incident information would be transferred to the records management system for supplemental data entry and summary analysis. The software would provide the ability to request report numbers from selected workstations outside the communications center, including Records. Additional incident report data entry would supplement the basic transferred CAD incident record. It is currently envisioned that Uniform Crime Reporting (UCR) and modus operandi (MO) coding and data entry would be completed automatically based on the information supplied by dispatch and the assigned deputy. Incident and subject information would be purged according to County record keeping criteria as well as various statutory requirements (federal and state).

The software would produce the required monthly Uniform Crime Reports (UCR) for the County. The reports will meet all Federal UCR requirements and should contain all required data and provide an analysis of UCR Part I and Part II Crimes. Statistics would be reported for the specified month, year-to-date and the previous month; for the month specified during the previous year and the previous year-to-date, as well as the percentage change. Additionally, the system will be capable of automatically producing the required monthly arrest and citation reports.

Changes made to records in the past (beyond one month) would automatically result in supplemental records that are incorporated in the current month's tally. Any UCR report would have the capability of being rerun as many times as desired. There would also be a place for the preparer's digital signature on all reports. The reports would be menu selectable and access the offense, arrest, juvenile, property and vehicle files in order to generate specific reports. The system would also be flexible enough to support federally mandated Incident Based Reporting (NIBRS).

Traffic: Application requirements for traffic analysis include the recording and correlation of accident reports and enforcement activity (citations). The system must capture calls for service to non-injury collisions, from CAD, to include overall traffic enforcement analysis reports with moving citations, traffic arrests for location, time and deputy involved.

Property and Evidence: This module involves the receipt, tracking, storing and disposition of all property received and secured by the Sheriff's Office. All property entering the department is associated with a written incident report describing how the property was obtained.

As property and evidence are received, descriptive, storage and receipt information is recorded into the automated system. When applicable, serial

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numbers would automatically be entered into CJIS/NCIC. The system will enable bar code reading to automate property transactions. Assignment of serial numbered bar code labels would accompany initial processing of the property by the Officer booking the item. Movement of the property would be tracked as the items are checked in, checked out, moved, disposed of, or released based upon the bar code.

Building upon the core functionality of the property evidence module is the crime lab module. Taking bar coding a step further, various types of tracking resources may be deployed to monitor the status of evidence as it is processed. Upon supervisory approval, the status of objects may be posted to the system for access by authorized personnel.

Personnel: The software should be capable of capturing and managing individual personnel data, and recruitment data. Also, telephone numbers, emergency contact information and special certifications may be tracked.

Personnel data and recruitment information would provide for individual career history and personal information. Personnel modules would be integrated with other CAD/RMS modules, e.g., employee data entered in the Personnel file should also update CAD unit roster files. Visibility of personnel data would be controlled by the system administrator for confidentiality.

Training: For use by the training staff, the module provides for automated storage of training-related files and materials. Most modules are flexible and adapt to the organization's needs, including one-time training, special training, recurring training, POST reimbursement (including automatic reimbursement request printouts), firearms proficiency, etc. The module would include an automated weekly, monthly and annual training calendar to prepare the training staff for upcoming training events.

Field Interviews: Utilizing the format of existing manual field interview forms, the application will provide an on line format for the entry of field contacts and the circumstances surrounding the contact. The information will be updated into RMS for access by investigators, dispatch and other authorized personnel.

Case Management: As a tool for investigators and supervisors, the case management tools provide for the efficient management of caseload. The module will continuously monitor filed reports in RMS for any reports that require investigative follow up. Based on the information entered by the deputy and records, the system will automatically assign solvability factors to the report and make recommendations for assignment. Most case management modules allow detectives to enter investigative updates through a worksheet format and to keep track of their progress in solving crimes.

Crime Analysis: Comprehensive, flexible search and select criteria with ability to conduct analysis on all database elements. Geographic crime analysis tools (along with an interface to the County's GIS) should be included.

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Crime Lab: The crime lab application involves the receipt, tracking, storing and disposition of all articles received and secured by the crime lab. The Sheriff's Office and 30 external agencies submit approximately 50,000 articles to the crime lab for processing each year. The proposed solution needs to offer a tight integration with RMS, an industry-leading bar code interface and a variety of crime-lab specific functionality.

Digital Mapping Capability: The County requires the ability to extract address-based and other geographic-related data from the new RMS. Application software that would "geocode" (i.e., provide coordinate points for plotting) location information for "plotting" on an off-the-shelf geographic information system (e.g., Arc View) is highly desired. This would provide for crime analysis functions such as trend analysis and "hot spots."

Automated Report Writing

Users will enter data into a single form that can share its data with all forms that are related. Dynamic forms will extract relevant data from the original dispatcher entry fields into a primary incident report. At the user's discretion, the data from the primary report may be accepted, amended or shared with any additional individual reports (supplements, arrest, etc.) automatically. The report writing module will include all the features commonly found in word processing software such as type ahead, spell check, word wrap, etc. The module will enable digital signature authorization for report approval. The report writing module will be installed in field mobile data units for consistency of training and use.

Imaging and Document Management

Capitalizing on the existing use of FileMagic, the Sheriff's Office will continue to scan images, e.g., documents, photos, and others, associated with crime reports and cases. The selected vendor will be required to adhere to recently adopted countywide standards (see Appendix B: EID Report for details) as well as various statutory requirements (federal, state, penal, etc.).

E. COMPUTER HARDWARE AND SYSTEM SOFTWARE

1. Server Equipment

Please provide the following minimum information for each component of the system which will function as a server (i.e. application server, database server, file/print server, message switch, etc.)

a. System Information

- (1) Vendor _____
- (2) Model _____

b. CPU

- (1) Type _____
- (2) Speed _____

c. # CPU's (if multiprocessor capable)

- (1) Proposed _____
- (2) Maximum supported _____

d. Memory

- (1) Proposed _____
- (2) Maximum supported _____

e. Disk space capacity

- (1) Proposed _____
- (2) Maximum _____

f. Disk Array Configuration Proposed? Y/N _____

- (1) RAID Level(s) supported _____
- (2) Hot-swappable drives/components included Y/N _____
- (3) Automatic, on-line data recovery supported Y/N _____

g. Number of users supported _____

h. Number of transactions supported per second _____

i. Indicate any additional servers in the same product line that represent fully software compatible, field upgradable, systems for future growth and capacity.

-
- j. Provide the cost to upgrade to the next higher server in the product line:
-

2. ***User Workstation Requirements***

Please provide both the minimum required and recommended configurations for user workstations that will allow for proper performance of all proposed application functionality

a. CPU Type/Speed

- (1) Minimum required _____
(2) Recommended _____

b. Memory

- (1) Minimum required _____
(2) Recommended _____

c. Disk Space

- (1) Minimum required _____
(2) Recommended _____

d. Display resolution(s)

- (1) Minimum required _____
(2) Recommended _____
(3) Supported _____

e. Network adapters

- (1) Recommended _____
(2) Supported _____

f. Network client software/drivers

- (1) Required _____
(2) Supported _____

g. Other hardware

- (1) Required _____
(2) Recommended _____

- h. Operating System(s)
 - (1) Recommended _____
 - (2) Supported _____

- i. Additional applications/software
 - (1) Required _____
 - (2) Recommended _____

- j. Other _____

3. ***Miscellaneous equipment***

Please provide make, model, description and quantity of any additional equipment that is required or recommended for successful implementation of the proposed systems.

	Make	Model	Qty.	Description
Equipment racks/ cabinets	_____	_____	_____	_____
	_____	_____	_____	_____
Uninterruptable Power Supplies (UPS)	_____	_____	_____	_____
	_____	_____	_____	_____
Other (describe as necessary)	_____	_____	_____	_____
	_____	_____	_____	_____

4. ***Site Preparation***

- a. Power Requirements:

Please indicate electrical power requirements for centralized equipment:

- (1) Voltage _____
- (2) Amperage _____
- (3) Wattage _____
- (4) Receptacle Type(s) _____
- (5) Is any special power conditioning required? Y/N _____

If so, specify: _____

- b. Specify the amount of time the proposed UPS is capable of providing emergency power for all proposed centralized hardware components: Minutes _____
- c. Does the proposed UPS provide at least 10% additional capacity for future hardware? Y/N _____
- d. Specify heat output in BTU's per hour, of the complete computer room hardware configuration. BTU's _____
- e. How much floor and access space shall be set aside for the complete computer room hardware configuration (i.e. 10' x 10', 8' x 10', etc). Please provide a diagram depicting equipment footprints and/or rack configurations as an attachment.

Footprint _____ ft. by _____ ft.

Diagram attached? Y/N _____
- f. Is any other site preparation necessary to ensure success of the installation? Describe.

5. ***System Software***

- a. Please provide the following minimum information for each proposed component that requires an operating system or embedded software.

Software Type (i.e., Unix, Windows NT, etc.)	Vendor	Versions(s)
_____	_____	_____
_____	_____	_____
_____	_____	_____

- b. Provide software description, vendor, and version information for all other system software required for successful operation of the proposed system (i.e., databases, report-writers, utilities, etc). Costs should be clearly identified in the Vendor Costs section.

Software	Vendor	Versions(s)
_____	_____	_____

6. ***Database Management System***

- a. Identify the database management system(s) used for all components of the proposed system. Include any database formats considered to be “embedded” (i.e. Jet, CodeBase, and other API-based DBMS software).

System Component	Database Management System Used
_____	_____
_____	_____
_____	_____

- b. ***All databases are compliant with open system standards such as ODBC*** Y/N ____
- c. ***All databases use the relational database model*** Y/N ____
- d. ***Data dictionaries and schema information are provided to client for all databases*** Y/N ____

7. ***User Licenses***

- a. Please provide the following minimum information for each proposed component that requires a user license. All costs associated with user licenses should be clearly identified in the Vendor Costs section.

Licensed Component	Type (concurrent, logged-on, Work-station, etc.)	# Proposed	Max # supported
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

8. **Backup Subsystem**

Please provide the following information on the proposed backup solution. If multiple backup devices/subsystems are required, provide all information for each subsystem and indicate which system components each backup subsystem is associated with.

- a. Media Type (i.e., DAT, DLT, etc.) _____
- b. Autochanger proposed? Y/N _____
Number of cartridges supported _____
- c. Hardware compression supported? Y/N _____
Compression ratio _____
- d. Media Capacity per cartridge
Without compression _____
With compression _____
- e. Backup subsystem capacity
As proposed _____
Total expansion capacity _____
- f. Data Transfer/Access Speed (MB/s)
Writing _____
Reading _____
Seeking/Positioning _____
- g. Total estimated time to backup proposed configuration? _____
- h. Backup subsystem can backup entire system without operator intervention? Y/N _____
- i. Hardware, operating system, applications and backup subsystem all support fully automated, unattended backups? Y/N _____
- j. Backup subsystem supports network backup of multiple servers, databases, and applications? Y/N _____

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- k. Is the backup subsystem being proposed as the single backup subsystem for all major system components (RMS, Report Writing Software, Optical Imaging)? Y/N _____
- l. Are graphical or menu-driven utilities included to allow operation of backup system by relatively novice users? Y/N _____
- m. Describe additional agents, utilities, management software available for use in conjunction with the proposed backup subsystem? _____
- n. Can the system perform full, partial, incremental, and differential backups?
 - (1) Full Backups Y/N _____
 - (2) Partial Backups Y/N _____
 - (3) Incremental Backups Y/N _____
 - (4) Differential Backups Y/N _____
- o. Does the system support full on-line operation of all applications while backups are being conducted? Describe. Y/N _____

9. ***Additional Information***

- a. Please provide a diagram or diagrams showing, in detail, all proposed hardware and networking components and connectivity. The diagram(s) shall include centralized computer room components as well as an overall representation of the network and peripherals. Any component which is listed in Hardware Costs shall be included and identified in the diagram(s). Diagram(s) attached? Y/N _____
- b. What delivery lead time (from date of contract signing) is anticipated for hardware? Days _____

F. NETWORK AND COMMUNICATIONS ARCHITECTURE

1. Network Equipment

Please provide information (make, model, quantity, description and function) for all networking components proposed for LAN and WAN connectivity.

	Make	Model	Qty.	Description
Routers	_____	_____	_____	_____
	_____	_____	_____	_____
Switches	_____	_____	_____	_____
	_____	_____	_____	_____
Hubs	_____	_____	_____	_____
	_____	_____	_____	_____
CSU/DSU	_____	_____	_____	_____
	_____	_____	_____	_____
Remote Access	_____	_____	_____	_____
	_____	_____	_____	_____
Other	_____	_____	_____	_____
	_____	_____	_____	_____

2. Network Infrastructure Standards

a. The proposed network should conform to the following open standards:

- (1) 10BaseT, Category 5, twisted pair cabling for LAN segments Y/N _____
- (2) Ethernet Y/N _____
- (3) TCP/IP protocols Y/N _____
- (4) T1, Frame Relay or other high speed WAN circuits Y/N _____

b. The vendor's proposed cabling services include:

- (1) Four-pair, Category 5, UTP cabling where appropriate Y/N _____
- (2) Compliance with current EIA/TIA standards for wiring and labeling Y/N _____
- (3) Modular connectors Y/N _____
- (4) Cable management (patch panels, cable runs/ trays, racks) Y/N _____

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(5) Documentation and labeling of all wiring (diagrams, labeled jacks, wall plates, etc.) Y/N _____

c. Describe how any required cabling will be performed:

d. The vendor should propose a recommended transmission speed for WAN circuits. Supporting information should be provided to indicate the process used to arrive at the recommended transmission speed (i.e., assumptions, anticipated traffic volumes, etc.):

Recommended WAN circuit speeds _____ Kbps/Mbps

e. The network should be available at a minimum for 99.5% of the time during the system acceptance testing period. Y/N _____

f. In the event of a component or circuit failure, other segments/circuits will not be affected? Y/N _____

g. In the event of a component of circuit failure, the network has adaptive routing capabilities or redundancy? Y/N _____

h. What is the maximum number of workstations/users recommended/supported by the proposed configuration? Workstations _____
Users _____

3. ***Network Architecture/Capabilities***

a. Describe the architecture of the software applications and their support for networked environments:

(1) Client/Server architecture? Y/N _____

(2) Session-based architecture? Y/N _____

(3) Terminal Emulation? Y/N _____

(4) Describe support for LAN access:

(5) Describe support for WAN access:

- b. The County requires vendors to make use of a proposed WAN infrastructure for remote RMS workstations. The nature of the proposed WAN is attached to this proposal as Appendix A. Identify any issues with utilizing the proposed WAN for remote connectivity:

- c. Characterize the types of traffic that the applications will generate on both LAN/WAN segments:

- d. Characterize the typical response times expected for the following activities, based upon the proposed network architecture. Time to first response indicates the time from the initiation of the activity by the user until the first update begins to occur on the user's screen. Time to complete is the time from the initiation of the activity by the user until the entire activity is completed.

	Time to 1 st response	Time to Complete
(1) Inquiry (single indexed field)	_____	_____
(2) Inquiry(multiple fields, some indexed)	_____	_____
(3) Inquiry(multiple fields, no indexes)	_____	_____
(4) Update – new record entry	_____	_____
(5) Update – existing record modified	_____	_____
(6) Run application program/module	_____	_____
(7) Switch between screens	_____	_____
(8) Display new screen	_____	_____

(9) Generate report _____

G. IMPLEMENTATION AND TRAINING

1. ***Installation***

a. Describe the hardware and software installation services to be performed included in this proposal.

b. Describe any customer installation responsibilities.

c. Is software installation performed at the client site or at the vendor's offices? Y/N _____

d. If software installation is performed at the client's site, are vendor staff on-site to perform the installation, or is it accomplished remotely?

2. ***Training***

a. Indicate the hardware and software training included in this proposal. All training costs should be identified in the Vendor Costs section.

Course Description	Recommended number of:	
	Persons	Hours
	On-Site	Off-Site
Hardware operations and System Management:		
_____	_____	_____
_____	_____	_____
_____	_____	_____
System Software and Utilities:		
_____	_____	_____

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Recommended number of:

<u>Course Description</u>	<u>Persons</u>	<u>Hours</u>	
		<u>On-Site</u>	<u>Off-Site</u>
Other:			
Total			

b. Attach and clearly identify a list or catalog of optional training classes available but not included in this proposal. Indicate whether classes are provided by the proposing vendor or another company/organization. Attached? Y/N _____

c. Describe any training alternatives.

d. Can training be scheduled to accommodate multiple shifts and alternative working hours? Y/N ____

(1) Is there an additional cost associated with this training approach? Y/N ____

3. **Documentation**

a. Please attach and clearly identify additional published reference material for all proposed hardware and related peripherals. Attached? Y/N _____

b. List the technical and user documentation that will be provided for all hardware, network, system and application components, including number of copies:

c. What media options are available for documentation and release updates?
 (1) Printed manual Y/N _____

- (2) Online Y/N _____
- (3) Internet/Web Y/N _____

4. *System Maintenance and Operation*

a. Describe any periodic functions that must be performed by County staff to ensure proper continued operation of the system. Describe any utilities that are provided to assist in the performance of each required function.

(1) Backups

(2) Database administration

(3) User Account maintenance

(4) Temporary file removal/disk space monitoring

(5) Identify the estimated annual downtime for the above actions

(6) Other

H. WARRANTY AND MAINTENANCE

Complete the warranty and maintenance matrix below based on your proposed approach. For services proposed within the matrix, include all costs in the “Summary of Applications,” “Computer Hardware and System Software,” and “Network and Communications Architecture” subsections of the Vendor Response section, as appropriate. Complete one matrix per vendor offering warranty/maintenance services.

<i>1. Proposed Services</i>	<i>Vendor _____</i>		
	<i>Hardware and System Software</i>	<i>Application Software</i>	<i>Network</i>
	What is the length of the warranty (months)?		
Does warranty begin from installation or acceptance?			
What are the hours of warranty coverage (e.g., Mon-Fri 7:30 a.m. – 5:30 p.m.)?			
What are the hours of maintenance coverage (after the warranty expires)?			
Warranty/Maintenance Services:			
• Telephone Support (Y/N)?			
• Toll Free “800” number (Y/N)?			
• Remote dial-up software diagnostics (Y/N)?			
• Remote dial-up software update (Y/N)?			
• Updates and enhancements included (Y/N)?			
• How often are enhancements provided?			
• User group membership (Y/N)?			
• Newsletter (Y/N)?			
Service/support response time (hours)			
• Via telephone/modem			
- Average			
- Guaranteed			
• On-site			
- Average			

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	<i>Vendor</i> _____		
1. Proposed Services	Hardware and System Software	Application Software	Network
- Guaranteed			
HARDWARE PREVENTIVE MAINTENANCE (PM)			
<ul style="list-style-type: none"> • Included as part of agreement (Y/N)? • If yes, what is scheduled interval for PM (days)? 			
<ul style="list-style-type: none"> • Does PM require the system to be taken down (Y/N)? • If so, for how long (on average)? 			
On-Call After Hours Services			
<ul style="list-style-type: none"> • Hourly rate for service personnel • Minimum hours charged 			
How long will you guarantee support of equipment/ software proposed (# of years)?			

1. What maintenance program is proposed for microcomputers and printers?

2. What company would provide peripherals maintenance?

3. If needed, further describe your proposed warranty/maintenance services for hardware, network and software as indicated within the matrix.

4. Will you guarantee a fixed maintenance cost?

Chapter 3: Vendor Response

Hardware Y/N _____
No. of Years _____

Software Y/N _____
No. of Years _____

- 5. List any exceptions or limitations to your proposed warranty/maintenance services for the hardware and software as indicated within the matrix.

- 6. List additional services provided for the hardware, network and software under the terms of the agreement at no additional cost to the County.

- 7. Describe available services/programs in addition to those proposed within the matrix. Include services such as off-site or depot program for peripherals and options for service response time. Also include associated costs. Indicate “Application Software,” “Computer Hardware and System Software,” and “Network and Communications Architecture” as appropriate:

- 8. What are the County’s obligations following a new release/major redesign of an application?

- a. Is there mandatory installation of the new release? Y/N _____
 - (1) How soon? Months _____
 - (2) Is there an additional charge for the new release? Y/N _____
 - (3) Is conversion assistance provided, if necessary? Y/N _____
 - (4) Is new documentation supplied? Y/N _____
 - (5) Is additional training provided? Y/N _____
 - (6) Is maintenance continued for the old release? Y/N _____
 - (7) How long? Months _____

- 9. Describe the service coverage provided under the warranty period.

I. VENDOR CONTRACTUAL RESPONSIBILITIES

1. Who would be the authorized negotiator?

Name/Title: _____
Phone Number: _____

2. To the best of your knowledge, does your company have current pending or threatened litigation regarding any public safety systems? Y/N _____

If yes, explain in detail.

3. System Performance

- a. The County's requirements for response time is less than 1.5 seconds for RMS 99.5% of the time for command entry, screen changes and direct inquiries. None of these operations shall exceed 5 seconds. Response time is defined as the time elapsed between depressing the enter key and the appearance of the data requested on the next screen. The County recognizes that response time associated with external systems queries (i.e., CLETS/NCIC) are impacted by other systems over which the vendor has no control.

