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ADOPTED

BOARD OF SUPERVISORS
COUNTY OF LOS ANGELES

17 November 21, 2017

LORI GLASGOW
EXECUTIVE OFFICER

November 21, 2017

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

APPROVAL TO EXECUTE AGREEMENT FOR COMPREHENSIVE CLAIMS MANAGEMENT UNDER THE RISK MANAGEMENT INFORMATION SYSTEM (ALL DISTRICTS – 3 VOTES)

CIO RECOMMENDATION: APPROVE (X) APPROVE WITH MODIFICATION ( ) DISAPPROVE ( )

SUBJECT

This recommendation by the Chief Executive Office (CEO) seeks the Board's approval to execute a new Agreement with Ventiv Technology, Inc., (Ventiv) for comprehensive claims management under the Risk Management Information System (RMIS) and for related services. The contract has an initial term of ten (10) years from the effective date. The recommended action also authorizes the CEO to exercise, as needed, up to three (3) additional two-year renewal options and one (1) six-month optional extension. If all option years are exercised, the total term of this Agreement is for sixteen and a half (16.5) years, for a recommended contract sum of $51,137,210.47 and an additional $9,226,061.09 in Pool Dollars, for a total maximum contract sum amount of $60,363,271.56. The new RMIS will retire nine (9) legacy systems and/or non-automated processes currently in use by the County of Los Angeles (County), as further detailed in this letter.

IT IS RECOMMENDED THAT THE BOARD:

1. Approve award of Agreement with Ventiv and instruct the CEO, or designee, to execute a contract, substantially similar to Contract No. AO-18-411 (Attachment I), to develop a single RMIS solely under the authority of the CEO, that is capable of managing, administering, and reducing risk exposure Countywide, for a maximum sum in the ten-year initial term of $35,192,694.76 which is 50 percent offset by the Workers' Compensation Budget and 50 percent offset by the CEO Insurance

Budget.

2. Delegate authority to the CEO, or designee, to execute amendments to the Agreement, as needed, to exercise the three (3) two-year contract extensions and one (1) six-month extension following the initial term, for a maximum sum of $15,644,515.72 for the option years, with funding commensurate with the system and service delivery, and subject to review and approval as to form by County Counsel. This amount is also 50 percent offset by the Workers' Compensation Budget and 50 percent offset by the CEO Insurance Budget.

3. Delegate authority to the CEO, or designee, to approve and execute amendments and change notices pursuant to the Agreement's provisions that authorize budget modifications, schedule of payment modifications, and adjustments to scope, work tasks, and/or activities; and approve the use of an additional $9,226,061.09 in Pool Dollars for work in such amendments and change notices to ensure compliance with Federal, State, or County regulations, or to implement modifications, additions, system or process requirements/functionalities, additional interfaces, and customizations to RMIS as determined by the County, subject to review and approval as to form by County Counsel.

4. Delegate authority to the CEO, or designee, to modify, enhance, and improve internal processes across all impacted platforms, departments, and existing systems to insure the consistency and efficiency of RMIS.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Over 10 years ago, the Board sought to consolidate risk management operations to improve efficiency and create a comprehensive Risk Management Program. To accomplish this objective, CEO Risk Management has increased authority to better manage claims, created advanced fraud analytics, and implemented proactive risk financing to lower the County's overall cost of risk. However, the data systems that are used for claim and litigation data, as well as the limited authority of each department that inputs data, hampers the ability to define opportunities across platforms and set consistent standards in claims accountability and management.

The approval of these recommendations will formulate the data and system infrastructure of a new RMIS, and establish consolidated authority with the CEO for the management of data and workflow process for the County's Comprehensive Claims Management System. The new RMIS will retire the following nine (9) legacy systems and/or non-automated processes currently in use by the County:

1. Risk Management Claim's Liability System. This system is currently utilized by CEO Risk Management, County Counsel, Sheriff, and Third-Party Administrators (TPAs) to manage, pay, and document liability and small claims and lawsuits filed against the County.

2. Matter Management. This is the legal component associated with the Risk Management Claims Liability System used by County Counsel to manage litigation.

3. Workers' Compensation Claims Administration. This system is utilized by CEO Risk Management, County Counsel, and TPAs to manage, pay, and document Workers' Compensation claims filed by County employees.

4. Gen Legal. This is the legal component of the Workers' Compensation system used by County Counsel to manage litigation.

5. Corrective Action Plans. This system is used by the CEO Risk Management Inspector General to track corrective actions Countywide.

6. Disability Management. Departments use a variety of electronic and paper systems to track employees who are off work for Workers' Compensation and other leaves. This system will replace any current electronic and/or paper systems Countywide, and become a single point of reference and control for all disability management efforts.

7. Enterprise Risk Information Center. This is the County's current Risk Management dashboard that will become obsolete under the new RMIS.

8. Loss Control. Departments use a variety of electronic and paper systems to track loss control activities. This system will replace any current electronic and/or paper systems Countywide, and become a single point of reference and control for all loss control efforts.

9. Incident Reporting. CEO, County Counsel, and other County departments use a variety of electronic and paper systems to track incidents that may or may not convert to claims or litigation. This system will replace any current electronic and/or paper systems Countywide, and become a single point of reference and control for all incident reporting efforts.

The new RMIS will provide a comprehensive claims management system that will have four (4) modules for use by various County departments, TPAs, and outside counsel (E-Billing). The four (4) RMIS modules are:

Module 1 - Claims Management System, Risk Compliance Management System, Time-Billing, E-Billing, and Matter Management System;

Module 2 - Workers' Compensation System;

Module 3 - Disability Management System; and

Module 4 - Loss Control and Prevention System.

Approval of Recommendation 1 will allow CEO to enter into a new contract resulting from a Request for Proposals (RFP) for a RMIS and related services, RFP No. CAIC RFP 2016-01, that will improve County operations by providing responsive, efficient, and high-quality risk identification, exposure and trend analysis, and risk reduction techniques that impact County resources. The County will work with the proposed contractor, Ventiv, to design, develop, customize, implement, and license a system that transforms how County manages, administers, and delivers its liability claims, workers' compensation, matter management, T360 (E-Billing), risk compliance, disability management, and loss control and prevention, while simultaneously identifying risk patterns and trends, offering proper risk reduction, and decreasing risk exposure.

Approval of Recommendation 2 will extend the term of the contract for up to three (3) two-year extensions and one (1) six-month optional extension, and allow the County to maintain a dominant risk management system by continuing to license premium state-of-the-art, cutting edge technology in the market that will manage complexity, capacity, and leadership.

Approval of Recommendation 3 will allow CEO to modify, enhance, and delete existing systems, processes, and workflow designs associated with the new RMIS, in accordance with the requirements and processes set forth in the Agreement. This authority will ensure that controls and

thresholds are established in a consistent manner to develop a paperless environment, advance existing and future analytics, increase audit capabilities, and institute a robust Risk Management strategy across all departments before, during, and after the claim and litigation process. Recommendation 3 will also allow CEO to execute amendments and change notices, as applicable, and allow for an increase in funding through the use of Pool Dollars (approximately up to 20 percent of the maximum contract sum for related optional work, with respect to service delivery or modifications in regulations and/or technological enhancements).

Approval of Recommendation 4 will allow CEO the authority to work with and require departments to make changes to processes that are contemplated for inclusion in the new RMIS, or connect to the new RMIS. Approval of this Recommendation will also allow CEO to evaluate, make recommendations, and require implementation of changes in various County departmental practices that may be outdated or inefficient, of which such changes would streamline efficient use of the new RMIS.

With respect to the E-Billing function used by County Counsel for Module 1, it is anticipated that the current software functionality will remain with Tymetrix, Inc., the vendor of the T360 E-Billing software. To maximize efficiency and save on customization costs, Ventiv will build an interface for the new RMIS to connect with T360, and T360 will be used for at minimum the initial term of the proposed Agreement. T360 is currently procured through the Internal Services Department (ISD) for County Counsel.

Implementation of Strategic Plan Goals

The system and services provided under the proposed Agreement support the County's Strategic Plan Goal III – Realize Tomorrow's Government Today, by providing vital claims and litigation management services through an independent contractor to improve the effectiveness of Countywide risk management activities.

FISCAL IMPACT/FINANCING

Funding for the new RMIS and related services under the proposed Agreement with Ventiv was approved in the Fiscal Year 2017-18 Budget. The total Maximum Agreement Sum is $60,363,271.56, if early implementation is achieved by end of year three in 2020, if there is full use of the roughly 20 percent in Pool Dollars, and if all option years and the six-month extension are exercised. This total Maximum Agreement Sum includes a maximum obligation for the 10-year base term of $35,192,694.76 (which includes implementation costs and all license, hosting, and maintenance costs if early implementation is achieved by end of year 3), as well as $15,644,515.72 in license, hosting, and maintenance costs for the option years, and use of approximately 20 percent in Pool Dollars in the amount of $9,226,061.09 and an additional $300,000 to secure performance. Exhibit B (Pricing Schedule) to the Agreement sets forth in further detail the amounts for the proposed work.

Funding for the proposed Agreement will be 100 percent offset by the Workers' Compensation Budget and CEO Insurance Budget in future budget cycles, and will have no impact on net County cost.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

The Board may award contracts for a software system and services provided by an independent contractor or private firm pursuant to Section 44.7 of the Los Angeles County Charter, Los Angeles

County Code 2.121.250, and as authorized by Government Code 31000.8.

Federal and State laws and regulations require electronic data interchanges to collect claim data. The new RMIS will allow the County to comply with current and new reporting requirements. Such requirements include the following:

1. MMSEA Section 111 Reporting Requirements (Federal)
2. California Workers' Compensation First and Second Report of Injury (State)
3. Workers' Compensation Information System Medical Bill Pay Records (State)
4. Office of Self-Insurance Plans Annual Reporting (State)
5. Proposed Public Sector Data Collection (State – SB 863)

CONTRACTING PROCESS

The RMIS RFP (CAIC RFP 2016-01) was released April 14, 2016. Addenda to the RFP were released on April 19, 2016, June 29, 2016, and August 12, 2016. The RMIS RFP was posted on the ISD website and advertisements from the Daily Journal Corporation were placed in the following five (5) newspapers: Los Angeles Times, San Gabriel Valley Newspaper Group, Metropolitan News Company, La Opinion, and Los Angeles Sentinel. A Mandatory Proposers Conference was conducted on June 6, 2016, where ten (10) firms attended. On September 6, 2016, four (4) proposals were received in response to the RFP.

As specified in the RFP document, the Evaluation Review Process consisted of the following components:

1. Adherence to Minimum Requirements (Pass-Fail). CEO determined that the four (4) proposals met the minimum qualifications to be assigned a "pass" and advanced to the evaluation process.

2. Management/Technical Proposal Review – 7,000 Points. This portion of the evaluation was reviewed and scored by high-level risk and technology experts in the County that utilize the system and have significant investment in its success. Staff were from the following County departments: Auditor-Controller, Chief Executive Office, County Counsel, ISD, Public Social Services, Public Works, and Workforce Development, Aging and Community Services. The evaluators had the education, training, and work experience in the subject matter.

Evaluators scored proposals individually in accordance with County Contracting Guidelines, conducted an independent review of the proposals, and participated in a group discussion. Scores for each proposal under this portion of the evaluation were developed using the Informed Averaging Methodology, pursuant to Board Policy 5.054. The CEO Administrative Services' Contracts Unit staff and CEO Risk Management program staff also evaluated certain sections of the proposals, including Proposer References, Proposer Pending Litigation, Proposer Exceptions to the Required Contract and Statement of Work, Proposer Financial Capability, and Cost. All components of the evaluation process were concluded and final tallies were made on July 20, 2017.

3. Cost Proposal Review – 3,000 Points. Cost proposals were reviewed and scored accordingly by CEO staff. CEO followed all provisions in accordance with Board Policy 5.055, Services Contract Solicitation Protest Implementation Guidelines.

4. Disqualification Review. During the Cost Proposal Review phase, County disqualified (DQ) one non-responsive proposer for unreasonably low pricing that raised concerns that the proposer could

not fully perform the contractual obligations and maintain financial stability during the term of the Agreement. The non-responsive proposer did submit a disqualification review. County conducted a DQ review and determined from its analysis that the non-responsive proposer did not provide evidence or factual support on each ground asserted, finding the department's disqualification decision as erroneous. The County found that the non-responsive proposer failed to determine the disqualification as erroneous in its entirety and eliminated its proposal from any further consideration.

5. Debrief Meetings. There were two non-selected proposers who requested a debriefing of the scoring of their proposals. Both non-selected proposers were given the opportunity to submit a Notice of Intent (NOI) to Request a Proposed Contractor Selection Review (PCSR), and both timely submitted the NOI. On September 28, 2017, in accordance with Board Policy 5.055, Services Contract Solicitation Protest Implementation Guidelines, the County provided the requested information to the non-selected proposers once the letter of intent was received from Ventiv, which included evaluation materials and Ventiv's proposal.

The non-selected proposers were provided the transmittal form to request a County Independent Review (CIR). The non-selected proposers did not submit the CIR review and the protest process was concluded in accordance with Board Policy.

Negotiations: The CEO, County Counsel, and outside counsel Drukker Law entered into in-person negotiations with Ventiv on August 14, 2017. Negotiations concluded and the letter of intent from Ventiv was received on September 28, 2017. With respect to Ventiv's bid price, CEO was able to successfully negotiate a lower contract price for the new RMIS and related services. Ventiv's original bid price for the new RMIS and related services was $52,124,520.92. After negotiations, the County received a total system development and maintenance price for all four modules for a 16.5 year contract at the price of $51,137,210.47, a price reduction of almost a million dollars from Ventiv's proposed total allocation in its original bid. This reduction was achieved in a number of ways, including by streamlining project management participation, incentivizing Ventiv to complete final system acceptance earlier than the 5 years permitted for the project, and eliminating un-needed functionality and/or requirements.

The proposed Agreement contains all of the current County-required provisions, such as Compliance with County's Zero Tolerance Human Trafficking Policy, Time Off for Voting, Consideration of Hiring GAIN/GROW Program Participants, Contractor Responsibility and Debarment, Compliance with Jury Service Program, Safely Surrendered Baby Law, County's Child Support Compliance Program, County's Defaulted Property Tax Reduction Program, and the provisions mandated by the Health Insurance Portability and Accountability Act of 1996. Ventiv will provide all required levels of insurance, including for professional liability/errors and omissions and cyber-crime incidents.

In addition, the Agreement also contains applicable information technology and software provisions to protect the County in the event of Ventiv's deficient performance and/or breach of warranties, including assessment of credits for late delivery, failure to correct deficiencies timely, and termination for default. CEO has also included service credits in the service level requirements which will be applied to the monthly support fees for unscheduled downtime and other unachieved service levels, as prescribed in the Agreement. Likewise, very specific deficiency levels have been identified for software deficiencies, system availability, system performance, and backup/disaster recovery. Further, and as typical in information system agreements where the system will be customized to meet the County's business process requirements, the County will withhold 20 percent of the contract amount due for each key deliverable, and 10 percent from all other deliverables in Task 1 (Project Management) through Task 11 (Implementation), until such time that final system acceptance is achieved by Ventiv. Ventiv will also be delivering a performance guarantee in the

amount of $5 million in the form of an irrevocable stand-by letter of credit for the County. Finally, and as is typical with many County information technology and software agreements, CEO was able to come to an agreement with Ventiv on a limitation of liability cap of three times the maximum Agreement sum for all work that has been authorized by the County pursuant to a notice to proceed.

The CEO has successfully negotiated a contract with Ventiv which is now presented to the Board for consideration for approval and award. County Counsel has approved the Agreement as to form (Attachment I). In addition, in accordance with Board Policy, outside counsel Drukker Law assisted in the negotiations, review, and finalization of the Agreement and recommends Board approval as to form. The Chief Information Office (CIO) has reviewed and recommends approval of the actions. The CIO Analysis is also included (Attachment II).

IMPACT ON CURRENT SERVICES (OR PROJECTS)

Approval to execute contract AO-18-411 will allow the CEO to continue providing uninterrupted risk management services. Implementation of this contract will not have any adverse impact on services being provided currently by County employees. The contract will provide the County the versatility to respond to the changes that will occur during the term of these contracts.

Respectfully submitted,

Sachi A. Hamai

SACHI A. HAMAI
Chief Executive Officer

Reviewed by:
William S. Kehoe

WILLIAM KEHOE
Chief Information Officer

SAH:JJ:WK:STR
PL:KS:KSJ:TLM:sg

Enclosures

c: Executive Officer, Board of Supervisors
Auditor-Controller Chief
Information Officer
County Counsel

AO-18-411

AGREEMENT

BY AND BETWEEN

COUNTY OF LOS ANGELES

AND

VENTIV TECHNOLOGY INC.

FOR

RISK MANAGEMENT INFORMATION SYSTEM

AND RELATED SERVICES

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EXHIBITS

EXHIBIT A – Statement of Work

EXHIBIT A.1 – System Requirements

EXHIBIT A.2 – System Interfaces

Exhibit A.2.1 – Design Documents for eCAPs and eHR Interfaces

EXHIBIT A.3 – Acceptance Certificate

EXHIBIT A.4 - Third Party Software

EXHIBIT A.5 - Minimum System Requirements

EXHIBIT A.6 – Performance Requirements Summary

EXHIBIT A.7 – Contract Discrepancy Report

EXHIBIT A.8 – Program Background and Requirements

EXHIBIT A.9 – Deliverable Expectation Document

EXHIBIT B – Pricing Schedule

EXHIBIT C – Contractor's Project Schedule [incorporated by reference]

EXHIBIT D – Contractor's EEO Certification

EXHIBIT E – County's Administration

EXHIBIT F – Contractor's Administration

EXHIBIT G-1 – Contractor Employee Acknowledgment and Confidentiality Agreement

EXHIBIT G-2 – Contractor Non-Employee Acknowledgment and Confidentiality Agreement

EXHIBIT H – Jury Service Ordinance

EXHIBIT I – Safely Surrendered Baby Law

EXHIBIT J – Service Level and Warranty Agreement

EXHIBIT K – Maintenance and Support Agreement

EXHIBIT L – Information Security and Privacy Requirements

EXHIBIT M – Business Associate under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA")

EXHIBIT N – County of Los Angeles Request for Proposals for Risk Management Information System (Seeking Fully Managed Solution) CAIC RFP 2016-01 [incorporated by reference]

EXHIBIT O – Response to Request for Proposals for the Risk Management Information System (RMIS) RFP #CAIC 2016-01 Fully Managed Solution dated September 6, 2016, submitted by Ventiv Technology Inc. [incorporated by reference]

EXHIBIT P – Contractor's Direct Competitors

EXHIBIT Q-1 – Background Investigation Criteria

EXHIBIT Q-2 – Background Investigation Certification

AO-18-411

AGREEMENT BETWEEN

COUNTY OF LOS ANGELES

AND

VENTIV TECHNOLOGY INC.

FOR

RISK MANAGEMENT INFORMATION SYSTEM

AND RELATED SERVICES

PREAMBLE

This Agreement for Risk Management Information System and Related Services (as further defined below, "Agreement") is made and entered into this ___ day of _____, 2017 ("Effective Date") by and between the County of Los Angeles ("County") and Ventiv Technology Inc. ("Contractor"), a California corporation with its principal place of business at 3350 Riverwood Parkway, Suite #2000, 20th Floor, Atlanta, GA 30339. When used herein, the term "Agreement" includes the body of this Agreement and all exhibits ("Exhibit(s)"), attachments ("Attachment(s)"), schedules ("Schedule(s)") appended to this Agreement; additional documents that the parties identify and agree to incorporate herein by reference; and all Amendments, Change Notices, and Change Orders (all as defined below) executed in accordance with the terms hereof. In the event of a conflict between the body of this Agreement and any Exhibit, Attachment, Schedule, or incorporated material, such conflict or inconsistency shall be resolved by giving precedence first to the Agreement and then to the Exhibits, Attachments, and Schedules in the order of priority set forth in Paragraph 1.0 (Applicable Documents) below.

RECITALS

WHEREAS, Contractor is a provider of a commercial, off-the-shelf risk management information system and services related thereto;

WHEREAS, County desires to enter into an agreement with Contractor, among other things, to purchase licenses from Contractor to Contractor's risk management information system ("RMIS", which is further defined below) solution, and to engage Contractor (a) to configure and install the RMIS software solution; (b) to perform certain customizations and enhancements to the RMIS software solution necessary to meet County's functional, technical and/or business requirements, (c) to create certain interfaces between the RMIS software solution and other systems, including County systems, and County's electronic commerce payment processing vendor, and (d) to host,

maintain and support the RMIS software solution, in each case, subject to the terms and conditions of this Agreement;

WHEREAS, the County may contract with private businesses for a risk management information system and related services when certain requirements are met;

WHEREAS, Contractor represents and warrants that it possesses the necessary special skills, knowledge, technical competence and sufficient staffing to perform all work described in this Agreement;

WHEREAS, the Contractor agrees to furnish the risk management information system and related services and technical support subject to the terms of the Agreement; and

WHEREAS, this Agreement is authorized pursuant to California Government Code sections 23004 and 31000 and otherwise.

NOW THEREFORE, in consideration of the mutual covenants contained herein, and for good and valuable consideration, the parties agree to the following:

1.0 APPLICABLE DOCUMENTS

This Agreement and the Exhibits, Attachments, and Schedules hereto, together with all Change Notices, Change Orders, and Amendments executed in accordance with the terms hereof, constitute the complete and exclusive statement of understanding between the parties, and supersedes all previous agreements, written and oral, and all communications between the parties relating to the subject matter of this Agreement. No change to this Agreement shall be valid unless prepared pursuant to Paragraph 12.0 (Change to Agreement) and signed by both parties.

In the event of conflict or inconsistency between the body of this Agreement and any Exhibit, Attachment, or Schedule hereto, such conflict or inconsistency shall be resolved by giving precedence first to the Agreement and then to the Exhibits, Attachments, and Schedules in the following order of priority:

1.1 EXHIBIT A – Statement of Work

1.1.1 EXHIBIT A.1 – System Requirements

1.1.2 EXHIBIT A.2 – System Interfaces

1.1.3 EXHIBIT A.2.1 – Design Documents for eCAPs and eHR Interfaces

1.1.4 EXHIBIT A.3 – Acceptance Certificate

1.1.5 EXHIBIT A.4 – Third Party Products

1.1.6 EXHIBIT A.5 – Minimum System Requirements

1.1.7 EXHIBIT A.6 – Performance Requirements Summary

1.1.8 EXHIBIT A.7 – Contract Discrepancy Report

1.1.9 EXHIBIT A.8 – Program Background and Requirements

1.1.10 EXHIBIT A.9 – Deliverable Expectation Document

1.2 EXHIBIT B – Pricing Schedule

1.3 EXHIBIT C – Contractor's Project Schedule [incorporated by reference]

1.4 EXHIBIT J – Service Level and Warranty Agreement

1.5 EXHIBIT K – Maintenance and Support Agreement

1.6 EXHIBIT L – Information Security and Privacy Requirements

1.7 EXHIBIT M – Business Associate under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA")

1.8 EXHIBIT Q-1 – Background Investigation Criteria

1.9 EXHIBIT Q-2 – Background Investigation Certification

1.10 EXHIBIT G-1 – Contractor Employee Acknowledgment and Confidentiality Agreement.

1.11 EXHIBIT G-2 – Contractor Non-Employee Acknowledgment and Confidentiality Agreement

1.12 EXHIBIT D – Contractor's EEO Certification

1.13 EXHIBIT E – County's Administration

1.14 EXHIBIT F – Contractor's Administration

1.15 EXHIBIT H – Jury Service Ordinance

1.16 EXHIBIT I – Safely Surrendered Baby Law

1.17 EXHIBIT N – County of Los Angeles Request for Proposals for Risk Management Information System (Seeking Fully Managed Solution) CAIC RFP 2016-01 [incorporated by reference]

1.18 EXHIBIT O – Response to Request for Proposals for the Risk Management Information System (RMIS) RFP #CAIC 2016-01 Fully Managed Solution dated September 6, 2016, submitted by Ventiv Technology, Inc. [incorporated by reference]

1.19 EXHIBIT P – Contractor's Direct Competitors

For the avoidance of doubt, Exhibit N (County of Los Angles Request for Proposals for Risk Management Information System (Seeking Fully Managed Solution) CAIC RFP 2016-01) is not intended to expand the scope of work under this Agreement beyond that which is otherwise provided for in this Agreement, including the other Exhibits to this Agreement.

2.0 DEFINITIONS

The following terms as used herein shall be construed to have the following meanings, unless otherwise apparent from the context in which they are used:

Accept; Acceptance: The County Project Director's or designee's written approval of a module of the Licensed Software, a Deliverable, a Service, the System as a whole, a milestone (if applicable), Optional Work, and/or other work under the Agreement in accordance with Paragraph 5.0 (Acceptance) of the Agreement, with such approval being indicated by County Project Director's or designee's signature on an Acceptance Certificate.

Acceptance Certificate: The acceptance certificate, substantially similar to form attached as Attachment A.3 (Acceptance Certificate) to Exhibit A (Statement of Work).

Acceptance Criteria: As defined in Subparagraph 5.1 (Acceptance Criteria) of the Agreement.

Acceptance Test(s): As defined in Subparagraph 5.2 (Acceptance Tests) of the Agreement.

Access License: As defined in Subparagraph 3.1.1.1 (Access License) of the Agreement.

Agreement term and term of this Agreement: As defined in Subparagraph 6.2 (Option Terms; Term) of the Agreement.

Amendments: As defined in Paragraph 12.0 (Change to Agreement) of the Agreement.

Attachment(s): As defined in the preamble to the Agreement.

Change Notices: As defined in Paragraph 12.0 (Change to Agreement) of the Agreement.

Change Orders: As defined in Paragraph 12.0 (Change to Agreement) of the Agreement.

Chief Executive Officer: The County's Chief Executive Officer or successor.

Client Asset Management System (CAMS): A County Counsel system which shall interface with RMIS.

CMS: State of California's Centers for Medicare & Medicaid Services (CMS) which shall interface with RMIS.

COBC: Coordination of Benefits Contractor.

COGNOS: An Internal Services Department system which shall interface with RMIS.

Compulaw: A County Counsel system which shall interface with RMIS.

Confidential Information: As defined in Subparagraph 11.2 (Treatment of Confidential Information) of the Agreement.

Configuration: Configuration of the Licensed Software provided by Contractor to meet the County's requirements set forth in Attachment A.1 (System Requirements) to Exhibit A (Statement of Work) or as Optional Work in order to meet changes in County's requirements from those set forth in the then-current version of Attachment A.1 (System Requirements) to Exhibit A (Statement of Work). "Configuration" mean the act of configuring the Licensed Software in order to implement a Configuration.

Contractor: As defined in the preamble to the Agreement.

Contractor Proprietary Technology: As defined in Subparagraph 3.3.2 (Proprietary Rights in the System) of the Agreement.

Contractor's Project Director: As defined in Subparagraph 10.1 (Contractor's Project Director) of the Agreement.

Contractor's Project Manager: As defined in Subparagraph 10.2 (Contractor's Project Manager) of the Agreement.

County: As defined in the preamble to the Agreement.

County Data: As defined in Subparagraph 3.3.1 (Ownership of County Data) of the Agreement.

County Indemnitees: As defined in Subparagraph 20.1 (General Indemnification).

County's Mitigation Acts: As defined in Subparagraph 20.2.3 of the Agreement.

County's Project Director. As defined in Subparagraph 9.1 (County's Project Director) of the Agreement.

County's Project Manager: As defined in Subparagraph 9.2 (County's Project Manager) of the Agreement.

Cross-Over Issues: As defined in Subparagraph 4.6.1 (Cross-Over Issues) of the Agreement.

Customization and Enhancement: Customization to or enhancement of the Licensed Software provided by Contractor to meet the County's requirements set forth in Attachment A.1 (System Requirements) to Exhibit A (Statement of Work) or as Optional Work in order to create new application functionality to meet changes in County's requirements from those set forth in the then-current version of Attachment A.1 (System Requirements) to Exhibit A (Statement of Work). Customizations and Enhancements are not intended to include and shall not include changes to the Licensed Software that are required to be provided to the Licensed Software as Revisions. "Customize" and "Enhance" mean the act of customizing or enhancing the Licensed Software in order to implement a Customization and Enhancement.

Day(s): Calendar day(s) unless otherwise specified.

Deferred Module: As defined in Subparagraph 5.5.3.2 of the Agreement.

Deficiency: With respect to Licensed Software, any module thereof, Services, or Deliverables, a failure of the Licensed Software, module, Services, or Deliverables to conform to its Specifications, or with respect to the Licensed Software, a failure that impairs the performance of the Licensed Software when operated in accordance with the Agreement.

Deliverable(s): Whether singular or plural, shall mean software, items and/or services provided or to be provided by Contractor under this Agreement identified as a deliverable, by designation, number, or context, in Exhibit A (Statement of Work); in any other Exhibit, Attachment, or Schedule; and/or in any Scope of Work, or any document associated with the foregoing, including all Deliverable(s) in Exhibit A (Statement of Work).

Department or CEO Risk: The County's Depart of Chief Executive Office Risk Management Services.

Designated Test: As defined in Subparagraph 5.6.1 of the Agreement.

Disabling Device(s): As defined in Subparagraph 8.6 (Disabling Device) of the Agreement.

Discloser: As defined in Subparagraph 11.2.1 of the Agreement.

Displaced/Renamed Product: A product distributed by Contractor that (a) displaces the Licensed Software in Contractor's product line by another product or (b) is a renamed product containing substantially similar functionality to the Licensed Software (even if the renamed product contains additional features, functionality, or other capabilities).

Dispute Resolution Procedure: As defined in Paragraph 23.0 (Dispute Resolution Procedure) of the Agreement.

Documentation: All of Contractor's training course materials, system specifications and technical manuals, and all other user instructions regarding the capabilities, operation, and use of the Licensed Software, including, but not limited to, online help screens contained in the Licensed Software, existing as of the effective date and any revisions, supplements, or updates thereto.

Due Date: As defined in Subparagraph 4.2.4.2 of the Agreement.

eCAPS - Electronic Countywide Accounting and Purchasing System: County's Financial Accounting System which shall interface with RMIS.

Effective Date: The date first set forth in the preamble to the Agreement, which is the date on which this Agreement has been approved by the Board of Supervisors and executed by authorized representatives of County and Contractor.

eHR: A County Human Resource system which shall interface with RMIS.

e-Learning Training: Web-based RMIS training provided by Contractor.

Exhibit(s): As defined in the preamble to the Agreement.

Existing Risk Management Information System RMIS: A County system that tracks liability claims.

Final Acceptance: As defined in Subparagraph 5.5.3 (Final Acceptance) of the Agreement.

Fixed Hourly Rate: For Contractor's personnel, the fully burdened hourly or daily rate set forth in Exhibit B (Pricing Schedule), which rate includes an allocated average of direct and indirect costs, overhead, administrative expenses, any and all out-of-pocket expenses and any other incidental expenses attributable to each personnel hour worked for the Fixed Labor Rate.

FROI: First Report of Injury.

HIPPA Rules: As defined in Subparagraph 11.7 (HIPAA).

Holdback Amount(s): As defined in Subparagraph 7.3 (Holdbacks) of the Agreement.

Hosted Environment: The Hosted Hardware, Hosted Network, and Hosted Operating Software to be supplied by Contractor as a part of its obligation to perform Hosting Services. The Hosted Environment includes the Hosted Environment for Production Use and all other environments described in this Agreement, including Exhibit A (Statement of Work).

Hosted Hardware: The servers, hardware, and all other equipment to be supplied by Contractor under this Agreement as a part of its obligation to perform Hosting Services.

Hosted Network: The network and all other data communications components to be provided by Contractor under this Agreement as a part of its obligation to perform Hosting Services.

Hosted Operating Software: The operating software provided by Contractor under this Agreement as a part of its obligation to perform Hosting Services.

Hosting Services: As defined in Paragraph 4.4 (Hosting Services) of the Agreement.

Indemnified Claims: As defined in Subparagraph 20.2.1 of the Agreement.

Indemnified Items: As defined in Subparagraph 20.2.1 of the Agreement.

Infringement Claims: As defined in Subparagraph 20.2.1 of the Agreement.

Initial Term: As defined in Subparagraph 6.1 (Term) of the Agreement.

Intellectual Property Rights: All intellectual property or other proprietary rights (including without limitation copyrights, patent rights, trade secret rights, rights of reproduction, trademark rights, rights of publicity, moral rights, and rights to secure registrations, renewals, reissues, and extensions thereof.

Interface Control Document: As defined in Exhibit A (Statement of Work).

Interfaces: Either a computer program developed by, or licensed to, County or Contractor to (a) translate or convert data from a County or Contractor format into another format used at County as a standard format; or (b) translate or convert data in a format used by County or a third-party to a format supported at County or vice versa.

Implementation Fees: As defined in Subparagraph 4.2.2 of the Agreement.

Implementation Services: As defined in Paragraph 4.2.2 of the Agreement.

ISO: International Organization for Standardization.

Jury Service Program: As defined in Subparagraph 24.3.1 (Jury Service Program) of the Agreement.

Key Deliverable: As defined in Subparagraph 4.2.4 (Credits to County) of the Agreement.

Licensed Software: Individually each, and collectively all, of the computer programs provided by Contractor under this Agreement (including Third-Party Products), including as to each such program, the processes and routines used in the processing of data, the object code, and all Configurations, Interfaces, Customizations, Enhancements, and Revisions provided hereunder by Contractor, and any and all programs otherwise provided by Contractor under this Agreement. All Licensed Software and the components thereof shall be release versions, and shall not be test versions (e.g., alpha or beta test version), unless otherwise agreed to in writing by County. Without limiting the foregoing, all New Software, Displaced/Renamed Products, and Replacement Products shall become a part of the Licensed Software for all purposes under the Agreement, under and as described in the Agreement.

Local Office Site: Any County or TPA office in which there are RMIS Users.

LTD: Long Term Disability.

Management and Operations: As defined in Exhibit A (Statement of Work).

Maximum Agreement Sum: As defined in Subparagraph 7.1.3 of the Agreement.

Medical Information or MI: As defined in Exhibit L (Information Security and Privacy Requirements).

MMCC: Medical Management and Cost Containment contractor.

MSP: Medicare Secondary Payer.

New Software: Any function or module that is (i) not included in the Licensed Software marketed by Contractor as of the effective date of the Agreement, (ii) not related to the primary function for which the Licensed Software is used by County, and/or (iii) not otherwise to be provided to County under this Agreement as a Revision to the Licensed Software, in each case, which Contractor may provide upon County's request therefor in the form of Optional Work in accordance with Subparagraph 4.5 (Optional Work). Additional Interfaces and/or additional Customizations and Enhancements beyond those required by the then-current version of Attachment A.1 (System Requirements) to Exhibit A (Statement of Work) provided by Contractor upon County's request therefor in the form of Option

Work in accordance with Subparagraph 4.6 (Optional Work) shall be deemed New Software.

Optional Work: New Software and/or Professional Services, which may be provided by Contractor to County upon County's request and approval in accordance with Subparagraph 4.6 (Optional Work).

Option Term: As defined in Subparagraph 6.2 (Option Terms; Term) of the Agreement.

Personal Information or PI: As defined in Exhibit L (Information Security and Privacy Requirements).

Personally Identifiable Information: Any information that identifies a person, including, but not limited to, name, address, email address, passwords, account numbers, social security numbers, credit card information, personal financial or healthcare information, personal preferences, demographic data, marketing data, credit data, or any other identification data. For the avoidance of doubt, Personal Data shall include, but not be limited to, all "nonpublic personal information," as defined under the Gramm-Leach-Bliley Act (15 United States Code ("U.S.C.") § 6801 et seq.), Protected Health Information, and Personally Identifiable Information as that term is defined in California Civil Code section 19798.29 and EU Data Protection Directive (Directive 95/46/EEC) on the protection of individuals with regard to processing of personal data and the free movement of such data.

Phase 1, Phase 2 and Phase 3; Phase: As defined in Exhibit A (Statement of Work).

Pool Dollars: Absent an Amendment in accordance with Paragraph 12.0 (Changes to Agreement), the maximum amount allocated under this Agreement for the provision by Contractor of Optional Work, including New Software and/or Professional Services, approved by County in accordance with the terms of this Agreement.

Production Use: The actual use of the System or any component thereof in the Hosted Environment to process actual live data in County's day-to-day operations.

Professional Services: Services, including but not limited to, consulting services, additional training and/or customizations, which Contractor may provide upon County's request therefore in the form of Optional Work in accordance with Subparagraph 4.5 (Optional Work).

Project Control Document: Defines the schedule of Deliverables identified in RFP Appendix A, SOW and identifies any dependencies between Deliverables that require County approval of one or more prior Deliverables.

Protected Health Information or PHI: As defined in Exhibit L (Information Security and Privacy Requirements).

Receiver: As defined in Subparagraph 11.2.1 of the Agreement.

Remedial Acts: As defined in Subparagraph 20.2.2 of the Agreement.

Required Insurance: As defined in Paragraph 21.0 (General Provisions for All Insurance Coverage).

Replacement Product: As defined in Subparagraph 4.9 (Continuous Licensed Software Support) of the Agreement.

Revisions: Changes to the Licensed Software, including but not limited to (a) a bug fix, patch, or redistribution of the Licensed Software that corrects an error as well as addresses common functional and performance issues, including Deficiency corrections; (b) an aggregation of fixes, updates, or significant new features, functionality or performance improvements, including but not limited to those constituting a new Version; (c) any update to the Licensed Software designed to improve its operations, usefulness, or completeness that is made generally available by Contractor to its other customers; or (d) any of the foregoing provided for the Licensed Software to remain in compliance with applicable Federal, State and local laws, rules and regulations. Revisions do not include Customizations or Enhancements.

RMIS or System: The Licensed Software, Hosted Environment, and Services, including all modules, components and Documentation, and together with all Contractor Proprietary Technology included in the Licensed Software, Hosted Environment and/or Services, collectively comprising the Risk Management Information System, as specified in the Agreement.

Schedule(s): As defined in the preamble to the Agreement.

Scope of Work: As defined in Paragraph 4.5.3 (Change Order Process and Contents) of the Agreement.

Service Credits: As defined in Exhibit J (Service Level and Warranty Agreement).

Service Interdependencies: As defined in Subparagraph 4.6.2 (Service Interdependencies) of the Agreement.

Service Levels: As defined in Subparagraph 8.4 (Service Levels) of the Agreement.

Services: Collectively, all functions, responsibilities, tasks, subtasks, Deliverables, goods, and other services: (a) identified in the Specifications; (b) identified in this Agreement as being Contractor's responsibility; and (c) otherwise necessary to comply with the terms of this Agreement. Without increasing the scope of the Services, if any component task, subtask, service, or function is: (i) an inherent or necessary part of the Services defined in subparts (a), (b), or (c) of this Subparagraph; or (ii) a customary part of the Services defined in subparts (a),

(b), or (c) of this Subparagraph, and not in conflict with Contractor's established methods of providing services; and, as to a service(s) within either subpart (i) and (ii) of this sentence above, is not specifically described in this Agreement, then such service or function shall be deemed to be part of the Services. Any hardware and/or software provided to County by Contractor pursuant to this Agreement shall be deemed part of the Services. There are several subsets of the Services, specifically "Implementation Services," "Hosting Services," and "Support Services" that are included within this definition of "Services," even though they are sometimes referenced by the Service grouping name (e.g., "Implementation Services," "Hosting Services," and "Support Services"). Each of these Service groupings includes both the broad definition of Services above, and the specific Services associated with the Service grouping and described in Exhibits, Attachments, or Schedules and related documents incorporated into the definition of that Service grouping.

Specifications: All specifications, requirements, and standards specified in Exhibit A (Statement of Work), including Attachment A.1 (System Requirements); all performance requirements and standards specified in this Agreement, including, but not limited to, the requirements identified in Exhibit J (Service Level Warranty Agreement) and/or Exhibit K (Maintenance and Support Agreement); the Documentation for the Licensed Software, to the extent not inconsistent with any of the foregoing; all specifications for the Licensed Software provided or made available by Contractor under this Agreement, but only to the extent: (i) not inconsistent with any of the foregoing; and (ii) acceptable to County in its sole discretion; and all written and/or electronic materials furnished or made available by or through Contractor regarding the System, including functionality, features, capacity, availability, response times, accuracy, or any other performance or other System criteria or any element of the System, but only to the extent not inconsistent with any of the foregoing.

SROI: Subsequent Report of Injury.

STD: Short Term Disability.

Subcontractor: Any person or entity to which Contractor or any of its subcontractors has entered into a subcontract in accordance with Paragraph 13.0 (Subcontracting) of the Agreement to perform all or any portion of any tasks, subtasks, Deliverables, goods, Services, or other work under the Agreement.

Successor Event: As defined in Subparagraph 4.9 (Continuous Licensed Software Support) of the Agreement.

Support Services: As defined in Paragraph 4.3 (Support Service) of the Agreement.

Support Services Fees: As defined in Paragraph 4.3.1 of the Agreement.

System Development Lifecycle (SDLC): As defined in Exhibit A (Statement of Work).

Tax; Taxes: Governmental fees (including license, filing and registration fees) and all taxes (including franchise, excise, stamp, value added, income, gross receipts, gross revenue, import, export, sales, use, transfer, and property taxes), withholdings, assessments, levies, imposts, duties, charges, or interest thereon imposed.

Technical Support: Qualified technical support for an automated claims system, documentation and training to Department of Risk Management's staff.

third party: For purposes of Paragraph 20.0 (Indemnification) only, "third party" means and includes any person or entity other than the County of Los Angeles as the contracting party to this Agreement.

Third Party Product: All software and content licensed, leased or otherwise obtained by Contractor from a third-party, and used with System or used for the performance of the Services and which is expressly identified as Third Party Product in Attachment A.4 (Third Party Products) to Exhibit A (Statement of Work).

Third Party Vendors: As defined in Subparagraph 3.1.1.3 (Third-Party Vendors) of the Agreement.

TPA: County's Third Party Administrators.

Transition Period: As defined in Subparagraph 15.7.1 of the Agreement.

Transition Services: As defined in Subparagraph 15.7.2 of the Agreement.

TyMetrix T360: A County Counsel system which shall interface with RMIS.

User: Any person or entity authorized by the County to access or use the System in accordance with Subparagraph 3.1.1.1 (Access License).

Version: A Revision that is accompanied by a change in the reference to the Licensed Software in the number to the left of the period in the version numbering format X.XX.

Warranty Period: As defined in Subparagraph 8.3 (Conformance to Specifications) of the Agreement.

Work Product: As defined in Subparagraph 3.3.2 (Proprietary Rights in the Contractor Proprietary Technology).

Workers' Compensation Information System: State of California's Workers' Compensation Information System which shall interface with RMIS.

3.0 LICENSED SOFTWARE AND INTELLECTUAL PROPERTY

3.1 License Grant

3.1.1 License Grants and Limitations

1. **Access License**. Subject to the terms and conditions of this Agreement, including, but not limited to, payment by County of the applicable fees set forth in Exhibit B (Pricing Schedule) in accordance with this Agreement, Contractor grants to County a limited, non-exclusive, non-transferable (except as permitted by this Agreement) license, without the right to sublicense (except as permitted under this Subparagraph 3.1.1.1 and Subparagraph 3.1.1.3 (Third Party Vendors) below), to remotely access and use the System that is located on the Hosted Environment in accordance with the terms of this Agreement for the length of the term of this Agreement. Use of the System is limited to the number of concurrent Users set forth on Exhibit B (Pricing Schedule). Users of the System are limited to (a) employees of County and Federal, State, and local agencies authorized by County, in each case, with respect to which County has established a password; and (b) Third Party Vendors pursuant to Subparagraph 3.1.1.3 below. The license granted under this Subparagraph 3.1 is referred to as the "**Access License**."

2. **Work Product.** Contractor grants to County a limited, non-exclusive, non-transferrable (except as permitted by this Agreement), perpetual, irrevocable license to County to use, copy and distribute the Work Product Subset provided that (1) the use and distribution of Work Product Subset are limited to County, its employees; Federal, State, and local agencies; and its Third Party Vendors pursuant to Subparagraph 3.1.1.3 below, and (2) County will not remove any copyright or proprietary notices contained on such Work Product Subset. Except otherwise provided in this Agreement, any other use or distribution of Work Product Subset, unless authorized in writing by Contractor, is prohibited. The term "**Work Product Subset**" means all Deliverables, Contractor's or County's working papers with respect to such Deliverables, and all other Work Product provided to County under this Agreement that contain the County's Confidential Information and/or business processes

(whether or not confidential), but excluding the Licensed Software.

3. **Third Party Vendors**. Contractor acknowledges and agrees that County may use certain third-party vendors for purposes of performing some of County's internal business processes ("**Third Party Vendors**"). County may allow its Third Party Vendors (other than Contractor's direct competitors as identified on Exhibit P (Contractor's Direct Competitors)) to access and use the System subject to the terms and conditions of this Agreement solely for County's internal business processing services, subject to the following conditions: (i) County agrees to be fully responsible for all use of the System by its Third Party Vendors; (ii) County will ensure compliance by Third Party Vendors with the terms and conditions of this Agreement, including without limitation, the applicable provisions of Paragraph 11.0 (Confidentiality) of this Agreement; (iii) County will notify Contractor of any such Third Party Vendors (it being understood and agreed that such notification is provided by virtue of County establishing passwords for such Third Party Vendors); and (iv) upon termination of its relationship with such Third Party Vendors or of this Agreement, County will ensure that all access to the System by such Third Party Vendors ceases immediately. For the avoidance of doubt, this Subparagraph 3.1.1.3 does not prohibit the County from allowing Third Party Vendors who are direct competitors of Contractor to interface with the System or to develop Interfaces with the System based upon Specifications provided by Contractor; provided that any information provided to such Third Party Vendor regarding the System required for such Third Party Vendor to interface with the System must be subject to written obligations of confidentiality.

4. **Limitations**

   a. **Use Restrictions**. Unless otherwise expressly authorized in this Agreement, County will not, and will ensure that its Users will not: (i) modify, adapt, alter, translate, or create derivative works from the System; (ii) merge the Licensed Software or System (or any part thereof) with any other software, products or services (other than Contractor-provided Interfaces or Interfaces developed based upon Specifications provided by Contractor); (iii) sublicense, resell, re-

distribute, lease, rent, loan, disclose or otherwise transfer the Licensed Software or System (or any part thereof) or any other associated products and services to any third party; (iv) reverse engineer, decompile, disassemble, or otherwise attempt to derive the source or object code of the Licensed Software or System (or any part thereof); (v) use the Licensed Software or System (or any part thereof) to provide any facility management, service bureau or similar services to third parties; (vi) permit third parties to remotely access and/or use the Licensed Software or System (or any part thereof) to develop a product line that is similar to the Licensed Software or Software or System; (vii) otherwise use or copy the Licensed Software or System (or any part thereof) except as expressly allowed under this Agreement or (viii) alter, distort, or remove any confidential, proprietary, copyright, trademark, trade secret, or patent legends from any copy of the Licensed Software or System (or any part thereof).

b. **Unauthorized Actions**. In addition, County agrees that it will not use the Licensed Software or System to take any action that: (i) violates any applicable law or regulation or is legally libelous, defamatory, indecent, obscene or pornographic; (ii) would violate copyright, trademark, trade secret or other property right of any third party; (iii) involves the addition, removal or modification of identifying network header information in an effort to deceive; (iv) uses the System to access, or attempt to access, the accounts of third parties, or to penetrate, or attempt to penetrate, security measures of Contractor's or another entity's computer software or hardware, electronic communications system, or telecommunications system, whether or not the intrusion results in access to or the corruption or loss of data; (vi) uses the Licensed Software or System to collect, or attempt to collect, personal information about third parties in a manner that is not permitted by applicable law.

c. **Removal of Files**. Contractor reserves the right to remove from the Hosted Environment and to place in a temporary quarantined area, any files that may damage the System or any files that are in violation of Subparagraph 3.1.1.4.b., provided that Contractor agrees to give County written notice within two (2)

Business Days after removing such files. Contractor shall maintain the files in the temporary quarantined area until such time as both parties, acting reasonably, mutually agree to either (A) restore the files to the System, (B) remediate the files and restore them to the System, (C) return the files to County pursuant to Subparagraph 11.5.2, or (D) otherwise dispose of the files in accordance with Subparagraph 11.5.2.

3.1.2 **Documentation**

At no additional charge to County, Contractor shall provide or make available to County all Documentation relating to the Licensed Software and the System. If the Documentation for the Licensed Software is revised or supplemented at any time, Contractor shall promptly provide or make available to County a copy of such revised or supplemental Documentation, at no additional cost to County. County may, at any time, reproduce copies of all Documentation and other materials provided or made available by Contractor, distribute such copies to County and Third Party Vendor personnel, or County designees and Users of the System, and incorporate such copies into its own technical and User manuals, provided that such reproduction relates to County's and Users' use of the Licensed Software as permitted in this Agreement, and all copyright and trademark notices, if any, are reproduced thereon. Contractor shall provide or make available to County all Documentation in electronic form.

3.2 **Revisions**

3.2.1 **Revisions During Term**

During the term of this Agreement, all Revisions (including Displaced/Renamed Products (as defined below)) shall be provided to County at no additional charge beyond the fees payable hereunder for Support Services as contained in Exhibit B (Payment Schedule), regardless of whether Contractor charges other customers for such Revisions. During the term of this Agreement, if (a) the Licensed Software is displaced in Contractor's product line by another product, or (b) a renamed product containing substantially similar functionality to the Licensed Software is distributed by Contractor (even if the renamed product contains additional features, functionality, or other capabilities) (each a "**Displaced/Renamed Product**"), County shall receive such Displaced/Renamed Product as a Revision. All work required to ensure that a Revision (including

but not limited to material Revisions accepted by County under Subparagraph 3.2.2 (Notice of Revisions)) is compatible with the then-current Licensed Software shall be provided by Contractor at no additional charge to County beyond the fees payable hereunder for Support Services as contained in Exhibit B (Payment Schedule).

3.2.2 **Notice of Revisions**

Contractor may from time to time make material Revisions to the Licensed Software. In the event of such Revisions, (a) the Revision of the Licensed Software will include at least the functionality, level, or quality of services that County previously received and shall continue to comply with all of the requirements of this Agreement, and (b) County shall be provided, at least sixty (60) days in advance of any such material changes, written notice and a demonstration of such material changes (for any minor changes or security updates a shorter notice period may be required). If such advanced demonstration reveals material adverse effects on functionality or operation of the Licensed Software and/or the System, including, but not limited to, a failure to comply with the requirements of this Agreement, or compatibility with County's technical, business or regulatory requirements, including, without limitation, hardware, software, or browser configurations, then County may in its sole discretion reject such changes, and remain on the current Revision of the Licensed Software and continue to receive Support Services as required hereunder for the remainder of the term of this Agreement. County shall be entitled to withhold payment for Support Services pending demonstrated correction of the issues identified. During the term of this Agreement, as part of Support Services, County shall receive access to all new Revisions of the Licensed Software that Contractor makes available to its other licensees without additional charge as provided in this Subparagraph 3.2 (Revisions) within thirty (30) days after their general availability. Notwithstanding the foregoing, Contractor represents, warrants, covenants, and agrees that throughout the term of this Agreement Contractor shall only provide Support Services for the current Version of Licensed Software and the most recent prior one (1) Versions and no other Versions.

3.3 **Proprietary Rights**

3.3.1 **Ownership of County Data**

All of the County's Confidential Information, including without limitation Personal Information, Personally Identifiable

Information, Protected Health Information, Medical Information and other data, records, and information of County to which Contractor has access, or otherwise provided to Contractor under this Agreement; and all of the output from the System generated by County's use of the System, including without limitation, reports, graphs, charts, modified County Data, etc., but expressly excluding any form templates of such reports, graphs or charts that by themselves that do not include County Data (collectively, "**County Data**") provided or made accessible by County to Contractor, is and shall remain the property of County.

3.3.2 **Proprietary Rights in the Contractor Proprietary Technology**

As between the parties, and subject to the terms and conditions of this Agreement, Contractor and its third-party suppliers will retain ownership of all Intellectual Property Rights in the System, and any and all derivative works made to the System or any part thereof, as well as all Work Product provided to County ("**Contractor Proprietary Technology**"). County acquires no rights to Contractor Proprietary Technology except for the license interests granted under this Agreement. The term "**Work Product**" means all Deliverables, Documentation, and all other materials, reports, manuals, visual aids, documentation, ideas, concepts, techniques, inventions, processes, or works of authorship developed, provided or created by Contractor or its employees or contractors during the course of performing work for County (excluding any County Data or derivative works thereof and excluding any output from the System generated by County's use of the System, including without limitation, reports, graphs, charts, modified County Data, etc., but expressly including any form templates of such reports, graphs or charts by themselves that do not include County Data). County also acknowledges that the Contractor Proprietary Technology contains Confidential Information belonging to Contractor and its third-party suppliers, and that nothing herein gives County any right, title or interest in such Contractor Proprietary Technology except as otherwise expressly set forth in this Agreement. County acknowledges and agrees that Contractor may use, without restriction but at Contractor's own risk, all suggestions, improvements and ideas concerning any part of the System or Intellectual Property Rights therein that may be communicated to Contractor by County. County agrees to inform Contractor promptly of any infringement or other improper action with respect to Contractor Proprietary Technology therein that comes to County's attention.

3.3.3 **Rights Reserved**

Title, ownership rights, and all Intellectual Property Rights in and to the System will remain the sole property of Contractor or its third-party suppliers. County acknowledges that the Licensed Software in source code form remains Confidential Information or a trade secret of Contractor and/or its third-party suppliers that the source code is not covered by any license hereunder and will not be provided by Contractor. Except as set forth in this Agreement, no right or implied license or right of any kind is granted to County, regarding the System or any part thereof. Nothing in this Agreement confers upon either party any right to use the other party's trade names and trademarks, except for permitted license use in accordance with this Agreement. All use of such marks by either party will inure to the benefit of the owner of such marks, use of which will be subject to specifications controlled by the owner.

3.4 **Third Party Product**

The Contractor shall not use any Third Party Product in the System without the prior written approval of the County to be granted or withheld in its sole discretion. In the event Contractor provides any Third Party Product to County on connection with this Agreement, Contractor shall obtain, at Contractor's sole cost and expense, a fully paid-up, royalty-free, worldwide, limited, non-exclusive license for County and County's agents and assigns, to use the Third Party Product for County's business purposes and activities for the term of this Agreement. For the avoidance of doubt, Contractor shall support and maintain, at no additional charge to County, all Third Party Product to the same extent as the Licensed Software.

4.0 SERVICES

4.1 **Services Generally**

The Contractor will provide and implement the System as specified in this Agreement. The System will consist of four (4) modules: Module 1 will be for the Claims Management System, Risk Compliance Management System, Time-billing and Matter Management System; Module 2 will be for the Workers' Compensation System; Module 3 will be for the Disability Management System; and Module 4 will be for the Loss Control and Prevention System. County may issue notices to proceed for all or part of any Phase of any module in a sequential manner or concurrently for one or more modules. County shall issue a notice to proceed for Module 1 within the later of (a) December 29, 2017, or (b) thirty (30) days from the Effective Date of this Agreement. Notwithstanding the foregoing, there shall be no obligation on the part of County to proceed to any subsequent Phases of work with Contractor or to obtain additional Services from Contractor under this Agreement after completion of an earlier Phase. The Contractor will

provide the Services, fulfill the obligations to County, produce and deliver the Deliverables, and retain the responsibilities set forth in this Agreement, and more specifically, Exhibit A (Statement of Work) and in accordance with Exhibits J (Service Level and Warranty Agreement) and K (Maintenance and Support Agreement). All work shall be performed and provided by Contractor in accordance with the applicable timeframes set forth in Exhibit C (Contractor's Project Schedule) and this Agreement. Contractor shall provide the Services without causing a material disruption of County's operations. If the Contractor provides any tasks, deliverables, goods, services, or other work, other than as specified in this Agreement, the same shall be deemed to be a gratuitous effort on the part of the Contractor, and the Contractor shall have no claim whatsoever against the County.

4.2 Implementation Services

4.2.1 Contractor shall provide implementation services, including Licensed Software setup, installation, testing, training and other services required for successful implementation of the System, as provided in this Agreement and specified in Exhibit A (Statement of Work) (collectively, "**Implementation Services**") following delivery by County's Project Director of a written notice to proceed with respect to such Implementation Services. No Implementation Services for a given module shall be initiated by Contractor unless and until County's Project Director has delivered a written notice to proceed with respect to such Implementation Services. Contractor will have no obligations to perform any of the Services or provide any part of the System under this Agreement with respect to any given module until it receives a notice to proceed from the County.

4.2.2 Contractor shall provide Implementation Services in accordance with Exhibit A (Statement of Work) and the Agreement in exchange for County's payment of the applicable Implementation Fees in accordance with this Agreement. The "**Implementation Fees**" shall include any and all fees and costs to be paid by County for the Implementation Services, including all Services as that term is defined and the subset of those Services described in Exhibit A (Statement of Work), as specified in Exhibit B (Pricing Schedule). The Implementation Fees shall be a fixed fee amount specified in such Exhibit B (Pricing Schedule).

4.2.3 Included within the Services subject to the Implementation Fees, Contractor shall deliver all Deliverables by the date(s) specified in Exhibit C (Contractor's Project Schedule) unless extended by County in writing prior to the Deliverables due date. Should Contractor anticipate that the Contractor resources assigned to

provide the Services, or any segment of Services (e.g., Phase 1, Phase 2, or Phase 3 for each module), subject to the Implementation Fees, are not sufficient to timely complete the Services, Contractor shall supplement them with Contractor resources at no additional cost to County as needed to timely complete the Services, or any segment of Services, within the time set forth in Exhibit A (Statement of Work).

4.2.4 **Credits to County**

1. Contractor agrees that delayed performance by Contractor could cause damages to County, which are uncertain and would be impracticable or extremely difficult to ascertain in advance. Contractor further agrees that, in conformity with California Civil Code Section 1671, Contractor shall be liable to County for liquidated damages in the form of credits, as specified in this Subparagraph 4.2.4 (Credits to County), as a fair and reasonable estimate of such damages, except to the extent that such delay is caused by County for which Contractor has delivered a notice of delay in accordance with Subparagraph 24.19 (Notice of Delays). County shall provide notice to Contractor of any amount of such damages when assessed, which the parties agree is not and shall not be construed as penalties. County will deduct all such assessments from County's payment that is due, and Contractor may thereafter pursue the Dispute Resolution Procedure.

2. For each and every occasion upon which a Deliverable marked on Exhibit A (Statement of Work) as "Key" (hereinafter "**Key Deliverable**") has not been completed by Contractor within fifteen (15) days after the date scheduled for completion thereof as set forth in such Exhibit A (Statement of Work) (hereinafter for each Key Deliverable "**Due Date**"), other than to the extent as a result of delays caused by acts or omissions of County for which Contractor has delivered a notice of delay in accordance with Subparagraph 24.19 (Notice of Delays), and unless otherwise approved in writing by the County's Project Director or designee in his/her discretion, County shall be entitled to receive credit against any or all amounts due to Contractor under this Agreement or otherwise in the total amount of Five Hundred Dollars ($500) per Key Deliverable for each day after the Due Date that the Key Deliverable is not completed as a fair and reasonable estimate of the harm caused by the delay.

All of the foregoing credits shall apply separately, and cumulatively, to each Key Deliverable. A determination whether County shall assess credits due to it pursuant to this Subparagraph 4.2.4 (Credits to County) shall be made by the County Project Director in his/her reasonable discretion.

3. A Key Deliverable shall be deemed completed for purposes of this Subparagraph 4.2.4 (Credits to County) and Subparagraph 4.2.5 (Termination for Failure to Complete Key Deliverable) on the earliest date that all of the tasks, subtasks, Deliverables, goods, Services and other work required for the completion of such Key Deliverable are completed and delivered to County, provided that all of such tasks, subtasks, Deliverables, goods, Services and other work required for the completion of such Key Deliverable are thereafter Accepted by County pursuant to Paragraph 5.0 (Acceptance) without prior rejection by County or significant delay in County's approval thereof, which delay is the result of Contractor's failure to deliver such tasks, subtasks, Deliverables, goods, Services and other work in accordance with the terms hereof. For purposes of this Subparagraph 4.2.4 (Credits to County) and Subparagraph 4.2.5 (Termination for Failure to Complete Key Deliverable), the determination of whether a Key Deliverable has been so completed and is so approved, and of the date upon which such Key Deliverable was completed, shall be made by the County's Project Director as soon as practicable after County is informed by Contractor that such Key Deliverable has been completed and is given all the necessary information, data, and documentation to verify such completion.

4.2.5 **Termination for Failure to Complete Key Deliverable**

In addition to the foregoing provisions of Subparagraph 4.2.4 (Credits to County), if any Key Deliverable is not completed within thirty (30) days after the applicable Due Date, and thereafter approved in writing by County pursuant to Paragraph 5.0 (Acceptance), and unless the County's Project Director and the Contractor Project Director have otherwise agreed, in writing, prior to such date scheduled for completion, then County may, upon notice to Contractor, terminate this Agreement for default in accordance with Subparagraph 15.2 (Termination for Default) or for convenience in accordance with Subparagraph 15.1

(Termination for Convenience), as determined in the sole discretion of County.

4.3 **Support Service**

4.3.1 During the term of this Agreement, Contractor shall provide the support and maintenance services for the System described in this Agreement, including Exhibits A (Statement of Work), J (Service Level and Warranty Agreement) and K (Maintenance and Support Agreement) (collectively, the "**Support Services**"), in exchange for County's payment of the applicable fees for support services set forth on Exhibit B (Pricing Schedule) ("**Support Services Fees**") in accordance with this Agreement.

4.3.2 The Support Services shall commence with respect to each completed module of Licensed Software included in the System on the earlier of the following: (a) Final Acceptance of the System if it does not occur until the end of the fifth year following the Effective Date, or (b) the date on which County begins using such completed module in Production Use mode under Subparagraph 5.4 (Licensed Software Use). County shall start paying Support Services Fees for such completed module of the Licensed Software on the date set forth in Subparagraph 7.1.1.

4.3.3 Exhibit B (Pricing Schedule) shows the total maximum amount of Support Services Fees that may be payable by County for Support Services. Exhibit B (Pricing Schedule) further shows two alternate schedules for Support Services: (a) the first schedule showing that the RMIS achieves Final Acceptance at the end of the fifth (5^{th}) year following the Effective Date; and (b) the second schedule showing County beginning to use each completed module in Production Use mode as provided for in Subparagraph 5.4 (Licensed Software Use) in the first calendar month of the fourth (4^{th}) year following the Effective Date.

4.3.4 In the event Contractor is able to successfully deliver Production Use of a module earlier than the first calendar month of the fourth (4^{th}) year following the Effective Date, and County begins using a completed module of the Licensed Software in Production Use mode under Subparagraph 5.4 (Licensed Software Use) at any point in time before the first calendar month of the fourth (4^{th}) year following the Effective Date, the Support Services Fees in the second schedule referenced above in Subparagraph 4.3.3 will be recalculated over the remaining period of the Initial Term to permit earlier payment of Support Service Fees at the time the County begins using a completed module in Production Use. For the avoidance of doubt, if Contractor is not able to deliver any modules

for County's Production Use before the end of the fifth (5th) year from the Effective Date, or until the first calendar month or anytime thereafter following the fourth (4th) year from the Effective Date, Contractor will be limited to the monthly Support Service Fees set forth in the attached schedules in Exhibit B (Pricing Schedule).

4.3.5 Once it is determined the date on which County is to begin payment of Support Services Fees under Subparagraph 7.1.1, if such date is not reflected in either the first schedule or second schedule shown in Exhibit B (Pricing Schedule), then the parties shall enter into an Amendment pursuant to Subparagraph 12.1 (Amendment) to update Exhibit B (Pricing Schedule) to reflect the applicable monthly Support Services Fee. The County Project Director shall have delegated authority to update Exhibit B (Pricing Schedule) in the manner contained in this Subparagraph 4.3 (Support Services). Once the applicable monthly Support Services Fee is established pursuant to this Subparagraph 4.3.3, the Support Services Fees shall be a fixed fee amount specified in such Exhibit B (Pricing Schedule).

4.3.6 There shall be no additional charge to County for on-site Support Services beyond the applicable Support Services Fees to remedy a breach of warranty, to correct a failure of the System to conform to the Specifications, or to fulfill Contractor's obligations pursuant to this Subparagraph 4.3 (Support Services).

4.4 Hosting Services

During the term of this Agreement, Contractor shall host the Licensed Software in the Hosted Environment located at its facilities as set forth in this Agreement, including Exhibit A (Statement of Work), J (Service Level and Warranty Agreement) and K (Maintenance and Support Agreement) (collectively, the "**Hosting Services**"), in exchange for County's payment of the applicable Support Services Fees in accordance with this Agreement. The Hosting Services for a given module shall commence once Contractor receives a notice to proceed from County for such module, but County shall only be obligated to start paying Support Services Fees for each completed module of the Licensed Software on the date set forth in Subparagraph 7.1.1. In providing the Hosting Services, Contractor shall achieve the Service Levels and performance standards set forth in Exhibits J (Service Level and Warranty Agreement) and K (Maintenance and Support Agreement) and this Agreement for the given module(s) for which a notice to proceed has been issued by the County, but no Service Credits will be assessed against Contractor for failure to meet such Service Levels until County is obligated to start paying Support Services Fees.

4.4.1 Contractor represents and warrants that in connection with this Agreement Contractor shall not deliver for installation on County's systems any software or programming, whether created or developed by Contractor or a third party.

4.4.2 Contractor represents and warrants that during the term of this Agreement Contractor will not withhold or suspend Hosting Services provided hereunder, for any reason, including but not limited to a dispute between the parties arising under this Agreement.

4.5 Optional Work

Upon County's written request and execution of a mutual Change Order pursuant to the terms of this Agreement, Contractor shall provide Optional Work, including New Software and Professional Services, in accordance with this Subparagraph and the applicable Change Order, and at the applicable pricing terms set forth in Exhibit B (Pricing Schedule).

4.5.1 New Software

Upon County's written request, Contractor shall provide to County New Software as part of Optional Work using Pool Dollars, in accordance with any applicable Change Order. Any enhancements and/or modifications to the Licensed Software resulting from New Software shall be incorporated into, and become part of, the Licensed Software. All New Software, once Accepted by County pursuant to Paragraph 5.0 (Acceptance), shall become part of the Licensed Software, and shall be subject to the terms and conditions of this Agreement.

4.5.2 Professional Services

Upon County's written request, Contractor shall provide to County Professional Services as part of Optional Work using Pool Dollars, including consulting services and/or additional training, in accordance with any applicable Change Order. Specifically, County may from time to time, during the term of this Agreement, submit to Contractor for Contractor's review written requests for Professional Services using Pool Dollars, including consulting services and/or additional training, for services not included in Implementation Services, Hosting Services or Support Services. Any enhancements and/or modifications to the Licensed Software resulting from Professional Services shall be incorporated into, and become part of, the Licensed Software. Any Professional Services that are Accepted in writing by County shall become a part of the Services, and any products of Professional Services, once Accepted by County pursuant to

Paragraph 5.0 (Acceptance), shall become part of the System, and shall be subject to the terms and conditions of this Agreement.

4.5.3 Change Order Process and Contents

County may require that Optional Work be provided on a (1) fixed price basis, (2) not-to-exceed amount basis, (3) time and materials basis, or (4) a combination of the above. In response to County's request, Contractor shall submit to County for approval a scope of work describing the particular Optional Work and providing a response consistent with the payment method required by County to provide such Optional Work, calculated based on the Fixed Hourly Rate (if applicable) and other pricing terms set forth in Exhibit B (Pricing Schedule) and elsewhere in the Agreement (each a "**Scope of Work**"). County and Contractor shall agree on the Change Order developed using the Scope of Work, which shall at a minimum include the tasks and Deliverables to be performed, Acceptance Tests, as applicable, and the pricing for such Optional Work. Additionally, the County and Contractor shall agree in such Change Order whether the New Software or Professional Services subject of such Change Order require an increase in the Support Services Fees for Support Services or Hosting Services under this Agreement.

4.6 Multi-Vendor Environment

4.6.1 Cross-Over Issues

Contractor acknowledges that it will be delivering the Services and/or Licensed Software in a multi-vendor environment, with the County and other service providers providing services relating to the System. Effective operation of such an environment requires not only the cooperation among all service providers, including Contractor, but also collaboration in addressing service-related issues that may cross over from one service area or provider to another and related to the Services (in this Subparagraph, "**Cross-Over Issues**"). As part of the Services, Contractor will actively provide and support tasks associated with operating and maintaining a collaborative approach to Cross-Over Issues in the same manner as if the Contractor Service relevant to the Cross-Over Issue was being provided in-house by County rather than by Contractor.

4.6.2 Service Interdependencies

Contractor shall use commercially reasonable efforts to identify all work efforts of which Contractor has knowledge, whether

performed by Contractor, Subcontractors, Contractor third-party vendors, or County that may impact the delivery of the Services (in this Subparagraph, the "**Service Interdependency**"). For each Service Interdependency, Contractor shall verify that project plans, detailed to the task level with individual performance responsibility identified, have been developed by the party responsible for the work or deliverable, and validate that each project plan reflects delivery of the work or deliverables required by Contractor to deliver the Licensed Software and/or Services in accordance with the Specifications. Contractor shall implement processes to insure it is receiving regular reports, from all parties responsible for a Service Interdependency, with sufficient data to enable it to validate that each Service Interdependency is proceeding in accordance with the timing applicable to that Service Interdependency, and that the then current timing of delivery of the work or deliverables as to each Service Interdependency will not adversely impact Contractor's ability to deliver the Licensed Software and/or Services in accordance with the Specifications. Contractor shall take reasonable steps to validate that the data it receives in the reporting process is supported by tangible progress on the Service Interdependency. Within a reasonable period of time of knowledge of any Service Interdependency, Contractor shall provide County with a written report outlining the scope and nature of such Service Interdependency and Contractor's proposed resolution to remedy such Service Interdependency

4.7 **Time Is of the Essence**

Subject to the cure periods provided for in this Agreement, time is of the essence with regard to Contractor's performance of the Services.

4.8 **No Offshore Work**

All Services shall be performed and rendered within the continental United States. In particular, Contractor warrants that it will not transmit or make available any County Confidential Information, County's intellectual property or any County property to any entity or individual outside the continental United States.

4.9 **Continuous Licensed Software Support**

If Contractor assigns this Agreement, is acquired, or is otherwise controlled by another individual or entity (in this Subparagraph, collectively referred to as a "**Successor Event**"), such individual or entity shall provide Support Services in accordance with this Agreement, unless otherwise agreed to in

writing by County. If subsequent to the Successor Event, the Licensed Software is not supported to at least the same level that Contractor supported the Licensed Software prior to the Successor Event, because, for example, Contractor's assignee chooses to support other products with similar functions or does not otherwise properly staff the support for the Licensed Software, County may elect to transfer the license of the Licensed Software, without cost or penalty, to another similar product ("**Replacement Product**") within Contractor's assignee's or successor's product offering. For purposes of this Subparagraph 4.9 (Continuous Licensed Software Support), the term "controlled" shall mean the legal right to elect a majority of the directors of a corporation or similar officers of any other entity or to determine an entity's general management policies through contract or otherwise. The assignee or successor, by taking benefit (including acceptance of any payment under this Agreement) ratifies this Agreement. All terms and conditions of this Agreement shall continue in full force and effect for the Replacement Product. In addition, the following terms and conditions shall apply if County elects to transfer this license to a Replacement Product: (a) any prepaid maintenance and support shall transfer in full force and effect for the balance of the Replacement Product's maintenance and support term (or equivalent service) at no additional cost. If the prepaid moneys are greater than the Replacement Product's maintenance and support fee for the same term, the credit balance will be applied to future maintenance and support fees or returned to County, at its option; (b) any and all software offered separately and needed to fulfill the original Licensed Software's level of functionality shall be supplied by Contractor's assignee or successor without additional cost or penalty and shall not affect the calculation of any maintenance and support fees; (c) any services required for implementation of the Replacement Product shall be provided by Contractor's assignee or successor without additional cost or penalty; (d) Contractor shall provide to County reasonable training for purposes of learning the Replacement Product at no cost to County; (e) all license terms and conditions shall remain as granted herein with no additional fees imposed on County; and (f) the definition of Licensed Software shall then mean and include the Replacement Product.

5.0 ACCEPTANCE

5.1 Acceptance Criteria

The Licensed Software, Services, Deliverables, milestones (if applicable), the System as a whole, Optional Work, and other work under this Agreement may be subject to acceptance testing by County, in its reasonable discretion, to verify that they satisfy the acceptance criteria mutually agreed to by the parties, as developed in accordance with Exhibit A (Statement of Work) and this Paragraph 5.0 (Acceptance) (the "**Acceptance Criteria**"). Such Acceptance Criteria shall be based, at a minimum, on conformance of such work to the Specifications. In the event the parties fail to agree upon Acceptance Criteria, the acceptability of such

work shall be based on County's reasonable satisfaction therewith in terms of conformance to the Agreement, including the Specifications. Acceptance Certificates may be submitted by Contractor by e-mail to County's Project Director and Project Manager, and signed by County's Project Director or designee and returned to Contractor by e-mail at the applicable addresses show in Exhibits E (County's Administration) and F (Contractor's Administration).

5.2 **Acceptance Tests**

5.2.1 When Contractor notifies County that one or more modules of the Licensed Software has been implemented as required under Exhibit A (Statement of Work) or that a Service, Deliverable, or milestone (if applicable) has been completed, County may, in its sole discretion, elect to test or evaluate the related Licensed Software, Services, Deliverables, and/or milestones to determine whether they comply in all material respects with the Acceptance Criteria and the System, as a whole, is operating in accordance with the Specifications. Testing may be performed at various stages of the Implementation Services as set forth in the Statement of Work, or otherwise deemed appropriate by County.

5.2.2 County and/or Contractor shall conduct all tests (hereinafter "**Acceptance Test(s)**") specified in this Subparagraph 5.2 (Acceptance Tests) and in Exhibit A (Statement of Work).

5.2.3 For each Acceptance Test, Contractor shall provide County testing scenarios consistent with Contractor's best practices for the applicable Licensed Software, Service, Deliverable, and/or milestone.

5.3 **Production Use**

The Licensed Software (or any module thereof) shall be ready for Production Use when the County Project Director, or his/her designee, approves in writing (a) Contractor's transition of the Licensed Software (or any module thereof) to the Hosted Environment for Production Use, and (b) documented results provided by Contractor certifying successful transition of the Licensed Software (or any module thereof) to the Hosted Environment for Production Use and operation of the System (or the applicable module within the System) in accordance with the Specifications.

5.4 **Licensed Software Use**

Following installation of the Licensed Software (or any module thereof) by Contractor and prior to Final Acceptance by County, County shall have the right to use, in a Production Use mode, any completed module of the

Licensed Software, without any additional cost to County (except as provided for in Subparagraph 7.1.1) where County determines that it is necessary for County operations. Such Production Use shall not restrict Contractor's performance under this Agreement and shall not be deemed Acceptance or Final Acceptance of the Licensed Software. Notwithstanding the foregoing, if the County is using any completed module of the Licensed Software under this Subparagraph 5.4, County will commence payment in accordance with this Agreement of the applicable Support Services Fees, as provided in Subparagraphs 7.1.1 and 7.4 (Invoices and Payments).

5.5 Final Acceptance

5.5.1 Conduct Performance Verification

1. Following successful transitioning of a module of the Licensed Software to Production Use, Contractor will conduct Phase 2 (Performance Verification Phase) with respect to such module of the Licensed Software under Task 12 of Exhibit A (Statement of Work). Identification and correction of Deficiencies identified by Contractor or County during this Phase shall be in accordance with Task 12 of Exhibit A (Statement of Work).

2. Commencing with Final Acceptance and continuing through the Warranty Period, any problems encountered by County in the use of the module of the Licensed Software and RMIS shall be subject to the applicable Support Services terms under the Agreement.

5.5.2 Performance Verification Report

Upon completion of Phase 2 (Performance Verification Phase) with respect to each module of the Licensed Software, Contractor shall provide to County Deliverable 12.3.1 (Performance Verification Report) under and as described in Subtask 12.3 (Prepare Performance Verification Report) for such module of the Licensed Software. Subject to Subparagraph 5.5.3.2, the process for Final Acceptance of the RMIS as described in Subparagraph 5.5.3 (Final Acceptance) and Exhibit A (Statement of Work) will be ready to commence upon County's Acceptance of Deliverable 12.3.1 (Performance Verification Report) for the last module of the Licensed Software implemented under Exhibit A (Statement of Work).

5.5.3 Final Acceptance

1. The RMIS shall achieve “Final Acceptance” when County Accepts Deliverable 13.2.2 (Final Acceptance Certification) under Exhibit A (Statement of Work). Without limiting the requirements of Subtask 13.2 (Final Acceptance Report and Certification), Contractor shall not submit Deliverable 13.2.2 for Acceptance by County until all Deficiencies required by Subtask 13.2 have been corrected by Contractor and the RMIS has performed for the specified 30-day period required by Subtask 13.2 without any Severity Level 1-Critical or 2-Severe (as defined in Exhibit J (Service Level and Warranty Agreement)) Deficiencies.

2. Notwithstanding the foregoing, in the event County does not issue a notice to proceed under Subparagraph 4.2.1 for all Implementation Services with respect to any module of the Licensed Software following the end of the third (3rd) year after the Effective Date (in this Subparagraph, each a “**Deferred Module**”), then the process for Final Acceptance of the RMIS as described in Subparagraph 5.5.3.1 and Exhibit A (Statement of Work) shall be deemed to be modified to permit Final Acceptance to be achieved with respect to all other modules of the Licensed Software that a notice to proceed was issued for, and for Final Acceptance to be achieved with respect to the Deferred Module on its own only if a notice to proceed is issued by County for all Implementation Services for such Deferred Module. Additionally, in the event County terminates this Agreement pursuant to Subparagraph 15.1 (Termination for Convenience) with respect to any module of the Licensed Software at any time prior to the RMIS achieving Final Acceptance, the process for Final Acceptance of the RMIS as described in Subparagraph 5.5.3.1 and Exhibit A (Statement of Work) shall be deemed to be modified to permit Final Acceptance to be achieved with respect to all remaining modules of the Licensed Software. Should Final Acceptance be achieved as provided for in this subparagraph, the Holdback amounts for those modules that pass Final Acceptance shall be released to Contractor as provided for in Subparagraph 7.3 (Holdbacks).

5.6 **Failed Testing**

5.6.1 If the County’s Project Director makes a good faith determination at any time that the Licensed Software or the RMIS (as a whole,

or any component thereof), Services, Deliverables, and/or milestones has not successfully completed an Acceptance Test or has not achieved Final Acceptance (collectively referred to for purposes of this Subparagraph 5.6 (Failed Testing) as "**Designated Test**"), the County's Project Director shall promptly notify Contractor in writing of such failure, specifying with as much detail as possible the manner in which the Licensed Software, RMIS, Services, Deliverables, and/or milestones failed to pass the applicable Designated Test. Contractor shall immediately commence all reasonable efforts to complete, as quickly as possible, such necessary corrections, repairs, and modifications to the Licensed Software, RMIS, Services, Deliverables, and/or milestones as will permit the Licensed Software, RMIS, Services, Deliverables, and/or milestones to be ready for retesting. Contractor shall notify the County's Project Director in writing when such corrections, repairs, and modifications have been completed, and the applicable Designated Test shall begin again. If, after the applicable Designated Test has been completed for a second time, the County's Project Director makes a good faith determination that the Licensed Software, RMIS, Services, Deliverables, and/or milestones again fails to pass the applicable Designated Test, the County's Project Director shall promptly notify Contractor in writing, specifying with as much detail as possible the manner in which the Licensed Software, RMIS, Services, Deliverables, and/or milestones failed to pass the applicable Designated Test. Contractor shall immediately commence all reasonable efforts to complete, as quickly as possible, such necessary corrections, repairs, and modifications to the Licensed Software, RMIS, Services, Deliverables, and/or milestones as will permit the Licensed Software, RMIS, Services, Deliverables, and/or milestones to be ready for retesting. All notices under this Subparagraph 5.6.1 may be submitted by Contractor or by County via e-mail at the applicable addresses shown in Exhibits E (County's Administration) and F (Contractor's Administration).

5.6.2 Such procedure shall continue, subject to County's rights under Subparagraphs 4.2.4 (Credits to County) and 4.2.5 (Termination for Failure to Complete Key Deliverable) in the event Contractor fails to timely complete any Key Deliverable, until such time as County notifies Contractor in writing either: (i) of the successful completion of such Designated Test, or (ii) that County has concluded, subject to the Dispute Resolution Procedure, that satisfactory progress toward such successful completion of such Designated Test is not being made, in which latter event, County shall have the right to make a determination, which shall be binding and conclusive on Contractor, that a non-curable default

has occurred and to terminate this Agreement in accordance with Subparagraph 15.2 (Termination for Default) on the basis of such non-curable default.

5.6.3 Such a termination by County may be, subject to the Dispute Resolution Procedure, as determined by County in its sole judgment: (i) a termination with respect to one or more of the components of the Licensed Software; (ii) a termination of any part of Exhibit A (Statement of Work) relating to the Licensed Software, RMIS, Service(s), Deliverables(s), and/or milestone(s) that is (are) not performing or conforming as required herein; or (iii) if County believes the failure to pass the applicable Designated Test materially affects the functionality, performance, or desirability to County of the System as a whole, the entire Agreement. In the event of a termination under this Subparagraph 5.6 (Failed Testing), County shall have the right to seek (but not automatically receive) reimbursement of all payments made to Contractor by County under this Agreement for the component(s), Licensed Software, Service(s), Deliverables(s), milestone(s), and/or System as to which the termination applies, or, if the entire Agreement is terminated, all amounts paid by County to Contractor under this Agreement. The foregoing is without prejudice to any other rights that may accrue to County or Contractor under the terms of this Agreement or by law. For the avoidance of doubt and without limiting Subparagraph 24.28 (Waiver), no prior approval or Acceptance by County of any Licensed Software, RMIS, Service, Deliverable, Work Product, any other work and/or milestone shall constitute a waiver or estoppel by County of the rights and remedies set forth in this Subparagraph 5.6 (Failed Testing).

5.7 **Integration/Interfacing**

Contractor shall be responsible for developing and delivering the Interfaces, identified in Exhibit A (Statement of Work), including Attachment A.2 (System Interfaces) thereto, as part of the Licensed Software at no additional cost to County beyond the applicable Implementation Fees in Exhibit B (Pricing Schedule). If the Licensed Software is to be integrated/interfaced with other software, equipment, and/or systems provided by Contractor or at the direction of Contractor, including any customized enhancements and Work Product, the Licensed Software shall not be deemed Accepted by County until the Licensed Software and such other systems have been successfully integrated/interfaced and accepted by County in accordance with the terms of this Paragraph 5.0 (Acceptance). For example, if Contractor is to provide Licensed Software consisting of multiple modules or that includes enhancements, including Work Product, to the Licensed Software as part of the Services, County's Acceptance of

the Licensed Software, any individual module or enhancement shall not be final until County's Final Acceptance of the RMIS, which demonstrates, among other things described in Exhibit A (Statement of Work), that all modules or enhancements integrated/interfaced together as a complete system resulting in the System, including the operation of the Licensed Software on all equipment required for its use in conformance with the terms of this Agreement. Contractor shall not obtain any ownership interest in any other systems merely because they were interfaced, integrated, or used with any Licensed Software.

6.0 TERM OF CONTRACT

6.1 **Initial Term**

The term of this Agreement shall commence upon the Effective Date and shall consist of three (3) Phases as described in Exhibit A (Statement of Work), and shall remain in effect for an initial term of ten (10) years commencing after the Effective Date, unless sooner terminated or extended, in whole or in part, as provided in this Agreement ("**Initial Term**").

6.1.1 Phase 1- Design/Development/Implementation Phase: The Initial Term shall include up to a sixty (60) month period for the design, development and implementation of RMIS. If any module is completed earlier, the County may determine in its sole discretion to move to Phase 2 and Phase 3 for that module. If Production Use is achieved for any module before the sixty (60) month period, County may use the module in Production Use and pay for Support Services as provided for in Subparagraphs 4.3 (Support Services), 5.3 (Production Use), and 5.4 (Licensed Software Use). If Contractor is not able to finish all work for Phase 1 in the sixty (60) month period (and the delay in completing such work is not due to County's failure to issue a notice to proceed for any given module or otherwise a result of County's delay for which Contractor has delivered a notice of delay in accordance with Subparagraph 24.19 (Notice of Delays)), Phase 1 shall automatically be extended at no additional cost to County until its completion.

6.1.2 Phase 2 - Performance Verification Phase: Phase 2 shall be at least a six (6) month period, and may overlap with Phase 1 or 3, and follow the successful completion of Phase 1 (Design/Development/Implementation Phase).

6.1.3 Phase 3 – Operational Phase: Phase 3 shall consist of at least a fifty-four (54) month period, immediately following the completion of Phase 2 (Performance Verification Phase). The Initial Term of the Agreement shall automatically be extended at no additional

cost to County in order for the Contractor to provide such fifty-four (54) months in Phase 3 (Operational Phase). Notwithstanding the foregoing, nothing herein shall be construed to require the Contractor to extend the Initial Term for any module of the Licensed Software for which County has not issued a notice to proceed under Subparagraph 4.2.1 for all Implementation Services with respect to such module prior to the end of the third (3rd) year after the Effective Date.

6.2 **Option Terms; Term**

At the end of the Initial Term, the County may, at its sole option, extend this Agreement term for up to three (3) two-year additional periods, and six (6) month-to-month extension options (each an "**Option Term**"), for a maximum possible total Agreement term of sixteen (16) years and six (6) months. Each Option Term may be exercised at the sole discretion of the Chief Executive Officer or designee as authorized by the Board of Supervisors. As used in this Agreement, "**Agreement term**" or "**term of this Agreement**" shall mean and include the Initial Term and all exercised Option Terms.

The County maintains databases that track/monitor contractor performance history. Information entered into such databases may be used for a variety of purposes, including determining whether the County will exercise an Option Term.

6.3 **Notice of Expiration**

The Contractor shall notify County's Project Director and Project Manager when this Agreement is within six (6) months of the expiration of the Initial Term as provided for hereinabove. Upon occurrence of this event, the Contractor shall send written notification to the address herein provided in Exhibit E - County's Administration.

7.0 CONTRACT SUM

7.1 **General**

7.1.1 Contractor shall invoice County in accordance with Exhibit B (Pricing Schedule) (1) for Implementation Services, based on the Deliverable amounts due, upon Contractor's completion and County's Acceptance of each billable Deliverable; (2) for Support Services and Hosting Services for each completed module of the Licensed Software, by payment of applicable monthly Support Services Fees in advance each calendar month starting with the first calendar month following the calendar month in which the earlier of the following occurs: (a) Final Acceptance of the System if it does not occur until the end of the fifth year following the

Effective Date, or (b) County begins using such completed module of the Licensed Software under Subparagraph 5.4 (Licensed Software Use); and (3) for Optional Work, on a per Change Order basis by payment of the applicable amounts set forth in such Change Order for the provision of such Optional Work, not to exceed any maximum fixed price or not-to-exceed amount quoted for such Optional Work, following Contractor's completion and County's Acceptance thereof.

7.1.2 The Contractor shall not be entitled to payment or reimbursement for any tasks or services performed, nor for any incidental or administrative expenses whatsoever incurred in or incidental to performance hereunder, except as specified herein.

7.1.3 The "**Maximum Agreement Sum**" under this Agreement shall be the total monetary amount payable by County to Contractor for supplying all the tasks, subtasks, Deliverables, goods, Licensed Software, RMIS, Services, and Optional Work under and during the term of this Agreement. If County does not Accept work under and in accordance with this Agreement, no payment shall be due Contractor for such work. The Maximum Agreement Sum, including all applicable Taxes and Pool Dollars, authorized by County hereunder shall not exceed **Sixty Million, Three Hundred Sixty-Three Thousand, Two Hundred Seventy-One Dollars and Fifty-Six Cents ($60,363,271.56)** as further detailed in Exhibit B (Pricing Schedule), unless the Maximum Agreement Sum is modified by an Amendment to this Agreement pursuant to Paragraph 12.0 (Change to Agreement). The Maximum Agreement Sum under this Agreement shall cover the authorized payments for all elements of the RMIS, including the Licensed Software, and Services including, Implementation Services, Hosting Services, Support Services, and any Optional Work. The Maximum Agreement Sum shall not be adjusted for any costs or expenses whatsoever of Contractor.

7.1.4 The Contractor shall maintain a system of record keeping that will allow the Contractor to determine when it has incurred seventy-five percent (75%) of the Maximum Agreement Sum under this Agreement. Upon occurrence of this event, the Contractor shall send written notification to the County's Project Director and Project Manager at the address herein provided in Exhibit E (County's Administration).

7.2 **No Payment for Services Provided Following Expiration/ Termination of Agreement**

The Contractor shall have no claim against County for payment of any money or reimbursement, of any kind whatsoever, for any service provided by the Contractor after the expiration or other termination of this Agreement. Should the Contractor receive any such payment it shall immediately notify County and shall immediately repay all such funds to County. Payment by County for services rendered after expiration/termination of this Agreement shall not constitute a waiver of County's right to recover such payment from the Contractor. This provision shall survive the expiration or other termination of this Agreement.

7.3 **Holdbacks**

Upon Contractor's completion and County's Acceptance of each Key Deliverable, eighty percent (80%) of the amount due and payable for such Key Deliverable will be made by County for the Key Deliverable. Additionally, upon Contractor's completion and County's Acceptance of each other Deliverable under Tasks 1 through 12 of Exhibit A (Statement of Work) (in this Subparagraph 7.3, each an "**Other Deliverable**"), ninety percent (90%) of the amount due and payable for such Other Deliverable will be made by County for the Other Deliverable. The remaining twenty percent (20%) of the payment associated with such Key Deliverable and ten percent (10%) of the payment associated with each Other Deliverable (each a "**Holdback Amount**;" cumulatively for all Key Deliverables and Other Deliverables, the "**Holdback Amounts**") will be retained by County and the Holdback Amounts for all Key Deliverables and Other Deliverables will be payable upon Final Acceptance pursuant to Subparagraph 5.5.3 (Final Acceptance), subject to adjustment for any amounts arising under this Agreement owed to the County by the Contractor. To account for such Holdback Amounts, Contractor will only invoice County for eighty percent (80%) of the amount due and payable for each Key Deliverable and for ninety percent (90%) the amount due and payable for each Other Deliverable.

A Key Deliverable or an Other Deliverable shall be deemed approved for purposes of this Sub-paragraph on the earliest date that all of the tasks, subtasks, Deliverables, goods, Services and other work required for completion of the Key Deliverable or Other Deliverable are completed, tested for acceptability, and Accepted by County. The determination of whether each Key Deliverable or Other Deliverable has been so completed and so Accepted shall be made by the County's Project Director as soon as practicable after County is informed by Contractor that such Key Deliverable or Other Deliverable has been completed and is given all the necessary information, data, and documentation shall be subject to verify such completion.

When preparing a Change Order for Optional Work, the parties shall identify in the Scope of Work for such Optional Work, all Deliverables that are to be considered "Key Deliverables." All such Key Deliverables shall be subject to a twenty percent (20%) Holdback Amount.

7.4 Invoices and Payments

7.4.1 The Contractor shall invoice the County only for providing the tasks, Deliverables, goods, Services, and other work specified in Exhibit A (Statement of Work), the applicable Change Order, and elsewhere hereunder. The Contractor shall prepare invoices, which shall include the charges owed to the Contractor by the County under the terms of this Agreement, and shall include supporting documentation (including but not limited to identification of the specific work for which payment is claimed; copies of fully executed Acceptance Certificates evidencing County's Project Director's approval of such work and the payment amount; indication of the applicable Holdback Amount and the cumulative Holdback Amounts accrued under this Agreement; indication of any credits or withholds accrued under this Agreement; and any other supporting documentation reasonably requested by County's Project Director). The Contractor's payments shall be as provided in Exhibit B (Pricing Schedule), and the Contractor shall be paid only for the tasks, Deliverables, goods, Services, and other work Accepted by County. The making of any payment or payments by County, or receipt thereof by the Contractor, shall in no way affect the responsibility of Contractor to furnish the Licensed Software, RMIS, Services, Deliverables, and Optional Work in accordance with this Agreement, and shall not imply Acceptance by the County of such items or the waiver of any warranties or requirements of this Agreement.

7.4.2 The Contractor's invoices shall be priced in accordance with Exhibit B (Pricing Schedule).

7.4.3 The Contractor's invoices shall contain the information set forth in Exhibit A (Statement of Work) or applicable Change Order describing the tasks, Deliverables, goods, Services, work hours, and facility and/or other work for which payment is claimed.

7.4.4 The Contractor shall submit the monthly invoices to the County by the 15th calendar day of the month following the month of service.

7.4.5 All invoices under this Agreement shall be submitted to the County's Project Director and Manager identified in Exhibit E (County's Administration).

7.5 County Approval of Invoices; Payment of Approved Invoices

All invoices submitted by the Contractor for payment must have the written approval of the County's Project Director prior to any payment thereof. In no event shall the County be liable or responsible for any payment prior to such written approval. Approval for payment will not be unreasonably withheld. County shall pay undisputed invoices within thirty (30) days following receipt thereof, but in no event ever be later than ninety (90) days following receipt thereof.

7.6 Invoice Discrepancies

The County's Project Director will review each invoice for any discrepancies and will, within thirty (30) days of receipt thereof, notify Contractor in writing of any discrepancies found upon such review and submit a list of disputed charges. Contractor shall review the disputed charges and send a written explanation detailing the basis for the charges within thirty (30) days of receipt of County's notice of discrepancies and disputed charges. If the County's Project Director does not receive a written explanation for the charges within such thirty (30) day period, Contractor shall be deemed to have waived its right to justify the original invoice amount, and County, in its sole discretion, shall determine the amount due, if any, to Contractor and pay such amount in satisfaction of the disputed invoice, subject to the Dispute Resolution Procedure in Paragraph 23.0 (Dispute Resolution Procedure).

The making of any payment or payments by County, or the receipt thereof by Contractor, shall in no way affect the responsibility of Contractor to furnish the Licensed Software and Services in accordance with this Agreement, and shall not imply acceptance by County of such items or the waiver of any warranties or requirements of this Agreement.

7.7 Local Small Business Enterprises – Prompt Payment Program (if applicable)

Certified Local SBEs will receive prompt payment for services they provide to County departments. Prompt payment is defined as 15 calendar days after receipt of an undisputed invoice.

7.8 Most Favored Public Entity

If the Contractor's prices decline, or should the Contractor at any time during the term of this Agreement provide the same goods or services under similar quantity and delivery conditions to the State of California or any county, municipality, or district of the State at prices below those set forth in this Agreement, then such lower prices shall be immediately extended to the County.

7.9 Budget Reductions

In the event that the County's Board of Supervisors adopts, in any fiscal year, a County Budget which provides for reductions in the salaries and benefits paid to the majority of County employees and imposes similar reductions with respect to County contracts, the County reserves the right to reduce its payment obligation under this Agreement correspondingly for that fiscal year and any subsequent fiscal year during the term of this Agreement (including any Option Terms), and the services to be provided by the Contractor under this Agreement shall also be reduced correspondingly. The County's notice to the Contractor regarding said reduction in payment obligation shall be provided within thirty (30) calendar days of the Board's approval of such actions. Except as set forth in the preceding sentence, the Contractor shall continue to provide all of the Services set forth in this Agreement.

7.10 Record Retention and Inspection/Audit Settlement

The Contractor shall maintain accurate and complete financial records of its activities and operations relating to this Agreement in accordance with generally accepted accounting principles. The Contractor shall also maintain accurate and complete employment and other records relating to its performance of this Agreement. The Contractor agrees that the County, or its authorized representatives, shall have access to and the right to examine, audit, excerpt, copy, or transcribe any pertinent transaction, activity, or record relating to this Agreement. All such material, including, but not limited to, all financial records, bank statements, cancelled checks or other proof of payment, timecards, sign-in/sign-out sheets and other time and employment records shall be kept and maintained by the Contractor and shall be made available to the County during the term of this Agreement and for a period of five (5) years thereafter unless the County's written permission is given to dispose of any such material prior to such time. All such material shall be maintained by the Contractor at a location in Los Angeles County, provided that if any such material is located outside Los Angeles County, then, at the County's option, the Contractor shall pay the County for travel, per diem, and other costs incurred by the County to examine, audit, excerpt, copy, or transcribe such material at such other location.

7.10.1 In the event that an audit of the Contractor is conducted specifically regarding this Agreement by any Federal or State

auditor, or by any auditor or accountant employed by the Contractor or otherwise (other than a security audit, which is described in Exhibit L (Information Security and Privacy Requirements)), then the Contractor shall file a copy of such audit report with the County's Auditor-Controller within thirty (30) days of the Contractor's receipt thereof, unless otherwise provided by applicable Federal or State law or under this Agreement. Subject to applicable law, the County shall make a reasonable effort to maintain the confidentiality of such audit report(s).

7.10.2 Failure on the part of the Contractor to comply with any of the provisions of this Subparagraph 7.10 shall constitute a material breach of this Agreement upon which the County may terminate or suspend this Agreement.

7.10.3 If, at any time during the term of this Agreement or within five (5) years after the expiration or termination of this Agreement, representatives of the County conduct an audit of the Contractor regarding the work performed under this Agreement, and if such audit finds that the County's dollar liability for any such work is less than payments made by the County to the Contractor, then the difference shall be either: a) repaid by the Contractor to the County by cash payment upon demand or b) at the sole option of the County's Auditor-Controller, deducted from any amounts due to the Contractor from the County, whether under this Agreement or otherwise. If such audit finds that the County's dollar liability for such work is more than the payments made by the County to the Contractor, then the difference shall be paid to the Contractor by the County by cash payment, provided that in no event shall the County's maximum obligation for this Agreement exceed the funds appropriated by the County for the purpose of this Agreement.

7.11 **Taxes**

The Maximum Agreement Sum shown in Subparagraph 7.1.3 shall be deemed to include all amounts necessary for County to reimburse Contractor for all applicable California and other state and local sales/use Taxes on all Licensed Software provided by Contractor to County pursuant to or otherwise due as a result of this Agreement, including, but not limited to, the provision of Support Services and any Optional Work, to the extent applicable. All California sales/use Taxes shall be paid directly by Contractor to the State or other taxing authority. Contractor shall be solely liable and responsible for, and shall indemnify, defend, and hold harmless County from, any and all such California and other state and local sales/use Taxes. Further, Contractor shall be solely liable and responsible for, and shall indemnify, defend, and hold harmless County from, all applicable

California and other state and local sales/use Tax on all other items provided by Contractor pursuant to this Agreement and shall pay such Tax directly to the State or other taxing authority. In addition, Contractor shall be solely responsible for all Taxes based on Contractor's income or gross revenue, or personal property Taxes levied or assessed on Contractor's personal property to which County does not hold title.

7.12 Out-of-Pocket Expenses

Contractor shall not be entitled for reimbursement of any expenditures for Contractor's staff transportation, meals, and lodging except to the extent expressly agreed in an executed Change Order, Change Notice or Amendment.

8.0 REPRESENTATIONS AND WARRANTIES

8.1 Authorization Warranty

The Contractor represents and warrants that the person executing this Agreement for the Contractor is an authorized agent who has actual authority to bind the Contractor to each and every term, condition, and obligation of this Agreement and that all requirements of the Contractor have been fulfilled to provide such actual authority.

8.2 Performance of Services

The Services will be performed and the Deliverables developed in a professional, competent, and timely manner by appropriately qualified Contractor personnel in accordance with this Agreement and consistent with industry best practices.

8.3 Conformance to Specifications

All the Licensed Software, Services, including Implementation Services, Hosting Services, Support Services, and Deliverables shall conform to the Specifications and requirements set forth in this Agreement without material deviations for the period commencing upon the Effective Date of the Agreement and continuing through the expiration or termination of Support Services ("**Warranty Period**"). Contractor shall institute quality controls, including suitable testing procedures if any, to ensure that the Licensed Software, Services, including Implementation Services, Hosting Services, Support Services, and Deliverables comply with the Specifications and Service Levels in a manner consistent with the highest applicable industry standards. Upon the County's reasonable request, the County shall have the right to review Contractor's quality controls in order to verify and/or improve the quality of the Licensed Software, Services and Deliverables. There is no existing pattern or repetition of customer complaints regarding the Licensed Software, Deliverables, or Services, including functionality or

performance issues, and Contractor's engineers have not currently identified any repeating adverse impact on the Licensed Software, Deliverables, or Services, including functionality or performance, for which the root cause is believed to be a flaw or defect in the Licensed Software, Deliverables or Services.

8.4 **Service Levels**

Contractor represents and warrants that when operated in conformance with the terms of this Agreement, the Licensed Software and/or Services (as applicable) shall achieve the service levels ("**Service Levels**") set forth in Exhibits J (Service Level and Warranty Agreement) and/or K (Maintenance and Support Agreement).

8.5 **Integration**

Contractor represents and warrants that the Licensed Software components are capable of interconnecting and/or interfacing with each other and County systems, either through integration or, as applicable, industry standard interface protocols, and when taken together, the Licensed Software components and County systems will be capable of delivering the functionality needed by County to meet its information systems requirements as set forth in this Agreement and the Specifications. The Licensed Software must be interoperable at the time it is provided to County and at all times thereafter during the term of this Agreement.

8.6 **Disabling Device**

Contractor represents and warrants that Contractor shall not intentionally cause any unplanned interruption of the operations of, or accessibility to the System or any component through any device, method or means including, without limitation, the use of any "virus", "lockup", "time bomb", or "key lock", "worm", "back door" or "Trojan Horse" device or program, or any disabling code, which has the potential or capability of compromising the security of County's Confidential Information or of causing any unplanned interruption of the operations of, or accessibility of the System or any component to County or any user or which could alter, destroy, or inhibit the use of the System or any component, or the data contained therein (in this Subparagraph, collectively, "**Disabling Device(s)**"), which could block access to or prevent the use of the System or any component by County or users. Contractor represents, warrants, and agrees that it has not purposely placed, nor is it aware of, any Disabling Device in any System component provided to County under this Agreement, nor shall Contractor knowingly permit any subsequently delivered or provided System component to contain any Disabling Device. In addition, Contractor shall prevent viruses from being incorporated or introduced into the System or Revisions thereto prior to the installation onto the System and shall prevent any viruses from

being incorporated or introduced in the process of Contractor's performance of on-line support.

8.7 **Destructive Mechanism**

Contractor represents and warrants that the Licensed Software, Services, including Implementation Services, Hosting Services, Support Services, and/or Deliverables does not contain, and Contractor shall not insert into the Licensed Software or any Deliverables or Services, including Implementation Services, Hosting Services, and Support Services, any mechanism designed to disable or interfere with County's use of the Licensed Software or any software, hardware, systems or data owned, utilized, or held by the County. Contractor shall not invoke such mechanisms at any time, including upon expiration or termination of this Agreement for any reason. Except if and to the extent expressly necessary for performance of Support Services or any other servicing or support expressly authorized in writing by County, in no event shall Contractor or anyone acting on its behalf, disable or interfere, in whole or in part, with County's use of the Licensed Software or any software, hardware, systems or data owned, utilized, or held by County without the written permission of the Chief Executive Officer or designee, whether or not the disablement is in connection with any dispute between the parties or otherwise. Contractor understands and acknowledges that a breach of this Subparagraph could cause substantial harm to County and to numerous third parties having business relationships with County.

8.8 **Non-Infringement**

As of the Effective Date, to the best of Contractor's knowledge, the Licensed Software, Services and the Deliverables shall not contain defamatory or indecent matter, and County's permitted use of the Licensed Software, Services, including Implementation Services, Hosting Services, Support Services, and Deliverables will not infringe the intellectual property rights of any third party.

8.9 **Pending Litigation**

There is no pending or threatened litigation that would have a material adverse impact on its performance under the Agreement. In addition, Contractor also represents and warrants that based on pending actions, claims, disputes, or other information, Contractor has no knowledge of a failure of the Licensed Software to perform in accordance with the Specifications.

8.10 **Assignment of Warranties**

To the extent permissible under the applicable third party agreements, Contractor hereby assigns and agrees to deliver to County all representations and warranties received by Contractor from its third party licensors and suppliers, including hardware vendors.

8.11 **Other Warranties**

During the Initial Term as well as any of the exercised Option Terms of this Agreement, Contractor shall not subordinate this Agreement or any of its rights hereunder to any third party without the prior written consent of County, and without providing in such subordination instrument for non-disturbance of County's use of the System (or any part thereof) in accordance with this Agreement. This Agreement and the Licensed Software licensed or acquired herein, are neither subject to any liens, encumbrances, or pledges nor subordinate to any right or claim of any third party, including Contractor's creditors. County is entitled to use the RMIS without interruption. As of the date furnished, no statement contained in writing in the response to the request for proposals for the System contains any untrue statements about the prior experience or corporate description of Contractor, or omits any fact necessary to make such statement not misleading.

8.12 **Remedies**

County's remedies under the Agreement for the breach of the warranties set forth in this Agreement will include, but not be limited to, the repair or replacement by Contractor, at its own expense, of the non-conforming Licensed Software, the specific remedies set forth in Exhibits J (Service Level and Warranty Agreement) and/or K (Maintenance and Support Agreement), and other corrective measures afforded to County by Contractor under such Exhibits J (Service Level and Warranty Agreement) and/or K (Maintenance and Support Agreement) and this Agreement.

8.13 **DISCLAIMER**

OTHER THAN AS EXPRESSLY SET FORTH IN THIS AGREEMENT, NEITHER CONTRACTOR, ITS AFFILIATES, LICENSORS OR SUPPLIERS, NOR THEIR OFFICERS, DIRECTORS, EMPLOYEES, SHAREHOLDERS, AGENTS OR REPRESENTATIVES MAKES ANY EXPRESS OR IMPLIED WARRANTIES, CONDITIONS, OR REPRESENTATIONS TO COUNTY, OR ANY OTHER PERSON OR ENTITY WITH RESPECT TO THE LICENSED SOFTWARE, SYSTEM AND SERVICES PROVIDED HEREUNDER OR OTHERWISE REGARDING THIS AGREEMENT, WHETHER ORAL OR WRITTEN, EXPRESS, IMPLIED OR STATUTORY, INCLUDING WITHOUT LIMITATION THE

IMPLIED WARRANTY OR CONDITION OF MERCHANTABILITY, THE IMPLIED WARRANTY AGAINST INFRINGEMENT, AND THE IMPLIED WARRANTY OR CONDITION OF FITNESS FOR A PARTICULAR PURPOSE. OTHER THAN AS EXPRESSLY SET FORTH IN THIS AGREEMENT, CONTRACTOR DOES NOT WARRANT THAT THE OPERATION OF THE LICENSED SOFTWARE, SYSTEM OR SERVICES WILL BE UNINTERRUPTED OR ERROR-FREE.

9.0 ADMINISTRATION OF CONTRACT - COUNTY

A listing of all County Administration referenced in the following subparagraphs are designated in Exhibit E - County's Administration. The County will notify the Contractor in writing of any change in the names or addresses shown.

9.1 County's Project Director

Responsibilities of the County's Project Director include:

- ensuring that the objectives of this Agreement are met; and
- providing direction to the Contractor in the areas relating to County policy, information requirements, and procedural requirements.

9.2 County's Project Manager

The responsibilities of the County's Project Manager include:

- meeting with the Contractor's Project Manager on a regular basis;
- inspecting any and all tasks, deliverables, goods, services, or other work provided by or on behalf of the Contractor; and
- overseeing the day-to-day administration of this Agreement.

The County's Project Manager is not authorized to make any changes in any of the terms and conditions of this Agreement and is not authorized to further obligate County in any respect whatsoever.

10.0 ADMINISTRATION OF AGREEMENT – CONTRACTOR

A listing of all of Contractor's Administration referenced in the following subparagraphs are designated in Exhibit F - Contractor's Administration. The Contractor will notify the County in writing of any change in the names or addresses shown.

10.1 Contractor's Project Director

The Contractor's Project Director shall be responsible for the Contractor's activities as related to this Agreement and shall coordinate with County's Project Manager and County's Project Manager on a regular basis.

10.2 **Contractor's Project Manager**

10.2.1 The Contractor's Project Manager shall be responsible for the Contractor's day-to-day activities as related to this Contract and shall meet and coordinate with County's Project Manager and County's Agreement Project Monitor on a regular basis.

10.2.2 The Contractor's Project Manager must have five (5) years of experience, a Project Management Professional (PMP) certification and during the provision of Implementation Services shall be solely dedicated to the County.

10.3 **Approval of Contractor's Staff**

County has the absolute right to approve or disapprove all of the Contractor's staff performing work hereunder and any proposed changes in the Contractor's staff, including, but not limited to, the Contractor's Project Manager.

10.4 **Contractor's Staff Identification**

All of Contractor's staff assigned to County facilities are required to have a County Identification (ID) badge on their person and visible at all times. Contractor bears all expense of the badging.

10.4.1 Contractor is responsible to ensure that its staff have obtained a County ID badge before they are assigned to work in a County facility. Contractor staff may be asked to leave a County facility by a County representative if they do not have the proper County ID badge on their person.

10.4.2 Contractor shall notify the County within one business day when staff is terminated from working under this Agreement. Contractor shall retrieve and return a staff member's ID badge to the County on the next business day after the staff member has terminated work with the Contractor.

10.4.3 If County requests the removal of Contractor's staff, Contractor shall retrieve and return a staff member's ID badge to the County on the next business day after the staff member has been removed from working on the Agreement.

10.5 **Background and Security Investigations**

10.5.1 All Contractor staff performing work under this Agreement will be required to undergo and pass a background investigation using the method and meeting the criteria set forth in Exhibit Q-1 (Background Investigation Criteria) as a condition of beginning and continuing to work under this Agreement. The fees associated with obtaining the background investigation shall be at the expense of the Contractor, regardless if the Contractor's staff passes or fails the background clearance investigation.

10.5.2 Contractor shall provide the County at the address indicated below a written certification in the form attached as Exhibit Q-2 (Background Investigation Certification) with regard to staff from time to time performing work under the Agreement. Contractor shall at all times comply with the requirements of such written certification with respect to the staff from time to time performing work under this Agreement.

County of Los Angeles

Chief Executive Office – Risk Management Branch

3333 Wilshire Boulevard, Suite 820

Los Angeles, California 90010

Attn: Contract Administration and Insurance Compliance Section

10.5.3 County may request that the Contractor's staff be immediately removed from working on the Agreement at any time during the term of this Agreement.

10.5.4 County may immediately, in its sole discretion, deny or terminate facility access to any member of Contractor's staff that does not pass such investigation to the satisfaction of the County or whose background or conduct is incompatible with County facility access. Unless the County agrees otherwise, Contractor shall immediately remove staff from performing work under this Agreement if Contractor receives a subsequent disqualifying factor (as listed in Exhibit Q-1) regarding such staff; provided that County recognizes that any immediate removal may cause delays in the Project Schedule if sufficient time is not provided to allow another staff member of Contractor to come up to speed on the project.

10.5.5 Disqualification of any member of Contractor's staff pursuant to this Subparagraph 10.5 shall not relieve Contractor of its obligation to complete all work in accordance with the terms and

conditions of this Agreement. Disqualification, if any, of the Contractor's staff, pursuant to this Subparagraph 10.5, shall not relieve the Contractor of its obligation to complete all work in accordance with the terms and conditions of this Agreement.

10.6 **Employment Eligibility Verification**

10.6.1 The Contractor warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this Agreement meet the citizenship or alien status requirements set forth in Federal and State statutes and regulations. The Contractor shall obtain, from all employees performing work hereunder, all verification and other documentation of employment eligibility status required by Federal and State statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, (P.L. 99-603), or as they currently exist and as they may be hereafter amended. The Contractor shall retain all such documentation for all covered employees for the period prescribed by law.

10.6.2 The Contractor shall indemnify, defend, and hold harmless, the County, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against the Contractor or the County or both in connection with any alleged violation of any Federal or State statutes or regulations pertaining to the eligibility for employment of any persons performing work under this Agreement.

11.0 CONFIDENTIALITY

11.1 **County's Obligations Subject to Public Records Act**

Notwithstanding anything to the contrary contained in this Paragraph 11.0, the County's performance of its obligations under this Paragraph 11.0 is subject in all respects to Subparagraph 11.9 (Public Records Act).

11.2 **Treatment of Confidential Information**

11.2.1 Each party (in this Paragraph 11.0, the "**Receiver**") shall maintain the confidentiality of all records and information of the other party (in this Paragraph 11.0, the "**Discloser**"), including, but not limited to, billing and sensitive financial information, County Data, Personally Identifiable Information, health information, any information relating to County's customers, users, patients, partners, or personnel, Licensed Software, Contractor Proprietary Technology, and any other data, records and information received, obtained and/or produced under the

provisions of this Agreement ("**Confidential Information**") in accordance with this Agreement and with all applicable Federal, State and local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures relating to confidentiality, including, without limitation, County policies concerning information technology security and the protection of confidential records and information.

11.2.2 The Receiver agrees that all of the Discloser's Confidential Information, including, without limitation, (a) any information relating to County's customers, patients, business partners, or personnel; (b) Personally Identifiable Information; and (c) Protected Health Information, as specified in Exhibit M (Business Associate under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA")), will be deemed confidential and proprietary to the Discloser, regardless of whether such information was disclosed intentionally or unintentionally or marked as "confidential" or "proprietary". Notwithstanding the foregoing or Subparagraph 11.2.1, Confidential Information does not include information that: (a) is or becomes known to the public without fault or breach of the Receiver; (b) the Receiver obtains from a third party without restriction on disclosure and without breach of a non-disclosure obligation known to the Receiver; and/or (c) is independently developed by the Receiver without use of the Discloser's Confidential Information.

11.2.3 The Receiver shall restrict access to the Discloser's Confidential Information only to its officers, employees, agents and Subcontractors who need the Confidential Information to perform official duties under the Agreement and, in the case of County, as permitted by the license granted under this Agreement. The Receiver shall inform all of its officers, employees, agents and Subcontractors providing Services hereunder of the confidentiality provisions of this Agreement. Contractor shall cause each employee and non-employee performing Services covered by this Agreement to sign and adhere to the provisions of the applicable of Exhibits G-1 (Contractor Employee Acknowledgment and Confidentiality Agreement) and G-2 (Contractor Non-Employee Acknowledgment and Confidentiality Agreement). The Receiver shall be responsible for any breach of the obligations of confidentiality set forth herein by any person or entity to which the Receiver discloses the Confidential Information of the Discloser.

11.2.4 With respect to any Confidential Information obtained by the Receiver pursuant to the Agreement, the Receiver shall: (a) not use any such Confidential Information for any purpose whatsoever other than carrying out the express terms of the

Agreement; (b) promptly transmit to the Discloser a written notification regarding all requests for disclosure of any such Confidential Information made by any third party other than Receiver's officers, employees, agents, or Subcontractors with respect to which the receiving party shall have complied with Subparagraph 11.2.3; (c) not disclose, except as otherwise specifically permitted by the Agreement, any such Confidential Information to any person or organization other than the Discloser without the Discloser's prior written authorization that the records are, or information is, releasable; and (d) at the expiration or termination of the Agreement, except as otherwise specified in this Agreement, return, destroy, or maintain all such Confidential Information in accordance with this Agreement. Additionally, the Receiver shall be permitted to disclose Confidential Information of the Discloser: (i) to the minimum extent necessary to enforce its rights under this Contract; and (ii) in the course of a regulatory examination, audit or inspection.

11.2.5 Without limiting the generality of the preceding paragraph, but subject in the case of County to Subparagraph 11.9 (Public Records Act), in the event the Receiver receives any court or administrative agency order, or service of process regarding any Confidential Information, the Receiver shall promptly notify (to the extent permitted by law) the Discloser. Thereafter, the Receiver shall comply with such order, process, or request only to the extent required by applicable law. Notwithstanding the preceding sentence, to the extent permitted by law, the Receiver shall use commercially reasonable efforts to delay such compliance and cooperate with the Discloser to obtain relief from such obligations to disclose until the Discloser shall have been given a reasonable opportunity to obtain such relief. Additionally, the Receiver shall promptly notify the Discloser of any improper action with respect to the Discloser's Confidential Information that comes to the Receiver's attention.

11.3 **Contractor Indemnification**

Contractor shall indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all claims, demands, damages, liabilities, losses, costs and expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting, or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or Subcontractors, to comply with Paragraph 11.0 (Confidentiality), as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under this Subparagraph 11.3 shall be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County shall have the right to

participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County shall be entitled to retain its own counsel, including, without limitation, County Counsel, and to reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction, or make any admission, in each case, on behalf of County without County's prior written approval.

11.4 **Non-Exclusive Equitable Remedy**

The Receiver acknowledges and agrees that due to the unique nature of the Discloser's Confidential Information there can be no adequate remedy at law for any breach of its obligations hereunder, that any such breach or threatened breach may result in irreparable harm to the Discloser, and therefore, that upon any such breach or any threat thereof, the Discloser will be entitled to appropriate equitable remedies, and may seek injunctive relief from a court of competent jurisdiction without the necessity of proving actual loss, in addition to whatever remedies either of them might have at law or equity.

11.5 **County Data; Return or Destruction of County Data and other County's Confidential Information**

11.5.1 All County Data is deemed confidential, and shall be and remain the property of County. The County Data shall not be used by Contractor for any purpose other than as required under this Agreement, nor shall such data or any part of such data be disclosed, sold, assigned, leased, or otherwise disposed of to third parties by Contractor or commercially exploited or otherwise used by or on behalf of Contractor, its officers, directors, employees, or agents.

11.5.2 On County's written request or upon expiration or termination of this Agreement for any reason, Contractor will promptly, and in no event later than forty-five (45) calendar days: (a) return in an external media drive in a platform-agnostic format or in any specific format reasonably requested by County or destroy in accordance with Subparagraph 11.10 (Information Security and Privacy Requirements), at County's option, all originals and copies of all documents and materials it has received containing County Data or other of County's Confidential Information; (b) if return or destruction is not permissible under applicable law, continue to protect such information in accordance with the terms of this Agreement; and (c) return in an external media drive in a platform-agnostic format or in any specific format reasonably requested by County or destroy in accordance with

Subparagraph 11.10 (Information Security and Privacy Requirements), at County's option, all originals and copies of all summaries, records, descriptions, modifications, negatives, drawings, adoptions and other documents or materials, whether in writing or in machine-readable form, prepared by Contractor, prepared under its direction, or at its request, from the documents and materials referred to in Paragraph 11.0. If destruction is elected by County, Contractor shall provide a certification of destruction and disposal of data through a notarized written statement to County certifying that all documents and materials referred to in Paragraph 11.0 have been delivered to County or destroyed in accordance with Subparagraph 11.10 (Information Security and Privacy Requirements), as requested by County.

11.6 **Personal Information**

In connection with this Agreement and performance of the services, Contractor may be provided or obtain, from County or otherwise, PI pertaining to County's current and prospective personnel, directors and officers, agents, investors, patients, and customers and may need to process such PI and/or transfer it, all subject to the restrictions set forth in this Agreement and otherwise in compliance with all applicable foreign and domestic laws and regulations for the sole purpose of performing the Services.

11.6.1 **Treatment of Personal Information.**

Without limiting any other warranty or obligations specified in this Agreement, and in particular the confidential provisions of this Paragraph 11.0 of the Agreement, during the Initial Term and any Option Term of this Agreement and thereafter in perpetuity, Contractor will not gather, store, log, archive, use, or otherwise retain any PI in any manner and will not disclose, distribute, sell, share, rent, or otherwise retain any PI to any third-party, except as expressly required to perform its obligations in this Agreement or as Contractor may be expressly directed in advance in writing by County. Contractor represents and warrants that Contractor will use and process PI only in compliance with this Agreement and all applicable local, state, and federal laws and regulations (including, but not limited to, current and future laws and regulations relating to spamming, privacy, confidentiality, integrity, data security, and consumer protection). In connection with this Agreement and performance of the Services, Contractor may be provided or obtain, from County or otherwise, PI, pertaining to County's current and prospective personnel, directors and officers, agents, Subcontractors, patients, and customers and may need to process

such Personally Identifiable Information and/or transfer it, all subject to the restrictions set forth in this Agreement and otherwise in compliance with all applicable foreign and domestic laws and regulations for the sole purpose of performing the Services.

11.6.2 **Retention of Personal Information**

Contractor will not retain any PI for any period longer than necessary for Contractor to fulfill its obligations under this Agreement. As soon as Contractor no longer needs to retain such PI in order to perform its duties under this Agreement, Contractor will promptly return in accordance or destroy or erase at County's option all originals and copies of such PI in accordance with Subparagraph 11.5.2.

11.7 **HIPAA**

The County is subject to the Administrative Simplification requirements and prohibitions of the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (HIPAA), and regulations promulgated thereunder, including the Privacy, Security, Breach Notification, and Enforcement Rules at 45 Code of Federal Regulations (C.F.R.) Parts 160 and 164 (collectively, the "**HIPAA Rules**"). Under this Agreement, the Contractor provides Services to the County and the Contractor creates, has access to, receives, maintains, or transmits PHI or MI in order to provide those services. The County and the Contractor therefore agree to the terms of Exhibit M (Business Associate Under Health Insurance Portability and Accountability Act of 1996 ("HIPAA")).

11.8 **Publicity**

The Contractor shall not disclose any details in connection with this Agreement to any person or entity except as may be otherwise provided hereunder or required by law. However, in recognizing the Contractor's need to identify its services and related clients to sustain itself, the County shall not inhibit the Contractor from publishing its role under this Agreement within the following conditions:

- The Contractor shall develop all publicity material in a professional manner; and

- During the term of this Agreement, the Contractor shall not, and shall not authorize another to, publish or disseminate any commercial advertisements, press releases, feature articles, or other materials using the name of the County without the prior written consent of the County's Project Director. The County shall not unreasonably withhold written consent.

The Contractor may, without the prior written consent of County, indicate in its proposals and sales materials that it has been awarded this Agreement with the County of Los Angeles, provided that the requirements of this Subparagraph 11.8 shall apply.

11.9 **Public Records Act**

11.9.1 Any documents submitted by the Contractor; all information obtained in connection with the County's right to audit and inspect the Contractor's documents, books, and accounting records pursuant to Subparagraph 7.10 (Record Retention and Inspection/Audit Settlement) of this Agreement; all of Contractor's other Confidential Information; as well as those documents which were required to be submitted in response to the Request for Proposals (RFP) used in the solicitation process for this Agreement, become the exclusive property of the County. All such documents become a matter of public record and shall be regarded as public records. Exceptions will be those elements in the California Government Code Section 6250 et seq. (Public Records Act) and which are marked "trade secret", "confidential", or "proprietary".

11.9.2 The County shall not in any way be liable or responsible for the disclosure of any such records, including, without limitation, those so marked, if disclosure is required by law, or by an order issued by a court of competent jurisdiction.

11.9.3 In the event the County is required to defend an action on a Public Records Act request for any of the aforementioned documents, information, books, records, and/or contents of a proposal marked "trade secret", "confidential", or "proprietary", the Contractor agrees to defend and indemnify the County from all costs and expenses, including reasonable attorney's fees, in action or liability arising under the Public Records Act.

11.10 **Information Security and Privacy Requirements**

Without limiting this Paragraph 11.0, Contractor, its officers, employees, Subcontractors, agents, and the RMIS, as applicable, shall at all times during the term of this Agreement comply with Exhibit L (Information Security and Privacy Requirements).

11.11 **Material Breach**

Any breach of this Paragraph 11.0 by Contractor shall constitute a material breach of this Agreement and be grounds for immediate termination of this Agreement in the exclusive discretion of the County.

12.0 CHANGE TO AGREEMENT

No representatives of either County or Contractor, including those named in this Agreement, is authorized to make any changes in and of the terms, obligations, or conditions of this Agreement, except through the procedures set forth in this Paragraph 12.0 (Change to Agreement) or as expressly provided elsewhere in this Agreement.

12.1 **Amendment**

12.1.1 County reserves the right to change any portion of the Services required under this Agreement and to change any other provisions of this Agreement through execution of an Amendment. To implement any change to the Services or to change any provisions of this Agreement, an Amendment to the Agreement shall be prepared, agreed by the parties, and executed by the authorized representatives of Contractor and County. All such changes shall be accomplished only as provided in this Paragraph 12.0 (Change to Agreement).

12.1.2 Except as otherwise provided in this Agreement, for any change which affects the scope of work, term, Maximum Agreement Sum, payments, or any term or condition included under this Agreement, an Amendment shall be prepared and executed by an authorized representative of Contractor and by the Chief Executive Officer or such person's designee following the County's Board of Supervisor approval.

12.1.3 The County's Board of Supervisors or Chief Executive Officer or such person's designee may require the addition and/or change of certain terms and conditions in the Agreement during the term of this Agreement. The County reserves the right to add and/or change such provisions as required by the County's Board of Supervisors or Chief Executive Officer. To implement such changes, an Amendment to the Agreement shall be prepared and executed by an authorized representative of Contractor and by the Chief Executive Officer or such person's designee.

12.1.4 The Chief Executive Officer or such person's designee may at his/her sole discretion, authorize extensions of time as defined in Paragraph 6.0 (Term of Contract). The Contractor agrees that such extensions of time shall not change any other term or condition of this Agreement during the period of such extensions. To implement an extension of time, an Amendment to the Agreement shall be prepared and executed by an authorized representative of Contractor and by the Chief Executive Officer or such person's designee.

12.2 **Change Notice**

For any change which is clerical or administrative in nature and/or does not affect any term or condition of this Agreement, a written change notice ("**Change Notice**") may be prepared and executed by an authorized representative of Contractor and County's Project Director or designee.

12.3 **Change Order**

For any change which requires Contractor to incur any additional costs or expenses using Pool Dollars, a written change order ("**Change Orders**") may be prepared and executed by an authorized representative of Contractor and County's Project Director or designee. For any Optional Work requested by County, following agreement on the Services, a Change Order shall be prepared and executed by each of: (a) the County's Project Director or designee, and (b) Contractor's authorized representative(s). County is specifically authorized to execute Change Orders for expenditure of Pool Dollars for acquisition of Optional Work under the Agreement. Any requests for the expenditure of Pool Dollars must be approved in writing by the County's Project Director or designee.

13.0 SUBCONTRACTING

13.1 The requirements of this Agreement may not be subcontracted by the Contractor without the advance approval of the County. Any attempt by the Contractor to subcontract without the prior consent of the County may be deemed a material breach of this Agreement.

13.2 If the Contractor desires to subcontract, the Contractor shall provide the following information promptly at the County's request**:**

- A description of the work to be performed by the Subcontractor;
- A draft copy of the proposed subcontract; and
- Other pertinent information and/or certifications requested by the County.

13.3 The Contractor shall indemnify and hold the County harmless with respect to the activities of each and every Subcontractor in the same manner and to the same degree as if such Subcontractor(s) were the Contractor employees.

13.4 The Contractor shall remain fully responsible for all performances required of it under this Agreement, including those that the Contractor has determined to subcontract, notwithstanding the County's approval of the Contractor's proposed subcontract.

13.5 The County's consent to subcontract shall not waive the County's right to prior and continuing approval of any and all personnel, including

Subcontractor employees, providing services under this Agreement. The Contractor is responsible to notify its Subcontractors of this County right.

13.6 The County's Project Director is authorized to act for and on behalf of the County with respect to approval of any subcontract and Subcontractor employees. After approval of the subcontract by the County, Contractor shall forward a fully executed subcontract to the County for their files.

13.7 The Contractor shall be solely liable and responsible for all payments or other compensation to all Subcontractors and their officers, employees, agents, and successors in interest arising through services performed hereunder, notwithstanding the County's consent to subcontract.

13.8 The Contractor shall obtain certificates of insurance, which establish that the Subcontractor maintains all the programs of insurance required by the County from each approved Subcontractor. The Contractor shall ensure delivery of all such documents to:

County of Los Angeles, Kenneth Hahn Hall of Administration
Chief Executive Office – Administrative Services Branch
500 West Temple Street, Room 785
Los Angeles, California 90012
Attn: Contracts Unit

before any Subcontractor employee may perform any work hereunder.

14.0 ASSIGNMENT AND DELEGATION

14.1 The Contractor shall not assign its rights or delegate its duties under this Agreement, or both, whether in whole or in part, without the prior written consent of County, in its discretion, and any attempted assignment or delegation without such consent shall be null and void. For purposes of this sub-paragraph, County consent shall require a written Amendment to the Agreement, which is formally approved and executed by the parties. Any payments by the County to any approved delegate or assignee on any claim under this Agreement shall be deductible, at County's sole discretion, against the claims, which the Contractor may have against the County.

14.2 Shareholders, partners, members, or other equity holders of Contractor may transfer, sell, exchange, assign, or divest themselves of any interest they may have therein. However, in the event any such sale, transfer, exchange, assignment, or divestment is effected in such a way as to give majority control of Contractor to any person(s), corporation,

partnership, or legal entity other than the majority controlling interest therein at the time of execution of the Agreement, such disposition is an assignment requiring the prior written consent of County in accordance with applicable provisions of this Agreement. For the avoidance of doubt, this Subparagraph 14.2 does not require County's prior written consent to the sale, transfer, exchange, assignment, or divestment of Contractor to any person(s), corporation, partnership, or legal entity.

14.3 Any assumption, assignment, delegation, or takeover of any of the Contractor's duties, responsibilities, obligations, or performance of same by any person or entity other than the Contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever without County's express prior written approval, shall be a material breach of the Agreement which may result in the termination of this Agreement. In the event of such termination, County shall be entitled to pursue the same remedies against Contractor as it could pursue in the event of default by Contractor.

15.0 TERMINATION

15.1 Termination for Convenience

At any time after the first twelve (12) months of the term of this Agreement, this Agreement may be terminated, in whole or in part, from time to time, when such action is deemed by the County, in its sole discretion, to be in its best interest. In the event of such a termination, the County will be responsible for payment to Contractor for all fees earned and costs incurred by Contractor in accordance with this Agreement up through the effective date of termination. Termination of work hereunder shall be effected by notice of termination to the Contractor specifying the extent to which performance of work is terminated and the date upon which such termination becomes effective. The date upon which such termination becomes effective shall be no less than thirty (30) days after the notice is sent.

15.2 Termination for Default

15.2.1 The County may, by written notice to the Contractor, terminate the whole or any party of this Agreement, if, in the judgment of the Chief Executive Officer.

- Contractor has materially breached this Agreement and fails to cure such breach within thirty (30) calendar days (or such longer period as the County may authorize in

writing) after receipt of written notice from the County specifying such breach; or

- Contractor fails to timely provide in accordance with the Project Schedule (and subject to any delay notices provided under Subparagraph 24.19 (Notice of Delays)) and/or satisfactorily perform any task, Deliverable, Service, or other Professional Services required either under this Agreement in accordance with the Statement of Work, including any Acceptance Criteria, and fails to cure such failure within thirty (30) calendar days (or such longer period as the County may authorize in writing) after receipt of written notice from the County specifying such failure; or

- Contractor fails to demonstrate a high probability of timely fulfillment of performance requirements under this Agreement, or of any obligations of this Agreement and in either case, fails to demonstrate convincing progress toward a cure within thirty (30) calendar days (or such longer period as the County may authorize in writing) after receipt of written notice from the County specifying such failure.

15.2.2 In the event that the County terminates this Agreement in whole or in part as provided in this Subparagraph 15.2, the County may procure, upon such terms and in such manner as the County may deem appropriate, goods and services similar to those so terminated. County shall be entitled to seek reimbursement from Contractor of any and all excess costs incurred by the County, as permitted by law, for such similar goods and services. The Contractor shall continue the performance of this Agreement to the extent not terminated under the provisions of this subparagraph.

15.2.3 Except with respect to defaults of any Subcontractor, the Contractor shall not be liable for any such excess costs of the type identified in Subparagraph 15.2 if its failure to perform this Agreement arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not limited to: acts of God or of the public enemy, acts of the County in either its sovereign or contractual capacity, acts of Federal or State governments in their sovereign capacities, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case, the failure to perform must be beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a Subcontractor, and if such

default arises out of causes beyond the control of both the Contractor and Subcontractor, and without the fault or negligence of either of them, the Contractor shall not be liable for any such excess costs for failure to perform, unless the goods or services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required performance schedule. As used in this Subparagraph, the term "**Subcontractor(s)**" means Subcontractor(s) at any tier.

15.2.4 If, after the County has given notice of termination under the provisions of this Subparagraph 15.2, it is determined by the County that the Contractor was not in default under the provisions of this Subparagraph 15.2, or that the default was excusable under the provisions of Subparagraph 15.2, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to Subparagraph 15.1 (Termination for Convenience).

15.2.5 The rights and remedies of the County provided in this Subparagraph 15.2 shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

15.3 **Termination for Improper Consideration**

15.3.1 The County may, by written notice to the Contractor, immediately terminate the right of the Contractor to proceed under this Agreement if it is found that consideration, in any form, was offered or given by the Contractor, either directly or through an intermediary, to any County officer, employee, or agent with the intent of securing this Agreement or securing favorable treatment with respect to the award, amendment, or extension of this Agreement or the making of any determinations with respect to the Contractor's performance pursuant to this Agreement. In the event of such termination, the County shall be entitled to pursue the same remedies against the Contractor as it could pursue in the event of default by the Contractor.

15.3.2 The Contractor shall immediately report any attempt by a County officer or employee to solicit such improper consideration. The report shall be made either to the County manager charged with the supervision of the employee or to the County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861.

15.3.3 Among other items, such improper consideration may take the form of cash, discounts, service, the provision of travel or entertainment, or tangible gifts.

15.4 **Termination for Insolvency**

15.4.1 The County may terminate this Agreement forthwith in the event of the occurrence of any of the following:

- Insolvency of the Contractor. The Contractor shall be deemed to be insolvent if it has ceased to pay its debts for at least sixty (60) days in the ordinary course of business or cannot pay its debts as they become due, whether or not a petition has been filed under the Federal Bankruptcy Code and whether or not the Contractor is insolvent within the meaning of the Federal Bankruptcy Code;

- The filing of a voluntary or involuntary petition regarding the Contractor under the Federal Bankruptcy Code;

- The appointment of a Receiver or Trustee for the Contractor; or

- The execution by the Contractor of a general assignment for the benefit of creditors.

15.4.2 The rights and remedies of the County provided in this Subparagraph 15.4 shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

15.5 **Termination for Non-Appropriation of Funds**

Notwithstanding any other provision of this Agreement, the County shall not be obligated for the Contractor's performance hereunder or by any provision of this Agreement during any of the County's future fiscal years unless and until the County's Board of Supervisors appropriates funds for this Agreement in the County's Budget for each such future fiscal year. In the event that funds are not appropriated for this Agreement, then this Agreement shall terminate as of June 30 of the last fiscal year for which funds were appropriated. The County shall notify the Contractor in writing of any such non-allocation of funds at the earliest possible date. In any case, County shall be responsible for payment of all Services provided in accordance with this Agreement up through the effective date of termination.

15.6 **Effect of Termination**

15.6.1 In the event County terminates this Agreement in whole or in part as provided hereunder or upon the expiration of the Agreement,

as applicable, then, unless otherwise specified by County in writing:

1. Contractor shall continue the performance of this Agreement to the extent not terminated.

2. Contractor shall cease to perform the Services being terminated on the date and to the extent specified in such notice and provide to County all completed Services and Services in progress, in a media reasonably requested by County.

3. County will pay to Contractor all sums due and payable to Contractor for Services properly performed through the effective date of such expiration or termination (prorated as appropriate).

4. County will release to Contractor any Holdback Amounts then retained by County with respect to Key Deliverables that County has Accepted through the effective date of termination.

5. Contractor shall return to County all monies paid by County, yet unearned by Contractor, including any prepaid Support Services Fees, if applicable.

6. Contractor shall promptly return to County any and all of the County's Confidential Information that relates to the portion of the Agreement or Services terminated by County, including all County Data, in a media reasonably requested by County.

15.6.2 Notwithstanding the foregoing, upon termination for default pursuant to Subparagraph 15.2 (Termination for Default) during Implementation Services, Contractor shall be paid by County for all work Accepted by County through the effective date of termination, and County will return to Contractor all products of such terminated Implementation Services that have not been Accepted by County through the effective date of termination, subject to the following: (a) County's license rights hereunder that by their terms continue beyond the effective date of termination; (b) Contractor's provision of Transition Services under Subparagraph 15.7 (Termination Transition Services); and (c) continued use as needed to maintain operations, and otherwise mitigate damages during an orderly transition to alternative systems as permitted under this Agreement.

15.6.3 Expiration or termination of this Agreement for any reason will not release either party from any liabilities or obligations set forth in this Agreement which (i) the parties have expressly agreed in writing will survive any such expiration or termination, or (ii) remain to be performed or by their nature would be intended to be applicable following any such expiration or termination.

15.6.4 Contractor understands and agrees that County has obligations that it cannot satisfy without use of the System provided to County hereunder or an equivalent system, and that a failure to satisfy such obligations could result in irreparable damage to County and the entities it serves. Therefore, Contractor agrees that in the event of any expiration or termination of this Agreement, Contractor shall fully cooperate with County in the transition of County to a new system, toward the end that there be no interruption of County's day to day operations due to the unavailability of the System during such transition, as provided in Subparagraph 15.7 (Termination Transition Services).

15.6.5 Contractor shall return or destroy County's Confidential Information in accordance with Subparagraph 11.5.2. County shall promptly return to Contractor in a media reasonably requested by Contractor any and all of Contractor's Confidential Information, if applicable, that relate to that portion of the Agreement and Services terminated by County, subject to the following: (a) County's license rights hereunder that by their terms continue beyond expiration or termination of the Agreement; (b) Contractor's provision of Transition Services under Subparagraph 15.7 (Termination Transition Services); and (c) continued use as needed to maintain operations, and otherwise mitigate damages during an orderly transition to alternative systems as permitted under this Agreement.

15.7 **Termination Transition Services**

15.7.1 For ninety (90) days prior to the expiration date of this Agreement, or upon notice of termination of this Agreement (in this Subparagraph, "**Transition Period**"), Contractor shall assist the County in extracting and/or transitioning all County Data in the format determined by the County. The Transition Period may be modified as agreed upon in writing by the parties in a Change Order.

15.7.2 Upon the expiration or termination of this Agreement, County may require Contractor to provide services in the form of Optional Work to assist County to transition RMIS operations from Contractor to County or County's designated third party

("**Transition Services**"). Upon County's request for Transition Services, County and Contractor agree to negotiate in good faith the scope of work and the price for such Transition Services, using the hourly rate set forth on Exhibit B (Pricing Schedule). The duty of Contractor to provide such Transition Services shall be conditioned on County continuing to comply with its obligations under the Agreement, including payment of all applicable fees. Contractor shall have no right to withhold or limit its performance or any of such Transition Services on the basis of any alleged breach of this Agreement by County, other than a failure by County to timely pay the amounts due and payable hereunder. County shall have the right to seek specific performance of this Subparagraph 15.7 in any court of competent jurisdiction and Contractor hereby waives any defense that damages are an adequate remedy. Additionally, in the event that County terminates the Agreement for any breach by Contractor, County shall be entitled to seek reimbursement from Contractor for all costs incurred by County in connection with Contractor's provision of Transition Services, including but not limited to all fees paid to Contractor for such Transition Services. Compliance with this Subparagraph 15.7 by either party shall not constitute a waiver or estoppel with regard to any rights or remedies available to the parties.

16.0 COMPLIANCE WITH APPLICABLE LAW

16.1 In the performance of this Agreement, Contractor shall comply with all applicable Federal, State and local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures, and all provisions required thereby to be included in this Agreement are hereby incorporated herein by reference.

16.2 Contractor shall indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all third party claims, demands, damages, liabilities, losses, costs, and expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or Subcontractors, to comply with any such laws, rules, regulations, ordinances, directives, guidelines, policies, or procedures, as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under this Paragraph 16.0 shall be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County shall have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and

adequate defense, as determined by County in its sole judgment, County shall be entitled to retain its own counsel, including, without limitation, County Counsel, and to reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction or other equitable relief, or make any admission, in each case, on behalf of County without County's prior written approval.

17.0 COMPLAINTS

The Contractor shall develop, maintain and operate procedures for receiving, investigating and responding to User complaints.

17.1 Within 20 business days after the Agreement Effective Date, the Contractor shall provide the County with the Contractor's policy for receiving, investigating and responding to user complaints.

17.2 The County will review the Contractor's policy and provide the Contractor with approval of said plan or with requested changes.

17.3 If the County requests changes in the Contractor's policy, the Contractor shall make such changes and resubmit the plan within 5 business days for County approval.

17.4 If, at any time, the Contractor wishes to change the Contractor's policy, the Contractor shall submit proposed changes to the County for approval before implementation.

17.5 The Contractor shall preliminarily investigate all complaints and notify the County's Project Manager of the status of the investigation within 10 business days of receiving the complaint.

17.6 When complaints cannot be resolved informally, a system of follow-through shall be instituted which adheres to formal plans for specific actions and strict time deadlines.

17.7 Copies of all written responses shall be sent to the County's Project Manager within 5 business days of mailing to the complainant.

18.0 COUNTY'S QUALITY ASSURANCE PLAN

The County or its agent will evaluate the Contractor's performance under this Agreement on not less than an annual basis. Such evaluation will include assessing the Contractor's compliance with all Agreement terms and conditions and performance standards. Contractor deficiencies which the County determines are severe or continuing and that may place performance of the Agreement in jeopardy if not corrected will be reported to the Board of Supervisors.

The report will include improvement/corrective action measures taken by the County and the Contractor. If improvement does not occur consistent with the corrective action measures, the County may terminate this Agreement or impose other penalties as specified in this Agreement.

19.0 CONTRACTOR RESPONSIBILITY AND DEBARMENT

19.1 Responsible Contractor

A responsible Contractor is a Contractor who has demonstrated the attribute of trustworthiness, as well as quality, fitness, capacity and experience to satisfactorily perform the contract. It is the County's policy to conduct business only with responsible Contractors.

19.2 Chapter 2.202 of the County Code

The Contractor is hereby notified that, in accordance with Chapter 2.202 of the County Code, if the County acquires information concerning the performance of the Contractor on this or other contracts which indicates that the Contractor is not responsible, the County may, in addition to other remedies provided in the Agreement, debar the Contractor from bidding or proposing on, or being awarded, and/or performing work on County contracts for a specified period of time, which generally will not exceed five years but may exceed five years or be permanent if warranted by the circumstances, and terminate any or all existing contracts the Contractor may have with the County.

19.3 Non-responsible Contractor

The County may debar a Contractor if the Board of Supervisors finds, in its discretion, that the Contractor has done any of the following: (1) violated a term of a contract with the County or a nonprofit corporation created by the County, (2) committed an act or omission which negatively reflects on the Contractor's quality, fitness or capacity to perform a contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same, (3) committed an act or offense which indicates a lack of business integrity or business honesty, or (4) made or submitted a false claim against the County or any other public entity.

19.4 Contractor Hearing Board

19.4.1 If there is evidence that the Contractor may be subject to debarment, the Department will notify the Contractor in writing of the evidence which is the basis for the proposed debarment and

will advise the Contractor of the scheduled date for a debarment hearing before the Contractor Hearing Board.

19.4.2 The Contractor Hearing Board will conduct a hearing where evidence on the proposed debarment is presented. The Contractor and/or the Contractor's representative shall be given an opportunity to submit evidence at that hearing. After the hearing, the Contractor Hearing Board shall prepare a tentative proposed decision, which shall contain a recommendation regarding whether the Contractor should be debarred, and, if so, the appropriate length of time of the debarment. The Contractor and the Department shall be provided an opportunity to object to the tentative proposed decision prior to its presentation to the Board of Supervisors.

19.4.3 After consideration of any objections, or if no objections are submitted, a record of the hearing, the proposed decision, and any other recommendation of the Contractor Hearing Board shall be presented to the Board of Supervisors. The Board of Supervisors shall have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.

19.4.4 If a Contractor has been debarred for a period longer than five (5) years, that Contractor may after the debarment has been in effect for at least five (5) years, submit a written request for review of the debarment determination to reduce the period of debarment or terminate the debarment. The County may, in its discretion, reduce the period of debarment or terminate the debarment if it finds that the Contractor has adequately demonstrated one or more of the following: (1) elimination of the grounds for which the debarment was imposed; (2) a bona fide change in ownership or management; (3) material evidence discovered after debarment was imposed; or (4) any other reason that is in the best interests of the County.

19.4.5 The Contractor Hearing Board will consider a request for review of a debarment determination only where (1) the Contractor has been debarred for a period longer than five (5) years; (2) the debarment has been in effect for at least five (5) years; and (3) the request is in writing, states one or more of the grounds for reduction of the debarment period or termination of the debarment, and includes supporting documentation. Upon receiving an appropriate request, the Contractor Hearing Board will provide notice of the hearing on the request. At the hearing, the Contractor Hearing Board shall conduct a hearing where evidence on the proposed reduction of debarment period or

termination of debarment is presented. This hearing shall be conducted and the request for review decided by the Contractor Hearing Board pursuant to the same procedures as for a debarment hearing.

19.4.6 The Contractor Hearing Board's proposed decision shall contain a recommendation on the request to reduce the period of debarment or terminate the debarment. The Contractor Hearing Board shall present its proposed decision and recommendation to the Board of Supervisors. The Board of Supervisors shall have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.

19.5 **Subcontractors of Contractor**

These terms shall also apply to Subcontractors of County contractors.

20.0 INDEMNIFICATION

20.1 **General Indemnification**

The Contractor shall indemnify, defend and hold harmless the County, its special districts, elected and appointed officers, employees, agents and volunteers (in this Paragraph 20.0, "**County Indemnitees**") from and against any and all liability resulting from third party action, including but not limited to demands, claims, actions, fees, costs and expenses (including attorney and expert witness fees), arising from and/or relating to this Agreement, except for such liability arising from the sole negligence or intentional misconduct of the County Indemnitees. Notwithstanding the preceding sentence, County shall have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as County determines, County shall be entitled to retain its own counsel and receive reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction or other equitable relief, or make any admission on behalf of County without the County's prior written approval. For purposes of this Paragraph 20.0, "**third party**" means and includes any person or entity other than the County of Los Angeles as the contracting party to this Agreement.

20.2 **Intellectual Property Indemnification**

20.2.1 Contractor shall indemnify, hold harmless, and defend County Indemnitees from and against any and all claims, demands, damages, liabilities, losses, costs, and expenses, including, but not limited to, defense costs and legal, accounting, and other

expert, consulting, or professional fees and attorney's fees, as such are incurred, for or by reason of any actual or alleged infringement of any third party's patent, copyright, or other Intellectual Property Right, or any actual or alleged unauthorized trade secret disclosure or misappropriation, arising from or related to the RMIS or other Contractor Proprietary Technology (collectively, the "**Indemnified Items**") (collectively referred to for purposes of this Subparagraph 20.2 as "**Infringement Claim(s)**"), provided that the Indemnified Item has not been altered, revised, or modified by County in a manner that causes the alleged infringement. Notwithstanding the foregoing, Contractor shall have no indemnity obligation for infringement claims arising from (A) the development of custom software code required by County and based on specifications provided by County when Contractor has advised County of potential infringement in writing; (B) use of the Indemnified Items in excess of the rights granted hereunder; or (C) County's failure to implement a Revision to the Indemnified Items, provided Contractor provides the Revision at no additional charge to County and provides County with written notice that implementing the Revision would avoid the infringement. Any legal defense pursuant to Contractor's indemnification obligations under this Subparagraph shall be conducted by Contractor and performed by counsel selected by Contractor. Notwithstanding the foregoing, County shall have the right to participate in any such defense at its sole cost and expense.

20.2.2 County shall notify Contractor, in writing, as soon as practicable of any claim or action alleging such infringement or unauthorized disclosure. If any Indemnified Item hereunder becomes the subject of an Infringement Claim under this Subparagraph 20.2, or in County's opinion is likely to become the subject of such a claim, then, in addition to defending the claim and paying any damages and attorneys' fees as required above in this Subparagraph 20.2, Contractor shall, at its option and in its sole discretion and at no cost to County, as remedial measures, either: (i) procure the right, by license or otherwise, for County to continue to use the Indemnified Items or affected component(s) thereof, or part(s) thereof, pursuant to this Agreement; or (ii) replace or modify the Indemnified Items or component(s) thereof with another software, service, item, or component(s) thereof of at least equivalent quality and performance capabilities, in County's determination, until it is determined by County that the Indemnified Items and all components thereof become non-infringing, non-misappropriating, and non-disclosing (hereinafter collectively for the purpose of this Subparagraph 20.2, "**Remedial Act(s)**").

20.2.3 If Contractor fails to complete the Remedial Acts described in Subparagraph 20.2.2 above within forty-five (45) days of notice of the claim (and such time has not been extended by County in writing) then, County shall have the right, at its sole option, to elect to (i) terminate this Agreement with regard to the infringing Indemnified Items for default pursuant to Subparagraph 15.2 (Termination for Default), in which case, in addition to other remedies available to County, Contractor shall reimburse County for all Implementation Fees paid by County to Contractor under the Agreement, and/or (ii) take such remedial acts as it determines to be commercially reasonable to mitigate any impairment of its use of the infringing Indemnified Items or damages (hereafter collectively referred to in this Subparagraph 20.2 as "**County's Mitigation Acts**"). Contractor shall indemnify and hold harmless County for all amounts paid and all direct and indirect costs associated with County's Mitigation Acts. Failure by Contractor to pay such amounts within ten (10) Business Days of invoice by County shall, in addition to, and cumulative of all other remedies, entitle County to immediately withhold all payments due to Contractor under this Agreement up to the amount paid by County in connection with County's Mitigation Acts.

21.0 GENERAL PROVISIONS FOR ALL INSURANCE COVERAGE

Without limiting Contractor's indemnification of County, and in the performance of this Agreement and until all of its obligations pursuant to this Agreement have been met, Contractor shall provide and maintain at its own expense insurance coverage satisfying the requirements specified in Paragraphs 21.0 (General Provisions for All Insurance Coverage) and 22.0 (Insurance Coverage) of this Agreement. These minimum insurance coverage terms, types and limits (in this Paragraph 21.0, the "**Required Insurance**") also are in addition to and separate from any other Contractual obligation imposed upon Contractor pursuant to this Agreement. The County in no way warrants that the Required Insurance is sufficient to protect the Contractor for liabilities which may arise from or relate to this Agreement.

21.1 Evidence of Coverage and Notice to County

- Certificate(s) of insurance coverage in the standard ACORD form signed by the insurance carrier (Certificate), and a copy of an Additional Insured endorsement confirming County and its Agents (defined below) has been given Insured status under the Contractor's General Liability policy, shall be delivered to County at the address shown below and provided prior to commencing Services under this Agreement.

- Renewal Certificates shall be provided to County not less than 10 days prior to Contractor's policy expiration dates. The County reserves the

right to obtain complete, certified copies of any required Contractor and/or Subcontractor insurance policies at any time.

- Certificates shall identify all Required Insurance coverage types and limits specified herein, reference this Agreement by name or number, and be signed by an authorized representative of the insurer(s). The insured party named on the Certificate shall match the name of the Contractor identified as the contracting party in this Agreement. Certificates shall provide the full name of each insurer providing coverage, its NAIC (National Association of Insurance Commissioners) identification number, its financial rating, the amounts of any policy deductibles or self-insured retentions exceeding fifty thousand ($50,000.00) dollars, and list any County required endorsement forms.

- Neither the County's failure to obtain, nor the County's receipt of, or failure to object to a non-complying insurance certificate or endorsement, or any other insurance documentation or information provided by the Contractor, its insurance broker(s) and/or insurer(s), shall be construed as a waiver of any of the Required Insurance provisions.

- Certificates and copies of any required endorsements shall be sent to:

County of Los Angeles
Chief Executive Office – Risk Management Branch
3333 Wilshire Boulevard, Suite 820
Los Angeles, California 90010
Attn: Contract Administration and Insurance Compliance Section

- Contractor also shall promptly report to County any injury or property damage accident or incident, including any injury to a Contractor employee occurring on County property, and any loss, disappearance, destruction, misuse, or theft of County property, monies or securities entrusted to Contractor. Contractor also shall promptly notify County of any third party claim or suit filed against Contractor or any of its Subcontractors which arises from or relates to this Agreement, and could result in the filing of a claim or lawsuit against Contractor and/or County.

21.2 **Additional Insured Status and Scope of Coverage**

The County of Los Angeles, its special districts, elected officials, officers, agents, employees and volunteers (collectively County and its Agents) shall be provided additional insured status under Contractor's General Liability policy with respect to liability arising out of Contractor's ongoing and completed operations performed on behalf of the County. County and its Agents additional insured status shall apply with respect to liability and defense of suits arising out of the Contractor's acts or omissions, whether

such liability is attributable to the Contractor or to the County. Subject to Subparagraph 26.1(Limitation of Liability), the full policy limits and scope of protection also shall apply to the County and its Agents as an additional insured, even if they exceed the County's minimum Required Insurance specifications herein. Use of an automatic additional insured endorsement form is acceptable providing it satisfies the Required Insurance provisions herein.

21.3 **Cancellation of or Changes in Insurance**

Contractor shall provide County with written notice of cancellation or any change in Required Insurance, including insurer, limits of coverage, term of coverage or policy period. Written notice of cancellation or diminishment of coverage shall be provided to County at least ten (10) days in advance of cancellation for non-payment of premium and thirty (30) days in advance for any other cancellation or for diminishment of coverage. Written notice of all other changes will be provided within fifteen (15) days of making such change to the extent such change affects the coverage required under this Agreement. Failure to provide written notice of cancellation or any change in Required Insurance as provided in this Subparagraph 21.3 may constitute a material breach of the Agreement, in the sole discretion of the County, upon which the County may suspend or terminate this Agreement.

21.4 **Failure to Maintain Insurance**

Contractor's failure to maintain or to provide acceptable evidence that it maintains the Required Insurance shall constitute a material breach of the Agreement, upon which County immediately may withhold payments due to Contractor, and/or suspend or terminate this Agreement. County, at its sole discretion, may obtain damages from Contractor resulting from said breach. Alternatively, the County may purchase the Required Insurance, and without further notice to Contractor, deduct the premium cost from sums due to Contractor or pursue Contractor reimbursement.

21.5 **Insurer Financial Ratings**

Coverage shall be placed with insurers acceptable to the County with A.M. Best ratings of not less than A:VII unless otherwise approved by County.

21.6 **Contractor's Insurance Shall Be Primary**

Contractor's insurance policies, with respect to any claims related to this Agreement, shall be primary with respect to all other sources of coverage available to Contractor. Any County maintained insurance or self-insurance

coverage shall be in excess of and not contribute to any Contractor coverage.

21.7 **Waivers of Subrogation**

To the fullest extent permitted by law, the Contractor hereby waives its rights and its insurer(s)' rights of recovery against County under all the Required Insurance for any loss arising from or relating to this Agreement. The Contractor shall require its insurers to execute any waiver of subrogation endorsements which may be necessary to effectuate such waiver.

21.8 **Subcontractor Insurance Coverage Requirements**

Contractor shall include all Subcontractors as insureds under Contractor's own policies, or shall provide County with each Subcontractor's separate evidence of insurance coverage. Contractor shall be responsible for verifying each Subcontractor complies with the Required Insurance provisions herein, and shall require that each Subcontractor name the County and Contractor as additional insureds on the Subcontractor's General Liability policy. Contractor shall obtain County's prior review and approval of any Subcontractor request for modification of the Required Insurance.

21.9 **Deductibles and Self-Insured Retentions (SIRs)**

Contractor's policies shall not obligate the County to pay any portion of any Contractor deductible or SIR.

21.10 **Claims Made Coverage**

If any part of the Required Insurance is written on a claims made basis, any policy retroactive date shall precede the Effective Date of this Agreement. Contractor understands and agrees it shall maintain such coverage for a period of not less than three (3) years following Agreement expiration, termination or cancellation.

21.11 **Application of Excess Liability Coverage**

Contractors may use a combination of primary, and excess insurance policies which provide coverage as broad as ("follow form" over) the underlying primary policies, to satisfy the Required Insurance provisions.

21.12 **Separation of Insureds**

All liability policies shall provide cross-liability coverage as would be afforded by the standard ISO (Insurance Services Office, Inc.) separation of insureds provision with no insured versus insured exclusions or limitations.

21.13 **Alternative Risk Financing Programs**

The County reserves the right to review, and then approve, Contractor use of self-insurance, risk retention groups, risk purchasing groups, pooling arrangements and captive insurance to satisfy the Required Insurance provisions. The County and its Agents shall be designated as an Additional Covered Party under any approved program.

21.14 **County Review and Approval of Insurance Requirements**

The County reserves the right to review and adjust the Required Insurance provisions, conditioned upon County's determination of changes in risk exposures.

22.0 INSURANCE COVERAGE

22.1 **Commercial General Liability**

Commercial General Liability insurance (providing scope of coverage equivalent to ISO policy form CG 00 01), naming County and its Agents as an additional insured, with limits of not less than:

General Aggregate:	$2 million
Products/Completed Operations Aggregate:	$1 million
Personal and Advertising Injury:	$1 million
Each Occurrence:	$1 million

22.2 **Automobile Liability**

Automobile Liability insurance (providing scope of coverage equivalent to ISO policy form CA 00 01) with limits of not less than $1 million for bodily injury and property damage, in combined or equivalent split limits, for each single accident. Insurance shall cover liability arising out of Contractor's use of autos pursuant to this Agreement, including owned, leased, hired, and/or non-owned autos, as each may be applicable.

22.3 **Workers Compensation and Employers' Liability**

Workers Compensation and Employers' Liability insurance or qualified self-insurance satisfying statutory requirements, which includes Employers' Liability coverage with limits of not less than $1 million per accident. If Contractor will provide leased employees, or, is an employee leasing or temporary staffing firm or a professional employer organization (PEO), coverage also shall include an Alternate Employer Endorsement (providing scope of coverage equivalent to ISO policy form WC 00 03 01 A) naming the County as the Alternate Employer, and the endorsement form shall be modified to provide that County will receive not less than thirty (30) days advance written notice of cancellation of this coverage provision. If applicable to Contractor's operations, coverage also shall be arranged to satisfy the requirements of any federal workers or workmen's compensation law or any federal occupational disease law.

22.4 **Technology Errors and Omissions**

22.4.1 Technology Errors & Omissions insurance, which includes coverage for liabilities arising from errors, omissions, or negligent acts in rendering or failure to render computer or information technology services and technology products, and for violation of software copyright, with limits of not less than $15 million per occurrence. For the purposes of this Subparagraph, the term "technology services" means (1) systems analysis, (2) systems programming, (3) data processing, (4) systems integration, (5) outsourcing including outsourcing development and design, (6) systems design, consulting, development and modification, (7) training services relating to computer software or hardware, (8) management, repair and maintenance of computer products, networks and systems, (9) marketing, selling, servicing, distributing, installing and maintaining computer hardware or software, (10) data entry, modification, verification, maintenance, storage, retrieval or preparation of data output, and any other services provided by the Contractor.

22.4.2 Contractor's Technology Errors & Omissions insurance shall also include coverage for Privacy and Network Security (Cyber) Liability, which includes coverage for Contractor's liability arising from a security incident as it relates to this Agreement, with limits of not less than $15 million for each occurrence. For the avoidance of doubt, the coverage set forth in Subparagraph 22.4.1 and the coverage in Subparagraph 22.4.2 are covered by the same policy with the same policy limits, and they are not two different policies. For the purposes of this Subparagraph, the term "security incident" means (1) privacy breaches, (2) system breaches, (3) denial or loss of service, (4) introduction, implantation, or spread of malicious software code, (5) unauthorized access to or use of

computer systems with limits. No exclusion/restriction for unencrypted portable devices/media may be on the policy.

22.4.3 Contractor understands and agrees it shall maintain such coverage for a period of not less than three (3) years following the Agreement's expiration, termination or cancellation.

22.5 **Performance Security Requirements**

By no later than the date on which Contractor is to begin performance of any work under this Agreement (once a notice to proceed has been issued by County), Contractor shall have provided to County performance security in the form of a certificate of deposit, an irrevocable letter of credit, or a performance bond, in each case, in a form and from a financial institution acceptable to County, payable to County in an amount not less than five million dollars ($5,000,000) for a period of one year. Contractor shall renew the performance security each year on an annual basis until such time as Contractor has achieved Final Acceptance under and in accordance with 5.5.3 (Final Acceptance).

23.0 DISPUTE RESOLUTION PROCEDURE

It is the intent of the parties that all disputes arising under this Agreement be resolved expeditiously, amicably, and at the level within each party's organization that is most knowledgeable about the disputed issue. The parties understand and agree that the procedures outlined in this Paragraph are not intended to supplant the routine handling of inquiries and complaints through informal contact with their respective managers. Accordingly, for purposes of the procedures set forth in this paragraph, a "dispute" shall mean any action, dispute, claim, or controversy of any kind, whether in contract or tort, statutory or common law, legal or equitable, now existing or hereafter arising under or in connection with, or in any way pertaining to this Agreement.

23.1 Contractor and County agree to act with urgency to mutually resolve any disputes which may arise with respect to this Agreement. All such disputes shall be subject to the provisions of this Paragraph 23.0 (Dispute Resolution Procedure) (such provisions shall be collectively referred to as the "**Dispute Resolution Procedure**"). Time is of the essence in the resolution of disputes.

23.2 Contractor and County agree that, the existence and details of a dispute notwithstanding, both parties shall continue without delay their performance hereunder, except for any performance which County determines should be delayed as a result of such dispute.

23.3 Subject to the provisions of Subparagraph 7.4 (Invoices and Payments), if Contractor fails to continue without delay its performance hereunder which County, in its sole discretion, determines should not

be delayed as a result of such dispute, then any additional costs which may be incurred by Contractor or County as a result of Contractor's failure to continue to so perform shall be borne by Contractor, and Contractor shall make no claim whatsoever against County for such costs. Contractor shall promptly reimburse County for such County costs, as determined by County, or County may deduct all such additional costs from any amounts due to Contractor from County.

23.4 If County fails to continue without delay to perform its responsibilities under this Agreement which County determines should not be delayed as a result of such dispute, then any additional costs incurred by Contractor or County as a result of County's failure to continue to so perform shall be borne by County, and County shall make no claim whatsoever against Contractor for such costs. County shall promptly reimburse Contractor for all such additional Contractor costs subject to the approval of such costs by County.

23.5 In the event of any dispute between the parties with respect to this Agreement, Contractor and County shall submit the matter to their respective Project Managers for the purpose of endeavoring to resolve such dispute.

23.6 In the event that the Project Managers are unable to resolve the dispute within a reasonable time not to exceed ten (10) days from the date of submission of the dispute to them, then the matter shall be immediately submitted to the parties' respective Project Directors for further consideration and discussion to attempt to resolve the dispute.

23.7 In the event that the Project Directors are unable to resolve the dispute within a reasonable time not to exceed ten (10) days from the date of submission of the dispute to them, then the matter shall be immediately submitted to Contractor's president or equivalent and the Chief Executive Officer. These persons shall have ten (10) days to attempt to resolve the dispute.

23.8 In the event that at these levels, there is not a resolution of the dispute acceptable to both parties, then each party may assert its other rights and remedies provided under this Agreement and/or its rights and remedies as provided by law.

23.9 All disputes utilizing this dispute resolution procedure shall be documented in writing by each party and shall state the specifics of each alleged dispute and all actions taken. The parties shall act in good faith to resolve all disputes. At all three (3) levels described in this Paragraph 23.0 (Dispute Resolution Procedure), the efforts to resolve a dispute shall be undertaken by conference between the parties'

respective representatives, either orally, by face to face meeting or by telephone, or in writing by exchange of correspondence.

23.10 Notwithstanding any other provision of this Agreement, County's right to terminate this Agreement or both party's right to seek injunctive relief to enforce the provisions of Paragraph 11.0 (Confidentiality) shall not be subject to this Dispute Resolution Procedure. The preceding sentence is intended only as a clarification of County's rights and shall not be deemed to impair any claims that County may have against Contractor or County's rights to assert such claims after any such termination or such injunctive relief has been obtained.

23.11 Contractor shall bring to the attention of the County's Project Manager and/or County's Project Director any dispute between the County and the Contractor regarding the performance of services as stated in this Agreement.

24.0 GENERAL TERMS

24.1 [Reserved]

24.2 Compliance with Civil Rights Law

The Contractor hereby assures that it will comply with Subchapter VI of the Civil Rights Act of 1964, 42 USC Sections 2000 (e) (1) through 2000 (e) (17), to the end that no person shall, on the grounds of race, creed, color, sex, religion, ancestry, age, condition of physical handicap, marital status, political affiliation, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Agreement or under any project, program, or activity supported by this Agreement. The Contractor shall comply with Exhibit D - Contractor's EEO Certification.

24.3 Compliance with the County's Jury Service Program

24.3.1 Jury Service Program:

This Agreement is subject to the provisions of the County's ordinance entitled Contractor Employee Jury Service (in this Subparagraph 24.3, "**Jury Service Program**") as codified in Sections 2.203.010 through 2.203.090 of the Los Angeles County Code, a copy of which is attached as Exhibit H and incorporated by reference into and made a part of this Agreement.

24.3.2 Written Employee Jury Service Policy.

1. Unless the Contractor has demonstrated to the County's satisfaction either that the Contractor is not a "Contractor" as defined under the Jury Service Program (Section 2.203.020 of the County Code) or that the Contractor qualifies for an exception to the Jury Service Program (Section 2.203.070 of the County Code), the Contractor shall have and adhere to a written policy that provides that its Employees shall receive from the Contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that Employees deposit any fees received for such jury service with the Contractor or that the Contractor deduct from the Employee's regular pay the fees received for jury service.

2. For purposes of this sub-paragraph, "Contractor" means a person, partnership, corporation or other entity which has a contract with the County or a subcontract with a County Contractor and has received or will receive an aggregate sum of $50,000 or more in any 12-month period under one or more County contracts or subcontracts. "Employee" means any California resident who is a full-time employee of the Contractor. "Full-time" means 40 hours or more worked per week, or a lesser number of hours if: 1) the lesser number is a recognized industry standard as determined by the County, or 2) Contractor has a long-standing practice that defines the lesser number of hours as full-time. Full-time employees providing short-term, temporary services of 90 days or less within a 12-month period are not considered full-time for purposes of the Jury Service Program. If the Contractor uses any Subcontractor to perform services for the County under the Agreement, the Subcontractor shall also be subject to the provisions of this sub-paragraph. The provisions of this sub-paragraph shall be inserted into any such subcontract agreement and a copy of the Jury Service Program shall be attached to the agreement.

3. If the Contractor is not required to comply with the Jury Service Program when the Agreement commences, the Contractor shall have a continuing obligation to review the applicability of its "exception status" from the Jury Service Program, and the Contractor shall immediately notify the County if the Contractor at any time either comes within the Jury Service Program's definition of "Contractor" or if the Contractor no longer qualifies for an exception to the

Jury Service Program. In either event, the Contractor shall immediately implement a written policy consistent with the Jury Service Program. The County may also require, at any time during the Agreement and at its sole discretion, that the Contractor demonstrate, to the County's satisfaction that the Contractor either continues to remain outside of the Jury Service Program's definition of "Contractor" and/or that the Contractor continues to qualify for an exception to the Program.

4. Contractor's violation of this sub-paragraph of the Agreement may constitute a material breach of the Agreement. In the event of such material breach, County may, in its sole discretion, terminate the Agreement and/or bar the Contractor from the award of future County contracts for a period of time consistent with the seriousness of the breach.

24.4 **Conflict of Interest**

24.4.1 No County employee whose position with the County enables such employee to influence the award of this Agreement or any competing Agreement, and no spouse or economic dependent of such employee, shall be employed in any capacity by the Contractor or have any other direct or indirect financial interest in this Agreement. No officer or employee of the Contractor who may financially benefit from the performance of work hereunder shall in any way participate in the County's approval, or ongoing evaluation, of such work, or in any way attempt to unlawfully influence the County's approval or ongoing evaluation of such work.

24.4.2 The Contractor shall comply with all conflict of interest laws, ordinances, and regulations now in effect or hereafter to be enacted during the term of this Agreement. The Contractor warrants that it is not now aware of any facts that create a conflict of interest. If the Contractor hereafter becomes aware of any facts that might reasonably be expected to create a conflict of interest, it shall immediately make full written disclosure of such facts to the County. Full written disclosure shall include, but is not limited to, identification of all persons implicated and a complete description of all relevant circumstances. Failure to comply with the provisions of this sub-paragraph shall be a material breach of this Agreement.

24.5 **Consideration of Hiring County Employees Targeted for Layoff/Or Re-Employment List**

Should the Contractor require additional or replacement personnel after the Effective Date of this Agreement to perform the services set forth herein, the Contractor shall give first consideration for such employment openings to qualified, permanent County employees who are targeted for layoff or qualified, former County employees who are on a re-employment list during the life of this Agreement.

24.6 **Consideration of Hiring Gain/Grow Participants**

24.6.1 Should the Contractor require additional or replacement personnel after the Effective Date of this Agreement, the Contractor shall give consideration for any such employment openings to participants in the County's Department of Public Social Services Greater Avenues for Independence (GAIN) Program or General Relief Opportunity for Work (GROW) Program who meet the Contractor's minimum qualifications for the open position. For this purpose, consideration shall mean that the Contractor will interview qualified candidates. The County will refer GAIN/GROW participants by job category to the Contractor. Contractors shall report all job openings with job requirements to: to obtain a list of qualified GAIN/GROW job candidates.

24.6.2 In the event that both laid-off County employees and GAIN/GROW participants are available for hiring, County employees shall be given first priority.

24.7 **Contractor's Acknowledgement of County's Commitment to The Safely Surrendered Baby Law**

The Contractor acknowledges that the County places a high priority on the implementation of the Safely Surrendered Baby Law. The Contractor understands that it is the County's policy to encourage all County Contractors to voluntarily post the County's "Safely Surrendered Baby Law" poster in a prominent position at the Contractor's place of business. The Contractor will also encourage its Subcontractors, if any, to post this poster in a prominent position in the Subcontractor's place of business. The County's Department of Children and Family Services will supply the Contractor with the poster to be used. Information on how to receive the poster can be found on the Internet at www.babysafela.org.

24.8 **Contractor's Warranty of Adherence to County's Child Support Compliance Program**

24.8.1 The Contractor acknowledges that the County has established a goal of ensuring that all individuals who benefit financially from

the County through contracts are in compliance with their court-ordered child, family and spousal support obligations in order to mitigate the economic burden otherwise imposed upon the County and its taxpayers.

24.8.2 As required by the County's Child Support Compliance Program (County Code Chapter 2.200) and without limiting the Contractor's duty under this Agreement to comply with all applicable provisions of law, the Contractor warrants that it is now in compliance and shall during the term of this Agreement maintain in compliance with employment and wage reporting requirements as required by the Federal Social Security Act (42 USC Section 653a) and California Unemployment Insurance Code Section 1088.5, and shall implement all lawfully served Wage and Earnings Withholding Orders or Child Support Services Department Notices of Wage and Earnings Assignment for Child, Family or Spousal Support, pursuant to Code of Civil Procedure Section 706.031 and Family Code Section 5246(b).

24.9 **Damage to County Facilities, Buildings or Grounds**

24.9.1 The Contractor shall repair, or cause to be repaired, at its own cost, any and all damage to County facilities, buildings, or grounds caused by the Contractor or employees or agents of the Contractor. Such repairs shall be made immediately after the Contractor has become aware of such damage, but in no event later than thirty (30) days after the occurrence.

24.9.2 If the Contractor fails to make timely repairs, County may make any necessary repairs. All costs incurred by County, as determined by County, for such repairs shall be repaid by the Contractor by cash payment upon demand.

24.10 **[Reserved]**

24.11 **Facsimile Representations**

The County and the Contractor hereby agree to regard facsimile and other electronic representations of original signatures of authorized officers of each party, when appearing in appropriate places on Amendments, Change Notices, and Change Orders prepared pursuant to Paragraph 12.0 (Change to Agreement), and received via communications facilities, as legally sufficient evidence that such original signatures have been affixed to Amendments, Change Notices, and Change Orders to this Agreement, such that the parties need not follow up facsimile or other electronic transmissions of such documents with subsequent (non-facsimile, non-electronic) transmission of "original" versions of such documents.

24.12 **Fair Labor Standards**

The Contractor shall comply with all applicable provisions of the Federal Fair Labor Standards Act and shall indemnify, defend, and hold harmless the County and its agents, officers, and employees from any and all liability, including, but not limited to, wages, overtime pay, liquidated damages, penalties, court costs, and attorneys' fees arising under any wage and hour law, including, but not limited to, the Federal Fair Labor Standards Act, for work performed by the Contractor's employees for which the County may be found jointly or solely liable.

24.13 **Force Majeure**

24.13.1 Neither party shall be liable for such party's failure to perform its obligations under and in accordance with this Agreement, if such failure arises out of fires, floods, epidemics, quarantine restrictions, other natural occurrences, strikes, lockouts (other than a lockout by such party or any of such party's Subcontractors), freight embargoes, or other similar events to those described above, but in every such case the failure to perform must be totally beyond the control and without any fault or negligence of such party (such events are referred to in this Subaragraph 24.13 as "force majeure events").

24.13.2 Notwithstanding the foregoing, a default by a Subcontractor of Contractor shall not constitute a force majeure event, unless such default arises out of causes beyond the control of both Contractor and such Subcontractor, and without any fault or negligence of either of them. In such case, Contractor shall not be liable for failure to perform, unless the goods or services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit Contractor to meet the required performance schedule. As used in this sub-paragraph, the term "Subcontractor" and "Subcontractors" mean Subcontractors at any tier.

24.13.3 In the event Contractor's failure to perform arises out of a force majeure event, Contractor agrees to use commercially reasonable best efforts to obtain goods or services from other sources, if applicable, and to otherwise mitigate the damages and reduce the delay caused by such force majeure event.

24.14 **Governing Law, Jurisdiction, And Venue**

This Agreement shall be governed by, and construed in accordance with, the laws of the State of California. The Contractor agrees and consents to the exclusive jurisdiction of the courts of the State of California for all

purposes regarding this Agreement and further agrees and consents that venue of any action brought hereunder shall be exclusively in the County of Los Angeles.

24.15 **Independent Contractor Status**

24.15.1 This Agreement is by and between the County and the Contractor and is not intended, and shall not be construed, to create the relationship of agent, servant, employee, partnership, joint venture, or association, as between the County and the Contractor. The employees and agents of one party shall not be, or be construed to be, the employees or agents of the other party for any purpose whatsoever.

24.15.2 The Contractor shall be solely liable and responsible for providing to, or on behalf of, all persons performing work pursuant to this Agreement all compensation and benefits. The County shall have no liability or responsibility for the payment of any salaries, wages, unemployment benefits, disability benefits, Federal, State, or local taxes, or other compensation, benefits, or taxes for any personnel provided by or on behalf of the Contractor.

24.15.3 The Contractor understands and agrees that all persons performing work pursuant to this Agreement are, for purposes of Workers' Compensation liability, solely employees of the Contractor and not employees of the County. The Contractor shall be solely liable and responsible for furnishing any and all Workers' Compensation benefits to any person as a result of any injuries arising from or connected with any work performed by or on behalf of the Contractor pursuant to this Agreement.

24.15.4 The Contractor shall adhere to the provisions stated in Paragraph 11.0 (Confidentiality).

24.16 **[Reserved]**

24.17 **Nondiscrimination and Affirmative Action**

24.17.1 The Contractor certifies and agrees that all persons employed by it, its affiliates, subsidiaries, or holding companies are and shall be treated equally without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations.

24.17.2 The Contractor shall certify to, and comply with, the provisions of Exhibit D - Contractor’s EEO Certification.

24.17.3 The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations. Such action shall include, but is not limited to: employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

24.17.4 The Contractor certifies and agrees that it will deal with its Subcontractors, bidders, or vendors without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation.

24.17.5 The Contractor certifies and agrees that it, its affiliates, subsidiaries, or holding companies shall comply with all applicable Federal and State laws and regulations to the end that no person shall, on the grounds of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Agreement or under any project, program, or activity supported by this Agreement.

24.17.6 The Contractor shall allow County representatives access to the Contractor's employment records during regular business hours to verify compliance with the provisions of this Subparagraph 24.17 when so requested by the County.

24.17.7 If the County finds that any provisions of this Subparagraph 24.17 have been violated, such violation shall constitute a material breach of this Agreement upon which the County may terminate or suspend this Agreement. While the County reserves the right to determine independently that the anti-discrimination provisions of this Agreement have been violated, in addition, a determination by the California Fair Employment and Housing Commission or the Federal Equal Employment Opportunity Commission that the Contractor has violated Federal or State anti-discrimination laws or regulations shall constitute a finding by the County that the Contractor has violated the anti-discrimination provisions of this Agreement.

24.17.8 The parties agree that in the event the Contractor violates any of the anti-discrimination provisions of this Agreement, the County shall, at its sole option, be entitled to the sum of Five Hundred

Dollars ($500) for each such violation pursuant to California Civil Code Section 1671 as liquidated damages in lieu of terminating or suspending this Agreement.

24.18 **Non Exclusivity**

Nothing herein is intended nor shall be construed as creating any exclusive arrangement with the Contractor. This Agreement shall not restrict County from acquiring similar, equal or like goods and/or services from other entities or sources.

24.19 **Notice of Delays**

Except as otherwise provided under this Agreement, when either party has knowledge that any actual or potential situation is delaying or threatens to delay the timely performance of this Agreement, that party shall, within one (1) business day, give notice thereof, including all relevant information with respect thereto, to the other party. All notices under this Subparagraph 24.19 may be submitted by Contractor or by County via e-mail at the applicable addresses shown in Exhibits E (County's Administration) and F (Contractor's Administration).

24.20 **Notice to Employees Regarding the Federal Earned Income Credit**

The Contractor shall notify its employees, and shall require each Subcontractor to notify its employees, that they may be eligible for the Federal Earned Income Credit under the federal income tax laws. Such notice shall be provided in accordance with the requirements set forth in Internal Revenue Service Notice No. 1015.

24.21 **Notice to Employees Regarding the Safely Surrendered Baby Law**

The Contractor shall notify and provide to its employees, and shall require each Subcontractor to notify and provide to its employees, a fact sheet regarding the Safely Surrendered Baby Law, its implementation in Los Angeles County, and where and how to safely surrender a baby. The fact sheet is set forth in Exhibit I of this Agreement and is also available on the Internet for printing purposes.

24.22 **Notices**

All notices or demands required or permitted to be given or made under this Agreement shall be in writing and addressed to the parties as identified in Exhibits E - County's Administration and F - Contractor's Administration, and delivered as follows: (a) hand delivered with signed receipt; (b) mailed by first class registered or certified mail, postage prepaid; or (c) by e-mail or facsimile transmission followed within three (3) days by a confirmation copy mailed by first class registered or certified mail, postage prepaid. Notices

shall be deemed given at the time of signed receipt in the case of hand delivery, three (3) days after deposit in the United States mail as set forth above, or on the date of e-mail or facsimile transmission if followed by timely confirmation mailing. Addresses may be changed by either party giving ten (10) days' prior written notice thereof to the other party. The Chief Executive Officer or his/her designee shall have the authority to issue all notices or demands required or permitted by the County under this Agreement.

24.23 **Prohibition Against Inducement or Persuasion**

Notwithstanding the above, the Contractor and the County agree that, during the term of this Agreement and for a period of one year thereafter, neither party shall in any way intentionally induce or persuade any employee of one party to become an employee or agent of the other party. No bar exists against any hiring action initiated through a public announcement.

24.24 **Recycled Bond Paper**

Consistent with the Board of Supervisors' policy to reduce the amount of solid waste deposited at the County landfills, the Contractor agrees to use recycled-content paper to the maximum extent possible on this Agreement.

24.25 **Termination for Breach of Warranty to Maintain Compliance with County's Child Support Compliance Program**

Failure of the Contractor to maintain compliance with the requirements set forth in Subparagraph 24.8 (Contractor's Warranty of Adherence to County's Child Support Compliance Program), shall constitute default under this Agreement. Without limiting the rights and remedies available to the County under any other provision of this Agreement, failure of the Contractor to cure such default within ninety (90) calendar days of written notice shall be grounds upon which the County may terminate this Agreement pursuant to Subparagraph 15.2 (Termination for Default) and pursue debarment of the Contractor, pursuant to County Code Chapter 2.202.

24.26 **Termination for Non-Adherence of County Lobbyist Ordinance**

The Contractor, and each County Lobbyist or County Lobbying firm as defined in County Code Section 2.160.010 retained by the Contractor, shall fully comply with the County's Lobbyist Ordinance, County Code Chapter 2.160. Failure on the part of the Contractor or any County Lobbyist or County Lobbying firm retained by the Contractor to fully comply with the County's Lobbyist Ordinance shall constitute a material breach of this Agreement, upon which the County may in its sole discretion, immediately terminate or suspend this Agreement.

24.27 **Validity**

If any provision of this Agreement or the application thereof to any person or circumstance is held invalid, the remainder of this Agreement and the application of such provision to other persons or circumstances shall not be affected thereby.

24.28 **Waiver**

No waiver by the County of any breach of any provision of this Agreement shall constitute a waiver of any other breach or of such provision. Failure of the County to enforce at any time, or from time to time, any provision of this Agreement shall not be construed as a waiver thereof. The rights and remedies set forth in this Subparagraph 24.28 shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

24.29 **Warranty Against Contingent Fees**

24.29.1 The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Agreement upon any Agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business.

24.29.2 For breach of this warranty, the County shall have the right to terminate this Agreement and, at its sole discretion, deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

24.30 **Warranty of Compliance with County's Defaulted Property Tax Reduction Program**

Contractor acknowledges that County has established a goal of ensuring that all individuals and businesses that benefit financially from County through contract are current in paying their property tax obligations (secured and unsecured roll) in order to mitigate the economic burden otherwise imposed upon County and its taxpayers.

Unless Contractor qualifies for an exemption or exclusion, Contractor warrants and certifies that to the best of its knowledge it is now in compliance, and during the term of this contract will maintain compliance, with Los Angeles County Code Chapter 2.206.

24.31 Termination for Breach of Warranty to Maintain Compliance with County's Defaulted Property Tax Reduction Program

Failure of Contractor to maintain compliance with the requirements set forth in Subparagraph 24.30 (Warranty of Compliance with County's Defaulted Property Tax Reduction Program) shall constitute default under this Agreement. Without limiting the rights and remedies available to County under any other provision of this Agreement, failure of Contractor to cure such default within 10 days of notice shall be grounds upon which County may terminate this Agreement and/or pursue debarment of Contractor, pursuant to County Code Chapter 2.206.

24.32 Time Off for Voting

The Contractor shall notify its employees, and shall require each Subcontractor to notify and provide to its employees, information regarding the time off for voting law (Elections Code Section 14000). Not less than 10 days before every statewide election, every Contractor and Subcontractors shall keep posted conspicuously at the place of work, if practicable, or elsewhere where it can be seen as employees come or go to their place of work, a notice setting forth the provisions of Section 14000.

24.33 Compliance with County's Zero Tolerance Human Trafficking

Contractor acknowledges that the County has established a Zero Tolerance Human Trafficking Policy prohibiting contractors from engaging in human trafficking. If Contractor or member of Contractor's staff is convicted of a human trafficking offense, the County shall require that the Contractor or member of Contractor's staff be removed immediately from performing services under the Contract. County will not be under any obligation to disclose confidential information regarding the offenses other than those required by law. Disqualification of any member of Contractor's staff pursuant to this paragraph shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Contract.

24.34 Headings

The headings herein contained are for convenience and reference only and are not intended to define the scope of any provision thereof.

25.0 UNIQUE TERMS AND CONDITIONS

25.1 Local Small Business Enterprise (SBE) Preference Program

25.1.1 This Agreement is subject to the provisions of the County's ordinance entitled Local Small Business Enterprise Preference

Program, as codified in Chapter 2.204 of the Los Angeles County Code.

25.1.2 The Contractor shall not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as a Local Small Business Enterprise.

25.1.3 The Contractor shall not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as a Local Small Business Enterprise.

25.1.4 If the Contractor has obtained certification as a Local Small Business Enterprise by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Agreement to which it would not otherwise have been entitled, shall:

1. Pay to the County any difference between the contract amount and what the County's costs would have been if the contract had been properly awarded;

2. In addition to the amount described in subdivision (1), be assessed a penalty in an amount of not more than 10 percent of the amount of the contract; and

3. Be subject to the provisions of Chapter 2.202 of the Los Angeles County Code (Determinations of Contractor Non-responsibility and Contractor Debarment).

The above penalties shall also apply to any business that has previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify the State, the Department of Consumer and Business Affairs and Internal Services Department (ISD) of this information prior to responding to a solicitation or accepting a contract award.

25.2 **Disabled Veteran Business Enterprise Preference Program**

25.2.1 This Agreement is subject to the provisions of the County's ordinance entitled Disabled Veteran Business Enterprise

Preference Program, as codified in Chapter 2.211 of the Los Angeles County Code.

25.2.2 Contractor shall not knowingly and with the intent to defraud, fraudulently obtain, retain, attempt to obtain or retain, or aid another in fraudulently obtaining or retaining or attempting to obtain or retain certification as a Disabled Veteran Business Enterprise.

25.2.3 Contractor shall not willfully and knowingly make a false statement with the intent to defraud, whether by affidavit, report, or other representation, to a County official or employee for the purpose of influencing the certification or denial of certification of any entity as a Disabled Veteran Business Enterprise.

25.2.4 If Contractor has obtained certification as a Disabled Veteran Business Enterprise by reason of having furnished incorrect supporting information or by reason of having withheld information, and which knew, or should have known, the information furnished was incorrect or the information withheld was relevant to its request for certification, and which by reason of such certification has been awarded this Agreement to which it would not otherwise have been entitled, shall:

1. Pay to the County any difference between the contract amount and what the County's costs would have been if the contract had been properly awarded;

2. In addition to the amount described in subdivision (1), be assessed a penalty in an amount of not more than 10 percent of the amount of the contract; and

3. Be subject to the provisions of Chapter 2.202 of the Los Angeles County Code (Determinations of Contractor Non-responsibility and Contractor Debarment).

The above penalties shall also apply to any business that has previously obtained proper certification, however, as a result of a change in their status would no longer be eligible for certification, and fails to notify the state and the County's Internal Services Department of this information prior to responding to a solicitation or accepting a contract award.

26.0 ADDITIONAL TERMS

26.1 **Limitation of Liability**

26.1.1 **LIMITATION OF REMEDY**. EXCEPT FOR (I) AS PROHIBITED BY LAW AND (II) CLAIMS ARISING UNDER SUBPARAGRAPH 20.2 (INTELLECTUAL PROPERTY INDEMNIFICATION), IN NO EVENT WILL EITHER PARTY, OR ITS CONTRACTORS, LICENSORS OR SUPPLIERS OR ANY OF THEIR OFFICERS, DIRECTORS, EMPLOYEES, SHAREHOLDERS, AGENTS OR REPRESENTATIVES BE LIABLE TO THE OTHER PARTY, OR ANY OTHER PERSON OR ENTITY FOR ANY SPECIAL, INCIDENTAL, CONSEQUENTIAL, INDIRECT, EXEMPLARY, OR PUNITIVE DAMAGES OR LIABILITIES FOR ANY CAUSE WHATSOEVER ARISING OUT OF OR RELATING TO THIS AGREEMENT, INCLUDING ALL CHANGE ORDERS, CHANGE NOTICES, AND AMENDMENTS THERETO, WHETHER IN CONTRACT OR TORT OR BY WAY OF INDEMNITY OR OTHERWISE, INCLUDING A BREACH THEREOF OR INCLUDING DAMAGES OR LIABILITIES FOR LOST PROFIT, LOST REVENUE, LOSS OF USE, LOSS OF GOODWILL, LOSS OF REPUTATION, LOSS OF DATA, REGULATORY FINES, COSTS OF RECREATING LOST DATA, THE COST OF ANY SUBSTITUTE EQUIPMENT, SOFTWARE PROGRAM, OR DATA, REGARDLESS OF WHETHER THE POSSIBILITY OF SUCH DAMAGES OR LIABILITIES HAVE BEEN COMMUNICATED TO SUCH PARTY AND REGARDLESS OF WHETHER SUCH PARTY HAS OR GAINS KNOWLEDGE OF THE EXISTENCE OF SUCH DAMAGES OR LIABILITIES.

26.1.2 **MAXIMUM LIABILITY**. EXCEPT FOR (I) AS PROHIBITED BY LAW OR (III) CLAIMS ARISING UNDER SUBPARAGRAPH 20.2 (INTELLECTUAL PROPERTY INDEMNIFICATION), IN NO EVENT WILL EITHER PARTY'S LIABILITY FOR ANY DAMAGES TO THE OTHER, ANY OF ITS AFFILIATES, OR TO ANY THIRD PARTY REGARDLESS OF THE FORM OF ACTION, WHETHER BASED ON CONTRACT, TORT, NEGLIGENCE, STRICT LIABILITY, PRODUCTS LIABILITY OR OTHERWISE, EVER EXCEED THE FOLLOWING: THREE (3) TIMES THE AMOUNT IDENTIFIED ON EXHIBIT B (PRICING SCHEDULE) AS THE MAXIMUM AGREEMENT SUM ALLOCATED TO EACH MODULE FOR WHICH COUNTY HAS ISSUED A NOTICE TO PROCEED FOR ANY WORK UNDER SUBPARAGRAPH 4.2.1.

26.2 **Survival**

In addition to any terms and conditions of this Agreement that expressly survive expiration or termination of this Agreement by their terms, the following provisions shall survive the expiration or termination of this Agreement for any reason:

Paragraph 1.0 (Applicable Documents)

Paragraph 2.0 (Definitions)

Subparagraph 3.1.12 (Work Product)

Subparagraph 3.1.1.4 (Limitations)

Subparagraph 3.1.2 (Documentation)

Subparagraph 3.3 (Proprietary Rights)

Subparagraph 4.2.4 (Credits to County)

Subparagraph 5.6.3

Subparagraph 7.2 (No Payment for Services Provided Following Expiration/Termination of Agreement)

Subparagraph 7.10 (Record Retention and Inspection/Audit Settlement)

Subparagraph 8.12 (Remedies)

Subparagraph 8.13 (Disclaimer)

Subparagraph 10.6.2

Paragraph 11.0 (Confidentiality)

Paragraph 12.0 (Change to Agreement)

Subparagraph 13.3

Paragraph 14.0 (Assignment and Delegation)

Paragraph 15.0 (Termination)

Subparagraph 16.2

Paragraph 20.0 (Indemnification)

Paragraph 21.0 (General Provisions for All Insurance Coverage)

Paragraph 22.0 (Insurance Coverage)

Paragraph 23.0 (Dispute Resolution Procedure)

Subparagraph 24.12

Subparagraph 24.13 (Force Majeure)

Subparagraph 24.14 (Governing Law, Jurisdiction, and Venue)

Subparagraph 24.22 (Notices)

Subparagraph 24.27 (Validity)

Subparagraph 24.28 (Wavier)

Subparagraph 24.34 (Headings)

Subparagraph 26.1 (Limitation of Liability)

Subparagraph 26.2 (Survival)

IN WITNESS WHEREOF, the Board of Supervisors of the County of Los Angeles has caused this Agreement to be executed by the County's Chief Executive Officer and Contractor has caused this Agreement to be executed in its behalf by its duly authorized officer, the day, month, and year first above written.

COUNTY OF LOS ANGELES

By _____
Sachi A. Hamai
Chief Executive Officer

VENTIV TECHNOLOGY INC.

By _____
Signature

_____
Printed Name

_____
Title

APPROVED AS TO FORM:
Mary C. Wickham
County Counsel

By _____
Truc Luu Moore
Principal Deputy County Counsel

EXHIBIT A

STATEMENT OF WORK

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EXHIBIT A.8 – Program Background and Requirements

EXHIBIT A.9 – Deliverable Expectation Document

This Exhibit A (Statement of Work) (together with all exhibits hereto, "Statement of Work" or "SOW") is attached to and forms a part of that certain Agreement for Risk Management Information System and Related Services, dated as of the Effective Date (together with all exhibits, attachments, and schedules thereto, all as amended from time to time, the "Agreement"), between the County of Los Angeles ("County") and Ventiv Technology, Inc. ("Contractor"). Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

1.1 Organization Of The Statement Of Work (SOW)

The document is organized as follows:

1.1.1 **Introduction and Overview** that includes the project background, objectives, and scope as well as an overview of County desired timeframe for RMIS design, development, implementation, management, and operational support.

1.1.2 **Scope of Work** that includes the work, and related requirements that Contractor must perform for Phase 1 (Design/ Development/Implementation Phase), Phase 2 (Performance Verification Phase), and Phase 3 (Operational Phase).

1.1.3 **Deliverables Summary** that includes an overview of the Deliverables for Phase 1 (Design/Development/Implementation Phase), Phase 2 (Performance Verification Phase), and Phase 3 (Operational Phase).

1.2 Construction Of Terms

In construing the terms of this SOW, the following rules shall apply:

1.2.1 Singular nouns, and phrases incorporating them (e.g., referring to objects, persons, events, or otherwise), shall be construed to also include the plural except where reference to a single item is implied or necessary pursuant to the context of the word or phrase in question and except as otherwise expressly stated for particular defined terms set forth in the Agreement. Plural nouns, and phrases incorporating them, shall be construed to also include the singular except where reference to multiple items is implied or necessary pursuant to the context of the word or phrase in question and except as otherwise expressly stated for particular defined terms set forth in the Agreement.

1.2.2 Any use of the masculine gender shall be construed to include the feminine, and vice versa.

1.2.3 Examples provided by using words and phrases, such as "including," "include," "includes," or "e.g.," shall not be construed as limiting the term clarified thereby. For example, "including" shall be construed as "including, but not limited to."

1.2.4 References in this SOW to federal, State, County and/or other governmental laws, rules, regulations, ordinances, guidelines, directives, policies, and/or procedures shall mean such laws, rules, regulations, ordinances, guidelines, directives, policies, and/or procedures as amended from time-to-time.

1.2.5 Unless expressly stated otherwise, all approvals, consents, or determinations by or on behalf of County under the Agreement, will be in writing, and may be given or withheld in the sole discretion or judgment of the person or entity authorized to provide or make such approval, consent, or determination.

1.3 Introduction Overview

Section 1 of this SOW describes the general scope of work that Contractor shall perform for design, development, implementation, management, and operation of the RMIS. Contractor shall be responsible for the design, development, implementation, management, and operation of the RMIS, which shall meet the requirements described in this SOW and in the Agreement generally. Contractor shall perform, complete, and deliver all work, however denoted, as set forth in this SOW, or in any attached or referenced document, in full compliance with the Agreement.

Exhibit A.8 provides certain background on the RMIS project organization. The RMIS will provide a consolidated view of risk which will allow the County to make fact-based risk management decisions. RMIS will allow for smarter, faster and more creative operating efficiencies, enhanced reporting, monitoring, long-term quality decisions and analytical capabilities based on the requirements enclosed.

RMIS will consolidate liability, workers' compensation, and disability claim handling solutions as well as provide reporting and analytical solutions to assist in loss control, litigation management and other risk management functions.

1.4 Project Scope

The general scope of work to be performed during the Initial Term is covered in three (3) phases. There are four (4) modules in which the phases will be developed, as stipulated herein:

- Module 1 – Claims Management System; Risk Compliance Management System; E-billing; and Matter Management System
- Module 2 – Workers' Compensation System
- Module 3 – Disability Management System
- Module 4 – Loss Control and Prevention System

Module implementation may run concurrently, overlap, or stagger over one or a number of Phases. Additionally, County may issue notices to proceed for all or any part of any Phase of any module in a sequential manner or concurrently for one or more modules.

Unless expressly stated otherwise, Contractor shall provide all tasks Deliverables, goods, Services, and other work to successfully perform and complete all of the work set forth in this SOW upon County's issuance of a notice to proceed under Subparagraph 4.2.1 of the Agreement for such work. The project scope includes:

1.4.1 **Phase 1 (Design/Development/Implementation Phase)**

Phase 1 (Design/Development/Implementation Phase) includes all planning, design, development, testing, training, conversion, implementation, and acceptance work that are required to replace current Risk Management Systems with an integrated application and meeting the requirements set forth in Exhibit A.1 (Statement of Requirements) and Exhibit A.2 (System Interfaces) (including Exhibit A.2.1 thereto).

1.4.2 **Phase 2 (Performance Verification Phase)**

Phase 2 (Performance Verification Phase) follows the successful completion of Phase 1 (Design/Development/Implementation Phase), as determined by County's Project Director. During Phase 2 (Performance Verification Phase), Contractor and County will verify that RMIS performance meets all the business and technical requirements specified in the Agreement under full production load. All Deficiencies identified by either Contractor or County during Phase 1 (Design/Development/Implementation Phase) and Phase 2 (Performance Verification Phase) must be corrected, as determined by County's Project Director, prior to Final Acceptance of the RMIS by County. Phase 2 (Performance Verification Phase) also includes M&O Services and ongoing Customization and Enhancement of the Licensed Software as Optional Work under the Agreement (C&E Services).

1.4.3 **Phase 3 (Operational Phase)**

Phase 3 (Operational Phase) includes the following work:

1.4.3.1 **Continued Management and Operation (M&O) Services** that include continued project management and Project Office operations, Hosting Services and Support Services for the RMIS.

1.4.3.2 **Continued Customization and Enhancements (C&E) Services** that include continued provision of County requested Customizations and Enhancements of the Licensed Software (e.g., work associated with developing functional improvements of the RMIS and work associated with development of new application functionality and major enhancements of the RMIS as a result of changes in County/program requirements) through the process described in Subparagraph 4.5 (Optional Work) of the Agreement.

1.4.3.3 **Outgoing Transition Support** that provides for a smooth transition or transfer of the RMIS and County Data from

Contractor's Hosting Environment to a new environment of County or County-selected vendor under Subparagraph 15.7 (Termination Transition Services) of the Agreement.

1.4.4 **Option Terms**

The Option Terms, if elected by County in accordance with the Agreement, include the following Work:

1.4.4.1 Continued M&O Services that include continued project management and Project Office operations and Hosting Services and Support Services for the RMIS.

1.4.4.2 Continued C&E Services that include continued provision of County requested Customizations and Enhancements of the Licensed Software (e.g., work associated with developing functional improvements of the RMIS and work associated with development of new application functionality and major enhancements of the RMIS as a result of changes in County/program requirements) through the process described in Subparagraph 4.5 (Optional Work) of the Agreement

1.4.4.3 Outgoing Transition Support that provides for a smooth transition or transfer of the RMIS and County Data from Contractor's Hosting Environment to a new environment of County or County-selected vendor under Subparagraph 15.7 (Termination Transition Services) of the Agreement.

County, in its sole discretion, may terminate the Work related to Risk Management Systems and Risk Management Programs, at any time, pursuant to Paragraph 15 (Termination) of the Agreement. Termination of such work shall be at no additional cost to County. Contractor shall ensure that any such termination shall not adversely impact the project schedule, as determined by County.

1.5 **Project Timeline**

The timeframes established by County are as follows:

1.5.1 Phase 1- Design/Development/Implementation Phase: The Initial Term shall include up to a sixty (60) month period for the design, development and implementation of RMIS. If any module is completed earlier, the County may determine in its sole discretion to move to Phase 2 and Phase 3 for that module. If Production Use is achieved for any module before the sixty (60) month period, County may use the module in Production Use and pay for Support Services as provided for in Subparagraphs 4.3 (Support Services), 5.3 (Production Use), and 5.4 (Licensed Software Use), in each case, of the Agreement. If Contractor is not able to finish all work for Phase 1 in the sixty (60) month period (and the delay in completing such work is not due to County's failure to

issue a notice to proceed for any given module or otherwise a result of County's delay for which Contractor has delivered a notice of delay in accordance with Subparagraph 24.19 (Notice of Delays) of the Agreement, Phase 1 shall automatically be extended at no additional cost to County until its completion.

1.5.2 Phase 2 - Performance Verification Phase: Phase 2 shall be at least a six (6) month period, and may overlap with Phase 1 or 3, and follow the successful completion of Phase 1 (Design/Development/Implementation Phase).

1.5.3 Phase 3 – Operational Phase: Phase 3 shall consist of at least a fifty-four (54) month period, immediately following the completion of Phase 2 (Performance Verification Phase). The Initial Term of the Agreement shall automatically be extended at no additional cost to County in order for the Contractor to provide such fifty-four (54) months in Phase 3 (Operational Phase). Notwithstanding the foregoing, nothing herein shall be construed to require the Contractor to extend the Initial Term for any module of the Licensed Software for which County has not issued a notice to proceed under Subparagraph 4.2.1 of the Agreement for all Implementation Services with respect to such module prior to the end of the third (3rd) year after the Effective Date.

1.5.4 An additional three (3) two (2)-year optional Option Terms, for a maximum total of seventy-two (72) months; and six (6) month-to-month extensions exercised in accordance with Subparagraph 6.2 (Option Terms; Term) of the Agreement.

2.0 GENERAL REQUIREMENTS

2.1 General Requirements

This Paragraph 2.0 provides certain background on Contractor and County furnished items, place of performance, and the specified methods for managing and delivering the tasks, Deliverables, goods, Services and other work described in the SOW.

2.1.1 County Resources

County will provide the following:

2.1.1.1 County RMIS Oversight and RMIS Team will provide leadership and support for the RMIS project described in this SOW ("RMIS Project") to include monitor project progress against the County-approved Contractor's Project Schedule timelines and milestones, project costs, and project risk assessment. County RMIS Oversight and RMIS Team will help identify and solicit County resources, oversee periodic external project management audits, approve any plans related for transition to production and monitor that transition, and serve as the final escalation point for project issues.

2.1.1.2 **County Project Executive** has overall responsibility for County for the RMIS Project, including the authority to commit County resources in addressing RMIS Project needs and requirements. County Project Executive will communicate with County and executive leadership and stakeholders regarding program strategy, direction, and changes. County Project Executive will provide direction to County's Project Director

2.1.1.3 **County's Project Director** has the responsibilities described in Subparagraph 9.1 (County's Project Director) of the Agreement, and also:

2.1.1.3.1 Oversee the RMIS Project's day-to-day activities;

2.1.1.3.2 Monitor Contractor performance of the Agreement;

2.1.1.3.3 Coordinate activities between County staff on the County Project Team and Contractor staff on the Contractor Project Team on a regular basis;

2.1.1.3.4 Acceptance of all Deliverables and other work under Paragraph 5.0 (Acceptance) of the Agreement; and

2.1.1.3.5 Provide direction and serve as liaison to Contractor in areas relating to policy, information, and procedural requirements.

2.1.1.4 **County's Project Manager** has the responsibilities described in Subparagraph 9.2 (County's Project Manager) of the Agreement, and also receiving all documents, requests, reports, and information regarding this project. The County's Project Manager assists the County's Project Director with ensuring that tasks are defined and understood by the Contractor. The County's Project Manager will track and give the Contractor guidance and instructions to complete the Deliverables.

2.1.1.5 **County Staff on the County Project Team**, consisting the aforementioned staff, is responsible for certain project activities, as determined by County's Project Director, including working with Contractor staff, providing certain subject matter expertise and additional resources for workgroups, requirements validation, testing, and review of Deliverables and other work.

2.1.2 **Contractor Resources: Key Staff**

Contractor shall provide the following Contractor key staff, which shall be part of Contractor's project management team. All proposed staff must perform and render all Services within the continental United States:

2.1.2.1 **Contractor Project Executive** shall be a full-time employee of Contractor responsible for Contractor's overall performance of the Agreement and shall have the authority to commit resources of Contractor to address all RMIS Project needs and requirements.

2.1.2.2 **Contractor's Project Director** shall be a full-time employee of Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director. Contractor Project Director shall report directly to Contractor Project Executive. In addition to the responsibilities described in Subparagraph 10.1 (Contractor's Project Director) of the Agreement, Contractor's Project Director shall serve as the primary point-of-contact between County's Project Director and Contractor. Contractor's Project Director is responsible for the overall day-to-day management and coordination of the RMIS Project to ensure that all Deliverables and other requirements are completed successfully and that all Agreement dates are met.

2.1.2.3 **The Contractor's Project Manager** shall have the responsibilities, and shall meet the requirements, described in Subparagraph 10.2 (Contractor's Project Manager).

2.1.2.4 **The System Architect** shall be a full-time employee of Contractor and shall be available at any time, as requested by County's Project Director, including on-site at the Project Office or other location(s) approved by County's Project Director. The System Architect shall lead the RMIS design effort, reporting to Contractor's Project Director and working with Contractor team leads and County to analyze and resolve issues related to RMIS design. The System Architect shall have primary responsibility for optimizing the design of the RMIS, proactively addressing potential design challenges, and utilizing proven application development tools.

2.1.2.5 **The Technical Manager** shall be a full-time employee of Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director. The Technical Manager shall lead the management of all technical design, development, and implementation activities related to the RMIS functional design, monitor the development of the RMIS based on the design documentation, and serve as the technical liaison to County for managing, analyzing and resolving operational issues and technical concerns related to the RMIS (e.g., system performance) during the term of the Agreement. The Technical Manager shall oversee the procurement and integration of all hardware and software components of the RMIS.

2.1.2.6 **The Functional Manager** shall be a full-time employee of Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director. The Functional Manager shall oversee the process of RMIS functional requirements analysis, verification, and validation as it relates to RMIS rules and workflows. The Functional Manager shall work with the Technical Manager to ensure that the technical design and implementation of the RMIS meets all functional requirements.

2.1.2.7 **The Implementation Manager** shall be a full-time employee of Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director, during Phase 1 (Design/Development/Implementation Phase). The Implementation Manager shall manage RMIS implementation preparation, planning, and execution, including delivery of required training. The chief responsibility of the Implementation Manager is to ensure that all implementation Tasks of the RMIS Project proceed smoothly, creating minimal disruption to RMIS activities.

2.1.2.8 **The Conversion Manager** shall be a full-time employee of the Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director, during Phase 1 (Design/Development/Implementation Phase). The Conversion Manager shall manage the automated conversion of County Data for the RMIS and other legacy data to the RMIS methodology.

2.1.2.9 **The Project Controller** shall be a full-time employee of Contractor and shall be assigned full-time to the RMIS Project on-site at the Project Office or other location(s) approved by County's Project Director. The Project Controller shall provide fiscal management and contract administration for the Agreement, supervise, control, and coordinate the contractual obligations of the Contractor, plan the project schedule, perform project planning, and track task progress, resource assignments, and actual work (hours and cost) performed by individual resources.

2.1.2.10 **IT Security Officer** shall be a full time employee as part of the project management team who develops and implements Contractor's information technology ("IT") security applications, policies, standards and procedures pursuant to its internal guidelines and compatible with County intended to prevent the unauthorized use, release, modification, loss, or destruction of data, and to ensure the integrity and security of the Contractor's IT infrastructure and is responsible for managing, facilitating, and overseeing the Contractor's performance of security and privacy

related requirements, responsibilities, and activities, including, without limitation, incident response, execution of the Information Systems Security Plan, and compliance with Exhibit L (Information Security and Privacy Requirements) to the Agreement, including, without limitation, security audits as provided for in the Agreement.

2.2 Place of Performance

All work shall be performed at Contractor supplied locations (i.e., Primary Central Site, Backup Central Site, and Project Office), that are approved by County's Project Director. Work performed at County or non-County sites must be approved in advance by County's Project Director. Contractor may request County's Project Director approval to perform work at County-specified facilities during the term of the Agreement on such terms and conditions as determined by County's Project Director. Additionally, Contractor may be requested by County's Project Director to perform work at County-specified facilities during the term of the Agreement, and Contractor shall perform such work at the County-specified facilities in accordance with County's Project Director's request. In all cases, Contractor shall comply with all County requirements, including physical security requirements, for each County-specified facility that is used during the Agreement.

2.3 County Furnished Items

All County furnished items are provided by County only for the term of the Agreement and solely for the performance of the work required by the Agreement. County will provide, or cause to be provided, at no cost to Contractor, the following:

2.3.1 Technical support and maintenance for the Internet, including related County-owned network hardware;

2.3.2 Technical support and operations for the County- provided Local Office Site(s) infrastructure at various County locations, including the physical workstations, management of the desktop environment, the Local Office Site servers, and the Local Office Site network as determined and approved by County's Project Director; and

2.3.3 Any IT resources as determined necessary by County's Project Director.

2.4 Contractor Furnished Items

Unless expressly stated otherwise, Contractor shall provide all tasks, Deliverables, goods, Services and other work to perform and complete such work as is set forth in the Agreement, including this SOW. The purchase of all materials/equipment to provide the needed services is the responsibility of the Contractor. Contractor shall use materials and equipment that are safe for the environment and safe for use by its employees and County personnel.

2.5 Deliverable Acceptance Criteria (General)

In Subtask 1.1 (Project Initiation), Contractor shall develop Contractor's Project Schedule as part of Deliverable 1.1.1 (Project Control Document (PCD)) that defines the schedule of Deliverables, identifying any dependencies between Deliverables that require County approval of one or more prior Deliverables. Once this schedule is approved by County's Project Director, unless otherwise authorized in writing by County's Project Director, Deliverables must be approved by County's Project Director according to this schedule prior to Contractor beginning work on any subsequent Deliverables.

If Contractor begins work on the next scheduled Deliverable without receiving County's Project Director approval, Contractor does so at Contractor's sole risk, including County right to withhold payment pursuant to Subparagraph 7.3 (Holdbacks) of the Agreement. In general, County requires a minimum of ten (10) business days to review each Deliverable, with a corresponding ten (10) business days resolution period for Contractor to correct any Deficiencies regarding the Deliverable. However, Contractor acknowledges and agrees that some Deliverables may require a more extensive review and resolution.

Contractor shall identify such Deliverables and schedule Deliverable review/resolution periods accordingly in its proposed Contractor's Project Schedule. County reserves the right to increase the review period prior to its final approval of the proposed Contractor's Project Schedule. Prior to the initiation of any work on any Deliverable, Contractor shall provide County five (5) copies of a Deliverable Expectation Document (DED) in the form attached hereto as Exhibit A.9, developed in accordance with this SOW, no later than thirty (30) days before the scheduled start of any related task or subtask, with the exception of Deliverables due within the first ninety (90) days after the Effective Date.

Each DED submitted to County for its approval shall describe the contents of the Deliverable, including a table of contents, overview, objectives, scope, methodology, applicable standards, Deliverable requirements, format, proposed acceptance criteria, key dates, and staff resources required. The DED shall indicate whether a presentation will be part of the Deliverable review process. Prior to any Deliverable development, Contractor shall obtain County approval of the applicable DED. No Deliverable shall be accepted by County for review without an approved DED.

Contractor shall submit each Deliverable to County in one (1) or more hard cover 8 ½ by 11 inch three-ring binders, single sided sheets, 12 point Arial font, with separated and partitioned sections as required. Contractor shall submit one (1) original and six (6) copies of each Deliverable and provide an electronic copy in the Microsoft Office Suite in a County-specified version. County's right to approve all Deliverables and other work, as set forth in Paragraph 5.0 (Acceptance) of the Agreement, shall not be limited in any way by the contents of any DED approved by County.

3.0 SCOPE OF WORK

This Section 3 describes the primary work that the Contractor shall perform, which includes:

1. **Task 1 - Project Administration**
2. **Task 2 - Development Methodology and Technical Practices**
3. **Task 3 - Requirements Verification and Analysis**
4. **Task 4 - General Design**
5. **Task 5 - Technical Infrastructure Planning and Design**
6. **Task 6 - Functional Design**
7. **Task 7 – Licensed Software and Conversion Tools**
8. **Task 8 – Testing**
9. **Task 9 - Implementation Planning**
10. **Task 10 - Implementation Preparation**
11. **Task 11 - Implementation**
12. **Task 12 - Phase 2 (Performance Verification Phase)**
13. **Task 13 - Phase 3 (Operational Phase)**
14. **Task 14: - Performance Requirements Summary**
15. **Task 15: - Contract Discrepancy Report**
16. **Task 16: - Green Initiatives**

Contractor shall work collaboratively with key stakeholders, including Users, County and other external agencies whose systems will Interface with the RMIS. Contractor will update Deliverables, as needed, for each module on which it receives a notice to proceed.

3.1 TASK 1: PROJECT ADMINISTRATION

Contractor shall provide full project management, planning, monitoring, supervision, tracking, and control for all project activities during the term of the Agreement. Contractor shall employ project management standards and practices (e.g., Project Management Institute's (PMI) Project Management Body of Knowledge), including Integration Management, Scope Management, Time Management, Cost Management, Quality Management, Human Resource Management, Communications Management, Risk Management and Procurement Management, in the performance of all work.

3.1.1 **Subtask 1.1: Project Initiation**

Contractor shall perform the following work in this Subtask 1.1:

1. Deliver and obtain County approval for the PCD, including the initial Contractor's Project Schedule and Risk Management Plan, which shall include the initial identification of risks that may adversely impact or delay the delivery of the RMIS.

2. Prepare Incoming Orientation Plans to allow appropriate knowledge transfer between Risk Management Systems contractors and subject matter experts and RMIS subject matter experts, and Contractor.

3. Conduct a Project Initiation Completion Review with County.

Contractor shall deliver and present Deliverable 1.1.1, PCD to County at a meeting within thirty (30) days of the Effective Date of Board approval. Approval by County's Project Director of Deliverable 1.1.1, PCD must occur before any further work under the Agreement may continue. At County's Project Director's request, from time-to-time during the term of the Agreement, Contractor shall provide an updated PCD.

All work under the Agreement shall be described specifically by Contractor in the PCD. Contractor may automate the production of PCD components (e.g., Risk Management Plan) using software package(s) approved by County. Contractor shall provide these tools to County at no additional charge, regardless of the number of Users.

As part of Deliverable 1.1.1, PCD, Contractor shall include the initial version of Contractor's Project Schedule, developed in County-specified version of Microsoft Project (or such other project management software as approved in advance by County's Project Director), and the initial version of Risk Management Plan. In Contractor's Project Schedule, Contractor shall identify the time required to complete all tasks and subtasks and document the project's critical path. In the Risk Management Plan, Contractor shall document its approach to risk assessment, risk mitigation, and risk management for all work under the Agreement, including the overall methodology, the tools to be used, and the escalation process. Contractor's Project Schedule and Risk Management Plan shall be periodically updated by Contractor as specified in Subtask 1.2 (Project Planning).

Contractor shall have a Project Office that supports all activities, including project administration, testing, ad-hoc training, and demonstration activities. Contractor shall be fully responsible for maintaining the Project Office throughout the term of the Agreement. County requires the Project Office be located within Los Angeles County or within thirty (30) miles of the Kenneth Hahn Hall of Administration, 500 West Temple Street, Los Angeles, California 90012, unless otherwise approved by County's Project Director.

Contractor shall ensure that the Project Office will continue to comply with the terms and conditions established for its use through the term of the Agreement. Any change in Project Office site location shall require approval of County in the same manner as the initial approval.

Within ninety (90) days after the Effective Date, Contractor shall prepare Deliverable 1.1.2 (Incoming Orientation Plans) to provide appropriate knowledge transfer from current RMIS contractors and subject matter experts to Contractor regarding existing functionality and business processes.

County will review Deliverable 1.1.2 (Incoming Orientation Plans) with Contractor to verify its completeness. Contractor shall revise Deliverable 1.1.2 (Incoming Orientation Plans), as appropriate, following the joint review with County. Contractor shall incorporate all orientation activities into Contractor's Project Schedule. Prior to the completion of this Subtask 1.1, Contractor shall conduct a Project Initiation Completion Review with County, presenting to County evidence that all project initiation-related work has been completed. Contractor shall then prepare Deliverable 1.1.3 (Project Initiation Completion Report), including the agenda, minutes, and supporting documentation from the Project Initiation Completion Review in a County approved template in a County-specified version as directed by the County's Project Director.

3.1.1.1 Deliverable 1.1.1: Project Control Document (PCD) [KEY]

Contractor shall provide the PCD which shall include:

1. All work described in this SOW and elsewhere in the Agreement;

2. An approach to completing all work, including a work breakdown structure (WBS) with task and subtask descriptions, associated Deliverables, and resource requirements;

3. Contractor's Project Schedule, developed in County-specified version of Microsoft Project, which shall include:

   A. All Deliverables, including those referenced in Exhibit B (Pricing Schedule);

   B. All tasks, subtasks, Deliverables and other work;

   C. Associated dependencies among tasks, subtasks, Deliverables and other work;

   D. Resources assigned to each task, subtask, Deliverable and other work;

E. Start date and date of completion for each Deliverable, task, subtask, and other work;

F. Proposed County review period for each Deliverable; and

G. Proposed milestones;

4. Identification of all Contractor Key Staff, including those described in Section 2.1.2 (Contractor Resources);

5. Quality assurance (QA) methodology and practices;

6. A comprehensive Deficiency Management Plan, documenting the approach to Deficiency management, including methodology, recommended tool(s), and escalation process;

7. Approach to project communications;

8. A comprehensive Risk Management Plan, documenting the approach to risk analysis (e.g., the evaluation of risks and risk interactions to assess the range of possible project outcomes), risk mitigation (e.g., the identification of ways to minimize or eliminate project risks), and risk tracking/control (e.g., a method to ensure that all steps of the risk management process are being followed and, risks are being mitigated effectively). The plan shall have a clearly established process for problem escalation and shall be updated, as needed, through the term of the Agreement;

9. Initial identification of risks that may impact the timely delivery of the RMIS, probability and potential impact, recommended mitigation strategy, and impact of implementing any risk mitigation strategies;

10. Project staffing and resource management plan; and

11. An approach to configuration management and change management. Changes, in this context, refer to changing the functionality of a module, component, module or adding additional functionality (e.g., changes to the project scope). The approach shall ensure that the impacts and rationale for each change are analyzed and coordinated prior to being approved. The change management process may vary from item to item, as determined by County's Project Director.

3.1.1.2 Deliverable 1.1.2: Incoming Orientation Plans

Contractor shall provide an Incoming Orientation Plan for RMIS. The Incoming Orientation Plan for RMIS shall include:

1. Any information, data, and documentation required from RMIS contractors and subject matter experts;

2. Activities needed to ensure appropriate knowledge transfer from RMIS contractors and subject matter experts to Contractor, regarding existing functionality and business processes; and

3. Contractor roles and responsibilities for all activities.

3.1.1.3 Deliverable 1.1.3: Project Initiation Completion Report

Contractor shall provide the Project Initiation Completion Report that documents all work and its satisfactory completion during Subtask 1.1 (Project Initiation) to include:

1. Summary of Subtask 1.1 (Project Initiation) work, results, and satisfactory completion;

2. Lessons learned during Subtask 1.1 (Project Initiation); and

3. Agenda, minutes, and supporting documentation from the Project Initiation Completion Review.

3.1.2 Subtask 1.2: Project Planning

Contractor shall prepare: (I) M&O Services Plan, (II) C&E Services Plan, and (III) Conversion Plan, as follows:

I. Management and Operations (M&O) Services Plan:

Contractor shall provide M&O Services which shall include all tasks, Deliverables, goods, Services and other work necessary to manage, operate, and otherwise provide Hosting Services and Support Services for the RMIS to comply with the Specifications and shall be provided as required by Exhibits J (Service Level and Warranty Agreement) and (Maintenance and Support Agreement) to the Agreement during the term of the Agreement.

3.1.2.1 Deliverable 1.2.1: Management and Operations (M&O) Services Plan

Contractor shall provide to County Deliverable 1.2.1 (M&O Services Plan), which shall include documentation of the activities and processes for M&O Services. M&O Services shall include the following:

- **Central Sites Services**: Contractor shall provide services described in Exhibits J (Service Level and Warranty Agreement) and (Maintenance and Support Agreement) to the Agreement with respect to its primary and backup Hosting Environment sites (as

further defined in this SOW, the “Primary Central Site” and “Backup Central Site”), including management, operations, and otherwise providing Hosting Services and Support Services for RMIS. Management, operations, Hosting Service and Support Services shall include, as further described Exhibits J (Service Level and Warranty Agreement) and (Maintenance and Support Agreement) to the Agreement, monitoring of System and application activity, performing backups and restoration as needed, business continuity/disaster recovery, security and network monitoring, management, and alerting. Central Sites Services shall include Licensed Software and Hosting Environment Support Services. Contractor shall manage the electronic transfer of data (e.g., Interfaces, downloads, reports, extracts, etc.) between Contractor, and County and other agencies as required by the Agreement. Contractor shall coordinate with the County’s Project Manager and ISD regarding network and security management that are required for the RMIS as is required by the Agreement.

- **Project Management Goods and Services:**
    - **County Responsibility:**
        - Under the direction of the County’s Project Manager, Contractor shall provide full project management and control of project activities for the implementation phase of the project. Full project management shall include, but not be limited to:
            - Planning and direction;
            - Evaluation of results and status reporting;
            - Incorporation of the County’s business processes, security and technical requirements;
            - As applicable, incorporation of required software modifications; and
            - Management and tracking of all issues and their resolution
    - **Contractor Responsibility:**
        - Contractor shall provide project management goods and services, including project management, configuration management, integration management, security management, quality assurance management, change management, risk management, Deficiency management, business continuity/disaster recovery management, procurement and asset management, communications management, capacity management, and performance management.

Contractor shall provide a staffing plan that includes the organizational chart, the roster, the roles, the responsibilities, and the qualifications of Contractor staff involved in the ongoing management, operations, and support of the RMIS. The staffing plan shall demonstrate and ensure that the RMIS shall comply with the Specifications, including meeting and maintaining the performance requirements, and that Contractor shall comply with the Agreement. Contractor shall provide an updated 24-month staffing plan at the beginning of each quarter.

Contractor shall provide help desk services, problem fixes, change/enhancement implementation, backups, and business continuity/disaster recovery, and lifecycle phases required for each new RMIS Licensed Software Revision. Contractor shall provide configuration management, change management, and change notification processes to ensure that a complete and accurate version of the RMIS is maintained at all times.

- **Operational Support Communications Plan Goods and Services:** Contractor shall provide the Operational Support Communications Plan and related goods and services. The Operational Support Communications Plan shall include the procedures for the coordination and communication between Contractor, County, and external Interface entities shown in Exhibit A.2 (RMIS Interfaces). Contractor shall inform County of any issues that may affect the RMIS in complying with the Specifications, including meeting the performance requirements. The priority and severity of each issue shall determine what communication procedures shall be followed. Contractor shall include the various communication trees. Contractor shall maintain these communication trees and shall receive input from County regarding the County staff on the communication trees. The Operational Support Communications Plan shall include:

    1. Procedures for coordination and communication between Contractor staff, County staff, and external Interface entities; and

    2. Communication tree documentation for Contractor staff, County staff, and external Interface entities.

- **M&O Request goods and services:** Contractor shall provide M&O Request goods and services, including the implementation and support of all changes to M&O Services, as requested by County in M&O Requests.

- **C&E Proposal goods and services:** Contractor shall provide C&E Proposals and related goods and services, including the preparation, provision, and presentation of C&E Proposals in response to C&E Requests.

- **Change Management Plan goods and services:** Contractor shall provide a Change Management Plan and related goods and services. The Change Management Plan shall include change management procedures for tracking M&O Requests, C&E Requests, and C&E Proposals, describing the use of tools for tracking, monitoring progress, and reporting on activities and outcomes resulting from the completion of an M&O Request and an C&E Proposal. Contractor shall make these procedures available to County-specified staff, including an online handbook. Contractor shall provide timely and accurate updates to the Change Management Plan during the term of the Agreement and as required by County's Project Director.

  The Change Management Plan shall document the strategy and procedures for change management of the RMIS, including:

  1. Change management process flow and strategy;

  2. Management of the impact and rationale for each change;

  3. Process for M&O Request submission by County, implementation by Contractor, and approval by County of all work;

  4. Process for C&E Request submission by County;

  5. Process for C&E Proposal submission by Contractor, approval by County, implementation by Contractor, and approval by County of all work;

  6. Process for the management of RMIS Licensed Software Revisions to each Hosted Environment for testing and Production Use, including rollback to the County-specified previous version;

  7. Process for updates to RMIS Software; and

  8. Process for version control of RMIS Software.

- **Performance Management Plan goods and services:**

  Contractor shall provide a Performance Management Plan and related goods and services. The Performance Management Plan shall include a description of Contractor's approach for meeting the performance requirements, including availability and response times, set forth in the Agreement. Contractor shall update this Plan with

County on an annual basis or as otherwise requested by County's Project Director. Contractor shall document how Contractor shall conduct RMIS performance verification, the procedures for capturing, analyzing, and reporting results, and the acceptance criteria for ensuring that RMIS meets the performance criteria. Contractor shall document how and when results will be reported, how any Deficiencies will be identified, and the plan and procedures for corrective actions. The Performance Management Plan shall document how Contractor shall monitor, analyze, and manage the performance of the RMIS to meet the performance requirements.

The Performance Management Plan shall include:

1. Process and procedures used to monitor each performance requirement specified in the Agreement, including performance objectives, metrics, and indicators;

2. Tools and procedures for monitoring, analyzing, and reporting results;

3. Acceptance Criteria for each performance requirement;

4. Retention periods for system activity logs and test results;

5. Reporting of results including format and frequency;

6. Procedures to correct each Deficiency using a corrective action plan. Each corrective action plan shall include:

   A. Description of each Deficiency and its root cause;

   B. Business processes, RMIS functions, and/or Interfaces impacted;

   C. Description of all potential risks to the RMIS, including Implementation, and mitigation strategy for the RMIS;

   D. Corrective action plan, test scenarios, and implementation approach;

   E. Schedule for completion of each corrective action and resources required/assigned;

   F. Status of each corrective action; and

   G. Approval procedures that require County's Project Director's approval of each correction.

- **Business Continuity/Disaster Recovery Plan goods and services**: Agreement shall provide a Business Continuity/Disaster Recovery Plan and related goods and Services, including RMIS

Licensed Software backups, and backups to County Data for the RMIS. The Business Continuity/Disaster Recovery Plan shall be consistent with County business continuity/disaster recovery plans. Contractor shall provide all goods and Services, related to any and all issues pertaining to RMIS business continuity and disaster recovery. The range of goods and Services covers the spectrum from partial loss of function or data for a brief amount of time to a "worst-case" scenario in which a man-made or natural disaster or IT failure may result in the loss of the entire RMIS. Contractor shall categorize system disruptions by the severity of the event. The parameters of these events, identified in advance by Contractor, shall require approval of County's Project Director, and may be changed from time-to-time as required by County's Project Director. The categories of system disruptions include:

1. Minor Event that includes a minor or partial loss of RMIS functionality.

2. Significant Event that includes a significant loss of RMIS functionality.

3. Serious Event that includes an extended disruption of RMIS functionality due to a major disaster (e.g., earthquakes, fires, floods, hurricanes, and terrorist attacks).

The Business Continuity/Disaster Recovery Plan shall include a business impact analysis to determine the areas in the technical infrastructure that are required to ensure that all requirements in the Agreement shall be met. The Business Continuity/Disaster Recovery Plan shall describe each of the above system disruption events in accordance with the proposed RMIS technical infrastructure, document the results of the business impact analysis for each severity level, and determine the appropriate actions to be taken to ensure restoration and/or continuity of services in accordance with the Agreement. This Business Continuity/Disaster Recovery Plan shall define and describe the procedures required to ensure that the RMIS, including Primary Central Site, Backup Central Site, and Project Office, shall be able to recover from any disruption in service regardless of the level of severity.

The Business Continuity/Disaster Recovery Plan shall describe the monitoring, testing, and plan revision processes used to verify that the RMIS, including Primary Central Site, Backup Central Site, and Project Office, continue to comply with the Specifications, including meeting the requirements in the Agreement for business continuity operations and disaster recovery.

The Business Continuity/Disaster Recovery Plan shall serve as a master plan for responding to system outages, ensuring continuity of

business operations, and recovery from a disaster. In this Business Continuity/Disaster Recovery Plan, Contractor shall include:

1. Overview of the technical infrastructure and how it relates to County business continuity/disaster recovery plans and operations.

2. Business impact analysis of the RMIS functionality and the County Data for the RMIS that identifies and prioritizes the critical RMIS systems and components.

3. Data backup/recovery procedures for backing up, retrieving, and restoring exact copies of most current County Data for the RMIS. Contractor shall document the procedures for ensuring physical safety of media upon which the RMIS, County Data for the RMIS are backed up. Contractor shall document its approach for the secure storage of all backup media, both on-site and off-site, including the proposed response time for recovery of the media from off-site storage.

4. RMIS Licensed Software backup/recovery procedures for backing up, retrieving, and restoring RMIS Licensed Software. Contractor shall document its approach for the backup and recovery of the RMIS Licensed Software, both on-site and off-site, including the proposed response time for recovery.

5. Emergency mode of operations that provides the procedures to enable business continuity, protect the security of electronic IT information during and immediately after an emergency, and recover from the emergency mode of operation with minimal impact on Users.

6. Command and control processes and procedures that delineate specific roles and responsibilities, communication and actions that Contractor system administration staff must follow in an emergency.

7. Procedures for performing business continuity/disaster recovery testing during Subtask 9.2 (Integration and System Testing), during Subtask 9.3 (User Acceptance Testing), during Task 12 (Implementation), during Task 14 (Phase 2 (Performance Verification Phase)), and semi-annually throughout Task 15 (Phase 3 (Operational Phase)). Each test shall continue until all test results have been approved by County's Project Director. Each test shall include:

   A. Coordination from the Project Office;

B. Automated switch-over to the Backup Central Site to meet performance requirements under full load in the Hosted Environment for Production Use;

C. Interfaces to all external systems;

D. Test results reports; and

E. Updates to the Business Continuity/Disaster Recovery Plan.

8. Workforce contingency training plan that describes the training and preparation of designated workforce members regarding the enactment of the Business Continuity/Disaster Recovery Plan.

9. Procedures to replace data center facilities if required by the nature of the disaster or emergency.

10. Exercise log that documents the calendar day(s) when the Business Continuity/Disaster Recovery Plan is tested, what the nature of the test(s) are, any problems identified during each test, and corrective actions to be taken. The results of each test shall require approval by County's Project Director.

11. Revision history that documents any changes made to the Plan, the date and details of the changes, and the parties responsible for initiating and approving the changes.

Contractor shall maintain a backup of the RMIS Licensed Software, County Data for the RMIS as set forth in the Agreement. Contractor shall complete a full backup of the RMIS Licensed Software, County Data for the RMIS that reflects the RMIS configuration and data at the completion of the week's processing cycle (e.g., Sunday). Contractor shall provide a daily backup of the County Data for the RMIS at the end of day processing Monday through Saturday.

Contractor shall verify that all backups are complete, accurate, and functional.

- **Project Reporting Plan goods and services:** Contractor shall provide a Project Reporting Plan and related goods and services. The Project Reporting Plan shall include a description of Contractor's approach to all project reporting, including meetings, presentations, and reports provided to County on a periodic basis. Contractor shall describe the structure and/or format of any periodic meetings, presentations, and reports provided to County. The format of these meetings, presentations, and reports shall require approval by County's Project Director, and shall change from time-to-time during the term of the Agreement as determined by County's Project Director. The Project Reporting Plan shall include:

1. Bi-weekly and monthly reporting for ongoing project administration, including:

    A. Central Sites Services status summary;

    B. Security Management services summary that includes a description of each security incident, including any breach, any attack, or the introduction of any Disabling Device, that occurred during the reporting period;

    C. RMIS Licensed Software management summary, including an overview of each Revision to RMIS Licensed Software;

    D. RMIS Helpdesk activity summary, including an overview of Contractor responses to all requests by County -specified Users during the previous reporting period, disposition of each request, and any open issues;

    E. Summary of Deficiencies identified by Contractor or County; and

    F. Summary of performance verification and the Specifications compliance status to include:

        i. RMIS performance target and actual performance;

        ii. Performance of the RMIS during the previous reporting period;

        iii. RMIS performance compliance status; and

        iv. For each Deficiency, include:

            a. Description of each Deficiency and its root cause;

            b. Business processes, RMIS functions, and/or Interfaces impacted;

            c. Description of all potential risks to the RMIS, including Implementation, and mitigation strategy for the RMIS;

            d. Corrective action plan, test scenarios, and implementation approach;

            e. Schedule for completion of each corrective action and resources required/assigned;

            f. Status of each corrective action;

            g. Date of completion of each correction; and

h. Date of County's Project Director's approval of each correction.

2. Monthly reporting for M&O Requests, including:

   A. Number of M&O Requests by type as specified by County's Project Director;

   B. Number of active M&O Requests (by current month, year);

   C. Number of completed M&O Requests (by current month, year);

   D. Describe deviations, including schedule deviations, related to each M&O Request; and

   E. Identified issues, proposed solutions, and status.

3. Monthly reporting for C&E Requests and C&E Proposals, including:

   A. Number of C&E Requests by type as specified by County's Project Director;

   B. Number of C&E Proposals by type as specified by County's Project Director;

   C. Number of active C&E Requests (by current month and year);

   D. Number of active C&E Proposals (by current month and year);

   E. Number of completed C&E Proposals (by current month, year);

   F. Describe deviations, including schedule deviations, related to each C&E Proposal; and

   G. Identified issues, proposed solutions, and status.

4. Semi-annual reporting for business continuity/disaster recovery testing, including test results.

5. Annual reporting in compliance with the County Fiscal Manual. An annual audit shall cover all aspects, including controls and operations, of the RMIS. Contractor shall address and remedy, as determined by County's Project Director, any issues and/or risks identified in the annual audit report and provide any necessary follow-up audit reports, as determined by County's Project Director. County's Project Director may accept audit report at sole discretion either: 1) verbal, 2) physical, or 3) documented.