Describe the methodology used to estimate system response time, the estimated response times of your proposed configuration, and under what conditions the stated response times will or will not be met.

- b. The County's requirements for system uptime are as follows: 99.9% avail ability of all key functions when measured on a 24 hour per day, seven day a week basis.

Describe how your proposed design approach provides the above system uptime guarantees.

- c. Describe any conditions or circumstances under which availability guarantees will or will not be met.

- d. The County requires a minimum 30-day System Acceptance period from the date that the system is fully operational.

Describe the level of support that will be provided during the 30 day acceptance period.

- 4. Confirm ability to provide 100% faithful Performance Bond for the County. Any associated cost must be identified in pricing proposal.

Y/N _____

- 5. Include copies of your standard contract and/or licensing agreements for:

Chapter 3: Vendor Response

Included?

- | | |
|------------------------------|-----------|
| a. Hardware Purchase/Lease | Y/N _____ |
| b. Hardware Maintenance | Y/N _____ |
| c. Software Purchase/License | Y/N _____ |
| d. Software Maintenance | Y/N _____ |

J. PRICING SCHEDULE

This section requires a detailed breakdown of all prices for the proposed systems. All prices are to be stated as firm fixed amounts, except where requested on a different basis. All prices must be detailed; no additional charges (e.g., for sales tax, transportation, container packing, installation, training, out-of-pocket expenses, etc.) will be allowed unless so specified. Prices must be unbundled and separately listed, including recurring costs that are associated with third-party vendor-provided hardware and software.

Vendors must complete all applicable price pages in this section. Totals from each section are to be summarized on the final two pages. Sales taxes are to be shown for each item and in the Vendor Pricing Summary pages. Vendors may choose to use their own spreadsheet printouts for submission of prices. However, page headers, column headers, number of columns, number of rows, and row labels must conform to the enclosed pricing pages.

1. Computer Hardware and System Software
2. Network and Communications
3. Ancillary Equipment
4. Application Software (Base Software and Options)
5. Other Costs
6. Optional Pricing
7. Vendor Pricing Summary
 - a) One-Time
 - b) Recurring

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<i>DESCRIPTION</i>	<i>Model, Part #</i>	<i>Qty</i>	<i>Price</i>	<i>Appli- cable Tax</i>	<i>Annual Main- tenance Ex- pense</i>
TOTAL PRICE			\$	\$	\$

County of San Mateo RMS RFP
Chapter 3: Vendor Response

<i>DESCRIPTION</i>	<i>Model, Part #</i>	<i>Qty</i>	<i>Price</i>	<i>Appli- cable Tax</i>	<i>Annual Main- tenance Ex- pense</i>
	<i>TOTAL PRICE</i>		<i>\$</i>	<i>\$</i>	<i>\$</i>

5. OTHER PRICES

List all other prices that would be associated with implementation of your system. Prices not identified will not be accepted in a final contract.

Detailed System Design	
Installation	
Systems Integration	
Project Management	
User Training	
Technical Training	
Documentation	
Out-of-Pocket-Expenses	
Other (describe)	
<i>TOTAL OTHER PRICES</i>	<i>\$</i>

6. OPTIONAL PRICING

a) Optional Pricing

Provide information and pricing estimates for any additional optional software and services that vendor suggests the County might consider as part of this procurement.

	<i>Estimated Price</i>	<i>Annual Recur- ring Price</i>
• Data Conversion		
• _____		
• _____		
• _____		
• _____		
• _____		
• _____		
• _____		
<i>Total</i>		\$

b) Assumptions used to determine estimated optional prices are provided in an attachment. Y/N _____

c) For any item or service not specified in this solicitation, what are your hourly rates?

Training	\$ _____	Conversion	\$ _____
Programming	\$ _____	Installation	\$ _____
Design	\$ _____	Other	\$ _____

7. VENDOR PRICING SUMMARY

a) One-Time:

Provide a summary of all one-time pricing for the system you are proposing. Any subtotals carried forward to this page should agree with the corresponding detail pages.

	<i>One-Time Price</i>
(1) Computer Hardware and System Software	\$ _____
(2) Network/Communications	_____
(3) Ancillary Equipment	_____
(4) Application Software and Interfaces	_____
(5) Other Prices	_____
<i>Subtotal</i>	\$ _____
Sales Tax (indicate applicable rate)	_____
Freight	_____
TOTAL ONE-TIME PRICE (EXCLUDING OPTIONS)	\$ _____
(6) Optional Costs	_____
(7) Other Proposed Options	_____
Sales Tax (indicate applicable rate)	_____
Freight	_____
<i>Total One-Time Options Price</i>	\$ _____
TOTAL ONE-TIME PRICE (INCLUDING OPTIONS)	\$ _____

7. VENDOR PRICING SUMMARY (Continued)

Recurring:

Provide a summary of all recurring pricing for the system you are proposing. Any subtotals carried forward to this page should agree with the corresponding detail page.

	<i>Annual Price</i>
Hardware and System Software Maintenance	\$
Networking/Communications Maintenance	
Ancillary Equipment Maintenance	
Application Software Maintenance	
Other Recurring Costs (e.g., third party software, etc.)	
TOTAL ANNUAL RECURRING PRICE (without options)	\$
<i>Total Recurring Price on Optional Items</i>	
TOTAL ANNUAL RECURRING PRICE (with options)	\$

Chapter 4

Functional Specifications

Functional Specifications

RESPONSE CODE	DEFINITION
A Existing	The requirement will be met by proposed existing software that is installed and operational at other sites and can be demonstrated to the County of San Mateo. An “A” response to any requirement phrased “...ability to...” signifies that the proposed system provides the <u>actual</u> capability to meet the requirement without extensive user intervention. Indirect or implied solutions to meet the requirement should not be coded “A”.
B Under Development	Requirement will be met by software that is currently under development, in Beta test, or not yet released.
C Minor Modification	Requirement will be met with minor modifications to existing software or use of software tools such as application report writer, query, etc. All work shall be performed by the vendor - any additional costs must be noted.
D Report Writer	Requirement could be met by the use of proposed software tools, such as a report writer, query language or spreadsheet.
E Major Customization	Requirement will be met by major modifications to existing software or by new custom software programming. <u>All work shall be performed by the vendor and any additional costs must be noted.</u>
F Not Available	Requirement cannot be provided.

Additional Instructions:

1. An omitted response will be scored as an ‘F’ response.
2. Any deviation from the response codes will be interpreted at the discretion of the County.
3. Costs associated with C or E responses should be clearly shown in the margin to the right or below the bracket (e.g., [E] **\$1,000**).
4. All costs associated with C or E responses must also be included in the Vendor’s Cost Estimates.
5. Whenever a description or narrative is requested, vendors should specifically cite the location of such information within the vendor's proposal.

Response

A. GENERAL REQUIREMENTS

1. Major Functions and Features

- | | | |
|----|---|-----|
| a. | Ability to perform functions with minimal keystrokes | [] |
| b. | Provide pull-down menus/windows | [] |
| c. | Ability to move forward and backward to complete data fields without having to retype the entire field or delete field spaces (e.g., insert and delete) | [] |
| d. | Ability to toggle or hot key to any screen, table or application | [] |
| e. | Provide “type ahead” capabilities to allow data entry during computer processing | [] |
| f. | Ability to maximize the use of the following to help users process information: | |
| | (1) Colors | [] |
| | (2) Reverse video | [] |
| | (3) Audible tones | [] |
| g. | Ability to advise users of data entry or command errors with clear and concise messages | [] |
| h. | Display data entry or command errors on last line of screen | [] |
| i. | Display system messages on a pop-up window | [] |
| j. | Provide help facility via function key or icon from any screen or field | [] |
| k. | Ability for administrator to edit/add to on-line help text | [] |
| l. | Ability to use upper and lower case letters | [] |
| m. | Ability to define fields as all upper or lower case letters | [] |
| n. | Ability to process dates as MM/DD/CCYY - support Year 2000 | [] |

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
o. Ability to log times in 12-hour format (e.g., hour/ minute/second) and military time	[]
p. Provide name search capability via:	
(1) Wild cards	[]
(2) Soundex (first and last name) (Please provide a description of Soundex algorithm that will be used)	[]
(3) Phonetically	[]
(4) Date of Birth and age range (e.g., 20-25 years)	[]
(5) Any field or combination of fields	[]
q. Ability to perform a string search on any narrative text	[]
r. Ability to validate entries against the following data types:	
(1) Date (i.e., past date, current date, future date, logical date parameters)	[]
(2) Numeric	[]
(3) Alpha	[]
(4) Alpha numeric	[]
(5) Code tables	[]
s. Ability to have system automatically convert date to day of the week	[]
t. Ability to default screens to display all fields, with optional ability to set parameters to suppress display of fields with no data and fields with sensitive data (e.g., juvenile-related data)	[]
u. On all screens and fields, validate entry of coded fields against the appropriate code table; if invalid entry, the following should occur:	
(1) Highlight field on screen	[]
(2) Display appropriate error messages	[]
(3) Display pop-up or pull down window containing the valid entries (code and code description) for the field	[]
(4) Pop-up or pull down window of valid field entries should be:	
(a) Scrollable	[]

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(b) Searchable by code value or description	[]
(c) Provide ability to update table with new entries, changes or deletions	[]
(5) Select valid entry and return to entry screen without losing data	[]
v. List of Values (LOV) or code tables should be user definable	[]
w. Provide ability for all code tables to:	
(1) Search by code and go directly to the corresponding code entry and description	[]
(2) If no match entry, the entry with the next greater code is displayed	[]
x. Provide hot key or icon that displays the code table screen whenever cursor is on a field that contains or requires a code table entry (i.e., violation)	[]
y. Provide consistent, common screen formats system-wide which display the following information:	
(1) Current system date	[]
(2) Current time	[]
(3) Screen name/description	[]
(4) System name/description	[]
(5) User ID	[]
(6) Current screen number and total number of screens (e.g., page 1 of #)	[]
z. Provide quick method to access any screen or transaction through:	
(1) Command line entry	[]
(2) Tool bar icon	[]
(3) Pull down menus	[]
(4) Function key	[]
aa. When multiple screens exist, provide quick method to page forward, backward, "go to" or scroll using any of the following:	

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(1) Page Up, Page Down keys	[]
(2) Function keys	[]
(3) Arrow keys	[]
(4) Mouse	[]
bb. Provide quick method to erase or cancel the screen entry prior to update (i.e., refresh screen)	[]
cc. Ability to update system information real-time with each transaction	[]
dd. Provide capabilities for user-created specialty entry screens (Vendor should describe proposed approach)	[]
ee. Ability to identify (e.g., highlight, etc.) required entry fields	[]
ff. Ability to retain deleted table information with the capability to perform an archive and final purge	[]
gg. Ability to automatically "save" and "log-off" via a hot button or function key	[]
hh. Provide 24x7 hour system availability for all applications	[]
ii. Ability to produce ad hoc reports on-line	[]
jj. Ability to print screens (including any error messages)	[]
kk. Ability to change print location and print to a different location	[]
 2. <i>Security and User Profiles</i>	
t. Security should support a multi-jurisdiction law enforcement environment including the ability to define intra-jurisdiction access	[]
u. Security levels and user profiles may be defined by remote workstation administrators	[]
v. Provide user security at the following levels:	
(1) Application/subsystem	[]
(2) Screen/transaction	[]

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<i>Response</i>
(3) Record	[]
(4) Field	[]
w. Maintain the following user security information and audit trail:	
(1) User ID	[]
(2) User name	[]
(3) Security level	[]
(4) Last inquiry, update or delete--date, time, user initials, transactions	[]
x. Ability to maintain a history of de-activated user IDs and prevent using de-activated user IDs when adding new users	[]
y. Ability to provide the following security features:	
(1) Provide appropriate security access to correspond with a user name and password	[]
(2) Ability to prevent any external agency from having access to update, alter or delete data	[]
(3) Ability to "hide" information from displaying (e.g., juvenile-related information)	[]
(4) Ability for users' security access to be modified	[]
(5) Ability for all passwords to be changed at agency-defined intervals, by user, with the ability to set a global maximum time	[]
(6) Ability to define what information will display on screen by security level	[]
z. Ability to prevent display, view and print of passwords — all passwords must be encrypted	[]
aa. Ability to maintain user profiles for:	
(1) User ID	[]
(2) User name	[]
(3) Location	[]
(4) Default printer location/address	[]
(5) Date of last update and User ID	[]
bb. Ability to log date, time and user ID associated with:	

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(1) File maintenance transactions (e.g., create, read, add, update, delete transactions)	[]
(2) Transaction entries	[]
(3) Any report sent to a printer	[]
(4) Capture time to complete transactions by user	[]
cc. Ability to track user sign-on/off times for time reporting purposes	[]
dd. Ability to flag a data element as sealed/expunged for security purposes	[]
ee. Ability to highlight, flag, or otherwise alert users with the appropriate security access that a record or data element is to be sealed/expunged	[]
ff. Ability to alert users without security access "record not on file" when searching for a sealed/expunged item	[]
gg. Ability to alert users to seal an item if user-defined file parameters are met	[]
hh. Ability to note sealed/expunged items as "confidential" when included in a print	[]
ii. Ability to sort sealed/expunged items at the beginning/ end when included in a print	[]
jj. Ability to lock a record once a record has been approved	[]
3. <i>Reporting and Output</i> <i>(Note: Detailed management reports identified in later sections)</i>	
t. Ability to generate ad hoc reports using 4th generation, user-friendly applications	[]
u. Ability to print all tables and screens (long and short versions) by ranges	[]
v. Ability to schedule and automatically generate daily, weekly, monthly, annually, and user-defined date range reports based on the pre-determined scheduled, and based on request	[]

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

Response

- | | | |
|-----|---|-----|
| w. | Ability to selectively edit and/or print information | |
| | (1) Print single record | [] |
| | (2) Print group/all records | [] |
| | (3) Print all except specific records | [] |
| x. | Ability to download statistical data to an off-the-shelf spreadsheet program (e.g., Excel, Lotus, as appropriate) | [] |
| y. | Capability when printing reports to: | |
| | (1) Determine length of report prior to printing | [] |
| | (2) Queue reports for later printing | [] |
| | (3) Select printer | [] |
| | (4) Specify number of copies | [] |
| | (5) Specify page ranges and multiple pages | [] |
| | (6) Cancel report print jobs | [] |
| z. | Ability to send reports to screen (on-line viewing) | [] |
| aa. | Ability to e-mail reports | [] |
| bb. | Ability to track the following information when a report is printed: | |
| | (1) User ID | [] |
| | (2) Number of pages printed | [] |
| | (3) Destination of report printed (e.g., user, courts, insurance company, etc.) | [] |
| cc. | Ability to create and automatically generate notification letters, courtesy notices and forms on-line as a result of transactions processed | [] |
| dd. | Ability to mail merge names and addresses into standard notices, letters and forms | [] |
| ee. | Ability to print agency logos on reports and forms | [] |
| ff. | Provide tools to generate user-defined, customized screens, forms and reports | [] |

4. Documentation

- | | | |
|----|---|-----|
| a. | Ability to maintain on-line user-defined, agency-specific documentation and procedures: | |
| | (1) Provide spell check capability | [] |
| | (2) Searchable by key words | [] |
| | (3) Download information from existing text files | [] |
| | (4) Glossary of terms | [] |
| | (5) Definitions | [] |
| | (6) Staff procedures/ready references | [] |
| | (7) Standard operating procedures | [] |
| | (8) Policy/procedure statements | [] |
| | (9) Statutes and codes | [] |
| b. | Ability to track User ID and revision dates when on-line user documentation is revised/changed | [] |
| c. | The system should allow for on-line context-sensitive help features and provide the user with the ability to access directly on the screen help information regarding the operation in progress | [] |
| d. | A full set of user documentation should be available in English detailing the functionality of each application. User documentation should be in narrative form and should be understandable to non-technical users. Also, an on-line version of this documentation is desired to allow key word searching to facilitate location of the needed text. Current documentation describing systems design, operations, troubleshooting, and performance tuning should be made available to the systems administrator. | [] |
| | (1) On-line context-sensitive help functions | [] |
| | (2) On-line user-friendly tutorial | [] |
| | (3) Site-specific on-line documentation and user guide | [] |
| | (4) Keyboard templates | [] |
| | (5) System design documentation describing file layouts and program design | [] |
| | (6) Operator's Guide | [] |
| | (7) System Manager's Guide | [] |

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

Response

5. Other

- | | | |
|----|--|-----|
| a. | Ability to access the RMS system from remote PCs with appropriate security | [] |
| b. | Ability to access the RMS system from mobile data devices | [] |
| c. | Provide automated source documents via: | |
| | (1) Forms generator | [] |
| | (2) Electronic filing | [] |
| d. | Provide image-enabled applications for all RMS modules. Vendor should describe proposed approach in detail. | [] |
| e. | Ability to selectively edit and purge information (based on security level): | |
| | (1) Purge single record | [] |
| | (2) Purge group/all records | [] |
| | (3) Purge all except specific records | [] |
| f. | Ability to print report-identifying records that will be purged in a specific date range (i.e., day, week, month, etc.) | [] |
| g. | Ability to generate hard copy listing of purged data | [] |
| h. | Ability to selectively download data to a PC workstation using a menu selection, function key, or command | [] |
| i. | Ability to electronically distribute all forms, notices, letters to interested parties; either via electronic mailing to other RMS-accessible parties or faxing to non-RMS accessible parties with faxing capabilities | [] |

B. MASTER NAME FILE

1. Major Functions and Features

a. Ability to create and maintain basic master name file record:

- | | |
|---|-----|
| (1) Name | [] |
| (2) Aliases | [] |
| (3) Address (full street, city, state, zip) | [] |
| (4) Date of birth | [] |
| (5) California (or other 2 digit state code) ID/License | [] |
| (6) Sex/Race/Height/Weight/Hair-Eye Color | [] |
| (7) Involvement (e.g., suspect, witness, victim, etc.) | [] |
| (8) Related report number | [] |
| (9) SMCSO Record Number (10 digits) | [] |
| (10) Crime type(s) | [] |
| (11) CII/FBI Number | [] |
| (12) Social Security Number | [] |
| (13) Moniker (scar, mark, tattoo, amputation) | [] |
| (14) Known associates (multiple) | [] |

b. Input to the Master Name Index should automatically be derived from the following areas:

- | | |
|---|-----|
| (1) CAD/Calls For Service | [] |
| (2) Offense report | [] |
| (3) Arrest – Adult and Juvenile | [] |
| (4) Incident | [] |
| (5) Field contact | [] |
| (6) Citations (both moving and parking) | [] |
| (7) Pawn registrations | [] |
| (8) Vendor Cards | [] |
| (9) Business License and Permit Files | [] |
| (10) Registrants | [] |
| (11) Employees | [] |
| (12) Probation | [] |
| (13) Assessors Parcel Data | [] |
| (14) Courts | [] |
| (15) Traffic | [] |

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

Response

- | | | |
|----|---|-----|
| | (16) Property report | [] |
| | | |
| c. | Ability to track the following changes for an individual over time: | |
| | (1) Physical description changes | [] |
| | (2) Address changes | [] |
| | (3) Phone number changes | [] |
| | (4) Drivers license changes | [] |
| | (5) Name changes | [] |
| | | |
| d. | Ability to create and maintain detailed subject records (adult and juvenile): | |
| | (1) Full name (First, Middle, Last, Hyphenated Last, and suffix - Jr., Sr., etc.) | [] |
| | (2) Aliases/AKA | |
| | (3) Monikers | [] |
| | (4) Address (Multiple) | [] |
| | (5) Telephone number (Multiple) | [] |
| | (6) Relatives (Multiple) | |
| | i. Name | [] |
| | ii. Address | [] |
| | iii. Telephone Number (Multiple) | [] |
| | (7) Employer | |
| | i. Occupation | [] |
| | ii. Name | [] |
| | iii. Address | [] |
| | iv. Telephone number (Multiple) | [] |
| | (8) Date of birth (alias Date of Birth) | [] |
| | (9) Place of birth | [] |
| | (10) Sex | [] |
| | (11) Race | [] |
| | (12) Height | [] |
| | (13) Weight | [] |
| | (14) Hair color | [] |
| | (15) Eye color | [] |
| | (16) Special characteristics (scars, marks, tattoos, amputation) | [] |
| | (17) Social security number (alias social security numbers) | [] |