6. Monthly reporting of requirements metrics, including the number of requirements added, deleted, modified and outstanding during the particular month and the total number of all requirements in existence at the end of the reporting month.

7. Monthly reporting of product quality metrics, including Pareto analysis, error density, and average age of outstanding errors.

8. Quarterly reporting of system size, and performance and usage instrumentation, including database size and County Data for the RMIS analysis, as determined by County's Project Director.

II. Customizations and Enhancements (C&E) Services Plan:

Contractor shall provide to County Deliverable 1.2.2 (C&E Services Plan), which shall include a description of the activities and processes for C&E Services as Optional Work under the Agreement. Contractor shall provide C&E Services which shall include all goods and services to complete Licensed Software Customizations and/or Enhancements to be provided as a part of Phase 1, as well as may be requested by County's Project Director and set forth in County-approved and County-prioritized C&E Proposals during Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase).

3.1.2.2 Deliverable 1.2.2: Customizations and Enhancements (C&E) Services Plan

C&E shall include the following:

1. Customizations and Enhancements to the Licensed Software required during Phase 1 in order to meet the County requirements specified in Exhibit A.1 (System Requirements);

2. Enhancements to, additions to, deletions from, and/or other modifications of RMIS Licensed Software components, such as changes to the current RMIS outputs or processes, new or modified reports, new or modified screens;

3. Customizations and/or enhancements to RMIS Licensed Software workflows, attribute tables, workflow/process flows, logical data model, physical data model, and data dictionary; and

4. Development of additional Interfaces with RMIS.

Contractor shall provide a staffing plan assigned to this SOW that includes the organizational chart, the roster, the roles, the responsibilities, and the qualifications of Contractor staff involved in providing C&E Services. Contractor shall provide an updated staffing plan at the beginning of each quarter. Contractor shall provide all software, and any other goods and services to perform C&E Services and complete C&E.

Contractor shall evaluate each C&E Request from County during Phases 2 and 3 and timely submit to County an C&E Proposal. Contractor shall confirm each functional and technical requirement in each C&E Request, including an impact analysis of the proposed change on the current RMIS.

Contractor may propose to bundle one or more C&E Requests into a single C&E Proposal with the prior approval of County's Project Director. Contractor shall prepare and timely submit C&E Proposals to County. Each C&E Proposal shall include:

1. Description of each C&E and objectives and outcomes;

2. Impact analysis of each C&E on the RMIS, including assessment of the complexity, and impact on operations, security, programs, screens, edits, error messages, online/batch processing, Interfaces, performance, and User training;

3. Maximum, fixed price or not-to-exceed price, as applicable, for the C&E Proposal; and

4. Work plan for the C&E Proposal, including:

    A. Schedule;

    B. Tasks and deliverables, including;

        i. Requirements verification document;

        ii. Design document;

        iii. Development activities;

        iv. Test plan and reports; and

        v. Production certification;

    C. Staff resources by name for each task/deliverable; and

    D. Estimated hours by staff resource for each task/deliverable.

All C&E Proposals require County's Project Director's approval and shall be prioritized by County's Project Director. County's Project Director must approve each C&E Proposal and, if applicable, the parties must enter into Change Order pursuant to the Agreement prior to Contractor commencing any work to provide the specified C&E. All C&E Proposals shall be prioritized by County's Project Director, and Contractor shall participate in C&E Proposal prioritization meetings with County. Contractor shall complete each C&E within the original schedule contained in the C&E Proposal.

County's Project Director may reasonably require an expedited completion time depending on the urgency of a specified C&E.

Contractor shall develop and implement each C&E in a C&E Proposal in accordance with the RMIS System Development Lifecycle (SDLC) used in Phase 1 (Design/Development/Implementation Phase), including:

1. Configuration change package that documents the changes to RMIS Licensed Software, including requirements, design specifications, technical infrastructure, and application, which shall result from the specified C&E; and

2. Test plan.

Contractor shall develop functional/technical design specifications for each C&E in an C&E Proposal based on the verified requirements and shall develop, code, test, and validate each C&E. Contractor shall also maintain existing, and incorporate new, County -developed test scenarios.

Contractor shall provide the following after completing all activities involved in modifying and/or enhancing the RMIS Licensed Software in accordance with each C&E Proposal:

1. A written summary of the C&E Proposal and related activities;

2. A description of any modifications and/or enhancements to the RMIS Licensed Software, including requirements, design specifications, technical infrastructure, and application;

3. Any related test plans, test execution and a final report on test results;

4. RMIS Documentation affected by the C&E, using a method that clearly identifies the C&E to the Documentation and the date of the change;

5. Updated Documentation if applicable; and

6. Updated RMIS Training Materials and RMIS Training Plans.

Contractor shall apply its SDLC processes, followed during Phase 1 (Design/Development/Implementation Phase), to implement County-approved C&E Proposals during Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase). For each County-approved C&E Proposal, Contractor shall:

1. Participate in C&E Proposal prioritization meetings with County;

2. Verify County functional and technical requirements for each C&E in such C&E Proposal, including an impact analysis of the proposed change on the current RMIS Licensed Software implemented design and use;

3. Develop functional/technical design specifications for each C&E in such C&E Proposal based on the verified requirements;

4. Develop, code, test, and validate each C&E in such C&E Proposal;

5. Update all affected documentation, if applicable; and

6. Implement each successfully tested and County -approved C&E in such C&E Proposal into Production Use, as determined by County's Project Director.

III. Conversion Plan:

Contractor shall provide Deliverable 1.2.3 (Conversion Plan) that includes a Conversion Plan for the RMIS. The Conversion Plan shall include a description of the strategy for automated conversion of County Data for the RMIS and other legacy data into the RMIS in accordance with this SOW, which shall include the development, testing and validation of conversion software programs/tools in Task 7 (Licensed Software and Conversion Tools) and Task 8 (Testing). The conversion strategy shall facilitate the full transition of all County Data for the RMIS and other legacy data into the RMIS and shall optimize the performance of the RMIS. Contractor shall describe how data will be converted, and/or transferred to the satisfaction, and as directed by County's Project Director.

3.1.2.3 Deliverable 1.2.3: Conversion Plan

Contractor shall provide a Conversion Plan for the RMIS in accordance with Subtask 1.2 (Project Planning) and this SOW.

The Conversion Plan for the RMIS shall include:

1. Conversion strategy that provides full accessibility of County Data for the RMIS and other legacy data to Users while meeting the RMIS performance requirements;

2. Development and testing of conversion software programs/tools; and

3. Transition of all County Data for the RMIS and other legacy data to the RMIS in a manner that minimizes disruption of services.

3.1.3 **Subtask 1.3: Ongoing Project Administration**

Contractor shall perform ongoing project administration during the term of the Agreement, which shall include:

1. Manage all Contractor staff, including Subcontractor staff, assigned to the project;

2. Coordinate with other County departments, or external agencies, as appropriate;

3. Manage issues raised by County and documented in bi-weekly status reports;

4. Manage risks as described by the Risk Management Plan;

5. Provide planning and direction in accordance with the County approved PCD, ensuring that proper project management controls exist and are in use;

6. Provide change management, following the methodology documented in the Change Management Plan;

7. Provide routine and realistic assessments of progress as targeted in Contractor's Project Schedule;

8. Implement quality assurance measures that allow the delivery of high quality, effective Deliverables to County;

9. Manage all Contractor -supplied facilities directly related to the project which include the Central Sites;

10. Participate in the Deliverable review/resolution process for all Deliverables;

11. Provide updated copies of the PCD, including Contractor's Project Schedule and Risk Management Plan, which incorporates only County -approved variances from the current County -approved PCD; and

12. Provide ongoing risk management that includes input from all Contractor Key Staff.

Contractor Project Director shall submit bi-weekly status reports in a County -specified format to County's Project Director throughout the term of the Agreement. The first bi-weekly status report shall be due to County's Project Director fourteen (14) days after the Effective Date, with subsequent reports due every other Tuesday thereafter for the term of the Agreement. Contractor shall compare actual progress for the preceding bi-weekly period with current County-approved Contractor's Project Schedule and

discuss any variances and work scheduled for the following period. In each bi-weekly status report, Contractor shall include:

1. Contractor Project Director Name;
2. Contractor Name;
3. Reporting period start and stop dates;
4. Date of report;
5. Highlights of the reporting period;
6. Tasks, subtasks and other work completed during the reporting period which were not scheduled;
7. Tasks, subtasks, and other work completed during the reporting period which were scheduled;
8. Tasks, subtasks, and other work started during the reporting period;
9. Tasks, subtasks, and other work in progress during the reporting period;
10. Tasks, subtasks, and other work scheduled for completion during the reporting period which were not completed;
11. Activities for the next reporting period;
12. Issues identified during that reporting period;
13. Issues resolved during that reporting period;
14. Corrections to the prior bi-weekly status report;
15. Meetings scheduled for the next reporting period;
16. Updated risk summary report based on the Risk Management Plan; and
17. Any other items requested by County's Project Director.

Contractor's Project Director shall attend bi-weekly status meetings with County's Project Director to review any issues, the status of Contractor's Project Schedule, and the status of the Risk Management Plan and any RMIS-related risks. Contractor shall deliver an updated PCD in County-specified version of Microsoft Project format and include an indication of any variance from the current County -approved Contractor's Project Schedule affecting the project's schedule, resources, or impacting the project's critical

path. All variances shall be presented to County's Project Director for approval at the bi-weekly status meeting or as directed by County's Project Director. Contractor shall send an updated copy of the PCD incorporating only County -approved variances to County's Project Director for approval no later than twenty-four (24) hours prior to any subsequent bi-weekly status meeting.

During Phase 3 (Operational Phase), County's Project Director may from time-to-time reasonably change the frequency of such status meetings and status reports.

3.1.3.1 Deliverable 1.3.1: Ongoing Project Administration

Contractor shall provide ongoing project administration to include:

1. RMIS bi-weekly status reports; and

2. Updates to the PCD, including Contractor's Project Schedule and Risk Management Plan.

3.2 TASK 2: DEVELOPMENT METHODOLOGY AND TECHNICAL PRACTICES:

Contractor shall describe the development, methodology and industry best practices to be implemented/utilized in the design, development, implementation, and operation of the RMIS ("SDLC methodology"). Contractor shall provide its methodology and tools for both design time and run time governance and management of any resulting RMIS processes, policies, procedures, and services. Contractor shall perform the following work in this Task 2:

3.2.1 Subtask 2.1: Orientation to Project System Development Methodology, Tools, and Technical Practices

Contractor shall orient the Project Team on its SDLC methodology. During this orientation, Contractor will work with County to establish the roles, responsibilities, and expectations for the Project Team.

Contractor shall describe the basic technical practices that will be used throughout the project, provide familiarization to the specific tools to be used to support these practices, and orient the Project Team on the procedures based on these tools. Contractor shall specifically describe its approach to configuration management.

3.2.1.1 Deliverable 2.1.1: System Development Lifecycle Orientation and Materials

Contractor shall conduct orientation for the Project Team. Contractor shall provide documentation of the orientation sessions (e.g., attendance sheet).

Contractor shall provide County with all orientation materials that include:

1. All orientation material for the SDLC methodology;

2. All user documentation for the SDLC methodology; and

3. Documentation on technical management practices (to include document management, and configuration/change management), encompassing procedural materials (i.e., books, checklists) to ensure compliance by the Project Team in following these practices, and how security and privacy are addressed throughout the SDLC.

3.3 TASK 3: REQUIREMENTS VERIFICATION AND ANALYSIS:

Contractor shall perform the following work during this Task 3:

1. Plan Task 3 with County and other stakeholders; and

2. Analyze and verify all RMIS functional, technical, and training requirements.

3.3.1 Subtask 3.1: Planning for Requirements Verification

Contractor, working in conjunction with County designated stakeholders, shall plan the schedule for the activities in Task 3 (Requirements Verification and Analysis). The planning shall include the development of schedules and locations for the appropriate analysis and meetings with County and others approved by County, as well as identification of the key participants for each meeting.

3.3.1.1 Deliverable 3.1.1: Requirements Verification Schedule

Contractor shall provide the Requirements Verification Schedule that describes the proposed number of meetings, names of anticipated participants, proposed agenda(s), and updates to Contractor's Project Schedule. The updates to Contractor's Project Schedule will include the detailed activities, schedule, and resources required for completing Task 3 (Requirements Verification and Analysis).

3.3.2 Subtask 3.2: Analyze and Verify the RMIS Requirements

Contractor shall conduct a thorough verification of all functional, technical, and training requirements. Contractor shall validate all functional, technical, and training requirements and verify that all requirements have been identified. As a result of this subtask, Contractor shall establish a complete set of RMIS baseline functional, technical, and training requirements that will serve as the basis for RMIS design and development. Contractor shall accomplish this by completing the following steps:

1. Reviewing the resultant Agreement with Exhibit A.1 (System Requirements) and Exhibit A.2 (System Interfaces) (together with Exhibit A.2.1 thereto);

2. Conducting any indicated clarification sessions with County staff and County-specified key Users of the RMIS to ensure a common understanding of the requirements; and

3. Requesting additional information, as appropriate, to ensure a thorough understanding of the requirements.

Contractor shall record all functional, technical, and training requirements in the requirements traceability and verification tool. Contractor shall ensure that:

1. Additional documentation, such as clarifications, details, and/or examples that help more thoroughly define a requirement, shall be attached to the appropriate requirement(s); and

2. All Requirements Traceability Matrix links between each unique functional, technical, and training requirement and other related functional, technical, and training requirements, including Exhibit A.1 (System Requirements) and Exhibit A.2 (System Interfaces) (together with Exhibit A.2.1 thereto), documents (e.g., clarifications or examples), or other Deliverables.

Contractor shall prepare Deliverable 3.2.1 (System Requirements Document (SRD)), summarizing Contractor analysis and verification of the functional, technical, and training requirements, including any impacts to the proposed RMIS design concept and its related components prior to initiating design. This document shall serve as the foundation for future design and development.

Contractor shall prepare Deliverable 3.2.2 (Requirements Traceability Matrix and Report) that includes any unresolved traceability issues. Deliverable 3.2.2 (Requirements Traceability Matrix and Report) shall be used to ensure that all technical requirements can be clearly traced to the business or functional requirements that they must support. Contractor shall use County business processes, workflows, terminology and nomenclature wherever possible. The Requirements Traceability Matrix and Report can also be used to ensure that all proposed RMIS business logic can be traced to the supporting business need or County objective. This matrix will be used as a quality assurance tool throughout the RMIS design and development process and shall be updated by Contractor as needed for subsequent activities.

3.3.2.1 Deliverable 3.2.1: System Requirements Document (SRD)

Contractor shall provide a SRD that shall document the complete set of verified functional, technical, and training requirements for

the RMIS, describing in detail what the RMIS must do and other attributes the RMIS must have in order to provide and support all services.

3.3.2.2 Deliverable 3.2.2: Requirements Traceability Matrix and Report [KEY]

Contractor shall provide a Requirements Traceability Matrix and Report to establish that all links for each functional, technical, and training requirement, as set forth in Exhibit A.1 (System Requirements) and Exhibit A.2 (System Interfaces) (together with Exhibit A.2.1 thereto), to other supporting requirements, including Exhibit A.1 (System Requirements) and Exhibit A.2 (System Interfaces) (together with Exhibit A.2.1 thereto), documents (e.g., clarifications or examples), or other Deliverables, have been successfully documented. Contractor shall also indicate any unresolved traceability issues.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, and Conversion Plan.

3.4 TASK 4: GENERAL DESIGN

The General Design shall describe the features and functions of the RMIS, outlining RMIS behavior as seen by an external observer, and containing the technical information and data needed for the design. Contractor shall describe the following RMIS architectures based on Deliverable 3.2.1 SRD: functional, application, and data. Contractor shall document these architectures in Deliverable 4 (General Design Document) that:

1. Ensures that all RMIS features and functions are correctly understood before moving into the RMIS detailed design tasks;

2. State any assumptions, limitations, and constraints used in formulating the RMIS architectures;

3. Clearly establishes traceability for each architectural component to requirements as documented in Deliverable 3.2.1 SRD; and

4. Clearly and unambiguously provides all the information necessary for the detailed design of the Licensed Software, Customizations and Enhancements to be delivered during Phase 1, Interfaces to be delivered during Phase 1, and technical infrastructure.

The General Design Document shall include specific information about each RMIS architectural component to include:

1. Functional architecture: a high-level description of the functionality and capabilities of the RMIS;

2. Application architecture: a high-level description of the organization of the application into service components, Interface management, and security processing; and

3. Data architecture: a high-level description of the logical design, structure, and implementation of the data needed for the RMIS functionality and operations.

Contractor will participate with County at a meeting in a review of the General Design Document to obtain concurrence between Contractor and County on the contents of the final General Design Document before proceeding to Task 5 (Technical Infrastructure Planning and Design) and Task 6 (Functional Design).

3.4.1.1 Deliverable 4.1.1: General Design Document [KEY]

Contractor shall provide a General Design Document to include:

1. **Overview:** An overview of the proposed RMIS general design;

2. **Architectural Component Descriptions:** A description of the RMIS in terms of its architectural components, highlighting the most important features and capabilities of each, to include: functional architecture, application architecture, and data architecture;

3. **General Constraints, Limitations, and Assumptions:** Any constraints or limitations discovered or assumptions made in specifying the RMIS general design. In its design of the RMIS, Contractor shall utilize existing business processes and workflows, terminology and nomenclature, and datasets, in order to mitigate the impact on Users;

4. **Security Design:** A discussion of the overall RMIS security design in terms of how it is implemented within each architectural component; demonstrate approach to maintain data isolation on shared architectures within the fully managed environment;

5. **Communication Interfaces:** A description of how the RMIS Licensed Software will communicate within itself as an integrated application among and between the Primary Central Site, Backup Central Site, and with other applications, including County User environments, and email;

6. **External Interfaces; Customizations and Enhancements:** A description of Contractor Interface design strategy for the required Interfaces to external systems to be delivered under Phase 1; as well as a description of design strategy for Customizations and Enhancements to be delivered under Phase 1;

7. **User Interface(s):** A description of Contractor user interface design strategy, describing compliance with related RMIS functional, technical, and training requirements and usability features;

8. **Performance:** A discussion of design considerations that may impact RMIS performance, to include availability, response time, throughput, data volume, problem complexity, maximum number of concurrent Users, and peak load; and

9. **Additional Design Considerations:** A description of any other characteristics of the RMIS design that were not covered in the prior sections**.**

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, and Conversion Plan.

3.5 TASK 5: TECHNICAL INFRASTRUCTURE PLANNING AND DESIGN

The technical infrastructure shall be designed and sized based on County requirements. The RMIS shall be fully managed at the Primary Central Site and Backup Central Site, accessed via a secure browser-based interface, and shall meet the performance requirements as set forth in the Agreement.

Contractor shall perform the following work in this Task 5:

1. Develop the Information Systems Security Plan that describes how security will be implemented and administered in accordance with the specifications in the SRD and the General Design Document;

2. Develop the Network Design Plan that describes how the RMIS network design will interface and interact with County, performance issues, and how the design will support the RMIS requirements for business continuity and disaster recovery; and

3. Update the Business Continuity/Disaster Recovery Plan that is consistent with County business continuity plans.

3.5.1 Subtask 5.1: Design Technical Infrastructure.

Contractor shall describe all the physical locations of the Central Sites, which includes how each is incorporated into the overall RMIS topology.

Contractor shall describe the five (5) main Hosted Environments that shall be used throughout the term of the Agreement. Contractor shall demonstrate how the proposed RMIS technical infrastructure design will meet all the performance requirements. Contractor shall document its technical design of the five (5) main RMIS Hosted Environments to be used for the RMIS, including a description of the changes from one Hosted

Environment to another. The five (5) main RMIS Hosted Environments shall include:

1. **Test** – a Hosted Environment robust enough to support multiple tests simultaneously. The Hosted Environment for testing shall be comprised of multiple sub-environments, including the ability to change the system date by sub-environment and parallel test environments for the sole use of County for the testing of all modifications and enhancements.

2. **Staging** – a Hosted Environment that is an intermediate platform used to move RMIS Licensed Software from the Hosted Environment for testing to the Hosted Environment for Production Use.

3. **Production** – the Hosted Environment for Production Use of the fully tested and integrated RMIS accessible by Users.

4. **Reporting** – a copy of the production database to be used for standard and ad hoc reporting.

5. **Training** – a separate Hosted Environment to be used to train Users.

Contractor shall design the test and training Hosted Environments, so that they are easily configurable for any special processing needs such as simulation of conditions in the Hosted Environment for Production Use, inclusion of special tools for testing or training, or the integration of new technologies for planning and analysis purposes.

Contractor shall document how its design for the RMIS technical infrastructure: (i) shall meet the Specifications, including all performance requirements, at the commencement of RMIS implementation during Phase 1 (Design/Development/Implementation Phase); (ii) shall be verified during Phase 2 (Performance Verification Phase); and (iii) shall be maintained throughout Phase 3 (Operational Phase), including any modifications or enhancements made to the RMIS.

Exhibit A.5 (Minimum System Requirements) sets forth the minimum hardware and operating software that are Compatible (as defined in Exhibit J (Service Level and Warranty Agreement) to the Agreement) with the Licensed Software. Contractor shall advise County as to the configuration of any such hardware and operating software required to support the RMIS.

3.5.1.1 Deliverable 5.1.1: Technical Infrastructure Design Document [KEY]

Contractor shall provide a Technical Infrastructure Design Document to include:

1. An overall description of the RMIS topology;

2. Specific topology for each RMIS Hosted Environment, Interface, and physical location;

3. RMIS maintenance strategy;

4. Strategy for ensuring that the RMIS shall continue to meet scalability and growth demands throughout the term of the Agreement; and

5. System administration and management strategy.

3.5.2 Subtask 5.2: Facility Management Plan

Contractor shall establish and manage the following facilities:

1. Primary Central Site and Backup Central Site that host the RMIS technical infrastructure, RMIS Licensed Software, and County Data for the RMIS, and support RMIS system administration and management operations.

Contractor shall prepare Deliverable 5.2 (Facility Management Plan) that describes the overall physical facility requirements for the Primary Central Site, and Backup Central Site. Deliverable 5.2 (Facility Management Plan) shall include:

1. Space planning requirements;

2. Physical security requirements;

3. Access control plans and procedures;

4. Data security plans and procedures; and

5. Physical requirements for business continuity and disaster recovery. Demonstrate systems architectural "fail-over" capabilities and configuration in terms of "active / active", "active / passive", or otherwise.

County reserves the right to visit any Contractor-operated site with twenty-four (24) hour notice to Contractor at any time during the term of the Agreement. All sites shall continue to comply with the specifications documented in Deliverable 5.2 (Facility Management Plan) throughout the term of the Agreement. Any change in site location shall require prior approval of County's Project Director. Contractor shall provide twenty-four (24) hour physical security for all Facilities, including video surveillance, restrictions on visitor access and control, secure loading dock, and document shredding.

3.5.2.1 Deliverable 5.2.1: Facility Management Plan

Contractor shall provide the Facility Management Plan that describes both general and site-specific requirements to include:

1. Location and general description, including data center "Tier Classifications" as referenced by the Uptime Institute, of the Primary Central Site, and Backup Central Site:

   A. Key contacts for facility management;

   B. Procedures for access control;

   C. Requirements for physical security; and

   D. Physical data security.

2. Business continuity and disaster recovery plans for the physical locations of the Primary Central Site, and Backup Central Site.

Contractor shall include a separate appendix for each physical location of the Primary Central Site, and Backup Central Site. Each appendix shall be structured as a stand-alone document, delineating the above information in a form that can be used in the management of that specific physical location.

3.5.3 Subtask 5.3: Develop Information Systems Security Plan

Contractor shall provide the Information Systems Security Plan which shall describe in detail the security strategy. Contractor shall include a description of the different levels of security, the processes that shall ensure RMIS security meets County requirements and the roles and responsibilities for managing RMIS security. In addition to all other requirements, Contractor shall specifically comply with County's information security policies, standards, guidelines, and procedures.

3.5.3.1 Deliverable 5.3.1: Information System Security Plan

Contractor shall include:

1. Roles and responsibilities of Contractor, including, without limitation, the Contractor Security Officer;

2. Strategies for complying with all legal requirements in accordance with the Agreement;

3. Baseline security measures, risk assessments, and continual monitoring of RMIS security;

4. Incident response policies and procedures;

5. Security awareness training;

6. Physical security;

7. Hardware security;

8. Software security;

9. Access to all Hosted Environments;

10. User security profiles, audit trails, and transaction sampling;

11. Physical and logical network management and security, access controls, event management, and reporting;

12. Data security administration, file server security, data structure integrity, Disabling Device protection, patch management, backup and recovery, and data encryption; and

13. Internet security, including information movement.

14. Security and Privacy in the RMIS System Development Lifecycle.

15. Plan for fulfilling all requirements set forth in Exhibit L (Information Security and Privacy Requirements) to the Agreement and expectation.

3.6 TASK 6: FUNCTIONAL DESIGN

Contractor shall perform the following work in this Task 6:

1. Develop and document the functional design of the Licensed Software; and

2. Conduct a meeting for presentation to County of the RMIS functional design.

3.6.1 Subtask 6.1: Develop the Functional Design

Contractor shall develop the functional design of each module in the Licensed Software based on both Deliverable 3.2.1 (System Requirements Document (SRD)) and Deliverable 4 (General Design Document). The functional design will include the requisite data structures, data flows, business logic, user interface design, Interfaces, and algorithms needed for the Licensed Software.

Contractor shall document the elements of the functional design, such as process models, use case analysis. Contractor shall develop models that achieve the functional requirements of each module, while describing key constraints, such as performance goals, performance requirements, and infrastructure concerns. Contractor shall:

1. Describe all functional components and modules of the Licensed Software, describing how each component and module will be structured and what functionality will be included in that component and module.

2. Design the user interface to include specific User controls, layout for major screens, navigation flow, and expected content for each screen, input validation, and data protection.

3. Define the RMIS business rules, including formulas and algorithms not documented in the SRD.

4. Document security design for the RMIS Licensed Software, including role- and assignment-based access control.

5. Define appropriate scenarios (defined through process maps, use cases).

6. Design each Interface specified in the SRD, including message structure, protocols, and communication pathways.

7. Provide functional design traceability to verified requirements.

Contractor shall document the RMIS functional design in Deliverable 6.1 (Functional Design Document (FDD)). This document shall serve as the detailed functional specification for the RMIS design and shall be updated, as appropriate, throughout the term of the Agreement, as a part of Hosting and Support Services.

3.6.1.1 Deliverable 6.1.1: Functional Design Document [KEY]

Contractor shall provide a Functional Design Document (FDD) to include:

1. High-level summary of the RMIS design including a module and component decomposition chart and a functional description of each module.

2. Detailed design for each module to include:

   A. Name and description;

   B. Function;

   C. Process (algorithm);

   D. Presentation if component and module requires;

   E. Interfaces; and

   F. Data.

3. Description of the user interface to include specific User controls, layout for major screens, navigation flow, and expected content for each screen, input validation, and data protection.

4. Licensed Software design to include the business rules and the RMIS logical data model.

5. Formulas and algorithms not documented in the SRD.

6. Description of the RMIS security design.

7. Documentation of scenarios.

8. Document the design of each Interface contained in the SRD.

9. Provide updated Requirements Traceability Matrix.

3.6.2 Subtask 6.2: Functional Design Presentation

Prior to the completion of Task 6 (Functional Design), Contractor shall make a presentation to County, including the County RMIS Oversight and Executive Steering Committee at a meeting, where Contractor shall summarize the functional design, based on Deliverable 6.1 (Functional Design Document (FDD)). Contractor shall prepare all supporting technical materials, documentation, and RMIS-generated output and provide any appropriate walkthroughs and/or demonstration of RMIS capability. During this presentation, Contractor shall verify to County that the RMIS functional design demonstrates full traceability to verified requirements.

3.6.2.1 Deliverable 6.2.1: Functional Design Presentation Report

Contractor shall provide a Functional Design Presentation Report that includes all technical materials, documentation, and RMIS-generated output. In the report, Contractor shall include:

1. Summary of Task 6 (Functional Design) work, results, and outcomes;

2. Verification that the RMIS functional design demonstrates full traceability to verified requirements;

3. Updated Requirements Traceability Matrix; and

4. Agenda, minutes, and supporting documentation from RMIS Functional Design Presentation.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, and Conversion Plan.

3.7 TASK 7: LICENSED SOFTWARE AND CONVERSION TOOLS

Contractor shall perform all work to provide, design, develop, test, and validate the modules in the Licensed Software in conjunction with conversion software programs/tools. The Licensed Software components shall include the application as well as utilities developed for reporting, Interfaces, and conversion of existing County risk management systems data, and other legacy data. All development efforts in this Task shall be based on Deliverable 1.2.3 (Conversion Plan) and Deliverable 6.1.1 (Functional Design Document (FDD)) as approved by County.

Contractor shall perform the following work during this Task 7:

1. Prepare Deliverable 7.1.1 (Licensed Software Development Plan (SDP));

2. Conduct software development reviews;

3. Establish system development standards that will apply to the build, unit test, and validation processes in this Task 7;

4. Build the software components/modules, using secure coding methodologies and techniques, based on the FDD;

5. Develop, test, and execute the conversion software programs/tools in accordance with Exhibit A.1 (System Requirements);

6. Perform unit test, including the use of converted legacy data, on each software component and module to ensure that the component and module performs to the functional, technical, and training specifications established during design, including the FDD;

7. Validate conversion, and unit test results; and

8. Document, build, and test all RMIS Interfaces to external systems.

9. Document, build, and test all Customizations and Enhancements to the Licensed Software to be delivered under Phase 1.

3.7.1 Subtask 7.1: Prepare Licensed Software Development Plan

Contractor shall prepare Deliverable 7.1.1 (Licensed Software Development Plan (SDP)) that describes how the Licensed Software will be designed, built, documented, tested, and integrated. Based on the SDP, Contractor shall provide detailed updates to Contractor's Project Schedule reflecting the specific schedule and resource requirements for Task 7 (Licensed Software and Conversion Tools).

3.7.1.1 Deliverable 7.1.1: Licensed Software Development Plan (SDP)

Contractor shall provide the Licensed Software Development Plan which shall include:

1. **Project Organization:** Contractor shall identify the roles and responsibilities for the software development portion of the RMIS Project. Contractor shall indicate how this portion of the RMIS Project will be managed and controlled and what procedures will be used for tracking and reporting progress.

2. **Project Assumptions and Potential Risks:** Contractor shall document all key assumptions, risks, and plans for mitigation that exist at the initiation of all Licensed Software design, development, and testing activities. Contractor shall track these assumptions and potential risks on a bi-weekly basis.

3. **Schedule:** Contractor shall provide a detailed plan for Task 7 (Licensed Software and Conversion Tools), integrated and consistent with Contractor's Project Schedule, which describes the activities, schedule, and resources for Licensed Software development, including any Contractor -proposed milestones, status meetings, software development reviews, and documentation preparation. Updates to this schedule shall be reflected in Contractor's Project Schedule.

4. **Licensed Software Design and Control Plan:** Contractor shall describe the following:

    A. **Configuration management:** Contractor shall describe how multiple development builds of the Licensed Software are tracked to avoid confusion.

    B. **Release control:** Contractor shall describe its criteria for releasing Licensed Software. Contractor shall include a description of how the Licensed Software meets requirements (validation) and works properly (verification).

    C. **Test process:** Contractor shall describe the methodology for testing the Licensed Software.

    D. **Deficiency tracking:** Contractor shall describe how Contractor tracks and resolves Licensed Software Deficiencies.

5. **Test Strategy**: Contractor shall document the strategy for system testing, including the following:

    A. **Testing Approach:** Contractor shall describe its approach for planning and executing testing, both incrementally during development and for the entire product before delivery to County. Contractor shall describe test objectives and responsibilities for all testing levels, including testing of modules, unit testing, system testing, integration testing, regression testing, and User

Acceptance Testing (UAT), and shall describe the scope and guiding principles for the testing effort, and the proposed policy for resolving conflicts that arise during the testing process.

B. **Testing tasks to be performed:** Contractor shall describe how each major group of software features will be tested and the major testing activities, techniques, and testing tools to be used. Contractor shall include: (i) configuration of the RMIS Hosted Environment for testing; (ii) test equipment procurement and setup; (iii) unit test procedures; (iv) test scenario/ script creation; and (v) integration testing. Contractor shall propose the responsible individuals or organizations and its responsibilities. Contractor shall document the general rules for software acceptance.

C. **Testing schedule:** Contractor shall include all proposed tasks and major testing milestones, including start and end of testing of modules, unit testing, system testing, integration testing, system builds, test script creation, regression testing, and UAT. Contractor shall also integrate these dates with the schedule in Contractor's Project Schedule.

3.7.2 Subtask 7.2: Licensed Software Development Reviews

Contractor shall conduct regularly scheduled Licensed Software development reviews at meetings with County, as described in Deliverable 7.1 (Licensed Software Development Plan (SDP)), to ensure that development is proceeding in accordance with the FDD and Contractor's Project Schedule and that any issues are identified and resolved in a timely fashion.

3.7.2.1 Deliverable 7.2.1 Licensed Software Development Review Report

Contractor shall provide an agenda at least one (1) week prior to each review including type of review, goals and objectives, detailed description of the event, and any pass criteria (if applicable). Contractor shall document the proceedings of each review in Deliverable 7.2.1 (Licensed Software Development Review Report) within one (1) week following a Licensed Software development review. Contractor shall also update Contractor's Project Schedule to reflect any changes to Task 7 (Licensed Software and Conversion Tools) activities or schedule.

3.7.2.1.1 Date/time of the meeting;

3.7.2.1.2 Attendees;

3.7.2.1.3 Location;

3.7.2.1.4 Agenda items;

3.7.2.1.5 Minutes;

3.7.2.1.6 Issues;

3.7.2.1.7 Resolutions;

3.7.2.1.8 Major outcomes from the review; and

3.7.2.1.9 Action items and assignments.

3.7.3 Subtask 7.3: Document RMIS Licensed Software (SDLC) Standards

Contractor shall conduct a review of its existing SDLC standards for RMIS Licensed Software development specifically as they apply to the build, test, and validation work of the RMIS Project. Contractor shall indicate how SDLC standards will result in code that is self-documenting, clearly organized, and easy to maintain. Contractor shall assess whether any changes are needed to these standards in light of the Licensed Software detailed design. Contractor shall detail the various SDLC standards to be applied to RMIS Licensed Software development, Customization, Enhancement, and integration activities, and adhered to throughout the term of the Agreement in Deliverable 7.3.1 (RMIS Licensed Software SDLC Standards).

3.7.3.1 Deliverable 7.3.1: RMIS Licensed Software SDLC Standards

Contractor shall provide RMIS Licensed Software Development SDLC Standards which shall incorporate Contractor and County development standards to include: naming conventions, coding standards, internal documentation standards, user interface standards, and style conventions that shall be used by Contractor.

3.7.4 Subtask 7.4: Build Licensed Software Components/Modules and Conversion Software Programs/Tools

Contractor shall develop the RMIS Solution for Licensed Software components/modules and conversion software programs/tools in accordance with Deliverable 6.1.1 (Functional Design Document (FDD)). As part of Deliverable 7.4.1 (Licensed Software Components/Modules and Conversion Software Programs/Tools), Contractor shall document each Licensed Software component and module and conversion software programs/tools, any associated Documentation, and any additional information used to support unit test, validation, or quality assurance activities. Contractor shall place the resulting Licensed Software component

and module and conversion software programs/tools in the RMIS Repository with appropriate access permissions and configuration management rules applied.

Contractor shall develop preliminary Documentation for Licensed Software components/modules and conversion software programs/tools. This Documentation shall include 'solved example problems' that will also serve as test cases to help identify and isolate defects. In each 'solved example problem', a set of specified inputs will produce a set of known outputs or responses from the software. Contractor shall ensure that the set of 'solved example problems' cover the core functions of each Licensed Software component and module and conversion software programs/tools.

3.7.4.1 Deliverable 7.4.1: Licensed Software Components/Modules and Conversion Software Programs/Tools

Contractor shall provide Licensed Software components/modules and conversion software programs/tools, which shall include:

1. RMIS Solution;

2. Associated Documentation; and

3. Additional information used to support unit test, validation, or quality assurance activities.

3.7.5 Subtask 7.5: Unit Testing

Contractor shall successfully complete unit testing for each Licensed Software component and module and each conversion software program/tool. User interface standards shall be met, including usability. The components/modules/programs/tools functions shall work as expected, and the presentation, business logic, security, and data layers shall perform the specific function as designed in accordance with the FDD.

For unit testing, Contractor shall develop Deliverable 7.5.1 (Unit Test Template), a standard template that incorporates and documents all aspects of unit testing for a given Licensed Software component and module and given conversion software program/tool, including planning, procedures, checklists, and 'solved problem examples' as described in Subtask 7.4 (Build Licensed Software Components/Modules and Conversion Software Programs/Tools), test execution, and capture of test results. This template shall require County's Project Director approval prior to its subsequent use in unit testing.

Contractor shall perform unit testing on all Licensed Software and conversion software programs/tools. Contractor shall use Deliverable 7.5.1 (Unit Test Template) as the basis for documenting the test details for a specific Licensed Software component and module and specific conversion

software program/tool, the test procedures, and the test results. The resulting document will be Deliverable 7.5.2 (Unit Test Procedures and Results Report).

3.7.5.1 Deliverable 7.5.1: Unit Test Template

Contractor shall provide a Unit Test Template that incorporates all key aspects of Licensed Software component and module and conversion software program/tool unit testing as defined in Subtask 7.5 (Unit Testing) above.

3.7.5.2 Deliverable 7.5.2: Unit Test Procedures and Results Report

Contractor shall provide Unit Test Procedures and Results Report, which shall detail the unit test procedures and results, including usability, for each specific Licensed Software component and module and each specific conversion software program/tool.

3.7.6 Subtask 7.6: Interface Development

For each Interface, Contractor shall develop Deliverable 7.6.1 (Interface Control Document (ICD)) that defines and specifies the Interface. Contractor shall work with County and external Interface entities in the development and testing of the Interfaces. Contractor shall implement each Interface between the RMIS and each external system in accordance with the ICD for that Interface.

Contractor shall determine the qualification requirements that each Interface must meet and incorporate these requirements into an Interface test procedure that exercises all aspects of the Interface, including any required data processing. Contractor may propose a testing method that emulates the behavior of the external system if there is difficulty in obtaining permission for a 'live' test in early stages of development. Contractor proposed approach to testing any Interface shall require County's Project Director approval prior to the conduct of the actual test.

Contractor shall present the test approach, execute the test, and provide the test results to County in Deliverable 7.6.2 (Interface Test Procedures and Results Report). The results of the Interface test(s) shall require County's Project Director approval prior to placing the Interface in use within the Hosted Environment for Production use. If available, Contractor shall provide any additional Documentation, such as system administration manuals, related to the external system and its Interface to the RMIS as Deliverable 7.6.3 (Interface Documentation).

3.7.6.1 Deliverable 7.6.1: Interface Control Documents (ICD)

For each Interface, Contractor shall provide an ICD. The ICD will describe the concept of operations for the Interface, define the

message structure and protocols that govern the exchange of data, and identifies the communication paths along which the data is expected to flow. The ICD will fully identify each external system participating in a given Interface, the entities responsible for establishing, maintaining, and managing the systems and the Interfaces, and the hardware and software involved in the Interface. The ICD will also describe the implementation of security controls, such as access management, encryption, and data integrity. Performance requirements, such as capacity, availability, frequency, and Interface processing times, will also be included in the ICD.

3.7.6.2 Deliverable 7.6.2: Interface Test Procedures and Results Report

1. Identification of all requirements to test and accept the Interface between the RMIS and an external system;

2. Description of the test procedures, including scenarios;

3. Execution of the test; and

4. Document the execution and results of all tests.

3.7.6.3 Deliverable 7.6.3: Interface Documentation

For each Interface, Contractor shall provide Interface Documentation, including any additional Documentation for the Interface, such as system administration manuals provided by the owner or manager of the external system.

3.8 TASK 8: TESTING

This Task 8 includes integration and testing, which shall incorporate the conversion strategies described in Deliverable 1.2.3 (Conversion Plan). A full regression test shall be conducted at the conclusion of each major set of testing activities.

Contractor shall perform the following work during this Task 8:

1. Develop the Master Test Plan;

2. Develop test plans and procedures for all stages of testing, including integration testing, system testing, and UAT, that ensures all requirements are being tested and verified; and

3. Conduct the testing for all stages of testing, including integration testing, system testing, and UAT, evaluate results, correct problems, and re-test.

3.8.1 Subtask 8.1: Develop Master Test Plan

Contractor shall prepare Deliverable 8.1.1 (Master Test Plan) that describes the overall approach to testing the RMIS, including conversion testing, integration testing, system testing, and UAT. Contractor shall include:

1. Scope and guiding principles for RMIS testing, both for the overall testing effort as well as specific to each type of testing. Contractor shall take into account all software lifecycles, including design time, runtime, and change time.

2. Roles and responsibilities for Contractor's RMIS test team members, for functional, technical, and training purposes, and required Contractor staffing resources.

3. Overall test approach, including a summary of techniques to be used, how Contractor will group RMIS functionality for testing, strategy for testing Interfaces to external systems and agencies, and conduct of any end-to-end system tests.

4. Testing schedule, including all proposed activities and major testing milestones, system builds, test script creation, and regression testing. Contractor shall also integrate these dates with the schedule in Contractor's Project Schedule.

5. Approach to validating that all requirements have been tested and verified.

6. Tools to be used, including automated test tools, additional materials needed (e.g., test databases, test transactions, and load simulators), and tools to track testing progress.

7. Configuration of the RMIS processing Hosting Environments used for each specific level of testing, including: (i) configuration of the test environment; (ii) test equipment procurement and setup; (iii) test scenario/ script creation; and (iv) integration testing.

8. General rules for software acceptance at each level of testing, as approved by County.

9. Management of all testing products and results to ensure that all products are accessible to the Project Team as needed.

10. Approach to specialty testing to include usability, security, and performance.

3.8.1.1 Deliverable 8.1.1: Master Test Plan

Contractor shall provide the Master Test Plan in accordance with Subtask 8.1 (Develop Master Test Plan).

3.8.2 Subtask 8.2: Integration and System Testing

Integration and system testing ensures that all facets of the RMIS work together as a cohesive whole. At the conclusion of this Subtask 8.2, Contractor shall have verified that the RMIS is ready for User Acceptance Testing.

Contractor shall designate a test group independent from the RMIS development staff to perform all testing beyond unit test. This test group shall include functional, technical, and training representatives, as needed, and may include County staff as approved by County's Project Director.

Contractor shall develop Deliverable 8.2.1 (Integration Test Plan) and Deliverable 8.2.5 (System Test Plan) that expands on the Master Test Plan with elements specific to integration and system testing. Contractor shall develop Deliverable 8.2.2 (Integration Test Procedures) and Deliverable 8.2.6 (System Test Procedures), including:

1. Thoroughly test all RMIS components;

2. Thoroughly test all RMIS Interfaces both internal and external, including real-time, host-to-host communications;

3. Thoroughly test batch processing;

4. Thoroughly test production print capabilities; and

5. Verify the correct generation of all errors messages, warnings, or other messages as designed.

Contractor shall conduct integration testing as each module of the Licensed Software and each conversion software program/tool is developed and added to the RMIS. In Deliverable 8.2.3 (Integration Test Results Report), Contractor shall document the results for each integration test conducted.

Contractor shall ensure that all Hosted Environments utilized for a given test shall be restored to its original condition prior to the start of the given test, including all system files and data that may be affected or changed during execution of the test. Contractor shall complete certain integration testing, including:

1. **Performance and Load Testing** – Contractor shall demonstrate that the RMIS can successfully meet the performance requirements specified in the Agreement under full load conditions.

2. **Security Testing** – Contractor shall demonstrate that the RMIS can successfully meet County security requirements.

3. **Business Continuity/Disaster Recovery Testing** – Contractor shall demonstrate that the RMIS can successfully continue to provide

services while executing business continuity/disaster recovery testing, including the effect on RMIS performance requirements.

4. **Interface Testing** – Contractor shall demonstrate that all Interfaces are working properly and adhere to the Specifications.

5. **Cycle Testing** – Contractor shall conduct cycle tests where each cycle test's processing is dependent upon previous processing in the RMIS flow. Contractor shall conduct cycle tests to simulate the RMIS operation during conversion and in production, including nightly, weekly, monthly, and other scheduled batch jobs to demonstrate that the cycles complete successfully in accordance with the Specifications.

6. **Client Correspondence and Reports Testing** – Contractor shall verify the correct layout, format, and distribution of all RMIS generated forms, documents, and reports, along with its supporting procedures. Contractor shall demonstrate that the RMIS produces all forms, documents, and reports.

7. **Reports Testing** – Contractor shall verify the correct layout, format, and distribution of all RMIS generated reports, both standard and ad hoc, with its supporting procedures.

At the end of integration test, Contractor shall prepare Deliverable 8.2.4 (Integration Test Summary Report), summarizing the activities, types of tests, and test results. Deliverable 8.2.4 (Integration Test Summary Report) shall include all technical materials, Documentation, and RMIS-generated output as required by County. Contractor shall present to County evidence that all Subtask 8.2 related requirements have been met. Contractor shall prepare supporting documentation, conduct a review at a meeting with County, and provide any appropriate demonstration(s) of RMIS capabilities, including County participation in or observation of tests. Approval of Deliverable 8.2.4 (Integration Test Summary Report) by County's Project Director will allow Contractor to proceed to Subtask 8.3 (User Acceptance Testing).

The System Test shall include execution of the Business Continuity/Disaster Recovery Plan.

Contractor shall correct all Deficiencies of Severity Level 3 or more severe (as defined in Exhibit J (Service Level and Warranty Agreement) that County determines should be corrected prior to the start of Subtask 8.3 (User Acceptance Testing). Any remaining Severity Level 3 Deficiencies identified shall be corrected in accordance with a schedule approved by County's Project Director.

3.8.2.1 Deliverable 8.2.1: Integration Test Plan

Contractor shall provide an Integration Test Plan which shall include:

1. Test approach, identifying the progression of integration testing;

2. Scheduling and resources;

3. Tools, environments, and controls to be used during integration test;

4. Entrance and exit criteria for integration test; and

5. Metrics to be used to evaluate integration test results.

3.8.2.2 Deliverable 8.2.2: Integration Test Procedure

Contractor shall provide Integration Test Procedures which shall include:

1. Name, description, objectives, intended audience, and references of each specific test, including regression test;

2. Traceability of integration test procedures to requirement(s) being tested;

3. Assumptions, issues, and constraints;

4. Special needs, tools, and programs;

5. Instructions for conducting integration test:

    A. How to set up the test preconditions (e.g., configure/ initialize the Hosted Environment for testing);

    B. How to perform the test steps;

    C. How to determine and document the actual test post-conditions;

    D. How to compare the actual and expected results from the test; and

    E. How to report the results of the associated test.

3.8.2.3 Deliverable 8.2.3: Integration Test Results Report

Contractor shall provide the Integration Test Report which shall include:

1. Name and description of each specific test;

2. Date and time test conducted;

3. Name of each test team member;

4. Test environment name, parameters, and configuration; and

5. Results of test.

3.8.2.4 Deliverable 8.2.4: Integration Test Summary Report

Contractor shall provide the Integration Test Summary Report, which summarizes all activities, types of tests, and results of the integration testing to allow County to assess the integration test outcome. This report shall include:

1. Summary of all tests conducted during integration testing;

2. Summary of results;

3. Summary of each Deficiency identified by Contractor or County, its corrective action status, date of completion of each correction, and date of County's Project Director's approval of each correction, as applicable; and

4. Justification for moving to UAT.

County's Project Director's approval of this Deliverable 8.2.4 is required prior to Contractor proceeding to Subtask 8.3 (User Acceptance Testing).

3.8.2.5 Deliverable 8.2.5: System Test Plan

Contractor shall provide a System Test Plan which shall include:

1. Test approach, identifying the progression of system testing;

2. Scheduling and resources;

3. Tools, environments, and controls to be used during system testing;

4. Entrance and exit criteria for system testing; and

5. Metrics to be used to evaluate system testing results.

3.8.2.6 Deliverable 8.2.6: System Test Procedures

Contractor shall provide System Test Procedures which shall include:

1. Name, description, objectives, intended audience, and references of each specific test;

2. Traceability of system test procedures to requirement(s) being tested;

3. Assumptions, issues, and constraints;

4. Special needs, tools, and programs; and

5. Instructions for conducting system test:

   A. How to set up the test preconditions (e.g., configure/ initialize the Hosted Environment for testing);

   B. How to perform the test steps;

   C. How to determine and document the actual test post-conditions;

   D. How to compare the actual and expected results from the test; and

   E. How to report the results of the associated test.

3.8.2.7 Deliverable 8.2.7: System Test Results Report

Contractor shall provide the System Test Report which shall include:

1. Name and description of each specific test;

2. Date and time test conducted;

3. Name of each test team member;

4. Name of test environment; and

5. Results of test.

3.8.2.8 Deliverable 8.2.8: System Test Summary Report

Contractor shall provide the System Test Summary Report, which summarizes all activities, types of tests, and results of the system testing to allow County to assess the system test outcome. This System Test Summary Report shall include:

1. Summary of all tests conducted during system testing;

2. Summary of results;

3. Summary of each Deficiency identified by Contractor or County, its corrective action status, date of completion of each correction, and date of County's Project Director's approval of each correction, as applicable; and

4. Justification for moving to UAT.

County's Project Director's approval of this Deliverable 8.2.8 is required prior to Contractor proceeding to Subtask 8.3 (User Acceptance Testing).

3.8.3 Subtask 8.3: User Acceptance Testing

User Acceptance Testing (UAT) is a major project milestone during which County, with the assistance of Contractor, comprehensively tests the RMIS against the Specifications to determine if the RMIS is ready for Implementation.

Contractor shall provide a Recommended User Acceptance Test Plan to include:

1. A description of proposed tests to be conducted during UAT;

2. A description of tools, environments, and controls to be used during UAT;

3. A proposed test schedule;

4. A description of Contractor and County roles, responsibilities, and resources needed to perform UAT;

5. A proposed training plan and schedule for UAT team;

6. A process for UAT problem reporting, tracking, and resolution process;

7. A proposed approach for the correction of Deficiencies identified by Contractor or County during UAT; and

8. Execution of the Business Continuity/Disaster Recovery Plan.

Contractor shall provide the above to County in Deliverable 8.3.1 (Recommended User Acceptance Test Plan).

Contractor shall provide tools, environment, and controls to be used during UAT.

County will develop all test scenarios. Contractor shall incorporate and manage all County-developed scenarios, together with the related procedures, and verify traceability between scenario/procedures to the Specifications throughout the term of the Agreement. Contractor shall update Deliverable 8.3.2 (User Acceptance Test Procedures/Scenarios Inventory Report) and provide update to County from time-to-time when requested by County's Project Director. Contractor shall assist the County Project Team with the integration of County -developed scenarios.

Contractor shall assist County in developing the User Acceptance Test Plan which shall be prepared by County.

During UAT, Contractor shall provide support to County, including configuration of the Hosted Environment for testing, training on testing tools or processes for County UAT team, management of test results, and performance of any corrective actions in the case of identified Deficiencies by Contractor or County. Contractor shall be responsible for installing any special software and/or making any other needed changes to ensure the RMIS is ready for UAT. Contractor shall provide any necessary tools to simulate RMIS performance under operational conditions. County staff will perform UAT using data sets representative of operational complexity. County will record all UAT results, and Contractor shall prepare the reports that include a record of all successes, failures, and corrective actions taken by Contractor.

Contractor shall provide Deliverable 8.3.3 (User Acceptance Test Weekly Status Reports) which summarizes all aspects of UAT performed during that week, including any Deficiencies identified by Contractor or County, corrected, and still outstanding. Reports shall be due every Tuesday for the entire period of the UAT. Contractor shall document the review and acceptance of test materials, activities, and results at weekly meetings with County.

County will notify Contractor of any Deficiencies identified by County during UAT. For each Deficiency identified by Contractor or County, Contractor shall provide a corrective action plan, which shall include:

1. Description of each Deficiency and its root cause;

2. Business processes, RMIS functions, and/or Interfaces impacted;

3. Description of all potential risks to the RMIS, including implementation, and mitigation strategy for the RMIS;

Contractor shall schedule and participate in a meeting with County to review the results of UAT and determine whether Contractor has met all County requirements for RMIS design and development prior to the start of Task 11 (Implementation).

UAT shall include execution of the Business Continuity/Disaster Recovery Plan.

Contractor shall provide Deliverable 8.3.4 (User Acceptance Test Certification of Successful Completion) to County certifying that all known Deficiencies identified by Contractor or County have been corrected by Contractor, in accordance with this SOW and that all corrections have been approved by County's Project Director. County's Project Director's approval of Deliverable 8.3.4 (User Acceptance Test Certification of Successful Completion) will indicate the completion of Subtask 8.3 (User Acceptance Testing) and Contractor may commence Task 11 (Implementation).

Contractor shall correct all Deficiencies in accordance with this SOW prior to the start of Task 11 (Implementation).

3.8.3.1 Deliverable 8.3.1: Recommended User Acceptance Test Plan

Contractor shall provide a Recommended User Acceptance Test Plan which shall include:

1. Description of proposed tests to be conducted during UAT;
2. Tools, environments, and controls to be used during UAT;
3. Proposed test schedule;
4. Contractor roles, responsibilities, and resources in performing UAT;
5. Training plan and schedule for UAT team;
6. Deficiency reporting, tracking, and correction process; and
7. Approach to correcting Deficiencies identified during UAT.

3.8.3.2 Deliverable 8.3.2: User Acceptance Test Procedures/Scenarios Inventory Report

Contractor shall provide the UAT Procedures/Scenarios Inventory Report which shall include an inventory of all County-developed scenarios, together with the related procedures and verify traceability between scenario/procedures to the RMIS requirements.

3.8.3.3 Deliverable 8.3.3: User Acceptance Test Weekly Status Reports

Contractor shall provide UAT Weekly Status Reports throughout UAT period. Each Report shall include:

1. Summary of all tests conducted during UAT;
2. Summary of test results;
3. Summary of each Deficiency identified by Contractor or County. The summary shall include for each Deficiency:
    a. Description of each Deficiency and its root cause;
    b. Business processes, RMIS functions, and/or Interfaces impacted;

c. Description of all potential risks to the RMIS, including implementation, and mitigation strategy for the RMIS;

d. Corrective action plan, test scenarios, and implementation approach;

e. Schedule for completion of each corrective action and resources required/assigned;

f. Status of each corrective action;

g. Date of completion of each correction; and

h. Date of County's Project Director's approval of each correction, as applicable.

4. Documentation of the review of the previous week's UAT Weekly Status Report with County, including agenda, attendees, action items, and supporting documentation.

3.8.3.4 Deliverable 8.3.4: User Acceptance Test Certification of Successful Completion [KEY]

Contractor shall provide a User Acceptance Test Certification of Successful Completion to County within ten (10) days after successful completion of UAT, certifying that: (i) all requirements traceability to all tests and test results have been verified, (ii) Deficiencies identified by Contractor or County have been corrected by Contractor and approved by County's Project Director in accordance with this SOW, as described in Subtask 8.3 (User Acceptance Testing), (iii) Business Continuity/Disaster Recovery Plan testing has been completed, and (iv) all other UAT–related activities have been completed.

County's Project Director's approval of this Deliverable 8.3.4 shall indicate the completion of Subtask 8.3 (User Acceptance Testing) and will allow Contractor to proceed with Task 11 (Implementation).

3.9 TASK 9: IMPLEMENTATION PLANNING

Contractor shall initiate planning for implementation of the RMIS. Contractor shall perform the following work in this Task 9:

1. Develop the Implementation Master Plan that includes the strategy, resources, and schedule for implementation of the RMIS;

2. Update the Conversion Plan for Risk Management Systems that documents all data conversion activities required to transition from County's existing risk management systems to the RMIS;

3. Update the M&O Services Plan that describes ongoing Hosting Services and Support Services, including all processes, resources, and required tools;

4. Update the C&E Services Plan that describes ongoing Licensed Software Customization and Enhancement Services, including all processes, resources, and required tools; and

5. Develop RMIS Training Plans that describe how Contractor shall provide training for all County-specified Users, including County support staff.

3.9.1 Subtask 9.1: Prepare Implementation Master Plan

Contractor, in consultation with County, shall develop Deliverable 9.1.1 (Implementation Master Plan), including a description of preparation activities to be included in Task 10 (Implementation Preparation), and the schedule to ensure that all Hosting Services, Support Services and sites are fully operational by the end Task 11 (Implementation). Contractor shall also reference any additional plans, developed during this Task 10 (Implementation Planning), in Deliverable 9.1.1 (Implementation Master Plan).

Contractor shall propose an implementation approach that describes the size and complexity of the User population, taking into account any transition and productivity concerns, hardware/technical considerations, and logistical, training, or implementation support issues. Contractor shall document its approach for implementation activities in Deliverable 9.1.1 (Implementation Master Plan). Contractor shall provide an implementation work plan in County-specified version of Microsoft Project that provides a detailed schedule and required resources for both Contractor and County. Contractor must obtain County's Project Director's approval of this plan prior to the start of Task 11 (Implementation).

Contractor shall provide fully-trained support staff at each Local Office Site involved in the Implementation to provide direct User support for the RMIS. Contractor shall provide at least one (1) onsite support staff person for every fifty (50) Users or a portion thereof at each Local Office Site.

Contractor shall minimize any disruption to County staff in the normal operation of business.

Contractor shall ensure that the RMIS shall be able to Interface with, share data with, and maintain data concurrency, as needed, with existing legacy systems during implementation activities. Contractor and County will jointly determine the data concurrency requirements as part of this Subtask 9.1. Contractor shall support all Interfaces with federal, State, County, and external agency systems during the period of concurrent operations and thereafter. Deliverable 9.1.1 (Implementation Master Plan) shall describe how Contractor will coordinate with existing County risk management systems contractors and subject matter experts to ensure a smooth transition. Contractor shall document its proposed plan(s) for contingency

operations if, at any point during implementation, the RMIS fails to comply with County requirements for functionality, availability, response time and other performance.

In Deliverable 9.1.1 (Implementation Master Plan), Contractor shall describe its approach to transition operations from the existing risk management system to the new RMIS. Contractor shall describe the schedule for achieving full operational production in Task 11 (Implementation).

Contractor shall describe the process for issue identification, tracking, and resolution that sets forth how Contractor shall work with County to track, manage, resolve, and/or mitigate any issues arising throughout the implementation of the RMIS.

3.9.1.1 Deliverable 9.1.1: Implementation Master Plan

Deliverable 9.1.1, Contractor shall provide the Implementation Master Plan which shall document the strategy, plan, and resources needed for the implementation of the RMIS, including:

1. Roles and responsibilities of Contractor staff.

2. Implementation work plan, including Task 10 (Implementation Preparation), that includes schedule and resources required.

3. Reference to supporting plans and schedule for Risk Management Systems data conversion, training County support staff (including RMIS Helpdesk staff, and training County Users.

4. Reference to supporting plans and schedule for various Systems data conversion, training support staff, and training Users.

5. Installation, configuration, and testing for the RMIS Hosted Environments and databases, including Primary Central Site, and Backup Central Site.

6. Installation, configuration, and testing for the Hosted Environments.

7. System migration activities describing cutover from existing risk management systems to the RMIS.

8. Approach for support of Local Office Sites as they begin to use the new RMIS.

9. Contingency plan(s) if, at any point during implementation, the new RMIS fails to meet or comply with County requirements

for functionality, availability, response time, and other performance.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, and Technical Infrastructure Design Document.

3.9.2 Subtask 9.2: Update Conversion Plan

Contractor shall update Deliverable 1.2.3 (Conversion Plan) incorporating lessons learned during the development, testing and validation of the automated conversion tools/software programs in Task 7 (Licensed Software and Conversion Tools) and Task 8 (Testing). Contractor shall prepare a Deliverable 9.2.1 (Updated Conversion Plan), describing all steps involved in the conversion and loading of legacy data, in accordance with Exhibit A.1 (System Requirements).

The updated Conversion Plan for Risk Management Systems shall include:

1. Approach to analyze County Data for the RMIS and other legacy data;

2. Approach used to map the County's existing Risk Management Systems and other legacy data structures to the RMIS data structures, including data transformation rules and default values;

3. Any automated tools or software programs to be used in the conversion and testing of results;

4. Approach to reconcile converted data, including recommendations for the handling of any cases that should be considered conversion exceptions;

5. Approach to full accessibility of all converted data;

6. Data integrity rules, testing and quality assurance measures; and

7. Proposed timelines, schedules, and resources for conversion activities.

Contractor shall prepare updated Conversion Test Plans as part of Deliverable 9.2.1 (Updated Conversion Plan) that describes Contractor approach to testing all data conversion and loading processes, the use of data integrity rules, and methods to correct (if needed) any conversion rules (and hence the data) during the conversion processes.

3.9.2.1 Deliverable 9.2.1: Updated Conversion Plan

Contractor shall provide the updated Conversion Plan which shall incorporate all the planning components for data conversion of existing risk management systems data and other legacy data into the new RMIS, as described in Subtask 9.2 (Update Conversion Plan).

3.9.3 Subtask 9.3: Prepare new RMIS Training Plans

County anticipates that significant training will be needed to provide applicable County staff with a comprehensive understanding of the new RMIS. Initial instructor-led training shall be the responsibility of Contractor and developed based, in part, on County input. Contractor shall evaluate the needs of the various User groups to be trained. The User groups may be changed from time-to-time, as determined by County. Contractor shall provide Deliverable 9.3.1 (RMIS Training Plans) that includes a new RMIS Training Plan for Users of County's existing risk management systems.

The new RMIS Training Plan for Users of County's existing risk management systems shall include:

1. Roles and responsibilities of Contractor.

2. Training locations, site preparation plans, provision and installation of all necessary equipment for the training sites.

3. Curriculum Plan that describes modules, materials, learning objectives and proficiency standards, and hours of required training for each User group, including procedures for using any Contractor-provided RMIS Helpdesk resources.

4. Preliminary schedule for training, based on new RMIS implementation schedule and any identified County constraints for staffing, and resources for training.

The new RMIS Training Plans shall include all requirements set forth in Exhibit A.1 (System Requirements).

The new RMIS Training Plans shall include a description of specialized training for County-specified Users as set forth in Exhibit A.1 (System Requirements).

During Phase 1 (Design/Development/Implementation Phase), Contractor shall provide all training, including specialized training and RMIS Training Materials to County-specified Users. During Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase), Contractor shall continue to provide specialized training on a quarterly basis for County-specified Users. During Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase), Contractor shall provide updated new RMIS Training Materials.

During Phase 1 (Design/Development/Implementation Phase), Contractor shall provide all training locations, equipment, and connectivity to the RMIS training Hosted Environment for the initial training of County-specified Users. Contractor shall provide County-approved geographically dispersed locations throughout Los Angeles County to limit each trainee's travel

distance between training location and trainee's work location to no more than twenty (20) miles.

During Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase), Contractor shall provide specialized training at the Project Office.

Contractor must obtain County's Project Director approval of this RMIS Training Plan prior to the start of Task 11 (Implementation).

3.9.3.1 Deliverable 9.3.1: RMIS Training Plans

Contractor shall provide the new RMIS Training Plans as described in Subtask 9.3 (Prepare RMIS Training Plans).

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, and Technical Infrastructure Design Document.

3.10 Task 10: IMPLEMENTATION PREPARATION

In this Task 10, Contractor shall prepare for Implementation. Contractor shall perform the following work:

1. Provide all Documentation in electronic format, and on read-only medium, as specified by County, prior to the start of Task 11 (Implementation);

2. Prepare the RMIS Helpdesk application and Contractor support staff for the support of the RMIS and document all RMIS Helpdesk procedures;

3. Review and update the PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, and Technical Infrastructure Design Document;

4. Prepare RMIS Training Materials in accordance with Deliverable 9.3.1 (RMIS Training Plans);

5. Establish the procedures for informing County of any issues that will affect the RMIS in complying with the Specifications, and including meeting the performance requirements; and

6. Prepare the RMIS for implementation and operations, ensuring that all support and operational procedures, tools, and facilities are in place and operational in accordance with the schedule in Deliverable 9.1.1 (Implementation Master Plan).

3.10.1 Subtask 10.1: Prepare Documentation

Contractor shall provide all Documentation in electronic format, and on read-only medium, as specified by County, prior to the start of Task 11 (Implementation).

Contractor shall establish Documentation update procedures that allow specified County representatives to update and add Documentation to the RMIS Hosted Environments as needed. Any update to Documentation shall require prior approval of County's Project Director.

3.10.1.1 Deliverable 10.1.1: Documentation:

1. User manuals;
2. Online help, both general and context sensitive;
3. Learning aids, such as online tutorials;
4. Orientation and training materials and manuals;
5. RMIS practices and procedures; and
6. Commercial product manuals and documentation.

3.10.2 Subtask 10.2: Prepare RMIS Helpdesk Support

Contractor shall provide RMIS Helpdesk support staff and the RMIS Helpdesk application. The RMIS Helpdesk shall be accessible by County-specified administrators.

RMIS Helpdesk shall support the RMIS with contact by County -specified administrators. Both the RMIS Helpdesk application and Contractor support staff shall be available at all times. The RMIS Helpdesk application will be browser-based and conform to the requirements in Exhibit A.1 (System Requirements) and Exhibits J (Service Level and Warranty Agreement) and K (Maintenance and Support Agreement) to this Agreement for the RMIS Helpdesk application, or as otherwise approved by County's Project Director.

Contractor shall provide access for County–specified administrators to knowledgeable Contractor support staff who can answer questions on the use of the RMIS or on solutions to Deficiencies that County may encounter. Contractor shall provide toll-free telephone access for County -specified Users. Contractor shall conduct conferences, weekly and as requested by County's Project Director, for County-specified technical and helpdesk support staff using a real-time Web-enabled conference collaboration tool (e.g., WebEx) and, if proposed by Contractor and approved by County, real-time videoconferencing, for strategic support and corrective action planning.

Prior to the start of Task 11 (Implementation), Contractor shall document the structure and functions of the RMIS Helpdesk support organization, which will provide ongoing assistance to County in Deficiency correction. Contractor shall design and document RMIS Helpdesk procedures that meet the County requirements as set forth in the Agreement. For each Deficiency, County will determine the severity of the Deficiency. County will

also determine the procedures for the escalation of a Deficiency to increasingly responsible levels within Contractor for correction of Deficiencies reported to the RMIS Helpdesk. Contractor shall ensure that the RMIS Helpdesk application supports these escalation procedures, including automated notification to the appropriate parties.

Contractor shall ensure that the RMIS Helpdesk application and procedures shall be fully tested prior to use by County staff.

Contractor shall document all related functional, technical, and training issues in Deliverable 10.2.1 (RMIS Helpdesk Procedures).

3.10.2.1 Deliverable 10.2.1: RMIS Helpdesk Procedures

Contractor shall provide RMIS Helpdesk Procedures which shall include:

1. An overview of the RMIS Helpdesk application, including a description of the software and hardware used to support the RMIS Helpdesk, the plan for its implementation, the approach to its management and maintenance that will ensure that both the application and its knowledge base are kept current during the term of the Agreement, and the standard reports available to County for oversight and understanding of the RMIS Helpdesk activities.

2. An overview of the functions performed by the new RMIS Helpdesk and how they interface with other support activities for which Contractor is responsible (e.g., problem reporting, tracking, and resolution).

3. The staffing requirements and organizational structure of the RMIS Helpdesk, including roles and responsibilities of Contractor staff and points of contact with County helpdesks and support infrastructure.

4. RMIS Helpdesk standard operating procedures, including those performed by Contractor and those requiring coordination with County.

5. RMIS Helpdesk review process to provide both Contractor's Project Director and County's Project Director regular updates on the status and activities of the RMIS Helpdesk operations.

3.10.3 Subtask 10.3: Prepare RMIS Training Materials

Contractor shall provide Deliverable 10.3.1 (RMIS Training Materials), including procedures for accessing Contractor-provided RMIS support resources. The RMIS Training Materials shall be provided at least thirty (30) days prior to the start of Task 11 (Implementation). The RMIS Training

Materials shall include all training requirements in Exhibit A.1 (System Requirements).

During Phase 1 (Design/Development/Implementation Phase), Contractor shall provide all training, including specialized training, and RMIS Training Materials to County-specified Users. During Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase), Contractor shall continue to provide specialized training, on a quarterly basis, for County-specified Users. During Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase), Contractor shall provide updated RMIS Training Materials.

Contractor shall provide and maintain all RMIS Training Materials in electronic copy format for each training session, consistent with the Curriculum Plan described in Deliverable 10.3.1 (RMIS Training Materials). Contractor shall work with County to develop materials that reflect realistic scenarios based on County standard business processes and procedures, tailored to User groups as required. The training materials and tutorials shall accurately reflect the online version of RMIS functionality.

Contractor shall provide electronic copy Documentation to each User by the first day of any classroom training (or videoconference training, if proposed by Contractor and approved by County) and online Documentation and/or help functions by the first day of function and/or feature implementation in the new RMIS.

Contractor shall provide County with master copies of all training materials. The RMIS Training Materials shall be clear and understandable to both Users and technical staff.

3.10.3.1 Deliverable 10.3.1: RMIS Training Materials

Contractor shall provide County with RMIS Training Materials in accordance with Subtask 10.3.1 (Prepare RMIS Training Materials) and Exhibit A.1 (System Requirements).

RMIS Training Materials for Risk Management Systems Users shall include:

1. Master copies in electronic format of all training materials and manuals provided by Contractor and third parties (e.g., product vendors);

2. Electronic copy training materials for each trainee;

3. Online RMIS tutorials and Documentation;

3.10.4 Subtask 10.4: Prepare for Operations

Contractor shall provide all support and operational procedures, tools, and facilities in accordance with Subtask 10.4 (Prepare for Operations) and the schedule provided in Deliverable 10.1.1 (Implementation Master Plan), including:

1. Primary Central Site and Backup Central Site;

2. Integrate with County's Active Directory Federation Services, if applicable

Contractor shall certify RMIS operational readiness in Deliverable 10.4.1 (Certification of Operational Readiness) prior to the start of Task 11 (Implementation).

3.10.4.1 Deliverable 10.4.1: Certification of Operational Readiness

Contractor shall provide the Certification of Operational Readiness which shall certify that the RMIS is operational and ready for Task 11 (Implementation).

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, and Technical Infrastructure Design Document.

3.10.5 Subtask 10.5: Prepare for Implementation

Contractor shall prepare Deliverable 10.5.1 (Certification of Implementation Readiness Report and Plans Update). County will review Deliverable 10.5.1 (Certification of Implementation Readiness Report and Plans Update) and determine whether Contractor has corrected all Deficiencies and/or undertaken all corrective actions required by County's Project Director, in accordance with this SOW, and has adequately addressed all potential risks that have been identified by Contractor or County.

Contractor shall update Deliverable 9.1.1 (Implementation Master Plan) and any contingency plans referenced by Deliverable 9.1.1 (Implementation Master Plan). As part of Deliverable 10.5.1 (Certification of Implementation Readiness Report and Plans Update), Contractor shall deliver all updated plans to County for approval.

Approval of Deliverable 10.5.1 (Certification of Implementation Readiness Report and Plans Update) by County's Project Director will allow Contractor to proceed to Task 11 (Implementation).

3.10.5.1 Deliverable 10.5.1: Certification of Implementation Readiness Report and Plans Update

Contractor shall provide the Certification of Implementation Readiness Report, which shall summarize all actions taken

during Subtask 10.5 (Prepare for Implementation) to correct Deficiencies identified by Contractor or County during Implementation. The summary shall include for each Deficiency:

1. Description of each Deficiency and its root cause;

2. Business processes, RMIS functions, and/or Interfaces impacted;

3. Description of all potential risks to the RMIS, including implementation, and mitigation strategy for the RMIS;

4. Corrective action plan, test scenarios, and implementation approach;

5. Schedule for completion of each corrective action and resources required/assigned;

6. Status of each corrective action;

7. Date of completion of each correction; and

8. Date of County's Project Director's approval of each correction, as applicable.

In this Deliverable 10.5.1, Contractor shall certify in writing that all corrective actions required by County's Project Director for implementation have been successfully completed and that each correction has been approved by County's Project Director, in accordance with this SOW.

Contractor shall provide County an updated Deliverable 9.1.1 (Implementation Master Plan) including any contingency plans included in Deliverable 9.1.1 (Implementation Master Plan).

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, and Technical Infrastructure Design Document.

3.11 TASK 11: IMPLEMENTATION

Contractor shall implement the RMIS in accordance with the County-approved updated Deliverable 9.1.1 (Implementation Master Plan) provided in Deliverable 10.5.1 (Certification of Implementation Readiness Report and Plans Update). Contractor shall perform the following work during this Task 11:

1. Complete all data conversion activities and report on results;

2. Train County-specified support staff and County-specified Users;

3. Verify that all Local Office Sites are ready for cutover to the RMIS;

4. Prepare interim and final reports documenting the results of implementation; and

5. Achieve County's Project Director approval of the successful completion of Implementation, which allows the move from Phase 1 (Design/Development/Implementation Phase) to Phase 2 (Performance Verification Phase).

3.11.1 Subtask 11.1: Execute Conversion Plan

Contractor shall execute the Conversion Plan, provided in Deliverable 9.2.1 (Updated Conversion Plan), including data preparation and quality assurance testing. Contractor shall report on the results of each data conversion effort in Deliverable 11.1.1 (Conversion Results Report). These reports detail the progress and accuracy of all data conversion activities until Risk Management Systems are completely migrated to the RMIS.

At the conclusion of this Subtask 11.1, Contractor shall prepare Deliverable 11.1.2 (Conversion Final Report). As part of Deliverable 11.1.2 (Conversion Final Report), Contractor shall describe recommended methods for any ongoing data verification and/or reconciliation needs.

3.11.1.1 Deliverable 11.1.1: Conversion Results Reports

Contractor shall prepare a Conversion Results Report which shall include:

1. Data conversion results and performance analysis;

2. Data conversion problems identified by Contractor or County, including discrepant conversions, and failed conversions; and

3. For each data conversion problem identified by Contractor or County, include:

   A. Description of each problem and its root cause;

   B. Business processes, RMIS functions, and/or Interfaces impacted;

   C. Description of all potential risks to the RMIS, including to Implementation, and mitigation strategy for the RMIS;

   D. Corrective action plan, test scenarios, and implementation approach;

   E. Schedule for completion of each corrective action and resources required/assigned;

F. Status of each corrective action;

G. Date of completion of each correction; and

H. Date of County's Project Director's approval of each correction, as applicable.

3.11.1.2 Deliverable 11.1.2: Conversion Final Report

After the successful completion of all data conversion activities, Contractor shall prepare a Conversion Final Report which shall summarize all data conversion activities and recommendations for ongoing data verification and/or reconciliation needs.

3.11.2 Subtask 11.2: Conduct RMIS Training

Contractor shall conduct RMIS training in accordance with Deliverable 10.3.1 (RMIS Training Materials). Contractor shall provide all trainers, training manuals and materials, training locations, network connectivity, and equipment necessary to train County-specified Users. Upon completion of Implementation, Contractor shall prepare Deliverable 11.2.1 (RMIS Training Report) that contains how many Users received training, and any retraining that was required.

3.11.2.1 Deliverable 11.2.1: RMIS Training Report

Contractor shall provide the RMIS Training Report which shall summarize all training delivered to Users, document the effectiveness of this training and provide recommendations for further training activities or processes.

3.11.3 Subtask 11.3: Verification of Local Office Site Readiness

Contractor shall verify implementation readiness at Local Office Sites (sites with RMIS Users including County departments and County TPAs), including the following:

1. RMIS functionality continues to meet the Specifications, including Deliverable 6.1 (FDD).

2. RMIS performance (e.g., availability and response time) is being met as set forth in the Agreement.

3. All claims, related data, and information maintained by each Local Office Site scheduled for conversion have been successfully converted.

4. All Users at each scheduled Local Office Site have received appropriate training according to their roles as described in Subtask 11.2 (Conduct RMIS Training).

5. All User documentation has been delivered and is accessible to Users at the scheduled Local Office Sites.

6. Contractor support staff has been assigned to each Local Office.

3.11.3.1 Deliverable 11.3.1: Certification of Local Office Site Readiness

Contractor shall provide a Certification of Local Office Site Readiness for each group of Local Office Sites certifying that the Local Office Sites meet all implementation readiness requirements and are prepared for Production Use of the RMIS, in accordance with Subtask 11.3 (Verification of Local Office Site Readiness).

3.11.4 Subtask 11.4: Execution of Implementation

After County's Project Director approval of Deliverable 11.3.1 (Certification of Local Office Site Readiness), Contractor shall bring the Local Office Sites online for Production Use in accordance with the accepted schedule.

Contractor and County shall assess the following for at least thirty (30) days following the implementation of each group of Local Office Sites:

1. Impact on RMIS performance;

2. Continued effectiveness of M&O Services;

3. User feedback as to ease of use and support of the business processes;

4. Adequacy of RMIS support tools, procedures, and documentation;

5. Impact on the ability to produce standard and ad hoc reports; and

6. Any other matter requested by County's Project Director.

If Deficiencies are identified by Contractor or County during any implementation, Contractor shall develop and execute (with prior approval of County's Project Director) a corrective action plan to describe how each Deficiency will be corrected and a schedule for the corrective actions. Each corrective action plan shall include:

1. Description of each Deficiency and its root cause;

2. Business processes, RMIS functions, and/or Interfaces impacted;

3. Description of all potential risks to the RMIS, including implementation, and mitigation strategy for the RMIS;

4. Corrective action plan, test scenarios, and implementation approach;

5. Schedule for completion of each corrective action and resources required/assigned;

6. Status of each corrective action; and

7. Approval procedures that require County's Project Director's approval of each correction, as applicable.

Contractor shall document the results of the implementation of Local Office Sites in Deliverable 11.4.1 (Local Office Site Implementation Interim Reports).

3.11.4.1 Deliverable 11.4.1: Local Office Site Implementation Interim Reports

Contractor shall provide its analysis of RMIS performance requirements and functionality after implementation of Local Office Sites and verify that the RMIS remains fully operational. Contractor shall provide a Local Office Site Implementation Interim Report which shall document the results of the implementation, including:

1. Impact on RMIS performance;

2. Continued effectiveness of M&O Services;

3. User feedback as to ease of use and support of the business processes;

4. Adequacy of RMIS support tools, procedures, and documentation; and

5. Impact on the ability to produce standard and ad hoc reports.

For each group of Local Office Sites, Contractor shall summarize all actions taken during Local Office Site implementation to correct any Deficiencies identified during Local Office Site implementation, including: (i) description of each Deficiency and its root cause; (ii) business processes, RMIS functions, or Interfaces impacted; (iii) corrective action(s) taken; and (iv) outcome(s). Contractor shall also summarize any remaining Deficiencies that need to be corrected prior to continuing Task 11 (Implementation); provide its assessment of the potential risk(s) to implementation, proposed approach to risk mitigation, and plans to implement any corrective actions.

3.11.5 Subtask 11.5: Completion of Implementation

Prior to the completion of Task 11 (Implementation), Contractor shall provide to County evidence, including supporting documentation, that all requirements for Implementation have been successfully met. Contractor

shall conduct a review of Deliverable 11.5.1 (Implementation Report) with County at a meeting and provide any County-requested demonstrations of the deployed RMIS.

Contractor shall evaluate the status of each Deficiency identified by Contractor or County, and shall include for each Deficiency:

1. Description of each Deficiency and its root cause;

2. Business processes, RMIS functions, and/or Interfaces impacted;

3. Description of all potential risks to the RMIS and mitigation strategy for the RMIS;

4. Corrective action plan, test scenarios, and implementation approach;

5. Incorporation of test scenario(s) into automated regression testing to detect each Deficiency;

6. Schedule for completion of each corrective action and resources required/assigned;

7. Status of each corrective action;

8. Date of completion of each correction; and

9. Date of County's Project Director's approval of each correction, as applicable.

Contractor shall provide:

1. Summary of lessons learned; and

2. Recommendations for any improvements to the RMIS.

Approval of Deliverable 11.5.1 (Implementation Report) by County's Project Director constitutes successful completion of implementation and allows the move from Phase 1 (Design/Development/Implementation Phase) to Phase 2 (Performance Verification Phase).

3.11.5.1 Deliverable 11.5.1: Implementation Report

Contractor shall provide the Implementation Report documenting the successful completion of Task 11 (Implementation), including:

1. Summary of Task 11 (Implementation) activities, results, and outcomes;

2. Summary of each Deficiency identified by Contractor or County. The summary shall include for each Deficiency:

A. Description of each Deficiency and its root cause;

B. Business processes, RMIS functions, and/or Interfaces impacted;

C. Description of all potential risks to the RMIS and mitigation strategy for the RMIS;

D. Corrective action plan, test scenarios, and implementation approach;

E. Schedule for completion of each corrective action and resources required/assigned;

F. Status of each corrective action;

G. Date of completion of each correction; and

H. Date of County's Project Director's approval of each correction, as applicable.

3. Summary of lessons learned; and

4. Recommendations for any improvements to the RMIS.

Contractor shall provide an updated Requirements Traceability Matrix which shall include the status of each functional, technical, and training requirement.

3.11.5.2 Deliverable 11.5.2: Certification of Implementation

Contractor shall provide the Certification of Implementation certifying the successful completion of implementation and that Contractor has completed all work necessary for the RMIS to be available for Production Use by all Users. The Certification shall also document the review with County of Deliverable 11.5.1 (Implementation Report), including agenda, attendees, action items, and supporting documentation.

Approval of Deliverable 11.5.2 (Certification of Implementation) by County's Project Director constitutes successful completion of Implementation and allows the move from Phase 1 (Design/Development/Implementation Phase) to Phase 2 (Performance Verification Phase).

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, and Conversion Plan.

3.12 TASK 12: PHASE 2 (PERFORMANCE VERIFICATION PHASE)

Phase 2 (Performance Verification Phase) will commence upon successful completion of Phase 1 (Design/Development/Implementation Phase), as determined by County's Project Director, and continue through the following six (6) months; Performance Verification Phase may overlap with the (Operational Verification) Phase 3 as the Implementation is developed in Phase 1, but by no means will the overlap extend the total number of months for all three Phases.

During Phase 2 (Performance Verification Phase), Contractor shall measure and report on RMIS performance using the metrics described in the Performance Management Plan and in Exhibits A.1 (System Requirements) and A.2 (System Interfaces) (including Exhibit A.2.1 thereto) during this period of six (6) months following Implementation.

Prior to Final Acceptance: (i) all Deficiencies identified by Contractor or County during Phase 1 (Design/Development/Implementation Phase) and Phase 2 (Performance Verification Phase) shall be corrected by Contractor, and all corrections of such Deficiencies must have been approved by County's Project Director in accordance with this SOW, and (ii) following County's Project Director's approval of all such corrections, the RMIS must have performed for thirty (30) consecutive days in compliance with the Specifications, including all performance requirements, with no Severity Level 1-Critical or Severity Level 2-Severe Deficiencies (as defined in Exhibit J (Service Level and Warranty Agreement).

Contractor shall perform work during Phase 2 (Performance Verification Phase) which shall include:

1. **M&O Services:** Contractor shall continue to provide M&O Services in accordance with the M&O Services Plan;

2. **C&E Services:** Contractor shall provide C&E Services in accordance with the C&E Services Plan; and

3. **Specialized Training:** Contractor shall continue to provide specialized training, on a quarterly basis, for County -specified Users in accordance with the RMIS Training Plans.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, Requirements Traceability Matrix, Technical Infrastructure Design Document, RMIS Training Plans, and any other documents, as requested from time-to-time by County's Project Director.

3.12.1 Subtask 12.1: Continue Specialized Training

Contractor shall continue to provide specialized training, on a quarterly basis, for County-specified Users in accordance with the RMIS Training Plans.

3.12.1.1 Deliverable 12.1.1: Specialized Training Reports

Contractor shall provide Specialized Training Reports, on a quarterly basis, which shall summarize all specialized training delivered during the previous quarter to County-specified Users.

3.12.2 Subtask 12.2: Develop RMIS Transition Plan

At least thirty (30) days prior to, and upon, expiration or termination of the Agreement, and at any other times as set forth in the Agreement, Contractor shall have the following transition responsibilities:

1. Preparation of a RMIS Transition Plan, which shall provide for a smooth transition or transfer of the RMIS and County Data from Contractor's Hosting Environment to a new environment of County or County-selected vendor under Subparagraph 15.7 (Termination Transition Services) of the Agreement.

2. Identification of transition team roles and responsibilities.

3. Proposed timeline for completion of transition activities.

4. Training plan and training of County-specified persons for the transition of County Data for the RMIS.

5. Submission of the RMIS Transition Plan to County for approval.

Contractor shall provide an initial draft of Deliverable 12.2 (RMIS Transition Plan) within thirty (30) days of completing Deliverable 11.5.1 (Implementation Report). Contractor shall maintain and update the RMIS Transition Plan annually for County's Project Director approval and be able to provide an updated copy within thirty (30) days of County request.

3.12.2.1 Deliverable 12.2.1: RMIS Transition Plan

Contractor shall provide the RMIS Transition Plan which shall include:

1. Procedures and processes which shall provide for a smooth transition or transfer of the RMIS and County Data from Contractor's Hosting Environment to a new environment of County or County-selected vendor under Subparagraph 15.7 (Termination Transition Services) of the Agreement.

2. Identification of transition team roles and responsibilities.

3. Proposed timeline for completion of transition activities.

4. Training plan and training of County -specified persons for the transition of the County Data for the RMIS.

5. Information and supporting documentation, as required by County, related to volumes, file sizes, and growth trends.

3.12.3 Subtask 12.3: Prepare Performance Verification Report

At the completion of Phase 2 (Performance Verification Phase), Contractor shall provide to County evidence, including supporting documentation that the RMIS substantially complies with the Specifications, including all performance requirements, under full production load. Contractor shall conduct a review of Deliverable 12.3.1 (Performance Verification Report) with County at a meeting scheduled by County and provide any County-requested demonstrations of the RMIS.

3.12.3.1 Deliverable 12.3.1: Performance Verification Report

Contractor shall provide the Performance Verification Report, documenting the completion of Phase 2 (Performance Verification Phase), including:

1. Summary of Task 12 (Phase 2 (Performance Verification Phase)) activities, results, and outcomes;

2. Summary of each Deficiency identified by Contractor or County. The summary shall include for each Deficiency:

   A. Description of each Deficiency and its root cause;

   B. Business processes, RMIS functions, and/or Interfaces impacted;

   C. Description of all potential risks to the RMIS and mitigation strategy for the RMIS;

   D. Corrective action plan, test scenarios, and implementation approach;

   E. Schedule for completion of each corrective action and resources required/assigned;

   F. Status of each corrective action;

   G. Date of completion of each correction; and

   H. Date of County's Project Director's approval of each correction, as applicable.

3. Summary of lessons learned; and

4. Recommendations for any improvements to the RMIS.

Contractor shall provide an updated Requirements Traceability Matrix which shall include the status of each functional, technical, and training requirement.

Additionally, Contractor shall provide the Certification of Performance Verification, certifying that the Licensed Software and the System substantially complies with the Specifications and documenting the performance verification review conducted under Task 12, including agenda, attendees, action items, and supporting documentation.

3.13 TASK 13: PHASE 3 (OPERATIONAL PHASE)

Phase 3 (Operational Phase) will commence upon the completion of Phase 2 (Performance Verification Phase). Contractor shall provide work in Phase 3 (Operational Phase) which shall include:

1. **M&O Services:** Contractor shall continue to provide M&O Services in accordance with the M&O Services Plan;

2. **C&E Services:** Contractor shall continue to provide C&E Services in accordance with the C&E Services Plan; and

3. **Specialized Training:** Contractor shall continue to provide specialized training, on a quarterly basis, for County-specified Users in accordance with the RMIS Training Plans.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, Requirements Traceability Matrix, RMIS Training Plans, and any other documents, as requested from time-to-time by County's Project Director.

3.13.1 Subtask 13.1: Ongoing Specialized Training

Contractor shall continue to provide specialized training, on a quarterly basis, for County -specified Users in accordance with the RMIS Training Plans.

3.13.1.1 Deliverable 13.1.1: Ongoing Specialized Training Reports

Contractor shall provide ongoing Specialized Training Reports, on a quarterly basis, which shall summarize all specialized training delivered during the previous quarter to County -specified Users.

3.13.2 Subtask 13.2: Final Acceptance Report and Certification

Contractor shall provide to County evidence, including supporting documentation, that: (i) all Deficiencies identified by Contractor or County during Phase 1 (Design/Development/Implementation Phase) and Phase 2 (Performance Verification Phase) have been corrected by Contractor in accordance with this SOW; (ii) all corrections of such Deficiencies have been approved by County's Project Director; and (iii) following County

Project Director's approval of all such corrections, the RMIS has performed for thirty (30) consecutive days in compliance with the Specifications, including all performance requirements, with no Severity Level 1-Critical or Severity Level 2-Severe Deficiencies (as defined in Exhibit J (Service Level and Warranty Agreement). If any Severity Level 1-Critical or Severity Level 2-Severe Deficiencies are identified by Contractor or County during Phase 3 (Operational Phase) then Contractor shall correct such Deficiency and all corrections must be approved by County's Project Director before such thirty (30) consecutive day period shall again commence. Contractor shall conduct a review of Deliverable 13.2.1 (Final Acceptance Report) with County at a meeting scheduled by County and provide any County-requested demonstrations of the RMIS.

3.13.2.1 Deliverable 13.2.1: Final Acceptance Report

Contractor shall provide the Final Acceptance Report, documenting the achievement of Final Acceptance.

3.13.2.2 Deliverable 13.2.2: Final Acceptance Certification [KEY]

Contractor shall provide the Final Acceptance Certification, certifying that: (i) Deficiencies identified by Contractor or County during Phase 1 (Design/Development/Implementation Phase) and Phase 2 (Performance Verification Phase) have been corrected by Contractor in accordance with this SOW; (ii) corrections of such Deficiencies have been approved by County's Project Director; and (iii) following County's Project Director's approval of all such corrections, the RMIS has performed for thirty (30) consecutive days in compliance with the Specifications, including all performance requirements, with no Severity Level 1-Critical or Severity Level 2-Severe Deficiencies (as defined in Exhibit J (Service Level and Warranty Agreement). The Certification shall also document the review with County of Deliverable 13.2.1 (Final Acceptance Report), including agenda, attendees, action items and supporting documentation.

County requires thirty (30) days to approve this Deliverable 13.2.2. County approval of this Deliverable 13.2.2 shall signify Final Acceptance of the RMIS by County.

Contractor shall provide an updated PCD, M&O Services Plan, C&E Services Plan, Conversion Plan, Requirements Traceability Matrix, RMIS Training Plans, and any other applicable documents.

3.13.3 Subtask 13.3: Outgoing Transition Support

Prior to the expiration or termination of the Agreement, Contractor shall provide Transition Services under and in accordance with Subparagraph 15.7 (Termination Transition Services) of the Agreement, including training

and other support to County and the County -selected vendor to transition the RMIS in accordance with the RMIS Transition Plan.

3.13.3.1 Deliverable 13.3.1: Certification of Completion of Outgoing Transition Support

Contractor shall certify to County that all activities described in Deliverable 12.2.1 (RMIS Transition Plan), as updated and approved by County through the term of the Agreement, have been successfully completed.

3.14 TASK 14: PERFORMANCE REQUIREMENTS SUMMARY

County shall provide a Performance Requirements Summary (PRS) chart, (Exhibit A.6 (Performance Requirements Summary Chart)), listing required Services that will be monitored by the County during the term of the Agreement is an important monitoring tool for the County. The chart should:

- reference section of the Agreement
- list required services
- indicate method of monitoring
- indicate the deductions/fees to be assessed for each Service that is not satisfactory

Once developed and updated pursuant to this subtask, Contractor shall adhere to the Performance Requirements Summary (PRS). All listings of services used in the PRS are intended to be completely consistent with the Agreement and the SOW, and are not meant in any case to create, extend, revise, or expand any obligation of Contractor beyond that defined in the Agreement and the SOW. In any case of apparent inconsistency between services as stated in the Agreement and the SOW and the PRS, the meaning apparent in the Agreement and the SOW will prevail. If any service seems to be created in the PRS which is not clearly and forthrightly set forth in the Agreement and the SOW, that apparent service will be null and void and place no requirement on Contractor, unless mutual agreed to by Contractor and County as a Change Notice, Change Order, or Amendment, as the case may be, in accordance with the Agreement.

3.14.1 Subtask 14.1: Adhere to the Performance Requirements Summary

Contractor is responsible for all services, tasks, and benchmarks as set forth in the PRS.

3.14.1.1 Deliverable 14.1.1: Performance Requirements Summary Chart Report

Contractor shall review and identify in the PCD when each service, task, and benchmark will be performed.

3.14.1.2 Deliverable 14.1.2: Performance Requirements Summary Chart Update

Contractor shall discuss the PRS with County to update services, tasks and benchmarks as stipulated.

3.14.1.3 Deliverable 14.1.3: Performance Requirements Summary Completion

Contractor shall adhere to the PRS with County to complete services, tasks and benchmarks as stipulated.

3.15 TASK 15: CONTRACT DISCREPANCY REPORT (EXHIBIT A.7)

Verbal notification of an Agreement discrepancy will be made to the County Contract Project Monitor as soon as possible whenever an Agreement discrepancy is identified. The problem shall be resolved within a time period mutually agreed upon by the County and the Contractor.

The County Contract Project Monitor will determine whether a formal Contract Discrepancy Report in the form attached hereto as Exhibit A.7 shall be issued. Upon receipt of this document, the Contractor is required to respond in writing to the County Contract Project Monitor within five (5) business days, acknowledging the reported discrepancies or presenting contrary evidence. A plan for correction of all deficiencies identified in the Contract Discrepancy Report shall be submitted to the County Contract Project Monitor within five (5) business days.

3.15.1 Subtask 15.1: Adherence to Contract Discrepancy Report

Contractor is responsible for the resolution of all discrepancies as listed in the Contract Discrepancy Report (CDR).

3.15.1.1 Deliverable 15.1.1: Contract Discrepancy Report

Contractor shall respond to the CDR with its action plan.

3.15.1.2 Deliverable 15.2.1: Contract Discrepancy Report Update

Contractor shall consult County to update the CDR as it remedies the discrepancy and/or modify the CDR accordingly.

3.15.1.3 Deliverable 15.3.1: Contract Discrepancy Report Completion

Contractor shall comply with the CDR to complete the discrepancy.

3.16 TASK 16: GREEN INITIATIVE

3.16.1 Subtask 16.1: Develop Green Initiative Compliance Plan

3.16.1.1 Deliverable 16.1.1: Green Initiative Compliance Plan

Contractor shall use reasonable efforts to initiate "green" practices for environmental and energy conservation benefits.

3.16.2 Subtask 16:2: Completion of Green Initiative Implementation

3.16.2.1 Deliverable 16.2.1: Green Initiative Implementation Report

Contractor shall notify County's Project Manager of Contractor's new green initiatives prior to the Agreement commencement. Contractor shall submit its implementation report to County's Project Director for approval.

4.0 DELIVERABLE SUMMARY:

This Section 4 provides a summary of all Deliverables for Phase 1 (Design/Development/Implementation Phase), Phase 2 (Performance Verification Phase), and Phase 3 (Operational Phase) as detailed in the sections above. County requirements for due dates are specified. As part of Contractor's Project Schedule, Contractor shall provide a proposed schedule for the submission of all Deliverables to County in accordance with County requirements.

4.1 PHASE 1 (DESIGN/DEVELOPMENT/IMPLEMENTATION PHASE) DELIVERABLES:

Table 1: Deliverables for Task 1 – Project Administration

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
1.1.1	3.1.1.1	Project Control Document (PCD) [KEY]	Effective Date + 30 days
1.1.2	3.1.1.2	Incoming Orientation Plans	Effective Date + 90 days
1.1.3	3.1.1.3	Project Initiation Completion Report	Completion of Subtask 1.1
1.2.1	3.1.2.1	M&O Services Plan	In PCD
1.2.2	3.1.2.2	C&E Services Plan	In PCD
1.2.3	3.1.2.3	Conversion Plan	In PCD
1.3.1	3.1.3.1	Ongoing Project Administration	In PCD

Table 2: Deliverables for Task 2 – Development Methodology and Technical Practices

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
2.1.1	3.2.1.1	System Development Lifecycle Orientation and Materials	In PCD

Table 3: Deliverables for Task 3 – Requirements Verification and Analysis

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
3.1.1	3.3.1.1	Requirements Verification Schedule	In PCD
3.2.1	3.3.2.1	System Requirements Document (SRD)	In PCD
3.2.2	3.3.2.2	Requirements Traceability Matrix and Report [KEY]	In PCD

Table 4: Deliverable for Task 4 – General Design

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
4.1.1	3.4.1.1	General Design Document [KEY]	In PCD

Table 5: Deliverables for Task 5 – Technical Infrastructure Planning and Design

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
5.1.1	3.5.1.1	Technical Infrastructure Design Document [KEY]	In PCD
5.2.1	3.5.2.1	Facility Management Plan	In PCD
5.3.1	3.5.3.1	Information Systems Security Plan	In PCD

Table 6: Deliverables for Task 6– Functional Design

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
6.1.1	3.6.1.1	Functional Design Document (FDD) [KEY]	In PCD
6.2.1	3.6.2.1	Functional Design Presentation Report	Completion of Task 6

Table 7: Deliverables for Task 7 – Licensed Software and Conversion Tools

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
7.1.1	3.7.1.1	Licensed Software Development Plan (SDP)	In PCD
7.2.1	3.7.2.1	Licensed Software Development Review Report	In PCD
7.3.1	3.7.3.1	RMIS Licensed Software SDLC Standards	In PCD
7.4.1	3.7.4.1	Licensed Software Components/Modules and Conversion Software Programs/Tools	In PCD
7.5.1	3.7.5.1	Unit Test Template	In PCD
7.5.2	3.7.5.2	Unit Test Procedures and Results Report	In PCD
7.6.1	3.7.6.1	Interface Control Documents (ICD)	In PCD
7.6.2	3.7.6.2	Interface Test Procedures and Results Report	In PCD
7.6.3	3.7.6.3	Interface Documentation	In PCD

Table 8: Deliverables for Task 8 –Testing

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
8.1.1	3.8.1.1	Master Test Plan	In PCD
8.2.1	3.8.2.1	Integration Test Plan	In PCD
8.2.2	3.8.2.2	Integration Test Procedures	In PCD
8.2.3	3.8.2.3	Integration Test Results Report	In PCD
8.2.4	3.8.2.4	Integration Test Summary Report	Completion of Subtask 8.2
8.2.5	3.8.2.5	System Test Plan	In PCD
8.2.6	3.8.2.6	System Test Procedures	In PCD
8.2.7	3.8.2.7	System Test Results Report	In PCD
8.2.8	3.8.2.8	System Test Summary Report	In PCD
8.3.1	3.8.3.1	Recommended User Acceptance Test Plan	In PCD
8.3.2	3.8.3.2	User Acceptance Test Procedures/Scenarios Inventory Report	In PCD
8.3.3	3.8.3.3	User Acceptance Test Weekly Status Reports	In PCD
8.3.4	3.8.3.3	User Acceptance Test Certification of Successful Completion [KEY]	In PCD

Table 9: Deliverables for Task 9– Implementation Planning

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
9.1.1	3.9.1.1	Implementation Master Plan	In PCD
9.2.1	3.9.2.1	Updated Conversion Plan	In PCD
9.3.1	3.9.3.1	RMIS Training Plans	In PCD

Table 10: Deliverables for Task 10 – Implementation Preparation

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
10.1.1	3.10.1.1	Documentation	Prior to start of Task 11
10.2.1	3.10.2.1	RMIS Helpdesk Procedures	Prior to start of Task 11
10.3.1	3.10.3.1	RMIS Training Materials	30 days prior to start of Task 11
10.4.1	3.10.4.1	Certification of Operational Readiness	Prior to start of Task 11
10.5.1	3.10.5.1	Certification of Implementation Readiness Report and Plans Update	Prior to start of Task 11

Table 11: Deliverables for Task 11 –Implementation

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
11.1.1	3.11.1.1	Conversion Results Report	In PCD
11.1.2	3.11.1.2	Conversion Final Report	In PCD
11.2.1	3.11.2.1	RMIS Training Report	In PCD
11.3.1	3.11.3.1	Certification of Local Office Site Readiness	For each Local Office Site
11.4.1	3.11.4.1	Local Office Site Implementation Interim Reports	After the completion of implementation activities at each Local Office Site or group of Local Office Sites
11.5.1	3.11.5.1	Implementation Report	Completion of Task 11
11.5.2	3.11.5.2	Certification of Implementation	Completion of Task 11

4.2 PHASE 2 (PERFORMANCE VERIFICATION PHASE) DELIVERABLES:

The Deliverables for Phase 2 (Performance Verification Phase) are shown on the Table below.

Table 12: Deliverables for Task 12 – Phase 2 (Performance Verification Phase)

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
12.1.1	3.12.1.1	Specialized Training Reports	In PCD
12.2.1	3.12.2.1	RMIS Transition Plan	In PCD
12.3.1	3.12.3.1	Performance Verification Report	In PCD

4.3 PHASE 3 (OPERATIONAL) DELIVERABLES:

The Deliverables for Phase 3 (Operational Phase) are shown on the Table 13 below.

Table 13: Deliverables for Task 13 – Phase 3 (Operational Phase)

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
13.1.1	3.13.1.1	Ongoing Specialized Training Reports	In PCD
13.2.1	3.13.2.1	Final Acceptance Report	In PCD
13.2.2	3.13.2.2	Final Acceptance Certification [KEY]	In PCD
13.3.1	3.13.3.1	Certification of Completion of Outgoing Transition Support	In PCD

4.4 STANDARD DELIVERABLES

Table 14: Deliverables for Task 14 – Performance Requirements Summary

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
14.1.1	3.14.1.1	Performance Requirement Summary Chart Report	In PCD
14.1.2	3.14.1.2	Performance Requirement Summary Chart Update	Completion of Task 14
14.1.3	3.14.1.3	Performance Requirement Summary Completion	Completion of Task 14

Table 15: Deliverables for Task 15 – Contract Discrepancy Report

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
15.1.1	3.15.1.1	Contract Discrepancy Report	Completion of Task 15
15.1.2	3.15.1.2	Contract Discrepancy Report Update	Completion of Task 15
15.1.3	3.15.1.3	Contract Discrepancy Report Completion	Completion of Task 15

Table 16: Deliverables for Task 16 – Green Initiative

DEL. #	PARA.	DELIVERABLE NAME	DUE DATE
16.1.1	3.16.1.1	Green Initiative Compliance Plan	In PCD
16.1.2	3.16.1.2	Green Initiative Implementation Report	Completion of Task 16

EXHIBIT A.1

SYSTEM REQUIREMENTS

(Functional, Technical and Training Requirements)

EXHIBIT A.1

SYSTEM REQUIREMENTS

Functional Requirements

2.1 General Functional Requirements
2.1.1 General Processing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall be user-friendly, including in presentation, navigation, and other ease of use features.	10						10					Ventiv Claims' ease of use is evident throughout its design: web-based accessibility, MS Windows-compatible, mobile accessibility, configurable dashboards, full module integration, workflow management per user, automation of manual processes.
2	The RMIS shall provide an electronic claim record with access to both current and historical RMIS data.	10						10					Core capability. Full access to current and historical claims data; as a SaaS, no archiving is needed.
3	The RMIS shall provide for processing incident or claim information based on raw data collection.	10						10					Base feature, these would be specific claim type codes.
4	The RMIS shall provide rules based on data entry to prevent duplication and inconsistencies in RMIS data.	10						10					Base feature. Application business rules will automatically check for duplicate claims, data, user ID, payments; generates alert for user action.

5	The RMIS shall provide field-level and cross-field validation upon completion of data entry by user and immediately display appropriate corrective instructions for the related field.	10						10					Base feature, handled through base application, security and tooltips.
6	The RMIS shall perform batch processing updates without affecting the performance of the RMIS.	10						10					Base feature. As a hosted SaaS solution, the entire system is available 24/7. Batch processing does not affect performance of the online application.
7	The RMIS shall allow real-time access to all incident and claim records, based on County-specified delegated authority.	10						10					Base feature. Real time access is available to any authorized user 24/7; exception: scheduled maintenance times.
8	The RMIS shall support online real-time processes and host-to-host Interfaces.	10						10					Base feature, the system supports real time processing and many interface types.
9	The RMIS shall support and fully automate any interdepartmental / interagency / intergovernmental program (e.g., State of California Workers' Compensation Information System (WCIS), Medicare Secondary Payer (MSP) Group Health Plan (GHP) based on Section 111 of the Medicare, Medicaid and SCHIP Extension Act of 2007 (MMSEA)) as specified by County.	10						10					This is supported through our IAIABC module as well as our CMS module.
10	The RMIS shall provide the ability for County-specified Users to send broadcast messages to all Users or groups of Users.	10						10					Base feature supported by System Notifications.
11	The RMIS shall provide the ability to send email notifications and/or notes and diaries to Users and other designated recipients based on business rules.	10						10					Base feature. Email notifications, notes & alerts can be set up to send to individuals or groups of users using Business Rules and Workflow Automation.
12	The RMIS shall have search capabilities across multiple displays, reports, and claim types.	10						10					Base feature of Quick View Reports and Search features in application. User role-based security is in place.

2.1 General Functional Requirements
2.1.2 Display

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide an efficient pathway to view detailed claim RMIS data from summary screens.	10						10					Fully Compliant. All screens have been built for efficiency and effectiveness.
2	The RMIS shall include the ability to present multiple views of claim information, depending on the roles and responsibilities of the County-specified User.	10						10					Base feature of user role-based security. Various levels of appropriate access: read-only, full access, no access, etc., can be set under Business Rules; managed by your System Admin.
3	The RMIS shall provide County-specified Users with a method for viewing business rules for any part of the RMIS data entry, change processing, or benefit determination processes and shall provide links to policy requirements.	10						10					Base feature governed by Business Rule Administration set up per County's requirements. Under the purview of System Administrator.
4	The RMIS shall use "reminder" or "tickler" statements that provide a direct hyperlink to the related claim, and/or screen as appropriate.	10						10					Base feature of User and Claim Diary within the system.

5	The RMIS shall prominently display confidentiality statements and privacy protections wherever appropriate.	10						10					Confidentiality can be set on the following features: Notepads, Diary, Correspondence and Document Images. Privacy can be set on SSN through the system. In addition, confidentiality statements can be configured for all outbound emails and reports. Product
6	The RMIS shall notify County-specified Users of exceptions that occur to claims during batch processing, and shall provide hyperlinks to the claim(s) and to the action(s) that need(s) correcting on the claim(s) on which the exception(s) occurred.	10						10					Base feature of Scheduler and Error Handling. Errors are captured and logged to the primary Oracle data store for analysis and remediation.

2.1 General Functional Requirements
2.1.3 Navigation

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS, upon logon by a County-specified User, shall direct the User to a "home page" specific to the User Identification (ID), which includes the following features:	10						10					Base feature. RMIS homepage appears on login.
a	Links to the RMIS broadcasts and announcements, including counts of read and unread broadcasts and announcements;	10						10					Assuming linking to RMIS website or broadcast page from Claim dashboard.
b	Links to "reminders" or "ticklers" for work that is pending on the User's caseload, including counts of "reminders" or "tickers";	10						10					Base feature. Application provides each user with a User Diary, reminding user action items created by user, by others or generated by business rules. Activities can be filtered by category, priority, date range.
c	Links to the User's message box, including counts of read and unread messages;	10						10					Base feature of Claim Mail within application. An email account is associated with each claim file.
d	Links to the RMIS online help;	10						10					Base feature. Online Help can be accessed directly from the application.
e	Links to program policy and procedures manuals;	10						10					Base feature. Manuals and documentation are available online; updated with each release. Current information maintained in Online Help.
f	Notifications of content changes to Help manuals and other related content;	10							10				Release Notes, and Custom Release Highlights.
g	Links to community resources and other related internet websites.	10						10					Configurable to enable links via Dashboards.

2	The RMIS shall allow the County-specified User to navigate through the RMIS data collection screens with minimal disruption to the natural flow of information.	10						10					Core capability of Ventiv Claims navigation design. Built-in flexibility allows users to tailor workflows, define business rules, change field names and drop-down menu options, and more, to support highly efficient flow of information.
3	The RMIS shall visually identify mandatory fields on each screen, as appropriate.	10						10					Base feature. All mandatory fields are colored in Red, have an asterisk next to the field name.
4	The RMIS shall be able to queue prior screens and previously non-mandatory RMIS data entry fields and change a RMIS data entry field from non-mandatory to mandatory, if RMIS data entry on any subsequent screen is determined to be mandatory.	10							10				The structure and workflow of iVOS, other than Flexible Forms, set all field requirements at the Tab level. There would not be a scenario where you would need to queue prior screens. Product.
5	The RMIS shall allow County-specified Users to move between screens and enter RMIS data out of sequence from the designated screen queue.	10							10				The Claim application allows users to enter data in the order they see fit.
6	The RMIS shall allow County-specified Users to save collected RMIS data and interrupt the screen queue whenever necessary.	10						10					Base application allows users to navigate from one tab to another, and return to a tab with unsaved changes.
7	The RMIS shall provide a simple method for County-specified Users to restore a previously interrupted screen queue.	10						10					Base application allows users to navigate from one tab to another, and return to a tab with unsaved changes.

2.1 General Functional Requirements
2.1.4 Local Printing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall allow County-specified Users to print County-specified claim information, including:	10						10					Base system supports local printing.
a	A detailed version of the claim information;	10							10				Base application has Face Sheet report
b	A summary version of the claim information;	10						10					Base application has Face Sheet report
c	A summary of all actions taken on the claim with user-specified data parameters.	10						10					Diary Listing or Notepad Listing
2	The RMIS shall allow County-specified Users to print screens in order to provide a copy of entered RMIS data.	10						10					Quick View Reports can be utilized to print documents.
3	The RMIS shall allow County-specified Users to print selected documents from a claim record.	10						10					Quick View Reports can be utilized to print documents.
4	The RMIS shall allow County-specified Users to print selected text from online help and/or online program policies and procedures.	10						10					Easily accomplished via copy-and-paste per Word functionality.

2.2 Incident/Claim Intake
2.2.1 Claim Reporting

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall have logic to prevent duplicate incidents or claims.	10						10					Base feature. The system does a real-time search for duplicates each time after data is typed into the Incident Date field, the Social Security Number Field, Last Name, First Name, etc.
2	The RMIS shall identify multiple claims from the same claimant across all coverage types.	10						8			2		Base feature. The system will identify and produce reports on multiple claims tied to the same claimant.
3	The RMIS shall allow County-specified Users the ability to manually add a claim.	10						10					Base feature. Users can add a claim/incident manually.
4	The RMIS shall allow claims information to be reported electronically by authorized Users at multiple locations without the need to contact the claim intake unit, with the exception of liability claims that must be entered by the Board of Supervisors.	10						10					Core capability. using the Flexible Forms intake tool incorporated into Ventiv Claims. This could be set up per County's requirements for entry permissions.
5	The RMIS shall generate a printable loss report for record keeping if a claim is reported electronically.	10						10					This would be accomplished via the solution's Reporting functionality, from the Flexible Forms tool.

2.2 Incident/Claim Intake
2.2.2 HR and Asset System Integration

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall pre-populate certain data for claim reporting using County's e-HR information.	10						10					Ventiv Claims includes a standard employee import interface (fixed-width flat file). When a claim (or injury report) is opened and a Social Security or employee number is entered, the employee information is automatically populated into the general claim window, eliminating the need to manually enter the data.
2	The RMIS shall mask Personal Identifying Information (PII) as needed.	10						10					Base feature. We ensure that customer information is not used or disclosed except as necessary to provide requested goods and services, to protect the confidentiality or security of customer information or as required by law. Our practices are validated by ISO 27001 and HIPAA accreditation.

2.2 Incident/Claim Intake
2.2.3 Incident and Claim Numbering

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall allow multiple system generated numbers to be assigned to a single claim, (e.g., Board Number, Claim Number)	10						5	5				The Claim system allows for multiple fields to capture Claim number, WC Board number, Alternate Claim number. Only Claim Number is system generated.
2	The RMIS shall convert an incident into a claim if needed.	10						10					Users have the ability to change Claim Type from Incident to any claim type codes.
3	The RMIS shall automatically assign a unique Claim Number to a claim based on County-specified rules.	10						10					The County-specific rules will be implemented during the implementation phase of the project.
4	The RMIS shall automatically assign a unique Board Number to a claim based on County-specified rules.	10						10					These are generated from the WC board and are imported as part of the return feed.
5	The RMIS shall have the capability to identify a lead claim in a multiple claim scenario with a single occurrence.	10						10					Base feature. Claim numbers can be manually input by client staff; application can auto generate claim numbers. The claim number assigned can follow numbering scheme per client requirements for claim numbers.
6	The RMIS shall provide unique claim numbering schema based on County-specified rules.	10						10					Available. Please see above response.
7	The RMIS shall have the capability to identify a litigated claim.	10						10					Claim Tab includes a Litigation checkbox.

2.3 Claim Assignment and Claim Transfers
2.3.1 Claim Assignment

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall automatically assign a newly created claim to an adjuster or TPA based on the type of claim, location and/or other specific assignment parameters.	10							5		5		Available with addition to Claim Assignment. Would require implementing specific criteria, buildout of reference data screens.
2	The RMIS shall provide the ability to manually assign certain types of claims.	10						10					Base feature. Ventiv Claims can be set up to manually assign claims per type.
3	The RMIS shall automatically notify the adjuster and/or supervisor of the new assignment, to include automatic assignments and manual assignments.	10						10					Base feature of Business Rules capability.
4	The RMIS shall provide the ability to assign different adjusters to different claims in the same occurrence. The RMIS shall provide the capability to report on those assignments for workload reports.	10						10					Base feature of Business Rules capability.

2.3 Claim Assignment and Claim Transfers
2.3.2 Mass Transfer

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall include an efficient method to mass transfer claims from one County-specified User to another.	10						10					Base feature. Supervisors can review, easily re-assign claims to other adjusters using the Assign Examiner button, and deciding which examiner, supervisor, or adjusting office to move claims to, and whether to move diaries assigned to the claim file.
2	The RMIS shall allow a mass transfer of claims from one County-specified User to another, to be conducted as a single transaction from County-specified Users, based on criteria entered as specified by County.	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.
3	The RMIS shall allow a mass transfer of claims from one County-specified office site to one or more County-specified office sites.	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.
4	The RMIS shall record and track mass transfers.	10						10					Base feature of Claim Log and Claimant Log Tables.
5	The RMIS shall include the ability to perform a mass transfer of claims of an unlimited number of claims.	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.
6	The RMIS shall allow for the selection of mass transfer criteria.	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.

7	The RMIS shall prohibit County-specified Users from mass transferring cases that do not belong to their respective County-specified office site.	10						10					Base feature. Claim/case assignment can be specified by adjuster, office, security level and other criteria set by County.
8	The RMIS shall include a method for County to designate specific criteria for a County-specified office site to receive a large movement of claims from other County-specified office site(s) through a mass transfer, including:	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.
a	Target caseloads to be reached in the specified County-specified office site;	10						8		2			Per above, claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Targeted Case Loads would require configuration of a quick view report.
b	What County-specified office site(s) will be transferring cases to the target County-specified office site;	10						10					Base feature. Claims can be reassigned on mass basis based on County criteria, office or adjuster workload, absence, etc. Also, see above.
c	The types(s) of claims that can be transferred to the target County-specified office site; and	10						10					Base feature. County can determine types of claims to be assigned to specific locations, supervisors, adjusters.
d	RMIS screens that contain the above information in order to support periodic adjustments by County-specified Users.	10						10					Case Load Management and Assign Examiner

2.4 Claims Administration
2.4.1 General Processing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide claims administration for the following:	10						10					Ventiv Claims is proven leader in claims management software, supporting multiple lines of insurance as indicated below.
a	Auto Liability;	10						10					Base offering of Ventiv Claims
b	General Liability;	10						10					Base offering of Ventiv Claims
c	Workers Compensation;	10						10					Base offering. Ventiv Claims is proven leader in WC Claims, with 100+ clients in production. Product supports all state/federal regulations for WC claims being processed in all jurisdictions within U.S. including fee schedules, UCR, indemnity rates, and WC requirements.
d	Short and Long Term Disability;	10						10					Base feature. Fully supported in Ventiv Claims.
e	Medical and Hospital Malpractice;	10						10					Base feature. Fully supported in Liability Claims.
f	First Party Property;	10						10					Base feature. Fully supported in Liability Claims.
g	Subrogation for all lines of coverage;	10						10					Base feature. Subrogation tab is offered on every claim.
h	Incident management;	10						10					Base feature of Claims module. Incident number assigned for each record created. Note that incident number can be the same or different than a claim number.
i	Corrective action plans;	10						10					Base feature of Loss Recommendation Tracking. Can be generated automatically based on responses to questions in an incident.

j	Small Claims.	10						10					Fully supported by Liability Claims.
2	The RMIS shall allow the subrogation activities for a claim to be assigned to a separate County-specified User.	10						10					Examiner 2 code, examiner 3 code Product
3	The RMIS shall include templates for capturing information, establishing settlement ranges and calculating reserves.	10						10					Ventiv Claims has a fully robust and mature Reserve Tab that allows users to set Reserves based on a myriad of factors.
4	The RMIS shall allow the County-specified User to record an assessment of liability using a percentage.	10						10					Fully supported through Claimant Questions or client-defined Fields.
5	The RMIS shall provide the capability to capture multiple liability assignments by department during the assessment of liability.	10						10					Fully supported through diary.
6	The RMIS shall use Google maps or other mapping method to show where claims occur and pinpoint concentrations.	10									10		We are currently enhancing the product to include geocoding and mapping.
7	The RMIS shall provide the ability to calculate the average weekly wage and compensation rate for Workers Compensation claims.	10						10					Base feature. The system calculates wage information by taking the average weekly wage and using that as a basis against the compensation amounts which use min's and max values, along with the appropriate percentage per compensation type set by the jurisdiction.
8	The RMIS shall provide the capability to separate self-administered claim handling for the administration, tracking and management of small claims.	10						10					Fully supported by base claim features.
9	The RMIS shall have the capability to request automated police and fire reports based on information captured in the appropriate fields.	10						10					Business rules and automated correspondence and emails can be utilized to meet this requirement
10	Intentionally Omitted.												Intentionally Omitted.
11	The RMIS shall provide the ability to assign multiple law firms/vendors to a matter.	10						10					Base feature of Litigation module allowing tracking of multiple legal matters, along with multiple claimants and attorneys.

2.4 Claims Administration
2.4.2 Notes/Diary Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide the following features for Diaries:	10						10					Diary management is a Core capability. within Ventiv Claims. Details follow below.
a	Ability to assign tasks to Users and monitor their completion;	10						10					Core capability. Users can self-assign or enter diaries; supervisors can also assign diaries to users/groups to manage workloads, monitor activities.
b	Ability to sort diary items by various criteria (e.g., date, category);	10						10					Core capability. Diary filters can be applied by category, priority, date range.
c	Ability to print diary tasks including a future diary task;	10						10					Core capability. via the Diary Listing Quick View Report.
d	Ability to delay or reset a diary reminder;	10						10					Diary reminders can be manually delayed, reset, rescheduled.
e	Ability to auto-diary (reminders);	10						10					Core capability. Users can set reminders to auto-generate or can be manually set.
f	Allow designated County Users the ability to delete a diary and prohibit other County Users from deleting a diary;	10						10					Core capability. User security can be applied to diaries, restricting access by confidentiality levels and diary category types.
g	Ability to set automated diaries, or diaries set based on certain "trigger" events, such as claims that are greater than a specified amount, claims on which no action has taken place for X days, claims exceeding an adjuster's or supervisor's authority, etc.;	10						10					Core capability accomplished via Business Rules and Workflow Automation.

h	Ability to allow for multiple diaries per claim;	10						10					Core capability. Multiple diaries can be set for various users, activities, as needed.
i	Allow County-specified Users to set diaries that interface to TPA claims systems;	10								10			This would require a Custom Diary Extract which is configured and sent downstream to the 3rd party system.
j	Ability to auto create diaries based on custom workflow;	10						10					Core capability. Users can set reminders to auto-generate or can be manually set, as function of Business Rules.
2	The RMIS shall provide the following features for Notes:	10						10					Please see details below.
a	Ability to see notes in chronological order, reverse chronological order;	10						10					Accomplished by filtering Notes by date.
b	Ability to print notes;	10						10					Using Notepad Listing Quick View Report, Notes can be easily printed.
c	Ability to assign County-defined note types;	10						10					Core capability. Per County's needs, virtually any type of electronic file can be uploaded, saved and printed as an attachment. Sample attachment types include PDF, text, CSV, JPEG, MPEG, HTML, MS Office Suite, MS Project, spreadsheets, drawings, blueprints and maps.
d	Ability to sort notes by type (medical, legal, User, etc.);	10						10					Core capability. System offers full sorting and filtering capability for Notes.
e	Ability to view and scroll through all notes;	10						10					Core capability. to sort and view Notes, with user security in place.
f	Ability to return to last viewed note;	10						10					Accomplished by filtering Notes by date.
g	Search engine within notes (by date, type, key words, etc.);	10						10					Core capability. System offers full sorting and filtering capability for Notes.
h	Ability to protect some notes from view (role based security);	10						10					Core capability. System Security allows client to restrict access by role. Notes and subsequent attachments are part of this security structure.
i	Ability to spell check a note;	10						10					Core capability. The Notepad feature includes spellcheck.
j	Ability to auto create notes based on custom workflow;	10						10					Core capability. Can be set up using the Business Rules and Workflow Automation features.

2.4 Claims Administration
2.4.3 Financial Information

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall set automated reserves based on average values or other values established for specific claim types.	10						10					Can be accomplished using Business Rules; we would need to configure reports to determine, implement average values.
2	The RMIS shall allow County Authorized Users the ability to revise the reserves that were automatically set by the RMIS.	10						10					Base feature. The system enables automated reserve changes, manual changes and using Reserve Workbooks in which the user uses Excel templates, configured by the System Administrator. In addition, the policy tables store a coverage limit that can be enforced to ensure that reserves are not set above the coverage limit.
3	The RMIS shall include a reserve worksheet that transfers the values to the financial information.	10						10					Base feature. Reserve Workbook is included as part of Reserve tab.
4	The RMIS shall provide the ability to capture allocated loss adjustment expenses.	10						10					Reserve Transaction Code and Setup - Product

5	The RMIS shall provide the ability to capture litigation fees and expenses separately from other expenses.	10						10					Base feature. The reserve area is configured with client-defined reserve buckets including tracking indemnity, medical and expense categories separately. For example, for workers' compensation clients, we typically see Indemnity, Medical, Legal, Expense, and Other, all standard Reserving Buckets. Standard Business Rules can be enabled to auto-reserve into these buckets based on claim type. The naming convention of reserve categories would be controlled by County. Reserve Transaction Code and Setup - Product
6	The RMIS shall provide the ability to capture other categories of expenses.	10						10					Base function of the system using Reserve Transaction Codes
7	The RMIS shall generate an outgoing interface to the Countywide Accounting and Purchasing System (eCAPS) for payment issuance.	10								10			see interfaces
8	The RMIS shall accept an incoming interface from the eCAPS for payment post back information.	10								10			see interfaces
9	The RMIS shall provide the ability to capture copies of issued checks/payments and attach them to the claim.	10						10					Base function of the Payment tab.
10	The RMIS shall provide the ability for the County User to view the status of the issued payment.	10						10					Base function of the Payment tab.
11	The RMIS shall provide information to enable escheatment.	10						10					Base function of the Payment tab.
12	The RMIS shall have the ability to create bulk payments when multiple payments have been issued to one vendor.	10						10					Base function within scheduled payment functionality. Scheduled payments can be done by payment transaction code. Scheduled payments can be adjusted via Scheduled Adjustments and that is also standard functionality.

13	The RMIS shall have the ability to categorize recoveries (e.g., subrogation recoveries, overpayment reimbursements, contribution, salvage).	10						10					Base function accomplished using Payment Transaction Codes and Recoveries.
14	The RMIS shall have the ability for recoveries to reduce the amounts paid so that the total incurred cost for the claim displays the net payments.	10						10					Base function using the Recoveries and Reserve Tab.
15	The RMIS shall have the ability to issue repetitive or cycle payments without intervention by the claim handler for each payment.	10						10					Base function of the Scheduled Payment tab.
16	The RMIS shall capture and process voided, returned, and stale checks.	10						10					Base function of Check Accounting feature.

2.4 Claims Administration
2.4.4 Authority and Financial Controls

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall have the ability to control reserve and payment authority for the County-specified Users.	10						10					Base function of Reserve and Payment Authority set by System Administrator.
2	The RMIS shall have the ability to restrict the County-specified User from entering payment or reserves if it exceeds their authority level.	10						10					Restricts users from saving payment as approved; authority set by System Administrator.
3	The RMIS shall have the ability to stage a payment and route the staged payment to the appropriate manager for automated approval.	10						10					Payment Approval Levels, Business Rules, Batch Payment Approval window. -
4	The RMIS shall provide the ability to control authority limits by role.	10							10				Authority limits are handled by User Limits.
5	The RMIS shall provide the ability to control and track authority levels on a transaction or aggregate basis.	10						10					Core capability using standard Reserve and Payment Authority.
6	The RMIS shall provide the ability to segregate duties to provide multiple level of approval prior to payment issuance.	10						10					Payment Approval Levels are a function of the user profile and managed by System Administrator.
7	The RMIS shall send alerts to a person or group of people whose approval is required to process a payment.	10						10					Base function set up and managed under Business Rules.
8	The RMIS shall prevent creation of duplicate payments.	10						10					Standard business rules will alert of a duplicate payment.

9	The RMIS shall prevent payment to authorized vendors if their Federal Employee Identification Number (FEIN) has not been captured for 1099 reporting purposes.	10						10					This is core capability of the Vendor Management module.
10	The RMIS shall produce a report that forecasts future period claim payments or reserves based on current open claims and historical experience for budgeting and forecasting purposes.	10						10					Future period payments are available via standard reports of Claims Intelligence.
11	The RMIS shall provide the ability to record manually issued checks.	10						10					Manual Checks are a standard Payment Method code and are fully supported.
12	The RMIS shall provide the ability to limit reserves to maximum amounts for certain types of coded loss reserves (e.g., pain and suffering, economic loss).	10						10					Security, Financial Limits and Coverage Limits - Product
13	The RMIS shall provide different payment processes that vary by type of claim type and User group that is handling the claim. Each process has its own approval levels/thresholds and number of approvers.	10						10					Each insurance type can have their own unique payment process and can define their own user limits and approvals limits.
14	The RMIS shall provide the ability for County-specified Users to issue different types of payments. Each type of payment has its own budget/reserve.	10						10					Base function of the Payment module. Payment authorization would be accommodated via workflow automation based on user-defined authority.
15	The RMIS shall ensure that sufficient reserves exist for the payment type being entered by the County-specified User.	10						10					Base function of Payment module. The system handles reserve approval based on a dollar limit.
16	The RMIS shall have eight payment authority levels.	10						10					Base function. Payment Approval Levels would be set up by the System Administrator based on County's needs.

2.4 Claims Administration
2.4.5 Audit Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall capture the date, time, and time zone of any change in the audit log.	10						10					Base function. System maintains a full audit trail of changes, including includes date data was changed and the user or data source making change,
2	The RMIS shall capture the previous value of the change in the audit log.	10						10					Base function. Available to County's Log Tables and function of Full Table Audit.
3	The RMIS shall provide the ability to report and query the audit log referenced in 2.4.5.1, 2.4.5.2, and 2.4.5.3.	10						10					Base function. Audit activity is available using Quick View Reports and Full Table Audit Logs.
4	The RMIS shall provide the ability to capture audit information for system generated changes, User changes, and steps in the process that were completed.	10						10					Base function. Audit activity is available using Quick View Reports and Full Table Audit Logs.
5	The RMIS shall have the ability to capture dates and times of specific User actions.	10						10					All transactions are captured at the row level at the very least and an edit user and edit date is captured. Product
6	The RMIS shall have the ability to display a reserve history that shows the initial and all subsequent reserve changes.	10						10					Reserve Detail Quick View - Product
7	The RMIS shall provide a complete audit trail of the changes in each data element to include the User making the change, approvals (if necessary), and the date and time of the change.	10						10					Base function. Any modification to data is logged with user ID and password. The creation and changes to data are tracked by date/time/user stamp information; there is no delete button on any claim-related page in the system.

2.4 Claims Administration
2.4.6 Content Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide ability to include standard forms and letters that are frequently used.	10						10					Base function of Correspondence Module Application has 1200+ standard forms, letters in template library. County can version or easily configure as needed. Product maintains state/jurisdictionally mandated forms.
2	The RMIS shall provide the ability to create and maintain custom County templates.	10						10					Correspondence administration provides all the tools necessary to create and maintain Templates in the system. Any data field captured in the system can be used to map to a letter template.
3	The RMIS shall provide the ability to attach letters/forms to the appropriate claim.	10						10					Base function of Correspondence module. Any document in electronic format can be saved and attached to a claim.
4	The RMIS shall provide the ability to print, email, or send via EDI when a letter or form is generated.	10						10					Base function of Correspondence module and use of Claim Mail. Any file can be sent to local printer, emailed or transmitted via interface that supports EDI and IAIABC Release 1, 2 and 3 transmission requirements.
5	The RMIS shall provide a word-processing feature such as spell check and grammar check.	10						10					Base function of Correspondence module, designed on MS Word functionality. Includes spellcheck and grammar check for American English, legal and medical languages.

6	The RMIS shall provide the ability to apply an electronic signature to solution generated letters/emails.	10						10					Base function. Correspondence module enables authorized users to apply e-signature to forms letters and correspondence.
7	The RMIS shall provide the ability to generate emails and retain a copy of the system generated email to the claim.	10						10					Base function of Claim Mail. Uses interface similar to MS Outlook, with comparable address book, text entry, file attachment capabilities. All copies of emails retained within system.
8	The RMIS shall provide the ability to attach reports or attachments to a system generated email.	10						10					Base function of the Claim Mail, which allows attachment of files per MS Outlook's capabilities.
9	The RMIS shall provide the ability to retain a copy of system generated emails along with any attachment to the claim.	10						10					Base function of Claim Mail which retains all copies of emails attached to a claim.
10	The RMIS shall provide the ability to attach documents (e.g., PDF, DOCx, XLSx, TXT, etc.) to the claim.	10						10					Base function off the application's Sticky Notes, which allow you to attach all types of computer readable electronic files to a claim.
11	The RMIS shall provide the ability to attach photographs (digital pictures) (e.g., TIFF, JPEG, GIF, PNG, etc.) to claims.	10						10					Supported using Sticky Notes, which allow you to attach all types of computer readable electronic files to a claim.
12	The RMIS shall provide the ability to attach videos (e.g., AVI, MPG, VOB, MP4, MOV, etc.) to claims.	10						10					Supported using Sticky Notes, which allow you to attach all types of computer readable electronic files to a claim.
13	The RMIS shall provide the ability to integrate with imaging for efficient workflow purposes.	10						10					The Ventiv Claims solution has integrated with several different document imaging solutions.
14	The RMIS shall provide the ability to attach audio (e.g., MP3, WAV, AAC, OGG, WMA, FLAC, etc.) based data to claims.	10						10					Supported using Sticky Notes, which allow you to attach all types of computer readable electronic files to a claim.
15	The RMIS shall provide the ability to accept incoming medical reports, medical bills, correspondence, invoices, etc., and place these documents with the claim as attachments.	10						10					Base function of Document Imaging, which enables attaching scanned documents to policy and claim records. Scanned documents can be stored in the database, ensuring they will receive the same backup protection--not always the case with paper files.

16	The RMIS shall provide the ability to include TPA Account instructions in a central repository for their staff.	10						10					There are multiple ways to attach documents to Inured, Customer, Claims records. In addition, business rules can be added to copy information onto a claim record based on claim assignment.
17	The RMIS shall provide the ability for TPA Account instructions to be used to define business rules which direct system controls and workflows.	10						10					There are multiple ways to attach documents to Inured, Customer, Claims records. In addition, business rules can be added to copy information onto a claim record based on claim assignment. The business rules can be specific to the TPA account instructions.

2.4 Claims Administration
2.4.7 Medicare Secondary Payer Reporting

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide the ability to capture the information required for Medicare Secondary Payer (MSP) Group Health Plan (GHP) reporting requirements mandated by Section 111 of the Medicare, Medicaid and SCHIP Extension Act of 2007 (MMSEA).	10						10					Base function of CMS Reporting module, which obtains for mandatory claims data to meet new and evolving Section 111 reporting.
2	The RMIS shall provide the functionality to satisfy the Medicare Secondary Payer (MSP) Group Health Plan (GHP) reporting requirements mandated by Section 111 of the Medicare, Medicaid and SCHIP Extension Act of 2007 (MMSEA).	10						10					Base function of CMS Reporting module, which obtains for mandatory claims data to meet new and evolving Section 111 reporting requirements. Features include assigning/managing Responsible Reporting Entity (RRE) IDs, running data validation reports, generating export files, importing CMS responses, and updating claims, as well as notifying adjusters of data validation issues and claim updates
3	The RMIS shall continue to ensure that all business objectives comply with the requirements of the most current version of the MMSEA Section 111 MSP Mandatory Reporting GHP User Guide.	10						10					Base function, The CMS module maintains and supports all mandated changes as well as all federal audit requirements.

2.4 Claims Administration
2.4.8 Other Filings (OSHA, ISO, etc.)

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide automated links (in both directions) with insurance/claims industry services such as ISO ClaimSearch.	10						10					Base function of system's two-way. ISO Claim Search function.
2	The RMIS shall capture information and create reports needed for OSHA reporting, including:	10						10					Base function. The system has the required OSHA fields on the claim record.
a	Cal/OSHA Form 300 Log of Work-Related Injuries and illnesses per department on a calendar year basis;	10						10					Base function. The system has the required OSHA fields on the claim record. The standard report library includes OSHA 300, OSHA 300A, OSHA 301 reports
b	Cal/OSHA Form 301 (or equivalent form, e.g., Employer's Report of Occupational Injury or Illness Form 5020) for every entry on the Cal/OSHA Form 300;	10						10					Base function. The system has the required OSHA fields on the claim record. The standard report library includes OSHA 300, OSHA 300A, OSHA 301 reports
c	Cal/OSHA Form 300A Summary of Work-Related Injuries and illnesses per department on a calendar year basis.	10						10					Base function. The system has the required OSHA fields on the claim record. The standard report library includes OSHA 300, OSHA 300A, OSHA 301 reports
3	The RMIS shall capture information and print Med-Watch required by the FDA.	10						10					Base Function of correspondence. The system can capture needed information and print Med-Watch forms required by the FDA.

2.4 Claims Administration
2.4.9 Paper Files

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		Available	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall allow County-specified Users to record and track the location of all components of paper files.	10						10					Location and components of paper files have fields that exist on the claim record.
2	The RMIS shall record and display storage location and/or boxing information, including box number, as to where the paper file is stored.	10						10					The claims system has the fields requested.

2.5 Disability Management
2.5.1 General Processing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide the ability to track employees on disability leave or on a modified/alternative assignment.	10						10					Base function of Disability Claim functionality. Ventiv Claims provides a Work Status tab on claim records and automatically calculates the days' employee is in a particular work status (restricted, modified duty, etc.) based on begin/end work dates entered into application
2	The RMIS shall provide the ability to manage all type of occupational and non-occupational claims.	10						10					Base function. The system handles multiple lines of insurance including WC, Disability and Liability claims.
3	The RMIS shall provide the ability to record and track an employee's progress related to occupational and non-occupational injuries, including their absences, work restrictions, and expected return date.	10						10					Base function. System can track and monitor Return to Work (RTW) progress for individual claims.
4	The RMIS shall provide the ability to track expiration dates at various junctions (e.g., physician notes, temporary accommodations, expiration of STD, LTD, etc.)	10						10					Base function of Work Status Tracking information in system.
5	The RMIS shall provide case type status (STD, LTD, WC) and determinations information (accepted, denied, pending, absence status).	10						10					Base function of the WC and Disability Claim pages, and Claimant Type code field.

6	The RMIS shall provide case summary information that is auto-populated by information captured in other case fields including days taken and day remaining.	10						10					The standard case summary view can be configured to include days taken off and days remaining.
7	The RMIS shall provide comprehensive work status information.	10						10					Base function of Work Status Tracking on claim records that automatically calculates days an employee is in a particular work status (restricted, modified duty, etc.) based on the begin/end work dates entered into the application. The system also captures full RTW tracking.
8	The RMIS shall provide the ability to track multiple work restrictions, including historical information.	10						10					Base function capability within. Work Status Tracking. Please see above.

2.5 Disability Management
2.5.2 Data Capture

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide the ability to add periods of WC disability benefits paid by temporary total disability, temporary partial disability, permanent partial disability, permanent total disability, and death benefits.	10						10					Base function of system tracked by Payment Transaction Code.
2	The RMIS shall provide the ability to track the following information for modified duty:	10						10					Base function accomplished using the system's Work Status Tracking.
a	Where the person is currently assigned for modified duty (location, department);	10						8			2		While the location exists on the work status tracking record, we will enhance the system to add a department lookup.
b	Data arising out of payment of Labor Code 4850/Salary Continuation;	10						10					Salary continuation payments are tracked through payment transactions.
c	Accommodations for modified duty cases;	10						10					Base function accomplished using the system's Work Status Tracking.
d	Average number of days within the modified duty plan (various parameters available);	10						10					Summary information is maintained at Work Status Tracking record. Detailed physician and treatment information is held at the Medical Management tab.
e	Detailed physician information;	10						10					Base function. The system captures full physical information, including contact info, hospital info, length of stay and other data.
f	Employee information;	10						10					Base function of Employee Interface which auto populates employee information.

g	Onset data of the illness or injury;	10						10					Base information captured at the Claim record level.
h	Assigned case manager;	10						10					Base information captured at the Claim record level.
i	Date the case was initially opened;	10						10					Base information captured at the Claim record level.
j	Date the employee was first contacted;	10						10					Base information captured at the Claim record level.
l	Provider that determined the diagnosis;	10						10					Base information captured at the Claim record level.
m	Employee's diagnoses and case-related procedures;	10						10					Base function. The system contains a medical case management tab to store medical case information.
n	Employee's retirement plan.	10						10					Employees retirement plan information can be stored at the Employee record
3	The RMIS shall provide the ability to add multiple modifications for the same employee in cases where more than one claim is open.	10						10					Base function of employee record.
4	The RMIS shall provide the ability to add non-electronic historical ADA events.	10						10					Base function of notepad tab.

2.5 Disability Management
2.5.3 Reference Material

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide direct access to the integrated disability duration guidelines and treatment guidelines for each specific diagnosis to reference evidence-based absence benchmarks and other important information regarding the relevant medical condition.	10						10					The base system has a current interface with ODG which loads the data locally into Ventiv Claims and allows users direct access lookup into the data.
2	The RMIS shall provide direct access to the Official Disability Guidelines, the Reed Group Guidelines, or other guidelines as reference.	10						10					Base function. ODG data is available for ICD codes selected on a claim. This information is available for adjusters to review best treatment practices, average medical costs, average lost time and many other factors including recommended treatment.
3	The RMIS shall provide direct access to the Official Disability Guidelines, the Reed Group Guidelines, or other guidelines as reference.	10						10					Base function. ODG data is available for ICD codes selected on a claim. This information is available for adjusters to review best treatment practices, average medical costs, average lost time and many other factors including recommended treatment.
4	The RMIS shall provide direct access to the Official Disability Guidelines, the Reed Group Guidelines, or other guidelines as reference.	10						10					Base function. ODG data is available for ICD codes selected on a claim. This information is available for adjusters to review best treatment practices, average medical costs, average lost time and many other factors including recommended treatment.

2.5 Disability Management
2.5.4 Disability Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall track work hours lost through automated calculations.	10						10					The system stores all needed data, custom reports and dashboards may be configured to meet requirements.
2	The RMIS shall produce an absence summary that tracks days taken and days remaining for STD, or other benefit programs.	10						10					The system stores all needed data, custom reports and dashboards may be configured to meet requirements.
3	The RMIS shall track absence hours against STD totals.	10						10					The system stores all needed data, custom reports and dashboards may be configured to meet requirements.
4	The RMIS shall record intermittent absences for the employee.	10						10					Base function tracked in the Work Status Tracking field.

2.6 Litigation Management
2.6.1 General

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide litigation management capabilities. Describe the fields and information that are captured.	10						10					Litigation management has a multitude of information. Detailed field information has been provided in the corresponding narrative.
2	The RMIS shall identify the claims that are litigated.	10						10					Base function of the Litigation Checkbox on the Claim tab.
3	The RMIS shall have the capability to develop litigation scorecards for the defense counsel used in different jurisdictions.	10						10					The system captures the information needed to create the scorecards, and Claims Intelligence can be used to configure the scorecards.
4	The RMIS shall provide the ability to assign/maintain the panel of approved defense counsel based on location and/or claim type.	10						10					This is accomplished using the vendor specialty feature.
5	The RMIS shall provide the ability to delineate Inside Counsel and Outside Counsel expenses and fees.	10						10					This is accomplished using payment transaction codes which will feed into the respective reserve transaction codes.
6	The RMIS shall provide access to an on-line law library via a clickable link.	10								10			This would require customization.
7	The RMIS shall provide the ability to accept a secondary claim number or "docket" number in a related field.	10						10					Base function within the Litigation module.
8	The RMIS shall include calendaring functionality within the litigation management module.	10						10					Base function of Litigation Calendar within system.

9	The RMIS shall provide the ability to integrate with an existing calendaring solution without re-entry of data.	10								10			This will be a customization to the current system.
10	The RMIS shall provide the ability to document the chain of custody for evidence.	10						5		5			The system can track this information currently, but there are several enhancements we would be making to the system to support these more robust legal matter requirements where we would improve this feature.
11	The RMIS shall provide the ability to integrate with Matter Management solutions.	10								10			This would require customization.
12	The RMIS shall provide role based security to allow only authorized Users to see legal data.	10						10					Base function. Governed by system's user role-based permissions, established by County and managed by System Admin.
13	The RMIS shall provide the capability for County Counsel to collaborate with TPAs on certain claims, but keep designated notes and other data private from the TPA.	10						10					Base function. Governed by system's user role-based permissions, established by County and managed by System Admin.
14	The RMIS shall provide the ability for designated information to be viewed by outside counsel.	10						10					Base function via use of Guest Links or general user access for authorized users.
15	Intentionally Omitted.												Intentionally Omitted.
16	The RMIS shall provide the ability to integrate with legal e-billing review and processing software.	10						10					We have a standard interface with LegalX software
17	The RMIS shall accommodate multiple plaintiffs in a matter.	10						10					Base function of Litigation module. Tracking accommodates multiple claimants and attorneys associated with a suit.

18	The RMIS shall accommodate multiple defendants in a matter.	10						5		5			The system can track this information currently, but there are several enhancements we would be making to the system to support these more robust legal matter requirements where we would improve this feature.
19	The RMIS shall allow each practice to have its own matter screen(s) with fields specific to that practice area.	10						10					Base function of role-based access that limits access by user permissions.
20	The RMIS shall provide the capability for the financial allocation for the payment of an invoice to be set at the matter.	10								10			All components of Budgeting and Invoicing would be handled through a custom enhancement to the software.
21	The RMIS shall provide the capability for the invoices submitted against the matter to inherit the payment allocation set at the matter.	10								10			All components of Budgeting and Invoicing would be handled through a custom enhancement to the software.
22	The RMIS shall provide the ability to reassign in masse, invoices and case budgets that are assigned to a County Counsel User and are currently in their review queue.	10								10			All components of Budgeting and Invoicing would be handled through a custom enhancement to the software.
23	The RMIS shall provide the ability to promote a claim to a lawsuit.	10						10					Base function within the Litigation module.

2.6 Litigation Management
2.6.2 Timekeeping

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide input screens that allow in-house attorneys or designated staff to input time spent on a matter.	10						10					Base function within the Case Management module.
2	The RMIS shall provide the following functionality for the time input screens:	10						10					Available using time tracking features as described below.
a	Bi-monthly or bi-weekly time entry;	10						5		5			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
b	Ability to code a flexible work schedule (e.g., 5-40, 9-80 and 4-40 weeks) with different Regular Days off;	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
c	Ability to code time spent on a matter while on jury duty	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.

d	Ability to track overtime hours;	10						6		4			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
e	Ability to track absences;	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
f	Ability to send notices at the end of a pay period if the time sheet is incomplete;	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
g	Ability to verify the sufficiency of in-house reserves and preventing time from being entered against a file with insufficient reserves;	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
h	Ability to print a timesheet;	10						10					Base function using Quick view report and other Claims Intelligence capabilities.
i	Ability to route timesheets to a supervisor/manager for electronic signature/approval;	10								10			While Time Tracking is an existing robust feature in the system, some additional County requirements will require customization.
j	Ability to determine and code time entered as billable or non-billable using the matter's funding source.	10						10					Base feature of time tracking module
3	The RMIS shall provide the ability for County Users to report on time entered.	10						10					Base function using Quick view report and other Claims Intelligence capabilities.

2.6 Litigation Management
2.6.3 Invoicing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall create monthly invoices for County Counsel's internal client departments including but not limited to the following fields and include any custom invoice or matter fields that are added to the system:	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
a	Department;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
b	Fund;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
c	Funding source;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.

d	Matter number;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
e	Contract law firm name;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
f	In-house attorney's name;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
g	In-house expense law firm/vendor name;	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
h	Contract law firm fees (with date of service/description/Uniform Task-Based Management System (UTBMS) codes);	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.

i	Contract lay firm expenses (with date of service/description/UTBMS codes);	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
j	In-house fees (with date of service/description/UTBMS codes);	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.
k	In-house expenses (with date of service/description/UTBMS codes).	10						5		5			Claim Invoicing module can be utilized to generate invoices and receivables based on claim and legal activity and send to the respective departments. There will be customization to define and programmatically create the line items for each period.

2.6 Litigation Management
2.6.4 e-Billing

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall integrate with third party software that will provide the ability for law firms to electronically submit their bills. County will work with Contractor during Phase 1 of Module 1 to determine which of the remaining functional requirements below for e-Billing is still required for the RMIS to interface with third party e-billing software.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
2	The RMIS shall have the ability to accept electronic bills and manually entered invoices, and review them against a set of rules to determine the appropriateness of the bill.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
3	The RMIS shall maintain rules corresponding to standard UTBMS codes.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
4	The RMIS shall allow County Counsel to pay the undisputed portion of the bill, pay the entire bill, or hold the entire bill for further review if a billing item is flagged as out of compliance.	10						10					Standard feature of payment processing.
5	The RMIS shall create an audit trail for all overrides of billing rules that can be used for reporting.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

6	The RMIS shall provide the ability for County Counsel to issue payment authorizations and maintain contact information for providers where an invoice is not required.	10						10					Base feature of the payment and vendor tabs.
7	The RMIS shall provide the ability to enter litigation budgets and report on the actuals versus the budgeted amounts.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
8	The RMIS shall accommodate Case Budgets.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
9	The RMIS shall accommodate Case Budgets set to UTBMS codes.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
10	The RMIS shall accommodate Law Firm/Vendor budgets for a case (i.e., all law firms/vendors assigned to a matter can set its own budget for that matter).	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
11	The RMIS shall accommodate aggregate Case Budgets for more than one Law Firm/Vendor into a single Matter Budget.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
12	The RMIS shall accommodate multiple Case Budget review and approval routes.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

13	The RMIS shall provide the ability to determine a Case Budget review route based on the matter or practice area.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
14	The RMIS shall provide the ability to determine a uniform Case Budget review route based on the division or practice area for which the matter belongs.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
15	The RMIS shall provide the ability to determine the Case Budget review route based on the Case Budget authorization amounts. (This functionality is similar to the invoice review route, but the amounts are different for the Case Budget review route.)	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
16	The RMIS shall provide the ability for law firms/vendors to submit their Case Budgets against their assigned matters.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
17	The RMIS shall provide the ability for Case Budgets that are updated to be queued for review/approval.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
18	The RMIS shall provide the ability to retain the original Case Budget to be used as reference when a Case Budget is updated.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
19	The RMIS shall display Case Budget-to-actuals for each matter.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
20	The RMIS shall send email notifications when a Case Budget threshold is reached. The RMIS shall allow the County to determine the percentage threshold.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

21	The RMIS shall not limit the number of reviewers in an invoice review route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
22	The RMIS shall track and make available for audit, the User ID, Timestamp, and action taken for an invoice review route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
23	The RMIS shall provide the ability for the invoice review route to be set at the matter so that all invoices submitted against the matter follows the same route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
24	The RMIS shall provide the ability for the invoice review route to be set for a division or a practice area so that all invoices submitted for the division/practice area follows the same route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
25	The RMIS shall provide the ability for an invoice to route to a subsequent reviewer even if the current reviewer of the invoice has an invoice authorization level high enough to approve the invoice for payment.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
26	The RMIS shall provide the ability to alter an invoice review route for invoices already in route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
27	The RMIS shall provide the ability for TPA managed matters to include TPA supervisors in an invoice review route.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
28	The RMIS shall provide the ability for invoice adjustment(s) to be reversed if the current reviewer disagrees with the previous reviewer's adjustment(s) in addition to the following requirements:	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

a	The RMIS shall provide for the ability for invoices to be sent back to the previous reviewer with a note. The RMIS shall protect the note from being viewed by the invoice submitter (i.e., Law Firm/Vendor).	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
29	The RMIS shall provide the ability to setup invoice authorization limits for an invoice reviewer.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
30	The RMIS shall provide the ability to route the invoice to the subsequent reviewer until it is approved by a reviewer with an invoice authorization limit higher than the invoice amount.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
31	The RMIS shall provide the ability to route an invoice to two (2) approvers, where both approvers have an invoice authorization limit greater than the invoice amount.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
32	The RMIS shall accept Legal Electronic Data Exchange Standard (LEDES) 98B files for invoice submission.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
33	The RMIS shall provide the ability for manual invoice entry by law firms/vendors that do not have the ability to submit an invoice via the LEDES 98B format.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
34	The RMIS shall provide the ability to automatically check arithmetic accuracy of an invoice at the time of the invoice submission.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
35	The RMIS shall provide the ability to automatically reject line items that violate invoice audit rules that are set by the County.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

36	The RMIS shall provide the ability to automatically flag invoice line items that violate invoice audit rules that are set by the County.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
37	The RMIS shall provide the ability to automatically reject invoices that violate audit rules that are set by the County.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
38	The RMIS shall provide the ability to auto-adjust line items if they violate invoice audit rules that are set by the County.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
39	The RMIS shall prohibit duplicate invoice submissions by law firms/vendors.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
40	The RMIS shall prohibit the submission of an invoice for matters that do not have an approved case budget.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
41	The RMIS shall provide the ability to setup the matter to prohibit submission of an invoice, or allow submission but flag the invoice, if the law firm/vendor has exceeded their Case Budget for the specific matter.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
42	The RMIS shall allow the submission of invoices with negative amounts (i.e., credit notes/memos).	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
43	The RMIS shall allow the upload of supporting documents to accompany the invoice.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

44	The RMIS shall provide the ability to easily access the uploaded supporting documentation when reviewing the invoice. The RMIS shall allow the supporting documentation to be downloaded.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
45	The RMIS shall provide the ability for all law firms/vendors that are assigned to a matter to submit invoices against that matter.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
46	The RMIS shall provide the ability create invoice audit rules that are specific to the County.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
47	The RMIS shall validate County approved timekeeper rates.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
48	The RMIS shall validate County approved disbursement rates.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.
49	The RMIS shall have the ability to identify when a timekeeper has submitted more than X (County determined number) hours in a day, particularly across multiple matters.	10								10			All e-Billing, budget management, invoicing requirements would require customization. We have built many modules of like kind, but this would require custom coding.

2.6 Litigation Management
2.6.5 Law Firm/Vendor Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide the ability for designated Users to search for law firms/vendors.	10						10					This is a standard feature of Vendor Maintenance and lookups into existing vendor records.
2	The RMIS shall provide the ability for designated Users to activate/deactivate law firms/vendors.	10						10					This is a standard feature of Vendor Maintenance
3	The RMIS shall provide the ability for designated Users to attach documents (e.g., completed W-9 forms) to the law firm/vendor.	10						10					This is a standard feature of Vendor Maintenance
4	The RMIS shall provide the ability to indicate if a law firm/vendor is approved in eCAPS.	10						10					This is a standard feature of Vendor Maintenance
5	The RMIS shall prohibit a User from entering a payment if the payment is issued to a law firm/vendor that is not approved in eCAPS.	10						10					This is a standard feature of Vendor Maintenance
6	The RMIS shall provide the ability to list all matters where a law firm/vendor is assigned.	10						10					This is a standard feature of Claims Intelligence, and the Litigation Search Tab.
7	The RMIS shall record and track reportable payments and Vendors for which an IRS Form 1099 is required in order to support the 1099 Reporting File interface with County's Auditor-Controller.	10						10					Payment, Vendor, 1099 processing

8	The RMIS shall allow County-specified Users to create and maintain vendor profiles, including:	10						10					This is a standard feature of Vendor Maintenance
a	Vendor ID;	10						10					This is a standard feature of Vendor Maintenance
b	Vendor Name;	10						10					This is a standard feature of Vendor Maintenance
c	Vendor Type;	10						10					This is a standard feature of Vendor Maintenance
d	Vendor Status Code;	10						10					This is a standard feature of Vendor Maintenance
e	Vendor Addresses;	10						10					This is a standard feature of Vendor Maintenance
f	Vendor Address ID's;	10						10					This is a standard feature of Vendor Maintenance
g	Vendor Telephone Number;	10						10					This is a standard feature of Vendor Maintenance
h	Vendor tax information, including taxpayer ID;	10						10					This is a standard feature of Vendor Maintenance
i	eCAPS Vendor ID;	10						10					This is a standard feature of Vendor Maintenance
j	eCAPS Address ID;	10						10					This is a standard feature of Vendor Maintenance
k	eCAPS Vendor Status	10						10					This is a standard feature of Vendor Maintenance
9	The RMIS shall allow County-specified Users to maintain the Vendor inventory.	10						10					This is a standard feature of Vendor Maintenance
10	The RMIS shall track, reconcile, and report all Vendor payment information, including payment type, payee, and other pertinent payment information.	10						10					This is a standard feature of the Payment Tab and reports using payment information
11	The RMIS shall track and identify Vendors on direct deposit payment.	10						10					This is a standard feature of the Payment Tab.
12	The RMIS shall support the real-time review of Vendor payments.	10						10					This is a standard feature of the Payment Tab.
13	The RMIS shall maintain a history of Vendor payments and associated invoices.	10						10					This is a standard feature of the Payment Tab.

14	The RMIS shall link all replacement Vendor payments to the original Vendor payment.	10						10					Client can use reverse copy to accomplish this requirement if needed. Product
15	The RMIS shall perform an address validation consistent with United States Postal Services (USPS) when creating or modifying a vendor's address information.	10						10					This is a standard feature of the USPS Web services
16	The RMIS shall perform a Tax Identification Number (TIN) validation consistent with the Internal Revenue Service (IRS) before creating or modifying a vendor.	10							10				This is a standard feature of the IRS TIN Match job.

2.7 Reporting
2.7.1 General

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall maintain the RMIS data necessary to produce all County-required reports, including all County-specified standard reports and RMIS data elements specified for ad hoc reports.	10						10					Core capability: All data contained in the RMIS is available for reporting. All data fields are available for pulling in to any report, including custom data fields that County may require/input.

2	The RMIS shall support the accumulation of RMIS data over time for daily, weekly, monthly, quarterly, annual, fiscal, as of, and time period reports.	10						10					Core capability. The RMIS uses Reporting History Periods (RHP) to capture "as of" and period financial and other claims date for reporting purposes. When a report is created that uses data captured by that reporting history period, the report can then be run against the RHP instead of the entire claims database, significantly lessening the impact of the report run on the database and significantly improving the run time of the report. RHPs capture two types of financial and status information for claims: 1) Financial totals and relevant claims information, 2) Period amounts for both financial and claim data. The creation of the RHP is determine by the County as well as the frequency and the required period. The RMIS includes report templates that show changes in relation to points in time given that the data supports the analysis. In addition, reports can be created showing comparative change in valuations (e.g., claims where reserves have changed by more than some dollar amount, or some percentage amount). The system has the ability to run reports that provide a summary of financial and status changes over a specified period of time. This functionality can also apply to the location\organization code assigned "as of" a certain point in time.
3	The RMIS shall maintain online descriptions and definitions of each report that are easily accessible by County-specified Users.	10						10					Core capability. . Ventiv Claims includes a list of all standard reports together with a description of each report in the online help. In addition, each standard report layout has a preview option so users can see what a report looks like before selecting it.

4	The RMIS shall include a method for County-specified Users to easily add and stop production of reports, as required by federal, State and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.	10						10					Core capability. Ventiv Claims includes a job available in the system job group within the iVOS Scheduler that can be used to schedule report, by the County, to run when you want them to run. One or multiple reports can be scheduled to run in the same job. Reports can be added to the schedule and if needed any report can be stopped. The Report Distribution module allows frequently generated reports to be automatically run and distributed via e-mail or published directly to a web site without user-intervention.
5	The RMIS shall allow County-specified Users the online ability to easily change report addresses and/or update report formats and RMIS data elements.	10						10					Core capability. Ventiv Claims has a Recipient Maintenance tool which allows authorized users to create distribution lists. This is where the report addresses can be maintained. Customizing a report is as easy as opening the report's template, changing the layout and/or adding calculations, adding or deleting fields, etc., and then saving the report under a new name. The Reporting tool greatly simplifies the selection of data to be included in the report by providing pick lists of data fields, organized by the data entry screen and tab where they are displayed.
6	The RMIS shall produce reports that include duplicated and/or unduplicated counts, as specified by County, and include a clear identification of the report run date, "as of" date, period of RMIS data date, and print date.	10						10					Core capability. Ventiv Claims has the capability to allow the County to include information about the report including counts, report dates (run, as of period, print)

7	The RMIS shall include flexible report sorting capability.	10						10					Core capability. To run a report, the user simply selects the report group (general, loss control, payment processing, etc.) and then identifies specific claims as well as valuation dates for the report. All reports appear first in a display window, which can also be printed. The user can then specify the sorting and grouping/totaling as desired. The ability to sort, group and total on any field of a report has been found by our clients to be very helpful.

													Core capability. Ventiv Claims is fully compliant with the following regulatory reporting. 1099 Misc. and 1099 R forms and electronic filing CA EDD – Employment Development Department – Independent Contractor Checks and Remittance Advice Custom per client requirements EOR – Explanation of Review for WC Medical Payments OSHA 300 – Log of Work-Related Injuries and Illnesses OSHA 300A – Annual Summary of Work-Related Injuries and Illnesses OSHA 301 – Injury and Illness Incident Report SIP Reports – Self-Insured Reports, Private and Public, Open and Summary FROI/SROI – FROI/SROI Reporting CMS Reporting W2 – Wage and Tax Statement for Disability Claims Compliance with any newly enacted federal, State and local laws, rules, regulations, ordinances, guidelines, directives, policies and procedures not related to functionality already in existence within Ventiv Claims would be available through customization requests.
8	The RMIS shall support all reports required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies and procedures, including statistical, operational, workload, and fiscal reports.	10						10					

9	The RMIS shall provide the ability to download reports to standard MS Office formats (Excel, Word), Text file format, Adobe PDF format, etc.	10						10					Core capability. Reports can be downloaded into Excel, Excel (paginated), CVS, Docx, RTF, ODT, ODS, XLSX (paginated), XLSX, PPTX, Pipe-delimited, PDF
10	The RMIS shall provide a list of standard reports.	10						10					Core capability. Ventiv Claims includes a library of 200+ standard reports in template form. These are listed in on-line help
11	The RMIS shall have screen specific predetermined "quick reports" that may be viewed and printed for the specific claim.	10						10					Core capability. You can generate reports directly from a page by using the Quick Reports feature available on many pages throughout Ventiv Claims. Similar to regular reports run from Reporter, these quick and easy reports can be viewed on your screen, emailed to other parties, or printed out. Where these reports differ, however, is in the parameters that are set; quick reports are run using the data from the current file, and only for the rows selected in the Results Grid from a Search. For example, if you are in the Notepad and you want to print the Notepad Listing quick report, the list of notepad entries included on the report will include only those notepads that you have selected from the Results Grid. If you want a report containing all the data available for the current file, for example, you must highlight all the rows in the Detail Overview before launching Quick Reporter. If you want only select data to appear, use the Shift+Click and Ctrl+Click selection methods to select the rows to be included in the quick report. If you do not make any selections, the quick report will be run using only the default selection data.

2.7 Reporting
2.7.2 Produce Reports

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall produce reports daily, weekly, monthly, quarterly, semi-annually, annually, and as needed, as specified by County.	10						10					Core capability. Ventiv Claims can schedule, batch and distribute any report. Reports can be scheduled to run on a calendar basis (daily, monthly, quarterly, annually) or on an as-needed basis as determined by County. Reports can be distributed to authorized individuals or groups, with user authority in place. Each report can be sent directly to each recipient's preferred email address, eliminating the need to access the system to view reports

													Core capability. Ventiv works closely with clients to meet individual business and regulatory requirements applicable to our software, and to ensure they have the most current up-to-date information required to maintain compliance with all state reporting and claim administration requirements. We have a dedicated Compliance Department to ensure that that we stay current with legislative and regulatory changes, and we support clients by communicating information as appropriate. Ventiv Claims is fully compliant in all jurisdictions including California, including the support of the following regulatory reporting Ventiv Claims is fully compliant in all jurisdictions including California, including the support of the following regulatory reporting. 1099 Misc. and 1099 R forms and electronic filing CA EDD – Employment Development Department – Independent Contractor Checks and Remittance Advice – Custom per client requirements EOR – Explanation of Review for WC Medical Payments OSHA 300 – Log of Work-Related Injuries and Illnesses OSHA 300A – Annual Summary of Work-Related Injuries and Illnesses OSHA 301 – Injury and Illness Incident Report
2	The RMIS shall produce reports that provide the detail RMIS data that will be used to complete reports required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.	10						10					

													SIP Reports – Self-Insured Reports, Private and Public, Open and Summary FROI/SROI Reporting CMS Reporting W2 – Wage and Tax Statement for Disability Claims

3	The RMIS shall maintain all report types and distribution lists which can be easily updated or modified by County-specified Users.	10						10					Core capability. Reports can be downloaded into Excel, Excel (paginated), CVS, Docx, RTF, ODT, ODS, XLSX (paginated), XLSX, PPTX, Pipe-delimited, PDF Ventiv Claims has a Recipient Maintenance tool which allows authorized users to create distribution lists. This is where the report addresses can be maintained.
4	The RMIS shall produce several types of reports which support all levels of staff in managing their particular workloads, including management reports, State level reports, and ad hoc reports.	10						10					Core capability. Claims Intelligence Reporting components fully meet this requirement.
5	The RMIS shall include the ability to generate a cover sheet for each report that provides report definitions and descriptions.	10						10					Core capability. This is accomplished using the Correspondence module capabilities. A user can set up editable templates – a letter or transmittal memo, for example, and append these to the reports to be distributed.
6	The RMIS shall provide a claim status report, utilizing a standardized format, including all relevant claim status information, as specified by County, preferably on one page.	10						10					A custom report will be produced to ensure the County's needs are met. However, a standard report may also meet the County's needs
7	The RMIS shall include the ability to generate parameter-driven reports.	10						10					8
8	The RMIS shall print reports in final letter quality on blank paper or preprinted forms (e.g., notices, forms, form letter).	10						10					Core capability. As noted above, this could be accomplished using the Correspondence module capabilities. A user can set up editable templates – a letter or transmittal memo, for example, and append these to the reports to be distributed. Letters can be printed on County letterhead if desired.

9	The RMIS shall, at the option of County-specified Users, provide reports in electronic format (using County-specified version of the Microsoft Office Suite format) for further sorting and printing.	10						10					Core capability. Reports can be downloaded into Excel, Excel (paginated), CVS, Docx, RTF, ODT, ODS, XLSX (paginated), XLSX, PPTX, Pipe-delimited, PDF
10	The RMIS shall store standard reports, as specified by County, so that they may be re-produced and re-sent, as requested.	10						10					Core capability. Reports can be downloaded into Excel, Excel (paginated), CVS, Docx, RTF, ODT, ODS, XLSX (paginated), XLSX, PPTX, Pipe-delimited, PDF. Report results are stored in the Ventiv Claims database and can be re-produced, re-sent as needed.
11	The RMIS shall include the ability to produce standard and ad hoc reports for any time period back to the commencement date of Countywide implementation of the RMIS.	10						10					Core capability. There are no restrictions on what data is included in reports nor how far back a user can go.

2.7 Reporting
2.7.3 Upload/Download Reports

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall allow County-specified Users to electronically send report files in the format required to the State and other agencies.	10						10					Core capability. Ventiv Claims is fully compliant in all jurisdictions including California, including the support of the following regulatory reporting. 1099 Misc. and 1099 R forms and electronic filing CA EDD – Employment Development Department – Independent Contractor Checks and Remittance Advice Custom per client requirements EOR – Explanation of Review for WC Medical Payments OSHA 300 Log of Work-Related Injuries and Illnesses OSHA 300A – Annual Summary of Work-Related Injuries and Illnesses

													Continue: OSHA 301 – Injury and Illness Incident Report SIP Reports – Self-Insured Reports, Private and Public, Open and Summary FROI/SROI – FROI/SROI Reporting CMS Reporting W2 – Wage and Tax Statement for Disability Claims
1	Continue: The RMIS shall allow County-specified Users to electronically send report files in the format required to the State and other agencies.	10						10					

2	The RMIS shall provide report data in a format that allows County-specified Users to easily sort report data on all possible criteria.	10						10					Core capability. Reports can be downloaded into Excel, Excel (paginated), CVS, Docx, RTF, ODT, ODS, XLSX (paginated), XLSX, PPTX, Pipe-delimited, PDF. All sorting capabilities in each format are available.
3	The RMIS shall allow RMIS Data uploads/downloads to occur in a time frame specified by County.	10						10					Core capability. Ventiv Claims scheduler provides a single consolidated module for managing the scheduling of jobs such as regularly scheduled interfaces with 3rd party systems, batch processes such as payment processing. Ventiv Claims scheduler includes job chaining, improved error handling, e-mail error notification, and schedule monitoring. In addition, Ventiv Claims scheduler can be controlled by enterprise level job scheduling systems. As such the County can specify when and how RMIS data is uploaded or downloaded
4	The RMIS shall maintain report security for all Users, including which report can be viewed or printed by each User or User group.	10						10					Core capability. Access to and user of reports is controlled by user sign-on and is configurable by user or user group. This allows reporting access to only those claims or user designated by your System Administrator. Security can be restricted down to which reports can be accessed

2.7 Reporting
2.7.4 Dashboard

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall present dashboard information based on the user's security roles and access rights.	10						10					Core capability. Access to a user's dashboard is part of our base user role-based security and is controlled by user sign-on and is managed by your System Administrator.
2	The RMIS shall provide the ability for drill down capabilities in all dashboards.	10						10					Core capability. A core capability is drill down functionality embedded in order for users to identify issues and then be able to go to the claims or the matter and be able to make changes immediately or as needed
3	The RMIS shall provide the ability for an authorized User to configure their dashboard.	10						10					Core capability. Any user that has authorize access can easily configure their own dashboards
4	The RMIS shall provide a flexible and configurable dashboard feature.	10						10					Core functionality. Dashboards within Ventiv Claims is very intuitive, allowing users to easily configure and utilize the dashboards they have created. In addition, it is extremely flexible to allow easy changes.

2.7 Reporting
2.7.5 Ad hoc reporting

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall include an ad hoc capability that will allow County-specified Users to generate both preformatted and free form reports with relative ease.	10						10					Core capability. Ad hoc Reporting, within Claims Intelligence uses the JasperSoft reporting engine and gives the user true drag-and-drop query building capability. Ad Hoc reporting capabilities allow County users to create compelling reports in minutes that offer: • Drag-and-drop report layout • Intuitive, easy-to-use datasets • Dynamic query filters • Dynamic totals and subtotals • Dynamic grouping/sorting • Crosstab functionality • Real-time data • Excel-ready output • No SQL or JavaScript • Separate server architecture for improved scalability
2	The RMIS shall include ad hoc capabilities that are user-friendly but include the functionality necessary to produce the type of reports needed by County.	10						10					Core capability. The ad hoc reporting tool within Ventiv Claims accommodates both preformatted reports and fee form reports with ease. Ad Hoc Queries can easily be turned into Reports that are run and/or scheduled on a regular basis. However preformatted reports can also be generated directly.

3	The RMIS shall include the ability to request and format selected RMIS Data using parameter-driven ad hoc reporting capabilities.	10						10					Core capability. As mentioned in 2.7.5.1, the Ad Hoc reporting capabilities in Ventiv Claims, which uses the JasperSoft reporting engine, includes the functionality to produce reports.
4	The RMIS shall provide the ability to produce reports that are valued at a single point in time, multiple points in time, or display as the change between two points in time.	10						10					Core capability. The Ad Hoc reporting capabilities in Ventiv Claims, which uses the JasperSoft reporting engine, includes the ability to request and format selected data using parameter-driven ad hoc capabilities.
5	The RMIS shall provide the ability to define new calculated fields to be used by the ad hoc report.	10						10					Core capability. The Ad Hoc reporting capabilities in Ventiv Claims, which uses the JasperSoft reporting engine, includes the ability to define new calculated fields to be used by the ad hoc report.
6	The RMIS shall provide the ability to report by calendar year, fiscal year and/or policy year.	10						10					Core capability. The RMIS has the ability to report by calendar year, fiscal year and/or policy year
7	The RMIS shall provide the ability to drill down from reports.	10						10					Core capability. A core capability is drill down functionality embedded in order for users to identify issues and then be able to go to the claims or the matter and be able to make changes immediately or as needed
8	The RMIS shall provide the ability to graph/chart the results of a report without downloading the results to another program.	10						10					Core capability. The RMIS has the ability to graph/chart the results of a report without downloading the results to another program
9	The RMIS shall provide the ability to sort, filter, and group data in reports.	10						10					Core capability. The RMIS has the ability to sort, filter, and group data in reports.

2.7 Reporting
2.7.6 Scheduled Reports

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide the ability to schedule reports with the following options:	10						10					Core capability. The Report Distribution module allows for the batch scheduling of electronic reports to be generated without user intervention. Typical daily/weekly/monthly reports are generated quickly and without impacting system performance. Designated recipients are selected for reports to be delivered via e-mail or saved to a file (for example, to a web server for periodic publishing of reports directly on the client's internal website). The timing of report distribution (e.g., at daily, weekly or monthly intervals) can be managed using Scheduler
a	Ability to distribute the scheduled report to one or more individuals and/or groups of individuals;	10						10					Core capability. The RMIS has the ability to schedule reports using the comprehensive Ventiv Claims Scheduler, which allows users to distribute the scheduled report to one or more individuals and/or groups of individuals

b	Ability to include start/stop dates for the scheduled report	10						10					Core capability. The RMIS has the ability to schedule reports using the comprehensive Ventiv Claims Scheduler, which allows users to start/stop dates for the scheduled report
2	The RMIS shall provide the ability for a scheduled report to be run manually (on-demand).	10						10					Core capability. A report can easily be run manually any time and can have the data refreshed as needed
3	The RMIS shall provide the ability for a report to be delivered by email to individuals who are not RMIS Users.	10						10					Core capability. Reports can be sent to any email address, even non-RMIS users. Ventiv Claims has a Recipient Maintenance tool which allows authorized users to create distribution lists that include email addresses for RMIS users and non-RMIS users. Example: Outside counsel, medical providers, etc.
4	The RMIS shall provide the ability to create distribution "groups" to be used for scheduled reports and the distribution of reports based on a User's role.	10						10					Core capability. Ventiv Claims has a Recipient Maintenance tool which allows authorized users to create distribution lists that include email addresses for RMIS users and non-RMIS users. Example: Outside counsel, medical providers, etc.

2.7 Reporting
2.7.7 Analytics

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall measure vendor performance metrics.	10							10				Claims Intelligence can be used to create the desired vendor performance metrics report for the County of Los Angeles using the RMIS data.
2	The RMIS shall analyze vendor usage by user.	10							10				Claims Intelligence can be used to create the desired vendor usage by user report for the County of Los Angeles using the RMIS data.
3	The RMIS shall provide the capability to recognize and report on fraudulent activity.	10						10					Core capability. Ventiv Claims has a fully integrated solution with ISO ClaimSearch to detect repeating claimants (see 2.4.8.1 for details). In addition, there a number of business rules that can be configured to recognize and report on fraudulent activity.
4	The RMIS shall track vendor certification and licensing.	10						10					Core capability. Ventiv Claims has a comprehensive vendor management module that includes tracking of vendor certification and licensing

2.7 Reporting
2.7.8 Specific Reports

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall provide the ability to identify and report on repeat claimants.	10						10					Core capability. Ventiv claims has three main ways of identifying repeat claimants: 1) Standard Report 2) Request to ISO ClaimSearch 3) On manual entry of a claim into Ventiv Claims, a list of potential repeat claimants will be shown to the user based on Line of Business, Incident Date and optionally the SSN.
2	The RMIS shall provide the ability to produce loss development triangles for trending and forecasting based on User defined parameters.	10						10					Core capability. The RMIS has the ability to produce loss development triangles for trending and forecasting based on user defined parameters.

2.8 Ancillary Functions
2.8.1 Location/Organization Hierarchy

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide a flexible method to maintain the location hierarchy.	10						10					Organization maintenance is a very flexible tree structure administration tool that allows for client to maintain their hierarchy
2	The RMIS shall allow updates to the hierarchy via a Microsoft Excel upload.	10							10				There is a defined organization interface to update the hierarchy.
3	The RMIS shall provide at least ten (10) levels in the location hierarchy.	10						10					There is an unlimited number of levels available for the hierarchy.
4	The RMIS shall accommodate multiple hierarchies if applicable and enable reporting against each hierarchy.	10						10					There is a standard method to accommodate multiple hierarchies.

2.8 Ancillary Functions
2.8.2 Asset and Exposure Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall track and analyze exposure data.	10						10					Core Capability.
2	The RMIS shall allow manual input of exposure data.	10						10					Core Capability.
3	The RMIS shall allow batch updates to exposure data.	10						10					Core Capability.
4	The RMIS shall track Construction Occupancy Protection Exposure (COPE) data by facility, including property values and business interruption values.	10						10					Core Capability.
5	The RMIS shall link exposure data to specified periods (e.g. fiscal year, calendar year, month, etc.).	10						10					Core Capability.
6	The RMIS shall allow exposure data to be combined with other data to produce trending and other analysis.	10						10					Core Capability.
7	The RMIS shall allow exposure data to be entered/loaded to any level of the hierarchy.	10						10					Core Capability.
8	The RMIS shall allow exposure data to be combined with other data to produce trending and other analysis.	10						10					Core Capability.

2.8 Ancillary Functions
2.8.3 Policy Management

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall link coverage for policy periods with the reported claims.	10						10					This is a standard feature of claims and policy.
2	The RMIS shall import policy information from spreadsheets, including multiple coverages, limits, and sub-limits.	10							10				There is a standard policy import interface format.
3	The RMIS shall track aggregated erosion of deductibles and retentions across all claims against policies.	10						10					This is a standard feature of the Policy module.
4	The RMIS shall track insurance policies.	10						10					This is a standard feature of the Policy module.
5	The RMIS shall track insurance and related programs.	10						10					This is a standard feature of the Policy module.
6	The RMIS shall track multiple program structures including excess of loss and quota share programs.	10						10					This is a standard feature of the Policy module. and Treaty module.
7	The RMIS shall allow policies and corresponding documents (endorsements) to be attached to the policy record.	10						10					This is a standard feature of the Policy module.
8	The RMIS shall allow full text searching through attached policies and documents.	10									10		Full text searching is being integrated into the product as an enhancement which is scheduled for June of 2017.
9	The RMIS shall generate a program structure diagram.	10						10					This is a standard feature of Claims Intelligence
10	The RMIS shall track premium, taxes, payments and other policy data by business unit, by country, and/or by state/province.	10						10					This is a standard feature of the Policy module.

11	The RMIS shall track budgeted versus actual premiums.	10						10					Budgeted amounts can be added to the Policy Screen as client-defined Fields.
12	The RMIS shall allow modeling of programs during renewal, including cost impact of retention options.	10						10					Policies can be loaded in with a Quote Status, and Claims intelligence can be used for modeling.
13	The RMIS shall automate coverage confirmation on a claim by claim basis.	10						3		7			While basic coverage confirmation could be handled through security, complicated automation may require custom coding.
14	The RMIS shall allow multi-year policy charting.	10						10					This is a standard feature of Claims Intelligence.

2.8 Ancillary Functions
2.8.4 Loss Control and Compliance

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall allow for the creation and tracking of Corrective Action Plans (CAP) based on business rules.	10						10					Asset and Inspection modules track Corrective Action Plans. There are multiple business rules that assist with managing this data.
2	The RMIS shall automatically assign corrective action plans to business areas through the location or organizational structure.	10						10					Asset and Inspection modules track Corrective Action Plans. There are multiple business rules that assist with managing this data.
3	The RMIS shall generate status reports based on the progress against the corrective action plans.	10						10					Claims Intelligence can be used to configure reports against Corrective Action Plans.
4	The RMIS shall correlate the impact of the corrective action plan to other loss measurements.	10						10					Claims Intelligence can be used to configure reports against Corrective Action Plans.
5	The RMIS shall track, assign, and store documents related to the corrective action plan.	10						10					Base feature of Assets and Inspection modules
6	The RMIS shall include a methodology for implementing a cost allocation based on claim costs, insurance costs, exposures, etc.	10						3		7			Ventiv Claims has a methodology for cost allocation based on claim costs, but would require a customization to include the additional factors required by the County.

2.9 History Maintenance
2.9.1 General

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide for maintenance of historical RMIS Data on both active and closed claims in accordance with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directive, policies, and procedures. History maintenance shall enable County to take full advantage of efficient RMIS Data storage techniques based on County-specified criteria. This requirement does not cover the need to archive data, which County is not requiring at this time. To the extent that the Contractor can still meet a requirement without archiving the RMIS Data, Contractor shall meet such requirement. It shall also include a mechanism to ensure that RMIS Data can be stored, tracked, or recovered for certain purposes, including:	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project. As of the Effective Date of the Agreement, the County has not elected to pursue archiving of RMIS Data. Any Contractor comments regarding archiving in the Functional and Technical Requirements refers to work scope for archiving that has not been exercised by the County.
a	Audits;	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project.
b	Fraud investigations;	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project.

c	Mass updates;	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project.
d	Inquiries;	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project.
e	Regulatory changes.	10						9		1			The system complies with these requirements but currently does not have the need to archive data. The archiving of data will be a custom enhancement based on the requirements of the project.

2.9 History Maintenance
2.9.2 Perform History Maintenance

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall include the ability, as specified by County, to access all RMIS Data, including historical RMIS Data, within the database, including:	10								10			Intentionally Omitted.
a	Claim data;	10								10			Intentionally Omitted.
b	Notes data;	10								10			Intentionally Omitted.
c	Diary data;	10								10			Intentionally Omitted.
d	Financial data;	10								10			Intentionally Omitted.
e	Attachments;	10								10			Intentionally Omitted.
f	Interface data;	10								10			Intentionally Omitted.
g	Security transaction data;	10								10			Intentionally Omitted.
2	The RMIS shall include RMIS Data criteria that is time-driven and can be easily maintained and updated by County-specified Users.	10								10			Intentionally Omitted.
3	Intentionally Omitted.												Intentionally Omitted.
4	Intentionally Omitted.	10								10			Intentionally Omitted.

2.9 History Maintenance
2.9.3 RMIS Data

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	Intentionally Omitted.												Intentionally Omitted.
2	The RMIS shall retrieve historical RMIS Data in a format that can be used with the current RMIS Data in the production environment.	10								10			Intentionally Omitted.
3	The RMIS shall include retention periods that can be easily maintained and modified by County-specified Users.	10								10			Intentionally Omitted.
4	The RMIS shall not close any claim that is currently active or whose status meets an exception.	10								10			Intentionally Omitted.
5	The RMIS shall clearly identify closed claims to County-specified Users.	10								10			Intentionally Omitted.

2.10	e-Learning Training												
	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	System 2	System 3	System 4	N/A		Available	Alternative	Customization	Enhancement	Not Available	Comments
1	The RMIS shall include e-Learning software that is commercially available and shall be recognized as one of the top three industry products that have an established track record in the industry for meeting e-Learning needs.	10						10					e-Learning will include software for content creation and content management. Camtasia Studio and Articulate Storyline will be used for content creation. Ventiv University Online, based on the Absorb LMS will be used for content management.
2	In the event that there is no commercially available e-Learning software that can meet all RMIS e-Learning requirements, Contractor shall present a recommendation to County of the top three industry products and shall show what specific requirements cannot be met for each. County shall make the final selection of the e-Learning software.	10						10					Ventiv is fully compliant in providing e-Learning software that we use with all current clients.
3	The e-Learning software used for Countywide implementation training and for inclusion into the RMIS shall be one and the same.	10						10					The same e-Learning software will be used for implementation and continuing training.
4	The RMIS e-Learning software shall undergo comprehensive testing prior to implementation. If independent County testing, the e-Learning software demonstrates that there is any deficiency in any e-Learning software module, Contractor shall correct such deficiency in the RMIS e-Learning software module, as determined by County Project Director.	10						10					Comprehensive testing of the e-Learning software will be conducted prior to implementation to ensure that the training needs of the County will be met.
5	The RMIS e-Learning modules shall be accessible to County-specified Users.	10						10					Ventiv University Online security allows for control of access to content on a user by user basis.

6	The RMIS e-Learning software shall include module creation and maintenance capability for County-specified Users.	10						10					Ventiv University Online allows for the creation of training modules that can be modified by the County as needed.
7	Contractor shall train County-specified training staff on the use of the e-Learning software used to create the RMIS e-Learning modules.	10						10					Training will be provided to the County on how to use Ventiv University Online and relevant software to create and maintain e-Learning modules.
8	The RMIS shall include a method for County-specified Users to add or modify e-Learning modules to the RMIS without technical or Contractor assistance.	10						10					Administrative access can be given to specified County users to add or modify modules on Ventiv University Online without contacting Ventiv.
9	The RMIS shall be able to accommodate an unlimited number of RMIS e-Learning modules.	10						10					Ventiv University Online can accommodate a large number of e-Learning modules.
10	The RMIS shall seamlessly incorporate the RMIS e-Learning modules into the RMIS.	10						10					Seamless integration between Ventiv University Online and the Ventiv Claims will be provided to allow easy access by County users to training resources.
11	The RMIS e-Learning modules shall use the RMIS training environment.	10						10					Modules will be based on the training environment.
12	The RMIS e-Learning modules shall include safeguards against unauthorized modifications.	10						10					Only authorized County users would be allowed to access modules within Ventiv University Online.
13	The RMIS e-Learning modules shall not limit County's ability to use text, graphic, and image sources from outside of the RMIS e-Learning modules.	10						10					e-Learning modules will allow County to incorporate all of these sources.
14	The RMIS e-Learning modules shall be sophisticated in structure and features, including:	10						10					e-Learning modules will offer industry standard features to allow for comprehensive online training interaction.
a	Can be built from "recording" actual RMIS sessions;	10						10					Recordings can be incorporated into modules via screen capture software.

b	Completely modifiable after capture for adding messages, call out boxes, and additional graphics and images on the screens;	10						10					Authoring software will allow for complete modification of content to ensure modules meet training objectives.
c	Multi-screen display at the same time; and	10							10				Alternative available: This feature is not available within the authoring software. All authoring environments support playback in a single window.
d	Can have questions and resulting answers that branch to different procedures and rewind the training module to break points if an error is made by County-specified Users.	10						10					To ensure adequate understanding of key concepts, modules can require learners to review sections if questions are not answered correctly.
15	All RMIS training materials shall be Contractor maintained to reflect the latest version of RMIS and the changes resulting from evaluations and use during User Acceptance Testing and Countywide implementation.	10						10					Training materials will be managed via Ventiv University Online. Version control will be applied to ensure changes are reflected in materials.

2.11	**E-Government**												
	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall make available online, for manual download, via a secure and confidential connection all forms and other materials required or requested by an individual that are necessary to file a claim with the County.	10								10			
2	The RMIS shall allow claimants to view their claim status online via a secure and confidential Internet connection and shall include:	10						10					
a	Workers' Compensation Claims;	10						10					
b	Liability Claims;	10						10					
c	STD/LTD Claims; and	10						10					
d	Survivor Benefits.	10						10					

2.12 Interfaces
2.12.1 General

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall provide the support of system Interfaces and integration necessary for the coordination of services with other State, County Agencies, and external agencies, for the purposes of reducing paperwork, verification of RMIS data, and preventing the duplication of RMIS data entry.	10						10					
2	The RMIS shall trigger automated requests for RMIS data exchange information with other system, based on information captured during intake and claim maintenance.	10						10					
3	The RMIS shall match RMIS data from external Interfaces to a claim record and update the RMIS database when appropriate.	10						10					
4	The RMIS shall identify, determine the significance of, and report discrepancies between RMIS data received via external Interfaces and existing claim records.	10						10					
5	The RMIS shall take action on external RMIS data received without intervention by County-specified Users, to the maximum extent possible.	10						5	5				

6	The RMIS shall alert County-specified Users of all automated actions taken by the RMIS as a result of RMIS data received through an interface.	10						5	5				
7	The RMIS shall alert County-specified Users whenever the RMIS cannot take automated action on RMIS data received through an interface and shall include a method for County-specified Users to easily update the claims and/or claimant RMIS data.	10						5	5				
8	The RMIS shall track and keep a history of all interface activity and interface information.	10						10					
9	The RMIS shall include the ability to compile statistics and generate reports for all interface activities performed, including standard and ad hoc reports.	10						10					
10	The RMIS shall set up alerts and send messages to other program Interfaces, as specified by County.	10						10					
11	The RMIS shall include in the design methods where Interfaces to the RMIS are simple to make additions, deletions and modifications for the import and export of data.	10						10					
12	The RMIS shall have the ability to receive data from external sources (e.g., State's WCIS system, County-approved Medical Management Companies, County's eCAPS system, County's e-HR system, etc.)	10						10					

2.11 Interfaces
2.11.2 Two-Way Interfaces

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall support two-way Interfaces, as described in Exhibit A.2 (System Interfaces).	10						7		3			

2.12 Interfaces
2.12.3 One-Way Interfaces

	Functional Requirement	Business Logic						Solution to Requirement					
		Claims	**System 2**	**System 3**	**System 4**	**N/A**		**Available**	**Alternative**	**Customization**	**Enhancement**	**Not Available**	**Comments**
1	The RMIS shall support one-way Interfaces, as described in Exhibit A.2 (System Interfaces).	10						3		7			

Exhibit A.1 System Requirements

Technical Requirements

3.1	General Technical Requirements													
	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	**Ventiv University**	**Tool C**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS shall provide a secure web based User interface for User to access the system from various operating systems (e.g., Windows 7, 8.1, 10, etc.).	10							10					Ventiv applications are designed as fully web-enabled systems, accessible to authorized users via a commonly available Internet connection.
2	The RMIS shall support flexible workflow as specified by County.	10							10					Claim Workflow, Document Workflow, Security, Business Rules, and other configuration utilities in the application can be configured to meet the County requirements.
3	The RMIS shall enable real-time RMIS Data entry, comprehensive real-time editing, and inquiry.	10							10					As an internet application, all data entry is real-time.
4	The RMIS shall provide a Fully Managed Solution (Vendor-Hosted). All RMIS Data Center(s) and backup/replication locations shall reside in the Continental United States.	10							10					Ventiv Technology maintains both a production and DR (warm) site in the continental U.S. The production facility is located in Atlanta, GA and the DR facility is in Oakland, CA.
5	The RMIS shall provide a device agnostic solution, with respect to devices used for data entry.	10							10					The product will be accessible via Edge, Chrome and Safari and other browser applications depending on product direction.

6	The RMIS shall provide a browser agnostic solution.	10							10					The product will be accessible via Edge, Chrome and Safari and other browser applications depending on product direction.
7	The RMIS shall utilize the County's preferred databases (e.g., Oracle, SQL Server, etc.)	10							10					Ventiv Claims is hosted and managed by Ventiv; there are no client-side database requirements. The current database architecture works on both Oracle and SQLServer. The preferred solution would be to utilize Oracle.
8	The RMIS database shall be dedicated to County's data and processes and not shared.	10							10					Traditionally, Ventiv technology would leverage our multi-tenant environment but in this case, we would put the county on dedicated database environments.

3.2 Security Requirements
3.2.1 Access

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall support password complexity that meets the following requirements:	10							10					Ventiv Claims has multiple authentication methods and meets detailed requirements.
a	Must contain 3 out of 4: 1 upper case alpha, 1 lower case alpha, 1 numeric, and 1 special character;	10							10					These are core to the application's 'strong password ' protocols.
b	Minimum password length - 8 characters;	10							10					These are core to the application's 'strong password ' protocols.
c	Minimum password age - 2 days;	10								10				This would require customization
d	Maximum password age - 90 days;	10							10					These are core to the application's "strong password" protocols.
e	Password expire warning - 14 days;	10							10					These are core to the application's 'strong password ' protocols.
f	Different from the previous 6 passwords used;	10							10					No prior password may be reused.
g	Must not be a dictionary word;	10							10					Our 'strong password' practice does not include this.
h	Disable accounts after 90 days of inactivity.	10							10					This is core to the application's security protocols
2	The RMIS shall provide the following password change rules for User accounts:	10							10					Please see below.
a	Passwords can only be changed by the authorized County System Administrator or the associated User;	10							10					This is standard to System Admin authority.

b	Passwords can be changed by the authorized County System Administrator at any time;	10							10					This is standard to System Admin authority.
c	Passwords can be changed by the associated User only once in a 2-day period;	10								10				This would require customization
d	Users are re-authenticated before changing passwords.	10							10					This is standard to our 'strong password' guidelines.
3	The RMIS shall declare a log-on unsuccessful and lock the user after three (3) successive failed attempts within a 30-minute period. The account lockout duration can be set to a minimum 30 minutes. The number of successive failed attempts and the account lockout duration can be modified only by an authorized County System Administrator.	10							10					This is standard to our user access and authentication practices.
4	The RMIS shall not display the password as clear text (Password Masking).	10							10					Password characters are never displayed; are masked.
5	The RMIS shall provide integrated security management in a central account database.	10							10					Ventiv provides integrated security management in the central account database.
6	The RMIS must allow County System Administrators the ability to view in real-time a list of Users that are logged on.	10							10					This is part of the SA's authority and permission set.
7	The RMIS shall allow the addition of customized messages to the logon screen.	10							10					Core capability: Ventiv Claims has the ability to send a broadcast message, and has the ability to set a login message to a group of users
8	The RMIS shall integrate with County's Active Directory Federation Service for authentication.	10							10					Integration to AD is not direct but County can authenticate on your end with AD and send us SAML for authentication.
9	The RMIS shall perform secure and seamless logon for all third party integrated solutions.	10							10					Ventiv Claims supports SSO with a 3rd Party integration such as our JasperSoft Claims Intelligence integration.

10	The RMIS shall encrypt passwords before being stored or transmitted.	10							10					All passwords are encrypted in Ventiv SAN.
11	The RMIS must disallow more than one active session per sign-on identification.	10							10					Only 1 authorized user per sign-on may be active on RMIS at any time.
12	The RMIS shall allow Users to re-authenticate and remotely log out of an active User session before logging in at another location.	10							10					This is controlled by number of user sessions allowed. This is handled by the System Administrator.
13	The RMIS shall require password re-entry before User is allowed to perform functions predefined as "high security".	10								10				High Security Protocol would be an application enhancement
14	The RMIS shall encrypt sensitive data transmitted between clients and servers (e.g., Secure Socket Layer (SSL) Certificates, Transport Layer Security (TLS)).	10							10					All data is encrypted both at rest and in transit.
15	The RMIS shall provide a web (HTTPS) interface and an SSL configuration mechanism.	10							10					The system provides provide a web (HTTPS) interface and an SSL configuration mechanism.
16	The RMIS shall restrict Users from directly accessing the database.	10							10					Direct access to the database is not available to clients; available only to Ventiv DBAs and developers.
17	The RMIS shall secure password resets in case passwords are forgotten.	10							10					There is a password reset option at the user login screen.
18	The RMIS shall provide reminder alerts to Users to reset passwords.	10							10					Reminders are auto sent to users 14 days prior to expiration.
19	The RMIS shall provide the ability to set the time to change User passwords. The County standard for Users in 90 days.	10							10					Ventiv requires password reset every 90 days, following 'strong password' requirements.
20	The RMIS shall provide administrative ability to block Users' access during pre-defined off-hours.	10								10				This will require an application enhancement

21	The RMIS shall provide the option for multi-factor authentication for Users with higher security access including a comprehensive risk-based authentication and fraud detection platform that correlates behavioral analysis, device profiling and leverages data feeds from various intelligence sources.	10								10				This will require an application enhancement
22	The RMIS shall provide a secure process for County-specified Users to reset their own passwords in the event that they have forgotten their User ID and/or Password.	10							10					There is a password reset option at the user login screen. This is a secure process.

3.2 Security Requirements
3.2.2 User Profiles/Administration

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall provide the ability for Users to define and store User profile information (e.g., User's name, User ID, employee ID)	10							10					Base feature of application in User Profile managed through the User Security Module.
2	The RMIS shall provide the ability to define User roles and User groups and associate these with User accounts.	10							10					This is a core capability of our user-based access whereby users have access based on their security permissions.
3	The RMIS shall allow authorized site-specific Users to manage site-specific User groups and User accounts up to and including their level of authority.	10							10					This is a base feature of User Security.
4	The RMIS shall provide the ability for an administrator to delegate authority, by User group in order to reset password and to restore RMIS access of locked out User.	10							10					This is a base feature of User Security.
5	The RMIS shall provide the ability for an administrator to delegate authority, by User group, to restore RMIS access of locked out User.	10								10				Ventiv's best practice includes leaving this responsibility with the System Administrator role or through Ventiv's Support Portal, Engage. If County desired to delegate authority to a non-Administrator role, this would be a customization to our base product.
6	The RMIS shall provide the ability to restrict access based on Users' accounts' privileges.	10							10					This is core capability of the System Administrators (SA) authority and permission set.

7	The RMIS shall provide the ability to specify roles and privileges based on login locations.						10						10	Login is governed by user's security permission, not location. We can restrict IP addresses from hitting the login page as appropriate.
8	The RMIS shall allow restriction of rights, privileges or access at the User and group level.	10							10					This is a core capability of our user-based access whereby users have access based on their security permissions.
9	The RMIS shall allow for the restriction of rights, privileges or access of processes to the minimum required for authorized tasks.	10							10					This is core capability of the SA's authority and permission set.
10	The RMIS must allow administrators to manage restrictions or privileges associated with Users, groups and processes including:	10							10					This is core capability of the SA's authority and permission set.
a	Define levels of access;	10							10					This is core capability of the SA's authority and permission set.
b	Assign levels of access;	10							10					This is core capability of the SA's authority and permission set.
c	Modify a level of access;	10							10					This is core capability of the SA's authority and permission set.
d	Remove a level of access;	10							10					This is core capability of the SA's authority and permission set.
e	View access levels, privileges and memberships.	10							10					This is core capability of the SA's authority and permission set.
11	The RMIS shall allow revocation of the access privileges of a User without requiring the deletion of the User.	10							10					This is core capability of the SA's authority and permission set. Access may be redefined or reset by SA as well.
12	The RMIS shall allow association of permissions with a User with the following access controls:	10							10					This is core to our user-based security access rights and permissions.
a	User-based (i.e., access rights assigned to each User);	10							10					This is core to our user-based security access rights and permissions.
b	Role-based (i.e., Users are grouped and access rights assigned to these groups);	10							10					This is core to our user-based security access rights and permissions.

c	Context-based (i.e., role-based with additional access rights assigned or restricted based on the context of the transactions, such as time-of-day, workstation-location, emergency-mode, etc.).	10							2				8	Workstation location and emergency mode will not be accommodated. Time of day is being incorporated as an enhancement.
13	The RMIS shall allow the assignment of all of the following rights to Users:	10							10					Please see answers below.
a	Full;	10							10					This is core capability of the SA's authority and permission set.
b	Read;	10							10					This is core capability of the SA's authority and permission set.
c	Write;	10							10					This is core capability of the SA's authority and permission set.
d	Modify;	10							10					This is core capability of the SA's authority and permission set.
e	Delete.	10							10					This is core capability of the SA's authority and permission set.
14	The RMIS shall allow assigning of multiple roles to one user.	10							10					User may have multiple roles and sets of access permissions. This is a core capability.
15	The RMIS shall allow County to define custom security roles/access.	10							10					This is a core capability of the system.

3.2 Security Requirements
3.2.3 Input Validation

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall insure that input validation is applied whenever input is received through User or external data Interfaces. The validation approach is to constrain, reject, and then sanitize input.	10							10					Data being persisted flows through a framework known as Storable. Storable framework provides a consistent data validation and persistence approach.
2	The RMIS shall not rely on client-side validation. The RMIS design shall assume that user input is malicious.	10							10					Client-side validation is not relied upon for data validation and sanitizing. Server-side data validation exists in the form of data type checking, data filtering for malicious content.
3	The RMIS shall validate data for type, length, format, and range. The RMIS shall maintain consistent data validation across the solution.	10							10					Ventiv Claims leverages core html technology to provide the first layer of type, length, format and range validation to enforce clean data capture. In addition, the java server side will re-validate size and type before operating on data.
4	The RMIS shall avoid un-trusted input of file name and file paths. 1) The RMIS shall not accept file names or file paths from calling functions. 2.) The RMIS shall not make security decisions based on user-supplied files names and paths.	10							10					Ventiv Claims does not allow un-trusted file name/paths, nor does it make security decisions based on user-supplied file names or paths.

5	The RMIS shall not use parent paths when data within the solution is being accessed. The RMIS shall block attempts to access resources using parent paths.	10							10					File access is direct to configured locations. Parent paths are not utilized.
6	The RMIS web servers shall always assert a character set: a locale and a country code, such as en_US.	10							10					Apache Tomcat supports the ability to configure a default locale.

3.2 Security Requirements
3.2.4 Parameter Manipulation

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall validate and sanitize all input parameters (including form fields, query strings, cookies, and HTTP headers).	10						10					The application design leverages standard best practice data transfer to and from the host servers' insurance compliance on all input parameters.
2	The RMIS shall encrypt cookies with sensitive data (e.g. authentication cookies).	10						10					Authentication cookies are used
3	The RMIS shall not pass sensitive data in query strings or form fields.	10						10					Ventiv Claims does not pass sensitive data in query strings, form fields or in any unsecure method.
4	The RMIS shall not rely on HTTP header information for security decisions.	10						10					Ventiv Claims does not rely on the HTTP requests to validate security decisions.
5	The RMIS shall apply HTML encoding to strings before accepting or displaying them, so that the strings do not include any executable elements.	10						10					Ventiv Claims utilizes string encoding to insure that data is validated prior to rendering and operating on them.
6	The RMIS shall disable request validation and create an HTML filter if the solution needs to accept HTML. The RMIS shall never disable request validation without adding a solution check or filter.	10						10					Ventiv is providing a web based application. This includes using HTTPS and 256-bit encryption.

3.2 Security Requirements
3.2.5 Authentication

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall identify all solution and User accounts.	10							10					The system can easily display all users through the Security Administration Tool
2	The RMIS shall partition web sites into un-restricted and restricted areas using separate folders.	10							10					The Ventiv Claims application is secured by https, user authentication and application level security. All areas are restricted based on the three components listed.
3	The RMIS shall use least-privileged accounts.	10							10					We enforce role-based access control with the concept of least privilege.
4	The RMIS shall insure that minimum error information is returned in the event of authentication failure.	10							10					If there is an authentication error the user is not logged into the application.
5	The RMIS shall authenticate the user before any access is allowed to protected resources (e.g., Protected Health Information)	10							10					This is a core requirement for any user to obtain access to the system, regardless of data involved.
6	The RMIS shall secure Structured Query Language (SQL) authentication (e.g., communication between the application server and the database server) credentials in storage and over the wire via Secure Socket Layer (SSL) or IP Security (IPSec).	10							10					The SQL authentication credentials are secured in storage and also over the wire via Secure Socket Layer (SSL) or IP Security (IPSec).

3.2 Security Requirements
3.2.6 Authorization

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall provide measures to prevent, detect, and log unauthorized attempts to access the solution.	10							10					Fully compliant. The robust security and logging meets these requirements.
2	The RMIS shall assign rights and privileges based on authorization roles.	10							10					This is a core capability of Ventiv's user-based access and security methodologies. User rights/privileges are determined during implementation and managed by your System Administrator.
3	The RMIS shall restrict database access to stored procedures to authorized accounts only.	10							10					This is a core to your System Administrator's authority. In creating the various user profiles, standard roles are System Administrator, Full User, Lite Access User and View/Read Only User.
4	The RMIS shall prohibit direct access to database tables.	10							10					Standard feature of the product.
5	The RMIS shall identify all account ID's that are used by the solution and the resources accessed by each account.	10							10					Standard feature of the product.
6	The RMIS shall map roles to user and data Interfaces. Role rights and privileges are identified and maintained in an access control list.	10							10					Interfaces do not have rights and privileges. Actions by interfaces are governed by the interface specifications.
7	The RMIS shall map solution resources to roles and allowed operations for each role.	10							10					Security is established and maintained at the role level. Financial security is maintained at the user level.

3.2 Security Requirements
3.2.7 Configuration Management

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall require strong authentication for administration Interfaces (reference Section 3.2.1 for minimum requirement) and authorization (Section 3.2.6).	10							10					Administration interfaces are built into iVOS application roles and privileges. No separate authentication process exists.
2	The RMIS shall separate administrator privileges based on roles (e.g., site content developer, system administrator).	10							10					Role based security configuration is supported.
3	The RMIS shall secure remote administration channels (e.g., SSL, TLS).	10							10					Administration interfaces are built into iVOS application. No separate authentication channels exist.
4	The RMIS shall secure configuration stores (e.g., web.config, httpd.conf) from unauthorized access and tampering.	10							10					Compliant
5	The RMIS shall not hold configuration credentials and authentication tokens in plain text in configuration files (e.g., ssh client config file with remote login ID and password.)	10							10					Encrypting credentials is supported in configuration files.
6	The RMIS shall require User accounts and service accounts used for configuration management to have only the minimum privileges required for the task.	10							10					Role based security configuration is supported.

7	The RMIS shall require that source code is stored in a control system that authenticates and logs the developers associated with all changes to the software baseline and all related configuration and build files.	10							10					Source Control Tool requires authentication. All commits into the repository are logged.
8	The RMIS shall log all actions, including last login time and source location, in a non-refutable immutable way.	10							10					This is fully supported. The System Administrator has access to this and it may not be altered.

3.2 Security Requirements
3.2.8 Integrity Controls

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall have measures to detect and protect against unintentional and unauthorized changes to information. Example includes enabling audit logs and enabling notification to issue an alert.	10							10					Change Control process provides this protection.
2	The RMIS shall support integrity mechanisms, such as parity checks and cyclic redundancy checks (CRCs), for transmission of both incoming and outgoing files.	10							10					Ventiv supports this through the ability to restrict file uploads by the file extension. The integrity mechanisms are support through Ventiv's file transfer solution architecture.
3	The RMIS shall have measures to prevent the upload of unauthorized files (e.g., executable files).	10							10					Application has configuration that will restrict file types that are allowed to be uploaded.
4	The RMIS shall have measures in place to properly secure source code repository and configuration management files from corruption.	10							10					Authentication and logging exists. Data backup allows restoration if any corruption occurs.

3.2 Security Requirements

3.2.9 Sensitive Data (e.g., Electronic Protected Health Information (ePHI), Personally Identifiable Information (PII)

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	**Tool B**	**Tool C**	**Tool D**	**Tool E**	**N/A**	**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS shall not store sensitive data and secrets (e.g., password challenge phrases, credential and authentication tokens) in code.	10						10					This information is not stored in code.
2	The RMIS shall store secrets securely using a one-way hash. The RMIS shall not store secrets, database keys, connections, and passwords in plain text.	10						10					Compliant
3	The RMIS shall protect application logs that contain sensitive data.	10						10					Log access is restricted to Admin users.
4	The RMIS shall provide database/file encryption for protection of sensitive data fields while the data is at rest (e.g., stored data).	10						10					All data at rest is encrypted with AES256.
5	The RMIS shall include protection mechanisms for sensitive data that is sent over the network.	10						10					HTTPS provides this capability
6	The RMIS shall transmit sensitive data using secure protocols, such as sftp, ssh, https, etc., or tunneled through an authenticated encrypted connection (e.g., VPN).	10						10					Ventiv transmits all data via HTTPS.
7	The RMIS shall not store sensitive data in cookies.	10						10					Sensitive data is not stored in cookies.

8	The RMIS shall provide measures to prevent, detect, and log and alert County administrators of unauthorized attempts, successful and unsuccessful, to access County data or System data. The RMIS shall log authorized access to County data or System data, and detect and alert County administrators of unusual or suspicious access/download/printing activity (e.g. unusually large and/or frequent exports or reporting) involving County data or System data by any user.	10							10					Ventiv Technology leverages Palo Alto firewalls with IPS/IDS to detect unauthorized or threat traffic into the Ventiv Cloud.
9	The RMIS shall restrict transactions involving financial or sensitive data to authorized User sessions originating on authorized networks only.	10							10					Transactions are restricted based on User Authentication, User Security and Page Security.
10	The RMIS shall encrypt all User sessions involving financial transactions or sensitive data using SSL/HTTPS.	10							10					HTTPS provides this capability

3.2 Security Requirements
3.2.10 Session Management

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall use SSL/TLS to protect authentication cookies.	10							10					HTTPS is supported.
a	What types of cookies are used (e.g., persistent or non-persistent)?	10							10					Persistent w/expirations.
2	The RMIS shall limit session lifetime to a pre-specified and configurable duration.	10								10				This would be a customization. Ventiv claims allows a user to work within the system as long as they are actively using it. If there is no activity within 60 minutes, then the session is terminated.
3	The RMIS shall protect session state from unauthorized access.	10							10					Compliant
4	The RMIS shall not pass session identifiers in query strings.	10							10					Compliant
5	The RMIS must remove temporary objects on session termination; database connection must be terminated; and memory must be released.	10							10					Compliant

3.2 Security Requirements
3.2.11 Timeouts

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS must automatically timeout a session if it is idle for a pre-specified and configurable duration.	10							10					Core capability
2	The RMIS must warn the User before the timeout and prompt the User to re-authenticate within a specified period of time.	10							10					The user is required to re-authenticate after timeout; system will warn the user when timeout is about to occur.

3.2 Security Requirements
3.2.12 Encryption

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall use FIPS 140-2 compliant encryption solution and, at minimum use industry standard cryptography available for the platform (e.g., AES 256).	10							10					We support TLS encryption for email, 156-bit SSL encryption for application traffic and SFTP/PGP for file transfers. Browser encryption is SSLv3.
2	The RMIS shall securely deliver information over the internet using encryption (e.g., triple-DES (Data Encryption Standard), Advance Encryption Standard (AES)).	10							10					HTTPS/SSL with AES256 encryption is required for all application communications
3	The RMIS shall use the latest, stable and industry recommended version of SSL/TLS to deliver encrypted data over the Internet.	10							10					TLS 1.1 or higher is required.
4	The RMIS shall use a cryptographic algorithm with a key size equal to or greater than 256 bit for data encryption.	10							10					Ventiv leverages AES256 encryption.
5	The RMIS shall secure encryption keys.	10							10					Encryption keys are secured and managed by Ventiv IT Staff
6	The RMIS shall define key management procedures to secure and manage the encryption keys.	10							10					There are defined key management processes. Keys are secured within a safe.
7	The RMIS shall encrypt all confidential and sensitive data at storage and in transit.	10							10					Ventiv data encryption standards include encryption in transit and at rest.
8	The RMIS shall provide system generated reports verifying the used Encryption Algorithm, key size and encrypted mediums that host or process County data.	10							10					We can provide the county with reports showing the encryption level utilized

3.2 Security Requirements
3.2.13 Exception Management / Error Handling

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall provide exception handling to minimize information disclosure in case of an exception (e.g., login failure).	10							10					Minimum exception logging is practice followed by Dev Teams.
2	The RMIS shall return generic errors messages to the client, to avoid disclosure of sensitive information (e.g., database error, application error).	10							10					Compliant
3	The RMIS code shall not rely on internal solution generated error handling. The RMIS shall provide its own error-handling processes.	10							10					Compliant
4	The RMIS shall log solution errors.	10							10					Errors and exceptions are logged into application log
5	The RMIS shall not log private and sensitive data (e.g., passwords).	10							10					Compliant
6	The RMIS shall send security alerts in response to security events. The criteria for determining the security events that are to be delivered must be configurable.	10							10					Clients are notified of any incident impacting their data and/or performance of the solution. Ventiv has a defined incident response program in place, attested to within our HIPAA and ISO27001 controls.
7	The RMIS shall configure the mechanism (e.g., email, SMS) and recipients for delivering the security alerts.	10							10					Monitoring alerts are sent via email and phone to internal Ventiv resources in the event of an issue

3.2 Security Requirements
3.2.14 Audit Trails and Logging

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall include auditing and logging of an event, and at a minimum includes:	10						10					The Ventiv Claims application has extensive logging routines.
a	Authenticated access;	10						10					Included in base logging.
b	Configuration changes;	10						10					Included as part of application's audit protocols.
c	Privileged access such as use of administrative rights, and change of rights and privileges.	10						10					Included as part of application's audit protocols.
2	The RMIS shall include the following logged parameters:	10						10					Included as part of application's audit protocols.
a	User or system account ID;	10						10					Included as part of application's audit protocols.
b	Date/time stamp;	10						10					Included as part of application's audit protocols.
c	Event source;	10						10					Included as part of application's audit protocols.
d	IP address;	10						10					Included as part of application's audit protocols.
e	Error/event code and type;	10						10					Included as part of application's audit protocols.
f	Type of transaction;	10						10					Included as part of application's audit protocols.
g	User device or peripheral device involved in transactions;	10						10					All authentication is still user based, even if from handheld device.
h	Outcome (success or failure) of the event.	10						10					Scheduler logs interface detail for each interface.

3	The RMIS shall generate an audit record for all activity of each User (i.e., a trail of all User activity within the solution).	10							10					Included as part of application's Full Table Audit feature.
4	The RMIS shall generate an audit record for activity associated with a transaction, from creation to completion, including logging of data additions, changes, and deletions.	10							10					Included as part of application's Full Table Audit feature.
5	The RMIS shall provide a mechanism to view the audit trail of all transactions including but not limited to, User's login ID, date and time stamp.	10							10					Included as part of application's Full Table Audit feature.
6	The RMIS shall provide a mechanism to select transactions and solution functions to be logged.	10							10					Full Table Audit feature allows for additional logging on certain transactions
7	The RMIS shall provide a mechanism to select data elements to be logged.	10							10					Full Table Audit feature allows for additional logging on certain transactions
8	The RMIS shall track the before and after record of modified data elements.	10							10					Full Table Audit feature allows for additional logging on certain transactions
9	The RMIS shall restrict solution administrator from changing log activity.	10							10					Application prohibits any delete capability on audit activity by any user.
10	The RMIS shall secure audit records in the following ways:	10							10					The system has extensive auditing
a	Allows read access to authorized Users only;	10							10					All audit activity, records are secured; only accessible by authorized users with appropriate permissions.
b	Protects stored audit records from unauthorized deletion;	10							10					All audit activity, records are secured; only accessible by authorized users with appropriate permissions.
c	Prevents modifications to the audit records.	10							10					Application prohibits any delete capability on audit activity by any user.
11	The RMIS shall monitor User audit logs via an automated process, and reports on irregular activity. Irregular activities are identified based on County departments' rules and regulations. The irregular activity reports are customizable.	10							10					User audit logs are typically generated via Claims Intelligence reports via records in the database that the user has inserted or updated
12	The RMIS shall provide the ability to access records, reports and historic information for predefined timeline based on rules and regulations.	10								10				As a SaaS, Ventiv Claims does not ‘archive’ data. Data is accessible at all times to authorized users.

13	The RMIS shall prevent deleted records from being purged.	10								10				Our SaaS applications have no built in automated purge or archive capabilities; we do not purge client data and data is fully backed up as explained above.
14	The RMIS shall maintain an audit trail of errors and exceptions.	10							10					Scheduler captures errors and exceptions for all interface transactions.
15	The RMIS shall log and track all changes to the solution hosting environment. Reports are available for significant and critical changes and sent for review by a responsible person.	10							10					Ventiv Technology follows a documented change control process. All changes require an approved change control prior to being implemented. These controls are attested to within our SOC, ISO27001-2013 and URAC HIPAA accreditation.
16	The RMIS shall relocate solution log files from their default locations.	10							10					all log files are moved into a centralized log management system (Splunk) for further analysis and review.
17	The RMIS shall backup solution log files.	10							10					Log files are backed up

3.2 Security Requirements
3.2.15 Reporting

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall limit access to security reports to authorized County system managers for necessary review and accountability.	10						10					Report availability is controlled by system administrator
2	The RMIS shall provide error and exception reports (Refer to Section 3.2.13 Exception Management/Error Handling)	10						10					Scheduler captures errors and exceptions for all interface transactions.
3	The RMIS shall provide audit reports for information logged in Section 3.2.13 Exception Management/Error Handling.	10						10					Scheduler captures errors and exceptions for all interface transactions.
4	The County must have the ability to review all vulnerability assessment/audit reports.						10					10	Ventiv does not permit clients to review our vulnerability assessment reports for reasons of exposure. Ventiv will provide County with summaries of such reports. Our ISO 27001 certifies the Vulnerability Management Program; available to County on request.
5	The RMIS shall provide configuration, User accounts, roles and privileges reports to authorized administrators only.	10						10					Report availability is controlled by system administrator
6	The RMIS shall provide functionality to generate and schedule security and audit reports set forth in Section 3.2.14 Audit Trails and Logging.	10						10					Standard feature of Claim Intelligence

3.2 Security Requirements

3.2.16 Synchronization with Applications or Devices Used in Offline Mode

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	**Tool B**	**Tool C**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS shall synchronize data collection devices (e.g., handheld devices) with the solution securely using authentication, authorization and encryption mechanisms.	10							10					Ventiv's mobile strategy employs best practice standards around securing app authentication as well as securing any data held temporarily by the device including encryption.

3.2 Security Requirements
3.2.17 Backup

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall define application code backup, recovery and restore requirements.	10							10					Backup, recovery and restore requirements are fully defined at the application level.
2	The RMIS shall define data backup, recovery and restore requirements.	10							10					Backup, recovery and restore requirements are fully defined at the database level.
3	The RMIS Data must be encrypted using the requirements set forth in Section 3.2.12 Encryption.	10							10					Ventiv's data encryption standards include encryption in transit and at rest. Ventiv protects data transmissions between our services/ infrastructure and client/third parties for all web, e-mail, and file transfer transactions. SFTP is used for batch data transmission of encrypted files.

3.2 Security Requirements
3.2.18 Infrastructure and Hosting Environment

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall implement Network Intrusion Prevention System (NIPS) or Network Intrusion Detection System (NIDS) for the internal network.	10							10					Our RIScloud infrastructure is protected by intrusion prevention (not simply detection) built into our firewalls.
2	The RMIS shall implement Host Intrusion Prevention System (HIPS) on the servers.	10											10	IPS is provided at the firewall layer. Due to this prevention, it was determined that HIPS was not needed.

3	The RMIS shall communicate with all County internal systems, for Interfaces and/or other systems integration needs, through one of the following secure network connectivity options: a. Internet Protocol Security (IPSec) Tunnel, or b. Direct Private Network Connection. The RMIS must adhere to County network standards when connecting into the County's Site-to-Site Virtual Private Network (S2S VPN) environment for IPSec tunnel and/or Extranet environment for direct private network connection. Additionally, the RMIS will be responsible for establishing network communication between the RMIS software solution and other third-party vendors for systems located outside of the County's network environment. The County's network infrastructure shall NOT be used as a transit network to facilitate such communication, and the RMIS will develop the proper means to secure the transmission of County data between such systems.	10							5	5				Either of these methods is acceptable to Ventiv.
4	The RMIS shall provide a feedback alerting solution for the hosting environment to notify appropriate personnel and report repeated attempts to gain unauthorized access to the solution including, capture of identification/address of the location where the attempt was made, and the type of access that was being attempted.	10							10					Our IPS sends alerts for suspect traffic and actions are taken based on an investigation. More details of our IPS and other network controls can be found in our SOC report, available on request.
5	The RMIS shall provide an alerting system for the hosting environment to notify appropriate personnel and report attempts to escalate privileges and gain unauthorized access by authenticated Users beyond their authorized rights. For example, a non-admin authenticated User trying to gain admin rights or perform admin tasks.	10							10					System level protections are in place alerting the Server Engineering team when users attempt to gain privileges beyond their assignment.

6	The RMIS shall provide an alerting system for the hosting environment to notify appropriate personnel and report unauthorized transmission of sensitive data out of the hosting environment.	10							10					The alerting system is in place and sends notification to Ventiv's Server Engineering team.
7	Antivirus Endpoint Protection software (AV/AS, personal Firewalls) shall be installed on all RMIS platforms. Refer to the County Board of Supervisors Policy 6.102 "Countywide Antivirus Security Policy" for details. http://countypolicy.co.la.ca.us/BOSPolicyFrame.htm	10							5				5	We utilize McAfee on all Windows based and MAC based servers and laptops across the corporation. We do not put A/V on Linux servers. Please see the ISO 27001 certification and report packet.
8	All RMIS software installed on servers, workstations and other devices must be authorized, licensed, and documented to ensure that data security is not compromised.	10							10					Ventiv's Security Policy is based on the ISO 27001 standard and HIPAA regulations. We currently have URAC Accreditation for the HIPAA Security Rule and ISO 27001:2013 certification, the most current.
9	If the data transmitted between the County and the contractor travels via a private circuit (i.e., frame relay, etc.), the circuit terminates on the County Extranet on a contractor supplied router, in accordance with County Operational Guidelines. However, if the data between the County and the contractor is transmitted over a public network (e.g., the Internet), the Contractor must deploy a site-to-site VPN for the traffic between the County and the Contractor and must conform to County site-to-site VPN specifications. ISAKMP and IPSEC configuration parameters must support AES 256. All IP addresses traversing through Site-to-Site VPN tunnel must be translated to public IP address(es) owned by contractor/partner. LA County cannot accept private IP address over VPN tunnels.	10							5				5	The County requirements will dictate that either a private circuit or site to site VPN will need to be deployed.
10	The RMIS shall provide the capability to filter traffic by IP address/range as provided by County to isolate traffic to/from specific County locations and facilities.	10							10					IP filtering is available.

11	The RMIS web server(s) that support the Internet facing component of the solution shall:	10							10					Please see responses below.
a	Be located in a 'Demilitarized Zone' (DMZ) - an area that is isolated from the internet and other internal networks by firewalls;	10							10					We employ redundant firewalls with IPS/IDS built-in between each layer. We also have a DMZ in place. All core critical infrastructure components are fully redundant and run in an active-active or active-passive configuration (with automatic failover).
b	Run on one or more dedicated computers;	10							10					
c	Run with 'least privileges';	10							10					
d	Prevent initiating network connections to the Internet;	10							10					Network connections are not permitted
e	Configured so that scripts can only be run from the specified locations.	10							10					
12	The RMIS connections between web servers and back office systems shall:	10							10					Please see responses below.
a	Be protected by fire walls that only allow required ports and services required by the solution;	10							10					All network traffic between zones passes through a firewall. We also have a DMZ in place.
b	Restrict to code generated by web server applications, rather than by client applications;	10							10					Restrict to code is completed by our web server applications.
c	Be based on documented and standardized application programming interfaces (APIs);	10											10	Ventiv's APIs are designed to enable database connections between applications.
d	Support mutual authentication.	10											10	Ventiv Claims delivered over RIScloud supports standard ID and strong password authentication as well as single sign-an access using the SAML 2.0 protocol.
13	The RMIS web site content shall:	10							10					
a	Be stored on a separate partition/disk from the operating system;	10							10					
b	Be protected by setting file permissions;	10							10					
c	Be updated by particular individuals and via approved methods;	10							10					
d	Be reviewed to ensure that it is accurate, that hyperlinks are valid and functional.	10							10					

14	The RMIS web servers shall check for and deny expired, revoked or improperly signed digital certificates.	10							10					
15	The RMIS datacenter staff shall be trained on security procedures related to the solution and infrastructure based on their roles and responsibilities.	10							10					Training and updated training is required for all new and current Data Center staff
16	The RMIS host environment shall have an established Computer incident response team.	10							10					Our Incident Response is based on NIST 800 and follows HIPAA/HITECH requirements.
17	Background checks shall be required for all RMIS IT staff to include subcontractors.	10							10					Full background checks, including drug testing, are required of all Ventiv employees and contractors as a condition of employment.
18	Describe the location(s) and who owns and operates the RMIS data center(s) where you propose to house and process County RMIS Data, including the location(s) where County RMIS Data is backed up and/or replicated. All RMIS data center(s) and backup/replication locations shall reside in the Continental United States.	10							10					Data Centers serving U.S. clients are located in the Continental US: primary DC-Near Atlanta, GA; secondary/backup site: Near Oakland, CA. Data Centers managed exclusively by Ventiv. The data centers are owned by Data Site and Digital Realty.
19	Physical security procedures for the RMIS data center(s) where you propose to house and process County RMIS data shall be provided to County for review.	10							10					Extensive physical security practices and facilities are in place. We will provide for County's review on request. Physical controls are attested to within our SOC, ISO27001-2013, and URAC HIPAA accreditations.

3.2 Security Requirements
3.2.19 Vulnerability Assessments

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	RMIS application vulnerability scans shall be part of the risk assessment program.	10						10					Weekly vulnerability scans are performed on networks and servers. Certification of our Vulnerability Assessment Program is included in the SOC, URAC HIPAA Security and ISO 27001 certifications
2	RMIS Vulnerability Scans shall be conducted periodically for: (a) RMIS application; (b) RMIS servers; (c) RMIS network; and (d) Endpoints that store or process County data. The Vulnerability Scans shall include both static application security testing (source code vulnerability assessment) and dynamic application security testing (vulnerability assessment of the application in a running state).	10						10					Ventiv's vulnerability assessment procedures include testing against application, server, network and endpoints.
3	RMIS Penetration Testing shall be conducted periodically against the RMIS application.	10						10					Qualys scans are performed weekly by Ventiv and monthly by Ventiv Information Security. Pre-release application penetration testing is performed by a third party 4 to 6 times each year.
4	RMIS Penetration Testing shall be conducted periodically against the RMIS infrastructure.	10						10					We perform full testing including both penetration tests and vulnerability scans. Pentests are performed by a 3rd party prior to each code release. Weekly vulnerability scans are also run.

5	Contractor shall allow County to review all RMIS related vulnerability assessment/audit reports.						10						10	Ventiv does not permit clients to review vulnerability reports as they contain proprietary information and would potentially expose all of our other clients. Summary reports will be provided to County.
6	Contractor shall allow County to conduct an audit of your IT Security program by an independent third party.						10						10	Ventiv does not allow clients to perform 3rd party audits; such audits would create risk for other clients. Ventiv Technology can provide the county with copies of our annual reports for SOC 1 TypeII, ISO27001-2013, and URAC HIPAA.
7	Contractor shall describe protocols in the event of a security breach that will be used to mitigate further losses.	10							10					Our Incident Response protocol is based on NIST 800 and follows HIPAA/HITECH requirements.

3.2	**Security Requirements**													
3.2.20	**Cybersecurity Insurance**													
	Technical Requirement	Tools to Support							How it will be Provided					
		Tool A	**Tool B**	**Tool C**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	Contractor shall meet the provisions of insurance and indemnification which may include but not limited to General Liability, Cyber and Network Liability, Errors and Omissions, Vehicle and Crime Insurance provisions.	10											10	Please see #60 and 63 on the Exceptions List.

3.3 Support

3.3.1 System Problem Reporting and Contractor Helpdesk Application

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Ventiv Engage	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS helpdesk application shall allow County-specified Users the ability to record new problems, view the status of existing problems, or update specific information for previously reported problems.		10						10					Ventiv's Client Support Portal provides real-time visibility and empowers clients to submit cases to our support team directly and update and track the progress of their issue. The Support Portal also provides access to a solutions database for self-service user support inquiries. Accessible 24/7 via direct link.
2	The RMIS helpdesk application shall be browser-based and accessible via County-specified Users' computing devices.		10						10					Ventiv's Client Support Portal is accessible via Internet Explorer and Chrome
3	The RMIS helpdesk application shall include a method for County-specified Users to indicate the urgency/importance of a problem (e.g., "Hot") and escalated tickets (e.g., "Priority").		10						10					Ventiv's Client Support Portal meets the requirements.
4	The RMIS helpdesk application shall allow County-specified Users to attach files, such as screenshots or error messages.		10						10					Submission of issues through the application allows for the upload of files
5	The RMIS helpdesk application shall allow the County-specified Users to view all problems reported on the helpdesk application.		10						10					Users are provided with a number of dashboards that allow them to see all cases along with status and last update on each

6	The RMIS helpdesk application shall allow County-specified Users to make parameter-driven searches.		10						10					Searching capability is available. Some of the dashboards are also interactive with results dependent on filters set by user
7	The RMIS helpdesk shall generate reports for online viewing, download, or printing, as specified by County-specified Users.		10						10					Ventiv's Client Support Portal meets the requirements.

3.3 3.3.2	**Support Automated Change Tracking System (ACTS)**												
	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	**Ventiv Engage**	**Tool C**	**Tool D**	**Tool E**	**N/A**	**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS shall include an Automated Change Tracking System (ACTS) for the purpose of tracking all M&E Requests, M&E Proposals, and M&O Requests.		10					10					Ventiv has an internal system that tracks all of this information and can provide reports back to the client.
2	The ACTS application shall be browser-based and accessible via the County-specified Users' computing devices.		10					10					The system is available in IE 11, IE 12 and Chrome

3.3 Support

3.3.3 Business Continuity/Disaster Recovery Planning

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The Business Continuity/Disaster Recovery Plan shall include documentation that specifies and describes the activities required to ensure that the Primary Central Site, Backup Central Site shall be able to recover from any disruption in service regardless of the level of severity.	10							10					Our Disaster Recovery program is fully documented and includes a Business Continuity Plan. The plans encompass URAC HIPAA Business Partner and Covered Entity accreditation, obtained in 2012, and ISO 27001:2014 certification, the latest available.
2	The Business Continuity/Disaster Recovery Plan document shall be updated whenever a new RMIS Component or other major RMIS change is implemented.	10							10					The Disaster Recovery program is tested annually and modified to reflect any major changes.
3	The RMIS and RMIS Data shall be available for Production Use at the backup sites (Backup Central Site) in the event of a disaster.	10							10					Ventiv maintains a complete installation of our Data Center's critical infrastructure at a secondary site. Ventiv replicates to our DR site in near-real time using Oracle's RMAN solution.
4	The Business Continuity/Disaster Recovery Plan shall be fully tested semi-annually.	10							10					Our DR program includes an annual disaster recovery-business continuity plan test.

5	The Backup Central Site shall be implemented and tested prior to the commencement date of Countywide implementation that includes the following:	10							10					We will ensure that the Backup Central Site will be tested prior to the commencement date of the implementation.
a	Providing daily backups of the RMIS that will be stored at the backup site;	10							10					Backup is fully automated on our RIScloud platform; done in near real time using our redundant data center facilities.
b	Providing continuous configuration management for the backup site to ensure it mirrors the production environment facility;	10							10					Configuration settings at the DR facility mirror the production environment facility
c	Providing a backup site that adheres to the RMIS performance requirements; and	10							10					The DR facility meets all performance requirements
d	Interfacing with other systems to ensure the accuracy and timeliness of RMIS Data.	10							10					All associated systems are available at the DR site and the interfaces between them are tested and validated during the annual DR test.
6	The RMIS backup processes shall be automated.	10							10					Backup is fully automated on our RIScloud platform; done in near real time using our redundant data center facilities.
7	The RMIS shall utilize backup and recovery solutions that provide security against unauthorized access.	10							10					Access is governed by firewalls and intrusion detection systems. Data between Ventiv and client systems is protected via standards-based encryption (SSL).
8	The RMIS shall be capable of performing continuous data protection backups of the RMIS production environment database.	10							10					Backup is fully automated on our RIScloud platform; done in near real time using our redundant data center facilities.

9	The RMIS shall include the ability to be restored to a state that reflects the state of all RMIS files as of the last fully processed transaction.	10											10	Ventiv Technology leverages Oracle RMAN technologies to replicate data on a near real time basis. Replication is done to a local and remote (DR) physical standby. As a company, we commit to an RPO of 12 hrs and an RTO of 24 hrs. Our DR testing regularly exceeds our committed recovery times.
10	The RMIS shall ensure, once the RMIS becomes available again, that it shall be necessary for County-specified Users to re-enter only the transactions that were in process at the time RMIS availability was lost.	10											10	Ventiv Technology leverages Oracle RMAN technologies to replicate data on a near real time basis. Replication is done to a local and remote (DR) physical standby. As a company, we commit to an RPO of 12 hrs and an RTO of 24 hrs. Our DR testing regularly exceeds our committed recovery times. Transactions (logs) that were inflight may be lost.
11	The RMIS shall include the ability for broadcast notification to County-specified Users that the RMIS is once again operational. Such notifications may be automatically or manually initiated.	10											10	Notifications are distributed once the RMIS is again operational.
12	The RMIS shall complete backups during Off Prime Business Hours, with no adverse effect on RMIS performance.	10											10	Backups are taken off of the local standby so will not affect production.
13	The RMIS shall, for the Primary Central Site and Backup Central Site, unless otherwise requested by County, secure and retain all RMIS Data backup media for periods specified by County.	10											10	Backup is fully automated on our RIScloud platform; done in near real time using our redundant data center facilities.
14	The RMIS shall ensure that failover needed to keep the RMIS available to the Users is transparent to the Users. This includes automated switchover to the Backup Central Site to meet performance requirements in the event that the Primary Central Site suffers a loss of availability.	10											10	Failover among components in the production facility is fairly seamless to the end user. Inflight transactions may need to be re-entered. Failover to the Dry facility will not be transparent to end-users. Ventiv commits to a 24 hr RTO and a 12 hr RPO.

15	The RMIS shall include redundancy to protect against cooling system failures at the Primary Central Site and Backup Central Site.	10							10					We employ N+1 Redundant Liebert Critical Cooling System 100% dedicated to Ventiv for exclusive use.
16	The RMIS shall encrypt data during the backup processes.	10							10					We employ full encryption of all data both in transit and at rest.
17	The RMIS shall minimize access restrictions of RMIS functionality errors during the enterprise-wide backup process.	10							10					The application is fully available at all times while backups are being performed in near real time.
18	The RMIS backups shall minimize disruption to User daily operations.	10							10					Backup is done in near real time and is not discernable to users.
19	The RMIS backup and recovery solutions shall support a variety of media types.	10											10	Ventiv leverages Oracle's Zero Data Loss Recovery Appliance (ZDLRA) for backups.
20	The RMIS shall encrypt all data that exists on backup media.	10											10	No backup media outside the SaaS is employed. We employ full encryption of all data both in transit and at rest.
21	The RMIS shall include a strategy for securing backup media during transit and storage.	10											10	No backup media outside of the SaaS is employed. We employ full encryption of all data both in transit and at rest.
22	The RMIS shall create and maintain log files of all backups in order to detect anomalies and errors during the backup process.	10							10					The ZDLRA logs and tracks the state of all backups.