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(18) Drivers license number and state (Multiple)	[]
(19) Physical description	[]
(20) Fingerprints on file	[]
(21) Passport Number	[]
(22) Alien Registration Number	[]
(23) Santa Clara County Number	[]
(24) San Francisco County Number	[]
(25) Alameda County Number	[]
(26) Photo on file	[]
(27) ID coding	
i. Fingerprint	[]
ii. DNA	[]
iii. FBI	[]
iv. California Department of Corrections (CDC) number	[]
v. California Information/Identification (CII) number	[]
(28) Local booking numbers (agency-specific, minimum of 12-character alpha-numeric field)	[]
(29) Narrative or comment field	[]
 e. Ability to "flag" or indicate the following information associated with a subject record:	
(1) Juvenile	[]
(2) Registered sex offender	[]
(3) Registered drug offender	[]
(4) Registered arson offender	[]
 f. Ability to verify and edit names based on:	
(1) Name	[]
(2) Sex	[]
(3) Date of birth	[]
(4) Drivers license number	
(5) Address	[]
(6) Local arrest number	[]
 g. Ability to perform Soundex search on both:	
(1) Full or partial name (first name or last name)	[]

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	<i>Response</i>
(2) Alias(es)	[]
h. Ability to limit search by additional criteria including date of birth, sex, etc.	[]
i. Ability to track date of last record activity (addition, edit, new report, etc.)	[]
j. Ability to selectively purge records and subject information based on user defined criteria (date, age, etc.)	[]
k. Ability to combine records of an individual if they have been entered under different names and to automatically track those names as aliases of the individual	[]
l. Ability to create and maintain field interview records:	
(1) Full name	[]
(2) Date of birth	[]
(3) Social security number	[]
(4) Aliases	[]
(5) Address	[]
(6) Telephone number	[]
(7) Drivers license number and State	[]
(8) Race	[]
(9) Sex	[]
(10) Height	[]
(11) Weight	[]
(12) Hair color	[]
(13) Eye color	[]
(14) Build	[]
(15) Facial hair	[]
(16) Scars/marks/tattoos	[]
(17) Gang/club	
(a) Name of gang	[]
(b) Tagger names	[]
(c) Colors	[]
(18) Associates (Name, Alias, DOB, Sex/Hair/Eyes, Race)	[]
(19) Clothing description	[]
(20) Narrative	[]

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	<u><i>Response</i></u>
(21) Reason for Contact (Min. 18 lines, 74 characters)	[]
m. Ability to purge juvenile FI information five years after entry or when the subject turns 18 years of age (whichever occurs first)	
n. Ability to enter purge date for FI records	[]
o. Ability to create and maintain vehicle information:	
(1) Make	[]
(2) Model	[]
(3) Year	[]
(4) Type	[]
(5) Color	[]
(6) VIN number	[]
(7) License and State	[]
(8) Narrative	[]
(9) Associates	
i. Name	[]
ii. Alias	[]
iii. Date of birth	[]
iv. Sex	[]
v. Race	[]
(10) Contact information	
i. Reporting district	[]
ii. Location	[]
iii. Date	[]
iv. Time	[]
v. Officer ID	[]
vi. Reason for contact/comments	[]
p. Ability to create and maintain registrant conviction and location information:	
(1) Conviction, jurisdiction, and case number	[]
(2) Prior addresses	[]
(3) Current address	[]
(4) Prints or photos on file	[]
(5) Comments for field contact	[]
(6) Ability to purge information based on user-defined criteria	[]

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(7) Ability to update registrant data from State issued Megan’s Law CD ROM	[]
(8) Type of registrant (sex, narcotics, arson, etc.)	[]
(9) Last registration date	[]
o. Ability to enter, maintain and search court ordered information and link such information to names:	
(1) Restraining Orders (Temporary and Permanent)	[]
(2) Orders After Hearings (OAH)	[]
(3) Other definable court orders administered to subjects	[]
p. Ability to cross reference master name file to all other records associated with an individual:	
(1) Arrest/booking (fingerprints/mug shots on file)	[]
(2) Incident and crime reports	[]
(3) Traffic citations	[]
(4) Field interviews	[]
(5) Known offender and registrants	[]
(6) Warrants	[]
(7) Property and evidence	[]
(8) Runaway and missing persons	[]
(10) Active/inactive status	[]
(11) Vehicle master file	[]
2. <i>Reports and Output</i>	
a. Ability to print confirmation listing prior to purging	[]
b. Ability to search MNI by any field in the incident record using relational criteria and logical operators	[]
c. Ability to preview search results prior to printing	[]
3. <i>Interfaces</i>	
a. Ability to cross reference master name file to all other records associated with an individual	[]

Response

4. On-line Inquiries

- | | | |
|----|---|-----|
| a. | Ability to search for and retrieve master name file based on any user defined criteria | [] |
| b. | Ability to inquire records using partial information | [] |
| c. | Ability to display index of automated records associated with individual name inquiry and automatically retrieve records from that screen | [] |
| d. | Ability to open multiple files/records in a single transaction | [] |
| e. | Ability to select and view detailed online record from index listing, ability to return to index listing with single transaction | [] |

C. ARRESTS AND BOOKING

1. Major Functions and Features

a. Ability to capture and maintain the following arrest information:

- | | |
|---|-----|
| (1) Arrest date/time | [] |
| (2) Arresting officer/ID arrest number | [] |
| (3) Arrest location | [] |
| (4) Citizen's arrest | [] |
| (5) Violation | |
| i. Code | [] |
| ii. Section | [] |
| iii. Bail amount | [] |
| iv. Felony/misdemeanor/infraction | [] |
| v. Agency turned over to | [] |
| (6) Case number | [] |
| (7) Booking type | [] |
| (8) Name | [] |
| (9) Alias (multiple) | [] |
| (10) Address | [] |
| (11) Social security number | [] |
| (12) Police department number (local arrest number) | [] |
| (13) Citation number | [] |
| (14) Sobriety | [] |
| (15) Notice to appear date | [] |
| (16) Notice to appear court | [] |
| (17) Medical condition | [] |
| (18) Sex | [] |
| (19) Race | [] |
| (20) Age | [] |
| (21) Complexion | [] |
| (22) Date of birth | [] |
| (23) Place of birth | [] |
| (24) Height, weight, build | [] |
| (25) Hair color/type | [] |
| (26) Eye color | [] |
| (27) Speech accent | [] |
| (28) Teeth | [] |
| (29) Eye defects | [] |

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	<u><i>Response</i></u>
(30) Disposition (i.e., release date, in/out of custody)	[]
(31) Fingerprint identification	[]
(32) Tattoos/marks/amputations	[]
(33) Property information	[]
(34) Parole/probation	[]
(35) Probable cause	[]
(36) Approving declaration Officer ID number	[]
(37) Comment field	[]
b. Ability to batch enter mass arrest information	[]
c. Ability to track photograph and fingerprint card completion (arrestees and applicants):	
(1) Photos/fingerprints taken	[]
(2) Cards submitted/returned	
i. DOJ	[]
ii. FBI	[]
d. Ability to retrieve and display a person's prior arrest records to be used as a basis for adding new arrest records for that person	[]
e. Ability to automatically generate booking and local arrest number (agency specific)	[]
2. <i>Reports and Output</i>	
a. Provide a list of all arrests for a user-specified time period to quickly determine personal and incident-related descriptions of the arrested person	[]
b. Ability to print mandated statistical, custody and arrest reports for the following:	
(1) Hate crimes	[]
(2) Crimes against senior citizens	[]
(3) Domestic violence	[]
(4) Arson	[]
(5) Officer assault	[]
(6) Supplemental homicide	[]
(7) Return A	[]
(8) Adult and juvenile reports	[]

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	<u><i>Response</i></u>
(9) Arrest reports	[]
(10) Citation reports	[]
3. <i>On-line Inquiries</i>	
a. Ability to select any field or fields in the arrest record and perform a search using relational criteria and wild card search capability using description, aliases or distinguishing marks	[]
4. <i>Interfaces</i>	
a. Ability to download booking information automatically to CJIS Jail Module	[]
b. Ability to interface with District Attorney system	[]
c. Ability to interface with Court system and Probation system	[]

D. INCIDENT AND CRIME REPORTING/REPORT WRITING

1. Major Functions and Features

a. Ability to capture and maintain the following crime report information:

- | | |
|---|-----|
| (1) Incident number | [] |
| (2) Case number (multiple) | [] |
| (3) Type of incident | [] |
| (4) Report type (original, supplement) | [] |
| (5) Code section (penal, health & safety, etc.) | [] |
| (6) Classification | [] |
| (7) Date/time/day occurred (or range) | [] |
| (8) Date/time reported (or range) | [] |
| (9) Location/reporting district | [] |
| (10) Persons involved | |
| i. Name | [] |
| ii. Address | [] |
| iii. Date of birth | [] |
| iv. Physical descriptors (height, weight, etc.) | [] |
| v. Race | [] |
| vi. Sex | [] |
| vii. Occupation | [] |
| viii. Business address | [] |
| ix. Work and home telephone numbers | [] |
| x. Involvement (victim, witness, suspect, investigative lead, business names, etc.) | [] |
| xi. Charges/arrest information | [] |
| xii. Driver's license number | [] |
| xiii. Social security number | [] |
| (11) Vehicles involved | |
| i. Make | [] |
| ii. Model | [] |
| iii. Color | [] |
| iv. Body style | [] |
| v. License and State | [] |
| vi. VIN number | [] |
| vii. Description | [] |
| viii. Disposition | [] |
| ix. Stolen or recovered | [] |
| x. Impound/releasable | [] |

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Response

- | | | |
|------|--|-----|
| (12) | Property stolen/recovered | |
| | i. UCR type | [] |
| | ii. Local type | [] |
| | iii. Value | [] |
| | iv. Serial number | [] |
| | v. Description | [] |
| | vi. Date stolen | [] |
| | vii. Recovery date | [] |
| (13) | Summary/narrative | [] |
| (14) | Disposition | [] |
| (15) | Reporting officer | [] |
| (16) | Solvability factors | [] |
| (17) | Crime analysis coding | |
| | i. Premise type | [] |
| | ii. Method | [] |
| | iii. Point of entry | [] |
| | iv. Weapon/device involved | [] |
| | v. Motive/property | [] |
| | vi. Estimated loss | [] |
| | vii. Extent of injuries | [] |
| | viii. Property recovered | [] |
| (18) | Latent prints taken (Y/N) | [] |
| (19) | Hate crime (flag) | |
| (20) | Domestic Violence (flag) | |
| (21) | Sexual Assault (flag) | |
| (22) | Offense report completed (flag) | [] |
| (23) | Specified crime (flag) | [] |
| b. | Ability to track associated case numbers with a crime report | [] |
| c. | Ability to cross reference incident report number to all subsequent reports filed for an incident: | |
| | (1) Supplemental reports | [] |
| | (2) Arrest and booking | [] |
| | (3) Property and evidence | [] |
| | (4) Accident report (CHP 180) | [] |
| d. | Ability to perform on-line validation of data entry: | |
| | (1) Incident number | [] |

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(2) Report type	[]
(3) Crime classification	[]
(4) Reporting district	[]
(5) Disposition	[]
(6) Crime analysis coding	[]
(7) Logical date sequence	[]
e. Ability to utilize PC word processing software to create integrated narrative for original and supplemental reports	[]
f. Ability for supervisors to review and/or approve reports on-line	[]
g. Ability to identify assigned reports not completed or missing	[]
h. Ability to easily navigate between screens associated with a report for the review/approval of the report	[]
i. Ability to selectively edit and purge incident information to comply with mandated record sealing:	
(1) Purge single record	[]
(2) Purge group/all records	[]
(3) Purge all except specific records	[]
(4) Purge specific information from a single record	[]
j. Ability to generate hard copy listing of purged data	[]
k. Ability to establish summary and purge criteria for on-line information and off-line storage	[]
l. Ability to track incident classification changes:	
(1) Original/dispatched as	[]
(2) Officer	[]
(3) Investigative re-classification	[]
2. <i>Reports and Output</i>	
a. Ability to print individual incident detail report	[]
b. UCR reports should at minimum include:	
(1) Monthly Return of Offenses known to Police	[]

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	<u><i>Response</i></u>
(2) Property Stolen by Classification	[]
(3) Additional Analysis of Larceny and Auto Theft	[]
(4) Supplement to Return A - Evaluation of Stolen Property	[]
(5) Monthly Returns of Arson Offenses	[]
(6) Property recovered sorted by property classification	[]
(7) Age, Sex and Race of Person Arrested - 18 & Over	[]
(8) Age, Sex and Race of Person Arrested - Under 18	[]
(9) Violent crimes to senior citizens	[]
(10) Domestic violence	[]
(11) Arrest and Citation Register	[]
(12) Law Enforcement Officers killed or assaulted report	[]
(13) Hate crime statistics for reporting period	[]
(14) All other reports required by the Department of Justice (DOJ)	[]
c. Ability to meet (NIBRS) reporting requirements	[]
d. Ability to print listing of related reports	[]
e. Ability to track or print a list of open or unapproved reports (tickler for follow-up):	
(1) By officer	[]
(2) By date	[]
f. Ability to print a list of juveniles in secured custody for the California Youth Authority (CYA)	[]
g. Ability to review and approve reports on-line	[]
h. Ability to selectively print incident and crime report information	[]
3. <i>On-line Inquiries</i>	
a. Ability to view individual incident and crime reports (including narrative) on-line	[]
b. Ability to retrieve records by single or combined criteria:	
(1) Report number	[]
(2) Date or date range	[]

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	<u><i>Response</i></u>
(3) Day of week	[]
(4) Involved party name	[]
(5) Involved party description	[]
(6) Location/reporting district	[]
(7) Crime classification	[]
(8) Reporting officer	[]
(9) Vehicle description	[]
(10) Time of day	[]
(11) Any field in record	[]
4. <i>Interfaces</i>	
a. Ability to accept incident number and other pertinent dispatch information from CAD to initiate a report record	[]
b. Ability to support field entry of crime and incident reports on laptops	[]
c. Ability to upload reports from laptops to RMS for review (via diskette, PCMCIA card, or wireless transmission)	[]
d. Ability to interface with District Attorney system	[]
5. <i>Other</i>	
a. System needs the ability to migrate easily to National Incident Based Reporting (NIBR) format	[]

E. FIELD INCIDENT AND CRIME REPORTING

1. Major Functions and Features

- a. AFR screen forms should be resident within the mobile data device []
- b. AFR screen forms should be the same as corresponding RMS forms, where possible []
- c. Ability to utilize pull-down fields with auto defaults and auto-fill []
- d. Ability to utilize lookup tables for pick and validation purposes []
- e. System should require data be entered only once and utilize that data in all other needed forms and reports []
- f. System should prompt for needed information []
- g. System should allow shortcuts for keying information []
- h. Ability to electronically complete the following forms and reports (sample reports are included with RFP):
 - (1) Incidents []
 - (2) Arrest []
 - (3) Booking []
 - (4) Traffic accident []
 - (5) Crime reports []
 - (6) CSTARs []
 - (7) DUI reports []
 - (8) Field Interviews []
 - (9) Missing Persons reports []
 - (10) Probable Cause/Declaration reports []
 - (11) Property/Evidence reports []
 - (12) Traffic Citations []
 - (13) Summary of Arrest reports []
 - (14) Patrol officer shift activity reports []
 - (15) Domestic Violence reports []
 - (16) Subpoenas and Warrant Service []

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(17) Blue Letters	[]
(18) Internal Vehicle Damage reports	[]
(19) Other reports	[]
i. Ability to submit AFR reports electronically to RMS upon command	[]
j. Ability to access and update submitted AFR reports from the field prior to report approval	[]
k. Ability to access approved reports from the field	[]
l. Ability to write AFR reports simultaneously with other functions (e.g., electronic dispatch, messaging, inquiries, etc.)	[]
m. Ability to automatically populate AFR with information gathered from an inquiry	[]

F. TRAFFIC

1. Major Functions and Features

Traffic

- a. Ability to enter and retain data from:
 - (1) Traffic collision reports
 - i. Injury []
 - ii. Hit and run []
 - iii. Non-injury []
 - iv. Private/public property []
 - (2) Traffic citations []
 - (3) Towed vehicles []
 - (4) Driving under the influence (DUI) reports []
 - (5) Impounded vehicle reports []
 - (6) Stored vehicle reports []
 - (7) Stolen or recovered vehicles []
 - (8) Repossessed vehicles []
 - (9) Suspect vehicles (incomplete information) []
- b. Ability to track stolen vehicles or suspect vehicles that have been involved in traffic accidents []

Collision Reporting

- c. Traffic collision report data including:
 - (1) Case number []
 - (2) Date/time occurred []
 - (3) Reporting district []
 - (4) Collision location
 - i. Primary and secondary roads []
 - ii. Intersection []
 - iii. Footage []
 - (5) For each party (driver, registered owner, passenger, pedestrian, etc.):
 - i. Name []
 - ii. Drivers license number/State []
 - iii. Address []
 - iv. Telephone numbers (home/business) []

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	<i>Response</i>
v. Sex	[]
vi. Date of birth	[]
vii. Vehicle Code violation(s)	[]
viii. Injuries	[]
ix. Safety equipment	[]
(6) For each vehicle:	
i. Year	[]
ii. Make	[]
iii. Model	[]
iv. Color	[]
v. License number/State	[]
(7) Narrative/summary	[]
(8) Primary collision factors	[]
(9) Reporting officer/ID	[]
(10) Citations (number and description)	[]
(11) CSTARs compliant	[]

Citations

d. Traffic citation data including:

(1) Citation number (alphanumeric)	[]
(2) Case number (should not be a required field)	[]
(3) Date/time issued	[]
(4) Officer	[]
(5) Violation(s)	[]
(6) Location	[]
(7) Vehicle description	
i. Make	[]
ii. Model	[]
iii. Year	[]
iv. Color	[]
v. License number/State	[]
(8) Operator	
i. Name	[]
ii. Address	[]
iii. Date of birth	[]
iv. License number/State	[]
(9) Court information	
i. Court location	[]
ii. Date/time of appearance	[]
(10) Physical descriptors (height, weight, eye, hair, etc.)	[]

County of San Mateo RMS RFP
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Response

- | | |
|--|-----|
| (11) Classification | |
| i. Moving | [] |
| ii. Non-moving | [] |
| iii. Equipment | [] |
| iv. Secondary types (SS – Stop Sign, S – Speed, etc.) (multiple) | [] |

2. *Reports and Output*

- | | |
|---|-----|
| a. Ability to compare citation locations and types with accident locations and types | [] |
| b. Ability to scan in diagrams or other documents and attach to a specific report, case or incident | [] |
| c. Traffic Citation Written Report: | |
| (1) By day | [] |
| (2) By officer | [] |
| (3) By type | [] |
| (4) By time of day | [] |
| (5) By location | |
| i. Intersection | [] |
| ii. Street | [] |
| (6) High Citation Locations Report | [] |
| d. Ability to print a report listing the number of citations written by: | |
| (1) Officer(s) | [] |
| (2) Date or date range | [] |
| e. Traffic Accidents Report: | |
| (1) By time and day of week | [] |
| (2) By date range | [] |
| (3) By location | [] |
| (4) Summary statistics | [] |
| (5) High Accident Locations Report | [] |
| (6) Vehicle code | [] |

3. *Reports and Output*

County of San Mateo RMS RFP
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Response

- | | | |
|----|--|-----|
| a. | Ability to query traffic accident data and produce reports by: | |
| | (1) Location/intersection | [] |
| | (2) Date and time | [] |
| | (3) Violation type(s) | [] |
| | (4) Citation number | [] |
| | (5) Incident number | [] |
| | (6) Officer name/ID number | [] |
| | (7) License number/State | [] |
| | (8) Involved parties names | [] |
| | (9) Reporting district | [] |
| | (10) Day of week | [] |
| | (11) Any field | [] |
| b. | Ability to inquire on vehicle information by user definable criteria | [] |

4. *Interfaces*

- | | | |
|----|---|-----|
| a. | Ability to interface with the California Statewide Traffic Accident Reporting System (CSTARS) | [] |
|----|---|-----|

5. *Other*

- | | | |
|----|--|-----|
| a. | Have the ability to create billing summary (dispatcher, officer and vehicle time involved) for DUI convictions | [] |
| b. | Citation and collision information should be down-loadable to geographical analysis sub-system (pin mapping) | [] |
| c. | Master name index file updated automatically from incident, citation, collision, etc., reports entered | [] |
| d. | Master vehicle index updated automatically from citation and collision reports entered | [] |
| e. | Ability to track stored/impound vehicle release fees | [] |

G. PROPERTY AND EVIDENCE

1. Major Functions and Features

a. Ability to capture and maintain the following property information:

- | | |
|--|-----|
| (1) Incident number | [] |
| (2) Case number | [] |
| (3) Crime type/classification | [] |
| (4) Item number | [] |
| (5) Property type (found, safekeeping, evidence, etc.) | [] |
| (6) Category (photo, jewelry, narcotics, etc.) | [] |
| (7) Serial number | [] |
| (8) Description | [] |
| (9) Quantity | [] |
| (10) Owner name | [] |
| (11) Disposition | [] |
| (12) Days held | [] |
| (13) Property status | [] |
| (14) Destruction/release date | [] |
| (15) Property value | [] |
| (16) Storage location | [] |

b. Ability to track current location of evidence (chain of evidence):