3.4 Conversion Requirements

3.4.1 General Conversion Requirements

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS conversion development, testing, and execution shall not cause any disruption to the Users in the normal operation of business.	10						10					All conversion development and testing will occur in a dedicated conversion environment and will cause no disruption to the users in the normal operation of business.
2	The RMIS shall identify and map all data field, field definitions, and structural differences between the Risk Management Systems data and RMIS Data.	10						10					The mapping of all data fields, along with transformation of data will occur as a joint activity between Ventiv and County
3	The RMIS shall prevent duplicate payment issuance during the conversion process, by issuing payments from a single system during implementation.	10						10					The production system of record will always retain the responsibility of checking for duplicates.
4	The RMIS shall include and maximize the use of automated data conversion by using a comprehensive and effective analysis to correct data discrepancies in Risk Management Systems data prior to conversion to the RMIS.	10						10					This is a core capability of conversion process.
5	The RMIS shall include an analysis of Risk Management Systems source files in order to determine what Risk Management Systems data can and/or cannot be extracted and processed during the conversion process.	10						10					Ventiv will include the analysis of all source systems in the Conversion Plan:

6	The RMIS shall identify data exceptions. Edits and logic shall be developed that will identify invalid data values, incomplete records, duplicate identifiers, inconsistencies between files, and other exception conditions. All exceptions shall be documented on reports in a format approved by County Project Director.	10							10					This is included in our standard conversion methodology.
7	The RMIS shall correct data exceptions, as a first priority via update transactions that will be created and processed against the appropriate existing source file(s) in order to correct the exception(s) if possible.	10							10					This is included in our standard conversion methodology.
8	The RMIS shall correct data exceptions by additional conversion code that shall correct the problem during the conversion process, where an automated data correction is not possible.	10							10					Ventiv will include the analysis of all source systems in the Conversion Plan:
9	The RMIS shall document all automated corrections via update transactions in reports in a format approved by County Project Director.	10							10					This is included in our standard conversion methodology.
10	The RMIS shall identify all instances where an automated correction is not possible via update transactions and shall, as the second priority to item 6 above, write conversion code that will correct the problem during the conversion process.	10							10					This is included in our standard conversion methodology.
11	The RMIS shall document and produce reports, in a format approved by County Project Director, of all instances where automated correction will be achieved via conversion logic and default values.	10							10					This is included in our standard conversion methodology.
12	The RMIS shall identify all instances where update transactions and conversion logic as automated solutions are not possible and shall document these instances in reports, in a format approved by County Project Director, with a corrective action plan.	10							10					This is included in our standard conversion methodology.

13	The RMIS shall include an iterative process for cleaning data prior to final conversion to the RMIS. The process shall include multiple runs of data fields and areas with reports in a format approved by County Project Director and lists that include, sorting claim number and type of conversion case situation.	10							10					This is included in our standard conversion methodology.
14	The RMIS shall develop conversion rules and logic to convert values from the Risk Management Systems into the RMIS Data element values. Default values shall be identified for data elements not available on existing systems.	10							10					This is included in our standard conversion methodology.
15	The RMIS shall be loaded with the edited and purified claim data. When appropriate, new data elements required for the RMIS Data shall be updated with default values. The RMIS database shall be populated with data including:	10							10					After the trial conversions are completed, validated and approved by the County, the production database will be populated with the final conversion data.
a	Financial history attained from existing sources;	10							10					This is included in our standard conversion methodology.
b	Current and historical data from existing County, ancillary, and interfacing systems; and	10							10					This is included in our standard conversion methodology.
c	All data from the Risk Management Systems, including open and closed claims.	10							10					This is included in our standard conversion methodology.
16	The RMIS shall have the ability to fully maintain the claim using converted and default data.	10							10					This is included in our standard conversion methodology.
17	The RMIS testing database shall be built from the RMIS conversion programs and shall be kept current and be reloaded as RMIS conversion programs and Risk Management Systems data are refined and corrected.	10							10					This is included in our standard conversion methodology. The reloading of data will be identified and addressed in the project plan.
18	The RMIS conversion software shall be tested prior to the initiation of any conversion activity. All conversion software shall be unit tested, system tested, and acceptance tested prior to implementation.	10							10					This is included in our standard conversion methodology.

19	Contractor shall prepare a conversion test plan, develop the conversion test criteria, and provide the test environment. The iterative conversion test reports shall include a presentation of the test results and performance analysis, problems encountered, corrective action(s) taken, and retest results.	10							10					This is Ventiv's standard practice and will be included in the planning and execution phase of the project.
20	Contractor shall, in addition to all other testing, test in an iterative manner all RMIS components against the testing database (in the same format as the RMIS database) that is to be created using the RMIS conversion programs during the early stages of Phase 1 (Design/Development/Implementation Phase).	10							10					This is included in Ventiv's standard conversion methodology.
21	The RMIS shall include appropriate default conversion indicators such that reports can be produced on claims that have default values in the RMIS. The reports shall be in a format approved by County Project Director and shall include the capabilities to filter, sort, and select by criteria that include:	10							10					This is included in Ventiv's standard conversion methodology, the format must be approved by both parties.
a	Claim Number;	10							10					This is included in Ventiv's standard conversion methodology, the format must be approved by both parties.
b	Type of claim; and	10							10					This is included in Ventiv's standard conversion methodology, the format must be approved by both parties.
c	Claim assignment unit.	10							10					This is included in Ventiv's standard conversion methodology, the format must be approved by both parties.
22	The RMIS shall generate exception reports that identify claims which failed to be converted through the automated database update. Management reports, in a format approved by County Project Director, shall also be generated in order to monitor the conversion process.	10							10					This is included in Ventiv's standard conversion methodology, the format must be approved by both parties.

23	The RMIS shall provide reports on claims using default values set at conversion. The reports shall, at a minimum, provide selection and sorting for claim, claim type, claim assignment unit, based on one, selected, or all default conversion field values in the RMIS.	10							10					Custom Reports can be created, or County can use Claims Intelligence reporting to create their own formats.
24	The RMIS shall in an automated manner clear default conversion values appropriately when they are corrected or confirmed.	10											10	Default field values will be replaced by valid codes/values once they are manually corrected or confirmed. Subsequent conversion programs will not override these corrections / confirmations with the default.
25	The RMIS shall determine the internal integrity of the data selected for conversion. Data verification programs shall be developed which identify and report on inconsistencies within the existing systems. Verification activities shall be monitored. The analysis shall include:	10							10					This is included in Ventiv's standard conversion methodology.
a	A List of all conditions applicable to data integrity checks;	10							10					This is included in Ventiv's standard conversion methodology.
b	For each condition checked, the number of existing records that contain the condition (e.g., how many records have this error condition);	10							10					This is included in Ventiv's standard conversion methodology.
c	A report of, or online access to, each record that has invalid condition(s); and	10							10					This is included in Ventiv's standard conversion methodology.
d	A description of data verification programs/processes to perform automated and manual data verification.	10							10					This is included in Ventiv's standard conversion methodology.
26	The RMIS conversion software shall be developed so that County-specified Users are not subjected to an increased workload due to duplicate data entry or other similar redundant activities.	10							10					This is included in Ventiv's standard conversion methodology.
27	The RMIS shall examine Risk Management Systems' data structures and tables in order to analyze the best method for handling historical RMIS Data.	10								10				Intentionally Omitted.

28	The Conversion Plan shall include all Risk Management Systems data, as appropriate.	10							6	4				Intentionally Omitted.
29	The Conversion Plan shall detail how existing data is to be handled for County approval, including:	10								10				Intentionally Omitted.
a	What tables and/or data is to be removed;	10								10				Intentionally Omitted.
b	What tables and/or data is to be kept for online access; and	10								10				Intentionally Omitted.
c	What tables and/or data is to be purged.	10								10				Intentionally Omitted.
30	The Conversion Plan shall comply with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directive, policies, and procedures.	10							7	3				Ventiv will work with County to determine what specific requirements are required by County for the Conversion Plan.
31	The RMIS shall seamlessly access historical RMIS Data.	10								10				A seamless integration point will be a priority.
32	The RMIS shall provide a method so that historical RMIS Data for a specific claim or set of claims, can be retrieved to the online RMIS database.	10								10				Intentionally Omitted.
33	The Conversion Plan shall be consistent with the strategies and methods for accessing and retrieving RMIS Data as described in Subsection 2.9 (History Maintenance) of this Exhibit A.1.	10								10				Intentionally Omitted.
34	Intentionally Omitted.													Intentionally Omitted.

3.4 Conversion Requirements
3.4.2 Conversion Plan

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The Conversion Plan shall include a detailed analysis and mapping of the RMIS Systems data and the data conversion rules.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution.
2	The Conversion Plan shall define the origin of each Risk Management Systems data element, conversion rules, and how default values are calculated when appropriate.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution at the data element level.
3	The Conversion Plan shall identify any potential data conversion problems.	10							10					Ventiv documents all identified anomalies and issues with the data in a log format to be worked through with the client.
4	The Conversion Plan shall include an automated method of interfacing with the Risk Management Systems in an iterative process in order to correct any identified data conversion problems.	10							10					The Ventiv Data Transformation process includes an iterative process for identifying and correcting issues with the data.
5	The Conversion Plan shall include a list of data sources, files, and tables being converted.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution, including data sources, files and tables.
6	The Conversion Plan shall include a cross reference of Risk Management Systems and interface data elements to the RMIS Data elements.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution, including a reference to systems and data interface elements.

7	The Conversion Plan shall include an initial library of conversion rules for each RMIS Data element that shall be kept up to date as those rules and procedures become clarified during Phase 1 (Design/Development/Implementation Phase) and leading up to and including final conversion.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution, including conversion rules.
8	The Conversion Plan shall include a high level conceptual design of the migration process, along with a more detailed design showing inputs and outputs, including Risk Management Systems and the detailed data relationships to and from all Interfaces.	10							10					The Ventiv Data Transformation process will include a high-level conceptual design as well as a detailed tactical design model.
9	The Conversion Plan shall include documentation of all User-related processes and procedures of how the conversion process will affect those processes and procedures.	10							10					The Ventiv Data Transformation process ties the conversions into the workflow and processes within the solution.
10	The Conversion Plan shall address the iterative process of correcting data in advance of implementation.	10							10					The Ventiv Data Transformation process includes an iterative process for identifying and correcting issues with the data.
11	The Conversion Plan shall address the manual conversion of those claims which fail to be converted through automated means.	10							10					The Ventiv Data Transformation process includes an iterative process for identifying and correcting issues with the data, including that data which must be manually modified.
12	The Conversion Plan shall include all conversion-related reports, screen layouts, and definitions.	10							10					Ventiv documents all analysis and mapping of data into and out of our solution, including reports, screen design and definitions
13	The Conversion Plan shall include all conversion-related training materials and documentation when they are completed.	10							10					The Ventiv Data Transformation process includes all training related materials, where applicable.
14	The RMIS shall include all computer operation procedures necessary to successfully execute the conversion batch programs.	10							10					The Ventiv solution includes all computer operation procedures necessary to successfully execute the conversion batch programs.

15	The RMIS shall include a timeline for all conversion activities, clearly showing sufficient time for automated correction of Risk Management Systems data, as appropriate, multiple times prior to actual conversion.	10							10					The Ventiv Data Transformation process includes timelines for all conversions relevant to the implementation and ongoing support of the County.
16	The RMIS shall include early testing of actual Risk Management Systems data, being integrated into Phase 1 (Design/Development/Implementation Phase) testing of the conversion approach and final processes.	10							10					Conversion testing and UAT (multiple trials) is standard within the Ventiv applications and shall be included in Phase 1.

3.4 Conversion Requirements
3.4.3 Conversion Training

	Technical Requirement	Tools to Support						How it will be Provided					
		Ventiv Claims	Ventiv University	Tool C	Tool D	Tool E	N/A	Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	County-specified Users shall be trained by Contractor in the operation of all input/update/inquiry software to be used for conversion and retrieval. Contractor shall develop, produce and deliver training and training materials which address the User-related processes and procedures as a result of the conversion requirements, and Conversion Plan as described in Subsection 3.5.2 (Conversion Plan) of this Exhibit A.1.		10					10					County users will receive training on all aspects of the system necessary to effectively conduct their work. This will be carried out through Ventiv's comprehensive training program, Ventiv University.

3.4 Conversion Requirements
3.4.4 Execution of the Final Conversion

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall generate a report of those claims which were unable to be automatically converted before Users access the RMIS for such claims. These reports must be County approved and integrated seamlessly into the conversion plan tasks for manual corrections.	10							10					The Ventiv Data Transformation process includes an iterative process for identifying and correcting issues with the data, including that data which must be manually modified.
2	The RMIS final conversion of data shall be completed in the Off Prime Business Hours.	10							10					Final conversions are scheduled and conducted during off-business hours (5pm PST Fri through 8am PST Mon)
3	Final conversion shall have the ability to rollback the current phase of conversion and that would be the default action given the occurrence of any unknown or new anomalous data conversion situations.	10							10					Ventiv's Data Transformation process includes a standard roll-back procedure which can be executed at any time.
4	Contractor shall obtain approval from County Project Director to place the RMIS Data in production use.	10							10					The Ventiv Data Transformation process includes a final UAT sign-off before the data is moved into the County's PROD environment.

3.5 Infrastructure
3.5.1 Infrastructure

	Technical Requirement	Tools to Support							How it will be Provided					
		Ventiv Claims	Tool B	Tool C	Tool D	Tool E	N/A		Standard Tool Feature	Tool Customization	Tool Integration	Purchased Service	Other	Comments
1	The RMIS shall include all infrastructure support.	10							10					All infrastructure will be supported.
2	The RMIS shall have the following environments:	10							10					This is included in Ventiv's core implementation process
a	Test - environment to support testing, including unit testing, system testing, integration testing, performance testing, User Acceptance testing, and automated regression testing;	10							10					This is included in Ventiv's core implementation process.
b	Staging - environment to support pre-migration activities prior to installation in the production environment;	10							10					This is included in Ventiv's core implementation process.
c	Production - environment that is comprised of the RMIS that has been fully tested and integrated and is accessible by County-specified Users;	10							10					This is included in Ventiv's core implementation process.
d	Reporting - environment that contains copies of portions of the production environment database to be used for standard and ad-hoc reporting; and	10							10					This is included in Ventiv's core implementation process.
e	Training - environment used to train County-specified Users by using samples of production environment RMIS Data.	10							10					This has been planned for as part of the project implementation.
3	The RMIS environments shall be accessible to County-specified Users, as determined by County.	10							10					The County administers who has access to the application.

4	The RMIS test and staging environments shall support all testing activities as specified in Exhibit A (Statement of Work) for all system and RMIS changes and modifications (both minor and major) prior to implementation in the production environment. These testing activities include:	10							10					This is included in Ventiv's core implementation process.
a	Unit testing;	10							10					This is included in Ventiv's core implementation process.
b	System testing;	10							10					This is included in Ventiv's core implementation process.
c	Integration testing;	10							10					This is included in Ventiv's core implementation process.
d	Performance testing;	10							10					This is included in Ventiv's core implementation process.
e	User Acceptance testing; and	10							10					This is included in Ventiv's core implementation process.
f	Regression testing.	10							10					This is included in Ventiv's core implementation process.
5	The RMIS test and staging environments shall be configurable so that they can be used to test the Interfaces that will communicate internally and externally with the RMIS.	10							10					This is included in Ventiv's core implementation process.
6	The RMIS training environment shall contain all system and RMIS functions found within the RMIS production environment.	10							10					This has been planned for as part of the project implementation.
7	The RMIS reporting environment database shall contain the most current production environment RMIS Data available for the purpose of standard and ad-hoc reporting.	10							10					This is included in Ventiv's core implementation process.

Exhibit A.1 Functional Requirements

Training Requirements

5.1	General Training												
	Training Requirement	Tools to Support						How it will be provided					
		Ventiv University	**Ventiv University Online**	**Ventiv Engage**	**Tool D**	**Tool E**	**N/A**	**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
	The RMIS training requirements during Phase 1 (Design/Development/Implementation Phase) include the following:												
1	The RMIS shall include development and delivery of training materials for the RMIS.	10						10					Training materials will be developed and provided to ensure effective user training.
2	The RMIS shall include development and delivery of training materials in support of the conversion activities.	10						10					Training materials will be developed and provided to ensure conversion is successful.
3	The RMIS shall include training which ensures the timely transition from training to actual use of the RMIS for County-specified users.	10						10					Training will be scheduled as close to the implementation date as possible, so skills learned can be remembered and put to use quickly.
4	The RMIS shall include development and completion of specialized training for County-specified staff in support of User Acceptance Test, and implementation activities and schedules.	10						10					Training curricula will be developed to ensure specialized training is adequately addressed.

5	The RMIS shall include availability of any necessary refresher training following initial training.	10							10					County users will have access to on-demand training through Ventiv University Online. This will allow them to review key concepts at their leisure.
6	The RMIS shall provide and use the same development and delivery training software for implementation and on-going training.	10							10					The same software will be used for implementation and continuing training.
7	The RMIS shall include in the RMIS Training Plan for County to efficiently and effectively assume training responsibilities subsequent to implementation using the Contractor-provided and maintained training environment.	10							10					County users will be trained on the use of the training environment and e-Learning software.
8	Contractor shall provide a RMIS Training Plan that describes the approach to training and the plans for ensuring satisfactory completion of the required training.	10							10					Training will be provided through Ventiv's comprehensive training program Ventiv University. This will cover all learning, both classroom and online. Training attendance and satisfactory completion of required training will be included.
9	Contractor shall maintain all training materials to reflect the latest version of the RMIS as well as changes resulting from evaluations and use during User Acceptance Testing, Pilot, and Implementation.	10							10					Training materials will be updated to accommodated changes as needed. Version control will be implemented to manage changes in documents.
10	Contractor shall provide training resources, including trainers, facilities, and equipment, at a level necessary to support training quality and training schedule requirements.	10							10					Training will be conducted at fully equipped training facilities by Ventiv trainers.

11	Contractor shall employ a training methodology which ensures that training and training materials are effectively applied.	10							10					Training curriculum and content will be developed using the industry standard ADDIE (Analyze, Design, Development, Implementation, Evaluation) method, and incorporate the principles of Adult Learning Theory.
12	Contractor shall complete all training materials, infrastructure, and e-Learning training modules consistent with the Conversion and RMIS Training Plan timetables.	10							10					The training deliverable schedule will align with conversion and implementation to ensure timely delivery.
13	The RMIS shall support the training of various User groups, as determined by County.	10							10					Training will be provided for designated County user groups.

5.2	**Training Components**													
	Training Requirement	Tools to Support							How it will be provided					
		Ventiv University	**Ventiv University Online**	**Ventiv Engage**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS shall include the following major training components:	10							10					
a	Orientation training that provides a general overview of the RMIS, including the graphical user interface (GUI), navigation methodology, technology and specialized training.	10							10					System Overview training will be provided so users will learn the concepts on which the system is built on a high level how these are implemented.
b	e-Learning software to train County-specified users on RMIS business processes, as described in Subsection 2.10 (e-Learning Training) of this Exhibit A..		10						10					e-Learning will include software for content creation and content management. Camtasia Studio and Articulate Storyline will be used for content creation. Ventiv University Online, based on the Absorb LMS will be used for content management.
c	Traditional classroom training for County-specified users and for special processing.		10						10					Classroom training will be conducted by Ventiv trainers at dedicated training facilities.

5.3	Training Plan													
	Training Requirement	Tools to Support							How it will be provided					
		Ventiv University	**Ventiv University Online**	**Ventiv Engage**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
	The RMIS Training Plan shall include:													
1	Description of the roles and responsibilities of Contractor, including providing an approach to the training program, which shall include:	10							10					The Training Program Manager will have primary responsibility for overseeing the design and delivery of the entire training program, in coordination with the assigned Project Manager, and Account Manager.
a	Contractor shall be responsible for the development and delivery of the RMIS Training Plan.	10							10					A comprehensive training plan will be developed to deliver thorough training for users, so that they are able to fully use the system upon implementation.
b	Contractor shall, prior to the completion of Phase 1 (Design/Development/Implementation Phase), provide transition training in the use of all materials for County-specified training staff for use in Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase).	10							10					Comprehensive training for County staff will be provided for Phases 1, 2, and 3
2	Description of training curricula that supports the trainer.	10							10					The training curricula will support the trainer for train-the-trainer program, and include e-Learning modules specific to system functionality
3	Traditional classroom training for County-specified Users and special support staff.	10							10					Classroom training will be conducted by Ventiv trainers at dedicated training facilities.

4	Knowledge base software training for County-specified users on how to use the knowledge base software, as well as training for additional County-specified users that may add to or modify the knowledgebase.	3	4	3					10					Training will be provided to users on Ventiv Engage to support knowledgebase functionality.
5	The training schedule shall ensure that County-specified users receive training prior to the implementation of RMIS in their respective office sites. The training schedule for each site shall include the following:	10							10					The training schedule will be designed in accordance with County requirements for respective offices and user availability.
a	Training shall be provided for support of the User Acceptance Testing as well as implementation.	10							10					Training will be provided for UAT testing and implementation.
b	There shall be no more than fourteen (14) days between the completion of any training and the scheduled start of the use of the RMIS by the trainee.	10							10					Trainings will be scheduled so that they are within 14 days of scheduled start date, so that users can apply what they have learned shortly after learning it.
c	The duration of training shall not adversely affect site operations or services to claimants.	10							10					Training will be designed to provide comprehensive knowledge transfer without placing an undue burden on resources.

5.4	**Training Material**													
	Training Requirement	Tools to Support							How it will be provided					
		Ventiv University	**Ventiv University Online**	**Tool C**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The RMIS Training Materials shall be constructed in such a way as to allow training to continue beyond the classroom to the County-specified Users sites upon the completion of training. The RMIS Training Materials shall include:	5	5						10					The comprehensive training plan for County will include classroom training, both onsite and offsite, train-the-trainer training, and self-paced, on-demand training.
a	Instructor/Trainer/Site Coordinator Guides which provide the ability for the trainers to structure the individual training sessions so that trainees are provided instruction on all relevant functionality.	10							10					The training curricula and materials will be supplied to Ventiv and County trainers. These will be tailored to ensure users are trained on all relevant system functions.
b	"How To" guide for all functional areas, consisting of guiding a User through the procedural processes for all business functions within the RMIS application software. This "How To" guide shall be in a manual format for changes, additions, and deletions of system-related procedures.	10											10	Our Online Help serves as "How To" guides for all functional areas of the RMIS. Most clients prefer electronic delivery.

c	Online Help screens shall be provided for each RMIS screen and shall also be integrated into the provided knowledge base software. They shall describe the screen and how to use it. Special command or function keys shall be used to invoke the Help screens and return the User to the RMIS at the same point the User left it. Online Help shall be context sensitive (e.g., it shall not show information about fields that are not related to the function the User is performing). Online Help shall be provided at the field level, where cursoring to a field obtains specific Help information regarding that field. The Help facility shall have an index that lists the contents of the Help screens, and can be used to access specific subjects. Online Help shall be easily accessible, with return access from all screens.	10											10	Online Help is provided for the majority of software pages. The Help topics describe the RMIS pages and how to use them.

5.5	**Training Delivery**													
	Training Requirement	Tools to Support							How it will be provided					
		Tool A	**Tool B**	**Tool C**	**Tool D**	**Tool E**	**N/A**		**Standard Tool Feature**	**Tool Customization**	**Tool Integration**	**Purchased Service**	**Other**	**Comments**
1	The training shall be accomplished in accordance with the County-approved RMIS Training Plan. Sufficient training time shall be provided by Contractor to successfully and completely cover all components of the RMIS Training Plan. If implementation is delayed beyond fourteen (14) days after initial training has been delivered, refresher training shall be provided.	10							10					The training plan will ensure that scheduled training can be completed in accordance with the County-approved training plan.

EXHIBIT A.2

SYSTEM INTERFACES

TABLE 1: SUMMARY OF REQUIRED RMIS INTERFACES

Table 1 presents a high-level summary of those systems and applications outside the RMIS with which the RMIS may be exchanging information. The Interfaces include those currently in place with the Risk Management Systems, those that are in development, and those foreseen as being part of the RMIS. As a high-level overview, Table 1 does not fully describe the complexities of these Interfaces.

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
1	Exposure Values	The RMIS shall import property values, vehicle and exposure values data to be used for property insurance renewals, compliance and inspections.	One-way	Quarterly	CEO – Real Estate Property Management System	Batch: SFTP over SSH	No	TBD
2	a.) Employee Demographics Extract b.) e-HR Payroll Files Layout	The RMIS shall import employee demographic and payroll data from the County's HR and Payroll Systems to be used for claim intake and wage calculations.	One-way	Semi-Monthly	System: County's eHR System	Batch: FTP	No	Flat File
3	STD/LTD Claims Data	The RMIS shall import STD/LTD claims information to complete claims data and payment authorizations and export STD/LTD claims information for the purposes of assigning new disability claims.	Two-way	Daily	System: Third Party Administrator Claims Administration System	Batch: SFTP over SSH	No	Flat File

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
4	Case Notes, Reviewed Bills, and Bill Paid	The RMIS shall import of case notes and reviewed bills from CorVel to be used in billing and utilization review and provide an export of bills paid.	Two-way	Daily	Medical Management and Cost Containment (MMCC) Companies	Batch: FTPS and SFTP over SSH	Yes	File layout defined by RMIS vendor
5	Vendor Information	The RMIS shall export vendor information and bills paid for CorVel for billing and utilization review.	One-way	Daily	MMCC Companies	Batch: FTPS and SFTP over SSH	Yes	File layout defined by RMIS vendor
10	Billing and Utilization Review (UR) data	The RMIS shall import billing and utilization review data from Third Party Administrator Claims Management System to be used for medical cost control.	One-way	Daily	System: Third Party Administrator Claims Management System	Batch: SFTP over SSH	No	TBD
11	Pharmacy Benefit Management (PBM) Company	The RMIS shall export pharmacy benefits information to PBM to be used for prescriptions and billing.	One-way	Daily	Pharmaceutical Company: Express Scripts	Batch: SFTP over SSH	Yes	Flat File (UTF-8) file. Approximately 50 fields or so.

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
12	Claims Data	The RMIS shall export claims to MMCC Companies to be used for billing and utilization review.	One-way	Weekly	MMCC Companies	Batch: FTPS and SFTP over SSH	Yes	File layout defined by RMIS vendor
15	FROI/SROI Reporting and Acknowledgement receipt	The RMIS shall export FROI, SROI data to State of California Workers' Compensation Information System (WCIS) per their requirements and import the Acknowledgement data from WCIS per their requirements.	Two-way	Per State Requirements	State System: WCIS	Batch: SFTP over SSH	Yes	WCIS defined file
16	MSP Query File and Query Response File	The RMIS shall export the Query File to CMS and import the Query Response File from CMS, per their requirements.	Two-way	Monthly	State System: CMS	Batch: SFTP over SSH	Yes	CMS defined file
17	MSP Claim Input File and Claim Input Response File	The RMIS shall export the Claim Input File to CMS and import the Claim Input Response file from CMS, per their requirements.	Two-way	Quarterly	State System: CMS	Batch: SFTP over SSH	Yes	CMS defined file

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
18	Summary Claims Data	The RMIS shall export summary claim data to the County's COGNOS environment for the purposes of claim analytics.	One-way	Monthly	System: COGNOS	Batch: FTP	Yes	Currently, RMIS data is written to a table where the County's COGNOS team performs an ETL process.
19	Case Budgets and Approved Invoices	The RMIS shall import case budgets and approved invoices from County Counsel's e-Billing system for the purposes of legal billing.	Import	Daily	System: e-Billing	Batch: FTP	Yes	Flat File
20	Claims Data	The RMIS shall export claims data for County Counsel's e-Billing system to be used for legal billing.	Export	Daily	System: TyMe-Billing	Batch: FTP	Yes	XML File
21	Trial Information	The RMIS shall export trial information for County Counsel's Compulaw system to be used for litigation management.	One-way	Daily	System: Compulaw	Batch: FTP	Yes	Flat File

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
22	Attorney Time Information	The RMIS shall export attorney time for County Counsel's Client Asset Management System (CAMS) to be used for litigation management.	One-way	Daily	System: Client Asset Management System (CAMS)	Batch: FTP	Yes	Flat File
23	Claim Notices and Claim Notice Responses	The RMIS shall export claim notices to be used for Workers' Compensation Lost Time claims and Liability Bodily Injury claims, and import claim notice responses for the purposes of Workers' Compensation Lost Time claims and Liability Bodily Injury claims.	Two-way	Daily	System: ISO ClaimSearch	Batch: SFTP over SSH	No	TBD
24	General Accounting Spending (GAX)	The RMIS shall export expenditure payments to eCAPS for encumbered payments requests. (See INT_GAX.pdf in RMIS_RFP_SOR_Attachments_Appendix_B-1.)	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Flat File – See [eCAPS RMIS JD GAX and IB GAX - INT_GAX.pdf]

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
25	Trust Warrant Request (TWR)	The RMIS shall export trust payments to eCAPS for Expenditure Trust Payment Requests. (See INT_TWR.pdf in RMIS_RFP_SOR_Attachments_Appendix_B-1.)	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Flat File – See [eCAPS RMIS AO TWR - INT_TWR.pdf]
26	Special Warrant Request (SWR)	The RMIS shall export expenditure payments to eCAPS for non-encumbered payment requests. (See INT_SWR.pdf in RMIS_RFP_SOR_Attachments_Appendix_B-1.)	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Flat File – See [eCAPS WC EB SWR - INT_SWR.pdf]
27	Warrant Post Back Activity File	The RMIS shall import the Warrant Post Back Activity File from eCAPS to update the current status of GAX, TWR, and SWR payments. (See Warrant Postback_Activity file_final.pdf in RMIS_RFP_SOR_Attachments_Appendix_B-1 for details.)	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Flat File – See [eCAPS Both RMIS & WC - Postback File.pdf]

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
28	Vendor Extract	The RMIS shall import Vendor information used in eCAPS. (See Vendor_Extract.pdf in RMIS_RFP_SOR_Attachments_Appendix_B-1.)	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Multiple Flat Files – See [eCAPS Both RMIS & WC - Vendor Extract File.pdf]
29	Trailer Record	The RMIS shall create a reconciliation record on all inbound interface files.	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Note: Does not appear to be a separate file. Trailer record gives number of lines, records and total dollar amount in the eCAPS inbound file.
30	Prior Year Fiscal (PFY) Payment	The RMIS shall create prior year fiscal payment (PFY) inbound interface files.	One-way	Daily	System: eCAPS	Batch: FTP	Yes	Flat File – See: [eCAPS RMIS PFY - INT_PFY.pdf]

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
31	Journal Voucher – General (JVA)	The RMIS shall create JVA inbound interface files. Confirmation of the transaction will return on the Warrant Post back file.	One-way	Daily	System: eCAPS	Batch: FTP	No	Flat File – See [eCAPS WC JVA - INT_JVA.pdf] Ref: CEO Finance
32	Journal Voucher Cash Transfer (JVCT)	The RMIS shall create JVCT inbound interface files. Confirmation of the transaction will return on the Warrant Post back file.	One-way	Daily	System: eCAPS	Batch: FTP	No	Flat File – See [eCAPS WC JVCT - INT_JVCT.pdf] Ref: CEO Finance
33	iManage	The system shall create a data extract compiling Matter information for creating new and updating workspace information in Umbria.	One-Way	Daily	System: iManage / Umbria	Batch: FTP	Yes	Flat File

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented	File Format
34	Absence Management System	Entries into the AMS system shall initiate records in RMIS	One-way	Daily	System: AMS	Batch: FTP	No	Flat File

Note:

- Any File Formats listed as TBD in the chart above will be Flat Files unless a Change Order is issued for a different format.
- Data errors identified by the System will need to be corrected in the data source by County and re-processed.
- Each Flat File will conform to the same layout for that data type. For example, Exposure Values will be in the same layout even if multiple files are processed.
- No single Flat File or XML File will be more than 250 columns.
- No single Flat File or XML File will be more than 70,000 records.

Exhibit A.2.1

Design Documents for eCAPS and eHR Interfaces

Outbound Interface Design Document

EMPL_DEMOGR_EXTR - Employee Demographic Extract

Prepared for

County of Los Angeles eHR Project

APPROVED:

Los Angeles County – Functional Lead

Los Angeles County – Functional Lead

Los Angeles County – Technical Lead

August 8, 2013

Revision Log

Version – Date	Summary of Changes	Author	Reviewers
V1.0 – 05/04/2011	Initial draft for ODD.	Hay Kwan	
V1.1 – 05/12/2011	Updated based on initial meeting	Hay Kwan	
V1.2 – 05/23/2011	Updated file layout and Section 1.4	Hay Kwan	
V1.3 – 06/07/2011	Accepted revisions from eHR Project team	Claire Nguyen	
V1.4 – 07/26/2011	Increased EMPL_DEPT_SPECF_ID to 5 bytes	Andy Yu	
V1.5 – 08/08/2011	Added SUPERVISOR_ID field	Andy Yu	
V1.6 – 08/23/2011	Updated comments for fields indicating whether it is left or right justified	Andy Yu	
V1.7 – 08/25/2011	Clarified description for the LAST_PHY_EXAM_DT and NEXT_PHY_EXAM_DT	Andy Yu	
V1.8 – 08/08/2013	Added cell phone number and extension MOBILE_PH_NO and MOBILE_PH_EXT	John Guerra	

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1 Introduction

1.1 File Name

The Employee Demographic Extract Interface file will be named as followed:

Example: **AU_EMPL_DEMOGR_EXTR_20120101.txt**

- DEPT_CD – The first part indicates the eHR department code (e.g., AU, PW, SH, etc..)
- EMPL_DEMOGR_EXTR – This part identifies the type of information being extracted (EMPL_DEMOGR_EXTR).
- DATE - This part is the date value, separated from the file name by underscore notation (_20120101). This part indicates the date the interface file is generated.

1.2 Business Purpose/Usage

This interface file will extract data from the eHR system with the latest employee demographic information.

1.3 Interface Frequency

The frequency of this interface is expected to be weekly and after each pay period processing.

1.4 Department(s)

This interface file will be generated for each department, and one central file for Countywide.

1.5 Selection Criteria

- All active and inactive employees as of 01/01/2012 will be reported on this file.
  - Records selected is as of the date the interface processes is executed
- Only the employee's primary appointment will be reported on this file, secondary appointments will not be reported on the file.

1.6 Supporting Information from Legacy

1.6.1 Legacy File Name / Component

There is no existing legacy extract for this interface.

1.6.2 Legacy Selection Criteria

There is no existing legacy extract for this interface.

2 File Specification

2.1 File Transfer Instruction

After the interface source file is created, the file is transferred via FTP to the following network locations depending upon project phase:

Project Phase	Server IP	Port	Path	Login/Password
Testing Phases	TBD	21	TBD	TBD
Production	TBD	21	TBD	TBD

2.2 Field Mapping Convention

This section describes the convention that the development team uses to extract data elements from the source system and map them to the target output file.

- **Numeric Value**: Output value is right-justified with leading spaces. The length of the data element is determined by the database field length in the source system. For numeric values, 1 additional byte will be added in length as reservation for the decimal point. For example: NUM(9,2) will have field length mapped as 10 bytes.
- **Alphanumeric Value**: Output value is Left justified with trailing spaces. The length of the data element is determined by the database field length in the source system.
- **Date Value**: Output value is right-justified with leading spaces, formatted as 'MMDDYYYY'.

2.3 File Layout

This interface file is a fixed width flat-file without column heading and is formatted as detailed below. The length of each of the data elements is corresponding to the associated Output Field column. Spaces are provided if no value populates the corresponding column. Additional information, such as any required transformation logic, pertaining to these data elements are detailed in the Output Description section.

2.4 Employee Demographic Extract File Layout

2.2.1 Employee Demographic Extract File Header Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “1” to indicate that this is a header record.	N/A	N/A
2	PPRD_END_DT	DATE	10	2	11	The Pay Period End Date Format: Right justified with leading spaces; MMDDYYYY	IN_APP_CTRL	PROCESS_PERD_END_DT
3	PROCESS_DT	DATE	10	12	21	The date the file was processed. PDI will retrieve the Process Date Format: Right justified with leading spaces; MMDDYYYY	IN_APP_CTRL	APPL_SYS_DT

**** = Primary Key (Rows highlighted in green)**

2.2.2 Employee Demographic Extract File Detail Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “2” to indicate that this is a detail record.	N/A	N/A
2	EMPLOYEE_ID	ALPHA	10	2	11	The identification code associated with the employee. The employee ID is used to identify the employee in the system. Format: Left justified with trailing spaces	EMPL	EMPLOYEE_ID
3	EMPL_LAST_NM	ALPHA	20	12	31	The last name associated with the individual. Format: Left justified with trailing spaces	EMPL	EMPL_LAST_NM
4	EMPL_MIDDLE_NM	ALPHA	15	32	46	The middle name associated with the individual. Format: Left justified with trailing spaces	EMPL	EMPL_MIDDLE_NM
5	EMPL_FIRST_NM	ALPHA	15	47	61	The first name associated with the individual. Format: Left justified with trailing spaces	EMPL	EMPL_FIRST_NM
6	EMPL_PREFIX_CD	ALPHA	5	62	66	The prefix associated with the employee. Format: Left justified with trailing spaces	EMPL	EMPL_PREFIX_CD
7	EMPL_SUFFIX_CD	ALPHA	5	67	71	The suffix associated with the employee. Format: Left justified with trailing spaces	EMPL	EMPL_SUFFIX_CD

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
8	HOME_DEPT_CD	ALPHA	4	72	75	The identification code associated with the operating entity for which the employee works. This is the department code of the employee's primary job. Format: Left justified with trailing spaces	EMPL_ASGNMT	HOME_DEPT_CD
9	EMPL_DEPT_SPECF_ID	ALPHA	5	76	80	The specific identification associated with the department. This is the department number of the employee's primary job. Format: Left justified with trailing spaces	EMPL_ASGNMT	EMPL_DEPT_SPECF_ID
10	BIRTH_DT	DATE	10	81	90	The date of birth for the employee. Format: Right justified with leading spaces; MMDDYYYY	EMPL	BIRTH_DT
11	ORIG_HIRE_DT	DATE	10	91	100	The Employee's original hire date. Format: Right justified with leading spaces; MMDDYYYY	EMPL_APPT	APPOINTMENT_DT
12	TERMINATION_DT	DATE	10	101	110	The date the termination becomes effective. This will be blank if the employee is active. Format: Right justified with leading spaces; MMDDYYYY	EMPL_ASGNMT	EFFECTIVE_DT
13	LATEST_HIRE_DT	DATE	10	111	120	The date that is used to identify the employee's latest hire date. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	USER_DT_4

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
14	ORG_DEPT_DT	DATE	10	121	130	The date that is used to identify when the employee first entered the department. This field is primarily used by the Sheriff's department. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	ORG_DEPT_DT
15	LATEST_DEPT_DT	DATE	10	131	140	The most recent in-department date of when the employee returns to work for a department. This field is primarily used by the Sheriff's department. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	LATEST_DEPT_DT
16	PERS_ACTN_CD	ALPHA	5	141	145	Personal Action Crosswalk will be provided to the ISD team. The identification code associated with the personnel action code. This code is used to describe the action being taken on an employee assignment. (i.e. new hire, promotion, salary increase, etc.) Format: Left justified with trailing spaces	EMPL_ASGNMT	PERS_ACTN_CD

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
17	EMPLMT_STA_CD	ALPHA	1	146	146	Valid values are: A – ACTIVE D – DECEASED T - TERMINATED INTERIM H - ACTIVE DPT HDS L - ACTIVE LIMITED The identification code associated with the employment status code. This code indicates the status of an employee (for example active, terminated etc.). Format: Left justified with trailing spaces	EMPL_ASGNMT	EMPLMT_STA_CD
18	ON_TITLE_DT	DATE	10	147	156	In the event of a tie in determining seniority when the On Grade / Range Date does not break the tie, the department must consider which employee has been on the title the longest. The earliest On Title Date breaks the tie in this case. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	ON_TITLE_DT
19	ON_GRADE_DT	DATE	10	157	166	The date entered by departments that is used to determine layoff order based on time in grade/class Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	ON_GRADE_DT
20	CONT_SRVC_DT	DATE	10	167	176	The starting date upon which continuous service is calculated for the employee. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	CONT_SRVC_DT

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
21	LEV_PRGRSN_ST_DT	DATE	10	177	186	The date associated with the employee's leave progression. The system uses this date to calculate the appropriate automated leave accrual rate as well as the appropriate set of leave accrual and usage rules. Format: Right justified with leading spaces; MMDDYYYY	EMPL_ASGNMT	LEV_PRGRSN_ST_DT
22	SRVC_AWRD_DT	DATE	10	187	196	The date upon which future employee service awards are calculated. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	SRVC_AWRD_DT
23	DEPT_SRVC_AWRD_DT	DATE	10	197	206	The date upon which an employee's time in the department is based. This date is set by departments Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	DEPT_SRVC_AWRD_DT
24	NEXT_DEPT_SRVC_AWRD_DT	DATE	10	207	216	This date is set by departments and is the next date an employee is due for a departmental service award. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	NEXT_DEPT_SRVC_AWRD_DT
25	SENIORITY_NO	ALPHA	6	217	222	The seniority number associated with the employee. Format: Left justified with trailing spaces	EMPL_ASGNMT	SENIORITY_NO

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
26	SENIORITY_DT	DATE	10	223	232	The seniority date associated with the employee. Format: Right justified with leading spaces; MMDDYYYY	EMPL_ASGNMT	SENIORITY_DT
27	SWORN_IN_DT	DATE	10	233	242	The date that certain positions in the Sheriff's department are sworn in. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	SWORN_IN_DT
28	WK_RESTRICT_CD	ALPHA	25	243	267	The identification code associated with the Work Restriction. Format: Left justified with trailing spaces	WORK_REDUCTION	USER_FIELD_1
29	WK_REST_START_DT	DATE	10	268	277	The date the work restriction becomes effective. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	USER_DT_1
30	WK_REST_STOP_DT	DATE	10	278	287	The last date the work restriction becomes effective. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	USER_DT_2
31	LAST_PHY_EXAM_DT	ALPHA	25	288	312	The date that the Employee last completed a physical exam. Format: Left justified with trailing spaces * Note: This field is a free form text field	WORK_REDUCTION	USER_FIELD_4

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
32	NEXT_PHY_EXAM_DT	ALPHA	25	313	337	The upcoming date that the employee is scheduled to have a physical exam. Format: Left justified with trailing spaces * Note: This field is a free form text field	WORK_REDUCTION	USER_FIELD_5
33	GENDER_ID	ALPHA	1	338	338	The value to identify the employee's gender. Valid values: F – Female M – Male N – No Entry Format: Left justified with trailing spaces	EMPL	SEX_ID
34	ETHN_CD	ALPHA	1	339	339	The identification code associated with the employee's or applicant's ethnicity. Valid values: 1 – White 3 – Black 5 – Hispanic 6 - American Indian 7 - Asian / Pacific Islanders 8 – Filipino Format: Left justified with trailing spaces	EMPL	ETHN_CD
35	MARITAL_STA_CD	ALPHA	5	340	344	The identification code associated with the marital status. Valid values: S – SINGLE M – MARRIED N - N/A Format: Left justified with trailing spaces	EMPL	MARITAL_STA_CD

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
36	VETERAN_STA_CD	ALPHA	2	345	346	The identification code associated with the veteran status. Valid values: 1 - Employee is a non-Vietnam era veteran 2 - Employee is a Vietnam era veteran 3 - Employee is a handicapped Vietnam era veteran 4 - The employee is a handicapped non-Vietnam era veteran Format: Left justified with trailing spaces	EMPL	VETERAN_STA_CD
37	MILITARY_BRANCH_CD	ALPHA	2	347	348	The identification code associated with the branch code. Valid values: AF - AIR FORCE FR - AIR FORCE RESERVE AG - AIR NATIONAL GUARD AY – ARMY AR - ARMY RESERVE AN - ARMY NATIONAL GUARD CG - COAST GUARD CR - COAST GUARD RESERVE MC - MARINE CORPS MR - MARINE CORP RESERVE NY – NAVY NR - NAVY RESERVE Format: Left justified with trailing spaces	EMPL	MILITARY_BRANCH_CD

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
38	AD_EFFECTIVE_DT	DATE	10	349	358	The date the address information becomes effective. Format: Right justified with leading spaces; MMDDYYYY	ADDRESS	EFFECTIVE_DT
39	BUS_PH_NO	ALPHA	30	359	388	The telephone number associated with contacting the person. Format: Left justified with trailing spaces	ADDRESS	ALT_PH_NO1
40	BUS_PH_EXT	ALPHA	6	389	394	The telephone number extension for the applicant, employee, dependent, or contact being entered. Format: Left justified with trailing spaces	ADDRESS	ALT_PH_EXT1
41	HM_PH_NO	ALPHA	30	395	424	The telephone number associated with contacting the person. Format: Left justified with trailing spaces	ADDRESS	PH_NO
42	HM_PH_EXT	ALPHA	6	425	430	The telephone number extension for the applicant, employee, dependent, or contact being entered. Format: Left justified with trailing spaces	ADDRESS	PH_EXT
43	HM_STR_1_NM	ALPHA	75	431	505	The first line of the address. Format: Left justified with trailing spaces	ADDRESS	STR_1_NM
44	HM_STR_2_NM	ALPHA	75	506	580	The second line of the address. Format: Left justified with trailing spaces	ADDRESS	STR_2_NM
45	HM_CITY_NM	ALPHA	28	581	608	The identification code associated with the city. Format: Left justified with trailing spaces	ADDRESS	CITY_NM

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
46	HM_ST_CD	ALPHA	2	609	610	The state or province code. Format: Left justified with trailing spaces	ADDRESS	ST_CD
47	HM_ZIP	ALPHA	10	611	620	The zip or postal code associated with the address. Format: Left justified with trailing spaces	ADDRESS	ZIP
48	HM_CTRY_CD	ALPHA	3	621	623	The identification code associated with the country. Format: Left justified with trailing spaces	ADDRESS	CTRY_CD
49	MAIL_STR_1_NM	ALPHA	75	624	698	The first line of the address. Format: Left justified with trailing spaces	ADDRESS	STR_1_NM_2
50	MAIL_STR_2_NM	ALPHA	75	699	773	The second line of the address. Format: Left justified with trailing spaces	ADDRESS	STR_2_NM_2
51	MAIL_CITY	ALPHA	28	774	801	The identification code associated with the city. Format: Left justified with trailing spaces	ADDRESS	CITY_NM_2
52	MAIL_ST_CD	ALPHA	2	802	803	The state or province code. Format: Left justified with trailing spaces	ADDRESS	ST_CD_2
53	MAIL_ZIP	ALPHA	10	804	813	The zip or postal code associated with the address. Format: Left justified with trailing spaces	ADDRESS	ZIP_2
54	MAIL_CTRY_CD	ALPHA	3	814	816	The identification code associated with the country. Format: Left justified with trailing spaces	ADDRESS	CTRY_CD_2

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
55	RESIDENCE_CTRY_CD	ALPHA	3	817	819	The identification code associated with the residency. Format: Left justified with trailing spaces	EMPL	RESIDENCE_CTRY_CD
56	I9_CITIZEN_CODE	ALPHA	1	820	820	Indicates the type of citizen status: Alien, Natural Citizen, or Naturalized Citizen. Valid values: A – Alien C – Natural Citizen N – Naturalized Citizen Format: Left justified with trailing spaces	EMPL	CITIZENSHIP_ID
57	I9_ALIEN_NUMBER	ALPHA	25	821	845	The identification code associated with the Alien Number. Format: Left justified with trailing spaces	WORK_REDUCTION	USER_FIELD_2
58	I9_ADMISSION_NO	ALPHA	25	846	870	The identification code associated with the Admission Number. Format: Left justified with trailing spaces	WORK_REDUCTION	USER_FIELD_3
59	I9_AUTH_EXPIRATION_DT	DATE	10	871	880	The last date for which this information is effective. Format: Right justified with leading spaces; MMDDYYYY	WORK_REDUCTION	USER_DT_3
60	I9_DOC_CODE_A	ALPHA	5	881	885	The identification code associated with the license type. Format: Left justified with trailing spaces	LICENSE	LICENSE_TYP_CD

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
61	I9_DOC_A_ID_NO	ALPHA	30	886	915	The number of the special license or certificate than an applicant or employee possesses. Format: Left justified with trailing spaces	LICENSE	LICENSE_CERT_NO
62	I9_DOC_A_EXPIRATION_DT	DATE	10	916	925	The last date for which this information is effective. Format: Right justified with leading spaces; MMDDYYYY	LICENSE	EXPIRATION_DT
63	I9_DOC_CODE_B	ALPHA	5	926	930	The identification code associated with the license type. Format: Left justified with trailing spaces	LICENSE	LICENSE_TYP_CD
64	I9_DOC_B_ID_NO	ALPHA	30	931	960	The number of the special license or certificate than an applicant or employee possesses. Format: Left justified with trailing spaces	LICENSE	LICENSE_CERT_NO
65	I9_DOC_B_EXPIRATION_DT	DATE	10	961	970	The last date for which this information is effective. Format: Right justified with leading spaces; MMDDYYYY	LICENSE	EXPIRATION_DT
66	I9_DOC_CODE_C	ALPHA	5	971	975	The identification code associated with the license type. Format: Left justified with trailing spaces	LICENSE	LICENSE_TYP_CD
67	I9_DOC_C_ID_NO	ALPHA	30	976	1005	The number of the special license or certificate than an applicant or employee possesses. Format: Left justified with trailing spaces	LICENSE	LICENSE_CERT_NO

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
68	I9_DOC_C_EXPIRATION_DT	DATE	10	1006	1015	The last date for which this information is effective. Format: Right justified with leading spaces; MMDDYYYY	LICENSE	EXPIRATION_DT
69	EMER_PRIM_CNTC_REL_CD	ALPHA	5	1016	1020	Relationship Code Crosswalk will be provided to the ISD team. This is the relationship of the primary emergency contact person to the employee. Format: Left justified with trailing spaces	EMER_CONTACT	RELATIONSHIP_CD
70	EMER_PRIM_LAST_NM	ALPHA	20	1021	1040	The last name of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_LAST_NM
71	EMER_PRIM_FIRST_NM	ALPHA	15	1041	1055	The first name of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_FIRST_NM
72	EMER_PRIM_MIDDLE_NM	ALPHA	15	1056	1070	The middle name of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_MIDDLE_NM
73	EMER_PRIM_WRK_PH_NO	ALPHA	30	1071	1100	The work telephone number for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ALT_PH_NO1
74	EMER_PRIM_WRK_PH_EXT	ALPHA	6	1101	1106	The work telephone number extension for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ALT_PH_EXT1
75	EMER_PRIM_HM_PH_NO	ALPHA	30	1107	1136	The home telephone number for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	PH_NO

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
76	EMER_PRIM_HM_PH_EXT	ALPHA	6	1137	1142	The home telephone number extension for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	PH_EXT
77	EMER_PRIM_STR_1_NM	ALPHA	75	1143	1217	The first line of the address for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	STR_1_NM
78	EMER_PRIM_STR_2_NM	ALPHA	75	1218	1292	The second line of the address for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	STR_2_NM
79	EMER_PRIM_CITY_NM	ALPHA	28	1293	1320	The city for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CITY_NM
80	EMER_PRIM_ST_CD	ALPHA	2	1321	1322	The state or province code for the contact person Format: Left justified with trailing spaces	EMER_CONTACT	ST_CD
81	EMER_PRIM_ZIP	ALPHA	10	1323	1332	The zip or postal code for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ZIP
82	EMER_SEC_CNTC_REL_CD	ALPHA	5	1333	1337	Relationship Code Crosswalk will be provided to the ISD team. This is the relationship of the secondary contact person to the employee. Format: Left justified with trailing spaces	EMER_CONTACT	RELATIONSHIP_CD_2
83	EMER_SEC_LAST_NM	ALPHA	20	1338	1357	The last name of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_LAST_NM_2

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
84	EMER_SEC_FIRST_NM	ALPHA	15	1358	1372	The first name of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_FIRST_NM_2
85	EMER_SEC_MIDDLE_NM	ALPHA	15	1373	1387	The middle name or middle initial of the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CNTAC_MIDDLE_NM_2
86	EMER_SEC_WRK_PH_NO	ALPHA	30	1388	1417	The work telephone number for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ALT_PH_NO1_2
87	EMER_SEC_WRK_PH_EXT	ALPHA	6	1418	1423	The work telephone number extension for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ALT_PH_EXT1_2
88	EMER_SEC_HM_PH_NO	ALPHA	30	1424	1453	The home telephone number for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	PH_NO_2
89	EMER_SEC_HM_PH_EXT	ALPHA	6	1454	1459	The telephone number extension for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	PH_EXT_2
90	EMER_SEC_STR_1_NM	ALPHA	75	1460	1534	The first line of the address for the contact person Format: Left justified with trailing spaces	EMER_CONTACT	STR_1_NM_2
91	EMER_SEC_STR_2_NM	ALPHA	75	1535	1609	The second line of the address for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	STR_2_NM_2
92	EMER_SEC_CITY_NM	ALPHA	28	1610	1637	The city for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	CITY_NM_2

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
93	EMER_SEC_ST_CD	ALPHA	2	1638	1639	The state or province code for the contact person Format: Left justified with trailing spaces	EMER_CONTACT	ST_CD_2
94	EMER_SEC_ZIP	ALPHA	10	1640	1649	The zip or postal code for the contact person. Format: Left justified with trailing spaces	EMER_CONTACT	ZIP_2
95	LICENSE_TYP_CD	ALPHA	5	1650	1654	Will retrieve latest Driver License Information. In the event that there are multiple driver license records with the same effective date, Class A will have priority, followed by Class B and finally Class C. Valid values are: DLA – Class A DLB – Class B DLC – Class C Format: Left justified with trailing spaces	LICENSE	LICENSE_TYP_CD
96	LICENSE_SH_NM	ALPHA	15	1655	1669	The short description of the license type code. Format: Left justified with trailing spaces	LICENSE_TYPE	LTYP_SHORT_DD
97	LICENSE_CERT_NO	ALPHA	30	1670	1699	The number of the special license or certificate than an applicant or employee possesses. Format: Left justified with trailing spaces	LICENSE	LICENSE_CERT_NO
98	LICENSE_EFFECTIVE_DT	DATE	10	1700	1709	The date this information becomes effective. Format: Right justified with leading spaces; MMDDYYYY	LICENSE	EFFECTIVE_DT

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
99	LICENSE_EXPIRATION_DT	DATE	10	1710	1719	The last date for which this information is effective. Format: Right justified with leading spaces; MMDDYYYY	LICENSE	EXPIRATION_DT
100	LICENSE_ST_CD	ALPHA	5	1720	1724	The state or province code. Format: Left justified with trailing spaces	LICENSE	ST_CD
101	LICENSE_CTRY_CD	ALPHA	5	1725	1729	The identification code associated with the country. Format: Left justified with trailing spaces	LICENSE	CTRY_CD
102	MILE_PERMITTEE_IND	ALPHA	5	1730	1734	Indicates whether employee is Mileage Permittee eligible. Valid Values: Y – Mileage Permittee N – Not a Mileage Permittee Format: Left justified with trailing spaces	LICENSE	LICENSE_TYP_CD
103	WRNT_DES_BENE_NAME	ALPHA	60	1735	1794	The name of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	BENE_NAME
104	WRNT_DES_EFFECTIVE_DT	DATE	10	1795	1804	The date the Warrant Designee information becomes effective. Format: Right justified with leading spaces; MMDDYYYY	BENEFICIARY	EFFECTIVE_DT
105	WRNT_DES_PH_NO	ALPHA	75	1805	1879	The phone number of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	STR_2_NM

**** = Primary Key (Rows highlighted in green)**

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
106	WRNT_DES_STR_1_NM	ALPHA	75	1880	1954	The address of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	STR_1_NM
107	WRNT_DES_CITY_NM	ALPHA	28	1955	1982	The city name of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	CITY_NM
108	WRNT_DES_ST_CD	ALPHA	2	1983	1984	The state code of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	ST_CD
109	WRNT_DES_ZIP	ALPHA	10	1985	1994	The zip code of the Warrant Designee Format: Left justified with trailing spaces	BENEFICIARY	ZIP
110	INTERNAL_EMPL_ID**	ALPHA	10	1995	2004	The identification code the system generated to identify the employee in the system. Format: Left justified with trailing spaces	EMPL	INTERNAL_EMPL_ID
111	JOB_DEPT_CD	ALPHA	4	2005	2008	The identification code of the employee's job department Format: Left justified with trailing spaces	EMPL_ASGNMT	HOME_DEPT_CD
112	SUPERVISOR_ID	ALHPA	10	2009	2018	The ID of the employee's Supervisor. For an employee's secondary appointment, the supervisor id will be derived from the employee's primary appointment. Format: Left justified with trailing spaces	EMPL_ASGNMT	INTERNAL_SUPR_ID
113	MOBILE_PH_NO	ALPHA	30	2019	2048	The cell number associated with contacting the person. Format: Left justified with trailing spaces	ADDRESS	ALT_PH_NO2

** = Primary Key (Rows highlighted in green)

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
114	MOBILE_PH_EXT	ALPHA	6	2049	2054	The cell number extension associated with contacting the person. Format: Left justified with trailing spaces	ADDRESS	ALT_PH_EXT2
115	FILLER	ALPHA	50	2055	2104	Filler	N/A	N/A

**** = Primary Key (Rows highlighted in green)**

2.2.1 Employee Demographic Extract File Trailer Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “3” to indicate that this is a trailer record.	N/A	N/A
2	PROCESS_DT	DATE	10	2	11	The date the file was processed PDI will retrieve the Process Date Format: Right justified with leading spaces; MMDDYYYY	IN_APP_CTRL	APPL_SYS_DT
3	TRL_REC_CNT	NUM	10	12	21	Count of all record (Header + Trailer) including the trailer Format: Right justified with leading spaces	N/A	N/A

**** = Primary Key (Rows highlighted in green)**

3 Interface Issues

The following Interface Issue Log lists issues and their status that impacted the outbound interface

Number	Description	Responsibility	Status	Resolution	Date Closed
1.					
2.					

Outbound Interface Design Document

DETLPAY – Detail Pay File

Prepared for

County of Los Angeles eCAPS Project

October 3, 2011

Revision Log

Version – Date	Summary of Changes	Author	Reviewers
V1.0 11/09/2008	Initial draft for ODD.	Claire Nguyen	
V1.1 12/05/2009	Updated design based on comments from meeting with department users on 12/03 ▪ Remove SSN in DETLPAY_EMPLOYEE ▪ Remove Prenote record in DETLPAY_EMPLOYEE file ▪ Remove Pensionable Indicator in DETLPAY_EARNINGS file ▪ Split DETLPAY_EARNINGS file into 2 separate files for Home Department and Secondary Job Department ▪ Added Employee Information (Name, Department Code) into each file ▪ Added Deduction Plan Indicator to DETLPAY_DEDUCTION file ▪ Added YTD Subject Gross Amount in DETLPAY_DEDUCTION file	Claire Nguyen	
V1.2 0 12/23/09	Updated CHK_NO field to ALPHA for DETLPAY_EMPLOYEE file	Claire Nguyen	
V1.3 02/01/10	Updated wording for Input Amount field to clarify conversion logic from minutes to hours	Claire Nguyen	
V2.0 – 09/28/2011	Modified layout for DETLPAY_EMPL file to include DCFS Function Code	Claire Nguyen	

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1 Document Specification

1.1 File Name

This interface file's naming convention is comprised of three nodes. An example of an interface file name as well as an explanation of each of the naming convention nodes are described below.

Example: DETLPAY_EMPLOYEE_HS_20081010.txt

- FILE ID – The first node identifies the file as DETLPAY_EMPLOYEE or DETLPAY_EARNINGSHOME, DETLPAY_EARNINGSSECON, or DETLPAY_DEDUCTION
- DEPARMENT CODE – The second node is the department code, separated from the first node by an underscore notation (_HS).
- DATE - The third node is the date value, separated from the second node by an underscore notation (_20081010). This node indicates the date the interface file is generated.

1.2 Business Purpose/Usage

This interface is used to report employee's pay information to different departments.

1.3 Interface Frequence

This frequency of this interface is Semi-Monthly.

1.4 Department(s)

The Detail Pay interface files will be generated for all departments that have information in eHR System. However, only the following departments currently use and have access to the files for processing.

- AO – Chief Executive Officer
- AS – Assessor
- BH – Beaches & Harbors
- CC – County Counsel
- CD – Child Support Services
- DA – District Attorney
- FR – Fire Department
- HS – Health Services
- MH – Mental Health
- PB – Probation
- PG – Substance Abuse & Contract
- PH – Public Health
- PP – Aids Program
- PR – Antelope Valley Rehab Center
- PS – California Children Services
- PW – Public Works
- SC – Superior Court
- SH – LA Sheriff

- SS – Public Social Services
- CH – Department of Children and Family Services
- TT – Tax Collector

1.5 Selection Criteria

- The Detail Pay interface is split into 4 separate flat files that include the following information
  - DETLPAY_EMPLOYEE: The file contains employee information such as names, birth date, Social Security number, tax information, etc.
  - DETLPAY_EARNINGSHOME: The file contains earnings information for the accrual pay period for employee's home department. This earnings file will include pay information from both primary and secondary jobs and will be distributed to the employee's home department.
  - DETLPAY_EARNINGSSECON: The file contains earnings information for the accrual pay period for the departments where the employee holds secondary jobs. This earnings file will include pay information from secondary jobs and the job's department is different than the employee's home department. The file will be distributed to the department where the employee holds his or her secondary job.
  - DETLPAY_DEDUCTION: The file contains deduction information for the accrual pay period for the employee's home department.
- The Detail Pay interface includes information pertaining to the current accrual pay period.

1.6 Supporting Information from Legacy

1.6.1 Legacy File Name / Component

	Component Name	Component Description
File Components	CWPAY Detail Pay File	The file contains segments for: - Employee's information - Deduction Information - Earnings Information - Flex Benefit Plan - Direct Deposit

1.6.2 Legacy Selection Criteria

- n/a

2 File Specification

2.1 File Transfer Instruction

After the interface source file is created, the file is transferred via FTP to the following network locations depending upon project phase:

Project Phase	Server IP	Port	Path	Login/Password
Testing Phases	hrapn02.co.la.ca.us	22	/nasehrtest/hrapn02/IST/outbound/DETLPAY/xx	TBD
Production	TBD	22	TBD	TBD

2.2 File Layout

This interface file is a fixed width flat-file without column heading and is formatted as detailed below. The length of each of the data elements is corresponding to the associated Output Field column. Spaces are provided if no value populates the corresponding column. Additional information, such as any required transformation logic, pertaining to these data elements are detailed in the Output Description section.

2.2.1 Detail Pay – Employee Information

2.2.1.1 Employee Information - Header Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “1” to indicate that this is a header record.	N/A	N/A
2	PPRD_END_DT	NUM	10	2	11	The pay period end date being processed Format: MMDDYYYY Right-justified with leading spaces	PAY_PERIOD	PPRD_END_DT
3	PROCESS_DT	NUM	10	12	21	The date the file was processed Format: MMDDYYYY Right-justified with leading spaces	IN_APP_CTRL	APPL_SYS_DT
4	FILE_NAME	ALPHA	50	22	71	The name that identifies the information within the file ‘DETLPAY_EMPLOYEE’ Left-justified with trailing spaces	N/A	N/A

2.2.1.2 Employee Information - Detail Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “2” to indicate that this is a header record.	N/A	N/A
2	EMPLOYEE_ID	ALPHA	10	2	11	Every employee will have a unique number. 6 characters left justified with trailing spaces	PAY_CHK_MSTR	EMPLOYEE_ID
3	PRIMARY_APPT_ID	ALPHA	1	12	12	Employee’s appointment ID	PAY_CHK_MSTR	PRIMARY_APPT_ID
4	EMP_LAST_NAME	ALPHA	20	13	32	Employee’s Last Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_LAST_NAME
5	EMP_FIRST_NAME	ALPHA	15	33	47	Employee’s First Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_FIRST_NAME
6	EMP_MIDDLE_NAME	ALPHA	15	48	62	Employee’s Middle Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_MIDDLE_NAME
7	FILLER1	NUM	9	63	71	Filler Empty spaces	n/a	n/a
8	BIRTH_DT	NUM	10	72	81	Employee’s birthday Right justified with leading spaces Format: MMDDYYYY	PAY_CHK_MSTR	BIRTH_DT

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
9	PPRD_END_DT	NUM	10	82	91	Pay period end date Right justified with leading spaces Format: MMDDYYYY	PAY_CHK_MSTR	PPRD_END_DT
10	CHK_DT	NUM	10	92	101	Check Date Right justified with leading spaces Format: MMDDYYYY	PAY_CHK_MSTR	CHK_DT
11	CHK_NO	ALPHA	15	102	116	Check Number Left justified with trailing spaces	PAY_CHK_MSTR	CHK_NO
12	BANK_CHK_DISP_ID	ALPHA	1	117	117	Bank Check Disposition. This value presents the status of the issued check. Values: O - Outstanding Payment C - Cleared Payment S - Redeposited - Stopped R - Redeposited - Canceled	PAY_CHK_MSTR	BANK_CHK_DISP_ID
13	NET_PY_DIST_TYP_ID	ALPHA	1	118	118	Net Pay Distribution Type. Values: C – Check E – Direct Deposit *Note: Prenote records with zero dollar amounts will be excluded in the file.	PAY_CHK_MSTR	NET_PY_DIST_TYP_ID
14	HOME_DEPT_CD	ALPHA	4	119	122	Department Code Left justified with trailing spaces	PAY_CHK_MSTR	HOME_DEPT_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
15	HOME_UNIT_CD	NUM	5	123	127	Unit Code Left justified with trailing spaces	PAY_CHK_MSTR	HOME_UNIT_CD
16	HOME_TITLE_CD	ALPHA	6	128	133	Title Code (Item #) Left justified with trailing spaces	PAY_CHK_MSTR	HOME_TITLE_CD
17	HOME_SUB_TITLE_CD	ALPHA	2	134	135	Sub Title Code (Item Sub) Left justified with trailing spaces	PAY_CHK_MSTR	HOME_SUB_TITLE_CD
18	STEP_CD	ALPHA	5	136	140	Step Code Left justified with trailing spaces	EMPL_ASGNMT	STEP_CD
19	PAY_LCTN_CD	ALPHA	6	141	146	Pay Location Code Left justified with trailing spaces.	PAY_CHK_MSTR	PAY_LCTN_CD
20	WRK_LCTN_CD	ALPHA	6	147	152	Work Location Code Left justified with trailing spaces.	PAY_CHK_MSTR	WRK_LCTN_CD
21	UNION_LOC_CD	ALPHA	5	153	157	Union Code (Bargaining Unit) Left justified with trailing spaces	PAY_CHK_MSTR	UNION_LOC_CD
22	PAY_CHK_AM	NUM	15	158	172	Net Pay Amount on the check for the pay period Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	PAY_CHK_MSTR	PAY_CHK_AM

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
23	PPRD_CHK_GROS_AM	NUM	15	173	187	Gross Amount for the pay period Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	PAY_CHK_MSTR	PPRD_CHK_GROS_AM
24	SALARY_AM	NUM	15	188	202	Salary/ Rate The data represents semi-monthly salary for exception paid employees, and hourly rate for positive paid employees. Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	PAY_PARM	PAY_RT_AM
25	FED_TAX_MAR_STA_CD	ALPHA	1	203	203	Federal Tax Marital Status Values: S - Fed Single No EIC Or Fed Single With EIC Single/State Single T - Fed Single With EIC Married Spouse Not Filing EIC U - Fed Single With EIC Married Spouse Filing EIC M - Fed Mrd No EIC Or Fed Mrd W/EIC Mrd Spouse Nt Fl EIC/St Mrd E - Fed Married With Eic Married Spouse Filing EIC K - Fed Married With EIC Single H - State Head Of Household	PAY_CHK_MSTR	FED_TAX_MAR_STA_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
26	FED_TAX_EXEMPT_CT	NUM	3	204	206	Federal Tax Exempt Count Format: 999 Right justified with leading spaces	PAY_CHK_MSTR	FED_TAX_EXEMPT_CT
27	FED_TAX_ADD_WHLD_AM	NUM	15	207	221	Federal Tax Additional Tax Withhold Amount Format 999999999999.99 Right justified with leading spaces	PAY_CHK_MSTR	FED_TAX_ADD_WHLD_AM
28	LAST_W4_UPDATE_DT	NUM	10	222	231	Last W4 Update Date Format MMDDYYYY Right justified with leading spaces	PAY_CHK_MSTR	LAST_W4_UPDATE_DT
29	STATE_MAR_STA_CD	ALPHA	1	232	232	State Tax Marital Status S - Fed Single No EIC Or Fed Single With EIC Single/State Single T - Fed Single With EIC Married Spouse Not Filing EIC U - Fed Single With EIC Married Spouse Filing EIC M - Fed Mrd No EIC Or Fed Mrd W/EIC Mrd Spouse Nt Fl EIC/St Mrd E - Fed Married With Eic Married Spouse Filing EIC K - Fed Married With EIC Single H - State Head Of Household	PAY_CHK_MSTR	ST_LC_TX_MAR_ST_CD
30	STATE_TAX_EXEMPT_CT	NUM	3	233	235	State Tax Exempt Count Format: 999 Right justified with leading spaces	PAY_CHK_MSTR	ST_LC_TAX_EXMP_CT

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
31	STATE_TAX_ADD_WHLD_AM	NUM	15	236	250	State Tax Additional Withhold Amount Format: 999999999999.99 Right justified with leading spaces	PAY_CHK_MSTR	ST_TX_ADD_WHLD_AM
32	FICA_CLS_CD	ALPHA	1	251	251	FICA Class Values: H – HIT N – No HIT	PAY_CHK_MSTR	PAY_CHK_MSTR
33	INT_CTRL_NO	NUM	19	252	270	Internal Control Number. This system-generated value is used to connect the Employee records with Earnings and Deduction records.	PAY_CHK_MSTR	INT_CTRL_NO
34	GTN_RUN_NO	NUM	10	271	280	Gross-To-Net Run Number This system-generated value can be used to reference the transaction in the system	PAY_CHK_MSTR	GTN_RUN_NO
35	GTN_TYP_ID	ALPHA	1	281	281	Gross-To-Net Type Values: R – Regular GTN S – Supplemental GTN N – No Pay Calc	PAY_CHK_MSTR	GTN_TYP_ID

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
36	DCFS_FUNC_CD	ALPHA	30	282	311	DCFS Function Code value, reserved only for DCFS department. Left justified with trailing spaces. *Values are retrieved from records with License Type = 'DCFS', with effective date as of the current pay period. When multiple DCFS records are found for the same pay period, the record with the latest update date will be extracted.	LICENSE	LICENSE_CERT_NO

2.2.1.3 Employee Information - Trailer Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter "3" to indicate that this is a header record.	N/A	N/A
2	TRL_REC_CNT	NUM	10	2	11	Count of all records (Header + Detail + Trailer) including the trailer. Right justified with leading spaces	N/A	N/A

2.2.2 Detail Pay – Earnings Information (For Home Department and Secondary Jobs Department)

2.2.2.1 Earnings Information - Header Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “1” to indicate that this is a header record.	N/A	N/A
2	PPRD_END_DT	NUM	10	2	11	The pay period end date being processed Format: MMDDYYYY Right-justified with leading spaces	PAY_PERIOD	PPRD_END_DT
3	PROCESS_DT	NUM	10	12	21	The date the file was processed Format: MMDDYYYY Right-justified with leading spaces	IN_APP_CTRL	APPL_SYS_DT
4	FILE_NAME	ALPHA	50	22	71	The name that identifies the information within the file ‘DETLPAY_EARNINGSHOME’ or ‘DETLPAY_EARNINGSSECON’ Left-justified with trailing spaces	N/A	N/A

2.2.2.2 Earnings Information - Detail Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “2” to indicate that this is a header record.	N/A	N/A
2	EMPLOYEE_ID	ALPHA	10	2	11	Every employee will have a unique number. 6 characters left justified with trailing spaces	PAY_DET_MSTR	EMPLOYEE_ID
3	EMP_LAST_NAME	ALPHA	20	12	31	Employee’s Last Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_LAST_NAME
4	EMP_FIRST_NAME	ALPHA	15	32	46	Employee’s First Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_FIRST_NAME
5	EMP_MIDDLE_NAME	ALPHA	15	47	61	Employee’s Middle Name Left justified with trailing spaces	PAY_CHK_MSTR	EMP_MIDDLE_NAME
6	APPOINTMENT_ID	ALPHA	1	62	62	Employee’s appointment ID ‘ ‘ (space) – Primary Appointment Non blank – Secondary Appointment	PAY_DET_MSTR	PAY_APPT_ID
7	HOME_DEPT_CD	ALPHA	4	63	66	Employee’s Home Department Code Left justified with trailing spaces	PAY_DET_MSTR	HOME_DEPT_CD
8	HOME_UNIT_CD	ALPHA	5	67	71	Employee’s Home Unit Code Left justified with trailing spaces	PAY_DET_MSTR	HOME_UNIT_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
9	APPT_DEPT_CD	ALPHA	4	72	75	Department code for employee's secondary job Left justified with trailing spaces	PAY_DET_MSTR	APPT_DEPT_CD
10	APPT_UNIT_CD	ALPHA	5	76	80	Unit code for employee's secondary job Left justified with trailing spaces	PAY_DET_MSTR	APPT_UNIT_CD
11	HOME_TITL_CD	ALPHA	6	81	86	Employee's Title code in primary job Left justified with trailing spaces	PAY_DET_MSTR	HOME_TITL_CD
12	HOME_SUB_TITL_CD	ALPHA	2	87	88	Employee's Sub-Title code in primary job Left justified with trailing spaces	PAY_DET_MSTR	HOME_SUB_TITL_CD
13	PAY_TITL_CD	ALPHA	6	89	94	Employee's Title code in secondary job Left justified with trailing spaces	PAY_DET_MSTR	PAY_TITL_CD
14	PAY_SUB_TITL_CD	ALPHA	2	95	96	Employee's Sub-Title code in secondary job Left justified with trailing spaces	PAY_DET_MSTR	PAY_SUB_TITL_CD
15	EFFECTIVE_DT	NUM	10	97	106	Effective date of the event. Format: MMDDYYYY Right justified with leading spaces	PAY_DET_MSTR	EFFECTIVE_DT
16	CATG_CD	ALPHA	5	107	111	Category Code Left justified with trailing spaces	PAY_DET_MSTR	CATG_CD
17	EVNT_TYP_CD	ALPHA	5	112	116	Event Type Left justified with trailing spaces	PAY_DET_MSTR	EVNT_TYP_CD
18	FILLER2	ALPHA	1	117	117	Filler	N/A	N/A

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
19	FRNG_PY_TYP_FL	ALPHA	1	118	118	Fringe Pay Indicator. Value indicates whether the earnings is from actual earnings or from employer's contribution. Values Y – Fringe Pay N – Non-fringe Pay	PAY_DET_MSTR	FRNG_PY_TYP_FL
20	PAY_AM	NUM	15	119	133	Pay Amount for the current pay period Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces.	PAY_DET_MSTR	CNTRTC_PAY_AM
21	YTD_ PAY_AM	NUM	15	134	148	YTD Pay Amount Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces.	PAY_DET_MSRT	YTD_PAY_AM
22	INPUT_AM	NUM	15	149	163	Input amount for the current pay period in Hours or Dollar Amount Decimal (14,2) Format: 999999999999.99 Convert the value from minutes to hours. (i.e. 348 minutes/60 =5.8 hours) for Time (Pay Input Amount Definition = 'T') Right justified with leading spaces.	PAY_DET_MSTR	INPUT_AM

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
23	YTD_INPUT_AM	NUM	15	164	178	YTD Input Amout in Hours or Dollar Amount Decimal (14,2) Format: 999999999999.99 Value is converted from minutes to hours. (i.e. 348 minutes/60 =5.8 hours) for Time (Pay Input Amount Definition = 'T') Right justified with leading spaces.	PAY_DET_MSTR	YTD_INPUT_AM
24	PAY_INPUT_DEF_ID	ALPHA	1	179	179	Pay Input Definition ID. Valid values are T = Time D = Dollar U = Unit	PAY_DET_MSTR	PAY_INPUT_DEF_ID
25	INT_CTRL_NO	NUM	19	180	198	Internal Control Number. This system-generated value is used to connect the Employee records with Earnings and Deduction records.	PAY_DET_MSTR	INT_CTRL_NO

2.2.2.3 Earnings Information - Trailer Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “3” to indicate that this is a header record.	N/A	N/A
2	TRL_REC_CNT	NUM	10	2	11	Count of all records (Header + Detail + Trailer) including the trailer. Right justified with leading spaces	N/A	N/A

2.2.3 Detail Pay – Deduction Information

2.2.3.1 Deduction Information - Header Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “1” to indicate that this is a header record.	N/A	N/A
2	PPRD_END_DT	NUM	10	2	11	The pay period end date being processed Format: MMDDYYYY Right-justified with leading spaces	PAY_PERIOD	PPRD_END_DT

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
3	PROCESS_DT	NUM	10	12	21	The date the file was processed Format: MMDDYYYY Right-justified with leading spaces	IN_APP_CTRL	APPL_SYS_DT
4	FILE_NAME	ALPHA	50	22	71	The name that identifies information within the file 'DETLPAY_DEDUCTION' Left-justified with trailing spaces.	N/A	N/A

2.2.3.2 Deduction Information - Detail Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter "2" to indicate that this is a header record.	N/A	N/A
2	EMPLOYEE_ID	ALPHA	10	2	11	Every employee will have a unique number. 6 characters left justified with trailing spaces	DED_DET_MSTR	EMPLOYEE_ID
3	EMP_LAST_NAME	ALPHA	20	12	31	Employee's Last Name Left justified with trailing spaces	DED_DET_MSTR	EMP_LAST_NAME
4	EMP_FIRST_NAME	ALPHA	15	32	46	Employee's First Name Left justified with trailing spaces	DED_DET_MSTR	EMP_FIRST_NAME

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
5	EMP_MIDDLE_NAME	ALPHA	15	47	61	Employee's Middle Name Left justified with trailing spaces	DED_DET_MSTR	EMP_MIDDLE_NAME
6	PRIMARY_APPT_ID	ALPHA	1	62	62	Employee's appointment ID	DED_DET_MSTR	PRIMARY_APPT_ID
7	PPRD_END_DT	NUM	10	63	72	The effective Pay Period End Date for the deduction. Format: MMDDYYYY Left justified with trailing spaces	DED_DET_MSTR	EFF_PPRD_END_DT
8	CATG_CD	ALPHA	5	73	77	Category Code for the deduction	DED_DET_MSTR	CATG_CD
9	HOME_DEPT_CD	ALPHA	4	78	81	Home Department Code Left justified with trailing spaces	DED_DET_MSTR	HOME_DEPT_CD
10	HOME_UNIT_CD	ALPHA	5	82	86	Home Unit Code Left justified with trailing spaces	DED_DET_MSTR	HOME_UNIT_CD
11	CAFETERIA_BEN_FL	NUM	3	87	89	Cafeteria Benefit Flag 1 – Cafeteria Benefit 0 – Not Cafeteria Benefit	DED_DET_MSTR	CAFETERIA_BEN_FL
12	DEDTYP_CD	ALPHA	5	90	94	Deduction Type Left justified with trailing spaces	DED_DET_MSTR	DEDTYP_CD
13	DEDPLAN_CD	ALPHA	5	95	99	Deduction Plan Left justified with trailing spaces	DED_DET_MSTR	DEDPLAN_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
14	DPLN_EFBP_BENP_FL	ALPHA	1	100	100	Deduction Plan Indicator. Values to indicate whether the plan is employee's deduction or a benefit with employer's contribution D – Deduction Only B – Benefit with employer's contribution *Note: DETLPAY_DEDUCTION file will only display transactions from the employee's portion.	DED_DET_MSTR	DPLN_EFBP_BENP_FL
15	DED_AM_TAKEN	NUM	15	101	115	Deduction Amount Taken in the current pay period Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	DED_AM
16	YTD_DED_AM_TAKEN	NUM	15	116	130	YTD Deduction Amount Taken Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	YTD_DED_AM
17	SUBJ_GROSS_AM	NUM	15	131	145	Subject Gross Amount. The value also represents scheduled RCEA amount. Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	SUBJ_GROSS_AM

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
18	YTD_SUBJ_GROSS_AM	NUM	15	146	160	YTD Subject Gross Amount. Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	YTD_SUBJ_GROSS_AM
19	DED_AM_NOT_TAKEN	NUM	15	161	175	Deduction Amount Not Taken in the current pay period Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	DED_AM_NOT_TAKEN
20	CAFE_CTY_CNTRB_AM	NUM	15	176	190	Employer Contribution Amount for Cafeteria Benefits Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	CAFE_CTY_CNTRB_AM
21	CAFE_BEN_APLD_AM	NUM	15	191	205	Cafeteria Benefits Applied. Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	CAFE_BEN_APLD_AM
22	YTD_CAFE_APLD_AM	NUM	15	206	220	YTD Cafeteria Benefits Applied Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	YTD_CAFE_APLD_AM

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
23	CAFÉ_AVAILABLE_BAL	NUM	15	221	235	Cafeteria Benefits available balance. The value represents the amount taken (partial employee's amount + employer's contribution) for Cafeteria Benefits. The amount is considered available when the employee has some deduction amount not taken, and the premium has not been paid to vendors. Decimal(14,2) Decimal (14,2) Format: 999999999999.99 Right justified with leading spaces	DED_DET_MSTR	(DED_AM + CAFE_BEN_APLD_AM) – Payout Amount
24	INT_CTRL_NO	NUM	19	236	254	Internal Control Number. This system-generated value is used to connect the Employee records with Earnings and Deduction records.	DED_DET_MSTR	INT_CTRL_NO

2.2.3.3 Deduction Information - Trailer Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter "3" to indicate that this is a header record.	N/A	N/A

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
2	TRL_REC_CNT	NUM	10	2	11	Count of all records (Header + Detail + Trailer) including the trailer. Right justified with leading spaces	N/A	N/A

3 Interface Issues

The following Interface Issue Log lists issues and their status that impacted the outbound interface

Number	Description	Responsibility	Status	Resolution	Date Closed
1.					
2.					

Outbound Interface Design Document

SNBACCTN - Payroll Accounting (J11A)

Prepared for

County of Los Angeles eCAPS Project

October 3, 2011

Revision Log

Version – Date	Summary of Changes	Author	Reviewers
V1.0 08/27/2008	Initial draft for ODD.	Warren Lee	
V1.1 11/01/2008	Included the following sections in the design - Interface File – Naming Convention - Interface File – File Transfer Instructions - File Structure – Definition and Convention	Claire Nguyen	
V1.2 12/20/2008	Updated data elements logic based on input from Warren	Claire Nguyen	
V1.3 01/31/2009	Updated data elements logic based on input from Justin - Added INPUT_AM and PAY_INPUT_DEF_ID - Include logic to convert Time Input from minutes to hours	Claire Nguyen	
V1.4 09/25/2009	Added the following fields per Justin's request: - Appointment ID - Fringe Pay Indicator - Source Journal Indicator	Claire Nguyen	
V1.5 09/30/2009	Added the following fields per Justin's request: - Deduction Type - Deduction Plan Updated logic in Event Type field to include only Event Type values	Claire Nguyen	
V1.6 01/05/2010	Added the following field per Justin's request - Pay Location	Claire Nguyen	
V1.7 03/15/2010	Added logic to exclude the following pay events: OP051, OP053, OP065, OP133, and OP134	Claire Nguyen	

Version – Date	Summary of Changes	Author	Reviewers
V1.8 – 04/08/2010	Modified logic to exclude pay events with 'X' in EVNT_REF_ID_5 field	Claire Nguyen	
V2.0 – 09/27/2011	Modified layout to add Position ID at the end of the file	Claire Nguyen	

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1 Document Specification

1.1 File Name

This interface file's naming convention is comprised of three nodes. An example of an interface file name as well as an explanation of each of the naming convention nodes are described below.

Example: SNBACCTN_HS_20081010.txt

- FILE ID – The first node identifies the file as SNBACCTN
- DEPARMENT CODE – The second node is the department code, separated from the first node by an underscore notation (_HS).
- DATE - The third node is the date value, separated from the second node by an underscore notation (_20081010). This node indicates the date the interface file is generated.

1.2 Business Purpose/Usage

This interface is used to report employee's salary and accounting information to different departments.

1.3 Interface Frequence

This frequency of this interface is Semi-Monthly.

1.4 Department(s)

Auditor-Controller.

1.5 Selection Criteria

- The extract file will contain transactions from Regular and Supplemental payroll runs.
- Extract file includes transactions in the following tables
  - PRYL_EXPS_JRNL table
  - PRYL_FRNG_JRNL where Expenditure/ Liability Type = 'E'
  - PRYL_LIAB_JRNL where Payment/ Voucher indicator = '8' or '3'. Charts of Accounts extracted from PRYL_LIAB_JRNL should contain values from Seller Line field.
- The extract file will contain transactions for all departments.

1.6 Supporting Information from Legacy

1.6.1 Legacy File Name / Component

	Component Name	Component Description
File Components	eCAPS Payroll Accounting File Name on Mainframe: SYSAC.ACCPJ11A	This is a 282 byte file with salary and employee accounting data.

1.6.2 Legacy Selection Criteria

- The purpose of this interface design document is to detail and document the CWPAY J11A Interface File specifications required by CGI.
- This file is created during the Payroll process for DEPT-CODE = 'PK' OR 'HG' OR 'HH' OR 'HK' OR 'HO' OR 'HR' OR 'HS' OR 'SS' OR 'CS' OR 'PS' OR 'PP' OR 'PG' OR 'PR' OR 'PH' OR 'HP' OR 'HJ'.

2 File Specification

2.1 File Transfer Instruction

After the interface source file is created, the file is transferred via FTP to the following network locations depending upon project phase:

Project Phase	Server IP	Port	Path	Login/Password
Testing Phases	hrapn1.mrc.co.la.ca.us	21	/nasecaps/inbound/DEV_Interface/Outbound/data/Input/SNBACCTN/	TBD
Production	TBD	21	TBD	TBD

2.2 File Layout

This interface file is a fixed width flat-file without column heading and is formatted as detailed below. The length of each of the data elements is corresponding to the associated Output Field column. Spaces are provided if no value populates the corresponding column. Additional information, such as any required transformation logic, pertaining to these data elements are detailed in the Output Description section.

2.2.1 File Header Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “1” to indicate that this is a header record.	N/A	N/A
2	PPRD_END_DT	NUM	10	2	11	The pay period end date being processed Format: MMDDYYYY	PAY_PERIOD	PPRD_END_DT
3	PROCESS_DT	NUM	10	12	21	The date the file was processed Format: MMDDYYYY	IN_APP_CTRL	APPL_SYS_DT

2.2.2 File Detail Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “2” to indicate that this is a header record.	N/A	N/A

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
2	EMPLOYEE_ID	ALPHA	10	2	11	Every employee will have a unique number. 6 characters left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	EMPLOYEE_ID
3	APPOINTMENT_ID	ALPHA	1	12	12	Employee's appointment ID *Need to apply actual employee's appointment ID for benefits applied at Employee level	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	APPOINTMENT_ID
4	FISCAL_MONTH	NUM	3	13	15	Fiscal Month Right justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	FMO
5	FISCAL_YEAR	NUM	10	16	25	Fiscal Year Right justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	FY
6	TITLE_CD	ALPHA	6	26	31	Title Code (Item #) Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	TITLE_CD
7	SUB_TITLE_CD	ALPHA	2	32	33	Sub Title Code (Item Sub) Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SUB_TITLE_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
8	AMOUNT	NUM	10	34	43	Amount Decimal (9,2) Right justified with leading spaces. Format: 99999999.99	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	CNTRTC_PAY_AM DED_AM FRGN_AM
9	INPUT_AM	NUM	10	44	53	Input amount Decimal (9,2) Convert the value from minutes to hours. (i.e. 348 minutes/60 =5.8 hours) for Time (Pay Input Amount Definition = 'T') Right justified with leading spaces. Format: 99999999.99	PYRL_EXPS_JRNL_HST	INPUT_AM
10	PAY_INPUT_DEF_ID	ALPHA	1	54	54	Pay Input Definition ID. Valid values are T = Time D = Dollar U = Unit	PYRL_EXPS_JRNL_HST	PAY_INPUT_DEF_ID
11	PPRD_END_DT	NUM	10	55	64	Pay period end date Right justified with leading spaces Format: CCYYMMDD	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	PPRD_END_DT
12	CHK_DT	NUM	10	65	74	Check Date Right justified with leading spaces Format: CCYYMMDD	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	CHK_DT

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
13	CHK_NO	NUM	15	75	89	Check Number	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	CHK_NO
14	EVNT_DT	NUM	10	90	99	Event Date Right justified with leading spaces Format: CCYYMMDD	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	EVNT_DT
15	EVNT_TYP_CD	ALPHA	5	100	104	Event Type *Note: Exclude transactions for the any pay events with EVNT_RF_ID_5 = 'X' ~~PP051~~ ~~PP053~~ ~~PP065~~ ~~PP133~~ ~~PP134~~ ~~OP051~~ ~~OP053~~ ~~OP065~~ ~~OP133~~ ~~OP134~~ Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_FRNG_JRNL_HST	EVNT_TYP_CD
16	DEDTYP_CD	ALPHA	5	105	109	Deduction Type Left justified with trailing spaces	PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	DEDTYP_CD
17	DEDPLAN_CD	ALPHA	5	110	114	Deduction Plan Left justified with trailing spaces	PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	DEDPLAN_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
18	FRNG_PAY_IND	ALPHA	1	115	115	Fringe Pay Indicator. Valid values are: Y – Fringe Pay N – Non-fringe Pay *Records extracted from PYRL_FRNG_JRNL_HST will be marked as 'Y'. *Records extracted from PYRL_EXPS_JRNL_HST and PYRL_LIAB_JRNL_HST will be marked as 'N'	n/a	n/a
19	SRC_JRNL_IND	ALPHA	5	116	120	Source Journal Indicator. Valid values are: EXPS – Records from Expenditure Journal FRNG – Records from Fringe Journal LIAB – Records from Liability Journal	n/a	n/a
20	FUND_CD	ALPHA	4	121	124	Fund Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	FUND_CD SELR_FUND_CD
21	SFUND_CD	ALPHA	4	125	128	Sub Fund Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SFUND_CD SELR_SFUND_CD
22	DEPT_CD	ALPHA	4	129	132	Department Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	DEPT_CD SELR_DEPT_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
23	UNIT_CD	NUM	5	133	137	Unit Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	UNIT_CD SELR_UNIT_CD
24	SUNIT_CD	ALPHA	5	138	142	Sub Unit Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SUNIT_CD SELR_SUNIT_CD
25	ACTV_CD	ALPHA	4	143	146	Activity Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	ACTV_CD SELR_ACTV_CD
26	SACTV_CD	ALPHA	4	147	150	Sub Activity Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SACTV_CD SELR_SACTV_CD
27	OBJ_CD	ALPHA	4	151	154	Object Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	OBJ_CD SELR_OBJ_CD
28	SOBJ_CD	ALPHA	4	155	158	Sub Object Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SOBJ_CD SELR_SOBJ_CD
29	DOBJ_CD	ALPHA	4	159	162	Department Object Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	DOBJ_CD SELR_DOBJ_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
30	RPT_CD	ALPHA	10	163	172	Reporting Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	RPT_CD SELR_RPT_CD
31	SRPT_CD	ALPHA	4	173	176	Sub Reporting Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SRPT_CD SELR_SRPT_CD
32	PROG_CD	ALPHA	10	177	186	Project Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	PROG_CD SELR_PROG_CD
33	FUNC_CD	ALPHA	10	187	196	Function Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	FUNC_CD SELR_FUNC_CD
34	SFUNC_CD	ALPHA	4	197	200	Sub Function Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SFUNC_CD SELR_SFUNC_CD
35	APPR_CD	ALPHA	9	201	209	Appropriation Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	APPR_CD SELR_APPR_CD
36	RSRC_CD	ALPHA	4	210	213	Revenue Source Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	RSRC_CD SELR_RSRC_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
37	SRSRC_CD	ALPHA	4	214	217	Sub Revenue Source Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SRSRC_CD SELR_SRSRC_CD
38	DRSRC_CD	ALPHA	4	218	221	Department Revenue Source Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	DRSRC_CD SELR_DRSRC_CD
39	LOC_CD	ALPHA	4	222	225	Location Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	LOC_CD SELR_LOC_CD
40	SLOC_CD	ALPHA	4	226	229	Sub Location Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	SLOC_CD SELR_SLOC_CD
41	TASK_CD	ALPHA	4	230	233	Task Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	TASK_CD SELR_TASK_CD
42	STASK_CD	ALPHA	4	234	237	Sub Task Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	STASK_CD SELR_STASK_CD
43	TASK_ORD_CD	ALPHA	6	238	243	Task Order Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	TASK_ORD_CD SELR_TASK_ORD_CD

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
44	MJR_PROG_CD	ALPHA	6	244	249	Major Project Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	MJR_PROG_CD SELR_MJR_PROG_CD
45	PHASE_CD	ALPHA	6	250	255	Phase Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	PHASE_CD SELR_PHASE_CD
46	PPC_CD	ALPHA	6	256	261	Project Period Code Left justified with trailing spaces	PYRL_EXPS_JRNL_HST PYRL_LIAB_JRNL_HST PYRL_FRNG_JRNL_HST	PPC_CD SELR_PHASE_CD
47	PAY_LCNT_CD	ALPHA	6	262	267	Pay Location Code Left justified with trailing spaces	PAY_LCNT_CD	EMPL_ASGNMT
48	POSN_ID	ALPHA	20	268	287	Position ID for Position Control Left-justified with trailing spaces *Note: Internal Position ID will be joined back to Position History table to retrieve actual Position ID.	PYRL_EXPS_JRNL_HST PYRL_FRNG_JRNL_HST PYRL_LIAB_JRNL_HST	INTERNAL_POSN_ID

2.2.3 File Trailer Layout

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column

No.	Output Field	Type	Size	From	To	Output Description	eHR Table	eHR Column
1	REC_TYPE	ALPHA	1	1	1	The type of record layout: Valid values are 1 – Header 2 – Detail 3 – Trailer Enter “3” to indicate that this is a header record.	N/A	N/A
2	TRL_REC_CNT	NUM	10	2	11	Count of all records (Header + Detail + Trailer) including the trailer. Right justified with leading spaces	N/A	N/A

3 Interface Issues

The following Interface Issue Log lists issues and their status that impacted the outbound interface

Number	Description	Responsibility	Status	Resolution	Date Closed
1.					
2.					

Inbound Interface Design Document for General Accounting Spending (GAX)

Prepared for

County of Los Angeles eCAPS Project

April 11, 2005
Version 2.3

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 10/26/04	Initial draft of the GAX Specification for Inbound Interface of payment requests.	David Bailey & Ben Thompson	James Colbert & Peter Loo
V2.0 – 11/03/04	Global Revisions	Ben Thompson	
V2.1 – 3/23/05	Updated Sub Unit Code to Prohibited.	Jay Davidson	
V2.2 – 4/5/05	Updated Project to be 10 characters in length	Jay Davidson	
V2.3 – 4/11/05	Updated Vendor Invoice Number, Vendor Invoice Line and Vendor Invoice Date to be required.	Jay Davidson	Ben Thompson

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_GAX_GENERIC8_20041123

Record Types

The GAX files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the payment. Each HDR (header) record will be followed by one VND (vendor) record. The VND record will contain the payee information. The VND (vendor) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized GAX file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Vendor record 1 (VND)	Vendor record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, vendor and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

- Attribute – The name of the data element in the database.
- Caption – The field name of the data element.
- Description – A textual description of the data element.
- R/C – Required/Conditional.
  - Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
  - Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
  - Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
  - Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.
- Type – The data type of the data element.
  - Date – Date Format ”MMDDYYYY”
  - Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
  - Flag –True/False. True conditions = 1, False conditions = 0.
  - Text – Alphanumeric text field with a maximum number as defined for each field.
  - Numeric – Numeric value, a whole number.
  - Size – The (numeric) size of the data element
- eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Currently, some departments generate payment requests directly in their own independent external systems. For encumbered payments departments interface a Payment Voucher (PV) document to CAPS. Non-encumbered payments are processed outside of CAPS using other systems such as the Special Warrant Writing (SWW) system.

1.3.2 New eCAPS Process

In eCAPS, encumbered, non-encumbered, and trust payments can be processed directly online or interfaced through a batch process. This system interface design addresses the encumbered payment request. The General Accounting Expense/Expenditure (GAX) document will be used for expenditure payments and requires a reference to an encumbrance document. The GAX payment will require the Object Chart of Account element to be coded on the accounting line. The GAX payment will update budget tracking amount fields.

1.3.3 Assumptions

1. A document reference is required for encumbered payments.
2. Only one vendor will be specified per payment request.
3. Payments for commodity based purchase orders will use the Payment Request Commodity (PRC) document instead of the GAX document. The PRC document contains commodity details such as freight, sales tax, and use tax.
4. The GAX document references eCAPS encumbrance documents on the accounting line. Chart of accounts elements are inferred onto the GAX document from the encumbrance document.
5. Payment request cancellations will not be interfaced. This means payment requests can not be deleted through the interface process. To cancel payment requests this will be done online in eCAPS.
6. The Bank Account Code to be specified on interface documents will be distributed at a later date.
7. The default Event Type for the GAX document is AP01 and does not need to be specified on the interface transaction. The minimal required COA fields are Fund, Department, Unit, and Object.
8. If a vendor code has been established in eCAPS for a payee then the vendor code should be used on the payment request instead of a miscellaneous vendor code. Vendor codes are established in eCAPS for a number of reasons such as 1099 eligible and direct deposit.
9. Vendor codes setup on the eCAPS vendor file have all the information required to process a payment request.

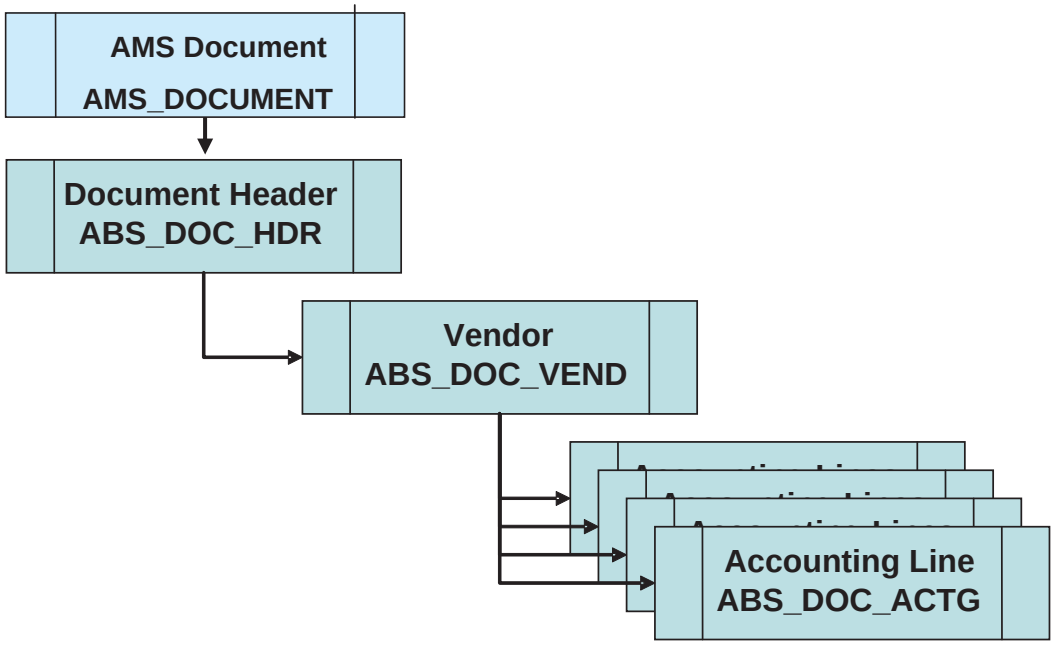
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the GAX document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given payment record.
2. **Accounting Based Spending Document Header (ABS_DOC_HDR):** Describes "header" information about the payment record, e.g. Fiscal Year, Record Date and Document ID.
3. **Accounting Based Spending Vendor (ABS_DOC_VEND):** Describes the vendor information for the given payment record.
4. **Accounting Based Spending Accounting Lines (ABS_DOC_ACTG):** Identifies the accounting information for the given payment record.

Exhibit 1 graphically illustrates these components of the GAX document interface specification.

Exhibit 1: GAX Document Components



2 Document Specification

2.1 GAX Transaction Layout

		Action		
		Original entry	Modification	Component description
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	ABS_DOC_HDR	Required	Required	General information associated with the entire payment.
	ABS_DOC_VEND	Required	Required	Payee information.
	ABS_DOC_ACTG	Required	Required	Accounting data elements used for payment.

2.2 GAX Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. The value "GAX" indicates an encumbered payment.	R	Text	5	"**GAX** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Five character Unit code such as "15765"
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interfaces. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 GAX Document Component: ABS_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. GAX indicates an encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the payment is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date "MMDDYYYY" Example: "10232004"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example “2004”. Otherwise leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: “2005”. Otherwise leave blank.
DOC_PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: “13”. Otherwise leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. This code is the key to the Bank (BANK) table. A bank account code is used in place of the actual bank account to prevent the posting of actual bank account numbers throughout the system.	R	Text	4	This value is constant. Information on Bank Account will be distributed at a later date. Must be valid on Bank (**BANK**) table.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	

2.4 GAX Document Component: ABS_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Vendor record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. GAX indicates an encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	R	Text	20	If a vendor code is specified on the interface then all Payee information, such as Name and Address, are inferred from Vendor File. Vendor codes are established for reasons such as 1099 eligible or direct deposit. If a miscellaneous vendor code is specified on the interface then Payee information must be provided on the payment request, such as Legal Name, Address 1, and City. Must be valid on Vendor Customer (**VCUST**) table. Vendor Customer (**VEND_CUST_CD**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous vendor is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	O	Text	60	This field can be used as the second vendor name.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	O	Text	20	If an address other than the default payment address is desired then an alternate address code must be specified.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous vendor is used, this field is required.	CR	Text	75	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
AD_LN_2	Address Line 2	The second line of the address.	O	Text	75	Can be used to specify foreign country address information.
CITY	City	The city name associated with the address. If a miscellaneous vendor (MISC) is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
ST	State	The state or province.	CR	Text	2	Field is required when using miscellaneous vendor code.
ZIP	Zip	The zip code associated with the address.	CR	Text	10	Field is required when using miscellaneous vendor code. Can be used to specify foreign address information.
CTRY	Country	The unique identification code associated with the country.	O	Text	3	
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	O	Text	5	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	O	Text	20	
PRIN_CNTAC	Vendor Contact Name	The vendor's procurement contact.	O	Text	60	
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	O	Text	30	
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	O	Text	6	
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	O	Text	100	
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	O	Text	30	
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	O	Text	6	
WEB_AD	Web Address http: //	The web address for this company/individual.	O	Text	100	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_DISB_CAT	Disbursement Category	The Disbursement Category associated with the document. Disbursement Category contains contact information from the department making the payment request and will be printed on the check. Disbursement Category also determines the type of warrant stub produced.	R	Text	4	Information for which Disbursement Category to use will be distributed to Departments. Must be valid on Disbursement Category (**DISC**) table. Disbursement Category (**VEND_DISB_CAT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
SCHED_PYMT_DT	Schedule Payment Date	The date that a payment request is scheduled to be processed.	O	Date	8	Format of Date "MMDDYYYY" Scheduled Payment Date cannot be less than the current date. If left blank this field will default to current system date. Scheduled Payment Date (**SCHED_PYMT_DT**) cannot be modified and must contain the same value as the Original Entry (**OE**) if **DOC_IMPORT_MODE** is equal to '**MOD**'.
DISB_PRTY_CD	Disbursement Priority	This field determines the order in which a disbursement is processed during the Automated Disbursement process. Must be valid on the Disbursement Priority page.	O	Numeric	2	Leave blank.
DFLT_DISB_FRMT	Disbursement Format	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	O	Text	4	Leave blank.
HDLG_CD	Handling Code	The code associated with individual types of disbursement instrument handling.	O	Text	2	List of handling codes will be distributed at a later date.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_SNGL_CHK_FL	Single Payment	The Single Payment flag indicates if multiple disbursements should be combined into a single payment for this vendor. When checked on the vendor line of a Payment Request either manually or inferred from the Vendor (VCUST) table, all accounting lines under that vendor line lead to a single payment instrument. A second request for payment with the flag checked for the same vendor would not be combined with the first, but would be a second payment instrument.	R	Flag	1	Must be true with a value of "1". This indicates that payments will not be consolidated.
PAY_THRD_PTY	Pay Third Party	When a Payment Request (PRC) or General Account Expenditure document (GAX) is entered and the payment should be made to the third party, the Third Party flag must be selected. Otherwise, the payment will be made to the primary vendor. The third party vendor must exist in the system, and must have a relationship established with the primary vendor on the Vendor Customer table. (The primary vendor must identify the vendor code of its third party.) When a payment is flagged to the third party on the Vendor Line, the PRC document will infer the third party information to the Payee fields on the Disbursement Request table (DRT).	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_1_DY	Days 1	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	Example: " 10". If payment is made in 10 days then the discount can be taken.
DISC_2_DY	Days 2	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_3_DY	Days 3	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_4_DY	Days 4	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_1_PC	Percent 1	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	Example: " 2.0". If payment is made within the specified number of days then a 2% discount can be taken.
DISC_2_PC	Percent 2	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_3_PC	Percent 3	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_4_PC	Percent 4	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_ALW_1_FL	Discount Always 1	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”. This field indicates that discount should always be taken even if paid after the specified number of days. False value is “0” True value is “1”
DISC_ALW_2_FL	Discount Always 2	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
DISC_ALW_3_FL	Discount Always 3	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_ALW_4_FL	Discount Always 4	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
LGCY_SYSTM	Legacy System Name	Allows interfacing departments to indicate the name of the source system that generated the payment request. This field will be stored in eCAPS and can be used in reports.	O	Text	30	Valid Legacy System Names will be provided at a later date. The value specified must be valid on the Legacy System Name Coded Value List (CVL). Must specify Legacy Reference Number if this field is populated.
LGCY_REF_CD	Legacy Reference Number	Allows interfacing departments to indicate a unique code for each payment request. The unique code may be a case number or vendor code that is not stored on the eCAPS vendor file. If the vendor code is stored in eCAPS then this value will duplicate the VEND_CUST_CD. This field will be stored in eCAPS and can be used in reports.	O	Text	20	Examples of Legacy Reference Number are Vendor Code, Case Number, PIN, or Agency Code. Must specify Legacy Source System Name if this field is populated.

2.5 GAX Document Component: ABS_DOC_ACTG

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is ‘ACT’.	R	Text	3	“**ACT**”

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. GAX indicates an encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Numeric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	O	Text	4	Leave blank. The default event type is for GAX is AP01 – Authorize Normal Payment.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template, which will contain information. Use of the Account Template will default Chart of Accounts information for the Accounting Line. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, vendor line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	(12,2)	To specify a payment of 3,000.13 the following is the format: Example: “ 3000.13” The Line Amount (**LN_AM**) can be used for modification increases and decreases.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example “2004”. Otherwise leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: “2005”. Otherwise leave blank.
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: “13”. Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_INV_NO	Vendor Invoice Number	The invoice number from the invoice received from the vendor.	R	Text	30	The Vendor Invoice Number field is used to check for duplicate payments made to a vendor.
VEND_INV_LN_NO	Vendor Invoice Line	The invoice line number from the invoice received from the vendor.	R	Numeric	4	Line numbering begins at 1 and is only incremented for additional lines with the same invoice number
VEND_INV_DT	Vendor Invoice Date	The date of the invoice received from the vendor.	R	Date	8	Format of Date “MMDDYYYY” Vendor Invoice Date (**VEND_INV_DT**) cannot be modified if **DOC_IMPORT_MODE** is equal to ‘**MOD**’.
TRKG_DT	Tracking Date	Provides the ability to record or track any date related to the invoice or payment of goods and services.	O	Date	8	Format of Date “MMDDYYYY”
CHK_DSCR	Check Description	The text to be printed on the check stub. The check stub will contain 15 text lines with a maximum of 75 characters per line. Text in this field can be aligned in column format.	O	Text	1,125	A carriage return will be applied after every 75 characters. Only text on accounting line 1 will be printed on the check stub.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced eCAPS document.	R	Text	5	Example Ref Doc Code: “GAED” for a General Accounting Encumbrance document
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced eCAPS document.	R	Text	2	Example Ref Doc Dept: “PW” for a General Accounting Encumbrance document
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced eCAPS document.	R	Text	11	Example Ref Doc Id: “P0006” for a General Accounting Encumbrance document
RFED_VEND_LN_NO	Ref Vendor Line	The vendor line number from the referenced eCAPS document.	R	Numeric	2	Value: “ 1”
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced eCAPS document.	R	Numeric	4	Value: “ 1” and is incrementing based on the number of referenced accounting lines

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RF_TYP	Ref Type	Defines the type of reference being performed against the specified referenced eCAPS transaction line. "Final" closes the referenced line, meaning additional references are not allowed. "Partial" does not close the referenced line, allowing additional transactions to reference this line.	R	Numeric	1	Values are as follows: "1" – **Partial** "2" – **Final**
FUND_CD	Fund	The identification code associated with a fund.	R	Text	4	Must be valid on Fund (**FUND**) table. If left blank, will be inferred from referenced document.
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	O	Text	4	Must be valid on Sub Fund (**SFUND**) table. If left blank, will be inferred from referenced document.
DEPT_CD	Department	An identification code associated with a department.	R	Text	2	Must be valid on Department (**DEPT**) table. If left blank, will be inferred from referenced document.
UNIT_CD	Unit	An identification code associated with a Unit.	R	Text	5	Must be valid on Unit (**UNIT**) table. If left blank, will be inferred from referenced document.
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
OBJ_CD	Object	The identification code associated with an object of expenditure.	R	Text	4	Must be valid on Object (**OBJ**) table. If left blank, will be inferred from referenced document.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	O	Text	4	Must be valid on Sub Object (**SOBJ**) table. If left blank, will be inferred from referenced document.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub-revenue source.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	P	Text	4	Leave blank.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	O	Text	4	Must be valid on Department Object (**DOBJ**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	O	Text	4	Must be valid on Location (**LOC**) table. If left blank, will be inferred from referenced document.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	O	Text	4	Must be valid on Sub Location (**SLOC**) table. If left blank, will be inferred from referenced document.
ACTV_CD	Activity	The identification code associated with the activity.	O	Text	4	Must be valid on Activity (**ACTV**) table. If left blank, will be inferred from referenced document.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	O	Text	4	Must be valid on Sub Activity (**SACTV**) table. If left blank, will be inferred from referenced document.
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	O	Text	4	Must be valid on Function (**FUNC**) table. If left blank, will be inferred from referenced document.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	O	Text	4	Must be valid on Sub Function (**SFUNC**) table. If left blank, will be inferred from referenced document.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	O	Text	10	Must be valid on Reporting (**RPT**) table. If left blank, will be inferred from referenced document.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	O	Text	4	Must be valid on Sub Reporting (**SRPT**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
TASK_CD	Task	The unique identification code assigned to the task.	O	Text	4	Must be valid on Task (**TASK**) table. If left blank, will be inferred from referenced document.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	O	Text	4	Must be valid on Sub Task (**STASK**) table. If left blank, will be inferred from referenced document.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	O	Text	6	Must be valid on Task Order (**TASKORD**) table. If left blank, will be inferred from referenced document.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	O	Text	10	Must be valid on Project (**PROG**) table. If left blank, will be inferred from referenced document.
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	O	Text	6	Must be valid on Phase (**PHASE**) table. If left blank, will be inferred from referenced document.
PPC_CD	Project Period	The identification code assigned to the project period.	O	Text	6	Must be valid on Project Period (**PPC**) table. If left blank, will be inferred from referenced document.
SVC_FRM_DT	Service From Date	The service from date from the Payment Request document.	O	Date	8	Format of Date “MMDDYYYY” The **SVC_FRM_DT** is the From Date that goods/services were received. The date is also used in discount calculation.
SVC_TO_DT	Service To Date	The service to date from the Payment Request document	O	Date	8	Format of Date “MMDDYYYY” The **SVC_TO_DT** is the To Date that goods/services were received. The date is also used in discount calculation.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SPC_INST_CD	Special Instructions Code	The unique code for the Special Instructions record stored on the Special Instructions table. This field holds up to 4 characters of text.	P	Text	4	Leave blank.

Inbound Interface Design Document for Trust Warrant Request (TWR)

Prepared for

County of Los Angeles eCAPS Project

April 5, 2005
Version 2.2

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 10/26/04	Initial draft of the TWR Specification for Inbound Interface of payment requests.	David Bailey & Ben Thompson	James Colbert & Peter Loo
V2.0 – 11/03/04	Global Revisions	Ben Thompson	
V2.1 – 3/31/05	▪ Updated Sub Unit Code to be 5 characters in length. ▪ Updated Department Code and Unit Code to be Prohibited. ▪ Updated eCAPS Comments for Event Type and BSA Code. The event type codes for asset BSA and equity BSA were reversed.	Jay Davidson	
V2.2 – 4/5/05	Updated Project to be 10 characters in length.	Jay Davidson	

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_TWR_GENERIC8_20041123

Record Types

The TWR files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the payment. Each HDR (header) record will be followed by one VND (vendor) record. The VND record will contain the payee information. The VND (vendor) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized TWR file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Vendor record 1 (VND)	Vendor record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, vendor and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

- Attribute – The name of the data element in the database.
- Caption – The field name of the data element.
- Description – A textual description of the data element.
- R/C – Required/Conditional.
  - Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
  - Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
  - Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
  - Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.
- Type – The data type of the data element.
  - Date – Date Format ”MMDDYYYY”
  - Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
  - Flag –True/False. True conditions = 1, False conditions = 0.
  - Text – Alphanumeric text field with a maximum number as defined for each field.
  - Numeric – Numeric value, a whole number.
  - Size – The (numeric) size of the data element
- eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Currently, some departments generate payment requests directly in their own independent external systems. For encumbered payments, departments interface a Payment Voucher (PV) document to CAPS. Non-encumbered payments are processed outside of CAPS using other systems such as the Special Warrant Writing (SWW) system. The accounting entries for payments made in the other systems are recorded in summary in CAPS using a type of Journal Voucher (TW).

1.3.2 New eCAPS Process

In eCAPS, encumbered, non-encumbered, and trust payments can be processed directly online or interfaced through a batch process. This system interface design addresses the Trust payment. The TWR document will be used for Expenditure Trust Payment Request. It does not reference an encumbrance document and requires fund and balance sheet account COA elements.

1.3.3 Assumptions

1. The Vendor Invoice Number is not required for non-encumbered payments.
2. A document reference is not required for non-encumbered payments.
3. Only one vendor will be specified per payment request.
4. Payment request cancellations will not be interfaced. This means payment requests can not be deleted through the interface process. To cancel payment requests this will be done online in eCAPS.
5. The Bank Account Code to be specified on interface documents will be distributed at a later date.
6. The default Event Type for the TWR document is AP17, which is a payment from a Liability Balance Sheet Account. TWR document can also be made with Event Types AP16 and AP18, which are Asset and Equity Balance Sheet Accounts. The minimal required COA fields are Fund and Balance Sheet Account.
7. If a vendor code has been established in eCAPS for a payee then the vendor code should be used on the payment request instead of a miscellaneous vendor code. Vendor codes are established in eCAPS for a number of reasons such as 1099 eligible and direct deposit.
8. Vendor codes setup on the eCAPS vendor file have all the information required to process a payment request.

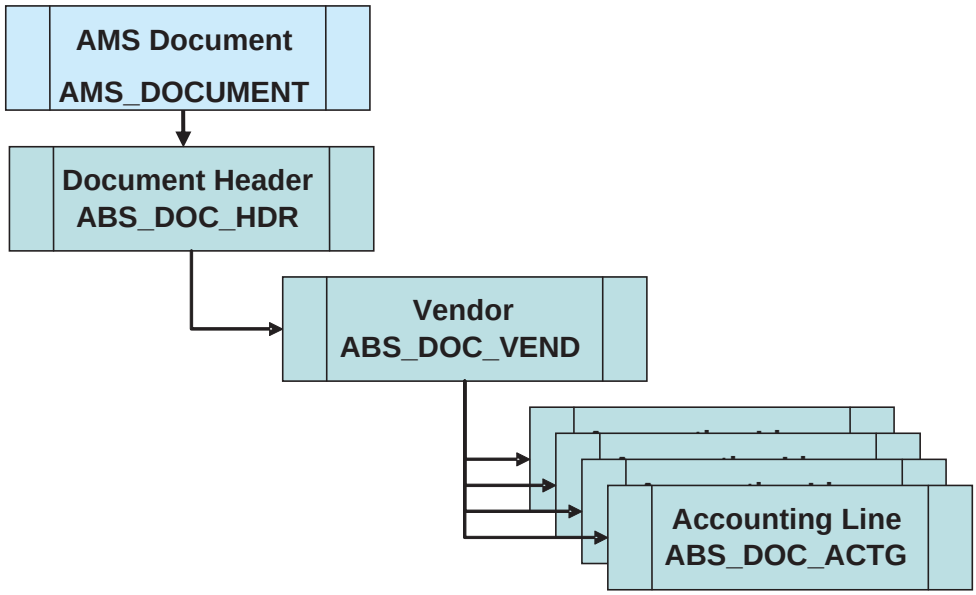
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the TWR document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given payment record.
2. **Accounting Based Spending Document Header (ABS_DOC_HDR):** Describes "header" information about the payment record, e.g. Fiscal Year, Record Date and Document ID.
3. **Accounting Based Spending Vendor (ABS_DOC_VEND):** Describes the vendor information for the given payment record.
4. **Accounting Based Spending Accounting Lines (ABS_DOC_ACTG):** Identifies the accounting information for the given payment record.