- | | |
|---------------------------|-----|
| (1) Checked out by | [] |
| (2) Checked in by | [] |
| (3) Date/time checked out | [] |
| (4) Check out reason | [] |
| (5) Destination/location | [] |
| (6) Actual return date | [] |
| (7) Comment field | [] |

c. Ability to capture evidence and stolen property numbers separately []

d. Ability to print and utilize bar code labels and portable reader(s) for property management:

- | | |
|-------------------|-----|
| (1) Entry | [] |
| (2) Status change | [] |

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	<i>Response</i>
(3) Date of status change	[]
(4) Inventory	[]
e. Ability for user-defined disposition dates based on days property/evidence held and property/evidence type	[]
f. Ability to automatically notify property clerk if case disposition is changed elsewhere in records system (to allow re-release/disposal of property):	
(1) Disposition change from District Attorney via message	[]
(2) Crime Lab Updates	[]
(3) Any disposition change via message	[]
g. Ability to validate at time of data entry:	
(1) Report number	[]
(2) Property type	[]
(3) Category	[]
(4) Disposition	[]
h. Ability to change incident report number on groups of items with single entry or command	[]
i. Ability to update next review date for all items associated with a case using one transaction	[]
j. Ability to capture and maintain the following pawned property information:	
(1) Pawn location	[]
(2) Pawn ticket number	[]
(3) Date pawned	[]
(4) Person pawning	[]
(5) Item type	[]
(6) Serial number	[]
(7) Description of item	
i. Manufacturer/make/model	[]
ii. Caliber/size	[]
iii. Color	[]
iv. Applied number	[]

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	<u><i>Response</i></u>
v. Text	[]
k. Ability to compare pawned property descriptions against reported stolen property descriptions for potential matches	[]
2. <i>Reports and Output</i>	
a. Ability to create a stolen property inventory listing by:	
(1) Category	[]
(2) Report number	[]
(3) Item number	[]
(4) Owner number	[]
(5) Manufacturer (Brand)	[]
(6) Make	[]
(7) Model	[]
b. Ability to list property due for disposition review by date (disposal, release, etc.)	[]
c. Ability to print monthly Activity Summary Report:	
(1) Cases in	[]
(2) Cases disposed	[]
(3) Number of new items	[]
(4) Number of new items disposed	[]
d. Ability to check found bicycles against lost bicycles:	
(1) Serialized	[]
(2) Non-serialized	[]
(3) Manufacturer (Brand)	[]
(4) Description	[]
e. Ability to print list of pawned property grouped by property type	[]
f. Ability to list property by pawn location and pawn ticket order	[]
3. <i>On-line Inquiries</i>	
a. Ability to sort and select property reports by:	

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	<i>Response</i>
(1) Report number	[]
(2) Serial number	[]
(3) Description/item/category	[]
(4) Date received	[]
(5) Owner	[]
(6) Storage location	[]
(7) Tickler date	[]
(8) Officer ID	[]
(9) State license number	[]
(10) Other (maximum of 5 data elements)	[]
 b. Ability to view incident/crime reports and dispositions at property records workstation	 []

4. Crime Lab Functionality

a. Ability to capture and create an article file which includes the following information:	
(1) SMCSO Case Number	[]
(2) External Agency Case Number (10 digits)	[]
(3) Date/Time Received	[]
(4) Article Description	[]
(5) Quantity	[]
(6) Victim/Suspect/Owner Name	[]
(7) Related Charge	[]
(8) Probation Number	[]
(9) Person submitting article's name/ID	[]
(10) Article tracking number	[]
(11) Blood sample data	[]
(a) Status of subject (dead, alive)	[]
(b) Name of technician drawing blood	[]
(c) Check box with 3 selections for why blood was drawn	[]
(d) Question field for alcohol swab usage	[]
(e) Witnessing officer	[]
(f) Date/Time/Location of draw	[]
 b. Ability to sequentially issue bar code numbers (and various sizes of labels) for use of affixing to articles	 []

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	<u><i>Response</i></u>
c. Ability to sub divide tracking numbers (for example, a drop of blood removed from a vial for analysis should receive a subdivided bar code label with references to the original vial)	[]
d. Ability to track current location of article (chain of evidence):	
(1) ID of person checking article out	[]
(2) Date/time checked in/out	[]
(3) Actual return date/time	[]
(4) Storage location	[]
(5) Activity regarding checked our item (i.e., analysis, etc.)	[]
(6) Retained by court/released at court	[]
(7) Type of movement	[]
(a) Internal	[]
(b) Pending	[]
(c) Secure	[]
(d) Transfer (i.e., intake to disposition)	[]
e. Ability to use portable bar code readers for article input and management (be sure to identify cost of readers in your cost sheets)	[]
f. Ability to automatically notify crime lab personnel if case disposition is changed elsewhere in records system (to allow release/disposal of property) via use of a daily/weekly log	[]
g. Ability to prepare written narratives for attachment to article files. The narrative should include common word processing functionality (i.e., word-wrap, spell check, etc.)	[]
h. Ability to enter name/ID of crime lab personnel writing narrative	[]
i. Ability to store narrative text for future use	[]
j. Ability to write supplemental article narratives	[]

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	<u><i>Response</i></u>
k. Automatic assignment of completed narrative or supplemental article reports to user-defined supervisory personnel	[]
l. Ability for supervisory personnel to approve or reject submitted reports on-line	[]
m. Ability to list reports due for supervisor review	[]
n. Ability to list outstanding reports	[]
o. Ability to list articles due for disposition review (disposal, release, etc.)	[]
p. Ability to print monthly Activity Summary Report based upon any/all of the following criteria:	[]
(1) Articles in	[]
(2) Articles disposed	[]
(3) Breakdown of which agency submitted which items	[]
(4) Number of items disposed	[]
(5) Number of new items	[]
q. Ability to attach crime lab analysis narrative reports to article cases	[]
 5. <i>On-line Inquiries</i>	
a. Ability to sort and select article reports by:	
(1) Report number	[]
(2) Type of article (i.e., narcotics, blood, etc.)	[]
(3) Serial number	[]
(4) Internal tracking number (barcode)	[]
(5) Descriptive/item/category	[]
(6) Date received	[]
(7) Tickler date	[]
(8) Deputy/Office ID	[]
b. Ability to post supervisor approved article status and related report(s) on secured intranet	

Response

- c. Ability to maintain an on-line inventory of equipment and supplies
- d. Tickler file notification of low-level inventory
- e. Ability to view incident/crime reports and dispositions at crime lab workstations

6. Interfaces

- a. Module must interface with CJIS
- b. Module must interface with SMCSO PRC CAD and proposed RMS master name and vehicle files

H. INVESTIGATIVE CASE MANAGEMENT

1. Major Functions and Features

- a. Ability to capture and maintain the following case management information:
 - (1) Incident number []
 - (2) Case number []
 - (3) Crime code section(s) []
 - (4) Case status []
 - (5) Assigned to/officer number []
 - (6) Date assigned []
 - (7) Status due date []
 - (8) Summary []
 - (9) Date cleared []
 - (10) Officer clearing []
 - (11) Clearance type []
- b. Ability to define case information purge criteria []
- c. Ability to track activity of cases:
 - (1) Type of activity []
 - (2) Investigator []
 - (3) Hours per type of activity []
- d. Ability to track next steps []
- e. Ability to set a flag to denote that a person, property, or vehicle is being investigated []
- f. Ability to automatically return a filed report to the assigned patrol officer for follow up/clarification. []

2. Reports and Output

- a. Ability to print the following Case Management Reports:
 - (1) Cases assigned by report number []
 - (2) Cases assigned by detective []
 - (3) Cases forwarded to District Attorney []

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	<u><i>Response</i></u>
(4) Closed and suspended cases	[]
(5) Juvenile vs. adult	[]
(6) Juvenile petitions	[]
b. Ability to generate caseload statistics by date and date range:	
(1) Total number of cases reviewed	[]
(2) Total number of arrests by Patrol	[]
(3) Total number of arrest by Investigations	[]
(4) Total number of warrant requests	[]
(5) Total number of cases closed and reason for closure by disposition	[]
(6) Total number of cases suspended	[]
(7) Total number of cases still open and classification	[]
(8) Case tracking and status	[]
c. Ability to print case summary statistics and hours utilized by investigators:	
(1) Case activity	[]
(2) Cases assigned	
i. By crime type	[]
(3) Cases cleared	
i. Percent cleared	[]
ii. By crime type	[]
iii. Percent cleared by crime type	[]
iv. By clearance type	[]
(4) Total hours worked on cases	
i. By detective	[]
(5) Cumulative total hours by case	[]
(6) Overtime worked by case	[]
d. Some of the specific reports needed include:	
(1) Unassigned Cases - provide a chronological list of all unassigned cases in ranked solvability factor order for assigning case priority	[]
(2) Case Status Summary (Case Closing Analysis) provide a summary of the status of all assigned cases including actual number of case closures as well as closure rate	[]

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Response

- | | | |
|-----|---|-----|
| (3) | Case Aging - provide the time frame between the assigned date, follow-up date and if necessary time overdue to allow reassessment of scheduled follow-up time frames and/or reallocate resources to assist in a faster case closure | [] |
| (4) | Assigned Case (Investigator workload) - list solvability factors of all cases assigned by investigator | [] |
| (5) | Division Case Counts - summary of all cases assigned, broken down by investigator with individual totals and division totals | [] |
| (6) | Case Activity Summary - list of cases and corresponding status whether assigned or not assigned | [] |
| (7) | Follow-Up Due Report - summary of all assigned cases based upon a user-specified due date | [] |
| e. | Provide ad hoc report capability to generate user-defined reports, including but not limited to: | |
| (1) | Person By Name - list of all persons contacted by user-specified date range | [] |
| (2) | Vehicle By Area/Beat - list of all vehicles for a user-specified date range | [] |
| (3) | Vehicle By License - list of all vehicles by license contacted for a user-defined date range | [] |
| (4) | Vehicle By Color - list all vehicles by color contacted for a user-specified date range | [] |
| f. | Ability to mail merge case data and produce form letters | [] |

3. *On-line Inquiries*

- | | | |
|-----|---|-----|
| a. | Ability to search and retrieve possible suspects from Master Name Index based on: | |
| (1) | Full or partial name | [] |
| (2) | Alias | [] |
| (3) | Full or partial physical description | [] |
| (4) | Special characteristics (tattoos, etc.) | [] |
| (5) | Location of contact | [] |
| (6) | Vehicle description | [] |
| (7) | Multiple search criteria | [] |
| (8) | Soundex matching | [] |

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	<u><i>Response</i></u>
(9) Any field or combination of fields	[]
b. Ability to display specific records by searching for a specific case number. If the case number is not known, then a general file search using any other field can be initiated.	[]
c. Ability to display a warning flash (or similar indicator) indicating that the queried item has been “tagged” for investigative purposes	[]
d. Ability to search and retrieve information from any field or fields	[]

I. CRIME ANALYSIS

1. Major Functions and Features

- a. Ability to conduct crime distribution analysis:
 - (1) By area/beat, by reporting district []
 - (2) By time, date, and day of week []
 - (3) Frequency of occurrence []
 - (4) Frequency of occurrence []
 - (5) Type (residential, auto, business, etc.) []
 - (6) Current period vs. previous period []
 - (7) Current period vs. historical average []
 - (8) Percentage of total crimes for period
 - i. Reporting districts []
 - ii. Areas/Beats []
 - iii. Teams []
 - (9) Percentage change from prior periods (trend) []

2. Reports and Output

- a. Ability to present crime distribution statistics in graphical format:
 - (1) Bar graphs []
 - (2) Pie charts []
 - (3) Line graphs []
- b. Ability to perform searches across all master name files for given set of MO or input criteria []
- c. Offense Activity Report - functions as overall criminal activity analysis, showing offenses reported and their dispositions for a specified time period (generally one month) []
- d. Offenses Activity By Hour of Day - analyzes the incidence of criminal activity by hour of day showing counts for each offense category. The offense classification used should be generated from the offense record for a defined range []

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	<u><i>Response</i></u>
e. Offense Activity By Day of Week - analyzes the incidence of criminal activity by day of week showing counts and totals for each offense category. The tallies should be generated from the offense record for a defined date range using the offense code date occurred (or earliest) fields	[]
f. Offense Activity By Area/Beat - analyzes the incidence of criminal activity by area/beat, showing counts and totals for each offense category	[]
3. <i>On-line Inquiries</i>	
a. Ability to produce ad hoc reports selected on multiple fields across multiple (more than 3) files	[]
b. Ability to query crime activity between a user- defined range of hours, over a user-defined historical period:	
(1) By area/beat	[]
(2) By reporting district	[]
(3) By type of crime	[]
(4) Location/address range	[]
(5) Date	[]
(6) Time of day	[]
(7) Day of week	[]
(8) MO	[]
(9) Property type involved	[]
(10) Any combination	[]
c. Ability to create temporary data subset files for inquiries and manipulation	[]
d. Ability to search for an incident number using the date the offense was reported	[]
e. Display list of possible offenses showing the time received, activity code, area/beat and incident number for all offenses that occurred during the date specified	[]

J. ACTIVITY LOG

1. Major Functions and Features

General

a. Ability to capture and maintain the following deputy activity information:

- | | |
|---------------------------------|-----|
| (1) Deputy name | [] |
| (2) ID number | [] |
| (3) Radio call number | [] |
| (4) Vehicle number | [] |
| (5) MDC number | [] |
| (6) Equipment information | [] |
| (7) Reports filed and type | [] |
| (8) Arrests (by type) | [] |
| (9) Citation written | [] |
| (10) Field interviews completed | [] |
| (11) Court time | [] |
| (12) CAD events | [] |
| (13) Overtime by category | [] |

Scheduling and Daily Roster

b. Ability to enter and maintain various shift types, including but not limited to, 24 hour, 9-day/80-hour, etc.:

- | | |
|-----------------|-----|
| (1) Start time | [] |
| (2) End time | [] |
| (3) Day of week | [] |

c. Ability to maintain a daily roster function to include, but not be limited to, the following:

- | | |
|-------------------|-----|
| (1) Agency | [] |
| (2) Employee ID | [] |
| (3) Name | [] |
| (4) Shift | [] |
| (5) Roster | [] |
| (6) Assignment | [] |
| (7) Station ID | [] |
| (8) Schedule code | [] |

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	<u><i>Response</i></u>
(9) Date range	[]
(10) Beginning hours	[]
(11) Ending hours	[]
(12) Date	[]
(13) Off duty	
i. Vacation	[]
ii. Floating holiday	[]
iii. Comp time off (CTO)	[]
iv. Workers' compensation	[]
v. Sick	[]
vi. Leave without pay	[]
vii. Military leave	[]
viii. Administrative leave	[]
ix. Leave of absence	[]
x. School/training	[]
d. Ability to maintain department schedule:	
(1) Team	[]
(2) Assignment	[]
e. Ability to identify staffing shortfalls in roster (based on minimum staffing levels for specific day and time of week) for overtime assignment	[]
f. Ability to maintain maximum number of positions allowed time off	[]
g. Ability to maintain promotion/special assignments	[]
h. Ability to manage employee attendance and exceptions:	
(1) Agency	[]
(2) Employee ID	[]
(3) Name	[]
(4) Beat assignment	[]
(5) Date/Time range	[]
(6) Type of exception (e.g., sick, court, comp, etc.)	[]
(7) Person replacing	[]
i. Ability to process shift trades	[]

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	<u><i>Response</i></u>
j. Ability to update roster in real-time during roll call	[]
k. Ability for roll call to update schedule	[]
l. Ability to schedule up to 6 months in advance	[]
m. Ability to maintain a 12-month leave schedule	[]
2. <i>Reports and Output</i>	
a. Ability to summarize deputy activity by:	
(1) Individual	[]
(2) Grouped by team, etc.	[]
(3) Timeframe (e.g., hour range)	[]
b. Ability to print (multiple copies) of predetermined interval (incident log, etc.) and external reports (news release information - blotter, etc.)	[]
c. Ability to itemize patrol activity by:	
(1) Type of crime	[]
(2) Date range	[]
(3) Calls for service report by date range with output showing by day of week and hour of day	[]
d. Ability to produce Deputy Activity Summary, for entire team or individual deputy, including:	
(1) Calls by type by day of week for every deputy and/or beat car in the primary unit which handled a call within the time period	[]
(2) Total time (dispatch to clear) units spent in service each type, including free time	[]
(3) Percentage of calls and total time as compared to all calls	[]
(4) Average response time (call receipt to on-scene) for each type with a grand total of all activity for every deputy with daily averages	[]
e. Ability to print roster report based on:	
(1) Date range	[]

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	<u><i>Response</i></u>
(2) Schedule code	[]
f. Ability to summarize deputy scheduled leave, sick leave, comp time, and total out-of-service time:	
(1) By employee (multiple)	[]
(2) By date range	[]
(3) By shift code	[]
3. <i>On-line Inquiries</i>	
a. Ability to retrieve individual deputy activity by:	
(1) Deputy name	[]
(2) Deputy ID	[]
(3) Date/Time range	[]
(4) Specific group (e.g., Team)	[]
4. <i>Interfaces</i>	
a. Ability for activity data from CAD to feed RMS activity log function	[]
b. Ability to interface with third-party scheduling software	[]

K. PERSONNEL AND TRAINING

1. Major Functions and Features

Personnel

a. Ability to maintain the following personnel information:

- | | |
|--|-----|
| (1) Name | [] |
| (2) Employee ID | [] |
| (3) Radio call number or CAD number | [] |
| (4) Addresses (minimum 2 addresses) | [] |
| (5) Multiple telephone numbers, with extension, including: | |
| i. Work | [] |
| ii. Home | [] |
| iii. Pager | [] |
| iv. Cellular | [] |
| v. Voice mail | [] |
| vi. Fax | [] |
| (6) Email address | [] |
| (7) Employment date | [] |
| (8) Rank | [] |
| (9) Division/Bureau/Unit | [] |
| (10) Bargaining group | [] |
| (11) Education history | [] |
| (12) Height | [] |
| (13) Weight | [] |
| (14) Certificates/licenses | [] |
| (15) Special skills (languages, licenses, etc.) | [] |
| (16) Promotion history (date, rank) | [] |
| (17) Current assignments (specialty, concurrent) | [] |
| (18) Previous assignments | [] |
| (19) ID card number/Expiration date/Renewal date | [] |
| (20) Emergency information | |
| i. Medical history | [] |
| ii. Date of last physics | [] |
| iii. Blood type | [] |
| iv. Emergency contact (names, addresses, multiple phone numbers) | [] |
| v. Next of kin | [] |
| (21) Indicator flags | |

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	<i>Response</i>
i. Retired	[]
ii. Carry concealed weapon (CCW)	[]
iii. Special operations	[]
(22) State DMV confidentiality	
i. Indicator flag	[]
ii. Application date	[]
(23) Next appraisal/review date	[]
(24) Termination information	
i. Notification of termination date	[]
ii. Termination date	[]
iii. File to storage date	[]
iv. File storage location	[]

Recruitment

b. Ability to capture and maintain the following recruitment information:

(1) Name	[]
(2) Address (work/home)	[]
(3) Telephone numbers (work/home)	[]
(4) Preferred contact location/time	[]
(5) Date of birth	[]
(6) Social security number	[]
(7) Ethnicity	[]
(8) Sex	[]
(9) Position applied for	[]
(10) Classification (e.g., academy, non-academy, lateral, other)	[]
(11) Academy attended	[]
(12) Academy graduation date	[]
(13) Scores	
i. Interview (multiple)	[]
ii. Written test	[]
iii. Agility test	[]
iv. CVSA	[]
v. Other	[]
(14) Personal history questionnaire	
i. Date received	[]
(15) Background check	
i. Investigator	[]
ii. Date returned	[]

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Response

- | | |
|---|-----|
| iii. Comment | [] |
| (16) Psychological interview date | [] |
| (17) Psychological interview pass or fail | [] |
| (18) Polygraph exam date | [] |
| (19) Polygraph exam pass or fail | [] |
| (20) Medical exam date | [] |
| (21) Medical exam pass or fail | [] |
| (22) Fingerprinted date | [] |
| (23) Disposition | |
| i. Conditional offer date | [] |
| ii. Final offer date | [] |
| | |
| c. Ability to track departmental vacancies: | |
| (1) Unit | [] |
| (2) Position | [] |
| (3) Category (e.g., sworn, non-sworn, volunteer) | [] |
| (4) Date open | [] |
| (5) Name (leaving) | [] |
| (6) Request to fill date | [] |
| (7) Date OK for hire | [] |
| (8) Replacement name | [] |
| (9) Hire date | [] |
| | |
| d. Ability to track applicant processing | |
| | |
| e. Ability to track prior applications and no-shows | |

Training

- | | |
|--|-----|
| f. Ability to capture and maintain the following training information: | |
| (1) Name | [] |
| (2) Employee ID | [] |
| (3) Rank | [] |
| (4) Assignment | [] |
| (5) Employment date | [] |
| (6) Education detail | |
| i. Years attended | [] |
| ii. Number of units | [] |
| iii. School | [] |