Exhibit 1 graphically illustrates these components of the TWR document interface specification.

Exhibit 1: TWR Document Components



2 Document Specification

2.1 TWR Transaction Layout

		Action		
		Original entry	Modification	Component description
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	ABS_DOC_HDR	Required	Required	General information associated with the entire payment.
	ABS_DOC_VEND	Required	Required	Payee information.
	ABS_DOC_ACTG	Required	Required	Accounting data elements used for payment.

2.2 TWR Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located.	R	Text	5	"**ABS** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type.	R	Text	5	"**ABS** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. TWR indicates expenditure trust payment request.	R	Text	5	"**TWR** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Five character Unit code such as "15765"
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interfaces. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 TWR Document Component: ABS_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. TWR indicates expenditure trust payment request.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. The version number is assigned automatically. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the payment is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date "MMDDYYYY" Example: "10232004"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	Leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: "2005". Otherwise leave blank.
DOC_PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. This code is the key to the Bank (BANK) table. A bank account code is used in place of the actual bank account to prevent the posting of actual bank account numbers throughout the system.	R	Text	4	This value is constant. Information on Bank Account will be distributed at a later date. Must be valid on Bank (**BANK**) table.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	

2.4 TWR Document Component: ABS_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Vendor record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. TWR indicates expenditure trust payment request.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. The version number is assigned automatically. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Num eric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Num eric	2	Value: " **1**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	R	Text	20	If a vendor code is specified on the interface then all Payee information, such as Name and Address, are inferred from Vendor File. Vendor codes are established for reasons such as 1099 eligible or direct deposit. If a miscellaneous vendor code is specified on the interface then Payee information must be provided on the payment request, such as Legal Name, Address 1, and City. Must be valid on Vendor Customer (**VCUST**) table. Vendor Customer (**VEND_CUST_CD**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous vendor is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	O	Text	60	This field can be used as the second vendor name.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	O	Text	20	If an address other than the default payment address is desired then an alternate address code must be specified.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous vendor is used, this field is required.	CR	Text	75	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
AD_LN_2	Address Line 2	The second line of the address.	O	Text	75	Can be used to specify foreign country address information.
CITY	City	The city name associated with the address. If a miscellaneous vendor (MISC) is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
ST	State	The state or province.	CR	Text	2	Field is required when using miscellaneous vendor code.
ZIP	Zip	The zip code associated with the address.	CR	Text	10	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
CTRY	Country	The unique identification code associated with the country.	O	Text	3	
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	O	Text	5	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	O	Text	20	
PRIN_CNTAC	Vendor Contact Name	The vendor's procurement contact.	O	Text	60	
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	O	Text	30	
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	O	Text	6	
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	O	Text	100	
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	O	Text	30	
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	O	Text	6	
WEB_AD	Web Address http: //	The web address for this company/individual.	O	Text	100	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_DISB_CAT	Disbursement Category	The Disbursement Category associated with the document. Disbursement Category contains contact information from the department making the payment request and will be printed on the check. Disbursement Category also determines the type of warrant stub produced.	R	Text	4	Information for which Disbursement Category to use will be distributed to Departments. Must be valid on Disbursement Category (**DISC**) table. Disbursement Category (**VEND_DISB_CAT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
SCHED_PYMT_DT	Schedule Payment Date	The date that a payment request is scheduled to be processed.	O	Date	8	Format of Date "MMDDYYYY" Scheduled Payment Date cannot be less than the current date. If left blank this field will default to current system date. Scheduled Payment Date (**SCHED_PYMT_DT**) cannot be modified and must contain the same value as the Original Entry (**OE**) if **DOC_IMPORT_MODE** is equal to '**MOD**'.
DISB_PRTY_CD	Disbursement Priority	This field determines the order in which a disbursement is processed during the Automated Disbursement process. Must be valid on the Disbursement Priority page.	O	Numeric	2	Leave blank.
DFLT_DISB_FRMT	Disbursement Format	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	O	Text	4	Leave blank.
HDLG_CD	Handling Code	The code associated with individual types of disbursement instrument handling.	O	Text	2	List of handling codes will be distributed at a later date.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_SNGL_CHK_FL	Single Payment	The Single Payment flag indicates if multiple disbursements should be combined into a single payment for this vendor. When checked on the vendor line of a Payment Request either manually or inferred from the Vendor (VCUST) table, all accounting lines under that vendor line lead to a single payment instrument. A second request for payment with the flag checked for the same vendor would not be combined with the first, but would be a second payment instrument.	R	Flag	1	Must be true with a value of "1" This indicates that payments will not be consolidated.
PAY_THRD_PTY	Pay Third Party	When a Payment Request (PRC) or General Account Expenditure document (GAX) is entered and the payment should be made to the third party, the Third Party flag must be selected. Otherwise, the payment will be made to the primary vendor. The third party vendor must exist in the system, and must have a relationship established with the primary vendor on the Vendor Customer table. (The primary vendor must identify the vendor code of its third party.) When a payment is flagged to the third party on the Vendor Line, the PRC document will infer the third party information to the Payee fields on the Disbursement Request table (DRT).	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_1_DY	Days 1	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_2_DY	Days 2	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_3_DY	Days 3	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_4_DY	Days 4	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_1_PC	Percent 1	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_2_PC	Percent 2	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_3_PC	Percent 3	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_4_PC	Percent 4	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_ALW_1_FL	Discount Always 1	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
DISC_ALW_2_FL	Discount Always 2	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
DISC_ALW_3_FL	Discount Always 3	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_ALW_4_FL	Discount Always 4	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
LGCY_SYSTM	Legacy System Name	Allows interfacing departments to indicate the name of the source system that generated the payment request. This field will be stored in eCAPS and can be used in reports.	O	Text	30	Valid Legacy System Names will be provided at a later date. The value specified must be valid on the Legacy System Name Coded Value List (CVL). Must specify Legacy Reference Number if this field is populated.
LGCY_REF_CD	Legacy Reference Number	Allows interfacing departments to indicate a unique code for each payment request. The unique code may be a case number or vendor code that is not stored on the eCAPS vendor file. If the vendor code is stored in eCAPS then this value will duplicate the VEND_CUST_CD. This field will be stored in eCAPS and can be used in reports.	O	Text	20	Examples of Legacy Reference Number are Vendor Code, Case Number, PIN, or Agency Code. Must specify Legacy Source System Name if this field is populated.

2.5 TWR Document Component: ABS_DOC_ACTG

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is 'ACT'.	R	Text	3	"**ACT**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. TWR indicates expenditure trust payment request.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. The version number is assigned automatically. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Numeric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	R	Text	4	For Asset Balance Sheet Account payments the value is "**AP18**". For Liability Balance Sheet Account payments the value is "**AP17**". For Equity Balance Sheet Account payments the value is "**AP16**".
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template, which will contain information. Use of the Account Template will default Chart of Accounts information for the Accounting Line. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, vendor line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	(12,2)	To specify a payment of 3,000.13 the following is the format: Example: " 3000.13" The Line Amount (**LN_AM**) can be used for modification increases and decreases.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	Leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: "2005". Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
VEND_INV_NO	Vendor Invoice Number	The invoice number from the invoice received from the vendor.	O	Text	30	If populated the Vendor Invoice Number field is used to check for duplicate payments made to a vendor.
VEND_INV_LN_NO	Vendor Invoice Line	The invoice line number from the invoice received from the vendor.	CR	Numeric	4	If VEND_INV_NO is populated then the Vendor Invoice Line must also be populated. Line numbering begins at 1 and is only incremental for additional lines with the same invoice number
VEND_INV_DT	Vendor Invoice Date	The date of the invoice received from the vendor.	CR	Date	8	Format of Date "MMDDYYYY" If VEND_INV_NO is populated then the Vendor Invoice Date must also be populated. Vendor Invoice Date (**VEND_INV_DT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
TRKG_DT	Tracking Date	Provides the ability to record or track any date related to the invoice or payment of goods and services.	O	Date	8	Format of Date "MMDDYYYY"
CHK_DSCR	Check Description	The text to be printed on the check stub. The check stub will contain 15 text lines with a maximum of 75 characters per line. Text in this field can be aligned in column format.	O	Text	1,125	A carriage return will be applied after every 75 characters. Only text on accounting line 1 will be printed on the check stub.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced eCAPS document.	P	Text	5	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced eCAPS document.	P	Text	2	Leave blank.
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced eCAPS document.	P	Text	11	Leave blank.
RFED_VEND_LN_NO	Ref Vendor Line	The vendor line number from the referenced eCAPS document.	P	Numeric	2	Leave blank.
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced eCAPS document.	P	Numeric	4	Leave blank.
RF_TYP	Ref Type	Defines the type of reference being performed against the specified referenced eCAPS transaction line. "Final" closes the referenced line, meaning additional references are not allowed. "Partial" and "Memo" do not close the referenced line, allowing additional transactions to reference this line.	P	Numeric	1	Leave blank.
FUND_CD	Fund	The identification code associated with a fund.	R	Text	4	Must be valid on Fund (**FUND**) table. Example: "TK7" for Trust Fund
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	P	Text	4	Leave blank.
DEPT_CD	Department	An identification code associated with a department.	P	Text	2	Leave blank.
UNIT_CD	Unit	An identification code associated with a Unit.	P	Text	5	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	P	Text	4	Leave blank.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	P	Text	4	Leave blank.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub-revenue source.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	R	Text	4	Must be valid on Balance Sheet Account (BSA) table. Three types of Balance Sheet Accounts are allowed: Asset, Liability, and Equity. For each type of Balance Sheet a corresponding Event Type is required. Asset Account is Event Type AP18 Liability Account is Event Type AP17 Equity Account is Event Type AP16 Example: “7000” for liability

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	P	Text	4	Leave blank.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	P	Text	4	Leave blank.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	P	Text	4	Leave blank.
ACTV_CD	Activity	The identification code associated with the activity.	P	Text	4	Leave blank.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	P	Text	4	Leave blank.
FUNC_CD	Function	The identification code associated with the function. The identification code associated with the function. Code is used for *Performance Counts!*	P	Text	4	Leave blank.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	P	Text	10	Leave blank.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	P	Text	4	Leave blank.
TASK_CD	Task	The unique identification code assigned to the task.	P	Text	4	Leave blank.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	P	Text	4	Leave blank.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	P	Text	6	Leave blank.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	P	Text	10	Leave blank.
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	P	Text	6	Leave blank.
PPC_CD	Project Period	The identification code assigned to the project period.	P	Text	6	Leave blank.
SVC_FRM_DT	Service From Date	The service from date from the Payment Request document.	O	Date	8	Format of Date “MMDDYYYY” The **SVC_FRM_DT** is the From Date that goods/services were received. The date is also used in discount calculation.
SVC_TO_DT	Service To Date	The service to date from the Payment Request document	O	Date	8	Format of Date “MMDDYYYY” The **SVC_TO_DT** is the To Date that goods/services were received. The date is also used in discount calculation.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SPC_INST_CD	Special Instructions Code	The unique code for the Special Instructions record stored on the Special Instructions table. This field holds up to 4 characters of text.	P	Text	4	Leave blank.

Inbound Interface Design Document for Special Warrant Request (SWR)

Prepared for

County of Los Angeles eCAPS Project

April 5, 2005
Version 2.2

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 10/26/04	Initial draft of the SWR Specification for Inbound Interface of payment requests.	David Bailey & Ben Thompson	James Colbert & Peter Loo
V2.0 – 11/03/04	Global Revisions	Ben Thompson	
V2.1 – 3/23/05	Updated Sub Unit Code to Prohibited.	Jay Davidson	
V2.2 – 4/5/05	Updated Project to be 10 characters in length.	Jay Davidson	

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_SWR_GENERIC8_20041123

Record Types

The SWR files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the payment. Each HDR (header) record will be followed by one VND (vendor) record. The VND record will contain the payee information. The VND (vendor) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized SWR file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Vendor record 1 (VND)	Vendor record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, vendor and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

- Attribute – The name of the data element in the database.
- Caption – The field name of the data element.
- Description – A textual description of the data element.
- R/C – Required/Conditional.
  - Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
  - Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
  - Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
  - Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.
- Type – The data type of the data element.
  - Date – Date Format ”MMDDYYYY”
  - Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
  - Flag –True/False. True conditions = 1, False conditions = 0.
  - Text – Alphanumeric text field with a maximum number as defined for each field.
  - Numeric – Numeric value, a whole number.
  - Size – The (numeric) size of the data element
- eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Currently, some departments generate and modify payment requests directly in their own independent external systems. For encumbered payments, departments interface a Payment Voucher (PV) document to CAPS. Non-encumbered payments are processed outside of CAPS using other systems such as the Special Warrant Writing (SWW) system. The accounting entries for payments made in the other systems are recorded in summary in CAPS using a type of Journal Voucher (TW).

1.3.2 New eCAPS Process

In eCAPS, encumbered, non-encumbered, and trust payments can be processed directly online or interfaced through a batch process. This system interface design addresses the non-encumbered payment request. The SWR document will be used for expenditure payments and does not reference an encumbrance document. The SWR payment will require the Object Chart of Account element to be coded on the accounting line. The SWR payment will update budget tracking amount fields.

1.3.3 Assumptions

1. The Vendor Invoice Number is not required for non-encumbered payments.
2. A document reference is not required for non-encumbered payments.
3. Only one vendor will be specified per payment request.
4. Payment request cancellations will not be interfaced. This means payment requests can not be deleted through the interface process. To cancel payment requests this will be done online in eCAPS.
5. The Bank Account Code to be specified on interface documents will be distributed at a later date.
6. The default Event Type for the SWR document is AP01 and does not need to be specified on the interface transaction. The minimal required COA fields are Fund, Department, Unit, and Object.
7. If a vendor code has been established in eCAPS for a payee then the vendor code should be used on the payment request instead of a miscellaneous vendor code. Vendor codes are established in eCAPS for a number of reasons such as 1099 eligible and direct deposit.
8. Vendor codes setup on the eCAPS vendor file have all the information required to process a payment request.

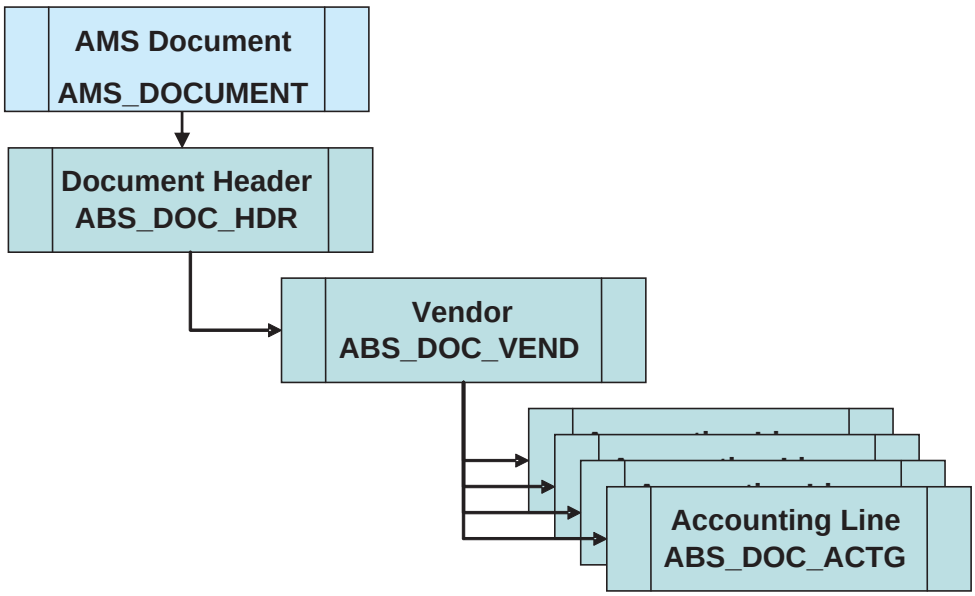
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the SWR document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given payment record.
2. **Accounting Based Spending Document Header (ABS_DOC_HDR):** Describes "header" information about the payment record, e.g. Fiscal Year, Record Date and Document ID.
3. **Accounting Based Spending Vendor (ABS_DOC_VEND):** Describes the vendor information for the given payment record.
4. **Accounting Based Spending Accounting Lines (ABS_DOC_ACTG):** Identifies the accounting information for the given payment record.

Exhibit 1 graphically illustrates these components of the SWR document interface specification.

Exhibit 1: SWR Document Components



2 Document Specification

2.1 SWR Transaction Layout

		Action		
		Original entry	Modification	Component description
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	ABS_DOC_HDR	Required	Required	General information associated with the entire payment.
	ABS_DOC_VEND	Required	Required	Payee information.
	ABS_DOC_ACTG	Required	Required	Accounting data elements used for payment.

2.2 SWR Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located.	R	Text	5	"**ABS** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type.	R	Text	5	"**ABS** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. SWR indicates a non-encumbered payment.	R	Text	5	"**SWR** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document security and workflow purposes.	R	Text	5	Five character Unit code such as "15765"
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interfaces. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 SWR Document Component: ABS_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. SWR indicates a non-encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the payment is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date "MMDDYYYY" Example: "10232004"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	Leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: "2005". Otherwise leave blank.
DOC_PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. This code is the key to the Bank (BANK) table. A bank account code is used in place of the actual bank account to prevent the posting of actual bank account numbers throughout the system.	R	Text	4	This value is constant. Information on Bank Account will be distributed at a later date. Must be valid on Bank (**BANK**) table.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	

2.4 SWR Document Component: ABS_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Vendor record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. SWR indicates a non-encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	R	Text	20	If a vendor code is specified on the interface then all Payee information, such as Name and Address, are inferred from Vendor File. Vendor codes are established for reasons such as 1099 eligible or direct deposit. If a miscellaneous vendor code is specified on the interface then Payee information must be provided on the payment request, such as Legal Name, Address 1, and City. Must be valid on Vendor Customer (**VCUST**) table. Vendor Customer (**VEND_CUST_CD**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous vendor is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	O	Text	60	This field can be used as the second vendor name.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	O	Text	20	If an address other than the default payment address is desired then an alternate address code must be specified.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous vendor is used, this field is required.	CR	Text	75	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
AD_LN_2	Address Line 2	The second line of the address.	O	Text	75	Can be used to specify foreign country address information.
CITY	City	The city name associated with the address. If a miscellaneous vendor (MISC) is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
ST	State	The state or province.	CR	Text	2	Field is required when using miscellaneous vendor code.
ZIP	Zip	The zip code associated with the address.	CR	Text	10	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
CTRY	Country	The unique identification code associated with the country.	O	Text	3	
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	O	Text	5	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	O	Text	20	
PRIN_CNTAC	Vendor Contact Name	The vendor's procurement contact.	O	Text	60	
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	O	Text	30	
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	O	Text	6	
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	O	Text	100	
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	O	Text	30	
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	O	Text	6	
WEB_AD	Web Address http: //	The web address for this company/individual.	O	Text	100	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_DISB_CAT	Disbursement Category	The Disbursement Category associated with the document. Disbursement Category references contact information from the department making the payment request and will be printed on the check. Disbursement Category also determines the type of warrant stub produced.	R	Text	4	Information for which Disbursement Category to use will be distributed to Departments. Must be valid on Disbursement Category (**DISC**) table. Disbursement Category (**VEND_DISB_CAT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
SCHED_PYMT_DT	Schedule Payment Date	The date that a payment request is scheduled to be processed.	O	Date	8	Format of Date "MMDDYYYY" Scheduled Payment Date cannot be less than the current date. If left blank this field will default to current system date. Scheduled Payment Date (**SCHED_PYMT_DT**) cannot be modified and must contain the same value as the Original Entry (**OE**) if **DOC_IMPORT_MODE** is equal to '**MOD**'.
DISB_PRTY_CD	Disbursement Priority	This field determines the order in which a disbursement is processed during the Automated Disbursement process. Must be valid on the Disbursement Priority page.	O	Numeric	2	Leave blank.
DFLT_DISB_FRMT	Disbursement Format	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	O	Text	4	Leave blank.
HDLG_CD	Handling Code	The code associated with individual types of disbursement instrument handling.	O	Text	2	List of handling codes will be distributed at a later date.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_SNGL_CHK_FL	Single Payment	The Single Payment flag indicates if multiple disbursements should be combined into a single payment for this vendor. When checked on the vendor line of a Payment Request either manually or inferred from the Vendor (VCUST) table, all accounting lines under that vendor line lead to a single payment instrument. A second request for payment with the flag checked for the same vendor would not be combined with the first, but would be a second payment instrument.	R	Flag	1	Must be true with a value of "1". This indicates that payments will not be consolidated.
PAY_THRD_PTY	Pay Third Party	When a Payment Request (PRC) or General Account Expenditure document (GAX) is entered and the payment should be made to the third party, the Third Party flag must be selected. Otherwise, the payment will be made to the primary vendor. The third party vendor must exist in the system, and must have a relationship established with the primary vendor on the Vendor Customer table. (The primary vendor must identify the vendor code of its third party.) When a payment is flagged to the third party on the Vendor Line, the PRC document will infer the third party information to the Payee fields on the Disbursement Request table (DRT).	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_1_DY	Days 1	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_2_DY	Days 2	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_3_DY	Days 3	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_4_DY	Days 4	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	P	Numeric	3	Leave blank.
DISC_1_PC	Percent 1	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_2_PC	Percent 2	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_3_PC	Percent 3	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_4_PC	Percent 4	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	P	Decimal	(3,4)	Leave blank.
DISC_ALW_1_FL	Discount Always 1	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
DISC_ALW_2_FL	Discount Always 2	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
DISC_ALW_3_FL	Discount Always 3	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_ALW_4_FL	Discount Always 4	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	P	Flag	1	Leave blank.
LGCY_SYSTM	Legacy System Name	Allows interfacing departments to indicate the name of the source system that generated the payment request. This field will be stored in eCAPS and can be used in reports.	O	Text	30	Valid Legacy System Names will be provided at a later date. The value specified must be valid on the Legacy System Name Coded Value List (CVL). Must specify Legacy Reference Number if this field is populated.
LGCY_REF_CD	Legacy Reference Number	Allows interfacing departments to indicate a unique code for each payment request. The unique code may be a case number or vendor code that is not stored on the eCAPS vendor file. If the vendor code is stored in eCAPS then this value will duplicate the VEND_CUST_CD. This field will be stored in eCAPS and can be used in reports.	O	Text	20	Examples of Legacy Reference Number are Vendor Code, Case Number, PIN, or Agency Code. Must specify Legacy Source System Name if this field is populated.

2.5 SWR Document Component: ABS_DOC_ACTG

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is 'ACT'.	R	Text	3	"**ACT**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. SWR indicates a non-encumbered payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Numeric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	O	Text	4	Leave blank. The default event type is for SWR is AP01 – Authorize Normal Payment.
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template, which will contain information. Use of the Account Template will default Chart of Accounts information for the Accounting Line. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, vendor line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	(12,2)	To specify a payment of 3,000.13 the following is the format: Example: “ 3000.13” The Line Amount (**LN_AM**) can be used for modification increases and decreases.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	Leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: “2005”. Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
VEND_INV_NO	Vendor Invoice Number	The invoice number from the invoice received from the vendor.	O	Text	30	If populated the Vendor Invoice Number field is used to check for duplicate payments made to a vendor.
VEND_INV_LN_NO	Vendor Invoice Line	The invoice line number from the invoice received from the vendor.	CR	Numeric	4	If VEND_INV_NO is populated then the Vendor Invoice Line must also be populated. Line numbering begins at 1 and is only incremental for additional lines with the same invoice number
VEND_INV_DT	Vendor Invoice Date	The date of the invoice received from the vendor.	CR	Date	8	Format of Date "MMDDYYYY" If VEND_INV_NO is populated then the Vendor Invoice Date must also be populated. Vendor Invoice Date (**VEND_INV_DT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
TRKG_DT	Tracking Date	Provides the ability to record or track any date related to the invoice or payment of goods and services.	O	Date	8	Format of Date "MMDDYYYY"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CHK_DSCR	Check Description	The text to be printed on the check stub. The check stub will contain 15 text lines with a maximum of 75 characters per line. Text in this field can be aligned in column format.	O	Text	1,125	A carriage return will be applied after every 75 characters. Only text on accounting line 1 will be printed on the check stub.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced eCAPS document.	P	Text	5	Leave blank.
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced eCAPS document.	P	Text	2	Leave blank.
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced eCAPS document.	P	Text	11	Leave blank.
RFED_VEND_LN_NO	Ref Vendor Line	The vendor line number from the referenced eCAPS document.	P	Numeric	2	Leave blank.
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced eCAPS document.	P	Numeric	4	Leave blank.
RF_TYP	Ref Type	Defines the type of reference being performed against the specified referenced eCAPS transaction line. "Final" closes the referenced line, meaning additional references are not allowed. "Partial" and "Memo" do not close the referenced line, allowing additional transactions to reference this line.	P	Numeric	1	Leave blank.
FUND_CD	Fund	The identification code associated with a fund.	R	Text	4	Must be valid on Fund (**FUND**) table. Fund may be inferred based on the Department and Unit. Example: "A01" for General Fund

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	O	Text	4	Must be valid on Sub Fund (**SFUND**) table. Sub Fund may be inferred based on the Department and Unit.
DEPT_CD	Department	An identification code associated with a department.	R	Text	2	Must be valid on Department (**DEPT**) table. Example: "SH" for Sheriff
UNIT_CD	Unit	An identification code associated with a Unit.	R	Text	5	Must be valid on Unit (**UNIT**) table. Example: "15765" for Sheriff
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	CR	Text	4	Must be valid on Object (**OBJ**) table. If Department Object is blank then Object must be entered. Object may be inferred based on the Department Object Inference table. This inference must be setup by your department and is keyed by Fiscal Year, Department, and Department Object. Example: "3580" for Consultant Services
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	O	Text	4	Must be valid on Sub Object (**SOBJ**) table.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub-revenue source.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	P	Text	4	Leave blank.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	CR	Text	4	Must be valid on Department Object (**DOBJ**) table. If Object Code is spaces then Department Object must be specified. Object code will be inferred by the Department Object Inference table.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	O	Text	4	Must be valid on Location (**LOC**) table. Location may be inferred based on the Department and Unit.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	O	Text	4	Must be valid on Sub Location (**SLOC**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
ACTV_CD	Activity	The identification code associated with the activity.	O	Text	4	Must be valid on Activity (**ACTV**) table. Activity may be inferred based on the Department and Unit.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	O	Text	4	Must be valid on Sub Activity (**SACTV**) table.
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	O	Text	4	Must be valid on Function (**FUNC**) table. Function may be inferred based on the Department and Unit
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	O	Text	4	Must be valid on Sub Function (**SFUNC**) table.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	P	Text	10	Leave blank.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods	P	Text	4	Leave blank.
TASK_CD	Task	The unique identification code assigned to the task.	O	Text	4	Must be valid on Task (**TASK**) table.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	O	Text	4	Must be valid on Sub Task (**STASK**) table.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	O	Text	6	Must be valid on Task Order (**TASKORD**) table.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	O	Text	10	Must be valid on Project (**PROG**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	O	Text	6	Must be valid on Phase (**PHASE**) table.
PPC_CD	Project Period	The identification code assigned to the project period.	O	Text	6	Must be valid on Project Period (**PPC**) table.
SVC_FRM_DT	Service From Date	The service from date from the Payment Request document.	O	Date	8	Format of Date "MMDDYYYY" The **SVC_FRM_DT** is the From Date that goods/services were received. The date is also used in discount calculation.
SVC_TO_DT	Service To Date	The service to date from the Payment Request document	O	Date	8	Format of Date "MMDDYYYY" The **SVC_TO_DT** is the To Date that goods/services were received. The date is also used in discount calculation.
SPC_INST_CD	Special Instructions Code	The unique code for the Special Instructions record stored on the Special Instructions table. This field holds up to 4 characters of text.	P	Text	4	Leave blank.

Outbound Interface Design Document for Warrant Post Back Activity File

Prepared for

County of Los Angeles eCAPS Project

April 25, 2005
Version 2.1

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V1.0 - 03/07/05	Initial Version	County	Samira Mastali, Ben Thompson
V1.1 - 04/11/05	▪ Updated Check Number to be 10 characters in length. ▪ Combined the layouts into one to reduce confusion.	County	Jay Davidson, Steve Hostetler and Ben Thompson
V2.0 - 04/14/05	• Revised design so that only one component is provided. The component includes disbursement information and accounting information. • Added Cancellation Type, Cancellation Reason, and Cancellation Comment	County	Jay Davidson, Ben Thompson, and Steve Hostetler
V2.1 – 04/25/05	• Modified the eCAPS Comments for the field Bank_Acct_Cd, Vend_Disb_Cat and Leg_Src_Sys_Nm • Changed the Data Type for the field Chk_Am from Text to Numeric. • Updated the File Path and Name. • Added Assumptions 2-5.	County	Kunal Sachdeva, Doreen Sturgis and Jay Davidson

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1 Design Specification

1.1 Business Purpose/Usage

Various departmental systems require the current status of the disbursement instrument. This file is intended to convey changes in the status of a disbursement instrument (warrant, EFT or wire transfer) as they are posted in eCAPS. In order to simplify and ease the maintenance of the process only one warrant post back file layout will be used. Please use Section 2.2 to determine the layout for the warrant post back activity file.

1.1.1 Interface Frequency

Daily

1.1.2 Department(s)

The Auditor-Controller will generate the file for various departmental systems requesting disbursement information.

1.1.3 Filename

WarrantPostBack.asc

1.1.4 Assumptions

1. This document does not address the re-issuance of cancelled instruments.
2. The County does not require that trailer records be created as part of the outbound warrant post back activity file process.
3. Field lengths may have been reduced from the maximum baseline field lengths in order to help minimize the size of this outbound file.
4. The outbound interface process generates a file that reflects disbursement activity on a daily basis. This file may contain disbursement activity across multiple departments. ISD will create a separate sort process to sort and split the warrant post back activity file into separate files by department and will notify County departments when the separate files are available for testing.
5. ISD will provide to the County departments the path for accessing the test and production files for the UAT and production environments at a later date.

1.1.5 Technical Notes

The warrant post back activity file contains the accounting lines of the payment request. Each unique disbursement instrument (warrant, EFT or wire transfer) will have one or more accounting lines.

Please note that the size associated with each field in the layout may be larger than the actual value itself. This is due to the fact that eCAPS was designed to accommodate multiple clients. While there have been modifications to the software to accommodate LA County specific requirements, if a field size was equal to or larger than the required values, no modifications were made. The file will be formatted to the following specifications. The output file contains fixed length 712-byte records.

2 File Specification

2.1 Warrant Post Back Activity File Transaction Layout

	Component Name	Component Description
FILE COMPONENTS	Warrant Post Back Activity Accounting Line(s)	The Warrant Postback disbursement and accounting line information

2.2 Warrant Post Back Activity Accounting Line(s)

eCaps Table	eCaps Column	Attribute	Description	Data Type	Size	Comments
AD_DOC_ACTG MD_DOC_ACTG	DOC_CD	Document Code	Disbursement document alpha-numeric code that indicates the type of transaction.	Text	8	Disbursement document code such as AD, MD, MDFWR, MDFTR or EFT.
AD_DOC_ACTG MD_DOC_ACTG	DOC_DEPT_CD	Document Department	Disbursement document department code assigned to this document.	Text	4	Disbursement document department Code. This will always be 'AU' for AD and EFT documents This field can reflect other department codes if the disbursement document (e.g., MDFWR, MDFTR, MD) is entered online by a department other than 'AU'.
AD_DOC_ACTG MD_DOC_ACTG	DOC_UNIT_CD	Document Unit Code	Disbursement document unit code associated with this document for security and workflow purposes.	Text	5	Disbursement document unit code
AD_DOC_ACTG MD_DOC_ACTG	DOC_ID	Document ID	Disbursement document identifier.	Text	20	

AD_DOC_ACTG MD_DOC_ACTG	DOC_VERS_NO	Document Version Number	Disbursement document version number. If the document is modified or cancelled with cancellation types (Reschedule, Hold, or Close) the version number will be 2 or greater.	Numeric	3	The field is right aligned with leading spaces. Format: 999
AD_DOC_ACTG MD_DOC_ACTG	DOC_ACTG_LN_NO	Document Accounting Line	Disbursement document accounting line number	Numeric	4	The field is right aligned with leading spaces. Format: 9999
ABS_DOC_ACTG	DOC_CD	Document Code	Payment request document alpha-numeric code that indicates the type of transaction.	Text	8	Payment request document code such as SWR, TWR, GAX, PYCY.
ABS_DOC_ACTG	DOC_DEPT_CD	Document Department	Payment request document department code assigned to this document.	Text	4	Payment request document department code such as SS, CH, or PW.
ABS_DOC_ACTG	DOC_UNIT_CD	Document Unit Code	Payment request document unit code associated with this document for security and workflow purposes.	Text	5	
ABS_DOC_ACTG	DOC_ID	Document ID	Payment request document identifier.	Text	20	
ABS_DOC_ACTG	DOC_ACTG_LN_NO	Document Accounting Line	Payment request document accounting line number	Numeric	4	The field is right aligned with leading spaces. Format: 9999
AD_DOC_HDR MD_DOC_HDR	CHK_NO	Check Number	Serial number assigned to check	Text	10	
AD_DOC_HDR MD_DOC_HDR	CHK_EFT_ISS_DT	Issue Date	Check Issue Date	Date	10	Date format: mm/dd/yyyy
AD_DOC_HDR MD_DOC_HDR	CHK_AM	Check Line Amount	Line amount on payee's check. Line amount can be aggregate by Check Number to get the total amount of	Numeric	(12,2)	Actual length is 15 bytes. The field is right aligned with leading spaces. Negative sign will display

			Check.			when there is a negative line amount. Format: 999999999999.99
AD_DOC_HDR MD_DOC_HDR	BANK_ACCT_CD	Bank Code	County bank account that disbursement was issued from.	Text	4	Defines bank account used to issue payment such as TS, W, WE, or GP. **See reference table on the eCAPS website for a complete list of values.**
AD_DOC_HDR MD_DOC_HDR	Derived element from disbursement DOC_CD	Disbursement Type	Field indicating if payment is by Electronic Funds Transfer, Wire, or Check/Warrant.	Text	3	Values: "WAR" – Warrant "EFT" – Direct Deposit "WIR" – Wire Transfer
AD_DOC_HDR MD_DOC_HDR DC_DOC_HDR	CAN_TYP	Cancellation Type	Cancellation type identifies the accounting treatment for the disbursement cancellation.	Text	20	**Values:** "Reschedule" "Hold" "Close" "Stale" "Escheat" "Cancel"
AD_DOC_HDR MD_DOC_HDR DC_DOC_HDR	CAN_REAS	Cancellation Reason	Reason why the cancellation was made.	Text	25	**Values:** "Stale" "Lost" "Stolen" "Never Received" "Destroyed"

						"Incorrect Information" "Escheat" "Cancel" "Warrant Reconciliation" "UREV Claim" "Post Office Return"
AD_DOC_HDR MD_DOC_HDR DC_DOC_HDR	CAN_CMNT	Cancellation Comment	Free form text describing the cancellation	Text	100	
AD_DOC_VEND MD_DOC_VEND	VEND_DISB_CAT	Disbursement Category	Disbursement Category identifies the location that requested the disbursement	Text	4	**See reference table on the eCAPS website for a complete list of values.**
AD_DOC_VEND MD_DOC_VEND	VEND_CUST_CD	Vendor Number	Number that uniquely identifies the vendor	Text	20	
AD_DOC_VEND MD_DOC_VEND	LEG_SRC_SYS_NM	Legacy Source System Name	External System's Name	Text	10	**Such as APPS, CAMIS, LDRP.** **See reference table on the eCAPS website for a complete list of values.**
AD_DOC_VEND MD_DOC_VEND	LEG_REF_NO	Legacy Reference Number	External System's unique vendor reference number	Text	20	
AD_DOC_HDR MD_DOC_HDR DC_DOC_HDR AP_PD_CHK	Derived element based on source of information and/or document function	Disbursement Status	Status of the disbursement	Text	1	Values are: "I" - Issued "C" - Canceled "S" - Stale Dated "P" - Paid
AD_DOC_HDR MD_DOC_HDR DC_DOC_HDR AP_PD_CHK	DOC_APPL_LAST_DT or LAST_ACTN_DT	Date of Disbursement Activity	Date the new status became effective	Date	10	Date format: mm/dd/yyyy

AD_DOC_ACTG MD_DOC_ACTG	ACTG_LN_DSCR	Accounting Line Description	The accounting description provided for the disbursement.	Text	100	
AD_DOC_ACTG MD_DOC_ACTG	BFY	BFY	The budget fiscal year the disbursement was recorded.	Numeric	4	The field is right aligned with leading spaces. Format: 9999
AD_DOC_ACTG MD_DOC_ACTG	FY_DC	FY_DC	The fiscal year the disbursement was recorded.	Numeric	4	The field is right aligned with leading spaces. Format: 9999
AD_DOC_ACTG MD_DOC_ACTG	PER_DC	PER_DC	The accounting period the disbursement was recorded.	Numeric	2	The field is right aligned with leading spaces. Format: 99
ABS_DOC_ACTG	VEND_INV_NO	VEND_INV_NO	The vendor invoice number that was specified on payment request.	Text	30	
ABS_DOC_ACTG	VEND_INV_LN_NO	VEND_INV_LN_NO	The vendor invoice line number that was specified on payment request.	Numeric	4	The field is right aligned with leading spaces. Format: 9999
ABS_DOC_ACTG	VEND_INV_DT	VEND_INV_DT	The date of the vendor invoice specified on payment request.	Date	10	Date format: mm/dd/yyyy
ABS_DOC_ACTG	TRKG_DT	TRKG_DT	Provides the ability to record or track any date related to the invoice or payment of goods and services.	Date	10	Date format: mm/dd/yyyy
ABS_DOC_ACTG	RFED_DOC_CD	RFED_DOC_CD	The document code from the referenced eCAPS document.	Text	8	Referenced encumbrance document code such as GAED, CNTR, and GAEBL.
ABS_DOC_ACTG	RFED_DOC_DEPT_CD	RFED_DOC_DEPT_CD	Department code that is part of the complete document identification of a referenced eCAPS document.	Text	4	

ABS_DOC_ACTG	RFED_DOC_ID	RFED_DOC_ID	The document identification code from the referenced eCAPS document.	Text	20	
ABS_DOC_ACTG	RFED_VEND_LN_NO	RFED_VEND_LN_NO	The vendor line number from the referenced eCAPS document.	Numeric	4	The field is right aligned with leading spaces. Format: 9999
ABS_DOC_ACTG	RFED_ACTG_LN_NO	RFED_ACTG_LN_NO	The accounting line number from the referenced eCAPS document.	Numeric	4	The field is right aligned with leading spaces. Format: 9999
AD_DOC_ACTG MD_DOC_ACTG	FUND_CD	FUND_CD	The identification code associated with a fund.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SFUND_CD	SFUND_CD	The identification code associated with the sub-fund.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	DEPT_CD	DEPT_CD	An identification code associated with a department.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	UNIT_CD	UNIT_CD	An identification code associated with a Unit.	Text	5	
AD_DOC_ACTG MD_DOC_ACTG	SUNIT_CD	SUNIT_CD	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	Text	5	
AD_DOC_ACTG MD_DOC_ACTG	APPR_CD	APPR_CD	The identification code associated to an appropriation unit.	Text	9	
AD_DOC_ACTG MD_DOC_ACTG	OBJ_CD	OBJ_CD	The identification code associated with an object of expenditure.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SOBJ_CD	SOBJ_CD	The identification code associated with the sub-object.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	RSRC_CD	RSRC_CD	Revenue sources are used to track individual sources of revenue taken in.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SRSRC_CD	SRSRC_CD	The identification code associated with the sub-revenue source.	Text	4	

AD_DOC_ACTG MD_DOC_ACTG	BSA_CD	BSA_CD	The identification code assigned to the balance sheet account.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SBSA_CD	SBSA_CD	The identification code assigned to the sub-balance sheet account.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	OBSA_CD	OBSA_CD	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	OSBSA_CD	OSBSA_CD	The sub-balance sheet account to which the offset is posted.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	DOBJ_CD	DOBJ_CD	The identification code assigned to the Department object.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	DRSRC_CD	DRSRC_CD	The code assigned to the department revenue source.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	LOC_CD	LOC_CD	The identification code assigned to the location.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SLOC_CD	SLOC_CD	The identification code associated with the sub-location.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	ACTV_CD	ACTV_CD	The identification code associated with the activity.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	SACTV_CD	SACTV_CD	The identification code associated with the sub-activity.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	FUNC_CD	FUNC_CD	The identification code associated with the function. Code is used for *Performance Counts!*	Text	10	
AD_DOC_ACTG MD_DOC_ACTG	SFUNC_CD	SFUNC_CD	The identification code associated with the sub-function.	Text	4	

AD_DOC_ACTG MD_DOC_ACTG	RPT_CD	RPT_CD	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	Text	10	
AD_DOC_ACTG MD_DOC_ACTG	SRPT_CD	SRPT_CD	Sub reporting codes define contract periods.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	TASK_CD	TASK_CD	The unique identification code assigned to the task.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	STASK_CD	STASK_CD	The sub task is a means of breaking down tasks into smaller components.	Text	4	
AD_DOC_ACTG MD_DOC_ACTG	TASK_ORD_CD	TASK_ORD_CD	The unique identification code assigned to the task order.	Text	6	
AD_DOC_ACTG MD_DOC_ACTG	PROG_CD	PROG_CD	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	Text	10	
AD_DOC_ACTG MD_DOC_ACTG	PHASE_CD	PHASE_CD	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	Text	6	
AD_DOC_ACTG MD_DOC_ACTG	PPC_CD	PPC_CD	The identification code assigned to the project period.	Text	6	
AD_DOC_ACTG MD_DOC_ACTG	SVC_FRM_DT	SVC_FRM_DT	The service from date from the Payment Request document.	Date	10	Date format: mm/dd/yyyy
AD_DOC_ACTG MD_DOC_ACTG	SVC_TO_DT	SVC_TO_DT	The service to date from the Payment Request document	Date	10	Date format: mm/dd/yyyy

Outbound Interface Design Document for Vendor Extract

Prepared for

County of Los Angeles eCAPS Project

April 25, 2005
Version 1.2

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 / 01/11/04	Created	Theron Fox	
V1.0 4/18/05	Modified Document • Now the Vendor Extract will not be one comprehensive file, but will be broken down into 10 components. • Added File Names.	County	Kunal Sachdeva
V1.1 4/22/05	Modified Document • Changed the field length for HLD_REAS and THRD_PTY_REAS on the Vendor Customer Component. • Changed the field length for UNIT_CD from 4 to 5 on the Customer Account component. • Added Comments for the field BILL_LOC_CD on the Customer Account Component. • Deleted the field VEND_CUST_CD from the 1099 Information Component. • Changed the Data Type for TIN_ST from Char to Text on the 1099 Information Component.	County	Kunal Sachdeva
V1.2 4/25/05	Modified Document • Modified the field sizes for ACORSPD_TYP,DIV_DEPT,EMAIL_AD on the Address Component. • Modified the field size for CTRY_CD, EXMPT_CD on the 1099 Component. • Added TIN and TIN_TYP for the 1099 Component. • Added comments to the Flag fields on all Components. • Modified the field size for DEPT_CD on the Authorized Departments and Prevent Spending Components. • Added Path Name description to the Field Name and Path heading. • Added information regarding trailer records and Accounting and Vendor Lines under Technical Notes.	County	Kunal Sachdeva

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1 Document Specification

1.1 Business Purpose/Usage

This file is intended to supply the County departments with Vendor information used in eCAPS. This file contains all vendor elements except the EFT bank information for the Vendor. In place of the bank information, the EFT status will be provided.

1.1.1 Interface Frequency

This file will be refreshed daily subsequent to eCAPS nightly cycle.

1.1.2 Department(s)

The Auditor-Controller will generate the vendor extract file to satisfy countywide requests for vendor information.

1.1.3 File Path and Name

A total of 10 files with the following names:

Final Path for Production would be provided by ISD at a later date.

File Name	Record Length
Vendor_Customer.asc	1,192
Address.asc	1,115
1099.asc	192
Business_Type.asc	73
Certification.asc	31
Commodity.asc	37
Authorized_Departments.asc	43
Prevent_Spending.asc	43
Customer_Account.asc	453

Service_Area.asc	33

1.1.4 Assumptions

1. There will be no trailer records associated with this outbound interface.

1.1.5 Technical Notes

This outbound interface will produce ten files (each file representing a component on the Vendor Extract). This file will be created and posted to a static location. Each department using the interface will be granted access to the static location and will be responsible for retrieving the file after it is generated. An archive of files will be maintained for historical purposes as well as availability for distribution to departments if the need arises (e.g. the file is lost, corrupted, etc.).

Please note that the size associated with fields like Vendor and Accounting Lines in the layout may be larger than the actual value itself. This is due to the fact that eCAPS was designed to accommodate multiple clients. While there have been modifications to the software to accommodate LA County specific requirements, if a field size was equal to or larger than the required values, no modifications were made.

2 File Specification

2.1 (Vendor Extract) Transaction Layout

Component	Component Description
Vendor/Customer	Vendor/customer information
Address	Address and contact information
Customer Account	Customer account options (Required for customer)
1099 Reporting Information	1099 reporting information (Required for vendor with Taxpayer ID Number or TIN)
Business Type	Business type
Service Area	Service area the vendor does business in
Commodity	Commodities offered by vendor
Authorized Dept.	Authorized departments to use vendor or customer
Prevent Spending	Departments to be restricted from spending money with vendor
Certification	Certification

2.2 Component 1: (Vendor Customer)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Vendor/Customer Record. The value is 'VCU'	Text	3	'**VCU**'
R_VEND_CUST	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	ALIAS_NM	ALIAS_NM	The alternate name, alias or operating name (doing business as) used to identify the account.	Text	60	The field can be used as the second vendor name.
R_VEND_CUST	LOC_NM	LOC_NM	The name associated with the location.	Text	60	A name to identify the location of the vendor which could be a State, City, or Street name.
R_VEND_CUST	ORG_TYP	ORG_TYP	The type of the organization. Valid values are Individual or Company.	Numeric	1	Spaces or “1” – Individual “2” – Company
R_VEND_CUST	FRST_NM	FRST_NM	For Customers, this is the Customer’s First Name.	Text	14	Required if ORG_TYP = “1”
R_VEND_CUST	MID_NM	MID_NM	For Customers, this is the Customer’s Middle Name.	Text	14	Optional if ORG_TYP = “1”
R_VEND_CUST	LAST_NM	LAST_NM	For Customers, this is the Customer’s Last Name.	Text	30	Required if ORG_TYP = “1”
R_VEND_CUST	COMP_NM	COMP_NM	For Vendors, this is the Vendor’s Company Name.	Text	60	Required if ORG_TYP = “2”

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	PNT_ACCT_CD	PNT_ACCT_CD	The identification code assigned to the parent account. Parent accounts are used as references from other records to tie smaller entities to larger entities for reporting purposes. An example of a parent account is IBM International. The subsidiary offices such as IBM Gaithersburg, IBM Alexandria, etc. would use IBM International as their parent account in the parent code field.	Text	20	If left blank the vendor code will be the headquarter account code. If a Headquarter Account Code is specified it must be valid on the HQACCT table.
R_VEND_CUST	PNT_ACCT_LGL_NM	PNT_ACCT_LGL_NM	The legal name for the parent account code.	Text	60	
R_VEND_CUST	PNT_WEB_AD	PNT_WEB_AD	The web address for this company/individual.	Text	100	
R_VEND_CUST	PNT_DUNS_NO	PNT_DUNS_NO	The Dun and Bradstreet account number assigned to the vendor or customer associated with their catalog.	Text	9	
R_VEND_CUST	FRAN_ACCT_FL	FRAN_ACCT_FL	Indicates if the vendor record is a franchise.	Flag	1	Spaces or 0- False, 1 -True

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	RSTR_USE_FL	RSTR_USE_FL	Indicates whether or not spending is restricted for this record. When cleared, all departments can use the vendor and no restrictions apply. When selected, this vendor cannot be used for spending.	Flag	1	Set to "1" to restrict. This flag will restrict all departments from using this vendor. To allow a department to use this vendor specify the department(s) in the Authorize Department component. Spaces or 0- False, 1 -True
R_VEND_CUST	MISC_ACCT_FL	MISC_ACCT_FL	Indicates this record is for miscellaneous use and does not represent a specific vendor or customer.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	INT_ACCT_FL	INT_ACCT_FL	Indicates if this account is an internal account (intergovernmental department). If selected, the miscellaneous, parent, third party vendor, third party customer or third party only flags cannot be selected.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	THRD_PTY_ONLY_FL	THRD_PTY_ONLY_FL	Indicates whether this record is a third party record. If so, only name and address information are required, unless either the customer or vendor status is active.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	THRD_PTY_VEND_FL	THRD_PTY_VEND_FL	Indicates whether this record can be used as a third party for other vendor records.	Flag	1	Spaces or 0- False, 1 -True

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	THRD_PTY_CUST_FL	THRD_PTY_CUST_FL	Indicates whether this record can be used as a third party for other customer records.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	NO_OF_EMPL	NO_OF_EMPL	Indicates the range of the number of employees for the vendor/customer.	Numeric	1	Spaces or Values: "1" – < 50 "2" – 51-100 "3" – 101-250 "4" – 251-500 "5" – 501-750 "6" – 751-1000 "7" – >1000 You can only enter in this field if the organization type is Company. Must be valid in CVL_BUS_SIZE
R_VEND_CUST	ORG_CLS	ORG_CLS	The organization classification type associated with the organization. If ORG_TYP = "1" ORG_CLS must be "1", "2", or "5" If ORG_TYP = "2" ORG_CLS must be "3", "4", "6", "7", "8", "9", or "10"	Numeric	2	Values: "1" – Individual "2" – Sole Proprietorship "3" – Partnership "4" – Incorporated "5" – Nonresident Alien "6" – Trust "7" – Foreign "8" – State Government "9" – Other Government "10" – Other Field is right aligned with leading spaces. Format: 99. See reference values on eCaps website for complete list of values.
R_VEND_CUST	MERCHT_CD	MERCHT_CD	The identification number used by the bank issuing/administering the procurement card transactions.	Text	20	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	SEX	SEX	Indicates whether the individual is male or female. Only available if the organization type is Individual.	Numeric	1	Spaces or Values: "1" – Male "2" – Female Must be valid in CVL_SEX
R_VEND_CUST	DOB	DOB	The date of birth for the individual. Only available if the organization type is Individual.	Date	8	Format of Date "MMDDYYYY" Example: "10232004"
R_VEND_CUST	MART_STA	MART_STA	The relation status for this record. Only available if the organization type is Individual. Valid values are: *Single*, *Married*, *Domestic Partner*, *Divorced*, *Widowed*.	Numeric	1	Spaces or Values: "1" – Single "2" – Married "3" – Domestic Partner "4" – Divorced "5" – Widowed
R_VEND_CUST	ANNL_INC	ANNL_INC	Indicates the annual income range for the vendor/customer. Valid values are: *<1 million*, *1-2 million*, *3-5 million*, *5-10 million*, *10-20 million*, *> 20 million*. You can only enter this field if the organization type is *Company*.	Numeric	1	Spaces or Values: "1" – <1 million "2" – 1-2 million "3" – 2-5 million "4" – 5-10 million "5" – 10-20 million "6" - >20 million
R_VEND_CUST	TIN	TIN	The taxpayer identification number from the1099 Reporting Information page. If a valid code is not available on the 1099 Reporting Information page, one must be added.	Text	9	Must specify when vendor is eligible for 1099 reporting.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	TIN_TYP	TIN_TYP	The type associated with the taxpayer identification number. For example: Employer Identification Number (EIN) and Social Security Number (SSN)	Numeric	1	Spaces or This field is required for a vendor with a Taxpayer ID Number (TIN). Values: "1" – EIN "2" – SSN/ITIN/ATIN If ORG_TYP = 2, then TIN_TYP must be 1 If ORG_TYP = 1, then TIN_TYP must be 2
R_VEND_CUST	W8_FORM	W8_FORM		Numeric	1	Spaces or Values: "1" – W-8BEN "2" – W-8IMY "3" – W-8EXP "4" – W-8ECI
R_VEND_CUST	TAX_PRFL_CD	TAX_PRFL_CD	The tax profile code assigned to this record. Must be valid on the Tax Profile page.	Text	10	Must be valid on the Tax Template (TAXPRFL) page.
R_VEND_CUST	EBIC_NO	EBIC_NO	The EDIRA Business Identifier Code for the record. EBIC is a code that identifies businesses that issue business identifier codes. The code is used as a prefix to a business identifier to allow the recipient of a business identifier to easily identify the issuing organization as well as any appropriate data validation and verification information.	Text	30	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	IAEC_NO	IAEC_NO	The International Address Element Code (IAEC) is a code that identifies the component data elements of a name and address. The code is used to improve the distribution of name and address information and to improve the formatting of international addresses for mailing purposes.	Text	30	
R_VEND_CUST	WEB_AD	WEB_AD	The web address for this company/individual.	Text	100	
R_VEND_CUST	DISB_CAT	DISB_CAT	The default disbursement category for disbursement requests generated for this vendor/customer.	Text	4	Must be valid on the Disbursement Category (DISC) table.
R_VEND_CUST	DFLT_DISB_PRTY	DFLT_DISB_PRTY	Allows the user to assign a priority to each vendor record to be used during disbursements, so that payments with a higher priority will be disbursed first.	Numeric	3	Must be valid on the Disbursement Priority (DISP) table. Field is right aligned with leading spaces. Format: 999.
R_VEND_CUST	DFLT_DISB_FRMT	DFLT_DISB_FRMT	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	Text	4	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	SCHED_PYMT_DY	SCHED_PYMT_DY	The specific day of the month for payments to be generated for this vendor. This field cannot be used in conjunction with the payment lag days field.	Numeric	2	Field is right aligned with leading spaces. Format: 99.
R_VEND_CUST	SNGL_CHK_IND	SNGL_CHK_IND	Indicates whether disbursement requests should be combined into a single disbursement.	Flag	1	By default, payments will consolidate. Specify value = "1" to not consolidate payment. Spaces or 0- False, 1 -True
R_VEND_CUST	CHK_NM	CHK_NM	Indicates which name to print on checks. Valid values are: *Legal Name* or *DBA*.	Numeric	1	Spaces or Values: "1" – Alias/DBA "2" – Legal Name "3" – Both
R_VEND_CUST	HLD_PYMT_FL	HLD_PYMT_FL	Indicates whether future payments should be held for this record. If the box is selected, payments to this record have been temporarily suspended. If the box is not selected, payments to this record are processed as normal.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	PYBL_AUTH_USID	PYBL_AUTH_USID	eCAPS User ID of the individual authorizing a hold of payments for this record.	Text	16	Required if HLD_PYMT_FL = "1"
R_VEND_CUST	HLD_REAS	HLD_REAS	The reason that payments are being held from a vendor/customer.	Text	100	Required if HLD_PYMT_FL = "1" Changed the size to 100 bytes.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	PRVNT_NEW_SPND_IND	PRVNT_NEW_SPND_IND	Indicates whether to prevent new spending on this record. If selected, you must specify which departments that are not allowed any new spending with the vendor. This is specified in the Prevent Spending component.	Numeric	1	Spaces or Values: "0" – not Active "1" – for Specific Departments "2" – for All Departments
R_VEND_CUST	DISC_1_DY	DISC_1_DY	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used	Numeric	3	Example: " 10". If payment is made in 10 days then the discount can be taken. When Discount terms are specified on the vendor record these discount terms will infer onto payment requests for the vendor. Field is right aligned with leading spaces. Format: 999.
R_VEND_CUST	DISC_2_DY	DISC_2_DY	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used	Numeric	3	Field is right aligned with leading spaces. Format: 999.
R_VEND_CUST	DISC_3_DY	DISC_3_DY	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used	Numeric	3	Field is right aligned with leading spaces. Format: 999.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	DISC_4_DY	DISC_4_DY	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used	Numeric	3	Field is right aligned with leading spaces. Format: 999.
R_VEND_CUST	DISC_1_PC	DISC_1_PC	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	Numeric	(3,4)	Example: “ 2.0”. If payment is made within the specified number of days then a 2% discount can be taken. When Discount terms are specified on the vendor record these discount terms will infer onto payment requests for the vendor. Field is right aligned with leading spaces. Format: 999.9999 Length is 8 bytes.
R_VEND_CUST	DISC_2_PC	DISC_2_PC	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	Numeric	(3,4)	Field is right aligned with leading spaces. Format: 999.9999 Length is 8 bytes.
R_VEND_CUST	DISC_3_PC	DISC_3_PC	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	Numeric	(3,4)	Field is right aligned with leading spaces. Format: 999.9999 Length is 8 bytes.
R_VEND_CUST	DISC_4_PC	DISC_4_PC	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	Numeric	(3,4)	Field is right aligned with leading spaces. Format: 999.9999 Length is 8 bytes.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	DISC_ALW_1_FL	DISC_ALW_1_FL	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	Flag	1	When Discount terms are specified on the vendor record these discount terms will infer onto payment requests for the vendor. Spaces or 0- False, 1 -True
R_VEND_CUST	DISC_ALW_2_FL	DISC_ALW_2_FL	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	DISC_ALW_3_FL	DISC_ALW_3_FL	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	Flag	1	Spaces or 0- False, 1 -True

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	DISC_ALW_4_FL	DISC_ALW_4_FL	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	DFLT_RECT_TYP	DFLT_RECT_TYP	The receipt type that is normally used when payments are received from this customer. Valid values are: *Cash*, *Check*, *EFT*, and *Credit Card*. *EFT* cannot be selected unless the EFT accepted option is selected.	Numeric	1	Spaces or Values: "1" – Cash "2" – Check "3" – EFT "4" – Credit Card Must be valid in CVL_RECT_TYP
R_VEND_CUST	DFLT_BPRO	DFLT_BPRO	The default billing profile assigned to this customer record.	Text	5	Must be valid on the Billing Profile (BPRO) table.
R_VEND_CUST	CA_FNDG_TYP	CA_FNDG_TYP	The type of cost accounting funding associated with the customer record. Valid values are: *Federal (Non-CMIA)*, *Federal (CMIA)*, *State*, *Bond*, *Private*, *Individual/Company*, *Local Municipality*, *Will/Endowment, Other*.	Numeric	1	Spaces or Values: "1" – Federal (NON-CMIA) "2" – Federal (CMIA) "3" – State "4" – Bond "5" – Private Individual/Company "6" – Local Municipality "7" – Will/Endowment "8" – Other "9" – In-kind March Must be valid in CVL_CA_FNDG_TYP

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	CC_TYP	CC_TYP	The credit card number that corresponds to the credit card type. This field is only available if the default receipt type is *Credit Card.*	Numeric	1	Spaces
R_VEND_CUST	CC_NO	CC_NO	The credit card number that corresponds to the credit card type. This field is only available if the default receipt type is *Credit Card.*	Text	25	
R_VEND_CUST	CARD_HLD_NM	CARD_HLD_NM	The name as it appears on the credit card. You can only enter this field if the default receipt type is *Credit Card*.	Text	40	
R_VEND_CUST	CC_EXPR_MO	CC_EXPR_MO	The expiration month of the credit card. This field is only available if the default receipt type is *Credit Card*.	Text	2	
R_VEND_CUST	CC_EXPR_YR	CC_EXPR_YR	The expiration year of the credit card. This field is only available if the default receipt type is *Credit Card*.	Text	4	
R_VEND_CUST	BILL_PNT_FL	BILL_PNT_FL	Indicates if the bill should be sent to the parent billing address.	Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	THRD_PTY_CD	THRD_PTY_CD	The vendor/customer identification code for the third party.	Text	20	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	THRD_PTY_APRV_USID	THRD_PTY_APRV_USID	The name of the individual approving the third party designation.	Text	16	
R_VEND_CUST	THRD_PTY_REAS	THRD_PTY_REAS	The reason for the third party designation.	Text	100	Changed the size to 100 bytes.
R_VEND_CUST	DUNS_NO	DUNS_NO	The Dun and Bradstreet account number assigned to the vendor or customer.	Text	9	
R_VEND_CUST	INTRNT_CTLG	INTRNT_CTLG	The web address for the record's online catalog. If your system is configured to use Buysense.com, this field should be populated with data from the Buysense.com system.	Text	100	
R_VEND_CUST	VSS_REG	VSS_REG		Flag	1	Spaces or 0- False, 1 -True
R_VEND_CUST	PREF_ORD_METH	PREF_ORD_METH	This feld indicated preferred ordering method for this vendor. Valid values are Print or URL.	Numeric	1	Spaces
R_VEND_CUST	PCARD_ACC_LVL	PCARD_ACC_LVL	Indicates if the supplier accepts procurement cards, and if so, what level of data exchange they use.	Numeric	1	Spaces

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CUST	EFT_STA	EFT_STA	The current eCAPS direct deposit status for the vendor/payee.	Numeric	10	Field is right aligned with leading spaces. Format: 9999999999. Values: "0":N/A "1":Prenote Requested "2":Prenote Pending "3":Eligible for EFT "4":Prenote Rejected "5": Not Eligible for EFT-Vendor Request. "6":EFT Hold "7": Not Eligible for EFT-Direct Deposit.

2.3 Component 2: (Address)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as the AMS DOCUMENT record. The value if "ADD"	Text	3	"**ADD**"
R_AD	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
~~R_AD~~	~~DOC_AD_LN_NO~~	~~DOC_AD_LN_NO~~	~~The address line number visible to a user that uniquely identifies each address line for the VCUST record~~	~~Numeric~~	~~2~~	~~Value: " **1**" Line numbering begins at 1 and is incremental for additional lines~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
R_AD	AD_TYP	AD_TYP	Indicates the type of address.	Text	2	Values: "BI" – Billing "OT" – Other "PA" – Payment "PR" – Procurement "WR" – Web Registrar Each vendor record must have at least one Procurement (PR) and one Payment (PA) address record.
R_AD	DIV_DEPT	DIV_DEPT	The name associated with the division or department for this contact/address.	Text	60	
R_AD	ADDL_AD_INFO	ADDL_AD_INFO	This is an optional field that allows free form information to be entered to better describe additional information about the specific address/contact record.	Text	60	
R_AD	EFBGN_DT	EFBGN_DT	An effective begin date of the address record.	Date	8	If left blank the current date is defaulted. Format of Date "MMDDYYYY"
R_AD	EFEND_DT	EFEND_DT	The last date that a particular address can be used. If no date is supplied for this field, then there is no limit on when the record can last be used under this edit.	Date	8	Format of Date "MMDDYYYY"

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	DFLT_AD_TYP	DFLT_AD_TYP	Indicates if this address is the default address for a given address type. Only one address per address type can be marked as the default record. The record marked as default is used on documents and other processes to infer an address/contact when one is not specified.	Flag	1	Per Address Type (AD_TYP), there must be one default address type.
R_AD	MAIL_RET_FL	MAIL_RET_FL	Indicates if mail sent to this address has been returned to sender.	Flag	1	Spaces or 0- False, 1-True
R_AD	AD_ID	AD_ID	The unique address for a vendor or customer	Text	20	
R_AD	STR_1_NM	STR_1_NM	The first line of the street address.	Text	75	
R_AD	STR_2_NM	STR_2_NM	The second line of the street address.	Text	75	
R_AD	CITY_NM	CITY_NM	The city name associated with the address.	Text	60	
R_AD	ST	ST	The state or province.	Text	2	Must be valid on the State/Providence (ST) table.
R_AD	ZIP	ZIP	The zip code associated with the address.	Text	10	
R_AD	VOICE_PH_NO	VOICE_PH_NO	The telephone number associated with the contact.	Text	30	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	VOICE_PH_EXT	VOICE_PH_EXT	The telephone number extension associated with the contact.	Text	6	
R_AD	CNTY_CD	CNTY_CD	The unique identification code associated with the county.	Text	5	Must be valid on the County (CTY) table.
R_AD	CTRY	CTRY	The unique identification code associated with the country.	Text	3	If left blank, defaults to "USA." Must be valid on the Country (CTRY) table.
~~R_AD~~	~~BYPASS_FL~~	~~BYPASS_FL~~	~~When set to true address validation will be bypassed. Address validation is provided by a third-party tool such as First Logic.~~	~~Flag~~	~~1~~	~~Leave blank.~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
R_AD	CNTAC_NO	CNTAC_NO	The unique contact ID for the principal contact name of the person responsible for questions concerning an associated entity.	Text	20	If left blank, the system will generate one for the record when contact information is specified.
~~R_AD~~	~~CN_AUTO_GEN_FL~~	~~CN_AUTO_GEN_FL~~	~~If the Auto Generate field is selected, a Contact ID will be automatically generated for the record.~~	~~Flag~~	~~1~~	~~If a Principal Contact is being added to this address line, the value must be set to "1".~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
R_AD	PRIN_CNTAC	PRIN_CNTAC	The vendor's procurement contact.	Text	60	Could be the contact person's name. Required if Contact Information is specified.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	ENG_SP_FL	ENG_SP_FL	Indicates if the primary contact speaks English. Default is selected.	Flag	1	Default is true that English is spoken. The value for true is “1.” Spaces or 0- False, 1-True
R_AD	ACORSPD_TYP	ACORSPD_TYP	Indicates the vendor's preference for receiving correspondence. Valid values are: *E-Mail*, *Fax*, and *Postal Service*.	Numeric	1	Spaces or Values: "1" – Email "2" – Fax "3" – Postal Service
R_AD	EMAIL_AD	EMAIL_AD	The email address associated with the contact.	Text	100	Required if ACORSPD_TYP = “1”
R_AD	CNTAC_PH_NO	CNTAC_PH_NO	Telephone number of the contact person responsible for answering questions concerning an associated entity.	Text	30	
R_AD	CNTAC_PH_EXT	CNTAC_PH_EXT	The telephone number extension associated with the contact.	Text	6	
R_AD	ALT_VOICE_PH_NO	ALT_VOICE_PH_NO	The alternate telephone number associated with the contact.	Text	30	
R_AD	ALT_VOICE_PH_EXT	ALT_VOICE_PH_EXT	The alternate telephone extension associated with the contact.	Text	6	
R_AD	FAX_PH_NO	FAX_PH_NO	The fax extension number associated with a contact.	Text	30	Required if ACORSPD_TYP = “2”

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	FAX_PH_EXT	FAX_PH_EXT	The optional fax extension number associated with the fax number.	Text	6	
R_AD	ALT_FAX_PH_NO	ALT_FAX_PH_NO	The alternate fax number associated with the contact.	Text	30	
R_AD	ALT_FAX_PH_EXT	ALT_FAX_PH_EXT	The alternate fax extension associated with the contact.	Text	6	
R_AD	CNTAC_STR_1_NM	CNTAC_STR_1_NM	The first line of the street address for the Principal Contact.	Text	75	Required if ACORSPD_TYP = “3” If left blank, it will be inferred from Address 1.
R_AD	CNTAC_STR_2_NM	CNTAC_STR_2_NM	The second line of the street address for the Principal Contact.	Text	75	If left blank, it will be inferred from Address Street 2.
R_AD	CNTAC_CITY_NM	CNTAC_CITY_NM	The city name associated with the address of the Principal Contact.	Text	60	Required if ACORSPD_TYP = “3” If left blank, it will be inferred from Address Information City.
R_AD	CNTAC_ST	CNTAC_ST	The state or province for the Principal Contact.	Text	2	Required if ACORSPD_TYP = “3” If left blank, it will be inferred from Address Information State.
R_AD	CNTAC_ZIP	CNTAC_ZIP	The zip code associated with the address for the Principal Contact.	Text	10	Required if ACORSPD_TYP = “3” If left blank, it will be inferred from Address Information Zip.
R_AD	CNTAC_CNTY_CD	CNTAC_CNTY_CD	The unique identification code associated with the county for the Principal Contact.	Text	5	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_AD	CNTAC_CTRY	CNTAC_CTRY	The unique identification code associated with the country for the Principal Contact. This field defaults from the State/Province page.	Text	3	
R_AD	TAX_PROF	TAX_PROF		Text	10	
R_AD	CA_SEL_PERM	CA_SEL_PERM		Text	20	
R_AD	PAR_LT_NO	PAR_LT_NO		Text	60	
R_AD	LEG_CUST_NO	LEG_CUST_NO		Text	20	

2.4 Component 3: (Customer Account)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_CUST_ACCT_OPT	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Header record. The value is “ACC”	Text	3	“**ACC**”
R_CUST_ACCT_OPT	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
~~R_CUST_ACCT_OPT~~	~~DOC_AD_LN_NO~~	~~DOC_AD_LN_NO~~	~~The address line number visible to a user that uniquely identifies each address line for the VCUST record~~	~~Numeric~~		~~Value: " 1" Line numbering begins at 1 and is incremental for additional lines~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
~~R_CUST_ACCT_OPT~~	~~DOC_CUSTACC_LN_NO~~	~~DOC_CUSTACC_LN_NO~~	~~The customer account line number visible to a user that uniquely identifies each customer account line for each address record~~	~~Numeric~~		~~Value: " 1" Line numbering begins at 1 and is incremental for additional lines.~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
R_CUST_ACCT_OPT	BPRO_CD	BPRO_CD	The identification code assigned to the billing profile.	Text	5	Must be valid on Billing Profile (BPRO) table.
R_CUST_ACCT_OPT	DEPT_CD	DEPT_CD	An identification code assigned to a department.	Text	4	Must be valid on Billing Profile (BPRO) table.
R_CUST_ACCT_OPT	UNIT_CD	UNIT_CD	Unit is the lowest organizational level in the main organizational structure.	Text	5	Must be valid on Billing Profile (BPRO) table.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_CUST_ACCT_OPT	BILL_LOC_CD	BILL_LOC_CD	The location where the receivable is to be sent. Required if the billing type is Invoices, Statements, or Both. Valid values are: *Customer Only*, *Third Party Only*, *Third Party with Customer Copy*, *Parent Address Only*, or *Parent Address with Customer Copy*. Default is *Customer Only*.	Text	2	CO – Customer Only NA – Not Applicable PC- Parent Address with Customer Copy PO – Parent Address Only TC – Third Party With Customer Copy TO – Third Party Only
R_CUST_ACCT_OPT	SPRS_RG_STMT_BILL	SPRS_RG_STMT_BILL	Indicates if regular billing should be suppressed.	Flag	1	Spaces or 0 – False, 1 – True
R_CUST_ACCT_OPT	SPRS_PDU_STMT_BILL	SPRS_PDU_STMT_BILL	Indicates if past due billing should be suppressed.	Flag	1	Spaces or 0 – False, 1 – True
R_CUST_ACCT_OPT	COLL_CYC_CD	COLL_CYC_CD	The default value of the system wide collection cycle. The value can be set at the system level on System Options and Controls. The value can be overriden for processing at the billing profile level.	Text	5	
R_CUST_ACCT_OPT	ELEC_FILE_TYP	ELEC_FILE_TYP	A unique code that is associated with a specific type of electronic file, used to execute electronic funds transfers (EFTs).	Numeric	1	Spaces
R_CUST_ACCT_OPT	FILE_PFX_ID	FILE_PFX_ID	Required if the Electronic File Type is set to 'FHWA'.	Text	6	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_CUST_ACCT_OPT	THRD_PTY_CD_1	THRD_PTY_CD_1		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_2	THRD_PTY_CD_2		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_3	THRD_PTY_CD_3		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_4	THRD_PTY_CD_4		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_5	THRD_PTY_CD_5		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_6	THRD_PTY_CD_6		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_7	THRD_PTY_CD_7		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_8	THRD_PTY_CD_8		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_9	THRD_PTY_CD_9		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_CD_10	THRD_PTY_CD_10		Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_1	THRD_PTY_AD_ID_1	Billing address for Third Party 1	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_2	THRD_PTY_AD_ID_2	Billing address for Third Party 2	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_3	THRD_PTY_AD_ID_3	Billing address for Third Party 3	Text	20	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_4	THRD_PTY_AD_ID_4	Billing address for Third Party 4	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_5	THRD_PTY_AD_ID_5	Billing address for Third Party 5	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_6	THRD_PTY_AD_ID_6	Billing address for Third Party 6	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_7	THRD_PTY_AD_ID_7	Billing address for Third Party 7	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_8	THRD_PTY_AD_ID_8	Billing address for Third Party 8	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_9	THRD_PTY_AD_ID_9	Billing address for Third Party 9	Text	20	
R_CUST_ACCT_OPT	THRD_PTY_AD_ID_10	THRD_PTY_AD_ID_10	Billing address for Third Party 10	Text	20	

2.5 Component 4: (1099 Reporting Information)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_TIN_1099_INFO	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a 1099 Reporting record. The value is 'REP'.	Text	3	"**REP**"
R_TIN_1099_INFO	TIN	TIN	The taxpayer identification number.	Text	9	

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_TIN_1099_INFO	TIN_TYP	TIN_TYP	The type associated with the taxpayer identification number. For example: Employer Identification Number (EIN) and Social Security Number (SSN)	Numeric	1	Spaces or Values: "1" – EIN "2" – SSN/ITIN/ATIN
R_TIN_1099_INFO	TIN_NM_1	TIN_NM_1	The name to be used for 1099 reporting purposes. When creating a new record via the "Add a valid TIN Number" option on the Vendor window, the name is defaulted to the vendor name from the Vendor window.	Text	40	Inferred from Legal Name if left blank.
R_TIN_1099_INFO	TIN_NM_2	TIN_NM_2	Continuation of vendor name.	Text	40	
R_TIN_1099_INFO	TIN_AD	TIN_AD	The address associated with the taxpayer identification number used for 1099 reporting purposes.	Text	40	
R_TIN_1099_INFO	TIN_CITY_NM	TIN_CITY_NM	The city associated with the address of the taxpayer identification number used for 1099 reporting purposes.	Text	30	
R_TIN_1099_INFO	TIN_ST	TIN_ST	The state associated with the address of the taxpayer identification number used for 1099 reporting purposes.	Text	2	Must be valid on the State/Providence (ST) table.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_TIN_1099_INFO	TIN_ZIP	TIN_ZIP	Zip code for the address to be reported to the IRS during 1099 reporting.	Text	10	
R_TIN_1099_INFO	NM_CTRL_CD	NM_CTRL_CD	Name Control to be used for 1099 magnetic media reporting. The system normally defaults this field as the first four characters of the vendor's name, not including the word 'The.'	Text	4	If left blank the system will default.
R_TIN_1099_INFO	BKUP_WHLD_FL	BKUP_WHLD_FL	Indicates whether or not backup withholding offsets can be processed in the system.	Flag	1	Spaces or 0 – False, 1 -True
R_TIN_1099_INFO	RPT_1099_FL	RPT_1099_FL	The associated code has been defined as 1099 reportable. All related transactions qualify to be reported to the IRS during the 1099 reporting process.	Flag	1	Spaces or 0 – False, 1 -True
R_TIN_1099_INFO	RPT_1042_FL	RPT_1042_FL	This option indicates if the payee with this TIN/TIN Type is eligible for 1042-S reporting.	Flag	1	Spaces or 0 – False, 1 -True
R_TIN_1099_INFO	CTRY_CD	CTRY_CD	The unique identification code associated with the country.	Text	3	
R_TIN_1099_INFO	WTHHLD_ALLOW	WTHHLD_ALLOW	The numeric code that designates the withholding allowance for the vendor.	Numeric	1	Spaces if number not specified.

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_TIN_1099_INFO	INC_CD	INC_CD	The unique identifier for the Income Code, which defines the classification of the type of income paid and may be considered reportable by the IRS.	Text	2	
R_TIN_1099_INFO	EXMPT_CD	EXMPT_CD	The unique identifier for the Exemption Code, which defines the classification of the types of income exempted from the tax base.	Text	2	
R_TIN_1099_INFO	RECPNT_CD	RECPNT_CD	The unique two-digit identifier for the Recipient Code, which defines the Internal Revenue Service (IRS) classification for the type of recipient being paid.	Text	2	
~~R_TIN_1099_INFO~~	~~BYPASS_FL~~	~~BYPASS_FL~~	~~The Bypass Review flag indicates if the batch process that adds records to FACPERT and FACPERD should set the Reviewed flag on FACPERT to Yes.~~	~~Flag~~	~~1~~	~~Leave blank.~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**

2.6 Component 5: (Business Type)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_BUS_TYP	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Business record. The value is 'BUS'.	Text	3	"**BUS**"
R_VEND_BUS_TYP	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
R_VEND_BUS_TYP	BUS_TYP	BUS_TYP	The Business Type associated with a vendor/customer. Examples of business types are: dealer, manufacturer, retailer, minority owned, and woman owned.	Text	4	See reference values on eCAPS website for complete list of values. Field is also used to indicate the external source system that established the vendor.
R_VEND_BUS_TYP	CERT_NO	CERT_NO	The unique identification number for the business type.	Text	30	An example is CA Seller's Permit. Field is also used to store the Legacy Reference Number that identifies the vendor in the external source system.
R_VEND_BUS_TYP	CERT_STRT_DT	CERT_STRT_DT	Certification Start Date	Date	8	Format of Date "MMDDYYYY" Example: "10232004"
R_VEND_BUS_TYP	CERT_END_DT	CERT_END_DT	Certification End Date	Date	8	Format of Date "MMDDYYYY"

2.7 Component 6: (Service Area)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_SRVC_AREA	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Service record. The value is 'SRV'	Text	3	"**SRV**"
R_VEND_SRVC_AREA	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
R_VEND_SRVC_AREA	SRVC_AREA	SRVC_AREA	The Service Area ID associated with the Vendor. Services Areas are used to associate a geographical area with a Vendor/Customer.	Numeric	10	Must be valid on the Service Area table. Field is right aligned with leading spaces. Format of field is 9999999999.

2.8 Component 7: (Commodity Information)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_COMM	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Commodity record. The value is 'COM'	Text	3	"**COM**"
R_VEND_COMM	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
R_VEND_COMM	COMM_CD	COMM_CD	The identification code assigned to the commodity.	Text	14	Must be valid on the Commodity (COMM) table.

2.9 Component 8: (Authorized Departments)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_RSTR_USE	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as an Authorized Dept record. The value is 'AUT'	Text	3	"**AUT**"
R_RSTR_USE	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
R_RSTR_USE	DEPT_CD	DEPT_CD	An identification code assigned to a central organizational level element where the de central structure is set.	Text	4	Must be valid on the Department (DEPT) table.
R_RSTR_USE	AUTH_USID	AUTH_USID	The eCAPS user ID of the person making the authorization.	Text	16	Must be a valid eCAPS user ID.

2.10 Component 9: (Prevent Spending)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_PRVNT_SPND	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Preventing Spending record. The value is 'PRV'	Text	3	"**PRV**"
R_PRVNT_SPND	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
~~R_PRVNT_SPND~~	~~DOC_CD~~	~~DOC_CD~~	~~The alpha-numeric code that indicates the type of transaction. The value "VCC1" indicates a vendor/customer creation 1.~~	~~Text~~	~~5~~	~~Same as in AMS_DOCUMENT~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
~~R_PRVNT_SPND~~	~~DOC_DEPT_CD~~	~~DOC_DEPT_CD~~	~~The department code assigned to this document.~~	~~Text~~	~~2~~	~~Same as in AMS_DOCUMENT~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
~~R_PRVNT_SPND~~	~~DOC_UNIT_CD~~	~~DOC_UNIT_CD~~	~~The unit code associated with this document for security and workflow purposes.~~	~~Text~~	~~5~~	~~Same as in AMS_DOCUMENT~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
~~R_PRVNT_SPND~~	~~DOC_ID~~	~~DOC_ID~~	~~The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.~~	~~Text~~	~~11~~	~~Same as in AMS_DOCUMENT~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
~~R_PRVNT_SPND~~	~~DOC_VERS_NO~~	~~DOC_VERS_NO~~	~~The version number assigned to this document. The version is incremented with each modification draft.~~	~~Numeric~~	~~2~~	~~Same as in AMS_DOCUMENT~~ **This column is not required since it is required to process a document but does not really have any bearing as far as mapping is concerned.**
R_PRVNT_SPND	DEPT_CD	DEPT_CD	An identification code assigned to a central organizational level element where the decentral structure is set.	Text	4	Must be valid on the Department (DEPT) table.
R_PRVNT_SPND	AUTH_USID	AUTH_USID	The eCAPS user ID of the person making the authorization.	Text	16	Must be a valid eCAPS user ID.

2.11 Component 10: (Vendor Certification)

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CERT	RECORD_TYPE	RECORD_TYPE	This value identifies the flat file record as a Certification record. The value is 'CER'.	Text	3	"**CER**"
R_VEND_CERT	VEND_CUST_CD	VEND_CUST_CD	The unique identifier assigned to the vendor/customer.	Text	20	Vendor Code that uniquely identifies the vendor record.
R_VEND_CERT	VEND_ACT_STA	VEND_ACT_STA	The active status of the record. Valid values are: *Active*, *Inactive*, *Suspended*, *Discontinued*, *Debarred*, and *Delete*. Default is *Inactive*. If *Delete* is selected, the record is deleted when the off-line delete process is executed.	Numeric	2	Field is right aligned with leading spaces. Format is 99. Values: "0" – N/A "1" – Inactive "2" – Active "3" – Suspended "4" – Discontinued "5" – Debarred "6" – Delete

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CERT	VEND_APRV_STA	VEND_APRV_STA	The approval status of the record. Valid values are: *Incomplete*, *Reviewed*, and *Complete*. Default is *Incomplete*. *Reviewed* indicates the information has been reviewed, but the record is not yet ready for use in the system for purchases/payments. *Complete* indicates all information has been reviewed and approved for use.	Numeric	2	Field is right aligned with leading spaces. Format is 99. Values: "0" – N/A "1" – Incomplete "2" – Reviewed "3" – Complete
R_VEND_CERT	CUST_ACT_STA	CUST_ACT_STA	The active status of the record. Valid values are: *Active*, *Inactive*, *Suspended*, *Discontinued*, *Debarred*, and *Delete*. Default is *Inactive*. If *Delete* is selected, the record is deleted when the offline delete process is executed.	Numeric	2	Field is right aligned with leading spaces. Format is 99. Values: "0" – N/A "1" – Inactive "2" – Active "3" – Suspended "4" – Discontinued "5" – Debarred "6" – Delete

eCAPS Table Name	eCAPS Column Name	Attribute	Description	Data Type	Size	Comments
R_VEND_CERT	CUST_APRV_STA	CUST_APRV_STA	The approval status of the record. Valid values are: *Incomplete*, *Reviewed*, and *Complete*. Default is *Incomplete*. *Reviewed* indicates the information has been reviewed, but the record is not yet ready for use in the system for purchases/payments. *Complete* indicates all information has been reviewed and approved for use.	Numeric	2	Field is right aligned with leading spaces. Format is 99. Values: "0" – N/A "1" – Incomplete "2" – Reviewed "3" – Complete

Supplement for GAED and GAX Inbound Interface Designs

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 01/10/05	Initial Draft	Ben Thompson	James Colbert, Steve Hostetler, Merrilee St. John
V2.0 – 03/21/05	Incorrect Use Tax Fund was specified. Initially Use Tax Fund was specified as (SE1) but the correct Use Tax fund for vendor payments is (SG8).	Ben Thompson	

Introduction

This supplement is for departments that will interface Accounting Based documents for Direct Encumbrances and Payments. The Supplement document provides guidance on how to build accounting based direct encumbrance and payment documents to accommodate common purchasing scenarios such as Sales Tax, Use Tax, Freight, and Discounts.

Note: Payments on prior year encumbrances will follow the same rules as payments on current year encumbrances. One exception to the rule is that payments on prior year encumbrances will require a different document code. Instead of using the GAX document code on payments for prior year encumbrances the document code for Prior Fiscal Year Payments (PFY) will be used.

Assumptions for payments

- Departments will calculate the discounted cost of goods and services before interfacing the General Accounting Spending (GAX) document.
- Departments will specify as applicable sales tax or use tax on interfaced GAX documents. Sales tax or use tax is determined by the vendor. If the vendor has a California Seller's permit then they are paid sales tax. Sales tax is remitted by the vendor to the State of California. If the vendor is from out-of-state and does not have a California Seller's permit then use tax applies. Use tax is remitted by the County to the State of California.

GAED

For interfacing direct encumbrance transactions reference the General Accounting Encumbrance Direct (GAED) Inbound Interfaced Design document. In addition to that design the following guidance is provided:

- The Costs of Goods and Services and Sales or Use Tax can be aggregated into one accounting line. For Example the cost of goods is $100 and sales tax is 8.25% then one accounting line can be entered for $108.25.
- The Cost for Freight should be entered on a separate Accounting line.

Example 1 provided below illustrates the GAED document with tax and freight.

GAX

For interfacing payment transactions reference the General Accounting Spending (GAX) Inbound Interfaced Design document. In addition to that design the following guidance is provided:

- Discount dollar amounts will be calculated and provided by the interfacing system prior to creating the GAX document. Any applicable payments terms such as 10 days can be specified in the vendor component in the Discount Terms Days 1 field in order to default the appropriate Payment Schedule Date. The Discount Terms Percentage field must be set to Zero.
- The Cost of Goods and Services should be entered on the first accounting line. This accounting line will reference the direct encumbrance document. If there are additional accounting distributions they should be entered on subsequent accounting lines.
- The Cost for Sales Tax can be entered on the second accounting line or use the next sequential line number after all cost of goods and services lines have been entered. This accounting line will reference the encumbrance document and will be a positive dollar amount.
- If Use Tax applies it will be entered similar to Sales Tax on the second accounting line or use the next sequential line number after all cost of goods and services lines have been entered. This accounting line will reference the encumbrance document. Additionally, the Use Tax dollar amount will be entered as a negative on a third accounting line or use the next sequential line number after all cost of goods and services lines have been entered. This negative accounting line reduces the amount of the payment and sets aside the Use Tax Payable for subsequent submission to the State. The third accounting line will contain a Use Tax Payable Event Type (AP04). The Chart of Account elements entered on the third accounting line are the Use Tax Fund Code ~~(SE1)~~ (SG8) and the Use Tax Payable Balance Sheet Account (2010).
- If Freight is applicable it should be the last accounting line.

Example 2 provided below illustrates a GAX document with sales tax.
Example 3 provided below illustrates a GAX document with sales tax and freight.
Example 4 provided below illustrates a GAX document with use tax and freight.
Example 5 provided below illustrates a GAX document with multiple cost of goods accounting lines, use tax, and freight.

Example 1 – GAED Direct Encumbrance with Sales Tax and Use Tax and Freight

Component	Field	Value
Header	**N/A**	N/A
Vendor	**Vendor Code**	900001
Accounting Line 1 (goods and sales or use tax)	**Fund**	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$3,199.50
Accounting Line 2 (freight)	**Fund**	A01
	Dept	AU
	Unit	10700
	Object	5138
	Line Amount	$50.00

Example 2 – GAX Payment with Sales Tax

Component	Field	Value
Header	**N/A**	N/A
Vendor	**Vendor Code**	900001
Accounting Line 1 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$1,000.00 (discount is already taken)
Accounting Line 2 (sales tax)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	5138
	Line Amount	$82.50

Example 3 – GAX Payment with Sales Tax and Freight

Component	Field	Value
Header	**N/A**	N/A
Vendor	**Vendor Code**	900001
Accounting Line 1 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$1,000.00 (discount is already taken)
Accounting Line 2 (sales tax)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$82.50
Accounting Line 3 (freight)	**Document Reference**	GAED AU 0000001 Accounting line 2
	Fund	A01
	Dept	AU
	Unit	10700
	Object	5138
	Line Amount	$50.00

Example 4 – GAX Payment with Use Tax and Freight

Component	Field	Value
Header	**N/A**	N/A
Vendor	**Vendor Code**	900001
Accounting Line 1 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$1,000.00 (discount is already taken)
Accounting Line 2 (use tax for recognition of expenditure)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$82.50
Accounting Line 3 (use tax for recognition of amount owed to State) Note: unique Event Type, BSA, negative line amount, and no reference to encumbrance document.	**Event Type**	AP04
	Fund	~~SE1~~ SG8
	BSA	2010
	Line Amount	-82.50
Accounting Line 4 (freight)	**Document Reference**	GAED AU 0000001 Accounting line 2
	Fund	A01
	Dept	AU
	Unit	10700
	Object	5138
	Line Amount	$50.00

Example 5 – GAX Payment with multiple accounting lines for cost of goods, Use Tax and Freight

Component	Field	Value
Header	**N/A**	N/A
Vendor	**Vendor Code**	900001
Accounting Line 1 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$315.22 (discount is already taken)
Accounting Line 2 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3245
	Line Amount	$25.66 (discount is already taken)
Accounting Line 3 (goods and services)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3235
	Line Amount	$125.13 (discount is already taken)
Accounting Line 4 (use tax for recognition of expenditure)	**Document Reference**	GAED AU 0000001 Accounting line 1
	Fund	A01
	Dept	AU
	Unit	10700
	Object	3240
	Line Amount	$82.50
Accounting Line 5 (use tax for recognition of amount owed to State)	**Event Type**	AP04
	Fund	~~SE1~~ SG8
	BSA	2010
	Line Amount	-82.50

Note: unique Event Type, BSA, negative line amount, and no reference to encumbrance document.		
Accounting Line 6 (freight)	**Document Reference**	GAED AU 0000001 Accounting line 2
	Fund	A01
	Dept	AU
	Unit	10700
	Object	5138
	Line Amount	$50.00

Inbound Interface Design Document for Trailer Records

Prepared for

County of Los Angeles eCAPS Project

APRIL 22, 2005
Version 2.0

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V1.0 – 3/24/05	Initial draft of trailer records for all inbound interfaces.	Theron Fox	James Colbert & Ben Thompson
V2.0 – 4/22/05	Added attribute File Name.	Theron Fox	

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1 Overview

1.1 Introduction

The eCAPS team has identified a requirement to create a reconciliation trailer record on all interface files. The requirement is for the departments to list a record count and where appropriate the total number of documents on your file, as well as the total dollars to be accounted for in the file, on a trailer record.

1.2 Logical Document Component Structure

For the purposes of all inbound interfaces, the documents are comprised of multiple components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given record.
2. **Header (HDR):** Describes "header" information about the record, e.g. Fiscal Year, Record Date and Document ID.
3. **Vendor (VEND):** Describes the vendor information for the given record. (This is a component of most interface records.)
4. **Line Group (LNGRP):** Describes the grouping of accounting lines on journal voucher records. (This component replaces VEND for journal vouchers.)
5. **Accounting Lines (ACTG):** Identifies the accounting information for the given record.
6. **Trailer (TRL):** Describes reconciliation information about the file.

2 Document Specification

2.1 Trailer Record Layout

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
TRAILER_ID	Trailer ID	This value identifies the flat file record as the trailer record. The value is TRL.	R	Text	3	"**TRL**"
FILE_NAME	File Name		R	Text	32	Example: ECAPS_AU_TWR_CARS_20050101
RECORD_COUNT	Record Count	The count of all records / record types in this file.	R	Numeric	10	Count of all records in the file. This includes all record types. Include the trailer record in the count.
HEADER_COUNT	Header Count	The count of all header (HDR) records in this file.	R	Numeric	10	Count of all HDR records in the file.
SUM_AMT1	Summary Amount 1	Summary total of dollar amounts.	R	Numeric	(16,2)	If not a JV, then the sum of all line amounts (LN_AM) from the ACTG records. If a JV, then the sum of all credit amounts (CR_AM) from the ACTG records.
SUM_AMT2	Summary Amount 2	Summary total of dollar amounts.	CR	Numeric	(16,2)	If not a JV, then leave blank. If a JV, then the sum of all debit amounts (DR_AM) from the ACTG records.

Inbound Interface Design Document for Prior Year Fiscal Payment (PFY)

Prepared for

County of Los Angeles eCAPS Project

April 5, 2005
Version 1.2

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 2/7/05	Initial draft of the PFY Specification for Inbound Interface of payment requests.	Jay Davidson	James Colbert
V1.0 – 2/8/05	County review	Jay Davidson	Merrilee St. John
V1.1 – 3/25/05	Updated Sub Unit Code to Prohibited.	Jay Davidson	
V1.2 – 4/5/05	Updated Project to be 10 characters in length.	Jay Davidson	

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_GAX_GENERIC8_20041123

Record Types

The PFY files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the payment. Each HDR (header) record will be followed by one VND (vendor) record. The VND record will contain the payee information. The VND (vendor) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized PFY file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Vendor record 1 (VND)	Vendor record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, vendor and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

- Attribute – The name of the data element in the database.
- Caption – The field name of the data element.
- Description – A textual description of the data element.
- R/C – Required/Conditional.
  - Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
  - Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
  - Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
  - Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.
- Type – The data type of the data element.
  - Date – Date Format ”MMDDYYYY”
  - Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
  - Flag –True/False. True conditions = 1, False conditions = 0.
  - Text – Alphanumeric text field with a maximum number as defined for each field.
  - Numeric – Numeric value, a whole number.
  - Size – The (numeric) size of the data element
- eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Currently, some departments generate payment requests directly in their own independent external systems. For encumbered payments departments interface a Payment Voucher (PV) document to CAPS. Non-encumbered payments are processed outside of CAPS using other systems such as the Special Warrant Writing (SWW) system.

1.3.2 New eCAPS Process

In eCAPS, encumbered, non-encumbered, and trust payments can be processed directly online or interfaced through a batch process. This system interface design addresses payments for prior fiscal year encumbrances (commitments and expenditure accruals). The Prior Fiscal Year Payment (PFY) document will be used for expenditure payments and requires a reference to an encumbrance document. The PFY payment will require the Object Chart of Account element to be coded on the accounting line. The PFY payment will update budget tracking amount fields for the budget fiscal referenced on the encumbrance.

1.3.3 Assumptions

1. A document reference is required for encumbered payments.
2. Only one vendor will be specified per payment request.
3. The PFY document references eCAPS encumbrance documents on the accounting line. Chart of accounts elements are inferred onto the PFY document from the encumbrance document.
4. Payment request cancellations will not be interfaced. This means payment requests can not be deleted through the interface process. To cancel payment requests this will be done online in eCAPS.
5. The Bank Account Code to be specified on interface documents will be distributed at a later date.
6. The default Event Type for the PFY document is AP01 and does not need to be specified on the interface transaction. The minimal required COA fields are Fund, Department, Unit, and Object.
7. If a vendor code has been established in eCAPS for a payee then the vendor code should be used on the payment request instead of a miscellaneous vendor code. Vendor codes are established in eCAPS for a number of reasons such as 1099 eligible and direct deposit.
8. Vendor codes setup on the eCAPS vendor file have all the information required to process a payment request.

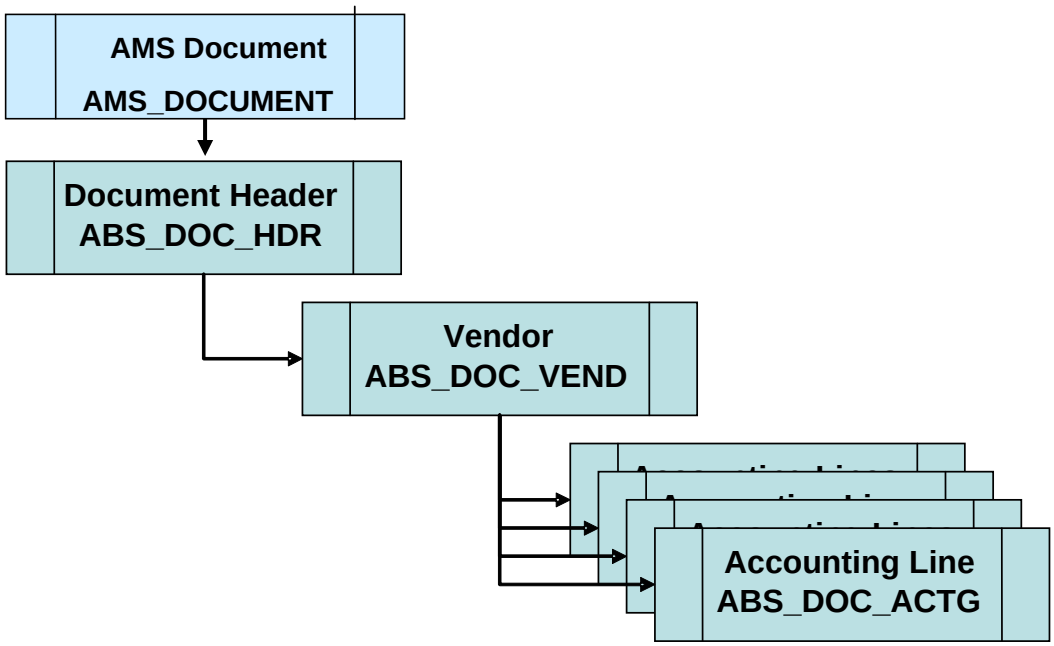
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the PFY document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given payment record.
2. **Accounting Based Spending Document Header (ABS_DOC_HDR):** Describes "header" information about the payment record, e.g. Fiscal Year, Record Date and Document ID.
3. **Accounting Based Spending Vendor (ABS_DOC_VEND):** Describes the vendor information for the given payment record.
4. **Accounting Based Spending Accounting Lines (ABS_DOC_ACTG):** Identifies the accounting information for the given payment record.

Exhibit 1 graphically illustrates these components of the GAX document interface specification.

Exhibit 1: PFY Document Components



2 Document Specification

2.1 PFY Transaction Layout

		Action		
		Original entry	**Modification**	**Component description**
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	ABS_DOC_HDR	Required	Required	General information associated with the entire payment.
	ABS_DOC_VEND	Required	Required	Payee information.
	ABS_DOC_ACTG	Required	Required	Accounting data elements used for payment.

2.2 PFY Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. The value "PFY" indicates a prior fiscal year payment.	R	Text	5	"**PFY** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Five character Unit code such as "15765"
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interfaces. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 PFY Document Component: ABS_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the payment is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date "MMDDYYYY" Example: "10232004"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example "2004". Otherwise leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: "2005". Otherwise leave blank.
DOC_PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. This code is the key to the Bank (BANK) table. A bank account code is used in place of the actual bank account to prevent the posting of actual bank account numbers throughout the system.	R	Text	4	This value is constant. Information on Bank Account will be distributed at a later date. Must be valid on Bank (**BANK**) table.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	

2.4 PFY Document Component: ABS_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Vendor record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	R	Text	20	If a vendor code is specified on the interface then all Payee information, such as Name and Address, are inferred from Vendor File. Vendor codes are established for reasons such as 1099 eligible or direct deposit. If a miscellaneous vendor code is specified on the interface then Payee information must be provided on the payment request, such as Legal Name, Address 1, and City. Must be valid on Vendor Customer (**VCUST**) table. Vendor Customer (**VEND_CUST_CD**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous vendor is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	O	Text	60	This field can be used as the second vendor name.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	O	Text	20	If an address other than the default payment address is desired then an alternate address code must be specified.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous vendor is used, this field is required.	CR	Text	75	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
AD_LN_2	Address Line 2	The second line of the address.	O	Text	75	Can be used to specify foreign country address information.
CITY	City	The city name associated with the address. If a miscellaneous vendor (MISC) is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
ST	State	The state or province.	CR	Text	2	Field is required when using miscellaneous vendor code.
ZIP	Zip	The zip code associated with the address.	CR	Text	10	Field is required when using miscellaneous vendor code. Can be used to specify foreign address information.
CTRY	Country	The unique identification code associated with the country.	O	Text	3	
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	O	Text	5	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	O	Text	20	
PRIN_CNTAC	Vendor Contact Name	The vendor's procurement contact.	O	Text	60	
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	O	Text	30	
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	O	Text	6	
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	O	Text	100	
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	O	Text	30	
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	O	Text	6	
WEB_AD	Web Address http: //	The web address for this company/individual.	O	Text	100	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_DISB_CAT	Disbursement Category	The Disbursement Category associated with the document. Disbursement Category contains contact information from the department making the payment request and will be printed on the check. Disbursement Category also determines the type of warrant stub produced.	R	Text	4	Information for which Disbursement Category to use will be distributed to Departments. Must be valid on Disbursement Category (**DISC**) table. Disbursement Category (**VEND_DISB_CAT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
SCHED_PYMT_DT	Schedule Payment Date	The date that a payment request is scheduled to be processed.	O	Date	8	Format of Date "MMDDYYYY" Scheduled Payment Date cannot be less than the current date. If left blank this field will default to current system date. Scheduled Payment Date (**SCHED_PYMT_DT**) cannot be modified and must contain the same value as the Original Entry (**OE**) if **DOC_IMPORT_MODE** is equal to '**MOD**'.
DISB_PRTY_CD	Disbursement Priority	This field determines the order in which a disbursement is processed during the Automated Disbursement process. Must be valid on the Disbursement Priority page.	O	Numeric	2	Leave blank.
DFLT_DISB_FRMT	Disbursement Format	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	O	Text	4	Leave blank.
HDLG_CD	Handling Code	The code associated with individual types of disbursement instrument handling.	O	Text	2	List of handling codes will be distributed at a later date.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_SNGL_CHK_FL	Single Payment	The Single Payment flag indicates if multiple disbursements should be combined into a single payment for this vendor. When checked on the vendor line of a Payment Request either manually or inferred from the Vendor (VCUST) table, all accounting lines under that vendor line lead to a single payment instrument. A second request for payment with the flag checked for the same vendor would not be combined with the first, but would be a second payment instrument.	R	Flag	1	Must be true with a value of "1". This indicates that payments will not be consolidated.
PAY_THRD_PTY	Pay Third Party	When a Payment Request (PRC) or General Account Expenditure document (GAX) is entered and the payment should be made to the third party, the Third Party flag must be selected. Otherwise, the payment will be made to the primary vendor. The third party vendor must exist in the system, and must have a relationship established with the primary vendor on the Vendor Customer table. (The primary vendor must identify the vendor code of its third party.) When a payment is flagged to the third party on the Vendor Line, the PRC document will infer the third party information to the Payee fields on the Disbursement Request table (DRT).	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_1_DY	Days 1	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	Example: " 10". If payment is made in 10 days then the discount can be taken.
DISC_2_DY	Days 2	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_3_DY	Days 3	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_4_DY	Days 4	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_1_PC	Percent 1	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	Example: " 2.0". If payment is made within the specified number of days then a 2% discount can be taken.
DISC_2_PC	Percent 2	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_3_PC	Percent 3	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_4_PC	Percent 4	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_ALW_1_FL	Discount Always 1	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”. This field indicates that discount should always be taken even if paid after the specified number of days. False value is “0” True value is “1”
DISC_ALW_2_FL	Discount Always 2	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
DISC_ALW_3_FL	Discount Always 3	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_ALW_4_FL	Discount Always 4	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
LGCY_SYSTM	Legacy System Name	Allows interfacing departments to indicate the name of the source system that generated the payment request. This field will be stored in eCAPS and can be used in reports.	O	Text	30	Valid Legacy System Names will be provided at a later date. The value specified must be valid on the Legacy System Name Coded Value List (CVL). Must specify Legacy Reference Number if this field is populated.
LGCY_REF_CD	Legacy Reference Number	Allows interfacing departments to indicate a unique code for each payment request. The unique code may be a case number or vendor code that is not stored on the eCAPS vendor file. If the vendor code is stored in eCAPS then this value will duplicate the VEND_CUST_CD. This field will be stored in eCAPS and can be used in reports.	O	Text	20	Examples of Legacy Reference Number are Vendor Code, Case Number, PIN, or Agency Code. Must specify Legacy Source System Name if this field is populated.

2.5 PFY Document Component: ABS_DOC_ACTG

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is ‘ACT’.	R	Text	3	“**ACT**”

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Num eric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Num eric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Num eric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	O	Text	4	Leave blank. The default event type is for GAX is AP01 – Authorize Normal Payment.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template, which will contain information. Use of the Account Template will default Chart of Accounts information for the Accounting Line. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, vendor line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	(12,2)	To specify a payment of 3,000.13 the following is the format: Example: “ 3000.13” The Line Amount (**LN_AM**) can be used for modification increases and decreases.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example “2004”. Otherwise leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: “2005”. Otherwise leave blank.
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: “13”. Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_INV_NO	Vendor Invoice Number	The invoice number from the invoice received from the vendor.	O	Text	30	If populated the Vendor Invoice Number field is used to check for duplicate payments made to a vendor.
VEND_INV_LN_NO	Vendor Invoice Line	The invoice line number from the invoice received from the vendor.	CR	Numeric	4	If VEND_INV_NO is populated then the Vendor Invoice Line must also be populated. Line numbering begins at 1 and is only incremental for additional lines with the same invoice number
VEND_INV_DT	Vendor Invoice Date	The date of the invoice received from the vendor.	CR	Date	8	Format of Date “MMDDYYYY” If VEND_INV_NO is populated then the Vendor Invoice Date must also be populated. Vendor Invoice Date (**VEND_INV_DT**) cannot be modified if **DOC_IMPORT_MODE** is equal to ‘**MOD**’.
TRKG_DT	Tracking Date	Provides the ability to record or track any date related to the invoice or payment of goods and services.	O	Date	8	Format of Date “MMDDYYYY”
CHK_DSCR	Check Description	The text to be printed on the check stub. The check stub will contain 15 text lines with a maximum of 75 characters per line. Text in this field can be aligned in column format.	O	Text	1,125	A carriage return will be applied after every 75 characters. Only text on accounting line 1 will be printed on the check stub.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced eCAPS document.	R	Text	5	Example Ref Doc Code: “GAED” for a General Accounting Encumbrance document
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced eCAPS document.	R	Text	2	Example Ref Doc Dept: “PW” for a General Accounting Encumbrance document
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced eCAPS document.	R	Text	11	Example Ref Doc Id: “P0006” for a General Accounting Encumbrance document

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RFED_VEND_LN_NO	Ref Vendor Line	The vendor line number from the referenced eCAPS document.	R	Numeric	2	Value: " 1"
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced eCAPS document.	R	Numeric	4	Value: " 1" and is incrementing based on the number of referenced accounting lines
RF_TYP	Ref Type	Defines the type of reference being performed against the specified referenced eCAPS transaction line. "Final" closes the referenced line, meaning additional references are not allowed. "Partial" does not close the referenced line, allowing additional transactions to reference this line.	R	Numeric	1	Values are as follows: "1" – **Partial** "2" – **Final**
FUND_CD	Fund	The identification code associated with a fund.	R	Text	4	Must be valid on Fund (**FUND**) table. If left blank, will be inferred from referenced document.
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	O	Text	4	Must be valid on Sub Fund (**SFUND**) table. If left blank, will be inferred from referenced document.
DEPT_CD	Department	An identification code associated with a department.	R	Text	2	Must be valid on Department (**DEPT**) table. If left blank, will be inferred from referenced document.
UNIT_CD	Unit	An identification code associated with a Unit.	R	Text	5	Must be valid on Unit (**UNIT**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	R	Text	4	Must be valid on Object (**OBJ**) table. If left blank, will be inferred from referenced document.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	O	Text	4	Must be valid on Sub Object (**SOBJ**) table. If left blank, will be inferred from referenced document.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub-revenue source.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	P	Text	4	Leave blank.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	O	Text	4	Must be valid on Department Object (**DOBJ**) table. If left blank, will be inferred from referenced document.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	O	Text	4	Must be valid on Location (**LOC**) table. If left blank, will be inferred from referenced document.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	O	Text	4	Must be valid on Sub Location (**SLOC**) table. If left blank, will be inferred from referenced document.
ACTV_CD	Activity	The identification code associated with the activity.	O	Text	4	Must be valid on Activity (**ACTV**) table. If left blank, will be inferred from referenced document.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	O	Text	4	Must be valid on Sub Activity (**SACTV**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	O	Text	4	Must be valid on Function (**FUNC**) table. If left blank, will be inferred from referenced document.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	O	Text	4	Must be valid on Sub Function (**SFUNC**) table. If left blank, will be inferred from referenced document.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	O	Text	10	Must be valid on Reporting (**RPT**) table. If left blank, will be inferred from referenced document.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	O	Text	4	Must be valid on Sub Reporting (**SRPT**) table. If left blank, will be inferred from referenced document.
TASK_CD	Task	The unique identification code assigned to the task.	O	Text	4	Must be valid on Task (**TASK**) table. If left blank, will be inferred from referenced document.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	O	Text	4	Must be valid on Sub Task (**STASK**) table. If left blank, will be inferred from referenced document.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	O	Text	6	Must be valid on Task Order (**TASKORD**) table. If left blank, will be inferred from referenced document.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	O	Text	10	Must be valid on Project (**PROG**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	O	Text	6	Must be valid on Phase (**PHASE**) table. If left blank, will be inferred from referenced document.
PPC_CD	Project Period	The identification code assigned to the project period.	O	Text	6	Must be valid on Project Period (**PPC**) table. If left blank, will be inferred from referenced document.
SVC_FRM_DT	Service From Date	The service from date from the Payment Request document.	O	Date	8	Format of Date “MMDDYYYY” The **SVC_FRM_DT** is the From Date that goods/services were received. The date is also used in discount calculation.
SVC_TO_DT	Service To Date	The service to date from the Payment Request document	O	Date	8	Format of Date “MMDDYYYY” The **SVC_TO_DT** is the To Date that goods/services were received. The date is also used in discount calculation.
SPC_INST_CD	Special Instructions Code	The unique code for the Special Instructions record stored on the Special Instructions table. This field holds up to 4 characters of text.	P	Text	4	Leave blank.

Inbound Interface Design Document for Prior Year Fiscal Payment (PFY)

Prepared for

County of Los Angeles eCAPS Project

April 5, 2005
Version 1.2

Revision Log

Version / Date	Summary of Changes	Author	Reviewers
V0.1 – 2/7/05	Initial draft of the PFY Specification for Inbound Interface of payment requests.	Jay Davidson	James Colbert
V1.0 – 2/8/05	County review	Jay Davidson	Merrilee St. John
V1.1 – 3/25/05	Updated Sub Unit Code to Prohibited.	Jay Davidson	
V1.2 – 4/5/05	Updated Project to be 10 characters in length.	Jay Davidson	

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_GAX_GENERIC8_20041123

Record Types

The PFY files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the payment. Each HDR (header) record will be followed by one VND (vendor) record. The VND record will contain the payee information. The VND (vendor) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized PFY file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Vendor record 1 (VND)	Vendor record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, vendor and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

- Attribute – The name of the data element in the database.
- Caption – The field name of the data element.
- Description – A textual description of the data element.
- R/C – Required/Conditional.
  - Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
  - Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
  - Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
  - Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.
- Type – The data type of the data element.
  - Date – Date Format ”MMDDYYYY”
  - Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
  - Flag –True/False. True conditions = 1, False conditions = 0.
  - Text – Alphanumeric text field with a maximum number as defined for each field.
  - Numeric – Numeric value, a whole number.
  - Size – The (numeric) size of the data element
- eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Currently, some departments generate payment requests directly in their own independent external systems. For encumbered payments departments interface a Payment Voucher (PV) document to CAPS. Non-encumbered payments are processed outside of CAPS using other systems such as the Special Warrant Writing (SWW) system.

1.3.2 New eCAPS Process

In eCAPS, encumbered, non-encumbered, and trust payments can be processed directly online or interfaced through a batch process. This system interface design addresses payments for prior fiscal year encumbrances (commitments and expenditure accruals). The Prior Fiscal Year Payment (PFY) document will be used for expenditure payments and requires a reference to an encumbrance document. The PFY payment will require the Object Chart of Account element to be coded on the accounting line. The PFY payment will update budget tracking amount fields for the budget fiscal referenced on the encumbrance.

1.3.3 Assumptions

1. A document reference is required for encumbered payments.
2. Only one vendor will be specified per payment request.
3. The PFY document references eCAPS encumbrance documents on the accounting line. Chart of accounts elements are inferred onto the PFY document from the encumbrance document.
4. Payment request cancellations will not be interfaced. This means payment requests can not be deleted through the interface process. To cancel payment requests this will be done online in eCAPS.
5. The Bank Account Code to be specified on interface documents will be distributed at a later date.
6. The default Event Type for the PFY document is AP01 and does not need to be specified on the interface transaction. The minimal required COA fields are Fund, Department, Unit, and Object.
7. If a vendor code has been established in eCAPS for a payee then the vendor code should be used on the payment request instead of a miscellaneous vendor code. Vendor codes are established in eCAPS for a number of reasons such as 1099 eligible and direct deposit.
8. Vendor codes setup on the eCAPS vendor file have all the information required to process a payment request.

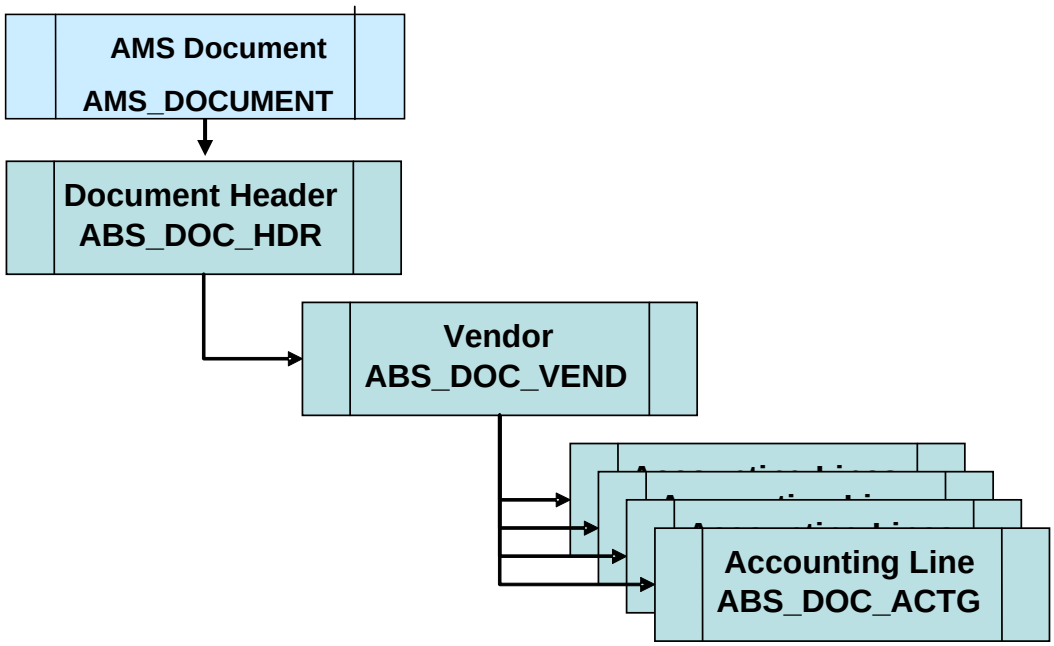
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the PFY document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given payment record.
2. **Accounting Based Spending Document Header (ABS_DOC_HDR):** Describes "header" information about the payment record, e.g. Fiscal Year, Record Date and Document ID.
3. **Accounting Based Spending Vendor (ABS_DOC_VEND):** Describes the vendor information for the given payment record.
4. **Accounting Based Spending Accounting Lines (ABS_DOC_ACTG):** Identifies the accounting information for the given payment record.

Exhibit 1 graphically illustrates these components of the GAX document interface specification.

Exhibit 1: PFY Document Components



2 Document Specification

2.1 PFY Transaction Layout

		Action		
		Original entry	**Modification**	**Component description**
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	ABS_DOC_HDR	Required	Required	General information associated with the entire payment.
	ABS_DOC_VEND	Required	Required	Payee information.
	ABS_DOC_ACTG	Required	Required	Accounting data elements used for payment.