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	<u><i>Response</i></u>
iv. Degree(s) attained	[]
(7) Certificates of training	[]
(8) Courses and seminars attended	
i. Dates	[]
ii. Course name/title	[]
iii. Course number	[]
iv. Hours completed	[]
v. Instructor/school	[]
vi. POST/non-POST	[]
(9) Special skills (multiple)	[]
(10) Firearms qualification history	
i. Weapon type	[]
ii. Duty/off-duty	[]
iii. Score comment	[]
iv. Date	[]
(11) Serial number of non-agency issued weapon(s)	[]
(12) In-service training	
i. Date	[]
ii. Topic/skill	[]
iii. Hours completed	[]
iv. Instructor/school	[]
(13) Academy attended and date	[]
(14) POST certificates	[]
(15) State mandated training completion and dates	
i. First Aid	[]
ii. CPR	[]
iii. State DMV driving test	[]
iv. CLETS	[]
g. Ability to list training schedules	[]
h. Ability to track training hours budget and mandatory training by individuals, position or rank	[]
i. Ability to track course information:	
(1) Name/title of course	[]
(2) Course number	[]
(3) Date	[]
(4) Location	[]
(5) Hours	[]
(6) Voluntary/mandatory	[]

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	<u><i>Response</i></u>
(7) Advanced deputy training	[]
(8) Reimbursable/non-reimbursable	[]
(9) Grade	[]
j. Ability to set up and maintain a schedule for different types of training activities	[]
k. Ability to obtain tickler information on personnel in need of training by:	
(1) Person	[]
(2) Training type	[]
(3) Date	[]

Injury Tracking

l. Ability to track multiple work related injuries to personnel:	
(1) Date of injury	[]
(2) Type of injury	[]
(3) Incident report number	[]
(4) Indicator of pre-designated physician	[]
(5) Disposition	[]
(6) Work status/assignments narrative	[]
(7) Expected return date	[]
(8) Actual return date	[]
(9) Administrative dates	
i. Forms given to employee	[]
ii. Department notification of injury	[]
iii. Completion of administrative review	[]
iv. Forms returned by employee	[]
v. Forms submitted	[]
(10) Administrative review control number	[]
m. Ability to track personnel exposure to:	
(1) Hazardous materials	[]
(2) Contagious diseases	[]
n. Ability to track notification of exposure activities	[]
o. Ability to track injury time	[]

Response

2. Reports and Output

- a. Ability to summarize monthly training hours:
 - (1) Number of sessions []
 - (2) Members attending []
 - (3) Field training deputy []
 - (4) Total hours (sworn/non-sworn/volunteer) []
 - (5) Grand total hours []

- b. Ability to print summary of training by individuals/ training type []

- c. Ability to print breakdown of monthly training:
 - (1) Date []
 - (2) Subject []
 - (3) Sessions []
 - (4) Trainees (number) []
 - (5) Hours []
 - (6) Total hours []

- d. Ability to print training shortfall lists []

- e. Ability to produce history of assignments during career of individual []

- f. Ability to print summary (with user-defined date range) of career injuries and time lost by individual or group of individuals []

- g. Alphabetic List (sorted on any field) - overall personnel roster listing all names alphabetically and providing departmental information regarding each person's rank, division, bureau, unit and several personnel data elements including address and telephone number []

- h. List by Employee ID Number - provide a complete agency roster by ID number []

3. On-line Inquiries

- a. Ability to retrieve personnel records by:

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	<u><i>Response</i></u>
(1) Name	[]
(2) Special skills	[]
(3) Employee ID number	[]
(4) Team/squad/station assignment	[]
(5) Training class or school	[]
(6) Bargaining group	[]
b. Ability to display training history in reverse chronological order (most recent first)	[]
c. Ability to display career history of assignments by individual	[]
d. Ability to display current or future daily shift logs	[]

L. INVENTORY, EQUIPMENT AND MAINTENANCE

1. Major Functions and Features

- a. Ability to capture and maintain the following issued equipment information:
 - (1) Item number []
 - (2) Description/model/type []
 - (3) Size/caliber of weapon issued []
 - (4) Cost []
 - (5) Serial number/VIN []
 - (6) Asset property tag number []
 - (7) Issued to (individual, vehicle, or location) []
 - (8) Date of purchase []
 - (9) Date of issuance []
 - (10) Condition issued []
 - (11) Comments []
 - (12) Issued by []
 - (13) Date returned []
 - (14) Condition returned []
 - (15) Received by []
 - (16) Maintenance
 - i. Equipment type (weapons, etc.) []
 - ii. Repair dates and comments []
 - (17) Status code (lost/missing) []
 - (18) Replacement dates []

 - b. Ability to track individual components of equipment including running balance and maintenance history []

 - c. Ability to track duty and personal firearms:
 - (1) Duty/personnel []
 - (2) Serial numbers []
 - (3) Inspection and maintenance dates []

 - d. Ability to print and use barcode labels []
- 2. Reports and Output**
- a. Ability to print summary of equipment by employee []

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
b. Ability to print equipment issued and in-stock inventory listings	[]
c. Ability to print equipment lists by:	
(1) Item number	[]
(2) Serial number	[]
(3) Location/vehicle	[]
(4) Individual issued to	[]
(5) Equipment type	[]
d. Ability to print periodic inventory check lists by:	
(1) Building	[]
(2) Vehicle	[]
(3) Storage area	[]
e. Ability to print reorder lists	[]
f. Ability to print periodic inventory check lists by:	
(1) Tag number	[]
(2) Location	[]
(3) Manufacturer	[]
(4) Alphabetically	[]
(5) Item category	[]

3. *On-line Inquiries*

a. Ability to retrieve/view equipment records by:	
(1) Serial number	[]
(2) Equipment type	[]
(3) Location	[]
(4) Individual issued to	[]
b. Ability to view current issued inventory by individual/ vehicle	[]
c. Ability to review quantities consumed by date range and user	[]

M. PERMITS AND LICENSES

1. Major Functions and Features

- a. Ability to maintain information for masseuse and taxi permits []

Alarm Permits

- b. Ability to track commercial and residential security and fire alarm permits []
- c. Ability to track false alarms by location and frequency []
- d. Ability to generate form letters for false alarm occurrences []
- e. Ability to calculate false alarm charges and one-time fees []
- f. Ability to print summary of fines and false alarm response []
- g. Ability to generate invoice for excessive false alarm responses []
- h. Ability to handle any special requirements for grace periods, etc. []
- i. Ability to track permit detail master name information (minimum 3 names and addresses), expiration date and fee information []
- j. Ability to tie permit information with master name file inquiry []
- k. Ability to flag inquiry if permit/license expired, permit holder in custody or has felony arrest []

Bicycle Licenses

- l. Track the following bicycle license information:
- (1) Owner name []
- (2) Address []
- (3) Telephone number []
- (4) Bicycle []

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Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(5) Manufacturer	[]
(6) Model	[]
(7) Serial number	[]
(8) Color	[]
(9) Size	[]
(10) Type	[]
(11) Date licensed/expiration	[]
(12) Fee collected	[]
(13) Bicycle license number (UC Davis, etc.)	[]
2. <i>Reports and Output</i>	
a. Ability to print expired license/permit listing by license type	[]
b. Ability to print detail license/permit information	[]
c. Ability to generate serial numbers for licenses/permits	[]
d. Ability to print license/permit forms	[]
e. Ability to print calculated fees and charges	[]
3. <i>On-line Inquiries</i>	
a. Ability to review false alarm status:	
(1) Number of false alarms for user-defined period	[]
(2) Last notice	[]
(3) Billing/invoice data	[]
b. Ability to inquire license/permit information by:	
(1) Name	[]
(2) Permit number	[]
(3) Serial number	[]
(4) Manufacturer/model	[]
4. <i>Interfaces</i>	
a. Ability for CAD system to access alarm permit information:	
(1) Emergency contacts	[]
(2) Alarm company office	[]

N. MASTER VEHICLE INDEX

1. Major Functions and Features

a. Ability to capture and maintain the following vehicle information:

- | | |
|---|-----|
| (1) Vehicle type | [] |
| (2) License number | [] |
| (3) License state | [] |
| (4) License expiration date | [] |
| (5) Make | [] |
| (6) Model | [] |
| (7) Model year | [] |
| (8) Vehicle identification number (VIN) | [] |
| (9) Color | [] |
| (10) Narrative | [] |

b. Ability to capture and maintain towing information for a vehicle:

- | | |
|--------------------------------|-----|
| (1) Towed by | [] |
| (2) Towed to | [] |
| (3) Date toward | [] |
| (4) Reason towed | [] |
| (5) Date available for release | [] |
| (6) Release date | [] |
| (7) Released to | [] |

c. Ability to capture and maintain traffic citation/collision information for a vehicle:

- | | |
|--------------------------|-----|
| (1) Road type | [] |
| (2) Road condition | [] |
| (3) Road surface | [] |
| (4) Road characteristics | [] |
| (5) Points of damage | [] |
| (6) Traffic controls | [] |
| (7) Vehicle damage | [] |
| (8) Vehicle disabled | [] |
| (9) Hazardous cargo | [] |

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(10) Travel direction	[]
(11) Travel speed	[]
(12) Speed limit	[]
(13) Damage amount	[]
d. Ability to associate names from the Master Name Index to vehicles, for tracking:	
(1) Owner	[]
(2) Driver	[]
(3) Passenger	[]

O. SYSTEM INTERFACES

1. General

- a. System shall interface to the following systems. Specific data exchange requirements to/from the regional RMS are detailed in the Interfaces section of each section.
- (1) CJIS Jail Management System
 - i. Pre-booking []
 - ii. Inmate information queries []
 - iii. Feed RMS with master name index data
 - (2) CJIS Superior/Municipal Court System
 - i. Warrant information []
 - ii. Automatic exchange of case data []
 - iii. Query of case status []
 - (3) Autocite
 - i. Citation data exchange to/from RMS []
 - (4) CJIS District Attorney's Office System
 - i. Automatic exchange of case data []
 - ii. Query of case status []
 - (5) RiMS
 - (6) IFAS (County Finance)
 - (7) TMS
 - (8) FACES
 - (9) Livescan
 - i. Feed RMS with fingerprint data, mugshots, arrest information []
 - (10) PRC CAD
 - i. Automated download of pertinent incident data []
 - ii. Query of pertinent historical incident data []
 - (11) Existing Imaging System (TFP)
 - i. Booking photos []
 - (12) California DMV
 - i. On-line photos []
 - (13) CLETS/DOJ/NCIC
 - i. Law enforcement database queries []
 - (14) County Probation (PDS)
 - i. Query []
 - (15) I/LEADS
 - i. Feed master name index data with SFIA []
 - ii. Query I/LEADS of case and subject data []

County of San Mateo RMS RFP
Chapter 4: Functional Specifications

	<u><i>Response</i></u>
(16) DOJ	
i. Cal-ID	[]
ii. Cal-Gangs	
iii. Cal-Photo	[]
b. Ability for system to capture images (e.g., documents, photos) associated with crime reports and cases and interface such data with the vendor's proposed optical imaging solution	[]
c. Ability to interface with off-the-shelf geographic information system (e.g., ArcView) for functions such as incident plotting and trend analysis	[]

Appendix A

Supplemental Report Writing Questionnaire



Supplemental Report Writing Questionnaire

A. HARDWARE/SOFTWARE/DEPLOYMENT REQUIREMENTS

1. Does your reporting software support deployment on laptop computers and specialized mobile data computers (MDC) that are PC-compatible. Y/N _____

2. Supports deployment on fixed desktop workstations. Y/N _____

3. Supports LAN-based or workstation-based installation/execution.
 - a. Installation Y/N _____
 - b. Execution Y/N _____

4. Describe workstation hardware requirements.
 - a. Minimum/recommended CPU Y/N _____

 - b. Minimum/recommended RAM Y/N _____

 - c. Minimum/recommended hard disk capacity Y/N _____

 - d. Minimum/recommended video display capabilities Y/N _____

 - e. Other required/recommended hardware Y/N _____

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

5. Software is Microsoft Windows compatible
- a. Windows 3.x Y/N _____
 - b. Windows 95 Y/N _____
 - c. Windows NT Workstation Y/N _____

6. Software requires third-party software (database, word processor, spell checker, etc)? Specify any required/recommended third-party software. Y/N _____
-
-

7. Software includes third-party software (database, word processor, spell checker, components)? Specify all included third-party software components: Y/N _____
-
-

8. Software integrates with third-party software (office automation, Email)? Specify supported third-party applications. Y/N _____
-
-

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

B. USER INTERFACE

1. Software takes advantage of native Windows user interface capabilities to enhance data entry process:
 - a. Drop-down lists Y/N _____
 - b. Auto fill-in/autocompletion Y/N _____
 - c. Checkboxes, radiobuttons Y/N _____
 - d. Toolbars, pull-down menus, buttons, shortcuts Y/N _____

2. Software /hardware supports various input mechanisms:
 - a. Keyboard Y/N _____
 - b. Pen-based Y/N _____
 - c. Touchscreen Y/N _____
 - d. Voice-recognition Y/N _____
 - e. Other Y/N _____

3. Data is stored in open-standards compliant database or repository on MDC and server? Specify database(s) used. Y/N _____

4. Software allows agency customization:
 - a. Agency defined validations and edits Y/N _____
 - b. Agency defined forms Y/N _____
 - c. Agency specific processes/workflow Y/N _____
 - d. Tools provided to allow agency to develop additional custom forms and/or modify existing forms without assistance from vendor, with proper training. Y/N _____

5. The system provides flexibility in user interface and data collection options:
 - a. Interview-oriented data collection Y/N _____
 - b. Field entry oriented data collection Y/N _____
 - c. Graphical form-entry oriented data collection Y/N _____

6. The system supports multiple data transfer options
 - a. Floppy Disk Y/N _____
 - b. Other removable media (PCMCIA hard disk/memory card) Y/N _____
 - c. Commercial Wireless (CDPD, RD-LAP) Y/N _____
 - d. Wireless LAN Y/N _____

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

7. The system allows for electronic workflow capabilities:
- a. Electronic review and approval process
 - (1) Supports digital signatures Y/N _____
 - (2) Supports record sealing Y/N _____
 - (3) Tracks changes by user Y/N _____
 - b. Routing of documents to various departments/divisions/ personnel Y/N _____
 - c. Agency-defined events can trigger actions (Email, Printing, RMS update, etc)? Y/N _____

Specify types of events and actions.

- d. Groupware integration (Lotus Notes, Exchange, Groupwise, etc.)? Y/N _____

Describe:

8. The system supports integration with document imaging applications?
Specify imaging applications to which interfaces have been developed and deployed. Y/N _____

County of San Mateo RMS RFP

Appendix A: Supplemental Report Writing Questionnaire

C. REPORT GENERATION/OUTPUT

1. System is capable of generating high quality printed forms that are comparable or identical to existing pre-printed forms. Output capabilities should include but not be limited to:
 - a. Variety of Fonts
 - (1) Multiple typefaces Y/N _____
 - (2) Scalable/multiple sizes Y/N _____
 - (3) Supports portrait and landscape orientation Y/N _____
 - (4) Supports 0 – 360 degree rotation Y/N _____
 - (5) Multiple attributes (bold, italic, underline) Y/N _____
 - (6) Font graphics (inverse, outline, drop shadow, etc) Y/N _____
 - (7) Barcode/Postal Code/OCR character generation Y/N _____
 - b. Graphics capabilities
 - (1) Horizontal, Vertical and Oblique Lines Y/N _____
 - (2) Lines support various point sizes/thicknesses Y/N _____
 - (3) Boxes (outline and solid fill) Y/N _____
 - (4) Shading
 - i. Solid Y/N _____
 - ii. Gradient Y/N _____
 - (5) Graphics
 - i. Logos Y/N _____
 - ii. Images Y/N _____
 - iii. Supports industry standard formats (JPG, BMP, TIFF, PCX, etc) Y/N _____
 - iv. Watermarks/Background images Y/N _____
 - v. Scanned signatures Y/N _____
 - (6) Support for color
 - i. On screen Y/N _____
 - ii. On Printed output Y/N _____
 - (7) Support for printing double-sided forms
 - c. Supports Headers/Footers providing agency-defined information such as:
 - (1) Agency Name Y/N _____
 - (2) Printing User Y/N _____
 - (3) Print Date/Time Y/N _____
 - (4) Workstation ID Y/N _____
 - (5) Other information Y/N _____
2. Support for generation of HTML output to support publishing of completed forms to Intranet or Internet. Y/N _____

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

Describe: _____

3. Supports COLD (computer output to laser disk) storage capabilities. Y/N _____

Describe: _____

County of San Mateo RMS RFP
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D. OTHER FEATURES

1. Officers can save reports in progress and resume report at exact location in report completion process with no loss of data. Y/N _____

Describe process: _____

2. Officers can work on multiple reports and on multiple incidents simultaneously and can toggle between them at officer's discretion. Y/N _____

Describe process: _____

3. System does not "supercede" dispatch-oriented mobile data application.

- a. Officers can quickly minimize AFR application Y/N _____

Describe: _____

- b. Dispatch application can be "re-activated" with a single keystroke or function key Y/N _____

Describe: _____

- c. Dispatch audible alerts and/or indicators are still presented to officer while application is in use Y/N _____

Describe: _____

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

E. RMS INTEGRATION/INTERFACE

1. Is software application fully integrated with RMS application(s)? Y/N _____

Describe integration: _____

2. Has an interface between the proposed RMS and the proposed report writing systems been previously designed and implemented? Y/N _____

a. If so, at which agencies/organizations? Please provide contact information for up to three agencies.

3. Has the proposed report writing system been interfaced to a PRC CAD system? Y/N _____

If so, at what agency(s)?

4. Can data from the CAD Incident record be used to initiate a report and populate appropriate fields? Y/N _____

5. Are all fields collected in application transferable to RMS? Y/N _____

6. Do all fields in the application have corresponding data elements in the RMS application? Y/N _____

7. How does the interface handle multiple reports per incident?

8. How is the interface/transfer process initiated?

9. When is data in the RMS system updated?

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

10. What facilities are provided for “conflict resolution” (i.e. information in one report conflicts with information in another report)?

11. What facilities are provided for data validation and correction?

12. What is done with locally stored data after the update/transfer process is completed?

a. Which “copy” is considered the “master copy”?

b. What facilities exist for reviewing/removing data stored on the mobile data device?

c. Are records “flagged” after the transfer process has been successfully performed?

Y/N _____

County of San Mateo RMS RFP
Appendix A: Supplemental Report Writing Questionnaire

F. SECURITY

1. Is access to the application controlled by the use of a user-ID/password combination? Y/N _____

2. Is an audit log provided to record user activity? Y/N _____

3. Is this audit log secure from user tampering? Y/N _____

4. What types of activities and information are recorded in the audit log?

5. Are activities performed automatically associated with the user? Y/N _____

6. Is data stored within the system encrypted or otherwise protected from viewing should the mobile data device be lost or stolen? Y/N _____

Describe: _____

Appendix B

Optical Imaging Standards

Optical Imaging Standards

Vendors must review the following documentation provided by EID and the County's Information Services Division. Any proposed optical imaging document management system must be compliant with the standards incorporated herein.

San Mateo County



Electronic Document Management Systems Standards and Guidelines

Prepared by:

M. Kathryn Ciamarro, Project Manager
County of San Mateo, ISD

Robert M. Blatt MIT, LIT
Electronic Image Designers, Inc.

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Introduction

Background Information

The process utilized to develop this document included a high level review of existing processes throughout specific county agencies through an interview process, and/or through reviewing existing documentation. When those agencies had current reports related to these technologies, these reports were reviewed and in many cases, portions were incorporated in the accompanying Department/Agency high-level review document. This evaluation was limited to those activities associated with the document management and workflow technologies.

As industry standards and guidelines will continue to mature, this document will be kept current on an annual basis, enabling the County to maintain a current level of adherence, and compliance with selected industry related standards. The standards and guidelines that were evaluated were selected from American National Standards Institute (ANSI), Association for Information and Image Management (AIIM), and International Standards Organization (ISO). Other standard setting bodies (NISO, PIMA) were researched to ensure that all relevant guidelines and standards are listed in this document.

About the County of San Mateo

Several Departments within the County of San Mateo are currently engaged in projects to better process and manage their forms and records using electronic solutions including imaging systems, search, storage and retrieval systems and workflow systems.

The need to find a better means of processing, sharing and storing data in other than hard copy is greater than ever given current workloads, government regulations, the high volume of information available, and the fast-paced technological climate in which we live and work.

The County Manager’s Office and Information Services are partnering in an effort to promote standardization in the area of Electronic Document Management Systems in order to ensure



overall cost-effectiveness and the compatibility of data between multiple platforms, systems and technologies.

About the EDMS Standards Project

ISD has been mandated to maintain this document to ensure that all relevant information is current and available for review by County agencies.

Purpose

The County of San Mateo Standards and Implementation Guidelines, has been prepared by the Information Services Division (ISD). The purpose of this document is

- To establish a set of implementation guidelines related to DM/Workflow technologies
- To provide technical and project management support to those County agencies evaluating the technologies, but do not have internal staff knowledgeable with these technologies.
- To assist in reducing project related costs by developing a standardized approach to the evaluation, selection, and implementation of these technologies.
- To allow for the implementation of a technology foundation from which the County of San Mateo can add technologies, as required, while ensuring compatibility and information sharing.

Objective

The objective of the EDMS project is to provide County departments, by way of this document, an overview of records management technology, recommendations as to software and hardware standards, and guidelines to assist departments with the implementation of these systems.

Strategy

This report contains the results of research and analysis conducted by the project team into EDM and related systems. A comprehensive review of written materials, internet research, discussions with product vendors and independent industry analysts, as well as product demonstrations contributed to the results of this study.

Interviews were also conducted with pertinent staff within the County organization to ascertain the needs of departments and the current state of their document management technology.

The EDMS Standards Project Team is headed by Kathryn Ciamarro, Project Manager from ISD. The services of Electronic Image Designers, Inc, an independent consulting firm, were engaged for their specific industry and technology expertise. Representatives from several County departments have been included in the process.

Overview of Document Management Technologies

"Electronic Document Management" is becoming an all-encompassing term, referring to the integration of the underlying technologies including:

- Document imaging
- Document services
- Workflow
- COLD/ERM

2.1 Overview of Web Enabled Document Management Technologies

Document management systems provide users with access to more applications within a common user interface. One of the primary reasons users prefer this level of technology is the distributed functionality that becomes available almost immediately after implementation.

These systems provide numerous advantages over traditional client/server-based document management systems because users are already comfortable with browsers and the cost of implementing "thin-clients" is continually decreasing.

From a high level perspective, web based document management technologies enable users to:

1. Control access to documents
2. Link documents to various sources outside the WEB/HTML environment
3. Update documents
4. Maintain documents with native editors or manipulation tools
5. Position documents as part of a business process requiring bi-directional communication
6. Customize format, content, and accessibility for each individual user

These systems enable browser-based access to document repositories which were previously available only within very closed and proprietary environments. This browser-based access has become the lowest common denominator among document management products from a user perspective. With this type of user interface people utilizing this technology don't need to learn new interfaces every time different types of information become available. An example of this would be when organizations begin deploying information in non-traditional methods such as video, audio, or non-word processing based formats. The browser service would determine how to present the information to the user, allowing the user to determine whether they need the information or not. Previously the users were forced to first determine whether they needed the information, and if they did require the information, the user had to determine the best method of retrieving the information and then viewing it. In many cases, this became an extraordinary effort significantly increasing the cost of performing business activities.

From the end-user perspective, browser-based functionality is a primary reason the concept of the intranet has grown and become widely accepted throughout organizations. Using this technology enables users to establish online information repositories allowing for virtually any type of information to be accessed from a browser.

Many document management products enable users to save information in user-selectable formats including: HTML, and PDF format. This capability prevents the loss of formatting and other information that typically occurs when the users are forced to convert the information with third party products. The result of this technology trend is that the client workstations are no longer forced to maintain copies of various authoring tools to access the desired information. With some products the browser on the client can launch the native application or a viewer and maintain the original formatting and, possibly, editing. However, this approach requires that the native application or viewer be resident on the client platform, thus limiting the concept of universal access and ultra-thin clients.

To address this issue of installing complete copies of applications on user workstations for read-access only, many vendors have developed products that are now readily available, at little or no charge, to the end-user for read-only versions of the applications. Examples of this include, Adobes PDF reader, Microsoft's Word Reader, and Wang's Image Viewer (primarily for G3/G4 TIFF formatted images). Some vendors provide document viewers with support for a significant number of different file formats and include these tools within their document management services.

Web based document management systems enable applets, or thin-clients, to check information in/out of the repository, allowing users to make changes and check the modified information back into the repository. The browser client becomes a combination reader and editor for all types of information. This has been achieved through the use of applets that can be downloaded when required, or requested, or can be pre-loaded on the user workstations. These applets can be further managed from a centralized point enabling system administrators to control not only which functions are available, but also which users have access to those functions.

With these advances in technology, information can be more tightly tied to business processes and greatly facilitates collaborative information creation and management in a secure and controlled environment. Products that specifically exploit the dynamic nature of Web content and transform documents into entities capable of customized one-to-one communication provide the highest level of Internet-related functionality.

2.2 Overview of Imaging Technologies

Even in today's world, many organizations still function almost entirely in a "paper-driven" environment. This environment is a direct result of the need to maintain information on all aspects of the organization. As the organization expands and the volume of work increases, the amount of documentation grows at an enormous rate. This growth forces organizations to either dispose of documents not considered essential, or increase the storage areas used for the filing of

these documents. The problems which may occur are significant and could have an adverse impact on the overall client service provided by the organization.

To alleviate these problems, many organizations began using microfiche and microfilm technologies as well as establishing complex manual procedures to support organizational demands. When document management technologies are used to replace or augment manual paper management systems, organizations face another issue: how to successfully implement the desired technologies without adversely affecting the day-to-day operations. When addressing this issue, organizations need to determine which technologies are appropriate to address identified business and technical needs. It should be recognized that when implementing these technologies organizations will need to review existing day-to-day operations to identify where the technologies would be of value to prevent redundant processing.

From a high level view, there are four basic components to document imaging systems: **input, identification, storage, and retrieval**. The **input** components typically consist of multiple single-sided (simplex) and/or double-sided (duplex) document scanners. Inputting technologies enable users to capture information in a variety of formats including electronically completed forms, facsimile documents, and hard-copy documents. The scanning stations are used to convert hardcopy documents into a digital format for subsequent storage and management on the document imaging system. The **identification** stations allow users to identify (or index) incoming documents allowing them to be retrieved at a later date. During the identification process, the users can utilize various technologies that assist in minimizing keystrokes. These technologies include optical character recognition (OCR), intelligent character recognition (ICR), and barcoding. The **storage** portion of the system consists of various storage components that are connected to the document management or workflow server. The storage sub-system is accessed by the appropriate server to retrieve and store information managed by the system. The **retrieval** portion of the system consists of the user issuing a request for information that is then processed by the server. Once requests are received information is retrieved from the appropriate storage media connected to the server.

2.3 Overview of Document Services Technologies

Document Services Technologies enable organizations to manage their documents in an electronic format. This management includes the ability to restrict access to certain documents or group of documents to only authorized users. Along with security controls these technologies enable users to be granted different levels of access. For example the author of a document might only grant read access to all users outside of a specific department while granting "check-in/out" control to others who are working on updating the document. As the other users prepare to update the document, they would "check" the document out of the library, update the information and then "check" the document back in.

Document Services Technologies would ensure that any other user attempting to check the document out, would not be allowed to check it out, and would be notified that someone was already updating the document. Upon completion of the update cycle, the system automatically updates the version number of the document and makes it available to all authorized users.

Another portion of this technology is the ability to convert the document into a format accessible through an inter-/intra-net. This conversion is typically into either HTML, or XML, and is then published directly, or through an automated process, to the pre-configured web page for general access.

The utilization of electronic forms is another aspect of document services. Forms management enables users to create forms, manage the various versions of forms both during the creation/modification process as well as during the utilization of the forms by the users. This technology supports digital signatures and other authentication models enabling users to retrieve the desired forms and complete the forms either electronically or hand-written.

2.4 Overview of Workflow Technologies

Workflow provides for the automation of business processes and enables users to control the process logic in all the various environments throughout their inter- or intranet. The ability to control the various business processes and the document management system's control over content and integrity, enables mission-critical, document-centric business applications to operate in an environment otherwise cumbersome to implement and manage. This has resulted in most document management vendors offering an integrated workflow engine or integrating the workflow engine with various workflow products readily available throughout the industry. The primary difference between these two approaches is whether the product consists of only those components developed by the primary product supplier, or whether the primary product supplier has tightly integrated specialized technologies developed by other suppliers.

In the new approach to organizational networking, web-based workflow is becoming a major tool in the automation of document and information posting to a web site. In these environments, workflow applications are becoming tightly integrated to specific documents and other types of information. The actual integration of workflow and document technologies are becoming more prevalent as various coalitions and standards committee's continue establishing implementation guidelines and procedures. These guidelines and procedures are further enabling the acceptance of various technical standards and helping move this industry to the next stage of maturity.

The maturity of workflow technology and the associated trends are focused on the separation of the processing rules from the processing scripts, or work routing. In more sophisticated web-based environments, workflow scripts could be tightly integrated to specific documents, making the routing, editing, approval and submissions of documents manageable at the user level. Interaction with the various thin-clients would trigger sub-processes as defined in the workflow script, resulting in either the appropriate applet being downloaded and/or launched.

Workflow computing is the automation of work processes performed daily throughout any business. A workflow application automates the sequence of actions, activities, or tasks used to run the process. This includes tracking the status of each occurrence of the process and

providing tools to manage the process. There are four basic components to a workflow system: **processes, individuals, tools, and objects.**

- **Processes.** An automated workflow application is made up of the different tasks or activities that must be completed to achieve a business goal. The workflow engine manages these processes. The workflow application works in conjunction with the engine to manage the work process.
- **Individuals.** Processes are performed in a specific order by specific individuals (or automated agents taking the role of individuals) based on business conditions or rules.
- **Tools.** There are various tools accessed by the user including word processors, terminal emulators, etc. These tools are used to access existing host applications and perform office related activities.
- **Objects.** “Objects” is another term for data used by the workflow system. The term became more prevalent after the computing technology became sufficiently sophisticated to support video, audio, and other forms of information into the workflow system. These objects become the work item to be processed during the normal course of business.

2.5 Overview of COLD/ERM Technologies

Computer Output to Laser Disk/Enterprise Report Management (COLD/ERM) is an integrated software and hardware solution that stores and indexes *formatted* computer output (pages) on optical disks, magnetic disk, or magnetic tape as an alternative to paper printouts or computer-output-microfilm (COM). This formatted output consists of point-in-time daily, weekly, and monthly reports, such as transaction listings like billing statements and invoices. Once this page output is stored on the COLD subsystem it can be electronically retrieved, viewed, printed, faxed and distributed to workstations and host computer terminals within departments or throughout an enterprise.

While there are many different data types in the computing environment, the type of data which COLD technology is concerned with is typically the result of transactions (data files and database records) being formatted by the application into page - oriented form for printing on paper or computer output microfiche (COM). The structure and format of this output is known. This data is time-period focused -- it is a snapshot of an internal system at a given point in time. These reports are often the basis for analysis or comparative reporting. COLD systems have been designed primarily to handle this formatted output.

Essentially, the COLD process involves two procedures: recording (indexing and storing the data) and retrieving (making the data available to users). Within these two simple procedures, however, lay a myriad of complex tasks. Data must be downloaded or transferred to the COLD system server before it can be processed. The method used to transfer the data from the main-frame/host system to the COLD subsystem will vary depending on the communications capabilities currently in place. Recording consists of writing new documents to the storage media

and then making them available for retrieval. Recording speeds vary from system to system, and are most critical in high volume systems. The recording process involves:

- Transferring the data to the optical subsystem from the host
- Processing the pages from the transferred file (i.e., extracting index keys, compressing, and writing to optical disk)
- Adding the index records to the magnetic disk database

The retrieval process consists of the users accessing the system and selecting the appropriate report, or portion of the report, for viewing. The selection of the information to be retrieved is based on information entered by the user into the query screen portion of the viewing software. After the user selects the report, or portion of the report to be viewed, the system retrieves the information, displaying it on the users workstation.

EDMS Guidelines / Standards

3.1 Introduction

Industry guidelines and standards enable departments to follow industry accepted practices and procedures. These practices and procedures provide information for users (guidelines) and technology standards (standards) that should be included in the vendor product. Following these guidelines and standards will ensure that the department is able to implement the selected technologies following policies and procedures found to be necessary to implement highly successful systems. These guidelines and standards also enable the departments to implement products and technologies meeting their specific needs while being able to share information with other departments who may, or may not, have the same product installed.

Industry guidelines provide specific information to users that will enable them to acquire the detailed information necessary to successfully prepare for, select, and implement the desired technology.

The guidelines that users should evaluate include:

- Recommended document preparation procedures for scanning/indexing,
- Planning considerations for technology implementation,
- How to determine what information should be included during document indexing,
- RFP guidelines,
- Legal considerations,
- Forms design,
- Selecting the appropriate image compression methodology to be used,
- Sampling procedures to verify information being scanned and indexed

The industry standards include standards related to document services integration and toolkits, workflow integration and toolkits, document imaging and optical storage. A product supplier must certify that their product meets the specified standard(s) in order to ensure that the product is, in fact, compliant with the relevant standard(s).

It is important to note that as the industry creates and approves new standards and guidelines, this document will be updated to reflect those changes after the standard/guideline have completed the appropriate ANSI/AIIM approval process.

3.2 Selecting the Appropriate Guideline/Standard

The County of San Mateo recommends that departments preparing to select document management and workflow products review relevant industry guidelines and determine whether the vendors being evaluated meet the appropriate standards associated with that portion of the technology. **Detailed information on each standard and guideline are provided in Appendix A.** Examples of various guidelines and standards for each of the technologies are documented below.

3.3 General

3.3.1 User Guidelines

User guidelines should be reviewed and will assist the department during the preparation, planning and implementation phases of the document management project. Industry guidelines are identified by an alphanumeric code and attached date, i.e., TR2-1998. (“TR” = Technical Report)

3.3.1.1 Terminology

To gain an understanding of various terms used throughout the industry, the department should review the glossary of document technologies (TR2 – 1998). This document provides a detailed list of various terms that will be encountered during discussions with product vendors and integrators.

3.3.1.2 Human and Organizational Issues

When implementing these technologies the department will face several human and organizational issues. The Human and Organizational Issues guidelines (TR35-1995) provides detailed information gathered throughout the industry related to system usability and adoption by the users. This guideline will assist the department during all the change management activities required for successful system implementation.

3.3.1.3 RFP Development

Prior to selecting a specific product/integrator, the department should document system requirements and provide them to those vendor(s), or integrator(s) being considered. TR27-1996 is a guideline that can be used to develop these RFP's. Regardless of whether the RFP is being sent to a single vendor/integrator, or multiple vendors/integrators, this document should be developed to enable the department to clearly define their re-

quirements and enable the vendor/integrator to clearly understand all business and technical goals and requirements.

3.3.2 Legality Issues

Legality issues that should be considered by agency counsel include:

3.3.2.1 Expungement

Expunging information from databases and storage systems need to meet specific legal requirements. This technical report (TR28-1991) provides detailed information related to information expungement as ordered by the courts or other administrative authority.

3.3.2.2 Legal Acceptance of Records

This is a 4 – part technical report (TR31:1, TR31-2, TR31-3, and TR31-4) providing detailed information on evidentiary issues associated with using electronic imaging systems and optical storage technologies.

3.3.3 Technology Standards

Technology standards are developed for specific technologies and not at the “general” level. All industry related and relevant standards are listed in the appropriate technology category within this document.

3.3.4 Implementation Considerations

Implementation considerations should include:

3.3.4.1 System Administration

When selecting the technologies required to support the business requirements, the department should receive and maintain detailed information related to system administration functions required to administer and control all applications, security, system server hardware, and data backup/migration. This information should be provided by the product supplier, or system integrator. These requirements should include:

- Operating system management (updates, patches, backup, restore, etc.)
 - Application software (updates, patches, backup, restore, etc.)
 - System security (user additions/deletions, security modifications, etc.)
 - Data migration (retention periods, media replacement, etc.)
 - Hardware trouble-shooting tools
 - Database management utilities
-

3.3.4.2 System Performance

To ensure that information is available for use by the users within anticipated time frames, it is important that specific requirements related performance expectations be defined. The department should determine the anticipated response times they expect from the system for:

- Document Viewing
- Document Printing
- Scanning/indexing Performance

3.3.4.3 System Scalability

When considering document management and workflow technologies, the department should ensure that the solution be scalable. This scalability includes the ability to increase the number of processors in a multi-processor environment, increase the number of servers to operate in a cooperative fashion, as well as increase the storage capabilities as required by the department. Requirements should include:

- The ability to increase the number of system users without component replacement
- The ability to support other technologies, i.e. OCR, Form management, etc.
- The ability to support multiple servers and optical jukeboxes in a distributed manner
- The ability to support symmetrical multi-processing

3.3.4.4 Fax Services

The utilization of facsimile transmission services enables users to send and receive faxed documents directly at their workstation. When considering these services, departments should evaluate the following requirements to support their specific business needs:

- **Outgoing Fax without Document Viewing.** This provides the ability for users to fax documents directly from their computer without viewing each document first. The user should have the ability to select a range of documents and have them routed to the fax "server" for transmission.
 - **Outgoing Fax after Document Viewing.** This provides the ability for a user to fax a document during viewing. The user should have the ability to attach other documents to the outgoing fax as appropriate.
 - **Incoming Fax Processing.** As incoming documents are received the system should support the ability to receive incoming documents and automatically route the document based on configurable rules (via a system administration interface) either by incoming telephone number, or through forms processing).
 - **Fax Status Reporting.** The system should provide a fax reporting capability enabling users to view status and historical information related to faxes sent by the user. This historical reporting should be based on user security rights, preventing
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users from accessing other users' history, while supporting users with higher levels of security to access all historical records.

3.4 Document Imaging

3.4.1 User Guidelines

User guidelines that should be reviewed for document imaging technologies include:

3.4.1.1 Planning

During the planning stages of the project, the department will need to address various issues including planning for the implementation of document imaging and preparing the documents to be scanned (TR15-1997). This document provides detailed information at the user level related to the various planning and preparation activities that are recommended throughout the industry.

3.4.1.2 Indexing the Information

As the department plans to implement document imaging, the department should review the suggested index field guidelines (TR40-1995). These guidelines provide detailed information that should be considered when planning the indexing requirements for all documents being scanned. Establishing all the necessary index values prior to system implementation greatly improves the value and quality of information being scanned and stored in the system.

3.4.1.3 Storage Technologies

During the planning stages of the project, the department should review "The Use of Optical Disks for Public Records" (TR25-1995) which provides guidelines for the planning, implementation, and operation of long-term and permanent public records.

3.4.1.4 Media Labeling

As the department begins using optical media, it becomes important to label the media in a standardized approach. The Labeling Guideline (TR21-1997) provides detailed information for both users and vendors resulting in a standardized labeling methodology beginning with the first piece of media being used. This labeling methodology will enable departments to review and select media stored "outside" the jukebox without being forced to "guess" as to the contents of the media, as typically happens when labeling is done "on the fly".

3.4.1.5 Image Formats

The department should ensure that all information being scanned is stored in an industry-accepted format. There are various compression methodologies that are available. TR33-1998 is a guideline that provides information enabling users to select the appro-

ropriate compression technology that the vendor/integrator must support for different types of data. The different types of data may include scanned documents, line art, photographs, etc.

3.4.1.6 Quality Control

As the system is moved into production, it will become important for the department to develop a methodology of reviewing both index data and the actual documents to ensure the information is available and readable. The Sampling Procedures guideline (TR34-1998) provides detailed information to the users that can be used to set up and perform the necessary index and image data to meet required quality guidelines for the department.

3.4.2 Technology Standards

Technology standards in this area are currently being developed by ANSI/AIIM. As these standards are completed and approved, those applicable will be incorporated.

3.4.3 Implementation Considerations

Implementation considerations should include:

3.4.3.1 Document Scanning & Indexing

When implementing document scanning and indexing technologies, the requirements should include detailed information related to all processing phases. The issue of performance is of critical importance and the department should ensure that the selected solution provides the ability to scan AND index documents within anticipated time frames. The various processes associated with document scanning and indexing includes the time required to prepare the document for scanning, scanning the documents, ensuring all documents and all sides (for double-sided documents) are captured, the time required to index and verify the documents, and the time required to route the document to the end user for further processing (if workflow technologies are being utilized).

3.4.3.2 Scanning/Indexing Performance

The system must be capable of scanning both sides of double-sided documents simultaneously on high-speed scanners that can accommodate the daily work volume at the selected County scanning site. The system must also be capable of supporting low, medium, and/or high volume scanning depending on user requirements. The total number of scan stations and indexing stations must be determined by the department to ensure that all work can be processing within anticipated time frames and available for use when needed.

When establishing the scanning and indexing performance, the department should include all necessary steps from the initial mail preparation through the index verification stage to ensure that anticipated processing and response times are achievable.

Imaging systems should retrieve and display any specified document requested by a user within 30 seconds for the first page of the document or set of documents and 10 seconds for any subsequent pages of any document included in the request stored on optical media and not currently available from magnetic cache. These time periods include all time required to retrieve the appropriate optical media, reading all requested pages from optical, storage of all requested pages on magnetic cache, and subsequent transmission of the first page to the user for viewing. This response time is used to take into account the time required to: “spin” the drive down, eject the media, retrieve new media from the storage bays, insert the media into the drive, “spin” the drive up, and retrieve information from the media. While magnetic storage can be used in lieu of optical media, it is highly recommended that all information be stored on write-once media preventing alterations and/or changes as required in various state government code.

To further clarify this requirement, if a user requests the entire file, the system will be able to display the first page of the first document in that file within 30 seconds, and then every other page of the document within 10 seconds. The system should maintain only one source copy of each specific document even though the document may be accessed and “logically” appear in several different file types. To prevent forcing an additional time period on a user when the system needs to “swap” media to get the other document, the retrieval software must support the ability to retrieve other documents in a parallel fashion (pre-fetching), thereby anticipating the user’s needs.

The imaging system should be capable of printing user-selected documents within one minute of the user request. This response time includes document retrieval from optical storage and transmission to the selected printer. The user should have the ability to select a document, or range of documents, to be printed without being forced to view any of the pages prior to print submission. The one minute time period for document retrieval and printing is greater than the required period for viewing, since retrieval requests for viewing typically have a higher priority than those for printing.

3.4.3.3 Image Compression

Image compression/decompression should support CCITT Group 4, JPEG, or PDF outputting formats standards with no proprietary alterations of the algorithms. The selected compression technology should not include extraneous information not supported by the relevant industry standards.

3.4.3.4 Document Scanning

The document scanning portion of the system must provide the ability for the users to quickly digitize documents and route these documents to the person performing the indexing operation. Requirements associated with this portion of the system should include:

- The ability to support both batch processing and single document scanning and indexing document re-scanning procedures.
- The ability to support both simplex and duplex scanning
- The ability to support a range of scan densities from 200 DPI (Dots Per Inch) – 400 DPI
(Special considerations must be taken into account for digitizing color photographs or video clips)
- The ability to set page breaks when batch scanning documents of fixed length
- The ability to preset common fields (for indexing purposes) when scanning in batch mode
- The ability to support auto-indexing of documents using barcodes, Optical Character Recognition (OCR) or Intelligent Character Recognition (ICR)

3.4.3.5 Document Indexing

Detailed information related to all aspects of document indexing should be clearly defined. This should include the ability for users to index documents on workstations other than the scanning stations and support the ability to:

- Index images either prior to optical storage, or immediately after storage
- Add other indexing values
- Support batch indexing

3.4.3.6 Quality Control

When defining quality control for document scanning and indexing the department should include the ability for the user to be able to:

- Check and validate the complete scanning and indexing process
 - Ensure data indexing accuracy
 - Verify readability of each page of each document
 - Verify proper indexing of each document
 - Verify proper page counts for each document
 - Verify proper security for each document, file section, and file
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3.5 Document Services

3.5.1 User Guidelines

User guidelines in this area are currently being developed by ANSI/AIIM. As these guidelines are completed and approved, those applicable will be incorporated.

3.5.2 Technology Standards

Technology standards should include:

3.5.2.1 Open Source Distribution

The product vendor/supplier should certify that the department could use openly contributed document management software and metadata definitions (information describing the document) with their specific product. This will enable the department to integrate other document services technologies without significant system re-development.

3.5.2.2 Development Toolkits

The product/vendor supplier should certify that the system utilizes industry standard application programming interfaces. This will enable the department to implement document services system and access information stored on other document services implemented throughout the network. These toolkits simplify application development and will enable the departments to develop a common user interface regardless of the product used to "house" the actual data.

3.5.3 Implementation Considerations

Document services enable users to create, modify, and manage electronic files typically associated with various office processing applications. These capabilities include:

3.5.3.1 Version Control/Check-in & Check-out - The department should ensure that the product fully supports version control and check-in/out methodologies. Version control should automatically update the version number whenever a previously "checked-out" document is returned to the information repository. The system should prevent more than one person from checking documents out for modification and utilize a security model ensuring that only authorized personnel can perform these functions.

3.5.3.2 Logical Folders - The ability for the users to "logically" link a single file to multiple folders is important to prevent document duplication. The Department should ensure that the selected product supports the ability for an authorized user to create a copy of a file within a specific folder, or set of folder(s) while maintaining only one physical copy of the document within the system. The system should provide informa-

tion related to which folders are "linked" through a query mechanism available to authorized users.

3.5.3.3 Group/User Security – The system should provide the ability for departments to apply security access/restrictions at both the group and user levels. The group level security should apply to all users within the defined group, while user level security should provide additional security restrictions or capabilities for specified users.

3.5.3.4 Document/File Security – The system should provide the ability for departments to apply security at the document or file level. Only those users with appropriate security levels should have access to these documents and/or files. This security should include read, update, annotation, highlighting, “mark-up”, and creation control.

3.5.3.5 HTML/XML Conversion – The system should provide for either HTML or XML data conversion (or both) as required by the department. This should enable the users to convert existing office documents into a format that can be accessed through a standard web browser.

3.5.3.6 Document Publishing - The system should provide the ability for a department to update an existing web page automatically either after data conversion, or review by the “web-master”. This document publishing functionality should include the utilization of web templates that would be used to reformat the document into either HTML or XML format.

3.6 Workflow

3.6.1 User Guidelines

User Guidelines in this area are currently being developed by ANSI/AIIM. As these guidelines are completed and approved, those applicable will be incorporated.

3.6.2 Technology Standards

Technology standards should include:

3.6.2.1 Workflow Development Toolkits

The vendor should certify that the product supports the various Workflow Management Coalition (WfMC) Application Programming Interfaces (API's). These API's as documented in the WfMC Application Programming Interface document will ensure that the implemented product utilizes industry standard application interfaces. This will enable the department to have the user interface developed and operate with other standard compliant workflow systems, without any significant system re-development.

3.6.2.2 Workflow Auditing

The vendor should certify that the product supports the WfMC Audit specification. This specification details information to be captured and managed by the workflow system during operation. This will ensure that all relevant data is associated with all functions within the workflow technology.

3.6.2.3 Workflow Interoperability

The vendor should certify that the product supports industry interoperability standards including the usage of standard e-mail systems. These interoperability standards will enable the department to share workflow information directly between different workflow systems without requiring specialized development.

3.6.3 Implementation Considerations

Implementation considerations should include:

3.6.3.1 Workflow

Workflow technologies include various types of routing including Ad-hoc Routing, Administrative Routing, and Production Routing. Ad-Hoc routing enables the user to specify a specific process for a document to follow for that document only. Administrative routing enables users to define specific routing for a specific type of work that is always followed, regardless of the data within the work being routed. Production routing enables the users to define rules and work methods which are based on the document type AND data contained within the work item. As the data changes, the production routing system would process the document accordingly, including the ability to support work timeouts, escalation, and work reassignment.

3.6.3.2 Role versus User

There are two approaches to defining users within a workflow environment. The first method is to define a specific user to manage a specific task or activity. The second approach is to define a role within the work task or activity and then assign as many users as necessary or appropriate. The departments should require a "role" based system when implementing production workflow technologies. This allows greater flexibility in system administration.

3.6.3.3 Routing Requirements

For those departments requiring production workflow, the system should allow a user to route a document, section, file, or memo to another user. The following capabilities should be considered:

- Ability to automatically route documents into a routing queue based on document type or "type of work"
- Ability to support multiple routing queues for each user based on the "type of work"
- Ability to sort/retrieve documents in a routing queue in date order
- Ability to sort/retrieve sections in a routing queue in "type of work" order
- Ability to sort/retrieve documents in a routing queue in document type order
- Ability to sort/retrieve documents in a routing queue for a specific person
- Ability to "pend" or "hold" items in that user's routing queue for work at a later time
- Ability to retrieve specified documents from the routing queue on demand
- Ability to define which documents require additional documents prior to forwarding
- Ability to define timeframes for when additional documents must be received
- Ability to define action to take if specified documents are not received by specified date
- Ability to process defined documents as a "logical" folder

3.6.3.4 Graphical "Rule Designer"

The system should support the ability for authorized users to create and modify work rules associated with the workflow system. This ability should include graphical based design and management tools that would be used to create/modify work rules within a Windows or browser based user environment.

3.6.3.5 Work Monitoring

When selecting workflow technologies, the department should evaluate whether work monitoring is required for their operation. Work monitoring tools enable the users to monitor current on-going work, in a real-time basis (typically). This work monitoring is used not only for "load-leveling" of ongoing work activities, but also to see if there are any "bottle-necks" in the overall workflow process.

3.6.3.6 Escalation Procedures

For those departments requiring production level workflow, the selected solution should include the ability to automatically route work to a different user based on a

specific rule or set of rules. The solution should also include the ability for users to manually escalate work as appropriate. During this escalation procedure, the solution should have the ability to have the work item returned, or permanently reassigned as determined by the user.

3.6.3.7 Error Handling

As workflow items can include information not previously anticipated during the rules definition, the department should require that the solution include the ability to handle errors within the routing of work through the workflow engine. The error handling should include the ability to pre-define a role that would receive the appropriate work items that are determined to be in error.

3.6.3.8 Time-out Procedures

When workflow is implemented, there are many instances where the timeliness of completing a specific work activity, or group of activities, are important. The ability to establish timers for all work items becomes very important. The department should require that the solution support "timer" mechanisms and that the user is able to set these time out values for specific activities throughout the graphical work "rule designer" tool.

3.7 COLD/ERM

Industry Standards and user guidelines in this area are currently being developed by ANSI/AIIM. As these standards and guidelines are completed and approved, those applicable will be incorporated.

Implementation Guidelines

The County of San Mateo has established guidelines for use by County agencies in the selection and implementation of document management and workflow technologies. These guidelines will assist agencies in the evaluation and selection of appropriate technologies addressing specific business issues. Each of the following sections provides detailed information on those activities requiring completion prior to product/vendor selection.

4.1 Process/Procedure Baselineing

The purpose of process/procedure baselineing is to clearly define existing processes/procedures and identify issues and problems currently encountered. This is achieved through a detailed

analysis of existing processes and procedures. When performing this analysis it is important to capture and document activities including:

- How documents and information are received
- What occurs to these documents after receipt (i.e., stamping, sorting, logging, delivery, etc.)
- How are these documents utilized and how many people use the same document to complete a specific activity, or process
- What happens to the document during the processing (annotation, highlighting, copying, etc.)
- After the processing is completed, where is the document stored, are there multiple copies, etc.

This information should be gathered through interviews with selected users within each processing unit. These users should include experienced users (non-management), and management personnel. It is important to note that the team gathering this information should represent the business units from a user perspective and include ALL processes and procedures currently being used. As the baselining process continues, users may describe processes and/or procedures that are not “officially sanctioned” in the day-to-day processing. These workaround, or alternative methods, need to be documented, as well as all other user workarounds and methodologies implemented to complete the daily work activities.

Upon completion of this documentation, the users should have an opportunity to review the baseline document to ensure that all functions and activities related to their processing have been accurately captured and documented. It is very common for these documents to have multiple versions presented prior to user sign-off. This is due to the primary fact that most users do not have complete documentation related to how the documents are managed at the detail level.

4.2 Anticipated Processes/Procedures

Upon completion of the baselining process this information is evaluated to determine where non-technology based and technology-based change could be implemented. Examples of non-technology based change typically include reduction in document copies, and the revision of outdated procedures, elimination of redundant procedures, and duplication of processes/procedures between departments.

4.3 Requirements Definition

The requirements definition should be detailed and be directly related to issues documented during the process baselining activity. The following sections provide additional information on technology requirements associated with various aspects of document management and workflow technologies that should be considered by departments.

4.3.1 Records Management

When researching technology solutions for document management technologies, public organizations must be cognizant of government mandated records management policies. The County of San Mateo is working to develop a *RECORDS MANAGEMENT MANUAL* that will identify and clarify statutory requirements, administrative roles and responsibilities, and the scope and content of the Records Management Program at the County of San Mateo. In addition to this, it will also offer guidelines and procedural information for daily operational use of public records maintained by the County.

As defined: "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, optical storage meeting current industry ANSI, AIIM, or ISO specifications or guidelines, or other document, regardless of physical form or characteristics and including such copies thereof, that have been made by or received by any agency of the County of San Mateo in connection with the transaction of public business.

County records are public records and may not be destroyed, microfilmed or transferred to the California State Archives without an official retention period approved by the State of California, or authorized agent.

1.4 Critical Success Factors

The definition of the critical success factors (CSF) for the solution should be clearly defined. These CSF's should enable the department and the vendor to identify those areas of critical importance related to the successful implementation of the desired technologies. Common examples of critical success factors from both a business and technical perspective typically include:

4.4.1 Business Related Goals

- **Improved service.** Users need the ability to quickly access and review information managed by the Document Imaging and Workflow system.
 - **Ability to track and monitor work activities.** The system should enable the users to track all ongoing work including the ability to re-assign work from one user to another. This tracking capability will enable the department to implement workload leveling when appropriate.
 - **Centralized historical information between departments.** The system should enable the department to maintain centralized history related to all activities associated with the client/constituent. This history centralization should include both system-generated activities (i.e., date scanned, date routed, etc.) and user generated information such as notes taken during telephone conversations. The users should have access to information allowed by their security access, limiting access to information required by higher levels of security.
 - **Increased efficiency of available resources.** The department should be able to utilize the selected technologies to support ongoing business activities. The se-
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lected technology should enable users to decrease time spent on paper and file handling activities including stamping, stapling, copying, delivering, and filing documents and increase time in the areas of work processing.

- **Satisfy various government regulations pertaining to document retention.** The use of optical storage to replace existing microfilm/microfiche must adhere to any laws and/or regulations covering the storage, retention, and retrieval of information on optical storage media.
- **Decreased storage costs.** The solution must provide the ability to utilize optical storage technology to reduce the overall cost of storing and retrieving all “hard copy” information currently stored on microfilm/microfiche and other storage locations.
- **Decreased costs for manual document management.** The cost for manual document management needs to be reduced, along with increasing the ability to provide greater improved service at a lower cost per request.
- **Simplified user access to application, work-order, and other data.** The overall solution must enable the users to quickly select and access the desired information without using highly complex user interfaces or tools. The user interface needs to be easy-to-use by the various system users.

4.4.2 Technical Goals

- **Scalability.** The system must be fully scaleable allowing for an increase of the number of users and volumes of data without replacing primary system components. This Scalability must be in the areas of increased memory, disk storage, optical storage, CPU speed and size, etc.
 - **Migration Path.** A clearly defined migration path must be fully supported by the proposed solution. This migration path must provide for the integration of new Document Imaging and/or Workflow related technologies to ensure proper integration without adversely affecting the proposed solution and/or data managed by the existing system.
 - **Modularity.** The various client-based applications must be modular allowing for implementation of additional functionality without adversely affecting the overall system solution. This includes the ability to add routing, "virtual" file folders, high-volume printing, automated fax services, workload distribution and monitoring, etc.
 - **Web based Access.** The system must fully support intranet/internet web based technology where the various web servers will provide all the necessary mechanisms to store and retrieve information requested by the user, provide system level security for both users and data, and associated system management functions. All applications must be fully integrated to prevent redundant hardware and software on both the workstation and web server platforms.
 - **Utilize industry standard components (no proprietary architectures allowed).** The associated components within the solution must be commonly available throughout the Document Imaging & Workflow industries and be fully supported by the selected product supplier and have full user and/or development documentation and libraries.
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4.5 Document Conversion Issues

There are three different approaches to existing file/data conversion in use throughout the Document Management/Workflow industries. Full Backfile, partial Backfile and As-Needed. The department should review and determine which approach best meets the previously defined business and technical goals. The approach selected by the department will become extremely important if there are existing documents/files that need to be converted, along with new and ongoing document receipt. Full-Backfile and Partial-Backfile conversions typically require the selection of an outside "conversion" organization capable of processing large volumes of documents within a short time frame. The determination of whether to utilize an outside conversion organization, or to convert using internal resources should be based on the volume of information to be scanned, the complexity of the required indexing, and the required expediency of the conversion. The various approaches that should be considered by the department include:

- Full Backfile Conversion
- Partial Backfile Conversion
- As-Needed Conversion

4.5.1 Full Backfile Conversion

When selecting a full backfile conversion, the department would have all existing hardcopy documents available for use within the system in an electronic format. This conversion methodology is used when existing documents must be converted to meet business and/or technical goals. This methodology is typically very expensive and time consuming. The costs associated with full backfile conversions are based on the volume of documents being converted, the total number of "key-strokes" needed to index each document, calculated by the total number of characters. When calculating the total number of characters, the department should determine the level of accuracy required. For conversions where the conversion organization will only enter the information once (minimal data verification), the accuracy is typically not high enough to directly import the information into the document imaging portion of the system. It is recommended that a verification process (commonly achieved through "double keying") be implemented which increases the cost of conversion to an industry average of \$0.10 per page to \$0.20 per page.

4.4.2 Partial Backfile Conversion

This conversion methodology is similar to the full backfile conversion except that the department should select specific documents requiring conversion. Other than reducing the total number of documents requiring conversion, all considerations outlined within the "full backfile" methodology apply.

4.4.3 As-Needed Conversion

This conversion methodology enables the department to convert documents when required to complete an activity or process, when new work is initiated. This conversion effort typically does not require the utilization of an outsourcing organization as is typical with back file conversion. To perform this type of conversion, the system should have a common "list" of where all documents are located including both hard copy and electronic copies. The purpose of this list is to enable the users to quickly locate documents and determine whether they are available in the document imaging system, or whether they are in hard-copy format and require conversion. As new work items are received, the system should notify the user (or scan/index operator) that other documents are in hard-copy format and need to be retrieved, scanned, and indexed, prior to routing to the user(s) for processing.

4.6 Product Evaluation Guidelines

When evaluating products, the department should consider several factors associated with the product and technology. Areas that should be considered include:

4.6.1 Product Maturity

The department should evaluate the level of product maturity. This evaluation should include determining how long the product has been generally available, whether the product is in an early release stage (is this a new version which has not been fully implemented by the user community yet?), or whether the selected product has been in production for at least 1 year. All products are continually being updated to provide new functionality, "bug" fixes, and adherence to new standards and technologies. It is important for the department to consider the maturity of each portion of the selected solution when determining the overall risk factors associated with implementing these technologies.

4.6.2 Adherence to Relevant Industry Standards/Guidelines

When reviewing various products and technologies, the departments should consider whether the selected product(s) adhere to the appropriate standards and/or guidelines established for the County of San Mateo (See Section 3 of this document).

4.6.3 Ability to Meet Key Objectives and Critical Success Factors

Each department should evaluate whether the selected product meets all, or a portion, of the previously defined critical success factors. It is important the department selects the most appropriate solution to address the previously defined business and technical requirements, rather than being forced to modify business/technical goals to meet the capabilities of the selected product. For those areas where the selected technology does not meet the stated requirements, the department should evaluate and determine the potential risk associated with changing the requirements. Changes to requirements may be in order due to technology not being mature, the requirement being a future item, the requirement not being critical to the success of the department, etc.

4.6.4 Level of Available Technical Support Both During and After Implementation

When selecting the product/technology, the department should review the level of technical support both during and after technology implementation. The department should determine whether the primary product supplier provides all support (with the exception of 3rd party development) related to the installed product, or whether technical support is only available through a reseller, or "partner".

4.7 Technology Evaluation Guidelines

When evaluating appropriate technologies required/necessary to meet business and technical goals, the department should consider several factors associated with the technology. The evaluation of the appropriate technology should include:

- COLD/ERM
- Document Imaging
- Document Services
- Workflow
- Forms Management
- Web Publishing

4.7.1 COLD/ERM

COLD/ERM technologies should be evaluated after the department has determined whether data mining, or report mining is required. When evaluating COLD/ERM technologies the department should review the downloading, indexing, and storage processing requirements. Additionally, the department should consider the complexity of configuring the system to support new and/or modified report formats and indexing requirements. The ability of the technology to support simplified user access to data via a "query" screen and the ability to "cut and paste" information from a retrieved report, or page, to a standard office application should be considered. When evaluating COLD/ERM technologies, the department should ensure that the system is capable of loading and indexing the daily work volume without impacting the users. This functionality of "loading" should include automated indexing based on templates defined by authorized users.

4.7.2 Document Imaging

When evaluating these technologies, the department should meet with other organizations (similar in size and processing) that have implemented technologies by the product supplier in

the same configuration being considered. This includes all aspects of document scanning, indexing, and verification. Overall system performance should be reviewed along with ease of use and processing accuracy.

4.7.3 Document Services

These services enable users to manage electronic information independent of the tool used to create the information (i.e., word processing, spreadsheets, facsimile documents, etc.). Document services typically enable users to check documents “in” and “out” of information repositories, support document version control, and support document, group, and file level security rules. When evaluating these technologies, the department should consider whether the product supports these functions along with being integrated with web publishing components (described below).

4.7.4 Workflow

When the department determines that workflow technologies are required it must be decided whether ad-hoc, administrative, or production level technologies are required. For ad-hoc and administrative routing/workflow requirements, the department should evaluate whether the product includes simplified authoring tools (for non-complex routing procedures) that can be used in a graphical environment along with monitoring capabilities. The monitoring capabilities should enable authorized users access to work queues, or “baskets”. These administrative and monitoring tools should further enable the authorized user to re-route work items and establish basic escalation and “time-out” procedures. These escalation and “time-out” procedures enable the users to establish a specific amount of time which a work item can remain at any specific activity, or establish a total amount of time to elapse prior to automatically sending the work to a specific person, or role.

When the department determines that production level workflow technologies are required, the escalation and “time-out” requirements should be included, but additional functionality should be considered. This additional functionality should include the ability for authorized users to build complex workflow rules and support load-leveling functionality and real-time work queue, or “basket” monitoring.

4.7.5 Forms Management

When the department determines that forms processing and management are required, the department should consider both the forms creation and forms processing tools. The forms creation tools should enable the authorized user to develop new forms and modify existing forms for use within a browser-based application. This forms design should include the ability to create fill-in boxes, checklists, pull-down selections, free-form text input, and digital signature attachment to the form during transmission. The forms management technologies should also enable the users to manage forms using version control and support the ability to either store the submitted data with the form, or store the data with the version number of the form. This information should be stored in the application database for further management and/or storage.

4.7.6 Web Publishing Components

Whenever the department requires publishing documents to an inter/intranet server, the system should support the ability for authorized users to create templates associated with specific classes, or types of documents. These templates should be used by the web publishing system to convert submitted documents to either HTML, or XML format including graphic and table conversion as required. The system should provide a mechanism for authorized users to either configure the system to automatically publish these converted documents directly to the web server, or send the converted document to a webmaster for review and website updating.

4.8 Acceptance Testing Criteria

There are several methods commonly used throughout the industry to perform acceptance testing, including the product supplier developing and performing the acceptance tests, the users developing and performing the tests or a project team consisting of both product suppliers and user management working together. The associated tests to be used should be based on the concept that a team representing all parties would be formed. This team should be present and work together throughout the various phases of the testing.

To ensure that each portion of this system is properly tested, assuring that all portions of the foundational system being implemented meet/exceed system designs (with agreed upon modifications), both the department and the implementation team should participate in the Acceptance Testing and sign-off. Those components being validated and verified include:

- Verifying all system functionality is operational
- Verifying system design specifications are met including agreed upon modifications

This testing should be used to ensure that:

- The implemented system either meets or exceeds the system design documentation.
- All users can access and utilize the system.

Listed below are the guidelines that should be used during the system and user testing time periods.

1. The System Administrator should maintain a journal of events for the duration of the Acceptance Test and identify any hardware/Software deficiencies to the product supplier.
 2. No hardware or software modifications should be allowed without the approval of the Project Director(s)/Sponsor and/or Project Manager. The department should provide a reasonable but limited amount of time for overcoming problems encountered during the Acceptance Test.
 3. Suspension of the Acceptance Test should occur only by mutual agreement, or if the department determines that the solution is not ready for testing. If this should
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occur a re-test date should be scheduled when the product supplier is able to update the necessary components identified to be deficient.

4. At the end of the Acceptance Test, the Project Manager should review the list of deficiencies, if any, and make a determination to:
 - (a) Accept the system based on the Acceptance Test results with the deficiency list, in which case the items on the list must be corrected by a mutually agreed upon date.
 - (b) Reject the system based on the Acceptance Test results, in which case the items on the deficiency list must be corrected prior to a re-test, and another Site Acceptance Test scheduled.

4.9 Rollout Planning

When the department completes the acceptance testing, the planning of the technology rollout should include evaluating current and planned departmental activities including other projects, ongoing work activities, and the change management issues that can affect the overall implementation. The department should consider whether to integrate the system into a production mode using a phased approach following a “process” model, or a “unit” model. The “process” model incorporates rolling out the application to all users associated with either a specific activity, or group of activities. The “unit” model incorporates rolling out the application on a complete unit basis. If the department is implementing either document imaging or document services, the rollout plan should be based on a unit basis. When the department is implementing workflow technologies the department should consider rolling out the application following the process model to ensure that all users have access to the electronic information. If the department implements the workflow technology on a unit basis, caution should be exercised to ensure that users not within the selected department/unit would have access to the hard-copy documents to continue/finish the work process. This is important as once the department begins managing and processing work in an electronic environment, the hardcopy documents (previously scanned) would not be readily available.

4.10 Typical Project Activities and Milestones

Listed below are industry standard activities and associated milestones that should be considered by the department when developing the project schedule. Activities may be added, modified, and/or deleted as determined to be appropriate by the department. These activities include:

RFP development, issuance, and award. (MSA/CMAS Vendors Only - Master Service Agreement & California Multiple Award Schedule)

- Development
- Issuance
- Award

Milestone – Software/Hardware Ordering

Application Design & Development

- Detail Design
- Application Development
- Application Testing
- User Acceptance Testing

Milestone – Application Developed

Detail Workflow Configuration/Installation (If Workflow being implemented)

- Rules Definition
- Document Security Definition
- User Security Definition
- System software Installed

Milestone – System Software Installed & Configured

Training

- Training PC's Configured/Tested
- System Server Installed/Configured
- System Administration Training

Application Installation

Imaging/Workflow Hardware

- Imaging/Workflow Server Delivered
- Imaging/Workflow Server tested
- Scanner delivered
- Optical Jukebox delivered

System Testing

User Practice/System Testing

Document Scanning Initiated

Acceptance Test Period

Milestone – Document Management/Workflow System Live

Appendix A – Guidelines and Standards

This section of the document provides detailed information on those guidelines and standards that are recommended. As these guidelines and standards are reviewed, the user should determine which guideline(s) and/or standard(s) would be beneficial to the department. Copies of all referenced guidelines and standards are available through ISD.

These guidelines and standards have been organized into 6 sections including:

- Document Management Industry Guidelines
- Document Management Industry Standards
- Workflow Industry Standards
- Document Imaging Industry Standards
- Storage and Archival Standards

5.1 Document Management Industry Guidelines

ANSI/AIIM TR2-1998 – Glossary of Document Technologies

This glossary has been prepared to standardize the use of and meaning of terms associated with micrographics, electronic imaging, workflow and related telecommunications/Internet; and to provide an accurate, understandable guide for both the beginner and expert. The total number of terms included has been substantially increased, although many obsolete terms from the previous edition have been eliminated. In addition, the definitions for the terms retained in this edition have been reviewed and revised as necessary to more clearly reflect present-day terminology.

ANSI/AIIM TR15-1997 – Planning Considerations, Addressing Preparation of Documents for Image Capture

The purpose of this technical report is to provide information to organizations considering image capture as a means of converting an existing record collection. This technical report identifies possible issues that can be encountered when preparing documents for image capture. Moreover, the purpose of this report is to provide the insight necessary for quality document preparation.

ANSI/AIIM TR21-1991 – Recommendations for the Identifying Information to be Placed on Write-Once-Read- Many (WORM) and Rewritable Optical Disk (OD) Cartridge Label(s) and Optical Disk Cartridge Packaging (Shipping Containers)

This technical report outlines recommended information that should be placed on optical disk cartridges and optical disk cartridge packaging (on a physical label or other printed surface) for the purpose of identifying the optical disk. It applies to all sizes of optical disk cartridges that can store user-recordable information. This technical report does not attempt to specify the types of container(s) or protection needed for packaging optical disks. This report is meant to give guidance to the manufacturer, supplier and user by providing labeling and identification related recommendations

ANSI/AIIM TR25-1995 – *The Use of Optical Disks for Public Records*

This technical report was funded by a grant from the National Historic Records and Publications Commission. It is intended for federal, state, and local government agencies and related entities with records management responsibilities. In recent years, a number of government agencies have considered using electronic document imaging systems and optical disk technology for records management applications. This report provides guidelines for the planning, implementation, and operation of such systems in applications involving long-term and permanent public records.

ANSI/AIIM TR27-1996 – *Electronic Imaging Request for Proposal (RFP) Guidelines*

This technical report (TR) provides guidelines for developing request for proposals (RFPs) for electronic image management (EIM) systems that are used for document storage and retrieval and for systems used for document storage and retrieval in non-EIM environments, i.e., non-digital imaging applications. These guidelines provide step-by-step procedures for analyzing system requirements, developing functional specifications, and evaluating configuration alternatives. Guidelines have also been included for developing the administrative sections of an RFP. Office-type documents are the primary focus of this TR. The specialized needs for engineering drawings and other document types are not considered. However, the basic principles for developing an RFP that are outlined in this document apply to a variety of electronic image-based projects.

ANSI/AIIM TR28-1991 – *The Expungement of Information Recorded on Optical Write-Once-Read-Many (WORM) Systems*

This technical report applies to the removal of information recorded on WORM disk media when expungement orders are ordered by the court or administrative authority; expungement requires the elimination of information. This report establishes uniform practices for both information removal and to document the action for removal. Following these recommendations will assure that the expungement is performed consistently. This technical report does not address CD-ROM or rewritable optical media; or, information that is retained, managed, or distributed to satisfy the Freedom of Information Act or Privacy Act objectives.

ANSI/AIIM TR31:1-1992 (reaffirmed 1998) – *Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part 1: Evidence*

Laws of reproduction related to government produced or maintained records often reflect the concerns of government archivists. The laws might specify a particular technology that meets longevity and retrieval or copying requirements. Some government requirements severely restrict the use of technology other than microfilm, while a few states, such as California, have enacted legislation to enable government agencies to use optical disk technology. As with federal records, there is generally no absolute bar to admissibility of records produced by analog or digital information technology systems in any state providing a proper foundation is laid. However, there are both federal and state laws, regulations or rules that specifically require the maintenance and production of original documents for certain purposes.

ANSI/AIIM TR31:2-1993 (reaffirmed 1998)– *Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part 2: Acceptance by Government Agencies*

Legislators and regulators have a legitimate interest to ensure that organizations maintain required information to enable government to perform its legally authorized purpose. By requiring the public to submit information and maintain records, government can determine the impact of the laws and verify compliance. But the degree of burden placed on the public through recordkeeping laws should be balanced against the relative costs and benefits to society of the entire legislative and regulatory scheme. When laws establish unique requirements for records and information management systems, a significant and sometime onerous burden may be placed on the public. Organizations that conduct business in numerous laws, face an even greater burden in the identification, comprehension and implementation of the multitude of complex and even contradictory requirements.

Records and information system managers need to develop systems that comply with the law and best meet the needs of the organization. New advances continue to be made in information technology that can assist organizations to become more efficient, effective, and profitable. These advances may be thwarted, or even precluded, due to inconsistencies in laws and the slow pace lawmakers follow to recognize new technologies. This part of the performance guideline establishes criteria for legislators to incorporate into statutes that affect recordkeeping and guidelines to appropriately restrict the scope and content of regulations. Regulators can use this guideline in drafting regulations to specify performance requirements for records and information systems developed by the public. Systems designers can also use this guideline to develop systems and procedures that increase the likelihood of legal compliance even before a national consensus is reached related to legal acceptance of records produced by information technology systems.

ANSI/AIIM TR31:3-1994 (reaffirmed 1998)– *Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part 3: Implementation*

For purposes of the *Performance Guideline*, an information technology system is any process or system that employs mechanical, photo-optical, magnetic, electronic, or other technological devices for producing or reproducing records. Widespread use of these systems for recordkeeping "in the ordinary course of business" has resulted in rules and regulations that specify particular requirements for acceptance by government agencies, or admission into evidence by courts, of records produced by technological devices. This report provides a systematic approach for implementing recommended recordkeeping practices that meet legal acceptance criteria set forth in Parts I, II, and IV of the *Performance Guidelines*. Adherence to the guideline facilitates legal acceptance of records produced by information technology systems. Acceptance of the model act and rule promotes uniform treatment of records across jurisdictions and reduces barriers to the beneficial use of information technology. This report also includes a strategy for professional associations, industry groups, and others to promote the adoption of the model act and rule presented in Part IV of the guideline that establishes requirements consistent with the recommended practices. The self-assessment process will help an organization determine if it has established and is following recordkeeping practices that will minimize problems with legal acceptance requirements. Promotion of the model act and rule is intended to bring about uniformity in laws and policies af-

fecting the use of information technology systems for recordkeeping, and to minimize restrictions that unnecessarily discourage or hamper the use of such systems.

ANSI/AIIM TR31:4-1994 (reaffirmed 1998)– *Performance Guideline for the Legal Acceptance of Records Produced by Information Technology Systems Part 4: Model Act and Rule*

The model act and rule are designed to encourage good recordkeeping practices by providing direction to legislators and government agencies in the establishment of requirements for acceptance of records produced by information technology systems. The model act, as proposed, will have precedent over other contradictory laws and restrict the content of regulations in the recordkeeping area. The task force also developed a model rule, since it takes a considerable amount of time to have a uniform law enacted, whereas, a rule can be implemented by government agencies in a relatively short period of time. An underlying purpose of the model act and rule is to encourage use of information technology systems in the production of records. To this end, a delineation of benefits of such systems (as opposed to paper-based systems) is included. The model rule can be adopted independent of the model act, so long as it is properly promulgated, i.e., it is not arbitrary or capricious or does not violate the dictates of a law. However, adoption of both is encouraged.

ANSI/AIIM TR32-1994 – *Paper Forms Design Optimization for Electronic Image Management (EIM)*

The purpose of this technical report is to provide information on characteristics of printed forms that will make them readily accepted by various EIM applications. This document covers forms characteristics that effect scanning. It also addresses forms layout, recognition technology, scanner performance and data processing and the effect on data capture and storage. This ANSI technical report is not intended to address forms removal technologies or the design of electronic forms.

ANSI/AIIM TR33-1998 – *Selecting an Appropriate Image Compression Method to Match User Requirements*

The purpose of this technical report is to provide practical methods for analyzing user requirements for image compression in order to select an appropriate and optimal image compression scheme that matches user requirements. For example, an EIM system configured for scanning, storing, and delivering halftone, line art, text, and continuous tone images will have different image compression requirements as compared to an application involving only text. This technical report is designed to provide guidance in selecting applicable compression algorithms for each among a wide range of source documents.

ANSI/AIIM TR34-1996 – *Sampling Procedures for Inspection by Attributes of Images in Electronic Image Management (EIM) and Micrographics Systems*

This technical report contains procedures that may be used to select and apply sampling inspecting plans to determine if a lot or batch of electronic or micrographic images meets specified quality requirements. Its purpose is to do the following:

- Provide guidance to the user when selecting a sampling procedure that will meet risk requirements



- Enable the user to develop a sampling plan for individual images in a scientific manner

ANSI/AIIM TR35-1995 – Human and Organizational Issues for Successful EIM System Implementation

This document provides a fundamental framework for understanding the basic issues and concepts of Organizational Factors, Human Factors, and Ergonomics for Electronic Image Management (EIM) systems. The principles of Human Factors and Ergonomics are applied to usability criteria for the development and selection of EIM equipment, environmental and implementation issues, and training for long-term productivity benefits. This technical report should help you understand and plan for the non-technical issues that need to be managed when implementing EIM. Recommendations are provided to help prepare organizations for change.

ANSI/AIIM TR40-1995 – Suggested Index Fields for Documents in Electronic Image (EIM) Environments

The purpose of this technical report is to describe fields of attribute information that are often used with electronic imaging systems. This information may take the form of a collection of database fields or a structured computer record that refers to an image record on an electronic, digital image medium. Such a collection of database fields includes a necessary and sufficient description of the image record to control subsequent storage, retrieval, and archive management-related actions with that image record. The information contained in the fields described in this document is similar to that typically used in a text management system. It is designed to be informative to a user if it is displayed in an image query response. System designers could elect to use some or all of the fields described in this technical report in addition to fields that are specific to the application they are designing.

5.2 Document Services Industry Standards

When reviewing document services technologies you should determine whether or not these products meet the county recommended industry standards. A vendor/supplier will be able to tell you if they are certified for the following industry standards:

AIIM/Document Management Alliance (DMA)

DMWare

DMware is the open-source distribution and development clearinghouse operated with the institutional sponsorship of AIIM International. The subject matter of DMware based on the work of the Document Management Alliance (DMA) and of the Open Document Management API (ODMA) coalition is public, openly-contributed document management software, documentation, and metadata definitions.

Document Management Alliance Specification

The DMA specification defines software component interfaces that enable uniform search and access to documents stored in multi-vendor document management systems. The DMA organization includes more than 60 user and vendor companies working together as a task force of AIIM to define interoperability specifications that meet the requirements of enterprise document management systems.

Open Document Management API (ODMA)

ODMA specifies a set of interfaces that applications can use to initiate actions within a DMS. The API is intended to be relatively easy for application vendors to incorporate into updates of existing applications. It should not require major restructuring of an application to integrate it with ODMA. Note that this version of ODMA does not specify how DMSs may initiate actions within the applications.

5.3 Workflow Industry Standards

AIIM/WfMC - Application Programming Interface (Interface 2 & 3)

The purpose of this document is to specify standard workflow management Application Programming Interfaces (API) which can be supported by WFM products. These API calls provide for a consistent method of access to WFM function in cross-product WFM Engines. The API set is named Workflow Application Programming Interfaces (WAPI).

AIIM/WfMC - Audit Data Specification

The purpose of this document is to specify what information needs to be captured and recorded from the various events occurring during a workflow enactment. This document does not define how the data is stored, but what information is to be gathered and made available for analysis. The information will be called Common Workflow Audit Data (CWAD).

AIIM/WfMC - Interoperability, Internet, e-mail MIME Binding

This document maps to the WfMC standard – Interoperability Abstract Specification, which provides an abstract specification that define the functionality necessary to achieve a defined level of interoperability between two or more workflow engines. This document defines a binding that gives concrete type definitions and message formats for the realizations of the abstract specification, using Internet e-mail with MIME encoding as the transport mechanism.

5.4 Document Imaging Industry Standards

ANSI/AIIM MS52-1991 - Recommended Practice for the Requirements and Characteristics of Original Documents Intended for Optical Scanning

This standard describes the physical characteristics of paper documents which facilitate black-and-white optical scanning, and the characteristics which make scanning either difficult or impossible. It provides general recommendations for the design of documents in order to make these documents easier to scan. This standard does not cover specific scanning applications, such as scanning of checks, scanning of engineering drawings, or scanning of bar codes, which

are the subject of other standards. It does not address the technical details for OCR, which are the subject of other standards. Moreover, oversized documents and tiling techniques are not specifically addressed in this standard, although many of the same principles apply.

ANSI/AIIM MS53-1993 - Recommended Practice; File Format for Storage and Exchange of Image; Bi-Level Image File Format: Part 1

The purpose of this standard is to standardize a self-contained file format for the transfer of bi-level image files in environments other than facsimile telecommunications. The image file format is similar to a Document Application Profile (DAP) and supports the transfer of encoded bi-level raster scan images in environments. This standard covers bi-level images that are coded using CCITT T.4 (Group 3) and T.6 (Group 4), as well as bit-mapped images (having no compression). The file format is media independent.

ANSI/AIIM MS55-1994 - Recommended Practice for the Identification and Indexing of Page Components (Zones) for Automated Processing in an EIM Environment

This document identifies a media and application independent structure and indexing scheme that will allow necessary and sufficient description of document pages and zones (rectangular sub areas) within a page. These zones can then be processed automatically in the most appropriate fashion, regardless of the nature of data outside the identified zone(s). In particular, this standard recommended practice defines a document page so that the following processes can be applied to its electronic image record:

- Data compression specifically suitable to the nature of the data within the zone (e.g., JPEG compression, vs. T.6 compression used in Group 4 Fax)
- Optical Mark Recognition
- Optical Character Recognition
- Intelligent Character Recognition
- Handprint Character Recognition
- Raster-to-vector conversion for computer aided design (CAD) or Geographic Information System (GIS) applications
- Signature capture and Recognition (CSR)
- Any other form of compression, image manipulation or pattern recognition technology or algorithm(s) that may rely on specific data capture or storage methods.

5.5 Storage and Archival Standards

ANSI X3.212-1992 (R1997- 130-mm Rewritable Optical Disk Cartridge for Information Interchange)

ANSI X3.220-1992 (R1997- Digital Information Interchange 130-mm Optical Disk Cartridges of the Write-Once, Read Multiple (WORM) Type, Using the Magnetic-Optical Effect (reaffirmation)

ANSI/ISO/IEC 13549-1993 - Data Interchange on 130 mm Optical Disk Cartridges - Capacity: 1,3 Gigabytes Per Cartridge

ISO/IEC 11560:1992 - Information interchange on 130 mm optical disk cartridges using the magneto-optical effect, for write once, read multiple functionality

ISO/IEC 14517:1996 - 130 mm optical disk cartridges for information interchange - Capacity: 2,6 Gbytes per cartridge

ISO/IEC 15286:1999- 130 mm optical disk cartridges for information interchange - Capacity: 5,2 Gbytes per cartridge



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Appendix C

Proposed WAN



Proposed WAN

Vendors must review the following documentation provided by Atomic Tangerine. Any proposed connectivity between the Sheriff's Office and remote workstations must be compliant with the standards incorporated herein.

To access this document in on-line fashion, proposers must download the file titled "Appendix C" separately.

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