2.2 PFY Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type. For this type of payment request, the value is "ABS".	R	Text	5	"**ABS** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. The value "PFY" indicates a prior fiscal year payment.	R	Text	5	"**PFY** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Five character Unit code such as "15765"
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interfaces. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 PFY Document Component: ABS_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the payment is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date "MMDDYYYY" Example: "10232004"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example "2004". Otherwise leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: "2005". Otherwise leave blank.
DOC_PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: "13". Otherwise leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. This code is the key to the Bank (BANK) table. A bank account code is used in place of the actual bank account to prevent the posting of actual bank account numbers throughout the system.	R	Text	4	This value is constant. Information on Bank Account will be distributed at a later date. Must be valid on Bank (**BANK**) table.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	

2.4 PFY Document Component: ABS_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Vendor record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Numeric	2	Value: " **1**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	R	Text	20	If a vendor code is specified on the interface then all Payee information, such as Name and Address, are inferred from Vendor File. Vendor codes are established for reasons such as 1099 eligible or direct deposit. If a miscellaneous vendor code is specified on the interface then Payee information must be provided on the payment request, such as Legal Name, Address 1, and City. Must be valid on Vendor Customer (**VCUST**) table. Vendor Customer (**VEND_CUST_CD**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous vendor is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	O	Text	60	This field can be used as the second vendor name.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	O	Text	20	If an address other than the default payment address is desired then an alternate address code must be specified.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous vendor is used, this field is required.	CR	Text	75	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
AD_LN_2	Address Line 2	The second line of the address.	O	Text	75	Can be used to specify foreign country address information.
CITY	City	The city name associated with the address. If a miscellaneous vendor (MISC) is used, this field is required.	CR	Text	60	Field is required when using miscellaneous vendor code. Can be used to specify foreign country address information.
ST	State	The state or province.	CR	Text	2	Field is required when using miscellaneous vendor code.
ZIP	Zip	The zip code associated with the address.	CR	Text	10	Field is required when using miscellaneous vendor code. Can be used to specify foreign address information.
CTRY	Country	The unique identification code associated with the country.	O	Text	3	
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	O	Text	5	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	O	Text	20	
PRIN_CNTAC	Vendor Contact Name	The vendor's procurement contact.	O	Text	60	
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	O	Text	30	
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	O	Text	6	
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	O	Text	100	
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	O	Text	30	
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	O	Text	6	
WEB_AD	Web Address http: //	The web address for this company/individual.	O	Text	100	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_DISB_CAT	Disbursement Category	The Disbursement Category associated with the document. Disbursement Category contains contact information from the department making the payment request and will be printed on the check. Disbursement Category also determines the type of warrant stub produced.	R	Text	4	Information for which Disbursement Category to use will be distributed to Departments. Must be valid on Disbursement Category (**DISC**) table. Disbursement Category (**VEND_DISB_CAT**) cannot be modified if **DOC_IMPORT_MODE** is equal to '**MOD**'.
SCHED_PYMT_DT	Schedule Payment Date	The date that a payment request is scheduled to be processed.	O	Date	8	Format of Date "MMDDYYYY" Scheduled Payment Date cannot be less than the current date. If left blank this field will default to current system date. Scheduled Payment Date (**SCHED_PYMT_DT**) cannot be modified and must contain the same value as the Original Entry (**OE**) if **DOC_IMPORT_MODE** is equal to '**MOD**'.
DISB_PRTY_CD	Disbursement Priority	This field determines the order in which a disbursement is processed during the Automated Disbursement process. Must be valid on the Disbursement Priority page.	O	Numeric	2	Leave blank.
DFLT_DISB_FRMT	Disbursement Format	The default disbursement format to be used when generating payments to this record. Must be valid on the Disbursement Format page.	O	Text	4	Leave blank.
HDLG_CD	Handling Code	The code associated with individual types of disbursement instrument handling.	O	Text	2	List of handling codes will be distributed at a later date.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_SNGL_CHK_FL	Single Payment	The Single Payment flag indicates if multiple disbursements should be combined into a single payment for this vendor. When checked on the vendor line of a Payment Request either manually or inferred from the Vendor (VCUST) table, all accounting lines under that vendor line lead to a single payment instrument. A second request for payment with the flag checked for the same vendor would not be combined with the first, but would be a second payment instrument.	R	Flag	1	Must be true with a value of "1". This indicates that payments will not be consolidated.
PAY_THRD_PTY	Pay Third Party	When a Payment Request (PRC) or General Account Expenditure document (GAX) is entered and the payment should be made to the third party, the Third Party flag must be selected. Otherwise, the payment will be made to the primary vendor. The third party vendor must exist in the system, and must have a relationship established with the primary vendor on the Vendor Customer table. (The primary vendor must identify the vendor code of its third party.) When a payment is flagged to the third party on the Vendor Line, the PRC document will infer the third party information to the Payee fields on the Disbursement Request table (DRT).	P	Flag	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_1_DY	Days 1	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	Example: " 10". If payment is made in 10 days then the discount can be taken.
DISC_2_DY	Days 2	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_3_DY	Days 3	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_4_DY	Days 4	The number of days from the Invoice Date (or Scheduled Payment Date if Invoice Date is not entered), that the corresponding Discount Percentage will be used.	O	Numeric	3	
DISC_1_PC	Percent 1	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	Example: " 2.0". If payment is made within the specified number of days then a 2% discount can be taken.
DISC_2_PC	Percent 2	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_3_PC	Percent 3	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_4_PC	Percent 4	The percentage to be used to calculate the discount amount if the payment is made within the specified number of days.	O	Decimal	(3,4)	
DISC_ALW_1_FL	Discount Always 1	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”. This field indicates that discount should always be taken even if paid after the specified number of days. False value is “0” True value is “1”
DISC_ALW_2_FL	Discount Always 2	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
DISC_ALW_3_FL	Discount Always 3	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DISC_ALW_4_FL	Discount Always 4	When selected, indicates that all other subsequent discount terms no longer apply. The discount always applies, even if the number of net days has passed. Default is cleared. Only one of the discount always flags can be selected at any given time.	O	Flag	1	Default value is “false”.
LGCY_SYSTM	Legacy System Name	Allows interfacing departments to indicate the name of the source system that generated the payment request. This field will be stored in eCAPS and can be used in reports.	O	Text	30	Valid Legacy System Names will be provided at a later date. The value specified must be valid on the Legacy System Name Coded Value List (CVL). Must specify Legacy Reference Number if this field is populated.
LGCY_REF_CD	Legacy Reference Number	Allows interfacing departments to indicate a unique code for each payment request. The unique code may be a case number or vendor code that is not stored on the eCAPS vendor file. If the vendor code is stored in eCAPS then this value will duplicate the VEND_CUST_CD. This field will be stored in eCAPS and can be used in reports.	O	Text	20	Examples of Legacy Reference Number are Vendor Code, Case Number, PIN, or Agency Code. Must specify Legacy Source System Name if this field is populated.

2.5 PFY Document Component: ABS_DOC_ACTG

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is ‘ACT’.	R	Text	3	“**ACT**”

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. PFY indicates a prior fiscal year payment.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The document code and number that is either manually assigned or automatically generated by the system if you do not enter this information. Duplicate document identification numbers are not allowed in the system.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document. The version is incremented with each modification draft.	R	Num eric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The vendor line number visible to a user that uniquely identifies each vendor line within a document.	R	Num eric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Num eric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	O	Text	4	Leave blank. The default event type is for GAX is AP01 – Authorize Normal Payment.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template, which will contain information. Use of the Account Template will default Chart of Accounts information for the Accounting Line. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, vendor line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	(12,2)	To specify a payment of 3,000.13 the following is the format: Example: “ 3000.13” The Line Amount (**LN_AM**) can be used for modification increases and decreases.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	If commitment, enter the Budget FY for which the encumbrance was established. Example “2004”. Otherwise leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	O	Numeric	4	If posted to the 13th accounting period then fiscal year must be provided. Example: “2005”. Otherwise leave blank.
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	O	Numeric	2	If posted to the 13th accounting period then fiscal year must be provided. Example: “13”. Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VEND_INV_NO	Vendor Invoice Number	The invoice number from the invoice received from the vendor.	O	Text	30	If populated the Vendor Invoice Number field is used to check for duplicate payments made to a vendor.
VEND_INV_LN_NO	Vendor Invoice Line	The invoice line number from the invoice received from the vendor.	CR	Numeric	4	If VEND_INV_NO is populated then the Vendor Invoice Line must also be populated. Line numbering begins at 1 and is only incremental for additional lines with the same invoice number
VEND_INV_DT	Vendor Invoice Date	The date of the invoice received from the vendor.	CR	Date	8	Format of Date “MMDDYYYY” If VEND_INV_NO is populated then the Vendor Invoice Date must also be populated. Vendor Invoice Date (**VEND_INV_DT**) cannot be modified if **DOC_IMPORT_MODE** is equal to ‘**MOD**’.
TRKG_DT	Tracking Date	Provides the ability to record or track any date related to the invoice or payment of goods and services.	O	Date	8	Format of Date “MMDDYYYY”
CHK_DSCR	Check Description	The text to be printed on the check stub. The check stub will contain 15 text lines with a maximum of 75 characters per line. Text in this field can be aligned in column format.	O	Text	1,125	A carriage return will be applied after every 75 characters. Only text on accounting line 1 will be printed on the check stub.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced eCAPS document.	R	Text	5	Example Ref Doc Code: “GAED” for a General Accounting Encumbrance document
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced eCAPS document.	R	Text	2	Example Ref Doc Dept: “PW” for a General Accounting Encumbrance document
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced eCAPS document.	R	Text	11	Example Ref Doc Id: “P0006” for a General Accounting Encumbrance document

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RFED_VEND_LN_NO	Ref Vendor Line	The vendor line number from the referenced eCAPS document.	R	Numeric	2	Value: " 1"
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced eCAPS document.	R	Numeric	4	Value: " 1" and is incrementing based on the number of referenced accounting lines
RF_TYP	Ref Type	Defines the type of reference being performed against the specified referenced eCAPS transaction line. "Final" closes the referenced line, meaning additional references are not allowed. "Partial" does not close the referenced line, allowing additional transactions to reference this line.	R	Numeric	1	Values are as follows: "1" – **Partial** "2" – **Final**
FUND_CD	Fund	The identification code associated with a fund.	R	Text	4	Must be valid on Fund (**FUND**) table. If left blank, will be inferred from referenced document.
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	O	Text	4	Must be valid on Sub Fund (**SFUND**) table. If left blank, will be inferred from referenced document.
DEPT_CD	Department	An identification code associated with a department.	R	Text	2	Must be valid on Department (**DEPT**) table. If left blank, will be inferred from referenced document.
UNIT_CD	Unit	An identification code associated with a Unit.	R	Text	5	Must be valid on Unit (**UNIT**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	R	Text	4	Must be valid on Object (**OBJ**) table. If left blank, will be inferred from referenced document.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	O	Text	4	Must be valid on Sub Object (**SOBJ**) table. If left blank, will be inferred from referenced document.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub-revenue source.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	P	Text	4	Leave blank.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	O	Text	4	Must be valid on Department Object (**DOBJ**) table. If left blank, will be inferred from referenced document.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	O	Text	4	Must be valid on Location (**LOC**) table. If left blank, will be inferred from referenced document.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	O	Text	4	Must be valid on Sub Location (**SLOC**) table. If left blank, will be inferred from referenced document.
ACTV_CD	Activity	The identification code associated with the activity.	O	Text	4	Must be valid on Activity (**ACTV**) table. If left blank, will be inferred from referenced document.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	O	Text	4	Must be valid on Sub Activity (**SACTV**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	O	Text	4	Must be valid on Function (**FUNC**) table. If left blank, will be inferred from referenced document.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	O	Text	4	Must be valid on Sub Function (**SFUNC**) table. If left blank, will be inferred from referenced document.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	O	Text	10	Must be valid on Reporting (**RPT**) table. If left blank, will be inferred from referenced document.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	O	Text	4	Must be valid on Sub Reporting (**SRPT**) table. If left blank, will be inferred from referenced document.
TASK_CD	Task	The unique identification code assigned to the task.	O	Text	4	Must be valid on Task (**TASK**) table. If left blank, will be inferred from referenced document.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	O	Text	4	Must be valid on Sub Task (**STASK**) table. If left blank, will be inferred from referenced document.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	O	Text	6	Must be valid on Task Order (**TASKORD**) table. If left blank, will be inferred from referenced document.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	O	Text	10	Must be valid on Project (**PROG**) table. If left blank, will be inferred from referenced document.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	O	Text	6	Must be valid on Phase (**PHASE**) table. If left blank, will be inferred from referenced document.
PPC_CD	Project Period	The identification code assigned to the project period.	O	Text	6	Must be valid on Project Period (**PPC**) table. If left blank, will be inferred from referenced document.
SVC_FRM_DT	Service From Date	The service from date from the Payment Request document.	O	Date	8	Format of Date “MMDDYYYY” The **SVC_FRM_DT** is the From Date that goods/services were received. The date is also used in discount calculation.
SVC_TO_DT	Service To Date	The service to date from the Payment Request document	O	Date	8	Format of Date “MMDDYYYY” The **SVC_TO_DT** is the To Date that goods/services were received. The date is also used in discount calculation.
SPC_INST_CD	Special Instructions Code	The unique code for the Special Instructions record stored on the Special Instructions table. This field holds up to 4 characters of text.	P	Text	4	Leave blank.

Inbound Interface Design Document for Journal Voucher Cash Transfer (JVCT)

Prepared for

County of Los Angeles eCAPS Project

April 5, 2005
Version 1.2

Revision Log

Version/Date	Summary of Changes	Author	Reviewers
V0.1 – 11/14/04	Initial draft of the CR Specification for Inbound Interface of cash receipt requests.	Jay Davidson	James Colbert, Ben Thompson & Martha Zavala
V1.0 – 11/18/04	LA County Review	Ben Thompson	Martha Zavala
V1.1 – 2/2/05	• Changed name of document from Cash Receipt (CR) to Journal Voucher Cash Transfer (JVCT). • Updated Section 1.3.2 New eCAPS Process • Insered Section 1.3.3 Event Types • Updated Section 1.3.4 Assumptions #1 and #8. • Inserted Section 1.3.4 Assumptions #3. • Deleted Section 1.3.4 Assumptions #8.	Jay Davidson	Merrilee St. John and John Naimo
V1.2 – 4/5/05	• Updated AR Dept to be 2 characters in length. • Updated Sub Unit to be 5 characters in length. • Updated Project to be 10 characters in length.	Jay Davidson	

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1 Overview

1.1 Introduction

This document is being distributed to the departments to assist in their preparation of their interface files to the new eCAPS system. The eCAPS interface team will be available to assist the departments with their analysis of how to map their current files to the new eCAPS files, or with any other technical concern that arises during this process. The new eCAPS system has standard documents (i.e., transactions) that it processes. Consequently, all existing interfaces will have to be mapped to one or more of these documents. Our approach is to identify the appropriate document codes for the departments to prepare a standardized flat file that will map to that document code within eCAPS. This document details the exact specifications for accomplishing this.

Interface Files

We are asking for all standardized interface files to be prepared by the departments without the use of binary or packed data, and that they follow this naming convention:

- The first node should be eCAPS
- The second node should be a two byte eCAPS department id (e.g., SH, PW, SS, CH, etc.)
- The third node should be a two to five byte eCAPS document code
- The fourth node should be a maximum of eight bytes for the department file id (to be assigned in the future)
- The fifth node should be the date (format YYYYMMDD) the interface file is generated.

An example of this interface file naming convention is:

ECAPS_SS_JVCT_GENERIC8_20041106

Record Types

The JVCT files prepared by the departments will have four record types. The record type will be the first three bytes of each record. The ADC (document) record will contain unique document related information. The ADC (document) record will be followed by a HDR (header) record which will contain the general information associated with the journal voucher cash transfer. Each HDR (header) record will be followed by one VND (customer) record. The VND record will contain the customer information. The VND (customer) record must be followed by one or more ACT (accounting line) records. The ACT (accounting line) records will contain the accounting

data elements. ACT (accounting line) records are the only record types that may immediately repeat in the file.

Therefore the file structure of the standardized JVCT file will be as follows:

Single accounting line example	Multiple accounting line example
Document record 1 (ADC)	Document record 1 (ADC)
Header record 1 (HDR)	Header record 1 (HDR)
Customer record 1 (VND)	Customer record 1 (VND)
Accounting Line record 1 (ACT)	Accounting Line record 1 (ACT)
	Accounting Line record 2 (ACT)
	Accounting Line record 3 (ACT)

The Document ID attribute value on the Document (ADC) record must be the same on all associated header, customer and accounting line records to associate the four record types as a single document within eCAPS.

1.2 Document Definitions and Conventions

This section describes/defines the naming conventions applied in this document.

Y Attribute – The name of the data element in the database.

Y Caption – The field name of the data element.

Y Description – A textual description of the data element.

Y R/C – Required/Conditional.

- Required (**R**) specifies that the data element is required by the interface for the transaction to successfully process.
- Conditionally Required (**CR**) means that specified conditions must be adhered to by the interface for the transaction to process successfully. When not required the field can be spaces.
- Optional (**O**) specifies that the data element is optional by the interface and can be populated with spaces.
- Prohibited (**P**) means that for this transaction the data element is prohibited and must be populated with spaces.

Y Type – The data type of the data element.

- Date – Date Format ”MMDDYYYY”
- Decimal – Numeric value with a specified decimal position (9,3) = 999999999.999. Negative numbers must be prefixed with a negative sign.
- Flag –True/False. True conditions = 1, False conditions = 0.
- Text – Alphanumeric text field with a maximum number as defined for each field.
- Numeric – Numeric value, a whole number.
- Size – The (numeric) size of the data element

Y eCAPS Comments – Comments specific to the eCAPS data element.

- CVL – Coded Value List, the value of the data element must come from the CVL table specified in the eCAPS Notes.

1.3 Document Usage

1.3.1 Current CAPS Process

Cash Receipt (CR) documents are used to recognize deposits into the County trust account or directly to department revenue operating funds. The recording of cash receipts into County trust accounts enables the County to immediately deposit cash into the bank. After processing of a CR document, Journal Voucher (JV) documents are processed to transfer deposits from trust accounts to departmental revenue operating funds. These JV documents have no net impact on cash in total for the County. Rather the cash is moved from the trust to the departmental revenue operating funds.

1.3.2 New eCAPS Process

Deposit Permit (DP) documents will be used to recognize deposits into the County trust account or directly to department revenue operating funds. The DP document in eCAPS will replace what the CR document performed in CAPS. Additionally, in eCAPS after the processing of the DP documents, Journal Voucher Cash Transfer (JVCT) documents will be processed to transfer cash from trust accounts to departmental revenue operating funds. These eCAPS JVCT documents have no net impact on cash in total for the County. Rather the cash is moved from the trust to the departmental revenue operating funds. The eCAPS JVCT document replaces the functionality previously provided by the CAPS JV document when moving cash between funds.

1.3.3 Event Types

In eCAPS, event types will be used to record the appropriate accounting entries. There are two sets of event types, one set for the first through twelfth accounting periods and the second set is for the thirteenth accounting period. The JVCT will use the event types that update cash during the first through twelfth account periods. During the thirteenth account period, the event types for Due To/Due From will be used.

When posting to the first through twelfth accounting periods, the following event types will be used:

Accounting Component	Event Type	Period	Fiscal Year
Trust Fund	AR53	Leave blank	Leave blank

Accounting			
Department Revenue Accounting	AR02	Leave blank	Leave blank

During the thirteenth accounting period, the following event types will be used:

Accounting Component	**Event Type**	**Period**	**Fiscal Year**
Trust Fund Accounting	AR5T	13	Fiscal year being closed.
Department Revenue Accounting	AR2F	13	Fiscal year being closed.

1.3.4 Assumptions

1. The JVCT document is used to move cash between funds with offsets to revenue, expenditure or balance sheet accounts.
2. The JVCT document will always have a net zero dollar cash impact in total. Cash will be moved from the trust account to one or more departmental revenue operating funds. This requires at least two accounting lines to be entered on the JVCT document.
3. The information on the two or more accounting lines are the non cash entries (revenue, expenditure or balance sheet account) for the two funds. The cash accounting entries are automatically generated by eCAPS.
4. The JVCT document can reference a Receivable (RE) document on the customer line and the departmental revenue accounting line. A RE document reference is optional.
5. Only one customer will be specified per JVCT document. The specification of a customer on the JVCT document is optional for journal voucher cash transfers that do not reference a receivable.
6. A JVCT document can reference a Receivable (RE) document on the customer and accounting lines. All customer information and all chart of accounts elements are inferred onto the JVCT document accounting line from the receivable document. Thus the chart of account elements are not needed on the interfaced JVCT document accounting lines that reference a receivable.

7. JVCT modifications can be processed to adjust previously submitted documents.
8. The Bank Account Code used on the JVCT document will be defaulted by the eCAPS special accounts table.
9. This design does not support the DMR interface for remittance scanning.

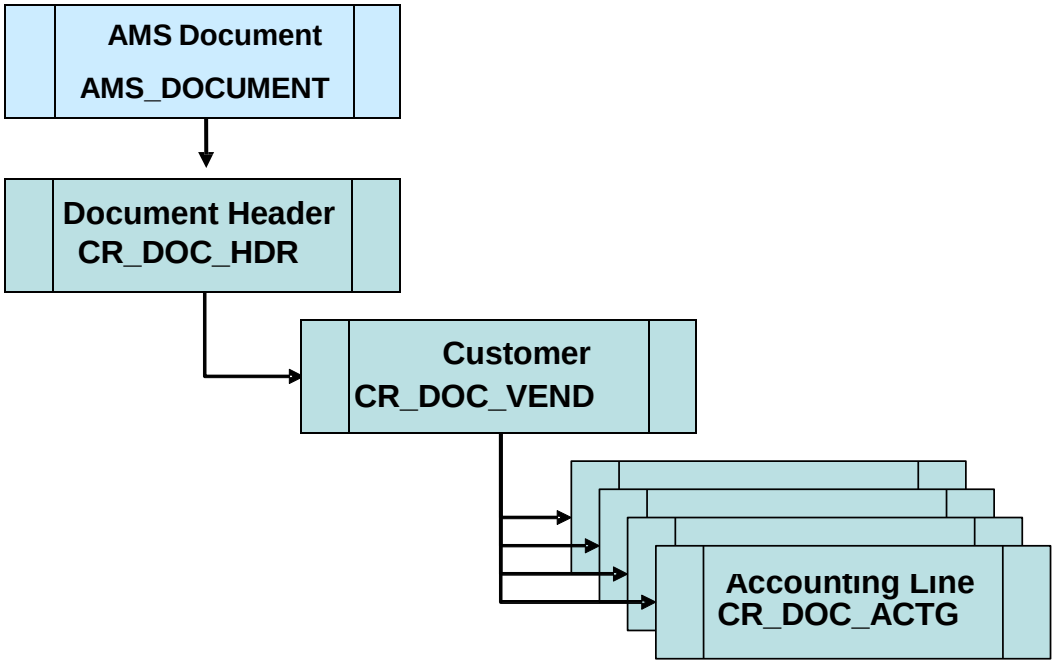
1.4 Logical Document Component Structure

For the purposes of inbound interfaces, the JVCT document is comprised of four components:

1. **AMS Document (AMS_DOCUMENT):** Identifies the Document Type and other information that is unique for the given journal voucher cash transfer record.
2. **Journal Voucher Cash Transfer Document Header (CR_DOC_HDR):** Describes "header" information about the journal voucher cash transfer record, e.g. Fiscal Year, Record Date and Document ID.
3. **Journal Voucher Cash Transfer Customer (CR_DOC_VEND):** Describes the customer information for the given journal voucher cash transfer record.
4. **Journal Voucher Cash Transfer Accounting Lines (CR_DOC_ACTG):** Identifies the accounting information for the given journal voucher cash transfer record. There will be a minimum of two accounting lines on each journal voucher cash transfer.

Exhibit 1 graphically illustrates these components of the JVCT document interface specification.

Exhibit 1: JVCT Document Components



2 Document Specification

2.1 JVCT Transaction Layout

		Action		
		Original entry	Modification	Component description
Document Cmponents	AMS_DOCUMENT	Required	Required	Unique ID for payment transaction.
	CR_DOC_HDR	Required	Required	General information associated with the entire journal voucher cash transfer.
	CR_DOC_VEND	Required	Required	Customer information.
	CR_DOC_ACTG	Required	Required	Accounting data elements used for journal voucher cash transfers.

2.2 JVCT Document Component: AMS_DOCUMENT

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as the AMS DOCUMENT record. The value is 'ADC'.	R	Text	3	"**ADC**"
DOC_CAT	Document Category	The category in which the document is located.	R	Text	5	"**AR** "
DOC_TYP	Document Type	The type of document, defined in the Document Type table. Each document code must be assigned a document type.	R	Text	5	"**CR** "
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. JVCT indicates a journal voucher cash transfer.	R	Text	5	"**JVCT** "

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Department Code such as 'SH' for Sheriff.
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document which can be used to facilitate workflow.	R	Text	5	Five character Unit code such as "25000"
DOC_ID	Document ID	The unique document number assigned for this transaction.	R	Text	11	Interfaced transactions will always contain a unique Document ID and will not make use of the automatically generated Document ID. The Document ID provided in the interface will be used to locate the transaction in eCAPS and to prevent duplicate transactions.
DOC_VERS_NO	Document Version	The version number assigned to this document.	R	Numeric	2	Always set to " 1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that system will assign a unique Document ID for the document.	R	Flag	1	Feature not used for interface. Set to "0".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE" or it's a Modification "MOD".	R	Text	3	"OE " for Original Entry "MOD" for Modification

2.3 JVCT Document Component: CR_DOC_HDR

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Header record. The value is 'HDR'.	R	Text	3	"**HDR**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. JVCT indicates a journal voucher cash transfer.	R	Text	5	Same as in **AMS_DOCUMENT**

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document which can be used to facilitate workflow.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The unique document number assigned to the transaction.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_NM	Document Name	Name for the document.	O	Text	60	The value in this field should be descriptive on what the journal voucher cash transfer is for.
DOC_REC_DT_DC	Record date	The record date manually entered on the document header. If not manually entered, the date becomes the one when the document was submitted successfully.	O	Date	8	Format of Date “MMDDYYYY” Example: “10232004”
DOC_BFY	Budget FY	When on the header of a document, this is the default budget fiscal year that will be pushed to all accounting lines. This default value will become the accounting line's budget fiscal year where one is not manually entered or defaulted from a reference document.	O	Numeric	4	Leave blank.
DOC_FY_DC	Fiscal Year	The fiscal year associated with this document.	CR	Numeric	4	If posted to the 13th accounting period, the fiscal year must be provided. Example: “2005”. Otherwise Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_PER_DC	Period	The specified accounting period for a document in draft. If not specified, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	CR	Numeric	2	If posted to the 13th accounting period, the period must be provided. Example: "13". Otherwise Leave blank.
BANK_ACCT_CD	Bank Account	The unique identification code associated with the bank account. A bank account code is used in place of the actual bank account to eliminate the need to post actual bank account numbers throughout the system.	P	Text	4	This value will be derived. Leave blank.
EXT_DOC_DSCR	Extended Description	A free-form text field that will hold a large volume of information to be associated with a document component. It is larger than the regular description field, but still limited unlike attachments.	O	Text	1500	
CASH_ACCT_CD	Cash Account	Identifies the Balance Sheet Account used on system-generated offset entries for every journal voucher cash transfer line.	P	Text	4	The cash account will be inferred from the Bank table. Leave blank.
CASH_ACCT_S	Cash Account Sub	Identifies the Sub-Balance Sheet Account used on the system-generated offset entries for every journal voucher cash transfer line.	P	Text	4	The sub cash account if applicable will be inferred from the Bank table. Leave blank.
DPS_TKT_NO	Deposit Ticket	The identification number assigned to the deposit ticket.	P	Text	25	Leave blank.
DPS_DT	Deposit Date	The date the deposit was made.	P	Date	8	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
BANK_DPS_DT	Bank Deposit Date	The date the bank processed the deposit.	P	Date	8	Leave blank.
SPRS_PEND_PRN_FL	Suppress Pend Print	Indicates that the entry is not copied to the Journal Voucher Cash Transfer Pending Print table (i.e., the journal voucher cash transfer is not used in the Deposit Ticket Print process).	P	Numeric	1	Leave blank.
PYMT_TYP_IND	Payment Type	The type of payment being made.	P	Numeric	10	Leave blank.
DOC_DSCR	Document Description	The description associated with the document.	O	Text	60	

2.4 JVCT Document Component: CR_DOC_VEND

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as a Customer record. The value is 'VND'.	R	Text	3	"**VND**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. JVCT indicates a journal voucher cash transfer.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document which can be used to facilitate workflow.	R	Text	5	Same as in **AMS_DOCUMENT**

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_ID	Document ID	The unique document number assigned to the transaction.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Document Vendor Line Number	The customer line number visible to a user that uniquely identifies each customer line within a document.	R	Numeric	2	Value: " **1**"
VEND_CUST_CD	Vendor Customer	The unique identifier assigned to the vendor/customer. In ADVANTAGE Financial, a vendor can also be a customer, allowing you to enter information only one time when a particular contact is both a vendor (payable) and a customer (receivable).	P	Text	20	Leave blank. If referencing a RE, a Customer Code will be inferred from the RE document. All the other customer information is inferred as well.
BPRO_CD	Billing Profile	The identification code assigned to the billing profile. The Billing Profile codes are set up on the Billing Profile table.	P	Text	5	Leave blank. If referencing a RE, Billing Profile will be inferred.
LGL_NM	Legal Name	The legally defined name of the company or individual represented by this record. The field is used for reporting if defined as not alias/DBA. If a miscellaneous customer is used, this field is required.	P	Text	60	Leave blank.
ALIAS_NM	Alias/DBA	The alternate name, alias or operating name (doing business as) used to identify the account.	P	Text	60	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
MISC_ACCT_FL	Misc. Account	Indicates this record is for miscellaneous use and does not represent a specific customer or customer. Because of this, name and address information must be manually entered by users on accounting documents that use miscellaneous codes.	P	Numeric	1	Leave blank.
AD_ID	Address Code	The Address Code given to a unique address for a vendor or customer. The use of different Address Codes will allow a single vendor or customer code to have multiple addresses.	P	Text	20	Leave blank.
AD_LN_1	Address Line 1	The first line of the address. If a miscellaneous customer is used, this field is required.	P	Text	75	Leave blank.
AD_LN_2	Address Line 2	The second line of the address.	P	Text	75	Leave blank.
CITY	City	The city name associated with the address. If a miscellaneous customer (MISC) is used, this field is required.	P	Text	60	Leave blank.
ST	State	The state or province.	P	Text	2	Leave blank.
ZIP	Zip	The zip code associated with the address.	P	Text	10	Leave blank.
CTRY	Country	The unique identification code associated with the country.	P	Text	3	Leave blank.
CNTY	County	The name associated with the county. If you do not provide a county name, the name does not display on reports.	P	Text	5	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
CNTAC_ID	Vendor Contact ID	The unique identification number assigned to the contact. The use of different contact ID's will allow a single vendor or customer code to have multiple contacts.	P	Text	20	Leave blank.
PRIN_CNTAC	Vendor Contact Name	The customer's accounts receivable contact.	P	Text	60	Leave blank.
VOICE_PH_NO	Vendor Contact Phone	The telephone number associated with the contact.	P	Text	30	Leave blank.
VOICE_PH_EXT	Vendor Contact Phone Ext	The telephone number extension associated with the contact.	P	Text	6	Leave blank.
EMAIL_AD	Vendor Contact Email	The email address associated with the contact.	P	Text	100	Leave blank.
FAX_PH_NO	Fax	The fax extension number associated with a contact, be it a vendor, customer, or internal contact.	P	Text	30	Leave blank.
FAX_PH_EXT	Fax Extension	The optional fax extension number associated with the fax number for a contact, be it a vendor, customer, or internal contact.	P	Text	6	Leave blank.
WEB_AD	Web Address http: //	The web address for this company/individual.	P	Text	100	Leave blank.
AUTO_APY_FL	Auto Apply	Checks to have accounting lines automatically populated by the system.	P	Numeric	1	Leave blank.
RS_CR_BAL_FL	Reserve Cr Balance	Checks to reserve the credit balance. Reserved credit balances will not be automatically netted with other receivables, nor will they be automatically refunded to the customer.	P	Numeric	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
VL_AM	Line Amount	User-supplied amount for all lines tied to this particular customer line.	R	Decimal	12,2	Set to “0”.
AR_DEPT_CD	AR Dept	The department code that is used to find accounts receivable options for customer accounts.	P	Text	2	Leave blank.
AR_UNIT_CD	AR Unit	Defaults from the document department code and is used for AR processing.	P	Text	5	Leave blank.
PYMT_DT	Payment Date	The date that the payment was received from the customer.	P	Date	8	Leave blank.
REAS_CD	Reason	Reason for modification	P	Text	8	Leave blank.
CHK_EFT_NO	Check/EFT Number	Check or EFT Number of the customer payment.	P	Text	25	Leave blank.
NSF_FEE_AM	NSF Fee Amount	The fee amount associated with the non-sufficient funds transaction.	P	Decimal	12,2	Leave blank.
NSF_CHK_DT	NSF Check Date	The last processing date of non-sufficient funds (NSF) check against the customer.	P	Date	8	Leave blank.
WAIV_NSF_FEE_FL	Waive NSF Fee	Indicates if any fees associated with non-sufficient funds are waived.	P	Numeric	3	Leave blank.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced receivable document.	CR	Text	5	If referencing a receivable document the RE document code must be provided. Example: “RE” Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code from the reference receivable document that is part of the complete document identification of a referenced document.	CR	Text	2	If referencing a receivable document the RE document department must be provided. Example: 'SH' for Sheriff Otherwise leave blank.
RFED_DOC_ID	Ref Doc ID	The document identification code from the referenced receivable document.	CR	Text	11	If referencing a receivable document the RE document ID must be provided. Otherwise leave blank.
RFED_VEND_LN_NO	Ref Vendor Line	The customer line number from the referenced receivable document.	CR	Numeric	2	If referencing a receivable document the RE document customer line number must be provided. Example: ' 1' Otherwise leave blank.
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced receivable document.	CR	Numeric	4	If referencing a receivable document the RE document accounting line must be provided. Example: ' 1' Otherwise leave blank.
PRTY1_PSTNG_TYP	Priority 1 Posting Type	The first of five posting priority fields specifying the sequence in which a payment should be applied to an outstanding receivable.	P	Text	1	Leave blank.
PRTY2_PSTNG_TYP	Priority 2 Posting Type	The second of five posting priority fields specifying the sequence in which a payment should be applied to an outstanding receivable.	P	Text	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PRTY3_PSTNG_TYP	Priority 3 Posting Type	The third of five posting priority fields specifying the sequence in which a payment should be applied to an outstanding receivable.	P	Text	1	Leave blank.
PRTY4_PSTNG_TYP	Priority 4 Posting Type	The fourth of five posting priority fields specifying the sequence in which a payment should be applied to an outstanding receivable.	P	Text	1	Leave blank.
PRTY5_PSTNG_TYP	Priority 5 Posting Type	The fifth of five posting priority fields specifying the sequence in which a payment should be applied to an outstanding receivable.	P	Text	1	Leave blank.
CC_CD	Credit Card	The credit card code associated with this record.	P	Text	20	Leave blank.
CC_TYP	Credit Card Type	Type of credit card (i.e. American Express, Visa, MasterCard, etc.).	P	Text	50	Leave blank.
CC_NO	Credit Card Number	The credit card number that corresponds to the credit card.	P	Text	25	Leave blank.
CC_EXPR_MO	Credit Card Expiration Month	This field allows the user to enter the expiration date of the credit card.	P	Text	2	Leave blank.
CC_EXPR_YR	Credit Card Expiration Year	This field allows the user to enter the expiration date of the credit card.	P	Text	4	Leave blank.
CC_TRAN_NO	Credit Card Trans Number	A unique identification number for a credit card payment.	P	Text	25	Leave blank.
CARD_HLD_NM	Card Holder Name	The name as it appears on the credit card. You can only enter this field if the default receipt type is Credit Card.	P	Text	40	Leave blank.

2.5 JVCT Document Component: CR_DOC_ACTG (Trust Fund Accounting)

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is 'ACT'.	R	Text	3	"**ACT**"
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. JVCT indicates a journal voucher cash transfer.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The unique document number assigned for this transaction.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The customer line number visible to a user that uniquely identifies each customer line within a document.	R	Numeric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Numeric	4	Value: " **1**" Line numbering begins at 1 and is incremental for additional lines
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	R	Text	4	Refer to Section 1.3.3.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PSTNG_PR_TYP	Line Type	A posting pair ID is a unique ID assigned to a debit and/or credit posting code. Every posting line has a posting pair ID which can be used to help identify what a posting line is doing in accounting terms.	P	Text	1	Leave blank.
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template which will contain information. Use of the Account Template can default Chart of Accounts information for the Accounting Line. Referencing a receivable document can also be used to infer COA information. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, customer line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	12,2	To specify a journal voucher cash transfer of -3,000.13 the following is the format: Example: “ -3000.13” Amount should be negative. The dollar amount backed out of the Trust Fund account(s) must equal to the dollar amount posted to the Department Revenue accounts.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	Leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	CR	Numeric	4	If posted to the 13th accounting period, the fiscal year must be provided. Example: “2005”. Otherwise Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	CR	Numeric	2	If posted to the 13th accounting period, the period must be provided. Example: "13". Otherwise Leave blank.
REAS_CD	Reason	Reason for modification	P	Text	8	Leave blank.
RECLS_DT	Reclassification Date	Date when unearned revenue should be reclassified to earned revenue.	P	Date	8	Leave blank.
RECLS_HLD_FL	Reclassification Held	Generate document in held status when you reclassify unearned revenue to earned revenue.	P	Numeric	3	Leave blank.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced receivable eCAPS document.	P	Text	5	Leave blank. Trust account accounting line will not reference a Receivable.
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced receivable eCAPS document.	P	Text	2	Leave blank. Trust account accounting line will not reference a Receivable.
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced receivable eCAPS document.	P	Text	11	Leave blank. Trust account accounting line will not reference a Receivable.
RFED_VEND_LN_NO	Ref Vendor Line	The customer line number from the referenced receivable eCAPS document.	P	Numeric	2	Leave blank. Trust account accounting line will not reference a Receivable.
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced receivable eCAPS document.	P	Numeric	4	Leave blank. Trust account accounting line will not reference a Receivable.
FUND_CD	Fund	The identification code associated with a trust fund.	R	Text	4	Must be valid on Fund (**FUND**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	P	Text	4	Leave blank.
DEPT_CD	Department	An identification code associated with a department.	P	Text	2	Leave blank.
UNIT_CD	Unit	An identification code associated with a Unit.	P	Text	5	Leave blank.
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	P	Text	4	Leave blank.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	P	Text	4	Leave blank.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	P	Text	4	Leave blank.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub revenue source account.	P	Text	4	Leave blank.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	R	Text	4	Must be valid on Balance Sheet Account (**BSA**) table.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	P	Text	4	Leave blank.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	P	Text	4	Leave blank.
LOC_CD	Location	The identification code assigned to the location.	P	Text	4	Leave blank.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	P	Text	4	Leave blank.
ACTV_CD	Activity	The identification code associated with the activity.	P	Text	4	Leave blank.
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	P	Text	4	Leave blank.
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	p	Text	4	Leave blank.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	P	Text	4	Leave blank.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	P	Text	10	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	P	Text	4	Leave blank.
TASK_CD	Task	The unique identification code assigned to the task.	P	Text	4	Leave blank.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	P	Text	4	Leave blank.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	P	Text	6	Leave blank.
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element.	P	Text	10	Leave blank.
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	P	Text	6	Leave blank.
PPC_CD	Project Period	The identification code assigned to the project period.	P	Text	6	Leave blank.

2.6 JVCT Document Component: CR_DOC_ACTG (Department Revenue Accounting)

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RECORD_TYPE	Document Component Type	This value identifies the flat file record as an Accounting record. The value is 'ACT'.	R	Text	3	"**ACT**"

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction. JVCT indicates a journal voucher cash transfer.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_DEPT_CD	Department	The department code assigned to this document.	R	Text	2	Same as in **AMS_DOCUMENT**
DOC_UNIT_CD	Document Unit Code	The unit code associated with this document for security and workflow purposes.	R	Text	5	Same as in **AMS_DOCUMENT**
DOC_ID	Document ID	The unique document number assigned for this transaction.	R	Text	11	Same as in **AMS_DOCUMENT**
DOC_VERS_NO	Document Version	The version number assigned to this document.	R	Numeric	2	Same as in **AMS_DOCUMENT**
DOC_VEND_LN_NO	Doc Vendor Line Number	The customer line number visible to a user that uniquely identifies each customer line within a document.	R	Numeric	2	Value: " **1**"
DOC_ACTG_LN_NO	Accounting Line	The accounting line number visible to a user that uniquely identifies each accounting line within a document.	R	Numeric	4	Value: " **2**" Line numbering begins at 1 and is incremental for additional lines
EVNT_TYP_ID	Event Type	Event Type determines the journal postings and business rules for a particular transaction.	R	Text	4	Refer to Section 1.3.3.
PSTNG_PR_TYP	Line Type	A posting pair ID is a unique ID assigned to a debit and/or credit posting code. Every posting line has a posting pair ID which can be used to help identify what a posting line is doing in accounting terms.	P	Text	1	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
ACTG_TMPL_ID	Accounting Template	The unique identification code assigned to the accounting template. Accounting templates are used to bring in chart of account element codes for ease of data entry on documents.	O	Text	6	The Department may choose to set up an Accounting Template which will contain information. Use of the Account Template can default Chart of Accounts information for the Accounting Line. Referencing a receivable document can also be used to infer COA information. Must be valid on Accounting Template (**ACTPL**) table.
ACTG_LN_DSCR	Line Description	The description associated with the line. This description will be available for reports.	O	Text	100	Department may provide Accounting Line Description in this data element.
LN_AM	Line Amount	The amount of an individual record of a document component, be it the header, customer line, commodity line, accounting line, budget line, or allotment. The amount could also be the amount recorded to a table that tracks document updates such as the Statement Detail table or a journal.	R	Decimal	12,2	To specify a journal voucher cash transfer of 3,000.13 the following is the format: Example: “ 3000.13” Amount should be positive. The dollar amount backed out of the Trust Fund account(s) must equal to the dollar amount posted to the Department Revenue accounts.
BFY	Budget FY	The budget fiscal year with which this calendar date is associated. Must be valid on the Fiscal Year page.	O	Numeric	4	Leave blank.
FY_DC	Fiscal Year	The fiscal year associated with this document.	CR	Numeric	4	If posted to the 13th accounting period, the fiscal year must be provided. Example: “2005”. Otherwise Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PER_DC	Period	The manually entered accounting period for a document in draft. If not manually entered, the field remains blank until the document is submitted successfully. At this point it will be set to the current accounting period.	CR	Numeric	2	If posted to the 13th accounting period, the period must be provided. Example: "13". Otherwise Leave blank.
REAS_CD	Reason	Reason for modification	P	Text	8	Leave blank.
RECLS_DT	Reclassification Date	Date when unearned revenue should be reclassified to earned revenue.	P	Date	8	Leave blank.
RECLS_HLD_FL	Reclassification Held	Generate document in held status when you reclassify unearned revenue to earned revenue.	P	Numeric	3	Leave blank.
RFED_DOC_CD	Ref Doc Code	The document code from the referenced receivable eCAPS document.	CR	Text	5	If referencing a receivable document the RE document code must be provided. Example: "RE" Otherwise leave blank.
RFED_DOC_DEPT_CD	Ref Doc Dept	Department code that is part of the complete document identification of a referenced receivable eCAPS document.	CR	Text	2	If referencing a receivable document the RE document department must be provided. Example: 'SH' for Sheriff Otherwise leave blank.
RFED_DOC_ID	Ref Doc Id	The document identification code from the referenced receivable eCAPS document.	CR	Text	11	If referencing a receivable document the RE document ID must be provided. Otherwise leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
RFED_VEND_LN_NO	Ref Vendor Line	The customer line number from the referenced receivable eCAPS document.	CR	Numeric	2	If referencing a receivable document the RE document customer line number must be provided. Example: ‘ 1’ Otherwise leave blank.
RFED_ACTG_LN_NO	Ref Accounting Line	The accounting line number from the referenced receivable eCAPS document.	CR	Numeric	4	If referencing a receivable document the RE document accounting line must be provided. Example: ‘ 1’ Otherwise leave blank.
FUND_CD	Fund	The identification code associated with a trust fund.	CR	Text	4	If referencing a RE, Fund will be inferred from the RE document. Otherwise it must be provided. Must be valid on Fund (**FUND**) table.
SFUND_CD	Sub Fund	The identification code associated with the sub-fund.	O	Text	4	If referencing a RE, Sub Fund can be inferred from the RE document. Must be valid on Sub Fund (S**FUND**) table.
DEPT_CD	Department	An identification code associated with a department.	CR	Text	2	If referencing a RE, Department will be inferred from the RE document. Otherwise it must be provided. Must be valid on Department (**DEPT**) table.
UNIT_CD	Unit	An identification code associated with a Unit.	CR	Text	5	If referencing a RE, Unit will be inferred from the RE document. Otherwise it must be provided. Must be valid on Unit (**UNIT**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SUNIT_CD	Sub Unit	Sub Unit is a means of breaking down a unit code into smaller measurements. It is the lowest level of organizational structure and is required or prohibited based on one or more sub unit requirement tables.	P	Text	5	Leave blank.
APPR_CD	Appr	The identification code associated to an appropriation unit.	P	Text	9	Leave blank.
OBJ_CD	Object	The identification code associated with an object of expenditure.	P	Text	4	Leave blank.
SOBJ_CD	Sub Object	The identification code associated with the sub-object.	P	Text	4	Leave blank.
RSRC_CD	Revenue Source	Revenue sources are used to track individual sources of revenue taken in.	CR	Text	4	If referencing a RE, Revenue Source will be inferred from the RE document. Otherwise it must be provided. Must be valid on Revenue Source (**RSRC**) table.
SRSRC_CD	Sub Revenue Source	The identification code associated with the sub revenue account.	O	Text	4	If referencing a RE, Sub Revenue Source can be inferred from the RE document. Must be valid on Sub Revenue Source (**SRSRC**) table.
BSA_CD	BSA	The identification code assigned to the balance sheet account.	P	Text	4	Leave blank.
SBSA_CD	Sub BSA	The identification code assigned to the sub-balance sheet account.	P	Text	4	Leave blank.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
OBSA_CD	OBSA	The balance sheet account code to which the offset is posted. In most cases, there is a default established for this code; however, certain documents will allow users to manually enter a value to be used other than the default.	P	Text	4	Leave blank.
OSBSA_CD	Sub OBSA	The sub-balance sheet account to which the offset is posted.	P	Text	4	Leave blank.
DOBJ_CD	Dept Object	The identification code assigned to the Department object.	P	Text	4	Leave blank.
DRSRC_CD	Dept Revenue	The code assigned to the department revenue source.	CR	Text	4	If referencing a RE, Department Revenue Source can be inferred from the RE document. If no RE is referenced and Revenue Source is spaces then Department Revenue Source must be specified. Revenue Source will be inferred by the Department Revenue Source inference table. Must be valid on Department Revenue Source (**DRSRC**) table.
LOC_CD	Location	The identification code assigned to the location.	O	Text	4	If referencing a RE, Location can be inferred from the RE document. Must be valid on Location (**LOC**) table.
SLOC_CD	Sub Location	The identification code associated with the sub-location.	O	Text	4	If referencing a RE, Sub Location can be inferred from the RE document. Must be valid on Sub Location (S**LOC**) table.
ACTV_CD	Activity	The identification code associated with the activity.	O	Text	4	If referencing a RE, Activity can be inferred from the RE document. Must be valid on Activity (**ACTV**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
SACTV_CD	Sub Activity	The identification code associated with the sub-activity.	O	Text	4	If referencing a RE, Sub Activity can be inferred from the RE document. Must be valid on Sub Activity (**SACTV**) table.
FUNC_CD	Function	The identification code associated with the function. Code is used for *Performance Counts!*	O	Text	4	If referencing a RE, Function can be inferred from the RE document. Must be valid on Function (**FUNC**) table.
SFUNC_CD	Sub Function	The identification code associated with the sub-function.	O	Text	4	If referencing a RE, Sub Function can be inferred from the RE document. Must be valid on Sub Function (S**FUNC**) table.
RPT_CD	Reporting	The reporting code element is used for tracking contract activity. The contract number will be entered in this field.	P	Text	10	Leave blank.
SRPT_CD	Sub Reporting	Sub reporting codes define contract periods.	P	Text	4	Leave blank.
TASK_CD	Task	The unique identification code assigned to the task.	O	Text	4	If referencing a RE, Task can be inferred from the RE document. Must be valid on Task (**TASK**) table.
STASK_CD	Sub Task	The sub task is a means of breaking down tasks into smaller components.	O	Text	4	If referencing a RE, Sub Task can be inferred from the RE document. Must be valid on Sub Task (S**TASK**) table.
TASK_ORD_CD	Task Order	The unique identification code assigned to the task order.	O	Text	6	If referencing a RE, Task Order can be inferred from the RE document. Must be valid on Task Order (**TASKORD**) table.

Attribute	Caption	Description	R/C	Type	Size	eCAPS Comments
PROG_CD	Project	The identification code assigned to the project. Project is a cost accounting Chart of Accounts element. Customer Contracts can be tracked using the Project code.	O	Text	10	If referencing a RE, Project can be inferred from the RE document. Must be valid on Project (**PROG**) table. Customer contracts can be tracked using the project code.
PHASE_CD	Phase	The identification code assigned to the phase. Phase is a cost accounting Chart of Accounts element representing a phase of a project.	O	Text	6	If referencing a RE, Phase can be inferred from the RE document. Must be valid on Phase (**PHASE**) table.
PPC_CD	Project Period	The identification code assigned to the project period.	O	Text	6	If referencing a RE, Project Period can be inferred from the RE document. Must be valid on Project Period (**PPC**) table.

EXHIBIT A.3

ACCEPTANCE CERTIFICATE

EXHIBIT A.3
ACCEPTANCE CERTIFICATE

CONTRACTOR NAME/ADDRESS	TRANSMITTAL DATE
COUNTY OF LOS ANGELES - RMIS	**LA COUNTY CONTRACT NUMBER**

FROM: Contractor's Project Director	**TO:** County's Project Director
Name: _____	Name: _____
_____ (Signature Required)	Cc: County's Project Manager _____

Contractor hereby certifies to the County that as of the date of this Acceptance Certificate, it has satisfied all conditions precedent in the above Agreement (including the Exhibits thereto, any applicable Change Orders, Change Notices, and Amendments entered into and approved by the County thereunder) to the completion of the work described below, including satisfaction of all completion criteria and requirements to such work (including obtaining the County's approval of any other work which is a prerequisite to obtaining the County's approval of the work described below). Contractor further represents and warrants that the work described below has been completed in accordance with the Agreement, including the Exhibits thereto, any applicable Change Orders, Change Notices, and Amendments entered into and approved by the County thereunder. The County's approval and signature constitutes an Acceptance of the work described below. Capitalized terms used in this Acceptance Certificate without definition have the meanings given to such terms in the Agreement.

TASK DESCRIPTION (Including task and subtask numbers as set forth in Exhibit A (Statement of Work), Exhibit A.1 (System Requirements), and A.2 (System Interfaces) (including Exhibit A.2.1))	**DELIVERABLE(S)** (Including Task and Subtask numbers as set forth in Exhibit A (Statement of Work), Exhibit A.1 (System Requirements), and A.2 (System Interfaces) (including Exhibit A.2.1))

COMMENTS:

Attached hereto is a copy of all supporting Documentation required pursuant to the Agreement, including Exhibit A (Statement of Work), Exhibit A.1 (System Requirements), and A.2 (System Interfaces) (including Exhibit A.2.1)), any applicable Change Orders, Change Notices, and Amendments entered into and approved by the County thereunder, and including any additional Documentation reasonably requested by the County.

COUNTY ACCEPTANCE:

NAME: _____ **Signature:** _____ **Date:** _____
County's Project Director

EXHIBIT A.4

THIRD PARTY SOFTWARE

EXHIBIT A.4

THIRD PARTY SOFTWARE

As of the Effective Date of this Agreement, the following Third Party Software is being provided by Contractor as part of the RMIS. Should this change during the term of the Agreement, this Exhibit will be updated to reflect any additional Third Party Software.

Name	Vendor	Purpose
1) Jasper	JasperSoft	Reporting Engine
2) jQWidgets	jQWidgets	UI widgets
3) Webdav library	ITHIT	Webdav implementation library

EXHIBIT A.5

MINIMUM SYSTEM REQUIREMENTS

EXHIBIT A.5

MINIMUM SYSTEM REQUIREMENTS

System Requirements for iVOS 5.0.x

The recommended minimum hardware and software specifications for iVOS 5 are described below. Other configurations may be supported. Contact Ventiv Support for more information.

Note: Ventiv reserves the right to change supported browsers and operating systems to reflect the current versions supplied or previous versions supported by 3rd Parties (e.g. Microsoft).

Desktop Hardware and Software

Minimum Specifications	Additional Details
PC	
2GHz processor or faster Minimum 3GB of RAM	
Operating System	
Windows 7	Windows 10
Display	
1280x1024	**Preferred**: 1440 x 900 or higher is recommended.
Monitors	
	Note: Dual monitors are recommended when using the Document Image Assignment feature or when using the Document Image functionality for extended periods of time.
Desktop Software	
Adobe Reader DC	
Microsoft Excel 2013 and Word 2013	**Supported**: • Office 365/Office 2016
Browser	
iVOS 5: • Internet Explorer 11 • Chrome	**Note**: In order to use ad hoc reporting functionality, add the URL for your report server as a Trusted Site in your Internet Settings.
Single Sign-On	
Note: SiteMinder requires the use of cookies to implement authentication. However, WebDAV does not support cookies, so all HTTP calls from WebDAV cannot be authenticated.	

Database and Application Server Hardware and Software

Minimum Specifications	Additional Details
Database Server Software	
• MS SQL Server 2008 R2 (standard or above) • Oracle 11G-R2 (Linux)	**Additional Versions Supported**: • MS SQL Server 2014 • Oracle 12C R1 **Preferred**: • MS SQL Server 2014 • Oracle 12C R1
Applications Server Software	
• Linux x64 Red Hat variations (RHEL, Oracle, CentOS) Kernel 2.6.18-164 or greater. • Windows 2008 Enterprise Server R2	**Additional Versions Supported**: • Windows Server 2012 R2 **Preferred**: • x64 Red Hat Enterprise Linux, Linux x64 Red
• Tomcat 8.0.x	
• Java 8	
• iVOS 5 Ad Hoc Reporter (Self-Hosted Clients only) ○ Requires separate Application Server ○ Java 1.8 installed and included in PATH ○ Tomcat 8.0.x ○ Access to empty schema (not iVOS 5 database server)	**Note:** • Self-Hosted Clients need an additional instance of Tomcat and a database for Jasper repository. • Ventiv highly recommends running Jasper on a separate server.
Database and Application Server Hardware	
Note: • iVOS 5 is **not** certified in a virtual environment or when running behind a web proxy. • The Application and Database servers **must** run on separate hardware dedicated to	
Minimum: • 4-Core x64 servers with current generation Xeon CPUs • Minimum 8GB RAM for Database server • Minimum 8GB RAM for Application server **Note**: Sizing of hardware depends on the following:	**Preferred**: • 8-Core x64 server with current gen of Xeon CPUs. • At least 16GB of RAM or more and quad processors needed for optimum performance of Database servers. • At least 8GB of RAM or more needed for Application servers. Additional memory may be necessary for larger implementations.

Minimum Specifications	Additional Details
• Number of users • Application usage • Database size • Business performance requirements	• Disk space requirements depend on the amount of historical data, annual claims volume, and whether optional modules (e.g. Document Imaging) are selected and saved.

Network

Minimum Specifications	Additional Details
Internet Connection	
Download: • 1.5Mb/sec of Internet bandwidth **Upload**: • 384Kbps of Internet bandwidth	**Preferred**: • 1.5Mb/sec upload • Performance can vary depending on the user's infrastructure (Firewall/Proxy configuration, etc.). • A Tier 1 ISP that provides Broadband (DSL, Cable) or ISDN for remote users is recommended. • Firewall Settings: Web connections must be allowed from the users to the iVOS application server. The iVOS application server requires network access to the iVOS database server. Additional access may be needed from the iVOS application server to email or file servers on standard network ports.

Printers and Scanners

Minimum Specifications	Additional Details
Printers	
• Check Printers – HP Laserjet family that have MICR toner cartridges available • Letter/Report Printer – HP Laserjet	
Scanners	
• Recommend scanning to PDF (Black and White) to support document splitting • 300 DPI • Compression set to CCITT4 • Able to scan to either a network folder or email address depending on client preference	

• Scan should be binary • Scan should produce file in portrait layout. 8.5 X 11 mode, not cropped • Scanner should include OCR capabilities	

Quick Reference Guide

Key: S = Supported; P = Preferred; N = Not Supported

Desktop Standards							
	Browsers		Operating System		Microsoft Office		Adobe Acrobat Reader
iVOS 5 Version	IE11	Chrome	Windows 7	Windows 10	2013	Office 365/2016	DC
5.0.x	S	P	S	P	S	S	S

Server Standards								
	Tomcat	Oracle		MS SQL Server		Operating System		
iVOS 5 Version	8.0.x	11G	12C R1	2008 R2	2014	2008 R2	2012 R2	Linux x64
5.0.x	S	S	P	S	P	S	S	S

EXHIBIT A.6

PERFORMANCE REQUIREMENTS SUMMARY CHART

EXHIBIT A.6

PERFORMANCE REQUIREMENTS SUMMARY (PRS) CHART

SPECIFIC PERFORMANCE REFERENCE	SERVICE	MONITORING METHOD	DEDUCTIONS/FEES TO BE ASSESSED
Contract: Paragraph 6.0 – Term of Contract; Subparagraph 6.3 - Notification of Expiration	Contractor shall provide written notification to County when this Contract is within six (6) months of expiration of the term.	Inspection & Observation	$100 per occurrence
Contract: Paragraph 7.0 – Contract Sum; Subparagraph 7.1 – General; Subparagraph 7.1.4 - Notification within Seventy-Five Percent of Contract Sum	Contractor shall provide written notification to County when it has incurred seventy-five percent (75%) of the total contract sum.	Inspection & Observation	$100 per occurrence
Contract: Paragraph 7.0 – Contract Sum; Subparagraph 7.1 – General; Subparagraph 7.10 - Record Retention and Inspection/Audit Settlement	Contractor to maintain all required documents (records) as specified in this paragraph, and shall be made available to County during the term of this Agreement for a period of five (5) years thereafter.	Inspection of files	$100 per each occurrence that all required documents (records) are not made available to County
Contract: Paragraph 10.0 - Administration of Contract-Contractor; Subparagraph 10.2 - Contractor's Project Manager; Subparagraph 10.2.1	Contractor shall notify the County in writing of any change in name or address of the Contractor's Project Manager	Inspection & Observation	$100 per occurrence
Contract: Paragraph 11.0 - Confidentiality; Subparagraph 11.4 - Confidentiality	Contractor Confidentiality Agreements signed and submitted	Inspection & Observation	$50 for each late submission. Must be signed within ten (10) days of Contract inception or employment.

SPECIFIC PERFORMANCE REFERENCE	SERVICE	MONITORING METHOD	DEDUCTIONS/FEES TO BE ASSESSED
Contract: Paragraph 13.0 – Subcontracting; Subparagraph 13.1	Contractor shall obtain County's written approval prior to subcontracting any work.	Inspection & Observation	$100 per occurrence; possible termination for material breach of contract
Contract: Paragraph 14.0 – Assignment and Delegation; Subparagraph 14.1	No unauthorized assumption, delegation or takeover of any of Contractor's duties, responsibilities, obligations, or rights by any entity other than Contractor	Submission and Inspection	Possible termination of Contract for breach of contract provision
Contract: Paragraph 17.0 – Complaints, Subparagraph 17.1	Contractor shall provide County with Contractor's policy for receiving, investigating and responding to user complaints within twenty (20) business days after the Contract effective date	Submission and Inspection	$50 per late occurrence
Contract: Paragraph 17.0 – Complaints, Subparagraph 17.3	Contractor shall provide County upon request of changes in the Contractor's policy an updated plan within five (5) business days for County approval	Submission and Inspection	$50 per late occurrence
Contract: Paragraph 17.0 – Complaints, Subparagraph 17.5	Contractor shall provide written notification to County of the status of all complaints it preliminarily investigates within ten (10) business days of receiving the complaint	Submission and Inspection	$20 per late occurrence
Contract: Paragraph 17.0 – Complaints, Subparagraph 17.7	Contractor shall provide copies of all written responses to County's Project Manager within five (5) business days of mailing to the complainant.	Submission and Inspection	$20 per late occurrence

EXHIBIT A.7

CONTRACTOR DISCREPANCY REPORT

EXHIBIT A.7

CONTRACT DISCREPANCY REPORT

TO:

FROM:

DATES: **Prepared:** _____

Returned by Contractor: _____

Action Completed: _____

DISCREPANCY PROBLEMS: _____

_____

_____

_____ _____

Signature of County Representative Date

CONTRACTOR RESPONSE (Cause and Corrective Action): _____

_____

_____

_____ _____

Signature of Contractor Representative Date

COUNTY EVALUATION OF CONTRACTOR RESPONSE: _____

_____

_____

_____ _____

Signature of Contractor Representative Date

COUNTY ACTIONS: _____

_____

_____

CONTRACTOR NOTIFIED OF ACTION:

County Representative's Signature and Date

_____

Contractor Representative's Signature and Date

_____

EXHIBIT A.8

PROGRAM BACKGROUND AND REQUIREMENTS

EXHIBIT A.8

PROGRAM BACKGROUND AND REQUIREMENTS

This Exhibit provides certain background on the RMIS project organization. Contractor and County furnished items, place of performance, and the specified methods for managing and delivering the goods and services are described in the SOW.

County and Project Organization and RMIS Users and Incidents/Claims Processing

The CEO is responsible for the administration of the County's risk management activities. The County has recognized the importance of pro-active risk management by placing the Risk Management Branch as a direct report to the Chief Executive Officer. An organizational chart showing the reporting structure and Departments is as follows below as depicted in Figure 1.

A high-level RMIS project organization and roles structure is depicted in Figure 2. Contractor staff, including TPA staff, and County staff assigned to the RMIS are collectively referred to in the SOW as "Project Team". The Project Team will be responsible for the overall management, planning, integration, implementation, operational oversight, support, and performance monitoring of the RMIS for the duration of the RMIS Project.

The required processing scope, shown below, emphasizes the integration of the key data sources. County's various claims administration programs are managed by a combination of internal users, (including County Counsel, Sheriff and the Liability/Small Claims unit), and the TPAs (Third Party Administrators). All County personnel and TPAs will use the RMIS for claims administration purposes.

FIGURE 1: COUNTY BOARD OF SUPERVISORS' ORGANIZATIONAL STRUCTURE AND THE CHIEF EXECUTIVE OFFICE RISK MANAGEMENT BRANCH

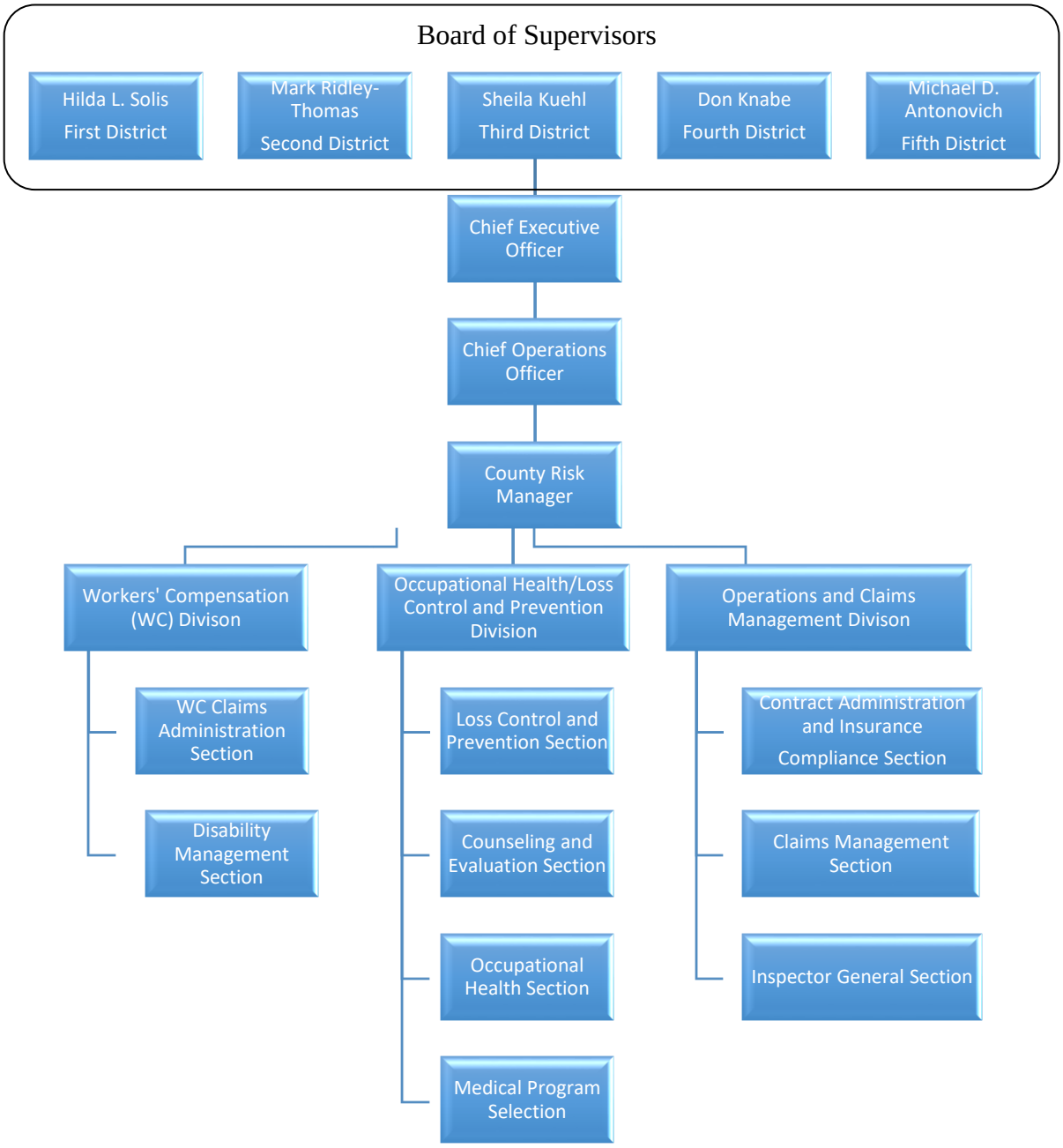
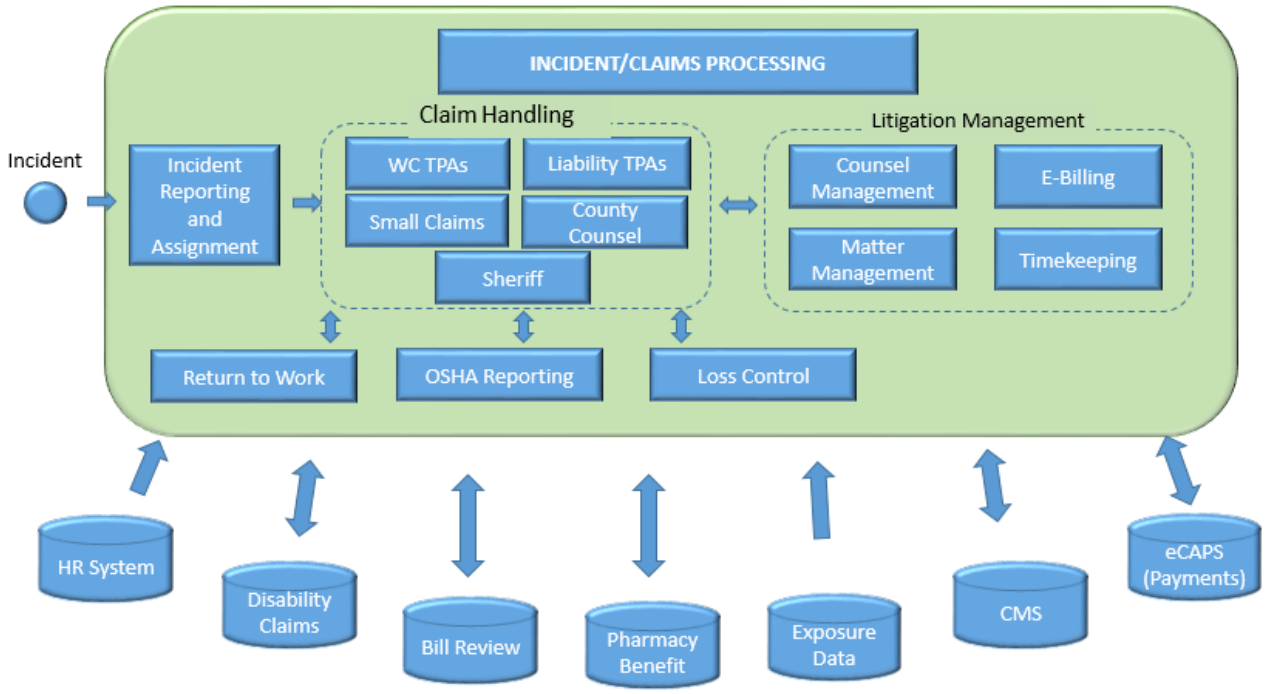


FIGURE 2: COUNTY RMIS GOVERNANCE STRUCTURE - INCIDENT/CLAIMS PROCESSING

The required processing scope, shown below, emphasizes the integration of the key data sources. County's various claims administration programs are managed by a combination of internal users, (including County Counsel, Sheriff and the Liability/Small Claims unit), and the TPAs (Third Party Administrators). All County personnel and TPAs will use the RMIS for claims administration purposes. For the avoidance of doubt, the E-Billing portion shown below will not be provided by Contractor as part of the RMIS, however Contractor will be providing the Interface to connect to County's E-Billing system.



County intends to utilize the services of various County departments and Contractors in the overall implementation and ongoing support of the RMIS. County will be responsible for the design, integration, deployment, and support of the County network infrastructure. Contractor will be responsible for RMIS Fully Managed Solution's infrastructure which will need to integrate to the County's Active Directory Federation for authentication under this Contract. County may utilize the services of Quality Assurance (QA) and Independent Verification and Validation (IV&V) Contractors to support the RMIS development and acceptance processes.

Contractor shall cooperate with County and any County designated contractors or associates participating in the design, development, implementation, management, and operation of RMIS and any related County information systems or networks, and in the

provision of County-requested Customization and Enhancement of the Licensed Software. At the direction of County, Contractor shall provide County and any designated QA and IV&V Contractors with all applicable information needed to verify and validate that County is receiving all contracted Services in accordance with the Agreement.

Failure or refusal to coordinate and cooperate with County specified entities precludes effective performance of the RMIS Project and may lead to a default determination by County. Contractor shall be responsible for establishing an organization to manage and deliver the goods and services defined in this SOW. This organization must remain in effect for the term of the Contract. Contractor may be required to interact with the County project governance structure at all levels as shown in Figure 1.

FIGURE 3: COUNTY RMIS REPORTING/ANALYSIS

The reporting and other output applications for the integrated data (shown below) make clear the need for intuitive yet powerful tools. The mission of the RMIS is to bring information technology and data to users to effect better and timelier risk management decisions.

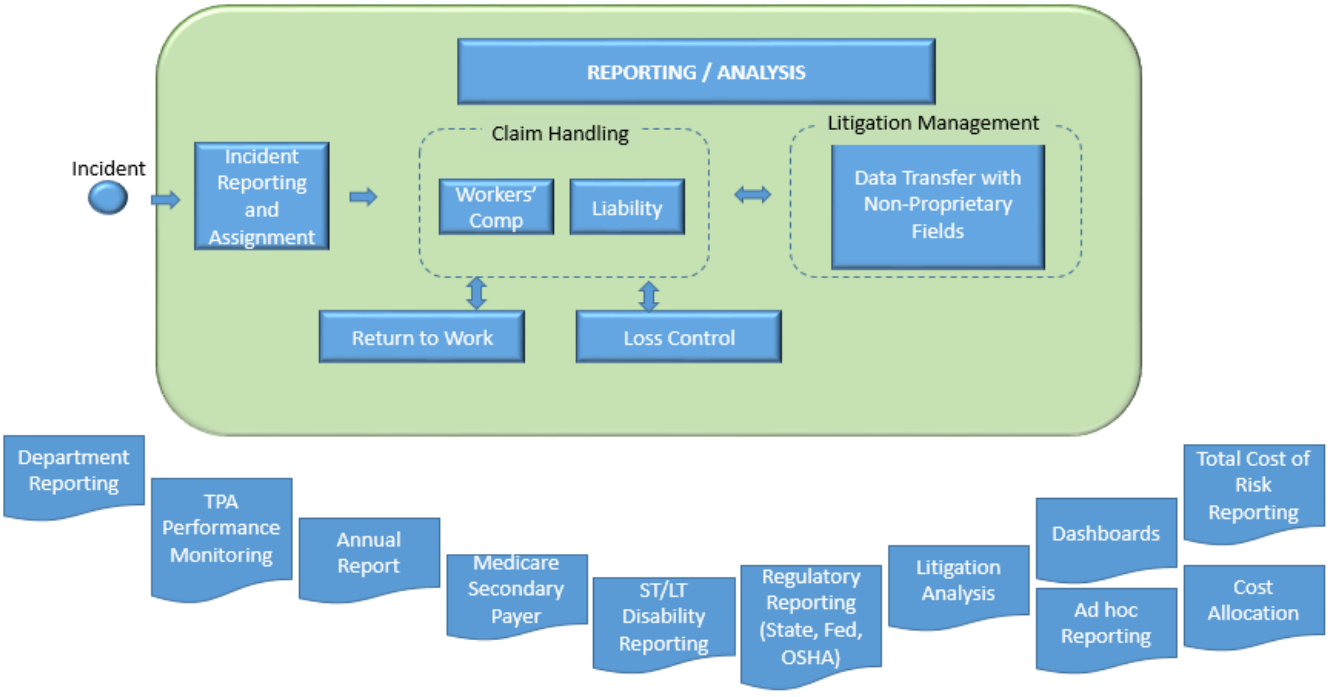


FIGURE 4: COUNTY WORKERS' COMPENSATION PROGRAM

In terms of claim volume, the County runs the largest Workers' Compensation program in California with 27,000 open claims and 11,000 new claims reported annually. Claims are currently handled through four (4) TPAs with the smallest and largest having 4,400 and 7,300 open claims, respectively. Approximately 4,000 liability claims are reported annually. Some of the basic data measures are:

	Workers' Compensation	Liability and Other Lines
Total Claims to Convert	450,000	86,000
Annual Claim Volume	11,000	4,000
Open Claims	27,000	4,000
% Litigated	48.5%	20%

*Numbers are rounded to the nearest thousand.

FIGURE 5: EXPECTED NUMBER OF RMIS USERS

The RMIS system is expected to have 2,094 users or more as the County grows subject to any restrictions on the total number of concurrent users in the Agreement, which include County representatives and TPA users. The users' roles in the program, shown below, make clear the need for an intuitive interface, strong training resources and responsive service support.

USER CLASS	Power Users	Claim Administration	Light Users	Total
Board of Supervisors	5			**5**
County Risk Mgt Ops	28	5	88	**121**
TPA's		408		**408**
Medical Management		86		**86**
County Departments		4	228	**232**
Loss Control	10		100	**110**
Return to Work	7		550	**557**
County Counsel	575			**575**
Total	**625**	**503**	**966**	**2,094**

Below are the definitions of the user classifications from the above table:

Power Users – Use the system on a daily basis and have the ability to write reports and have access to all data within the system.

Claim Administration Users – Use the system on a daily basis for the handling of claims. This category is primarily made up of the TPAs and Medical Management vendors but also consists of some internal County users.

Light Users – Use the system for running previously written reports, approvals, or other limited functions.

"Read only" Users – Use the system to view relative information within authority; not authorized to print, save, input/populate, and/or revise any information in RMIS.

EXHIBIT A.9

DELIVERABLE EXPECTATION DOCUMENT

EXHIBIT A.9

DELIVERABLE EXPECTATION DOCUMENT (DED)

This Exhibit provides a template that describes the required contents of a Deliverable Expectation Document (DED). The format for the DED must be approved by County's Project Director prior to its use.

A DED must be prepared by Contractor and approved by County's Project Director prior to the submittal of each Deliverable as set forth in the Exhibit A, (Statement of Work (SOW)), with the exception of Deliverables due within the first ninety (90) days after the Effective Date. Refer to SOW Section 2.5 (Deliverable Acceptance Criteria (General)) of the SOW for information on submitting the DED.

The requested information in the Exhibit A (SOW) must be readily identifiable in the DED. Work plans that support the activity summary may be attached and referenced to support the methodology and schedule summary.

1. **TABLE OF CONTENTS**:

   This section of the DED shall include the table of contents for the DED. A brief overview of the proposed content for each major section, level of detail and format of key sections shall be provided, where appropriate, to more fully delineate the expectations for the Deliverable.

2. **INTRODUCTION**:

   This section of the DED shall include a brief overview defining the purpose of the Deliverable and how it fits within the overall completion of the project. Any dependent tasks, subtasks, Deliverables, and other work shall be described in the Introduction.

3. **DELIVERABLE DESCRIPTION**:

   This section of the DED shall include the Deliverable's objectives and scope which shall be described in clear, specific terms.

   A. METHODOLOGY FOR CREATING THE DELIVERABLE: A brief explanation of the tasks, activities, and methods to be used to develop the Deliverable shall be provided. Process flow diagrams shall be included where applicable. Methodologies described in detail elsewhere, such as Contractor's SDLC, shall be referenced appropriately. Any assumptions or constraints on the development of the Deliverable shall be indicated.

   B. APPLICABLE STANDARDS: All applicable industry and/or government standards that the Deliverable shall reference must be listed, including descriptions of version level and extent of compliance. Contractor may provide a mapping of its format to the applicable standard to show compliance.

C. DELIVERABLE REQUIREMENTS: The specific description of the Deliverable from the SOW shall be included, delineating any additional requirements related to the Deliverable and their source.

D. DELIVERABLE FORMAT: Any templates, diagrams, tables, or specific content that will be required for the Deliverable shall be listed. For example, in design and test Deliverables, an updated Requirements Traceability Matrix shall be included in the Deliverable.

The format of the Deliverable shall be described, including any associated diagrams, spreadsheets, or databases and the tools (e.g., County-specified versions of Microsoft Word, Microsoft Visio, Microsoft Project, etc.) used for production and viewing of the Deliverable. The number of hardcopies and the number of electronic copies, of the Deliverable to be provided and distributed to County shall be stated.

4. **RECOMMENDED DELIVERABLE ACCEPTANCE CRITERIA**:

This section of the DED shall include a description of the recommended acceptance criteria for the Deliverable. The recommended acceptance criteria shall be specific to the Deliverable and indicate key needs of the project (e.g., must include detailed description of database sizing, growth considerations, performance considerations, and normalization/de-normalization considerations).

General review criteria (e.g., those which are primarily the same for all Deliverables) shall be referenced or attached. The following shall be considered the minimum recommended acceptance criteria:

- Compliance with the requirements of Section 2.5 (Deliverable Acceptance Criteria (General)) of the SOW;
- Compliance with the applicable portions of Exhibits A.1 (System Requirements), A.2 (System Interfaces), and A.2.1 (Design Documents for eCAPs and eHR Interfaces);
- Consistency, as appropriate, with other County-approved Deliverables; and
- Compliance with quality assurance standards (e.g., free of formatting, spelling, and grammar errors, clearly written with no incomplete sections, etc.).

5. **KEY DATES FOR DELIVERABLES**:

This section of the DED shall include references to the key activities and due dates in Deliverable preparation and review, ensuring that all associated work is consistent with the Contractor's Project Schedule and the Contract timeframes regarding Deliverable delivery and approval/rejection. The process described shall refer to the Project Control Document and any other applicable schedules or plans. Reference shall be made to any key meetings, walkthroughs, inspections and reviews associated with the Deliverable.

5.1 SCHEDULE FOR DELIVERABLE UPDATES: This section of the DED shall include the proposed schedule of updates and tentative time frames shall be provided if the Deliverable is expected to be updated on a periodic basis.

Table 1 illustrates an example of Deliverable-related key dates.

Table 1: Key Dates Related to Deliverable xx (Example)

KEY ACTIVITY	DUE DATE	COMMENT
Submission of DED		
County Review and Approval of DED		
Submission of Deliverable to County		
Presentation of Deliverable to County (if necessary or requested by County's Project Director)		
County Review of Deliverable		
Resolution of County Comments and Submission of Revised Deliverable (if necessary)		
County Review of Revised Deliverable (if necessary)		
Resolution of County Comments (if necessary)		
County Approval of Deliverable		

6. **STAFF RESOURCES REQUIRED**:

This section of the DED shall include, the specific staff resources involved in Deliverable preparation and review which shall be listed in a format similar to Table 2. This list shall identify the specific, key individuals/skills needed to ensure successful completion of the Deliverable. An estimate of the amount of time required from each Contractor Key Staff resource shall be indicated.

Table 2: Required Staff Resources (Example)

ROLE	NAME(S)	RESPONSIBILITIES	ESTIMATED NEED
Deliverable Lead			2 months
Deliverable Approver			5 days
Deliverable Reviewers			7 days
Subject Matter Experts			10 days
Policy Representative			10 days

EXHIBIT B

PRICING SCHEDULE

PROJECT SUMMARY OF TOTAL COSTS
SCHEDULE A-1
SCHEDULE A-2
SCHEDULE B
SCHEDULE C
SCHEDULE D

RMIS PROJECT SUMMARY
SUMMARY OF TOTAL COSTS

#	PROJECT ITEMS	MODULE ONE	MODULE TWO	MODULE THREE	MODULE FOUR	TOTALS (Across 4 modules per Deliverable)
1	Total Implementation (Intital Term)	$ 9,071,444.45	$ 5,619,383.93	$ 2,676,023.78	$ 847,134.48	$ 18,759,771.19
2	Total Support Services Fees - License & Maintenance Costs (Intital Term)	$ 5,690,708.73	$ 3,525,158.24	$ 1,678,726.25	$ 531,425.35	$ 11,426,018.57
3	Total Support Services Fees - License & Maintenance Costs (First Option Term - 24 Months)	$ 2,344,572.00	$ 1,452,365.20	$ 691,635.21	$ 218,947.25	$ 4,707,519.65
4	Total Support Services Fees - License & Maintenance Costs (Second Option Term - 24 Months)	$ 2,391,463.44	$ 1,481,412.50	$ 705,467.92	$ 223,326.19	$ 4,801,670.05
5	Total Support Services Fees - License & Maintenance Costs (Third Option Term - 24 Months)	$ 2,439,292.71	$ 1,511,040.75	$ 719,577.28	$ 227,792.71	$ 4,897,703.45
6	Total Support Services Fees - License & Maintenance Costs (Six-Month Option Term - 6 Months)	$ 616,395.77	$ 381,831.64	$ 181,833.20	$ 57,561.97	$ 1,237,622.57
	Total Price Per Module	$ 22,553,877.09	$ 13,971,192.26	$ 6,653,263.63	$ 2,106,187.95	$ 45,830,305.47
7	Letter of Credit					$ 300,000.00
	Maximum Agreement Sum					$ 46,130,305.47
8	Total Support Services Fees - License & Maintenance Costs (If Early Implementation Is Achieved by End of Year 3)	$ 2,493,692.92	$ 1,544,676.78	$ 735,641.14	$ 232,894.16	$ 5,006,905.00
	Maximum Agreement Sum if Early Implementation is Achieved by End of Year 3					$ 51,137,210.47
9	20% in Pool Dollars					$ 9,226,061.09
	TOTAL MAXIMUM AGREEMENT SUM - PERFORMANCE BOND, AND POOL DOLLARS OF 20% (IF EARLY IMPLEMENTATION ACHIEVED BY END OF YEAR 3)					$ 60,363,271.56
10	Total Holdbacks for All Four Modules					$ 2,158,357.42
11	Fixed Hourly Rate (Rate Used for Optional Work)					$ 195.00
**	Total Price per Module (If Implentation Achieved by End of Year 3)	*$ 25,047,570.00*	*$ 15,515,869.03*	*$ 7,388,904.77*	*$ 2,339,082.12*	*$ 50,837,210.47*

**Figures are included in above totals.

SCHEDULE A-1
Implementation Costs for Tasks 1 through 11

#	TASKS	MODULE ONE	MODULE TWO	MODULE THREE	MODULE FOUR	TOTALS (Modules Deliverable)
1	Task 1 (Project Administration)	$ 1,360,716.67	$ 842,907.59	$ 401,403.57	$ 127,070.17	$ 2,732,098.00
2	Task 2 (Development Methodology and Technical Practices)	$ 725,715.56	$ 449,550.71	$ 214,081.90	$ 67,770.76	$ 1,602,830.82
3	Task 3 (Requirements Verification and Analysis)	$ 997,858.89	$ 618,132.23	$ 294,362.62	$ 93,184.79	$ 2,003,538.53
4	Task 4 (General Design)	$ 453,572.22	$ 280,969.20	$ 133,801.19	$ 42,356.72	$ 910,699.33
5	Task 5 (Technical Infrastructure Planning and Design)	$ 635,001.11	$ 393,356.88	$ 187,321.66	$ 59,299.41	$ 1,274,979.06
6	Task 6 (Functional Design)	$ 635,001.11	$ 393,356.88	$ 187,321.66	$ 59,299.41	$ 1,274,979.06
7	Task 7 (Baseline Application Software and Conversion Tools)	$ 725,715.56	$ 449,550.71	$ 214,081.90	$ 67,770.76	$ 1,596,053.75
8	Task 8 (Testing)	$ 1,179,287.78	$ 730,519.91	$ 347,883.09	$ 110,127.48	$ 2,367,818.26
9	Task 9 (Implementation Planning)	$ 635,001.11	$ 393,356.88	$ 187,321.66	$ 59,299.41	$ 1,402,476.97
10	Task 10 (Implementation Preparation)	$ 362,857.78	$ 224,775.36	$ 107,040.95	$ 33,885.38	$ 801,415.41
11	Task 11 (Implementation)	$ 317,500.56	$ 196,678.44	$ 93,660.83	$ 29,649.71	$ 698,273.51
		$ 8,028,228.34	**$ 4,973,154.78**	**$ 2,368,281.05**	**$ 749,714.01**	**$ 16,665,162.72**

SCHEDULE A-2
Implementation Costs for Tasks 12 through 16

#	TASKS	MODULE ONE	MODULE TWO	MODULE THREE	MODULE FOUR	TOTALS (Across 4 modules per Deliverable)
12	Task 12 - Phase 2 (Performance Verification Phase)	$ 272,143.33	$ 168,581.52	$ 80,280.71	$ 25,414.03	$ 546,419.60
13	Task 13 - Phase 3 (Operational Phase)	$ 725,715.56	$ 449,550.71	$ 214,081.90	$ 67,770.76	$ 1,457,118.93
14	Task 14 (Performance Requirements Summary)	$ -	$ -	$ -	$ -	$ -
15	Task 15 (Contract Discrepancy Report)					$ -
16	Task 16 (Green Initiatives)	$ 45,357.22	$ 28,096.92	$ 13,380.12	$ 4,235.67	$ 91,069.93
		$ 1,043,216.11	**$ 646,229.15**	**$ 307,742.73**	**$ 97,420.47**	**$ 2,094,608.46**

	MODULE ONE	MODULE TWO	MODULE THREE	MODULE FOUR	ALL MODULES
Tasks 1 - 16	**$ 9,071,444.45**	**$ 5,619,383.93**	**$ 2,676,023.78**	**$ 847,134.48**	**$ 18,759,771.19**

COUNTY OF LOS ANGELES, RISK MANAGEMENT BRANCH
RISK MANAGMENT INFORMATION SYSTEM (RMIS)
CAIC RFP #2016-01

SCHEDULE B

#	TASKS	SUBTASKS	DELIVERABLES	MODULE ONE	MODULE ONE HOLDBACKS	MODULE TWO	MODULE TWO HOLDBACKS	MODULE THREE	MODULE THREE HOLDBACKS	MODULE FOUR	MODULE FOUR HOLDBACKS	TOTALS (Across 4 modules per Deliverable)	TOTAL HOLDBACKS (All Modules)
1	Task 1 Project Administration	1.1	Deliverable 1.1.1: Project Control Document (PCD) **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
2			Deliverable 1.1.2: Incoming Orientation Plans	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
3			Deliverable 1.1.3: Project Initiation Completion Report	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
4		1.2	Deliverable 1.2.1: Management and Operations (M&O) Services Plan	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
5			Deliverable 1.2.2: Modifications and Enhancements (M&E) Services Plan	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
6			Deliverable 1.2.3: Conversion Plan	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
7		1.3	Deliverable 1.3.1: Ongoing Project Administration	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
			Total	**$ 1,360,716.67**	**$ 181,428.89**	**$ 842,907.59**	**$ 112,387.68**	**$ 401,403.57**	**$ 53,520.48**	**$ 127,070.17**	**$ 16,942.69**	**$ 2,732,098.00**	**$ 364,279.73**
8	Task 2 Development Methodology and Technical Practices	2.1	Deliverable 2.1.1 Systems Development Lifecycle (SDLC) Orientation & Materials	$ 725,715.56	$ 72,571.56	$ 449,550.71	$ 44,955.07	$ 214,081.90	$ 21,408.19	$ 67,770.76	$ 6,777.08	$ 1,457,118.93	**$ 145,711.89**
			Total	**$ 725,715.56**	**$ 72,571.56**	**$ 449,550.71**	**$ 44,955.07**	**$ 214,081.90**	**$ 21,408.19**	**$ 67,770.76**	**$ 6,777.08**	**$ 1,602,830.82**	**$ 145,711.89**
9	Task 3 Requirements Verification and Analysis	3.1	Deliverable 3.1.1 Requirements Verification Schedule	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	**$ 36,427.97**
10		3.2	Deliverable 3.2.1 System Requirement Document	$ 362,857.78	$ 36,285.78	$ 224,775.36	$ 22,477.54	$ 107,040.95	$ 10,704.10	$ 33,885.38	$ 3,388.54	$ 728,559.47	**$ 72,855.95**
11			Deliverable 3.2.2 Requirements Traceability Matrix and Report **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
			Total	**$ 997,858.89**	**$ 145,143.11**	**$ 618,132.23**	**$ 89,910.14**	**$ 294,362.62**	**$ 42,816.38**	**$ 93,184.79**	**$ 13,554.15**	**$ 2,003,538.53**	**$ 291,423.79**
12	Task 4 General Design	4.1	Deliverable 4.1.1 General Design Document **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
			Total	**$ 453,572.22**	**$ 90,714.44**	**$ 280,969.20**	**$ 56,193.84**	**$ 133,801.19**	**$ 26,760.24**	**$ 42,356.72**	**$ 8,471.34**	**$ 910,699.33**	**$ 182,139.87**
13	Task 5 Technical Infrastructure Planning and Design	5.1	Deliverable 5.1.1 Technical Infrastructure Design Document **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
14		5.2	Deliverable 5.2.1 Facility Management Plan	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 182,139.87	$ 18,213.99
15		5.3	Deliverable 5.3.1 Information System Security Plan	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 182,139.87	$ 18,213.99
			Total	**$ 635,001.11**	**$ 108,857.33**	**$ 393,356.88**	**$ 67,432.61**	**$ 187,321.66**	**$ 32,112.29**	**$ 59,299.41**	**$ 10,165.61**	**$ 1,274,979.06**	**$ 218,567.84**

SCHEDULE B

16	**Task 6 Functional Design**	6.1	Deliverable 6.1.1 Functional Design Document **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
17		6.2	Deliverable 6.2.1 Functional Design Presentation Report	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
			Total	**$ 635,001.11**	**$ 108,857.33**	**$ 393,356.88**	**$ 67,432.61**	**$ 187,321.66**	**$ 32,112.29**	**$ 59,299.41**	**$ 10,165.61**	**$ 1,274,979.06**	**$ 218,567.84**
18	**Task 7 Licensed Software and Conversion Tools**	7.1	Deliverable 7.1.1 Licensed Software Development Plan	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 400,707.71	$ 36,427.97
19		7.2	Deliverable 7.2.1 Licensed Software Development Review Report	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 200,353.85	$ 18,213.99
20		7.3	Deliverable 7.3.1 RMIS Licensed Software SDLC Standards	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 200,353.85	$ 18,213.99
21		7.4	Deliverable 7.4.1 Licensed Software Components/Modules and Conversion Software Programs/Tools	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 200,353.85	$ 18,213.99
22		7.5	Deliverable 7.5.1 Unit Test Template	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
23			Deliverable 7.5.2 Unit Test Procedures and Results Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
24		7.6	Deliverable 7.6.1 Interface Control Document	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
25			Deliverable 7.6.2 Interface Test Procedures and Results Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
26			Deliverable 7.6.3 Interface Documentation	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 200,353.85	$ 18,213.99
			Total	**$ 725,715.56**	**$ 72,571.56**	**$ 449,550.71**	**$ 44,955.07**	**$ 214,081.90**	**$ 21,408.19**	**$ 67,770.76**	**$ 6,777.08**	**$ 1,596,053.75**	**$ 145,711.89**

SCHEDULE B

27	Task 8 Testing	8.1	Deliverable 8.1.1 Master Test Plan	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 400,707.71	$ 36,427.97
28		8.2	Deliverable 8.2.1 Integration Test Plan	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 200,353.85	$ 18,213.99
29			Deliverable 8.2.2 Integration Test Procedures	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
30			Deliverable 8.2.3 Integration Test Results Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
31			Deliverable 8.2.4 Integration Test Summary Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
32			Deliverable 8.2.5 System Test Plan	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
33			Deliverable 8.2.6 System Test Procedures	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
34			Deliverable 8.2.7 System Test Results Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
35			Deliverable 8.2.8 System Test Summary Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
36		8.3	Deliverable 8.3.1 Recommend User Acceptance Test Plan	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
37			Deliverable 8.3.2 User Acceptance Test Procedures/Scenarios Inventory Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
38			Deliverable 8.3.3 User Acceptance Test Weekly Status Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 100,176.93	$ 9,106.99
39			Deliverable 8.3.4 User Acceptance Test Certification of Successful Completion **KEY**	$ 453,572.22	$ 90,714.44	$ 280,969.20	$ 56,193.84	$ 133,801.19	$ 26,760.24	$ 42,356.72	$ 8,471.34	$ 910,699.33	$ 182,139.87
			Total	**$ 1,179,287.78**	**$ 163,286.00**	**$ 730,519.91**	**$ 101,148.91**	**$ 347,883.09**	**$ 48,168.43**	**$ 110,127.48**	**$ 15,248.42**	**$ 2,367,818.26**	**$ 327,851.76**

SCHEDULE B

40	Task 9 Implementation Planning	9.1	Deliverable 9.1.1 Implementation Master Plan	$ 453,572.22	$ 45,357.22	$ 280,969.20	$ 28,096.92	$ 133,801.19	$ 13,380.12	$ 42,356.72	$ 4,235.67	$ 997,533.59	$ 91,069.93
41		9.2	Deliverable 9.2.1 Update Conversion Plan	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 199,506.72	$ 18,213.99
42		9.3	Deliverable 9.3.1 RMIS Training Plans	$ 90,714.44	$ 9,071.44	$ 56,193.84	$ 5,619.38	$ 26,760.24	$ 2,676.02	$ 8,471.34	$ 847.13	$ 199,506.72	$ 18,213.99
		Total		**$ 635,001.11**	**$ 63,500.11**	**$ 393,356.88**	**$ 39,335.69**	**$ 187,321.66**	**$ 18,732.17**	**$ 59,299.41**	**$ 5,929.94**	**$ 1,402,476.97**	**$ 127,497.91**
43	Task 10 Implementation Preparation	10.1	Deliverable 10.1.1 Documentation	$ 181,428.89	$ 18,142.89	$ 112,387.68	$ 11,238.77	$ 53,520.48	$ 5,352.05	$ 16,942.69	$ 1,694.27	$ 364,279.73	$ 36,427.97
44		10.2	Deliverable 10.2.1 RMIS Helpdesk Procedures	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 99,753.36	$ 9,106.99
45		10.3	Deliverable 10.3.1 RMIS Training Materials	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 99,753.36	$ 9,106.99
46		10.4	Deliverable 10.4.1 Certification of Operational Readiness	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 99,753.36	$ 9,106.99
47		10.5	Deliverable 10.5.1 Certification of Implementation Readiness Report and Plans Update	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 99,753.36	$ 9,106.99
		Total		**$ 362,857.78**	**$ 36,285.78**	**$ 224,775.36**	**$ 22,477.54**	**$ 107,040.95**	**$ 10,704.10**	**$ 33,885.38**	**$ 3,388.54**	**$ 801,415.41**	**$ 72,855.95**
48	Task 11 Implementation	11.1	Deliverable 11.1.1 Conversion Results Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
49			Deliverable 11.1.2 Conversion Final Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
50		11.2	Deliverable 11.2.1 RMIS Training Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
51		11.3	Deliverable 11.3.1 Certification of Local Office Site Readiness	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
52		11.4	Deliverable 11.4.1 Local Office Site Implementation Interim Reports	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
53		11.5	Deliverable 11.5.1 Implementation Report	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
54			Deliverable 11.5.2 Certification of Implementation	$ 45,357.22	$ 4,535.72	$ 28,096.92	$ 2,809.69	$ 13,380.12	$ 1,338.01	$ 4,235.67	$ 423.57	$ 91,069.93	$ 9,106.99
		Total		**$ 317,500.56**	**$ 31,750.06**	**$ 196,678.44**	**$ 19,667.84**	**$ 93,660.83**	**$ 9,366.08**	**$ 29,649.71**	**$ 2,964.97**	**$ 698,273.51**	**$ 63,748.95**
			GRAND TOTAL	**$ 8,028,228.34**	**$ 1,074,966.17**	**$ 4,973,154.78**	**$ 665,897.00**	**$ 2,368,281.05**	**$ 317,108.82**	**$ 749,714.01**	**$ 100,385.44**	**$ 18,177,350.16**	**$ 2,158,357.42**

SCHEDULE C

#	TASKS	SUBTASKS	DELIVERABLES	MODULE ONE	MODULE ONE HOLDBACKS	MODULE TWO	MODULE TWO HOLDBACKS	MODULE THREE	MODULE THREE HOLDBACKS	MODULE FOUR	MODULE FOUR HOLDBACKS	TOTALS (Across 4 modules per Deliverable)	TOTAL HOLDBACKS (All Modules)
55	**Task 12 Phase 2 (Performance Verification Phase)**	12.1	Deliverable 12.1.1 Specialized Training Reports	$ 136,071.67	$ -	$ 84,290.76	$ -	$ 40,140.36	$ -	$ 12,707.02	$ -	$ 273,209.80	$ -
56		12.2	Deliverable 12.2.1 RMIS Transition Plan	$ 136,071.67	$ -	$ 84,290.76	$ -	$ 40,140.36	$ -	$ 12,707.02	$ -	$ 273,209.80	$ -
57		12.3	Deliverable 12.3.1 Performance Verfication Report	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
			Total	**$ 272,143.33**	$ -	**$ 168,581.52**	$ -	**$ 80,280.71**	$ -	**$ 25,414.03**	$ -	**$ 546,419.60**	$ -
58	**Task 13 Phase 3 (Operational Phase)**	13.1	Deliverable 13.1.1 Ongoing Specialized Training Reports	$ 45,357.22	$ -	$ 28,096.92	$ -	$ 13,380.12	$ -	$ 4,235.67	$ -	$ 91,069.93	$ -
59		13.2	Deliverable 13.2.1 Final Acceptance Report	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
60			Deliverable 13.2.2 Final Acceptance Certification **KEY**	$ 680,358.33	$ -	$ 421,453.79	$ -	$ 200,701.78	$ -	$ 63,535.09	$ -	$ 1,366,049.00	$ -
61		13.3	Deliverable 13.3.1 Certification of Completion of Outgoing Transition Support	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
			Total	**$ 725,715.56**	$ -	**$ 449,550.71**	$ -	**$ 214,081.90**	$ -	**$ 67,770.76**	$ -	**$ 1,457,118.93**	$ -
62	**Task 14 Performance Requirements Summary**	14.1	Deliverable 14.1.1 Performance Requirements Summary Chart Report										
63			Deliverable 14.1.2 Performance Requirements Summary Chart Update										
64			Deliverable 14.1.3 Performance Requirements Summary Completion										
			Total	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
65	**Task 15 Contract Discrepancy Report**	15.1	Deliverable 15.1.1 Contract Discrepancy Report										
66			Deliverable 15.1.2 Contract Discrepancy Report Update										
67			Deliverable 15.1.3 Contract Discrepancy Report Completion										
			Total	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
68	**Task 16 Green Initiatives**	16.1	Deliverable 16.1.1 Green Initiative Compliance Plan	$ 45,357.22	$ -	$ 28,096.92	$ -	$ 13,380.12	$ -	$ 4,235.67	$ -	$ 91,069.93	$ -
69		16.2	Deliverable 16.2.1 Green Initiative Implementation Report	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
			Total	**$ 45,357.22**	$ -	**$ 28,096.92**	$ -	**$ 13,380.12**	$ -	**$ 4,235.67**	$ -	**$ 91,069.93**	$ -
			GRAND TOTAL	**$ 1,043,216.11**	$ -	**$ 646,229.15**	$ -	**$ 307,742.73**	$ -	**$ 97,420.47**	$ -	**$ 2,094,608.46**	$ -

SCHEDULE D
SUPPORT SERVICES FEES (LICENSE AND MAINTENANCE COSTS)

#	SUPPORT FEES	MODULE ONE	MODULE TWO	MODULE THREE	MODULE FOUR	TOTALS (Across 4 modules)
1	MONTHLY MAINTENANCE FEE (INITIAL TERM)	$ 82,041.05	$ 50,821.03	$ 24,201.64	$ 7,661.38	$ 164,725.10
2	MONTHLY LICENSE FEE (INITIAL TERM)	$ 12,804.09	$ 7,931.61	$ 3,777.13	$ 1,195.71	$ 25,708.54
3	TOTAL	$ 94,845.15	$ 58,752.64	$ 27,978.77	$ 8,857.09	$ 190,433.64
4	TOTAL (60-MONTHS)	**$ 5,690,708.73**	**$ 3,525,158.24**	**$ 1,678,726.25**	**$ 531,425.35**	**$ 11,426,018.57**
5	MONTHLY MAINTENANCE FEE (FIRST, TWO-YEAR OPTION TERM)	$ 84,502.28	$ 52,345.66	$ 24,927.69	$ 7,891.22	$ 169,666.85
6	MONTHLY LICENSE FEE (FIRST, TWO-YEAR OPTION TERM)	$ 13,188.22	$ 8,169.55	$ 3,890.45	$ 1,231.58	$ 26,479.80
7	TOTAL	$ 97,690.50	$ 60,515.22	$ 28,818.13	$ 9,122.80	$ 196,146.65
8	TOTAL (24-MONTHS)	**$ 2,344,572.00**	**$ 1,452,365.20**	**$ 691,635.21**	**$ 218,947.25**	**$ 4,707,519.65**
8	MONTHLY MAINTENANCE FEE (SECOND, TWO-YEAR OPTION TERM)	$ 86,192.33	$ 53,392.58	$ 25,426.24	$ 8,049.05	$ 173,060.19
9	MONTHLY LICENSE FEE (SECOND, TWO-YEAR OPTION TERM)	$ 13,451.98	$ 8,332.95	$ 3,968.26	$ 1,256.21	$ 27,009.39
10	TOTAL	$ 99,644.31	$ 61,725.52	$ 29,394.50	$ 9,305.26	$ 200,069.59
11	TOTAL (24-MONTHS)	**$ 2,391,463.44**	**$ 1,481,412.50**	**$ 705,467.92**	**$ 223,326.19**	**$ 4,801,670.05**
11	MONTHLY MAINTENANCE FEE (THIRD, TWO-YEAR OPTION TERM)	$ 87,916.17	$ 54,460.43	$ 25,934.76	$ 8,210.03	$ 176,521.40
12	MONTHLY LICENSE FEE (THIRD, TWO-YEAR OPTION TERM)	$ 13,721.02	$ 8,499.60	$ 4,047.62	$ 1,281.33	$ 27,549.58
13	TOTAL	$ 101,637.20	$ 62,960.03	$ 29,982.39	$ 9,491.36	$ 204,070.98
14	TOTAL (24-MONTHS)	**$ 2,439,292.71**	**$ 1,511,040.75**	**$ 719,577.28**	**$ 227,792.71**	**$ 4,897,703.45**
14	MONTHLY MAINTENANCE FEE (SIX-MONTH OPTION TERM)	$ 88,863.72	$ 55,047.39	$ 26,214.29	$ 8,298.52	$ 178,423.92
15	MONTHLY LICENSE FEE (SIX-MONTH OPTION TERM)	$ 13,868.90	$ 8,591.21	$ 4,091.25	$ 1,295.15	$ 27,846.51
16	TOTAL	$ 102,732.63	$ 63,638.61	$ 30,305.53	$ 9,593.66	$ 206,270.43
17	TOTAL (6-MONTHS)	**$ 616,395.77**	**$ 381,831.64**	**$ 181,833.20**	**$ 57,561.97**	**$ 1,237,622.57**
16	MONTHLY MAINTENANCE FEE (If Early Implementation Is Achieved by End of Year 3)	$ 89,876.85	$ 55,672.73	$ 26,513.73	$ 8,393.89	$ 180,457.20
17	MONTHLY LICENSE FEE (If Early Implementation Is Achieved by End of Year 3)	$ 14,027.02	$ 8,688.81	$ 4,137.98	$ 1,310.03	$ 28,163.84
18	TOTAL	$ 103,903.87	$ 64,361.53	$ 30,651.71	$ 9,703.92	$ 208,621.04
19	TOTAL (24-MONTHS)	**$ 2,493,692.92**	**$ 1,544,676.78**	**$ 735,641.14**	**$ 232,894.16**	**$ 5,006,905.00**
	GRAND TOTAL FOR ALL SUPPORT FEES (MAINTENANCE FEES AND LICENSE FEES) (16.5 YEARS)	**$ 13,482,432.64**	**$ 8,351,808.33**	**$ 3,977,239.85**	**$ 1,259,053.47**	**$ 27,070,534.28**

All Hosting Service costs are included in the above Support Fees.

EXHIBIT C

CONTRACTOR'S PROJECT SCHEDULE

[INCORPORATED BY REFERENCE]

EXHIBIT C

CONTRACTOR'S PROJECT SCHEDULE

Contractor's Project Schedule incorporated with the Project Control Document, and any subsequent revisions to the Project Schedule, are incorporated by reference.

EXHIBIT D

CONTRACTOR'S EEO CERTIFICATION

EXHIBIT D

CONTRACTOR'S EEO CERTIFICATION

Ventiv Technology, Inc.
Contractor Name

227 West Monroe Street, Suite 650 Chicago Illinois 60606
Address

68-0331363 [Federal ID No.]
Internal Revenue Service Employer Identification Number

GENERAL CERTIFICATION

In accordance with Section 4.32.010 of the Code of the County of Los Angeles, the contractor, supplier, or vendor certifies and agrees that all persons employed by such firm, its affiliates, subsidiaries, or holding companies are and will be treated equally by the firm without regard to or because of race, religion, ancestry, national origin, or sex and in compliance with all anti-discrimination laws of the United States of America and the State of California.

CONTRACTOR'S SPECIFIC CERTIFICATIONS

1.	The Contractor has a written policy statement prohibiting discrimination in all phases of employment.	Yes ☐	No ☐
2.	The Contractor periodically conducts a self-analysis or utilization analysis of its work force.	Yes ☐	No ☐
3.	The Contractor has a system for determining if its employment practices are discriminatory against protected groups.	Yes ☐	No ☐
4.	Where problem areas are identified in employment practices, the Contractor has a system for taking reasonable corrective action, to include establishment of goals or timetables.	Yes ☐	No ☐

Authorized Official's Printed Name and Title

Authorized Official's Signature

Date

EXHIBIT E

COUNTY'S ADMINISTRATION

EXHIBIT E

COUNTY'S ADMINISTRATION

CONTRACT NO. AO-18-411

COUNTY PROJECT DIRECTOR:

Name: *Steven T. Robles*

Title: *Assistant Chief Executive Officer*

Address: 3333 Wilshire Boulevard, Suite 820
Los Angeles, California 90010

Telephone: *(213) 351-5346* *Facsimile:* *(213) 252-0404*

E-Mail Address: *srobles@ceo.lacounty.com*

COUNTY PROJECT MANAGER:

Name: *Steven NyBlom*

Title: *Manager, CEO*

Address: 3333 Wilshire Boulevard, Suite 1000
Los Angeles, California 90010

Telephone: *(213) 738-2214* *Facsimile:* *(213) 252-0404*

E-Mail Address: *snyblom@ceo.lacounty.gov*

NOTICES PER THE AGREEMENT SHALL BE SENT TO COUNTY PROJECT DIRECTOR AND COUNTY PROJECT MANAGER.

CONTRACT NO. AO-18-411

COUNTY CONTRACT PROJECT MONITOR: (Claims Management System)

Name: *Lloyd Pantell*

Title: *Chief Program Specialist*

Address: 3333 Wilshire Boulevard, Suite 820
Los Angeles, California 90010

Telephone: *(213) 351-3436* *Facsimile:* *(213) 252-0404*

E-Mail Address: *lpantell@ceo.lacounty.gov*

COUNTY CONTRACT PROJECT MONITOR: (Matter Management, E-Billing and Time Keeping)

Name: *Matthew Der*

Title: *Department Chief Information Officer*

Address: 684 Kenneth Hahn Hall of Administration/500 West Temple Street
Los Angeles, California 90010

Telephone: *(213) 974-1959* *Facsimile:* *(213) 625-2389*

E-Mail Address: *mder@counsel.lacounty.gov*

CONTRACT NO. AO-18-411

COUNTY CONTRACT PROJECT MONITOR: (Risk Compliance Management)

Name: *Destiny Castro*

Title: *Chief Program Specialist*

Address: 3333 Wilshire Boulevard, Suite 820
Los Angeles, California 90010

Telephone: *(213) 738-2194* *Facsimile:* *(213) 252-0404*

E-Mail Address: *dcastro@ceo.lacounty.gov*

COUNTY CONTRACT PROJECT MONITOR: (Workers' Compensation System)

Name: *Alex Rossi*

Title: *Manager, CEO*

Address: 3333 Wilshire Boulevard, Suite 820
Los Angeles, California 90010

Telephone: *(213) 738-2154* *Facsimile:* *(213) 252-0404*

E-Mail Address: *arossi@ceo.lacounty.gov*

CONTRACT NO. AO-18-411

COUNTY CONTRACT PROJECT MONITOR: (Disability Management System)

Name: *Indira "Didi" Richards*

Title: *Principal Analyst, Human Resources*

Address: 3333 Wilshire Boulevard, Suite 1000
Los Angeles, California 90010

Telephone: *(213) 351-5362* *Facsimile:* *(213) 351-2744*

E-Mail Address: *irichards@hr.lacounty.gov*

COUNTY CONTRACT PROJECT MONITOR: (Loss Control and Prevention System)

Name: *Robert "Bob" Chavez*

Title: *Chief Program Specialist*

Address: 3333 Wilshire Boulevard, Suite 1000
Los Angeles, California 90010

Telephone: *(213)351-6433* *Facsimile:* *(213) 252-0404*

E-Mail Address: rchavez@ceo.lacounty.gov

EXHIBIT F

CONTRACTOR'S ADMINISTRATION

EXHIBIT F

CONTRACTOR'S NAME: VENTIV TECHNOLOGY, INC.

CONTRACT NO: AO-18-411

CONTRACTOR'S PROJECT DIRECTOR:

Name: Dawn Zoppa
Title: VP, Client Delivery
Address: 227 W. Monroe Street, Suite 650
Chicago, IL 60606
Telephone: 312-635-4183
Facsimile: N/A
E-Mail Address: dawn.zoppa@ventivtech.com

CONTRACTOR'S PROJECT MANAGER:

Name: Kevin Hargis
Title: Project Delivery Lead
Address: 5000 Executive Parkway, Suite 560
San Ramon, CA 94583
Telephone: 916-407-0030
Facsimile: N/A
E-Mail Address: kevin.hargis@ventivtech.com

CONTRACTOR'S AUTHORIZED OFFICIAL(S)

Name: Bill Diaz
Title: CEO
Address: 3350 Riverwood Parkway, Suite #2000, 20th Floor
Atlanta, GA 30339
Telephone: 770-308-5600
Facsimile: N/A
E-Mail Address: bill@ventivtech.com

Name: Douglas Wilson
Title: VP, Global Operations
Address: 3350 Riverwood Parkway, Suite #2000, 20th Floor
Atlanta, GA 30339
Telephone: 770-308-5425
Facsimile: N/A
E-Mail Address: doug.wilson@ventivtech.com

NOTICES TO CONTRACTOR SHALL BE SENT TO THE FOLLOWING:

Name: Douglas Wilson
Title: VP, Global Operations
Address: 3350 Riverwood Parkway, Suite #2000, 20th Floor
Atlanta, GA 30339
Telephone: 770-308-5425
Facsimile: N/A
E-Mail Address: doug.wilson@ventivtech.com

Name: Kevin Hargis
Title: Project Delivery Lead
Address: 5000 Executive Parkway, Suite 560
San Ramon, CA 94583
Telephone: 916-407-0030
Facsimile: N/A
E-Mail Address: kevin.hargis@ventivtech.com

EXHIBIT G-1

CONTRACTOR EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

CONTRACTOR EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

(Note: This certification is to be executed and returned to County with Contractor's executed Contract. Work cannot begin on the Contract until County receives this executed document.)

Contractor Name _____ Contract No._____

Employee Name _____

GENERAL INFORMATION:

Your employer referenced above has entered into a contract with the County of Los Angeles to provide certain services to the County. Your employer is required by the County to obtain your signature on this Contractor Employee Acknowledgement and Confidentiality Agreement.

EMPLOYEE ACKNOWLEDGEMENT:

I understand and agree that the Contractor referenced above is my sole employer for purposes of the above-referenced contract. I understand and agree that I must rely exclusively upon my employer for payment of salary and any and all other benefits payable to me or on my behalf by virtue of my performance of work under the above-referenced contract.

I understand and agree that I am not an employee of the County of Los Angeles for any purpose whatsoever and that I do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced contract. I understand and agree that I do not have and will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

I understand and agree that I may be required to undergo a background and security investigation(s). I understand and agree that my continued performance of work under the above-referenced contract is contingent upon my passing, to the satisfaction of my employer based upon contractual requirements established by the County, any and all such investigations. I understand and agree that my failure to pass, to the satisfaction of my employer based upon contractual requirements established by the County, any such investigation shall result in my immediate reassignment to another project for my employer not involving the County.

CONFIDENTIALITY AGREEMENT:

I may be involved with work pertaining to services provided by the County of Los Angeles and, if so, I may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, I may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. I understand that because I am involved in County work, the County must ensure that I, too, will protect the confidentiality of such data and information. Consequently, I understand that I must sign this agreement as a condition of my work to be provided by my employer for the County. I have read this agreement and have taken due time to consider it prior to signing.

I hereby agree that I will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced contract between my employer and the County of Los Angeles. I agree to forward all requests for the release of any data or information received by me to my immediate supervisor.

I agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information and all other original materials produced, created, or provided to or by me under the above-referenced contract. I agree to protect these confidential materials against disclosure to other than my employer or County employees who have a need to know the information. I agree that if proprietary information supplied by other County vendors is provided to me during this employment, I shall keep such information confidential.

I agree to report to my immediate supervisor any and all violations of this agreement by myself and/or by any other person of whom I become aware. I agree to return all confidential materials to my immediate supervisor upon completion of this contract or termination of my employment with my employer, whichever occurs first.

SIGNATURE: _____ DATE: _____/_____/_____

PRINTED NAME: _____

POSITION: _____

EXHIBIT G-2

CONTRACTOR NON-EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

CONTRACTOR NON-EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

(Note: This certification is to be executed and returned to County with Contractor's executed Contract. Work cannot begin on the Contract until County receives this executed document.)

Contractor Name _____ Contract No._____

Non-Employee Name _____

GENERAL INFORMATION:

The Contractor referenced above has entered into a contract with the County of Los Angeles to provide certain services to the County. The Contractor reference above is required by the County to obtain your signature on this Contractor Non-Employee Acknowledgement and Confidentiality Agreement.

NON-EMPLOYEE ACKNOWLEDGEMENT:

I understand and agree that the Contractor referenced above has exclusive control for purposes of the above-referenced contract. I understand and agree that I must rely exclusively upon the Contractor referenced above for payment of salary and any and all other benefits payable to me or on my behalf by virtue of my performance of work under the above-referenced contract.

I understand and agree that I am not an employee of the County of Los Angeles for any purpose whatsoever and that I do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced contract. I understand and agree that I do not have and will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

I understand and agree that I may be required to undergo a background and security investigation(s). I understand and agree that my continued performance of work under the above-referenced contract is contingent upon my passing, to the satisfaction of the above-referenced Contractor based upon contractual requirements established by the County, any and all such investigations. I understand and agree that my failure to pass, to the satisfaction of the above-referenced Contractor based upon contractual requirements established by the County, any such investigation shall result in my immediate reassignment to another project for the above-referenced Contractor not involving the County.

CONFIDENTIALITY AGREEMENT:

I may be involved with work pertaining to services provided by the County of Los Angeles and, if so, I may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, I may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. I understand that because I am involved in County work, the County must ensure that I, too, will protect the confidentiality of such data and information. Consequently, I understand that I must sign this agreement as a condition of my work to be provided by the above-referenced Contractor for the County. I have read this agreement and have taken due time to consider it prior to signing.

I hereby agree that I will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced contract between the above-referenced Contractor and the County of Los Angeles. I agree to forward all requests for the release of any data or information received by me to the above-referenced Contractor.

I agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information, and all other original materials produced, created, or provided to or by me under the above-referenced contract. I agree to protect these confidential materials against disclosure to other than the above-referenced Contractor or County employees who have a need to know the information. I agree that if proprietary information supplied by other County vendors is provided to me, I shall keep such information confidential.

I agree to report to the above-referenced Contractor any and all violations of this agreement by myself and/or by any other person of whom I become aware. I agree to return all confidential materials to the above-referenced Contractor upon completion of this contract or termination of my services hereunder, whichever occurs first.

SIGNATURE: _____ DATE: _____/_____/_____

PRINTED NAME: _____

POSITION: _____

EXHIBIT H

JURY SERVICE ORDINANCE

EXHIBIT H

Title 2 ADMINISTRATION
Chapter 2.203.010 through 2.203.090
CONTRACTOR EMPLOYEE JURY SERVICE

2.203.010 Findings.

The board of supervisors makes the following findings. The county of Los Angeles allows its permanent, full-time employees unlimited jury service at their regular pay. Unfortunately, many businesses do not offer or are reducing or even eliminating compensation to employees who serve on juries. This creates a potential financial hardship for employees who do not receive their pay when called to jury service, and those employees often seek to be excused from having to serve. Although changes in the court rules make it more difficult to excuse a potential juror on grounds of financial hardship, potential jurors continue to be excused on this basis, especially from longer trials. This reduces the number of potential jurors and increases the burden on those employers, such as the county of Los Angeles, who pay their permanent, full-time employees while on juror duty. For these reasons, the county of Los Angeles has determined that it is appropriate to require that the businesses with which the county contracts possess reasonable jury service policies. (Ord. 2002-0015 § 1 (part), 2002)

2.203.020 Definitions.

The following definitions shall be applicable to this chapter:

A. "Contractor" means a person, partnership, corporation or other entity which has a contract with the county or a subcontract with a county contractor and has received or will receive an aggregate sum of $50,000 or more in any 12-month period under one or more such contracts or subcontracts.

B. "Employee" means any California resident who is a full-time employee of a contractor under the laws of California.

C. "Contract" means any agreement to provide goods to, or perform services for or on behalf of, the county but does not include:

1. A contract where the board finds that special circumstances exist that justify a waiver of the requirements of this chapter; or

2. A contract where federal or state law or a condition of a federal or state program mandates the use of a particular contractor; or

3. A purchase made through a state or federal contract; or

4. A monopoly purchase that is exclusive and proprietary to a specific manufacturer, distributor, or reseller, and must match and inter-member with existing supplies, equipment or systems maintained by the county pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section P-3700 or a successor provision; or

5. A revolving fund (petty cash) purchase pursuant to the Los Angeles County Fiscal Manual, Section 4.4.0 or a successor provision; or

6. A purchase card purchase pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section P-2810 or a successor provision; or

7. A non-agreement purchase with a value of less than $5,000 pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section A-0300 or a successor provision; or

8. A bona fide emergency purchase pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section PP-1100 or a successor provision.

D. "Full time" means 40 hours or more worked per week, or a lesser number of hours if:

1. The lesser number is a recognized industry standard as determined by the chief administrative officer, or

2. The contractor has a long-standing practice that defines the lesser number of hours as full time.

E. "County" means the county of Los Angeles or any public entities for which the board of supervisors is the governing body. (Ord. 2002-0040 § 1, 2002: Ord. 2002-0015 § 1 (part), 2002)

2.203.030 Applicability.

This chapter shall apply to contractors who enter into contracts that commence after July 11, 2002. This chapter shall also apply to contractors with existing contracts which are extended into option years that commence after July 11, 2002. Contracts that commence after May 28, 2002, but before July 11, 2002, shall be subject to the provisions of this chapter only if the solicitations for such contracts stated that the chapter would be applicable. (Ord. 2002-0040 § 2, 2002: Ord. 2002-0015 § 1 (part), 2002)

2.203.040 Contractor Jury Service Policy.

A contractor shall have and adhere to a written policy that provides that its employees shall receive from the contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that employees deposit any fees received for such jury service with the contractor or that the contractor deduct from the employees' regular pay the fees received for jury service. (Ord. 2002-0015 § 1 (part), 2002)

2.203.050 Other Provisions.

A. Administration. The chief administrative officer shall be responsible for the administration of this chapter. The chief administrative officer may, with the advice of county counsel, issue interpretations of the provisions of this chapter and shall issue written instructions on the implementation and ongoing administration of this chapter. Such instructions may provide for the delegation of functions to other county departments.

B. Compliance Certification. At the time of seeking a contract, a contractor shall certify to the county that it has and adheres to a policy consistent with this chapter or will have and adhere to such a policy prior to award of the contract. (Ord. 2002-0015 § 1 (part), 2002)

2.203.060 Enforcement and Remedies.

For a contractor's violation of any provision of this chapter, the county department head responsible for administering the contract may do one or more of the following:

1. Recommend to the board of supervisors the termination of the contract; and/or,

2. Pursuant to chapter 2.202, seek the debarment of the contractor. (Ord. 2002-0015 § 1 (part), 2002)

2.203.070. Exceptions.

A. Other Laws. This chapter shall not be interpreted or applied to any contractor or to any employee in a manner inconsistent with the laws of the United States or California.

B. Collective Bargaining Agreements. This chapter shall be superseded by a collective bargaining agreement that expressly so provides.

C. Small Business. This chapter shall not be applied to any contractor that meets all of the following:

1. Has ten or fewer employees during the contract period; and,

2. Has annual gross revenues in the preceding twelve months which, if added to the annual amount of the contract awarded, are less than $500,000; and,

3. Is not an affiliate or subsidiary of a business dominant in its field of operation.

"Dominant in its field of operation" means having more than ten employees and annual gross revenues in the preceding twelve months which, if added to the annual amount of the contract awarded, exceed $500,000.

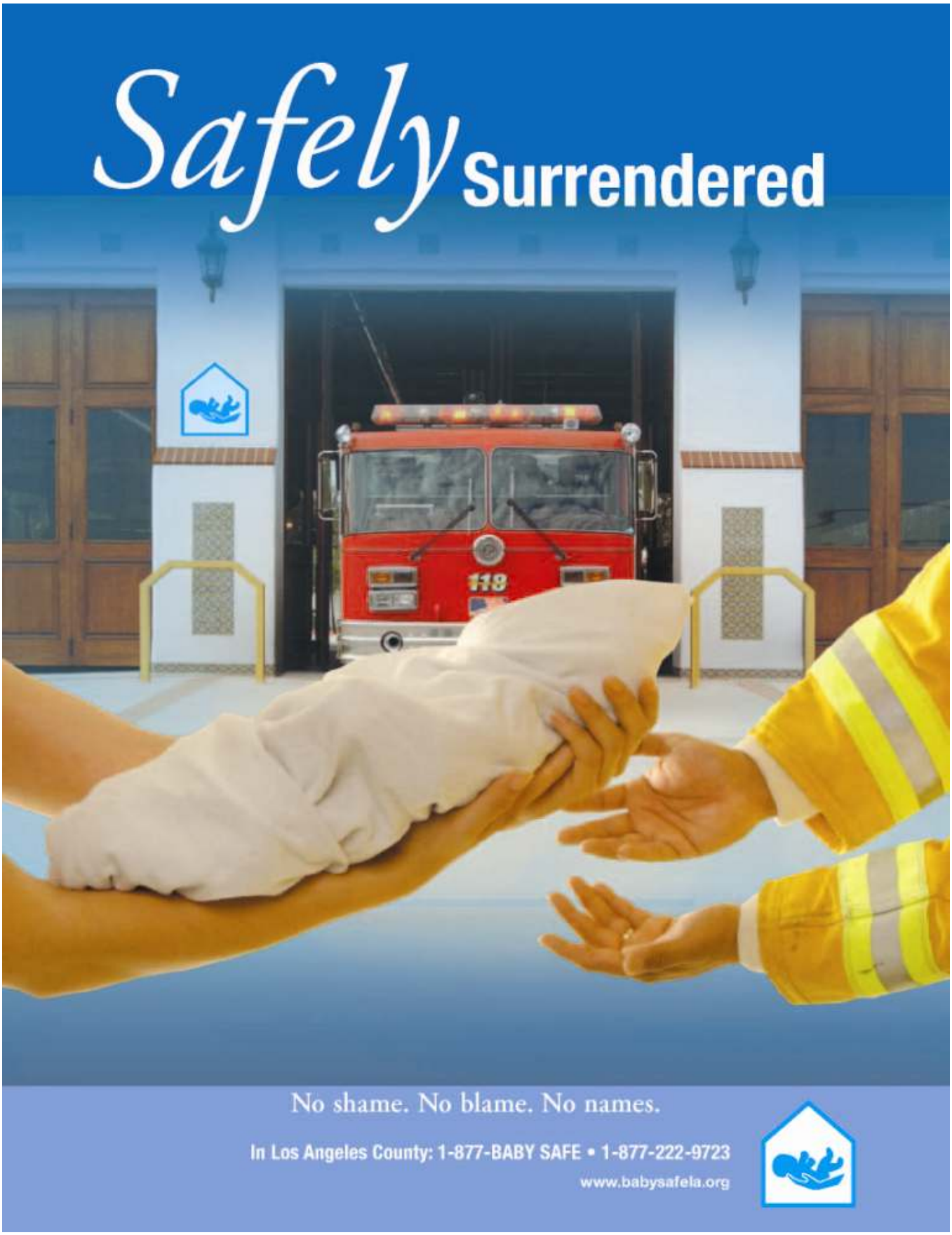
"Affiliate or subsidiary of a business dominant in its field of operation" means a business which is at least 20 percent owned by a business dominant in its field of operation, or by partners, officers, directors, majority stockholders, or their equivalent, of a business dominant in that field of operation. (Ord. 2002-0015 § 1 (part), 2002)

2.203.090. Severability.

If any provision of this chapter is found invalid by a court of competent jurisdiction, the remaining provisions shall remain in full force and effect. (Ord. 2002-0015 § 1 (part), 2002)

EXHIBIT I

SAFELY SURRENDERED BABY LAW


Safely Surrendered
No shame. No blame. No names.
In Los Angeles County: 1-877-BABY SAFE • 1-877-222-9723
www.babysafela.org

Safely Surrendered Baby Law

In Los Angeles County: 1-877-BABY SAFE • 1-877-222-9723
www.babysafela.org

What is the Safely Surrendered Baby Law?

California's Safely Surrendered Baby Law allows parents or other persons, with lawful custody, which means anyone to whom the parent has given permission to confidentially surrender a baby. As long as the baby is three days (72 hours) of age or younger and has not been abused or neglected, the baby may be surrendered without fear of arrest or prosecution.

Every baby deserves a chance for a healthy life. If someone you know is considering abandoning a baby, let her know there are other options. For three days (72 hours) after birth, a baby can be surrendered to staff at any hospital or fire station in Los Angeles County.

How does it work?

A distressed parent who is unable or unwilling to care for a baby can legally, confidentially, and safely surrender a baby within three days (72 hours) of birth. The baby must be handed to an employee at a hospital or fire station in Los Angeles County. As long as the baby shows no sign of abuse or neglect, no name or other information is required. In case the parent changes his or her mind at a later date and wants the baby back, staff will use bracelets to help connect them to each other. One bracelet will be placed on the baby, and a matching bracelet will be given to the parent or other surrendering adult.

What if a parent wants the baby back?

Parents who change their minds can begin the process of reclaiming their baby within 14 days. These parents should call the Los Angeles County Department of Children and Family Services at **1-800-540-4000**.

Can only a parent bring in the baby?

No. While in most cases a parent will bring in the baby, the Law allows other people to bring in the baby if they have lawful custody.

Does the parent or surrendering adult have to call before bringing in the baby?

No. A parent or surrendering adult can bring in a baby anytime, 24 hours a day, 7 days a week, as long as the parent or surrendering adult surrenders the baby to someone who works at the hospital or fire station.

Does the parent or surrendering adult have to tell anything to the people taking the baby?

No. However, hospital or fire station personnel will ask the surrendering party to fill out a questionnaire designed to gather important medical history information, which is very useful in caring for the baby. The questionnaire includes a stamped return envelope and can be sent in at a later time.

What happens to the baby?

The baby will be examined and given medical treatment. Upon release from the hospital, social workers immediately place the baby in a safe and loving home and begin the adoption process.

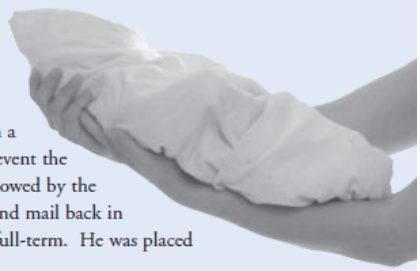
What happens to the parent or surrendering adult?

Once the parent or surrendering adult surrenders the baby to hospital or fire station personnel, they may leave at any time.

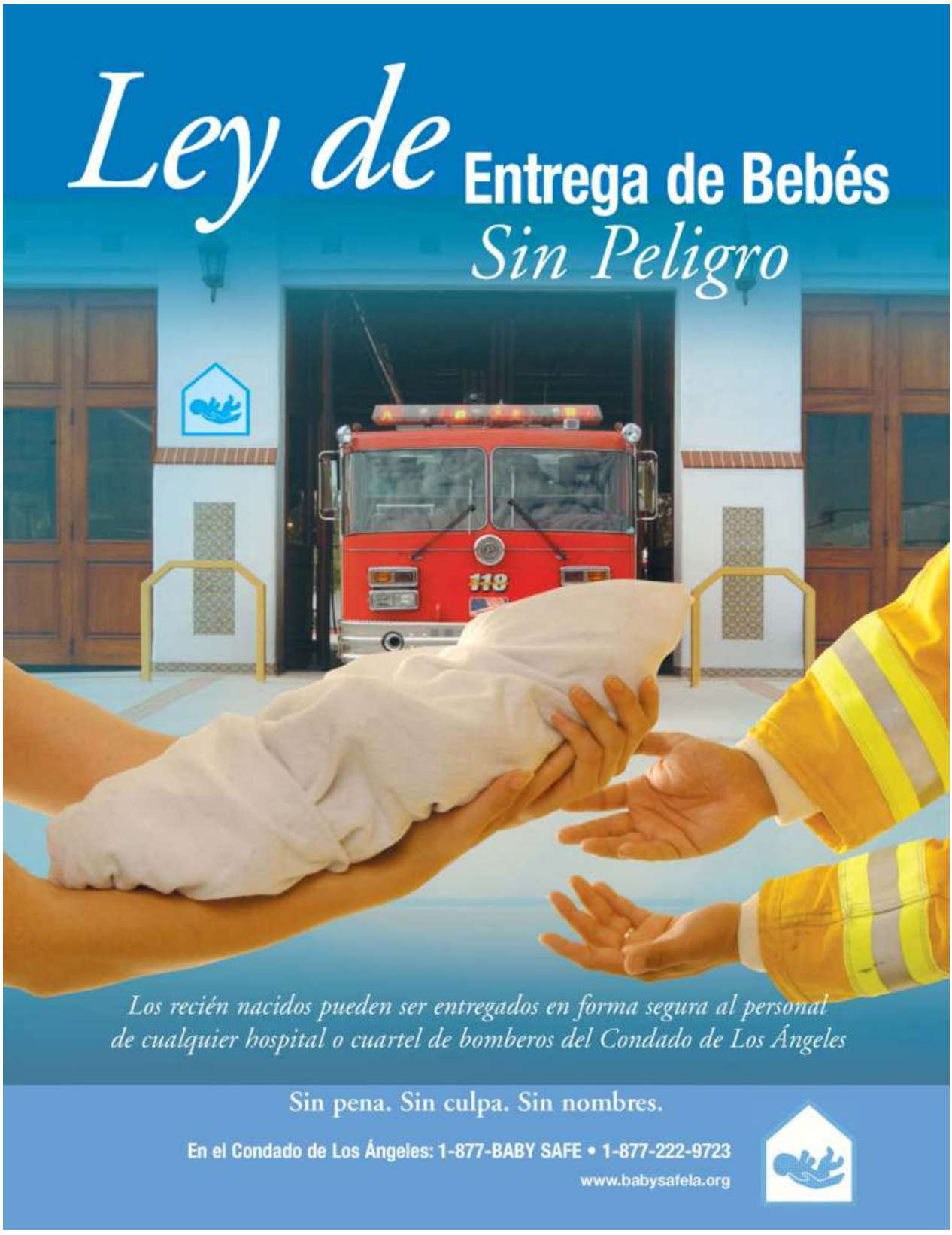
Why is California doing this?

The purpose of the **Safely Surrendered Baby Law** is to protect babies from being abandoned, hurt or killed by their parents. You may have heard tragic stories of babies left in dumpsters or public bathrooms. Their parents may have been under severe emotional distress. The mothers may have hidden their pregnancies, fearful of what would happen if their families found out. Because they were afraid and had no one or nowhere to turn for help, they abandoned their babies. Abandoning a baby is illegal and places the baby in extreme danger. Too often, it results in the baby's death. The **Safely Surrendered Baby Law** prevents this tragedy from ever happening again in California.

A baby's story



Early in the morning on April 9, 2005, a healthy baby boy was safely surrendered to nurses at Harbor-UCLA Medical Center. The woman who brought the baby to the hospital identified herself as the baby's aunt and stated the baby's mother had asked her to bring the baby to the hospital on her behalf. The aunt was given a bracelet with a number matching the anklet placed on the baby; this would provide some identification in the event the mother changed her mind about surrendering the baby and wished to reclaim the baby in the 14-day period allowed by the Law. The aunt was also provided with a medical questionnaire and said she would have the mother complete and mail back in the stamped return envelope provided. The baby was examined by medical staff and pronounced healthy and full-term. He was placed with a loving family that had been approved to adopt him by the Department of Children and Family Services.


Ley de Entrega de Bebés Sin Peligro
Los recién nacidos pueden ser entregados en forma segura al personal de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles
Sin pena. Sin culpa. Sin nombres.
En el Condado de Los Ángeles: 1-877-BABY SAFE • 1-877-222-9723
www.babysafela.org

En el Condado de Los Ángeles: 1-877-BABY SAFE • 1-877-222-9723
www.babysafela.org

Ley de Entrega de Bebés *Sin Peligro*

¿Qué es la Ley de Entrega de Bebés sin Peligro?

La Ley de Entrega de Bebés sin Peligro de California permite la entrega confidencial de un recién nacido por parte de sus padres u otras personas con custodia legal, es decir cualquier persona a quien los padres le hayan dado permiso. Siempre que el bebé tenga tres días (72 horas) de vida o menos, y no haya sufrido abuso ni negligencia, pueden entregar al recién nacido sin temor de ser arrestados o procesados.

Cada recién nacido se merece la oportunidad de tener una vida saludable. Si alguien que usted conoce está pensando en abandonar a un recién nacido, infórmele que tiene otras opciones. Hasta tres días (72 horas) después del nacimiento, se puede entregar un recién nacido al personal de cualquier hospital o cuartel de bomberos del condado de Los Angeles.

¿Cómo funciona?

El padre/madre con dificultades que no pueda o no quiera cuidar de su recién nacido puede entregarlo en forma legal, confidencial y segura dentro de los tres días (72 horas) del nacimiento. El bebé debe ser entregado a un empleado de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles. Siempre que el bebé no presente signos de abuso o negligencia, no será necesario suministrar nombres ni información alguna. Si el padre/madre cambia de opinión posteriormente y desea recuperar a su bebé, los trabajadores utilizarán brazaletes para poder vincularlos. El bebé llevará un brazalete y el padre/madre o el adulto que lo entregue recibirá un brazalete igual.

¿Qué pasa si el padre/madre desea recuperar a su bebé?

Los padres que cambien de opinión pueden comenzar el proceso de reclamar a su recién nacido dentro de los 14 días. Estos padres deberán llamar al Departamento de Servicios para Niños y Familias (Department of Children and Family Services) del Condado de Los Ángeles al **1-800-540-4000**.

¿Sólo los padres podrán llevar al recién nacido?

No. Si bien en la mayoría de los casos son los padres los que llevan al bebé, la ley permite que otras personas lo hagan *si tienen custodia legal.*

¿Los padres o el adulto que entrega al bebé deben llamar antes de llevar al bebé?

No. El padre/madre o adulto puede llevar al bebé en cualquier momento, las 24 horas del día, los 7 días de la semana, siempre y cuando entreguen a su bebé a un empleado del hospital o cuartel de bomberos.

¿Es necesario que el padre/madre o adulto diga algo a las personas que reciben al bebé?

No. Sin embargo, el personal del hospital o cuartel de bomberos le pedirá a la persona que entregue al bebé que llene un cuestionario con la finalidad de recabar antecedentes médicos importantes, que resultan de gran utilidad para cuidar bien del bebé. El cuestionario incluye un sobre con el sello postal pagado para enviarlo en otro momento.

¿Qué pasará con el bebé?

El bebé será examinado y le brindarán atención médica. Cuando le den el alta del hospital, los trabajadores sociales inmediatamente ubicarán al bebé en un hogar seguro donde estará bien atendido, y se comenzará el proceso de adopción.

¿Qué pasará con el padre/madre o adulto que entregue al bebé?

Una vez que los padres o adulto hayan entregado al bebé al personal del hospital o cuartel de bomberos, pueden irse en cualquier momento.

¿Por qué se está haciendo esto en California? ?

La finalidad de la **Ley de Entrega de Bebés sin Peligro** es proteger a los bebés para que no sean abandonados, lastimados o muertos por sus padres. Usted probablemente haya escuchado historias trágicas sobre bebés abandonados en basureros o en baños públicos. Los padres de esos bebés probablemente hayan estado pasando por dificultades emocionales graves. Las madres pueden haber ocultado su embarazo, por temor a lo que pasaría si sus familias se enteraran. Abandonaron a sus bebés porque tenían miedo y no tenían nadie a quien pedir ayuda. El abandono de un recién nacido es ilegal y pone al bebé en una situación de peligro extremo. Muy a menudo el abandono provoca la muerte del bebé. La **Ley de Entrega de Bebés sin Peligro** impide que vuelva a suceder esta tragedia en California.

Historia de un bebé

A la mañana temprano del día 9 de abril de 2005, se entregó un recién nacido saludable a las enfermeras del Harbor-UCLA Medical Center. La mujer que llevó el recién nacido al hospital se dio a conocer como la tía del bebé, y dijo que la madre le había pedido que llevara al bebé al hospital en su nombre. Le entregaron a la tía un brazalete con un número que coincidía con la pulsera del bebé; esto serviría como identificación en caso de que la madre cambiara de opinión con respecto a la entrega del bebé y decidiera recuperarlo dentro del período de 14 días que permite esta ley. También le dieron a la tía un cuestionario médico, y ella dijo que la madre lo llenaría y lo enviaría de vuelta dentro del sobre con franqueo pagado que le habían dado. El personal médico examinó al bebé y se determinó que estaba saludable y a término. El bebé fue ubicado con una buena familia que ya había sido aprobada para adoptarlo por el Departamento de Servicios para Niños y Familias.

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EXHIBIT J

SERVICE LEVEL AND WARRANTY AGREEMENT

EXHIBIT J

SERVICE LEVEL AND WARRANTY AGREEMENT

1. GENERAL

This Exhibit J (Service Level and Warranty Agreement) is attached to and forms a part of that certain Agreement for Risk Management Information System and Related Services, dated as of the Effective Date (together with all exhibits, attachments, and schedules thereto, all as amended from time to time, the "Agreement"), between the County of Los Angeles ("County") and Ventiv Technology, Inc. ("Contractor"). Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

This Exhibit J sets forth the scope of RMIS under the Exhibit A (Statement of Work), and Contractor's service level commitment regarding Hosting Services and Support Services, including Correction of Deficiencies, Warranties and County's Remedies for Contractor's failure to meet the Service Levels specified herein.

2. SCOPE OF SERVICES

2.1 Description

Contractor shall provide service levels and warranties relating to Support Services and Hosting Services for the RMIS as specified in the Agreement and this Exhibit, as more fully described below. Support Services and Hosting Services shall include but are not limited to Correction of Deficiencies based on Service Levels and Warranties. Support Services and Hosting Services commence as specified in the Agreement.

2.2 Definitions

As used herein the following terms have the following meanings:

"Available" means the System shall be available for access and use by the County.

"Business Hours" shall mean 7:00 a.m. to 7:00 p.m. Pacific Time (PT) Monday through Friday except for County approved holidays.

"Critical Deficiency" shall mean a Deficiency of Priority Level 1, as further described in Section 3.2.1 (Problem Correction Priorities).

"**Compatible**"; "**Compatibility**" means, with respect to each module of the Licensed Software, that (a) the applicable components of the Licensed Software are capable of supporting, operating and otherwise performing all functions of such Licensed Software components set forth in the Specifications and this Agreement, when used in conjunction with the Specified Hardware and Specified Operating Software; (b) the applicable components of Third Party Products are capable of supporting, operating and otherwise performing all functions of such Third Party Products components set forth in the Specifications and this Agreement, when used in conjunction with the other components of the Licensed Software; (c) the applicable components of Licensed Software are capable of supporting, operating and otherwise performing all functions of such Licensed Software components set forth in the Specifications and this Agreement, when used in conjunction with the Third Party Products; and (d) the applicable components of the Licensed Software are capable of supporting, operating and otherwise performing all functions of such Licensed Software components set forth in the Specifications and this Agreement, when used in conjunction with one another and with the Hosted Environment.

"Help Desk Support" shall have the meaning specified in Exhibit K (Maintenance and Support Agreement).

"Days of Operation" shall mean 365/366 days per year, 7:00 a.m. to 7:00 p.m. Pacific Time (PT), excluding County recognized holidays and "Scheduled Downtime".

"Disaster" shall have the meaning specified in Exhibit K (Maintenance and Support Agreement).

"Disaster Recovery" shall mean and refer to Contractor's obligations described in Exhibit K (Maintenance and Support Agreement), Section 4.4 (Backup and Disaster Recovery).

"Disaster Recovery/Business Continuity Plan" shall have the meaning specified in Exhibit K (Maintenance and Support Agreement).

"Downtime" shall mean the period of time when the RMIS or any RMIS component is unavailable, including Unscheduled Downtime and Scheduled Downtime.

"Low Deficiency" shall mean a Deficiency of Priority Level 4, as further described in Section 3.2.1 (Problem Correction Priorities).

"Major Deficiency" shall mean a Deficiency of Priority Level 1 or Priority Level 2, as further described in Section 3.2.1 (Problem Correction Priorities).

"Moderate Deficiency" shall mean a Deficiency of Priority Level 3, as further described in Section 3.2.1 (Problem Correction Priorities).

"Off-Business Hours" shall mean all hours that are not Business Hours or Scheduled Downtime.

"Peak Period" shall mean the combined times of 10:00 a.m. to 12:00 p.m. and 2:00 p.m. to 4:00 p.m. Pacific Time (PT) Monday through Friday except for County approved holidays.

"Priority Level" shall mean the applicable Deficiency severity level for correcting Deficiencies, as described in Section 3.2 (Resolution of Deficiencies).

"Response Time" shall mean the time elapsed for all data fields on a page to load such that they are available for use.

"Response Time Baseline" shall mean the County specified baseline for Response Time, as further described in Section 4.2.

"Response Time Deficiency" shall mean the System is not responding within the prescribed Response Time Baseline, as further described in Section 4.2 (System Performance Requirements).

"Scheduled Downtime" shall have the meaning set forth in Exhibit K (Maintenance and Support Agreement).

"Service Credits" shall mean credits or any other form of discount to be applied to the applicable Support Services Fees that may be assessed by County pursuant to Section 5.1 (General).

"Severe Deficiency" shall mean a Deficiency of Priority Level 2, as further described in Section 3.2.1 (Problem Correction Priorities).

"**Specified Hardware**" and "**Specified Operating Software**" shall mean the minimum requirements for hardware and operating software set forth on Attachment A.5 (Minimum System Requirements), that shall be Compatible with each module of the Licensed Software, and are required for County to enjoy and exercise fully its rights in respect of each module of the Licensed Software and the RMIS as a whole.

"System Availability" as defined in Section 4.2 (System Performance Requirements).

"System Availability Deficiency" shall mean the System not meeting any of the System Availability requirements as specified in this Exhibit.

"System Performance" shall mean the performance of the System with respect to Response Time, System Availability and Disaster Recovery.

"System Performance Deficiency" shall mean System not meeting any of the System Performance Requirements as specified in Section 4.2 (System Performance Requirements).

"System Performance Requirements" shall mean the requirements for System Performance, including Section 4.2 (System Performance Requirements).

"Total Monthly Time" shall mean all minutes in the Days of Operation for a calendar month, excluding Scheduled Downtime.

"Unscheduled Downtime" shall have the meaning specified in Section 5.1 (General).

3. CORRECTION OF DEFICIENCIES

3.1 Identification of Deficiencies

The Deficiencies under this Agreement may be identified either as a result of Contractor's use of its own monitoring tools or discovered by County. Upon discovery of a Deficiency by County, County will report the Deficiency to Contractor's Help Desk Support for resolution in accordance with this Exhibit.

The Priority Level of a Deficiency shall be assigned as described in, and according to the Priority Level definition set forth in, Section 3.2.1 (Problem Correction Priorities). Based on Contractor's proposed resolution and/or workaround(s) for the Deficiency, County may reevaluate and escalate or downgrade the Priority Level of the Deficiency pursuant to Section 3.2.3 (Priority Level Adjustment).

3.2 Resolution of Deficiencies

3.2.1 PROBLEM CORRECTION PRIORITIES

County shall assign the Priority Level to each Deficiency reported by County to Contractor's Help Desk Support. Contractor shall assign Priority Levels to Deficiencies discovered by its own monitoring tools. Following report of a Deficiency from County, Contractor shall respond back to County within the prescribed "Response Timeframe" specified below and resolve each such Deficiency within the specified "Resolution Goal". The Response Timeframe and Resolution Goal for correction of Deficiencies shall start tolling when County first notifies Contractor of a Deficiency by telephone or otherwise as specified herein, including Contractor's Help Desk Support portal, and shall end when County reasonably determines that the Deficiency has been resolved.

Priority Level	Description of Deficiency	Response Timeframe	Resolution Goal
1 - Critical	Critical functionality is down or impaired or degraded; major impact to County's business; no reasonable workaround(s) exists or no current patch set or service pack is available. Examples of Critical Deficiencies: Response Time is at or over four (4) times the agreed upon Response Time Baseline or does not function at all, as determined by County. There is no way to circumvent the problem; a significant number of Users are affected. A production business System is inoperable.	One (1) Business Hour	One (1) Business Day
2 – Severe	Critical functionality is impaired or degraded. There are time-sensitive issues that impact ongoing production. A reasonable workaround exists, but it is only temporary. Hotfix, patch or service pack or upgrade is not available. Examples of Severe Deficiencies: A component of the System is not performing in accordance with the Specifications (e.g., Response Time is at two (2) or three (3) times the agreed upon Response Time Baseline), which is creating significant County business impact, or its core functionality is not available, as determined by County. OR Mandatory reporting within the System is inaccurate (unless the inaccuracy is due to inaccurate data provided by the County).	Four (4) Business Hours	Five (5) Business Days or next scheduled maintenance, whichever is less

Priority Level	Description of Deficiency	Response Timeframe	Resolution Goal
3 – Moderate	Non-critical functionality is down or impaired. Does not have significant current production impact. Performance is degraded. A short to medium term work-around is available. Patch, service pack or upgrade is available. Examples of Moderate Deficiencies: A component of the System is not performing in accordance with the Specifications, which is creating a moderate or minor operational impact, as determined by County.	One (1) Business Day	Two (2) weeks
4 – Low	Non-critical function impaired. No business impact. A medium to long term work-around is available. Patch, service pack or upgrade is available. Examples of Low Deficiencies: This is a low impact problem and is not significant to operations or is related to education (e.g., general "how to" and informational Licensed Software questions, Documentation requests, understanding of reports or general "how to" create reports), as determined by County.	Two (2) Business Days	Next Version Release or 6 months unless otherwise agreed to by County and Contractor

3.2.2 PROBLEM RESOLUTION PROCESS

For any Deficiency reported by County or discovered by Contractor, Contractor shall commence corrective action according to the applicable Response Timeframe. Contractor shall correct all Deficiencies within the Resolution Goals specified above. Contractor shall also immediately commence to develop a workaround or a fix for any Priority Level 1 or Priority Level 2 Deficiency. County and Contractor shall agree on the Deficiency resolution, whether by a permanent solution or a workaround.

Contractor shall provide the best level of effort to correct all Deficiencies and, in particular, Deficiencies with Priority Level 1 through Priority Level 3. In the event that Contractor fails to correct a Deficiency within the prescribed Resolution Goals,

Contractor shall provide County with a written or electronic report that includes a detailed explanation of the status of such Deficiency, preliminary actions taken, detailed mitigation plans and an estimated time for completing the correction of such Deficiency. This process will be repeated until the Deficiency is resolved and the resolution is approved by County's Project Manager. The parties will jointly cooperate during this period of time.

3.2.3 PRIORITY LEVEL ADJUSTMENT

County may escalate or downgrade a Priority Level of a Deficiency if the Deficiency meets the definition of the Priority Level as escalated or downgraded. Additionally, County's Project Manager may escalate a Priority Level of a Deficiency at any time during which the System is experiencing more than one Deficiency of the same Priority Level. A Deficiency may also be escalated by County if the Deficiency persists or re-occurs, as determined by County's Project Manager. At the time the Deficiency is escalated or downgraded, an appropriate timeline will be applied for resolution of such Deficiency in accordance with Section 3.2.1 (Problem Correction Priorities). Contractor may not downgrade a Priority Level without the consent of County's Project Manager. Contractor may not "close" or "inactivate" a trouble ticket or Deficiency report without the consent of County's Project Manager. Contractor may request a special exception to the above timeline where there are extenuating circumstances, with the decision for extension made at the discretion of County's Project Manager.

If a reasonable workaround may be provided by Contractor for a Deficiency, County may elect to downgrade the Priority Level of such Deficiency until an agreed upon date. If a permanent fix is not provided by such agreed upon date, County will be able to escalate the Priority Level back to the original Priority Level or higher, as provided herein.

4. WARRENTIES

4.1 General Warranties

Contractor represents, warrants, covenants and agrees that throughout the term of this Agreement:

1. Contractor shall comply with the description and representations (including, but not limited to, Deliverable documentation, performance capabilities, accuracy, completeness, characteristics, specifications, configurations, standards, functions and requirements applicable to professional software design meeting industry standards) set forth in this Agreement, including Appendix A (Statement of Work) and this Exhibit.

2. All System components shall interface and be Compatible with each other; and the System components, when taken together, shall be capable of delivering all of the functionality as set forth in this Agreement.

3. All System components shall be Compatible with the Specified Hardware and Operating Software.

4. Unless specified otherwise herein, the System shall be free from any and all material Deficiencies.

5. The System Support Services and Hosting Services service levels shall not degrade during the term of the Agreement.

6. The System shall be fully Compatible with the rest of the System components and any enhancements or upgrades shall be backward compatible with the County's standard browser(s) and operating software version(s) operated on County workstations.

4.2 System Performance Requirements

Contractor represents, warrants, covenants and agrees that: (a) the System shall meet the System Availability requirements as further specified in this Exhibit; (b) the System shall meet the Response Time requirements as further specified in this Exhibit when used in connection with the Specified Hardware and Specified Operating Software; and (c) Contractor and the System shall meet the Disaster Recovery requirements as further specified in this Exhibit (collectively, the "System Performance Requirements"). All System Performance Deficiencies shall be deemed at a minimum Priority Level 2 for the purpose of the correction of Deficiencies and other County remedies to the extent that such System Performance Deficiencies meet the definition of a Priority Level 2 Deficiency.

System Performance Category	System Performance Requirement
System Availability	Ninety-nine percent (99%)
Response Time Baseline	For each page of the System, an average Response Time of three (3) seconds, as measured from the Hosted Environment.
Disaster Recovery	Pursuant to the provisions and requirements of Exhibit K (Maintenance and Support Warranty), Section 4.4 (Backup and Disaster Recovery).

The following criteria shall be applied with regards to System Performance Requirements:

1. System Availability shall be calculated as follows:

   System Availability **=** (Total Monthly Time **–** Unscheduled Downtime) **÷** Total Monthly Time

2. Contractor will not be responsible for performance within the Los Angeles network (LANET) for County's acts or omissions.

4.3 Response Time Monitoring

Contractor shall implement and maintain a method to monitor Response Time from the Hosted Environment. In the event County reports any Response Time Deficiency in any month, Contractor shall measure the Response Time from the Hosted Environment for three (3) periods of Response Time measurement: Peak Period, Business Hours and Off-Business Hours. Response Time measurement shall be calculated using a simple average method for each of the three (3) periods of Response Time measurement as provided below. Contractor shall provide County a written report with respect to the month summarizing the results of Contractor's Response Time monitoring.

5. REMEDIES

5.1 General

Credits shall accrue for Unscheduled Downtime in accordance with the Service Credits set forth in Section 5.2 below, including Contractor's failure to meet the System Availability requirements and/or Response Time requirements (hereinafter "Service Credit(s)"). For purposes of assessing Service Credits and this Exhibit, "Unscheduled Downtime" shall mean the total amount of time during any calendar month, measured in minutes, during which the System has a Major Deficiency that is unresolved by Contractor, excluding Scheduled Downtime.

5.2 Service Credits

Without limiting any other rights and remedies available to County, either pursuant to this Agreement, by law or in equity, County shall be entitled to Service Credits calculated based on the length of Unscheduled Downtime as provided below, subject to the Dispute Resolution Procedure.

Service Credits will not be assessed for Scheduled Downtime.

a. Service Credits for Unscheduled Downtime:

LENGTH OF CONTINUOUS UNSCHEDULED DOWNTIME	SERVICE CREDITS
3.6 hours or more but less than 6 hours	10% of monthly Support Services Fee
6 hours or more but less than 12 hours	20% of monthly Support Services Fee
12 hours or more but less than 24 hours	40% of monthly Support Services Fee
24 hours or more	100% of monthly Support Services Fee

b. Service Credits for Resolution Goal Failures:

FAILURE PERCENTAGES	SERVICE CREDITS
Failure to achieve a Resolution Goal for any Severity Level 1, 2 or 3 in a given calendar month 98% of the time.	2% of monthly Support Services Fee
Failure to achieve a Resolution Goal for any Severity Level 1, 2 or 3 in a given calendar month 94% of the time.	3% of monthly Support Services Fee
Failure to achieve a Resolution Goal for any Severity Level 1, 2 or 3 in a given calendar month 90% of the time.	5% of monthly Support Services Fee

If a Deficiency results in both Unscheduled Downtime and Resolution Goal Failure in accordance with Section 5.2(a) and (b) above, then County will only receive the greater of the 2 Service Credits, i.e, Service Credits will not be cumulative for the same Deficiency.

Service Credits shall be calculated separately for each applicable incident of a Deficiency and shall be added up to be assessed at the end of each month of Support Services. Service Credits, in any amounts, are not and shall not be construed as penalties and, when assessed, will be deducted from any amounts due to Contractor under the Agreement.

5.3 Response Time Deficiencies

A Response Time Deficiency that fits the definition of a Major Deficiency as a Priority Level 1 or Priority Level 2 shall be deemed to cause Unscheduled Downtime and shall entitle County to assess Service Credits as provided in Section 5.2 (Service Credits) above. In addition, the System shall be deemed to be experiencing Unscheduled Downtime after thirty (30) days of any Response Time Deficiency unresolved by Contractor, entitling County to assess Service Credits in accordance with Section 5.2 above. Contractor shall keep County informed of the progress of the Response Time problem with the objective of providing a solution as quickly as possible.

6. WITHHOLDING OF SERVICES

Contractor warrants that during the term of the Agreement it will not withhold Services provided hereunder, for any reason, including but not limited to a dispute between the parties arising under this Agreement, except as may be specifically authorized herein.

7. DISASTER RECOVERY/BUSINESS CONTINUITY PLAN

Contractor shall maintain and implement Disaster recovery and avoidance procedures in accordance with Section 4.3 of Exhibit K (Maintenance and Support Agreement).

8. OEM SPECIFICATIONS

All furnished parts and work performed under the Agreement shall meet or exceed Original Equipment Manufacturer (OEM) specifications and shall meet all local, state, and federal laws, regulations and statutes governing such work.

EXHIBIT K

MAINTENANCE AND SUPPORT AGREEMENT

EXHIBIT K

MAINTENANCE AND SUPPORT AGREEMENT

1. General

This Exhibit K (Maintenance and Support Agreement) is attached to and forms a part of that certain Agreement for Risk Management Information System and Related Services, dated as of the Effective Date (together with all exhibits, attachments, and schedules thereto, all as amended from time to time, the "Agreement"), between the County of Los Angeles ("County") and Ventiv Technology Inc. ("Contractor"). Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

This Exhibit K (Maintenance and Support Agreement) sets forth the scope of the RMIS under the Exhibit A (Statement of Work), and the Contractor's service level commitment regarding Hosting Services and Support Services.

2. Scope of Services

2.1 Description

As a part of Support Services and Hosting Services, Contractor shall provide service levels relating to Maintenance Services and Helpdesk Support (as defined below). Support Services and Hosting Services commence as specified in the Agreement.

2.2 Definitions

Most of the terms are defined in the Definitions section. Some terms are described within the specific section.

"Available" means the services shall be available for access and use by the County.

"Business Hours" shall have the meaning specified in Exhibit J (Service Level and Warranty Agreement).

"Disaster" shall mean a catastrophic event that results in significant or potentially significant Downtime or disruption of the Hosted Environment for Production Use and requires Contractor to invoke the Disaster Recovery/Business Continuity Plan.

"Disaster Recovery" shall mean and refer to Contractor's obligations described in Section 4.3 ("Backup and Disaster Recovery").

"Disaster Recovery/Business Continuity Plan" shall have the meaning specified in Section 4.3 (Backup and Disaster Recovery).

"Downtime" shall have the meaning specified in Exhibit J (Service Level and Warranty Agreement).

"Helpdesk Support" shall have the meaning specified in Section 4.1.

"Hosting Provider" means the provider of the Hosted Environment to be supplied by Contractor as a part of its obligation to perform Hosting Services. As of the Effective Date, the Hosting Provider is the Contractor.

"Maintenance Services" shall have the meaning specified in Section 3 (Maintenance Services).

"Priority Level" shall have the meaning specified in Exhibit J (Service Level and Warranty Agreement).

"Scheduled Downtime" shall mean that the RMIS/System cannot be accessed due to scheduled maintenance on the RMIS/System, including but not limited to preventive maintenance, Revisions, scheduled reboots and restarts, as further described in Section 3.2 (Scheduled Downtime).

"Service Credits" shall have the meaning specified in Exhibit J (Service Level and Warranty Agreement).

"Support Hours" shall have the meaning specified in Section **Error! Reference source not found.** (Customer Support).

"Unscheduled Downtime" shall have the meaning specified in Section 3.2 (Scheduled Downtime).

3. Maintenance Services

As part of Support Services and Hosting Services, Contractor shall provide maintenance of the System including the provision of Revisions (hereinafter "**Maintenance Services**"), as provided in this Section 3.

3.1 System Maintenance

3.1.1 Hosting Services

Contractor shall operate the Hosting Services on the Hosted Environment owned and maintained by Contractor (and its Hosting Provider, if applicable) on a 24x7x365 basis.

Contractor shall allow access to the Hosting Services over the Internet from the Hosted Environment facilities on a 24x7x365 basis and provide secure and confidential storage of all information transmitted to and from the Hosting Services. The Hosted Environment shall provide redundancy at all

tiers of the hosting environment, redundant clustered firewalls with redundant Internet connections, running industry standard secure inspection, and analysis software.

Contractor shall supply hardware, security protocols, software, and communications support structure to facilitate connection to the Internet in accordance with the requirements set forth herein.

Contractor shall maintain backup servers, at Contractor Secondary Data Center, in a geographically different site from where the servers at Contractor Primary Data Center are located.

Contractor shall review security notifications and alerts relevant to the Hosted Environment (e.g., Contractor notification of bugs, attacks, patches), and apply as appropriate to maintain the highest level of defense.

Contractor shall provide adequate firewall protection in order to secure personal data and other Confidential Information of County and users of the Hosting Services from unauthorized access by third parties.

Contractor Primary Data Center and Contractor Secondary Data Center shall reside in the Continental United States.

Hosting Provider

As of the Effective Date, Contractor is providing Hosting Services.

Change of Hosting Provider

In the event that, during the term of the Agreement, Contractor desires to transition to a new Hosting Provider, Contractor shall provide County with at least sixty (60) calendar days' prior notice of the transition. Contractor shall reasonably cooperate with County in evaluating the security and performance of the proposed Hosting Provider. County shall have thirty (30) calendar days from receipt of notice of the transition to reasonably object to the proposed new Hosting Provider. In the event of such objection, the parties shall negotiate in good faith regarding alternate Hosting Providers. If the parties are unable to reach agreement within thirty (30) calendar days of receipt by Contractor of the objection, County may elect to terminate this Agreement without further obligation.

Contractor shall ensure the Hosting Provider complies with the terms of the Agreement, including the requirements of this Exhibit. Contractor shall be jointly and severally liable for any breach by Hosting Provider of the Agreement, including the requirements of this Exhibit.

3.1.2 Revisions

Contractor shall provide Revisions to the Licensed Software in accordance with Subparagraph 3.2 (Revisions) of the Agreement and this Exhibit. Revisions shall be provided to keep current with Contractor's hosting technology standards, industry standards, Third Party Product upgrades, enhancements, updates, patches, bug fixes, etc., and as provided to Contractor's general customer base, all in accordance with this Exhibit and in coordination with County's Project Manager. By definition, such Revisions shall include, but not be limited to, (a) a bug fix, patch, or redistribution of the Licensed Software that corrects an error as well as addresses common functional and performance issues, including Deficiency corrections; (b) an aggregation of fixes, updates, or significant new features, functionality or performance improvements, including but not limited to those constituting a new Version; (c) any update to the Licensed Software designed to improve its operations, usefulness, or completeness that is made generally available by Contractor to its other customers; or (d) any of the foregoing provided for the Licensed Software to remain in compliance with applicable Federal, State and local laws, rules and regulations. Revisions do not include Customizations or Enhancements.

Without limiting any other provisions of this Agreement, including, without limitation, this Exhibit, Revisions to the Licensed Software shall be provided to County at least twice every year, unless otherwise agreed to by County and Contractor.

Contractor shall notify County of all Revisions to the Licensed Software prior to the anticipated installation date thereof in accordance with Subparagraph 3.2 (Revisions). Contractor's provision and installation of such Revisions to the Licensed Software shall be at no additional cost to County beyond any applicable Support Services Fees. Any Revisions necessary to remedy security problems in the Licensed Software (e.g., closing "back doors" or other intrusion-related problems) shall be provided promptly following Contractor's knowledge of such problems.

3.1.3 Hosted Environment Software

As part of Maintenance Services, Contractor shall also provide maintenance of the Hosted Environment software that is part of the Hosted Environment for the System, including but not limited to operating software, database software and other software installed in the Hosted Environment that is not Licensed Software. Contractor shall update, upgrade or replace these Hosted Environment software components during the term of the Agreement to comply with the Specifications and the warranties specified in this Agreement and to support and be Compatible with the Licensed

Software including any Customizations and Enhancements provided by Contractor under the Agreement.

Contractor shall provide Revisions to the Hosted Environment software to keep current with Contractor's hosting technology standards, industry standards, Revisions to the Licensed Software and other Customizations and Enhancements, all in coordination with County's Project Manager.

3.1.4 Third Party Products

Maintenance Services additionally include maintaining Compatibility of the Licensed Software with any Third-Party Products that are to be included in the System as of the Effective Date and may be acquired by County under this Agreement as Optional Work. Prior to the installation of any Third-Party Product, or any update thereto, Contractor shall test and ensure such Third Party Product's Compatibility with the then current version of the Licensed Software. Contractor shall all ensure that the Licensed Software is Compatible with the required or critical updates to Third Party Products, including without limitation, service and compatibility packs and security patches, promptly upon their release.

Notwithstanding the foregoing, any Third-Party Product that may be incorporated by Contractor into the Licensed Software shall be subject to the same Support Services obligations and requirements as the Licensed Software components that are owned by, or are proprietary to, Contractor.

3.1.5 Hosted Environment Hardware

As part of Maintenance Services, Contractor shall provide maintenance of the Hosted Environment hardware components surrounding the Licensed Software, including but not limited to all server equipment and networking components at no additional cost to County beyond the applicable Support Services Fees. Contractor shall repair, upgrade or replace these Hosted Environment hardware components during the term of the Agreement to comply with the Specifications and the warranties specified in this Agreement and to support, and be Compatible with, the Licensed Software including any Customizations and Enhancements provided by Contractor under the Agreement.

3.1.6 County's Environment

As part of Maintenance Services, Contractor shall, during the term of the Agreement, maintain the System's Compatibility with County's environment, provided the County is using the Specified Hardware and Specified Operating Software. These Maintenance Services shall include providing, among others, Revisions to the Licensed Software and upgrades

to the Hosted Environment hardware. Maintenance Services also include working with County's information technology staff or other third party service providers to resolve any issues with the County's environment that might be caused by the Licensed Software.

3.2 Scheduled Downtime

Unless agreed to otherwise in advance by County and Contractor, Contractor shall provide all Maintenance Services, including installation of Revisions, during Scheduled Downtime.

For the purpose of this Exhibit, Scheduled Downtime shall occur between the hours of 8:00 p.m. Pacific Time on Fridays until 2:00 a.m. Pacific Time on Saturdays. Contractor may change the Scheduled Downtime window by notifying County at least three (3) days prior to modifying the Scheduled Downtime, subject to approval by County's Project Manager. Any Downtime outside of the above window of time without such prior notice and County's Project Manager's approval shall be considered "**Unscheduled Downtime**" which may entitle County to remedies as specified in this Exhibit and/or in Exhibit J (Service Level and Warranty Agreement). Notwithstanding the foregoing, Contractor may request System Downtime for the provision of an emergency correction to the System. Such Downtime shall be deemed Scheduled Downtime, provided that it has been approved by County's Project Manager.

4. Support Services

4.1 Scope of Support

As a part of Hosting Services and Support Services, Contractor's responsibilities for supporting the operation of the System shall include responding to problems reported and correcting Deficiencies as specified in this Exhibit. As part of its Support Services, Contractor shall provide operational support for the System during the Support Hours, which shall include without limitation providing a point of contact for all System problems by maintaining a System for customer support to be used County's technical support ("**Helpdesk Support**"). Such operational support shall include Support Services to correct any failure of the System and to remedy Deficiencies in accordance with Exhibit J (Service Level and Warranty) to ensure that the System operates in accordance with the Specifications, warranties and other requirements under the Agreement. Requests for Helpdesk Support will be submitted by County's technical support via telephone and/or Contractor's web-based trouble ticketing System. In the event that the Contractor's web-based trouble ticketing System is not available County, County may use email or any other reasonable means to request Helpdesk Support. Helpdesk Support shall

respond with a plan for resolving each Deficiency and respond to County's Project Manager within the applicable required period specified in Exhibit J (Service Level and Warranty) depending on the Priority Level of the Deficiency.

4.2 Helpdesk Support

Contractor's Helpdesk Support service level requirements shall also include but not be limited to those listed below:

- County designated technical support staff that provides First Level Support shall have access to Contractor's Helpdesk Support through the methods outlined in this Exhibit.

- County shall have access to Contractor's Helpdesk Support through the Web-based trouble ticketing System or telephone. The trouble ticketing System shall provide for County a simple method to submit, track and update issues that require escalation to Contractor's Helpdesk Support. The authorized County contacts will each receive an account and training on the ticketing System.

- Contractor shall provide a telephone number for County staff to call during Business Hours. This telephone number shall be managed by an automated System to quickly connect County staff with the appropriate Helpdesk Support personnel.

- Contractor's automated System shall include the functionality of leaving detailed voice mails describing the issues. The voice mails must be responded to within 24 to 48 hours (excluding weekends and holidays).

- Priority Levels for the Deficiencies shall be assigned according to definitions specified in Exhibit J (Service Level and Warranty).

- Contractor shall respond within the period specified in Exhibit J (Service Level and Warranty) depending on the Priority Level of the Deficiency.

- Contractor's Helpdesk Support shall made be available to County between 7 a.m. and 7 p.m. Pacific Time (PT), Monday through Friday, excluding County observed holidays ("**Support Hours**").

- Contractor's Helpdesk Support shall work with County's Project Manager and County's technical support staff on correcting Deficiencies and keep such County personnel informed regarding the updates and scheduled timeframes to ensure that all maintenance windows are clearly communicated and the requirements of this Exhibit are met.

- Contractor shall triage and update submitted Deficiencies and requests to have the priority, description, type, version and other elements of each case modified by Helpdesk Support based on the severity and business impact. The cases may be downgraded or upgraded in priority, and Contractor shall work with County to ensure that the case is diagnosed properly. In the event of any issues regarding a case, the parties may invoke the Dispute Resolution Procedure as defined in the Contract.

- Deficiency correction, timeframes and Service Credits for failure to timely correct any Deficiencies as specified herein shall be as specified in Exhibit J (Service Level and Warranty).

4.3 Backup and Disaster Recovery

Contractor shall provide back up, Disaster recovery and business continuity Services as set forth in the Disaster Recovery/Business Continuity Plan agreed upon pursuant to Exhibit A (Statement of Work), as updated from time to time in accordance with the terms of the Agreement. Additionally, back up, Disaster recovery, and business continuity Services shall include the following, to the extent not in conflict with the agreed-upon Disaster Recovery/Business Continuity Plan:

All copies of County data, expressly or implied, including without limitation, backups, replicated/redundant data, snapshots, and data used, perhaps temporarily and using non-Contractor facilities, equipment, and/or personnel, during a disaster recovery event, must be subject to all terms and conditions specified in the Agreement, including, without limitation, confidentiality, storage, transmission, and destruction, and must still remain in the continental United States.

Backups – Regular

Contractor shall provide for both the regular backup of standard file systems relating to the Hosted Environment, Licensed Software and Hosting Services, and the timely restoral of such data on request by County due to a site failure. Contractor shall:

- Perform weekly full backups;

- Perform daily incremental backups;

- Send backup media to secured, off-site storage facilities with a thirty (30) calendar day rotation of media;

- Retain one backup tape (or other backup media) per month for one (1) year;

- Fulfill restoral requests as directed by County due to site failures. Restoral will be performed within the interval of two (2) to four (4) hours dependent on the urgency of the request, and the agreed upon location of the desired backup media;

- If the Hosted Environment of location is expected to be down for more than twenty-four (24) hours, Contractor shall immediately transfer appropriate backup data and re-establish all hosting operations in an appropriately functioning secondary server or location; and

- Periodically review and validate Contractor's backup procedures, and periodically validate the accuracy and integrity of the backup data. Contractor shall provide a written report of any inaccuracies and inconsistencies in a format approved by County.

Date Replication across data centers

County Data shall be stored on redundant applications and database hardware in Contractor Primary Data Center and replicated to Contractor Secondary Data Center. Data security shall be provided as required by Exhibit L (Information Security and Privacy Requirements). Hosted Environment shall provide redundancy at all tiers of the environment, redundant clustered firewalls with redundant Internet connections, running industry standard secure inspection, and analysis software. There shall be no data loss due to environmental failures or catastrophic disk failures, except for un-replicated/un-committed transactions. Contractor shall utilize replication, shadowing, and snap-shot technologies between physical systems and Hosted Environment. In the event of a significant Contractor Primary Data Center failure, a failover to the Contractor Secondary Data Center shall be completed. A restoration to the primary environment shall occur at a mutually agreeable time between the Contractor and County.

Disaster Recovery

As part of Hosting Services and Support Services, Contractor shall also be responsible for Disaster Recovery Services and update of its formal Disaster Recovery/Business Continuity. (See Exhibit A (Statement of Work) and Exhibit J (Service Level and Warranty Agreement)).

Contractor or County may declare an event a Disaster. Upon occurrence of a Disaster, Contractor shall provide the services outlined in the Disaster Recovery/Business Continuity Plan. Contractor shall be subject to the following service level requirements as part of Disaster recovery, which shall be contained in and are incorporated into the Disaster Recovery/Business Continuity Plan to the extent not in conflict with the

Disaster Recovery/Business Continuity Plan agreed upon pursuant to Exhibit A (Statement of Work) or as updated pursuant to this Agreement:

1. Contractor shall have complete responsibility for restoration of the System.

2. In the event of a Disaster declaration, Contractor shall be required to maintain regular and consistent communication with County about the outage and steps taken to restore the System.

3. Contractor shall be required to make a declaration of a Disaster and invoke the Disaster Recovery/Business Continuity Plan within twelve (12) hours from the disruption of the Hosted Environment for Production Use or precipitating event.

4. Contractor shall restore the System to a point no greater than twenty-four (24) hours prior to the declaration of the Disaster by County or Contractor.

5. County shall be able to logon to the Disaster Recovery site within forty-eight (48) hours of the declaration of the Disaster by County or Contractor.

6. Contractor shall have at a minimum 50% capacity within forty-eight (48) hours and 100% capacity within ninety-six (96) hours of the declaration of the Disaster by County or Contractor.

7. Contractor's failure to make a declaration of a Disaster within twelve (12) hours shall result in the incident and deemed Unscheduled Downtime.

EXHIBIT L

INFORMATION SECURITY AND PRIVACY REQUIREMENTS

EXHIBIT L

INFORMATION SECURITY AND PRIVACY REQUIREMENTS

This Exhibit L (Information Security and Privacy Requirements) is an attachment and forms a part of the Agreement for Risk Management Information System and Related Services dated as of the Effective Date (together with all Exhibits, Schedules, and Attachments thereto, the "**Agreement**") entered into by and between the County of Los Angeles ("**County**") and Ventiv Technology Inc. ("**Contractor**") and is incorporated into the Agreement by reference hereof. Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

This Exhibit L (Information Security and Privacy Requirements) sets forth information security procedures to be established by Contractor before the Effective Date of the Agreement and maintained throughout the term and following the expiration/termination of the Agreement. These procedures are in addition to the requirements of the Agreement. They present a minimum standard only. It is Contractor's sole obligation to: (i) implement appropriate administrative, physical and technical measures to secure its systems and data to protect and ensure the privacy, confidentiality, integrity and availability of County Data as defined in Subparagraph 3.3.1 (Ownership of County Data) of the Agreement (consisting of but not limited to County Confidential Information, Personally Identifiable Information, and Protected Health Information) against internal and external threats, vulnerabilities and risks; and (ii) continuously review and revise those measures to address ongoing threats, vulnerabilities and risks. Failure to comply with the minimum standards set forth in this Exhibit L (Information Security and Privacy Requirements) will constitute a material, non-curable breach of the Agreement by Contractor, entitling County, in addition to and cumulative of all other remedies available to it at law, in equity, or under the Agreement, to immediately terminate the Agreement.

References in this Agreement to laws, rules, regulations, standards, guidelines, directives, policies, recommendations, and audits shall be deemed to refer to such laws, rules, regulations, standards, guidelines, directives, policies, recommendations, and audits as they are in effect from time to time, or, if applicable, successors thereto.

1. **Security Policy**. Contractor shall establish and maintain a formal, documented, mandated, company-wide information security program, including security policies, standards and procedures (in this Exhibit L collectively "**Information Security Policy**"). The Information Security Policy will be communicated to all Contractor personnel, agents and subcontractors in a relevant, accessible, and understandable form and will be regularly reviewed and evaluated to ensure its operational effectiveness, compliance with all applicable laws and regulations, and to address new threats and risks.

2. **Personnel and Contractor Protections**. Contractor shall screen and conduct background checks on its staff performing work under the Agreement as required by the Agreement and require all employees and contractors (non-employees) performing work under the Agreement to sign an appropriate written confidentiality/non-disclosure agreement as required by the Agreement. All agreements with third-parties involving access to Contractor's systems and data, including all outsourcing arrangements and maintenance and support agreements (including facilities maintenance), shall specifically address security risks, controls, and procedures for information systems. Contractor shall supply each of its staff performing work under the Agreement with appropriate, ongoing training regarding information security procedures, risks, vulnerabilities and threats. Contractor shall have an established set of procedures to ensure Contractor personnel promptly report actual and/or suspected breaches of security.

3. **Removable Media**. Except in the context of Contractor's routine back-ups or as otherwise specifically authorized by County in writing, Contractor shall institute strict administrative, physical and logical security controls to prevent transfer of County information to any form of Removable Media. For purposes of this Exhibit L (Information Security and Privacy Requirements), "**Removable Media**" means portable or removable hard disks, floppy disks, USB memory drives, zip disks, optical disks, CDs, DVDs, digital film, digital cameras, memory cards (e.g., Secure Digital (SD), Memory Sticks (MS), CompactFlash (CF), Smart Media (SM), Multimedia Card (MMC), and xD-Picture Card (xD)), magnetic tape, and all other removable data storage media.

4. **Storage, Transmission, and Destruction of County Data**. All County Data shall be rendered unusable, unreadable, or indecipherable to unauthorized individuals in accordance with County Board of Supervisors policies (as provided in writing to Contractor) and applicable regulatory requirements, including but not limited to HIPAA, as amended and supplemented by the HITECH Act and the California Civil Code section 1798 et seq, and AB1149 regarding Identity Theft Prevention. Without limiting the generality of the foregoing, Contractor shall encrypt (i.e., National Institute of Standards and Technology (NIST) Special Publication (SP) 800-111 Guide to Storage Encryption Technologies for End User Devices[1]) County Data, including but not limited to all Personally Identifiable Information, electronic Protected Health Information (stored and during transmission), and MI, in accordance with County Board of Supervisors policies (as provided in writing to Contractor) and applicable regulatory requirements, including but not limited to HIPAA, as amended and supplemented by the HITECH Act and the California Civil Code section 1798 et seq, and AB1149 regarding Identity Theft Prevention. If County Data is no longer required to be retained by Contractor under the Agreement and applicable law, Contractor shall destroy such County Data (subject to Contractor's obligations to return any County Data under the Agreement) in a fashion that the information becomes unrecoverable, unusable, unreadable, and

[1] Available at http://www.csrc.nist.gov/.

undecipherable by: (a) shredding or otherwise destroying paper, film, or other hard copy media so that the Personally Identifiable Information and Protected Health Information cannot be read or otherwise cannot be reconstructed; and (b) clearing, purging, or destroying electronic media containing County Data consistent with National Institute of Standards and Technology (NIST) Special Publication (SP) 800-88, Guidelines for Media Sanitization[2] and US Department of Defense (DOD) 5220.22-M data sanitization and clearing directive[3].

Contractor(s) and its subcontractors and/or agents that have maintained, processed, or stored the County Data and/or information, implied or expressed, have the sole responsibility to certify that the data and information have been appropriately destroyed consistent with the NIST Special Publication 800-88 titled Guidelines for Media Sanitization and DOD 5220.22-M.

The data and/or information may be stored on purchased, leased, or rented electronic storage equipment (e.g., printers, hard drives) and electronic devices (e.g., servers, workstations) that are geographically located within the County, or external to the County's boundaries. The County must receive within thirty (30) days, a signed document from Contractor, its agents and/or subcontractors, that certifies and validates the data and information were placed in one or more of the following stored states: unusable, unreadable, and indecipherable.

Contractor, its agents and/or subcontractors shall certify that any County Data stored on purchased, leased, or rented electronic storage equipment and electronic devices, including, but not limited to printers, hard drives, servers, and/or workstations are destroyed consistent with the current NIST Special Publication SP-800-88, Guidelines for Media Sanitization. Contractor, its agents and/or subcontractors shall provide County with written certification, within thirty (30) business days of removal of any electronic storage equipment and devices that validates that any and all County Data was destroyed and is unusable, unreadable, and/or undecipherable.

[2] Available at http://www.csrc.nist.gov/.
[3] Available at http://www.dtic.mil/whs/directives/corres/pdf/522022MSup1.pdf .

5. **Data Encryption**. Contractors and Subcontractors that electronically transmit or store personal information (PI), protected health information (PHI) and/or medical information (MI) shall comply with the encryption standards set forth below. PI is defined in California Civil Code Section 1798.29(g). PHI is defined in Health Insurance Portability and Accountability Act (HIPAA) of 1996, and implementing regulations. MI is defined in California Civil Code Section 56.05(j).

   a. **Stored Data**. Contractors' and Subcontractors' workstations and portable devices (e.g., mobile wearables, tablets, thumb drives, external hard drives) require encryption (i.e. software and/or hardware) in accordance with: (a) Federal Information Processing Standard Publication (FIPS) 140-2; b) National Institute of Standards and Technology (NIST) Special Publication 800-57 Recommendation for Key Management – Part 1: General (Revision 3); (c) NIST Special Publication 800-57 Recommendation for Key Management – Part 2: Best Practices for Key Management Organization; and (d) NIST Special Publication 800-111 Guide to Storage Encryption Technologies for End User Devices. Advanced Encryption Standard (AES) with cipher strength of 256-bit is minimally required.

   b. **Transmitted Data**. All transmitted (e.g. network) County PI, PHI and/or MI require encryption in accordance with: (a) NIST Special Publication 800-52 Guidelines for the Selection and Use of Transport Layer Security Implementations; and (b) NIST Special Publication 800-57 Recommendation for Key Management – Part 3: Application-Specific Key Management Guidance. Secure Sockets Layer (SSL) is minimally required with minimum cipher strength of 128-bit.

   c. **Certification**. The County must receive within ten (10) business days of its request, a certification from Contractor (for itself and any Subcontractors) that certifies and validates compliance with the encryption standards set forth above. In addition, Contractor shall maintain a copy of any validation/attestation reports that its data encryption product(s) generate and such reports shall be subject to audit in accordance with the Agreement. Failure on the part of the Contractor to comply with any of the provisions of this Section 5 shall constitute a material breach of this Agreement upon which the County may terminate or suspend this Agreement.

6. **Data Control, Media Disposal and Servicing**. Subject to and without limiting the requirements under Section 4 (Storage, Transmission and Destruction of County Data), County Data (i) may only be made available and accessible to those parties explicitly authorized under Section 11.2.3 of the Agreement or otherwise expressly approved by County in writing; (ii) if transferred across the Internet, any wireless network (e.g., cellular, 802.11x, or similar technology), or other public or shared networks, must be protected using industry standard encryption technology in accordance with the NIST SP 800-52 Guidelines for the Selection and use of

Transport Layer Security Implementations[4]; and (iii) if transferred using Removable Media (as defined above) must be sent via a bonded courier or protected using industry standard encryption technology in accordance with NIST SP 800-111 Guide to Storage Encryption Technologies for End User Devices[5]. The foregoing requirements shall apply to back-up data stored by Contractor at off-site facilities. In the event, any hardware, storage media, or Removable Media must be disposed of or sent off-site for servicing, Contractor shall ensure all County Confidential Information, including Personally Identifiable Information and Protected Health Information, has been cleared, purged, or scrubbed from such hardware and/or media using industry best practices in accordance with NIST SP 800-88, Guidelines for Media Sanitization[6]).

7. **Hardware Return**. Upon termination or expiration of the Agreement or at any time upon County's request, Contractor will return all hardware, if any, provided by County containing Personally Identifiable Information, Protected Health Information, or County Confidential Information to County. The Personally Identifiable Information, Protected Health Information, and County Confidential Information shall not be removed or altered in any way. The hardware should be physically sealed and returned via a bonded courier or as otherwise directed by County. In the event the hardware containing County Confidential Information, Personally Identifiable Information or Protected Health Information is owned by Contractor or a third-party, a notarized statement, detailing the destruction method used and the data sets involved, the date of destruction, and the company or individual who performed the destruction will be sent to a designated County security representative within thirty (30) days of termination or expiration of the Agreement or at any time upon County's request. Contractor's destruction or erasure of Personal Information and Protected Health Information pursuant to this Section shall be in compliance with industry Best Practices (*e.g.*, NIST Special Publication 800-88, Guidelines for Media Sanitization[7]).

8. **Physical and Environmental Security.** Contractor facilities that process County Data will be housed in secure areas and protected by perimeter security such as barrier access controls (e.g., the use of guards and entry badges) that provide a physically secure environment from unauthorized access, damage, and interference.

9. **Communications and Operational Management.** Contractor shall: (i) monitor and manage all of its information processing facilities, including, without limitation, implementing operational procedures, change management and incident response procedures; and (ii) deploy adequate anti-viral software and adequate back-up facilities to ensure essential business information can be promptly recovered in the

[4] Available at http://www.csrc.nist.gov/.
[5] Available at http://www.csrc.nist.gov/.
[6] Available at http://www.csrc.nist.gov/.
[7] Available at http://www.csrc.nist.gov/.

event of a disaster or media failure; and (iii) ensure its operating procedures will be adequately documented and designed to protect information, computer media, and data from theft and unauthorized access.

10. **Access Control.** Contractor shall implement formal procedures to control access to its systems, services, and data, including, but not limited to, user account management procedures and the following controls:

    a. Network access to both internal and external networked services shall be controlled, including, but not limited to, the use of properly configured firewalls;

    b. Operating systems will be used to enforce access controls to computer resources including, but not limited to, authentication, authorization, and event logging;

    c. Applications will include access control to limit user access to information and application system functions; and

    d. All systems will be monitored to detect deviation from access control policies and identify suspicious activity. Contractor shall record, review and act upon all events in accordance with incident response policies set forth below.

11. **Security Incident.** A "Security Incident" shall have the meaning given to such term in 45 C.F.R. § 164.304. With respect to the notification requirements under this Section 11, Security Incidents shall not include, without limitation, pings and other broadcast attacks on Contractor's firewall, port scans, unsuccessful log-on attempts, denial of service attacks, and any combination of the above, provided no such incident results in loss of use of the System, unauthorized access, use or disclosure of County's PHI.

    a. Contractor will promptly notify (but in no event more than twenty-four (24) hours after the detection of a Security Incident) the designated County security contact by telephone and subsequently via written letter of any potential or actual security attacks or Security Incidents.

    b. The notice shall include the approximate date and time of the occurrence and a summary of the relevant facts, including a description of measures being taken to address the occurrence.

    c. Contractor will provide a monthly report of all Security Incidents noting the actions taken. This will be provided via a written letter to the County security representative on or before the first (1st) week of each calendar month. County or its third-party designee may, but is not obligated, perform audits

and security tests of Contractor's environment that may include, but are not limited to, interviews of relevant personnel, review of policies, procedures and guidelines, and other documentation, or technical inspection of systems, as they relate to the receipt, maintenance, use, retention, and authorized destruction of County Data.

d. In the event of a Security Incident, Contractor shall take whatever reasonable steps that are necessary to halt such action, including taking the Hosting Services down. Contractor shall immediately contact the person designated by County to discuss what measure to take. However, if time is critical, action may be required before the contact can be reached. Contractor's action shall include, as appropriate:

   i. Confirm the threat;

   ii. Deny access from the source of the attack;

   iii. Investigate the extent of the damage, in any;

   iv. Back-up the affected systems and those suspected to be affected;

   v. Strengthen defenses of the Hosting Environment and all other Contractor-controlled points of access to the System, not just the suspected path that the attacker used;

   vi. Contact the Internet Service Provider (ISP) where the threat or attack originated and/or law enforcement to work with Contractor's security team;

   vii. Produce an incident report within twenty-four (24) hours detailing Contractor's findings (i.e., steps taken to investigate the threat/attack/breach, impact to the County, remediation steps taken, and recommendations to prevent this type of threat in the future; and

   viii. Re-instate the denial of access after a set time period, but continue to monitor traffic from that source until risk of further attacks is deemed to be minimized.

12. **Security Audits.** Contractor will provide to County a summary of: (1) a summary of the final results of any security audits, security reviews, or other relevant audits listed below, conducted by Contractor or a third-party as applicable; and (2) the corrective actions or modifications, if any, Contractor will implement in response to such audits.

Relevant audits conducted by Contractor as of the Effective Date include:

a. ISO 27001:2013 (Information Security Management). A full recertification is conducted every three (3) years with surveillance audits annually.

   i. External Audit – Audit conducted by independent, qualified non-Contractor personnel, to assess Contractor's level of compliance to applicable regulations, standards, and contractual requirements.

   ii. Internal Audit – Audit conducted by qualified Contractor personnel (or contracted designee) not responsible for the area of review, of Contractor organizations, operations, processes, and procedures, to assess compliance to and effectiveness of Contractor's Quality System ("CQS") in support of applicable regulations, standards, and requirements.

   iii. Supplier Audit – Quality audit conducted by qualified Contractor personnel (or contracted designee) of product and service suppliers contracted by Contractor for internal or Contractor client use.

   iv. Detailed findings- are not published externally, but executive summary of the report findings, and corrective actions, if any, will be made available to County as provided above and the ISO certificate is published on Contractor's website.

b. SSAE-18 / SOC 1, Type 2 Report. As to the Hosting Services only:

   i. Audit, conducted by an independent, qualified vendor, to span a full twelve (12) months of operation and is produced one (1) per year to keep it "fresh".

   ii. The resulting summary report is available to County.

c. Vulnerability Testing. At least once per year, Contractor will retain an independent qualified vendor to conduct a vulnerability assessment and penetration testing of security processes, procedures and environment. Contractor shall enter into a confidentiality agreement with such vendor(s) prior to the vendor conducting the assessment and testing. Contractor will provide to County a summary of the report from the vendor(s) with the results of the assessment and testing.

Detailed findings are not published externally, but a summary of the report findings, and corrective actions, if any, will be made available to County as provided above. If County determines that, as a result of review of such report(s), Company has been deficient or negligent in complying with the requirements of this Exhibit L, County may request Contractor to take immediate corrective action. If such corrective action is not taken to the reasonable satisfaction of County (provided Contractor has discretion on how to implement such corrective action best suited

for Contractor's Hosted Environment but still in full compliance with this Exhibit L), County may terminate this Agreement upon written notice to Contractor, without penalty, after providing Contractor thirty (30) days (or such greater amount of time as agreed to by the County) to comply with the County's additional requests following the implementation of the corrective action; provided that such opportunity to comply does not compromise the security of County Data.

13. **Meetings with Security Staff.** Upon County's request, Contractor shall make its security staff available for a conference call with County's Project Director, County's Project Manager, and other County-designated staff. County may request a meeting annually, and in connection with each Security Incident, delivery of each summary report specified in Section 12 (Security Audits), and Contractor's status and completion of corrective action specified in any such summary report.

14. **Applicable Security Standards**. If at any time Contractor believes that a different security standard, guideline, recommendation, or audit from those referenced in this Exhibit L more appropriately apply to Contractor, the Licensed Software, the Services, or the RMIS as a whole, Contractor may submit a request in writing to County's Project Director to revise the applicable standard, guideline, recommendation, or audit, provided that no such requested standard, guideline, recommendation, or audit be less stringent or provide for a less secure Hosted Environment than the existing standard, guideline, recommendation, or audit. County's Project Director is authorized to approve any such request, with written concurrence of County's Chief Information Security Officer or designee, such approval not to be unreasonably withheld or delayed.

EXHIBIT M

BUSINESS ASSOCIATE UNDER THE HIPAA of 1996

EXHIBIT M

**BUSINESS ASSOCIATE AGREEMENT
UNDER THE HEALTH INSURANCE PORTABILITY
AND ACCOUNTABILITY ACT OF 1996 (HIPAA)**

County is a Covered Entity as defined by, and subject to the requirements and prohibitions of, the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (HIPAA), and regulations promulgated thereunder, including the Privacy, Security, Breach Notification, and Enforcement Rules at 45 Code of Federal Regulations (C.F.R.) Parts 160 and 164 (collectively, the "HIPAA Rules").

Contractor performs or provides functions, activities or services to County that require Contractor in order to provide such functions, activities or services to create, access, receive, maintain, and/or transmit information that includes or that may include Protected Health Information, as defined by the HIPAA Rules. As such, Contractor is a Business Associate, as defined by the HIPAA Rules, and is therefore subject to those provisions of the HIPAA Rules that are applicable to Business Associates.

The HIPAA Rules require a written agreement ("Business Associate Agreement") between County and Contractor in order to mandate certain protections for the privacy and security of Protected Health Information, and these HIPAA Rules prohibit the disclosure to or use of Protected Health Information by Contractor if such an agreement is not in place.

This Business Associate Agreement and its provisions are intended to protect the privacy and provide for the security of Protected Health Information disclosed to or used by Contractor in compliance with the HIPAA Rules.

Therefore, the parties agree as follows:

1. DEFINITIONS

1.1 “Agreement” means that certain Agreement dated as of the Effective Date, by and between the County of Los Angeles and Ventiv Technology Inc., for Risk Management Information Services, as amended from time to time in accordance with the terms thereof.

1.2 "Breach" has the same meaning as the term "breach" at 45 C.F.R. § 164.402.

1.3 "Business Associate" has the same meaning as the term "business associate" at 45 C.F.R. § 160.103. For the convenience of the parties, a "business associate" is a person or entity, other than a member of the workforce of covered entity, who performs functions or activities on behalf of, or provides certain services to, a covered entity that involve access by the business associate to Protected Health Information. A "business

associate" also is a subcontractor that creates, receives, maintains, or transmits Protected Health Information on behalf of another business associate. And in reference to the party to this Business Associate Agreement "Business Associate" shall mean Contractor.

1.4 "Covered Entity" has the same meaning as the term “covered entity” at 45 C.F.R. § 160.103, and in reference to the party to this Business Associate Agreement, "Covered Entity" shall mean County.

1.5 "Data Aggregation" has the same meaning as the term "data aggregation" at 45 C.F.R. § 164.501.

1.6 "De-identification" refers to the de-identification standard at 45 C.F.R. § 164.514.

1.7 "Designated Record Set" has the same meaning as the term "designated record set" at 45 C.F.R. § 164.501.

1.8 "Disclose” and “Disclosure” mean, with respect to Protected Health Information, the release, transfer, provision of access to, or divulging in any other manner of Protected Health Information outside Business Associate’s internal operations or to other than its workforce. (See 45 C.F.R. § 160.103.)

1.9 "Electronic Health Record” means an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized health care clinicians and staff. (See 42 U.S. C. § 17921.)

1.10 “Electronic Media” has the same meaning as the term “electronic media” at 45 C.F.R. § 160.103. For the convenience of the parties, electronic media means (1) Electronic storage material on which data is or may be recorded electronically, including, for example, devices in computers (hard drives) and any removable/transportable digital memory medium, such as magnetic tape or disk, optical disk, or digital memory card; (2) Transmission media used to exchange information already in electronic storage media. Transmission media include, for example, the Internet, extranet or intranet, leased lines, dial-up lines, private networks, and the physical movement of removable/transportable electronic storage media. Certain transmissions, including of paper, via facsimile, and of voice, via telephone, are not considered to be transmissions via electronic media if the information being exchanged did not exist in electronic form immediately before the transmission.

1.11 "Electronic Protected Health Information" has the same meaning as the term "electronic protected health information" at 45 C.F.R. § 160.103, limited to Protected Health Information created or received by Business Associate from or on behalf of Covered Entity. For the convenience of the parties, Electronic Protected Health Information means Protected Health Information that is (i) transmitted by electronic media; (ii) maintained in electronic media.

1.12 "Health Care Operations" has the same meaning as the term "health care operations" at 45 C.F.R. § 164.501.

1.13 "Individual" has the same meaning as the term "individual" at 45 C.F.R. § 160.103. For the convenience of the parties, Individual means the person who is the subject of Protected Health Information and shall include a person who qualifies as a personal representative in accordance with 45 C.F.R. § 164.502 (g).

1.14 "Law Enforcement Official" has the same meaning as the term "law enforcement official" at 45 C.F.R. § 164.103.

1.15 "Minimum Necessary" refers to the minimum necessary standard at 45 C.F.R. § 162.502 (b).

1.16 "Protected Health Information" has the same meaning as the term "protected health information" at 45 C.F.R. § 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity. For the convenience of the parties, Protected Health Information includes information that (i) relates to the past, present or future physical or mental health or condition of an Individual; the provision of health care to an Individual, or the past, present or future payment for the provision of health care to an Individual; (ii) identifies the Individual (or for which there is a reasonable basis for believing that the information can be used to identify the Individual); and (iii) is created, received, maintained, or transmitted by Business Associate from or on behalf of Covered Entity, and includes Protected Health Information that is made accessible to Business Associate by Covered Entity. "Protected Health Information" includes Electronic Protected Health Information.

1.17 "Required by Law" " has the same meaning as the term "required by law" at 45 C.F.R. § 164.103.

1.18 "Secretary" has the same meaning as the term "secretary" at 45 C.F.R. § 160.103

1.19 "Security Incident" has the same meaning as the term "security incident" at 45 C.F.R. § 164.304.

1.20 "Services" means, unless otherwise specified, those functions, activities, or services in the underlying Agreement, that gives rise to Contractor's status as a Business Associate.

1.21 "Subcontractor" has the same meaning as the term "subcontractor" at 45 C.F.R. § 160.103.

1.22 "Unsecured Protected Health Information" has the same meaning as the term "unsecured protected health information" at 45 C.F.R. § 164.402.

1.23 "Use" or "Uses" means, with respect to Protected Health Information, the sharing, employment, application, utilization, examination or analysis of such Information within Business Associate's internal operations. (See 45 C.F.R § 164.103.)

1.24 Terms used, but not otherwise defined in this Business Associate Agreement, have the same meaning as those terms in the HIPAA Rules.

2. PERMITTED AND REQUIRED USES AND DISCLOSURES OF PROTECTED HEALTH INFORMATION

2.1 Business Associate may only Use and/or Disclose Protected Health Information as necessary to perform Services, and/or as necessary to comply with the obligations of this Business Associate Agreement or the obligations of the underlying Agreement.

2.2 Business Associate may Use Protected Health Information for de-identification of the information if de-identification of the information is required to provide Services.

2.3 Business Associate may Use or Disclose Protected Health Information as Required by Law.

2.4 Business Associate shall make Uses and Disclosures and requests for Protected Health Information consistent with the Covered Entity's applicable Minimum Necessary policies and procedures.

2.5 Business Associate may Use Protected Health Information as necessary for the proper management and administration of its business or to carry out its legal responsibilities.

2.6 Business Associate may Disclose Protected Health Information as necessary for the proper management and administration of its business or to carry out its legal responsibilities, provided the Disclosure is Required by Law or Business Associate obtains reasonable assurances from the person to whom the Protected Health Information is disclosed (i.e., the recipient) that it will be held confidentially and Used or further Disclosed only as Required by Law or for the purposes for which it was disclosed to the recipient and the recipient notifies Business Associate of any instances of which it is aware in which the confidentiality of the Protected Health Information has been breached.

2.7 Business Associate may provide Data Aggregation services relating to Covered Entity's Health Care Operations if such Data Aggregation services are necessary in order to provide Services.

3. PROHIBITED USES AND DISCLOSURES OF PROTECTED HEALTH INFORMATION

3.1 Business Associate shall not Use or Disclose Protected Health Information other than as permitted or required by this Business Associate Agreement, the underlying Agreement or as Required by Law.

3.2 Business Associate shall not Use or Disclose Protected Health Information in a manner that would violate Subpart E of 45 C.F.R. Part 164 if done by Covered Entity, except for the specific Uses and Disclosures set forth in Sections 2.5 and 2.6.

3.3 Business Associate shall not Use or Disclose Protected Health Information for de-identification of the information except as set forth in section 2.2.

4. OBLIGATIONS TO SAFEGUARD PROTECTED HEALTH INFORMATION

4.1 Business Associate shall implement, use, and maintain appropriate safeguards to prevent the Use or Disclosure of Protected Health Information other than as provided for by this Business Associate Agreement.

4.2 Business Associate shall comply with Subpart C of 45 C.F.R Part 164 with respect to Electronic Protected Health Information, to prevent the Use or Disclosure of such information other than as provided for by this Business Associate Agreement.

5. REPORTING NON-PERMITTED USES OR DISCLOSURES, SECURITY INCIDENTS, AND BREACHES OF UNSECURED PROTECTED HEALTH INFORMATION

5.1 Business Associate shall report to Covered Entity any Use or Disclosure of Protected Health Information not permitted by this Business Associate Agreement, any Security Incident, and/ or any Breach of Unsecured Protected Health Information as further described in Sections 5.1.1, 5.1.2, and 5.1.3.

5.1.1 Business Associate shall report to Covered Entity any Use or Disclosure of Protected Health Information by Business Associate, its employees, representatives, agents or Subcontractors not provided for by this Agreement of which Business Associate becomes aware.

5.1.2 Business Associate shall report to Covered Entity any Security Incident of which Business Associate becomes aware.

5.1.3. Business Associate shall report to Covered Entity any Breach by Business Associate, its employees, representatives, agents, workforce members, or Subcontractors of Unsecured Protected Health Information that is known to Business Associate or, by exercising reasonable diligence, would have been known to Business Associate. Business Associate shall be deemed to have knowledge of a Breach of Unsecured Protected Health Information if the Breach is known, or by exercising reasonable diligence would have been known, to any person, other than the person committing the Breach, who is an employee, officer, or other agent of Business Associate, including a Subcontractor, as determined in accordance with the federal common law of agency.

5.2 Except as provided in Section 5.3, for any reporting required by Section 5.1, Business Associate shall provide, to the extent available, all information required by, and within the times frames specified in, Sections 5.2.1 and 5.2.2.

5.2.1 Business Associate shall make a telephonic report within twenty-four (24) hours of discovery of the non-permitted Use or Disclosure of Protected Health Information, Security Incident or Breach of Unsecured Protected Health Information to **(562) 940-3335** that minimally includes:

(a) A brief description of what happened, including the date of the non-permitted Use or Disclosure, Security Incident, or Breach and the date of Discovery of the non-permitted Use or Disclosure, Security Incident, or Breach, if known;

(b) The number of Individuals whose Protected Health Information is involved, if known;

(c) A description of the specific type of Protected Health Information involved in the non-permitted Use or Disclosure, Security Incident, or Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code or other types of information were involved), if known;

(d) The name and contact information for a person highly knowledge of the facts and circumstances of the non-permitted Use or Disclosure of PHI, Security Incident, or Breach

5.2.2 Business Associate shall make a written report without unreasonable delay and in no event later than ten (10) business days from the date of discovery by Business Associate of the non-permitted Use or Disclosure of Protected Health Information, Security Incident, or Breach of Unsecured Protected Health Information and to the **Chief Privacy Officer at: Chief Privacy Officer, Kenneth Hahn Hall of Administration, 500 West Temple Street, Suite 525, Los Angeles, California 90012, HIPAA@auditor.lacounty.gov,** that includes, to the extent possible:

(a) A brief description of what happened, including the date of the non-permitted Use or Disclosure, Security Incident, or Breach and the date of Discovery of the non-permitted Use or Disclosure, Security Incident, or Breach, if known;

(b) The number of Individuals whose Protected Health Information is involved;

(c) A description of the specific type of Protected Health Information involved in the non-permitted Use or Disclosure, Security Incident, or Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code or other types of information were involved);

(d) The identification of each Individual whose Unsecured Protected Health Information has been, or is reasonably believed by Business Associate to have been, accessed, acquired, Used, or Disclosed;

(e) Any other information necessary to conduct an assessment of whether notification to the Individual(s) under 45 C.F.R. § 164.404 is required;

(f) Any steps Business Associate believes that the Individual(s) could take to protect him or herself from potential harm from the non-permitted Use or Disclosure, Security Incident, or Breach;

(g) A brief description of what Business Associate is doing to investigate, to mitigate harm to the Individual(s), and to protect against any further similar occurrences; and

(h) The name and contact information for a person highly knowledge of the facts and circumstances of the non-permitted Use or Disclosure of PHI, Security Incident, or Breach.

5.2.3 If Business Associate is not able to provide the information specified in Section 5.2.1 or 5.2.2 at the time of the required report, Business Associate shall provide such information promptly thereafter as such information becomes available.

5.3 Business Associate may delay the notification required by Section 5.1.3, if a law enforcement official states to Business Associate that notification would impede a criminal investigation or cause damage to national security.

5.3.1 If the law enforcement official's statement is in writing and specifies the time for which a delay is required, Business Associate shall delay its reporting and/or notification obligation(s) for the time period specified by the official.

5.3.2 If the statement is made orally, Business Associate shall document the statement, including the identity of the official making the statement (if permitted by law), and delay its reporting and/or notification obligation(s) temporarily and no longer than 30 days from the date of the oral statement, unless a written statement as described in Section 5.3.1 is submitted during that time.

5.4 With respect to the notification requirements under this Section 5, Security Incidents shall not include, without limitation, pings and other broadcast attacks on Business Associate's firewall, port scans, unsuccessful log-on attempts, denial of service attacks, and any combination of the above, provided no such incident results in loss of use of the System, unauthorized access, use or disclosure of Covered Entity's PHI.

6. WRITTEN ASSURANCES OF SUBCONTRACTORS

6.1 In accordance with 45 C.F.R. § 164.502 (e)(1)(ii) and § 164.308 (b)(2), if applicable, Business Associate shall ensure that any Subcontractor that creates, receives, maintains, or transmits Protected Health Information on behalf of Business Associate is made aware of its status as a Business Associate with respect to such information and that Subcontractor agrees in writing to the same restrictions, conditions, and requirements that apply to Business Associate with respect to such information.

6.2 Business Associate shall take reasonable steps to cure any material breach or violation by Subcontractor of the agreement required by Section 6.1.

6.3 If the steps required by Section 6.2 do not cure the breach or end the violation, Contractor shall terminate, if feasible, any arrangement with Subcontractor by which Subcontractor creates, receives, maintains, or transmits Protected Health Information on behalf of Business Associate.

6.4 If neither cure nor termination as set forth in Sections 6.2 and 6.3 is feasible, Business Associate shall promptly notify County, which shall occur no later than within one business day of making the determination.

6.5 Without limiting the requirements of Section 6.1, the agreement required by Section 6.1 (Subcontractor Business Associate Agreement) shall require Subcontractor to contemporaneously notify Covered Entity in the event of a Breach of Unsecured Protected Health Information.

6.6 Without limiting the requirements of Section 6.1, agreement required by Section 6.1 (Subcontractor Business Associate Agreement) shall include a provision requiring Subcontractor to destroy, or in the alternative to return to Business Associate, any Protected Health Information created, received, maintained, or transmitted by Subcontractor on behalf of Business Associate so as to enable Business Associate to comply with the provisions of Section 18.4.

6.7 Business Associate shall provide to Covered Entity, at Covered Entity's request, a copy of any and all Subcontractor Business Associate Agreements required by Section 6.1.

6.8 Sections 6.1 and 6.7 are not intended by the parties to limit in any way the scope of Business Associate's obligations related to Subcontracts or Subcontracting in the underlying Agreement, that gives rise to Contractor's status as a Business Associate.

7. ACCESS TO PROTECTED HEALTH INFORMATION

7.1 To the extent Covered Entity determines that Protected Health Information is maintained by Business Associate or its agents or Subcontractors in a

Designated Record Set, Business Associate shall, within ten (10) business days after receipt of a request from Covered Entity, make the Protected Health Information specified by Covered Entity available to the Individual(s) identified by Covered Entity as being entitled to access and shall provide such Individuals(s) or other person(s) designated by Covered Entity with a copy the specified Protected Health Information, in order for Covered Entity to meet the requirements of 45 C.F.R. § 164.524.

7.2 If any Individual requests access to Protected Health Information directly from Business Associate or its agents or Subcontractors, Business Associate shall notify Covered Entity in writing within five (5) days of the receipt of the request. Whether access shall be provided or denied shall be determined by Covered Entity.

7.3 To the extent that Business Associate maintains Protected Health Information that is subject to access as set forth above in one or more Designated Record Sets electronically and if the Individual requests an electronic copy of such information, Business Associate shall provide the Individual with access to the Protected Health Information in the electronic form and format requested by the Individual, if it is readily producible in such form and format; or, if not, in a readable electronic form and format as agreed to by Covered Entity and the Individual.

8. AMENDMENT OF PROTECTED HEALTH INFORMATION

8.1 To the extent Covered Entity determines that any Protected Health Information is maintained by Business Associate or its agents or Subcontractors in a Designated Record Set, Business Associate shall, within fifteen (15) business days after receipt of a written request from Covered Entity, make any amendments to such Protected Health Information that are requested by Covered Entity, in order for Covered Entity to meet the requirements of 45 C.F.R. § 164.526.

8.2 If any Individual requests an amendment to Protected Health Information directly from Business Associate or its agents or Subcontractors, Business Associate shall notify Covered Entity in writing within five (5) days of the receipt of the request. Whether an amendment shall be granted or denied shall be determined by Covered Entity.

9. ACCOUNTING OF DISCLOSURES OF PROTECTED HEALTH INFORMATION

9.1 Business Associate shall maintain an accounting of each Disclosure of Protected Health Information made by Business Associate or its employees, agents, representatives or Subcontractors, as is determined by Covered Entity to be necessary in order to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with 45 C.F.R. § 164.528.

9.1.1 Any accounting of disclosures provided by Business Associate under Section 9.1 shall include:

(a) The date of the Disclosure;

(b) The name, and address if known, of the entity or person who received the Protected Health Information;

(c) A brief description of the Protected Health Information Disclosed; and

(d) A brief statement of the purpose of the Disclosure.

9.1.2 For each Disclosure that would require an accounting under 45 C.F.R. § 164.528, Business Associate shall document the information specified in Section 9.1.1, and shall maintain the information for six (6) years from the date of the Disclosure.

9.2 Business Associate shall provide to Covered Entity, within fifteen (15) business days after receipt of a written request from Covered Entity, information collected in accordance with Section 9.1.1 to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with 45 C.F.R. § 164.528

9.3 If any Individual requests an accounting of disclosures directly from Business Associate or its agents or Subcontractors, Business Associate shall notify Covered Entity in writing within five (5) days of the receipt of the request, and shall provide the requested accounting of disclosures to the Individual(s) within 30 days. The information provided in the accounting shall be in accordance with 45 C.F.R. § 164.528.

10. COMPLIANCE WITH APPLICABLE HIPAA RULES

10.1 To the extent Business Associate is to carry out one or more of Covered Entity's obligation(s) under Subpart E of 45 C.F.R. Part 164, Business Associate shall comply with the requirements of Subpart E that apply to Covered Entity's performance of such obligation(s).

10.2 Business Associate shall comply with all HIPAA Rules applicable to Business Associate in the performance of Services.

11. AVAILABILITY OF RECORDS

11.1 Business Associate shall make its internal practices, books, and records relating to the Use and Disclosure of Protected Health Information received from, or created or received by Business Associate on behalf of Covered

Entity available to the Secretary for purposes of determining Covered Entity's compliance with the Privacy and Security Regulations.

11.2 Unless prohibited by the Secretary, Business Associate shall immediately notify Covered Entity of any requests made by the Secretary and provide Covered Entity with copies of any documents produced in response to such request.

12. MITIGATION OF HARMFUL EFFECTS

12.1 Business Associate shall mitigate, to the extent practicable, any harmful effect of a Use or Disclosure of Protected Health Information by Business Associate in violation of the requirements of this Business Associate Agreement that is known to Business Associate.

13. BREACH NOTIFICATION TO INDIVIDUALS

13.1 Business Associate shall, to the extent Covered Entity determines that there has been a Breach of Unsecured Protected Health Information by Business Associate, its employees, representatives, agents or Subcontractors, provide breach notification to the Individual in a manner that permits Covered Entity to comply with its obligations under 45 C.F.R. § 164.404.

13.1.1 Business Associate shall notify, subject to the review and approval of Covered Entity, each Individual whose Unsecured Protected Health Information has been, or is reasonably believed to have been, accessed, acquired, Used, or Disclosed as a result of any such Breach.

13.1.2 The notification provided by Business Associate shall be written in plain language, shall be subject to review and approval by Covered Entity (unless otherwise prohibited by law), and shall include, to the extent possible:

(a) A brief description of what happened, including the date of the Breach and the date of the Discovery of the Breach, if known;

(b) A description of the types of Unsecured Protected Health Information that were involved in the Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);

(c) Any steps the Individual should take to protect him or herself from potential harm resulting from the Breach;

(d) A brief description of what Business Associate is doing to investigate the Breach, to mitigate harm to Individual(s), and to protect against any further Breaches; and

(e) Contact procedures for Individual(s) to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.

13.2 Covered Entity, in its sole discretion, may elect to provide the notification required by Section 13.1 and/or to establish the contact procedures described in Section 13.1.2.

13.3 Business Associate shall reimburse Covered Entity any and all costs incurred by Covered Entity, in complying with Subpart D of 45 C.F.R. Part 164, including but not limited to costs of notification, internet posting, or media publication, as a result of Business Associate's Breach of Unsecured Protected Health Information; Covered Entity shall not be responsible for any costs incurred by Business Associate in providing the notification required by 13.1 or in establishing the contact procedures required by Section 13.1.2.

14. INDEMNIFICATION

14.1 Business Associate shall indemnify, defend, and hold harmless Covered Entity, its special districts, its elected and appointed officers, its employees, and agents from and against any and all liability, including but not limited to demands, claims, actions, fees, costs, expenses (including attorney and expert witness fees), and penalties and/or fines (including regulatory penalties and/or fines), arising from or connected with Business Associate's acts and/or omissions arising from and/or relating to this Business Associate Agreement , including, but not limited to, compliance and/or enforcement actions and/or activities, whether formal or informal, by the Secretary or by the Attorney General of the State of California.

14.2 Section 14.1 is not intended by the parties to limit in any way the scope of Business Associate's obligations related to Insurance and/or Indemnification in the underlying Agreement, that gives rise to Contractor's status as a Business Associate.

14.3 Business Associate's liability under this Business Associate Agreement will be governed by the limitation of liability provisions of the underlying Agreement.

15. OBLIGATIONS OF COVERED ENTITY

15.1 Covered Entity shall notify Business Associate of any current or future restrictions or limitations on the Use or Disclosure of Protected Health

Information that would affect Business Associate's performance of the Services, and Business Associate shall thereafter restrict or limit its own Uses and Disclosures accordingly. Covered Entity shall promptly notify Business Associate: (a) of any limitation(s) in its notice of privacy practices to the extent that such limitation may affect Business Associate's use or disclosure of PHI; and (b) of any changes in, or revocation of, permission by an Individual to use or disclose PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI. Covered Entity shall obtain all Authorizations required by applicable law, if any, for any use or disclosure of any PHI as contemplated pursuant to the Services under the Agreement.

15.2 Covered Entity shall not request Business Associate to Use or Disclose Protected Health Information in any manner that would not be permissible under Subpart E of 45 C.F.R. Part 164 if done by Covered Entity, except to the extent that Business Associate may Use or Disclose Protected Health Information as provided in Sections 2.3, 2.5, and 2.6.

16. TERM

16.1 Unless sooner terminated as set forth in Section 17, the term of this Business Associate Agreement shall be the same as the term of the underlying Agreement that gives rise to Contractor's status as a Business Associate.

16.2 Notwithstanding Section 16.1, Business Associate's obligations under Sections 11, 14, and 18 shall survive the termination or expiration of this Business Associate Agreement.

17. TERMINATION FOR CAUSE

17.1 In addition to and notwithstanding the termination provisions set forth in the underlying Agreement, that gives rise to Contractor's status as a Business Associate, if either party determines that the other party has violated a material term of this Business Associate Agreement, and the breaching party has not cured the breach or ended the violation within the time specified by the non-breaching party, which shall be reasonable given the nature of the breach and/or violation, the non-breaching party may terminate this Business Associate Agreement.

17.2 In addition to and notwithstanding the termination provisions set forth in the underlying Agreement, that gives rise to Contractor's status as a Business Associate, if either party determines that the other party has violated a material term of this Business Associate Agreement, and cure is not feasible, the non-breaching party may terminate this Business Associate Agreement immediately.

18. DISPOSITION OF PROTECTED HEALTH INFORMATION UPON TERMINATION OR EXPIRATION

18.1 Except as provided in Section 18.3, upon termination for any reason or expiration of this Business Associate Agreement, Business Associate shall return or, if agreed to by Covered entity, shall destroy as provided for in Section 18.2, all Protected Health Information received from Covered Entity, or created, maintained, or received by Business Associate on behalf of Covered Entity, that Business Associate, including any Subcontractor, still maintains in any form. Business Associate shall retain no copies of the Protected Health Information.

18.2 Destruction for purposes of Section 18.2 and Section 6.6 shall mean that media on which the Protected Health Information is stored or recorded has been destroyed and/or electronic media have been cleared, purged, or destroyed in accordance with the use of a technology or methodology specified by the Secretary in guidance for rendering Protected Health Information unusable, unreadable, or indecipherable to unauthorized individuals.

18.3 Notwithstanding Section 18.1, in the event that return or destruction of Protected Health Information is not feasible or Business Associate determines that any such Protected Health Information is necessary for Business Associate to continue its proper management and administration or to carry out its legal responsibilities, Business Associate may retain that Protected Health Information for which destruction or return is infeasible or that Protected Health Information which is necessary for Business Associate to continue its proper management and administration or to carry out its legal responsibilities and shall return or destroy all other Protected Health Information.

18.3.1 Business Associate shall extend the protections of this Business Associate Agreement to such Protected Health Information, including continuing to use appropriate safeguards and continuing to comply with Subpart C of 45 C.F.R Part 164 with respect to Electronic Protected Health Information, to prevent the Use or Disclosure of such information other than as provided for in Sections 2.5 and 2.6 for so long as such Protected Health Information is retained, and Business Associate shall not Use or Disclose such Protected Health Information other than for the purposes for which such Protected Health Information was retained.

18.3.2 Business Associate shall return or, if agreed to by Covered entity, destroy the Protected Health Information retained by Business Associate when it is no longer needed by Business Associate for Business Associate's proper management and administration or to carry out its legal responsibilities.

18.4 Business Associate shall ensure that all Protected Health Information created, maintained, or received by Subcontractors is returned or, if agreed to by Covered entity, destroyed as provided for in Section 18.2.

19. AUDIT, INSPECTION, AND EXAMINATION

19.1 Covered Entity reserves the right to conduct a reasonable inspection of the facilities, systems, information systems, books, records, agreements, and policies and procedures relating to the Use or Disclosure of Protected Health Information for the purpose determining whether Business Associate is in compliance with the terms of this Business Associate Agreement and any non-compliance may be a basis for termination of this Business Associate Agreement and the underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order or other services arrangement, with or without payment, that gives rise to Contractor's status as a Business Associate, as provided for in section 17.

19.2 Covered Entity and Business Associate shall mutually agree in advance upon the scope, timing, and location of any such inspection.

19.3 At Business Associate's request, and to the extent permitted by law, Covered Entity shall execute a nondisclosure agreement, upon terms and conditions mutually agreed to by the parties.

19.4 That Covered Entity inspects, fails to inspect, or has the right to inspect as provided for in Section 19.1 does not relieve Business Associate of its responsibility to comply with this Business Associate Agreement and/or the HIPAA Rules or impose on Covered Entity any responsibility for Business Associate's compliance with any applicable HIPAA Rules.

19.5 Covered Entity's failure to detect, its detection but failure to notify Business Associate, or its detection but failure to require remediation by Business Associate of an unsatisfactory practice by Business Associate, shall not constitute acceptance of such practice or a waiver of Covered Entity's enforcement rights under this Business Associate Agreement or the underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order or other services arrangement, with or without payment, that gives rise to Contractor's status as a Business Associate.

19.6 Section 19.1 is not intended by the parties to limit in any way the scope of Business Associate's obligations related to Inspection and/or Audit and/or similar review in the underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Contractor's status as a Business Associate.

20. MISCELLANEOUS PROVISIONS

20.1 Disclaimer. Covered Entity makes no warranty or representation that compliance by Business Associate with the terms and conditions of this Business Associate Agreement will be adequate or satisfactory to meet the business needs or legal obligations of Business Associate.

20.2 HIPAA Requirements. The Parties agree that the provisions under HIPAA Rules that are required by law to be incorporated into this Business Associate Agreement are hereby incorporated into this Business Associate Agreement.

20.3 No Third Party Beneficiaries. Nothing in this Business Associate Agreement shall confer upon any person other than the parties and their respective successors or assigns, any rights, remedies, obligations, or liabilities whatsoever.

20.4 Construction. In the event that a provision of this Business Associate Agreement is contrary to a provision of the underlying Agreement, that gives rise to Contractor's status as a Business Associate, the provision of this Business Associate Agreement shall control. Otherwise, this Business Associate Agreement shall be construed under, and in accordance with, the terms of the underlying Agreement, that gives rise to Contractor's status as a Business Associate.

20.5 Regulatory References. A reference in this Business Associate Agreement to a section in the HIPAA Rules means the section as in effect or as amended.

20.6 Interpretation. Any ambiguity in this Business Associate Agreement shall be resolved in favor of a meaning that permits the parties to comply with the HIPAA Rules.

20.7 Amendment. The parties agree to take such action as is necessary to amend this Business Associate Agreement from time to time as is necessary for Covered Entity or Business Associate to comply with the requirements of the HIPAA Rules and any other privacy laws governing Protected Health Information.

EXHIBIT N

COUNTY OF LOS ANGELES REQUEST FOR PROPOSALS FOR RISK MANAGEMENT INFORMATION SYSTEM (RMIS) (SEEKING FULLY MANAGED SOLUTION) RFP NO.: CAIC RFP 2016-01

[INCORPORATED BY REFERENCE]

EXHIBIT N

RMIS RFP NO.: CAIC RFP 2016-01

RMIS RFP No.: CAIC RFP 2016-01 incorporated as the RFP solicitation document, and any subsequent addendum to the RMIS RFP, are incorporated by reference.

EXHIBIT O

RESPONSE TO REQUEST FOR PROPOSALS FOR THE RISK MANAGENT INFORMATION SYSTEM (RMIS) RFP NO.: CAIC RFP 2016-01 FULLY MANAGED SOLUTION DATED SEPTEMBER 6, 2016, SUBMITTED BY VENTIV TECHNOLOGY, INC.

[INCORPORATED BY REFERENCE]

EXHIBIT O

RESPONSE TO THE RMIS RFP NO.: CAIC RFP 2016-01

Response to the RMIS RFP No.: CAIC RFP 2016-01 submitted by Ventiv Technology, Inc. is incorporated by reference.

EXHIBIT P

CONTRACTOR'S DIRECT COMPETITORS

EXHIBIT P

CONTRACTOR'S DIRECT COMPETITORS

Competitor	Website
AQS	http://www.aqssys.com/
Ascendant One	Part of ISO
ATS	http://www.atsrmis.com/
ClaimX	http://www.risclog.de/claimx.html
CSC	http://www.csc.com/risk_management_and_claims/ds/11363/13124-riskmaster
David Corporation	http://www.davidcorp.com/index.php
Delphi Technology	http://www.delphi-tech.com/
Duck Creek	http://www.duckcreektech.com/
Ebix	http://www.ebix.com/
Effisoft	http://www.effisoft.com/default.aspx?langue=en
Emerson	http://www.emersonsolutions.com/
Enablon	http://enablon.com/
Exigen Insurance Systems	http://www.exigeninsurance.com/
Figtree	http://www.figtreesystems.com/
Guidewire	http://www.guidewire.com/
iFACTS	http://www.ifacts.se/
Inform Applications	http://www.informapplications.com/main.htm
Instec	http://www.instec-corp.com/company/
INSUBIZ	http://www.insu.biz/
Insurity	Part of lexisNexis
JCAD	http://www.jcad.co.uk/
JW Software	http://www.jwsoftware.com/
K2 Insurance Link (GIN)	http://k2-consult.de/
Marsh Clearsight (f/k/a CS STARS)	http://www.marshclearsight.com/
NARIS	http://web.naris.eu/en/
NKK (OASIS)	http://www.nkk.de/neu/
One Shield	http://www.oneshield.com/
Origami Risk	http://www.origamirisk.com/
P&C Insurance Systems	http://www.pandcis.com/
Riskonnect	http://www.riskonnect.com/
RSG	https://www.risksciencesgroup.com/
Saber Risk Solutions	http://www.saberrisksolutions.com/index.html
SBC	http://www.sbcit.com.au/
Steria Mummert	http://www.steria.com/de/iss/
Stewart Software (MIMS)	http://www.stewart-software.co.uk/home.html
Stone River	http://www.stoneriver.com/
Systema	http://www.systemasoft.com/
Tropics	http://www.gotropics.com/
Xactium	http://www.xactium.com/

EXHIBIT Q-1

BACKGROUND INVESTIGATION CRITERIA

EXHIBIT Q-1

BACKGROUND INVESTIGATION CRITERIA

This Exhibit Q-1 is attached to and forms a part of that certain Agreement for Risk Management Information System and Related Services, dated as of the Effective Date (together with all exhibits, attachments, and schedules thereto, all as amended from time to time, the "Agreement"), between the County of Los Angeles ("County") and Ventiv Technology Inc. ("Contractor"). Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

Contractor must deliver a written certification in the form of Exhibit Q-2 (Background Investigation Certification) prior to staff beginning work under the Agreement and no less frequently than every three (3) years thereafter.

Background investigations must be conducted by Live Scan fingerprinting. The background investigations must provide Contractor notification if a staff member who has undergone a background investigation receives a subsequent criminal conviction.

The suitability of Contractor staff working under the Agreement having been convicted of criminal acts and/or who have successfully completed probation or parole must be evaluated by Contractor for compliance with this Exhibit Q-1 and Contractor, acting in consideration of the type of work the staff will be performing under the Agreement and acting accordance with standards that are consistent with the Agreement and market practices for its industry, must determine that such staff are suitable for performing work under the Agreement. Staff shall be required to truthfully and fully disclose criminal conviction(s) to Contractor, unless such conviction(s) have been disclosed via the background investigation completed by Contractor's third party vendor. If staff fail to disclose a criminal conviction, Contractor must be permitted to remove such staff from performing work under the Agreement regardless of work performance.

Due to the fact that legal terms by which criminal acts may be described differ among jurisdictions, the following is NOT a complete list of criminal convictions that may be considered in evaluating suitability to work on the Agreement.

I. ACCEPTABLE TO WORK ON AGREEMENT
- Disturbing the Peace
- Drunk Driving (Acceptable with a valid driver license)
- Gambling
- Petty Theft as a Juvenile
- Possession of Marijuana
- Reckless Driving (Acceptable with a valid driver license)
- Trespassing

II. ACCEPTABLE TO WORK ON AGREEMENT AFTER STIPULATED TIME (INCLUDING SIMILAR CONVICTIONS AND "ATTEMPT", "ACCESSORY", AND "CONSPIRACY" TO COMMIT ANY OF THE CRIMES LISTED BELOW)

• Assault and Battery	One Year
• Malicious Mischief	One Year
• Prostitution	One Year
• Petty Theft	Five Years
• Receiving Stolen Property	Five Years
• Shoplifting	Five Years
• Manslaughter	Five Years
• Possession of Narcotics and/or Dangerous Drugs	Five Years

III. DETERMINATION AFTER INVESTIGATION

- Bad Checks
- Indecent Exposure
- Lewd Conduct
- Possession and/or Sales of Dangerous Weapons
- Threats of Violence

IV. NOT ACCEPTABLE TO WORK ON AGREEMENT (INCLUDING SIMILAR CONVICTIONS AND "ATTEMPT", "ACCESSORY", AND "CONSPIRACY" TO COMMIT ANY OF THE CRIMES LISTED BELOW.)

- Blackmail
- Bribery
- Burglary
- Crimes Against Children and Elders
- Embezzlement, Including Theft of Public Funds
- Extortion
- Falsification of Financial Statements and/or Public Records
- Forgery
- Grand Theft
- Murder
- Rape, including Sexual Battery
- Robbery
- Sale of narcotics and/or dangerous drugs (Includes Intent to Sell)
- Criminal fraud

EXHIBIT Q-2

BACKGROUND INVESTIGATION CERTIFICATION

EXHIBIT Q-2

BACKGROUND INVESTIGATION CERTIFICATION

AGREEMENT: AGREEMENT BY AND BETWEEN COUNTY OF LOS ANGELES AND VENTIV TECHNOLOGY INC. FOR RISK MANAGEMENT INFORMATION SYSTEM AND RELATED SERVICES

CONTRACTOR/EMPLOYER NAME: VENTIV TECHNOLOGY INC.

COUNTY CONTRACT NO.: AO-18-411

This Exhibit Q-2 is attached to and forms a part of that certain Agreement for Risk Management Information System and Related Services, dated as of the Effective Date (together with all exhibits, attachments, and schedules thereto, all as amended from time to time, the "Agreement"), between the County of Los Angeles ("County") and Ventiv Technology Inc. ("Contractor"). Capitalized terms used herein without definition have the meanings given to such terms in the Agreement.

The undersigned, being an authorized officer of Contractor, certifies to County the following:

All background investigations for all staff performing work under the Agreement as of the date of this certification and listed on Attachment I hereto were conducted by Live Scan fingerprinting method. Contractor will receive notification if a staff member who has undergone a background investigation receives a subsequent criminal conviction.

Contractor has evaluated the results of the background investigations of all staff performing work under the Agreement for compliance with the below-listed criteria, and Contractor, acting in consideration of the type of work the staff will be performing under the Agreement and acting accordance with standards that are consistent with the Agreement and market practices for its industry, has determined that all such staff are suitable for performing work under the Agreement. Staff are required to truthfully and fully disclose criminal conviction(s) to Contractor. If staff fail to disclose a criminal conviction, Contractor is permitted to remove such staff from performing work under the Agreement regardless of work performance.

Due to the fact that legal terms by which criminal acts may be described differ among jurisdictions, the following is NOT a complete list of criminal convictions that may be considered in evaluating suitability to work on the Agreement.

I. ACCEPTABLE TO WORK ON AGREEMENT

- Disturbing the Peace
- Drunk Driving (Acceptable with a valid driver license)
- Gambling
- Petty Theft as a Juvenile
- Possession of Marijuana
- Reckless Driving (Acceptable with a valid driver license)
- Trespassing

II. ACCEPTABLE TO WORK ON AGREEMENT AFTER STIPULATED TIME (INCLUDING SIMILAR CONVICTIONS AND "ATTEMPT", "ACCESSORY", AND "CONSPIRACY" TO COMMIT ANY OF THE CRIMES LISTED BELOW)

• Assault and Battery	One Year
• Malicious Mischief	One Year
• Prostitution	One Year
• Petty Theft	Five Years
• Receiving Stolen Property	Five Years
• Shoplifting	Five Years
• Manslaughter	Five Years
• Possession of Narcotics and/or Dangerous Drugs	Five Years

III. DETERMINATION AFTER INVESTIGATION

- Bad Checks
- Indecent Exposure
- Lewd Conduct
- Possession and/or Sales of Dangerous Weapons
- Threats of Violence

IV. NOT ACCEPTABLE TO WORK ON AGREEMENT (INCLUDING SIMILAR CONVICTIONS AND "ATTEMPT", "ACCESSORY", AND "CONSPIRACY" TO COMMIT ANY OF THE CRIMES LISTED BELOW.)

- Blackmail
- Bribery
- Burglary
- Crimes Against Children and Elders
- Embezzlement, Including Theft of Public Funds
- Extortion
- Falsification of Financial Statements and/or Public Records
- Forgery
- Grand Theft

- Murder
- Rape, including Sexual Battery
- Robbery
- Sale of narcotics and/or dangerous drugs (Includes Intent to Sell)
- Criminal fraud

Under penalty of perjury I certify the foregoing to be true and correct as of the date set forth below.

_____ _____

Signature & Title Date

Witnessed by:

_____ _____

Signature & Title Date

ATTACHMENT I TO EXHIBIT Q-2

LIST OF STAFF SUBJECT OF CERTIFICATION

The following staff are performing work under the Agreement as of the date of this certification:

No.	Name	Title	Function
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PETER LOO
ACTING CHIEF INFORMATION OFFICER

Office of the CIO

CIO Analysis

NUMBER:	DATE:
CA 17-20	10/27/2017

SUBJECT:

APPROVAL TO EXECUTE AGREEMENT FOR COMPREHENSIVE CLAIMS MANAGEMENT UNDER THE RISK MANAGEMENT INFORMATION SYSTEM

RECOMMENDATION:

☒ Approve ☐ Approve with Modification ☐ Disapprove

CONTRACT TYPE:

☒ New Contract ☐ Sole Source
☐ Amendment to Contract #: Enter contract #. ☐ Other: Describe contract type.

CONTRACT COMPONENTS:

☒ Software ☐ Hardware
☐ Telecommunications ☒ Professional Services

SUMMARY:

Department Executive Sponsor: Sachi A. Hamai, Chief Executive Officer

Description: The Chief Executive Office (CEO) is seeking authorization to: 1) Execute a Contract to develop a single RMIS that is capable of managing, administering, and reducing risk exposure to the County; 2) Have delegated authority to execute amendments to the Agreement, as needed, to exercise contract extensions; 3) Have delegated authority to approve and execute amendments and change notices that authorize budget modifications, schedule of payment modifications, and adjustments to scope of work, work tasks, and/or activities, and approve use of Pool Dollars; 4) Have delegated authority to modify, enhance, and improve internal processes across all impacted platforms, departments, and existing systems to ensure the consistency and efficiency of RMIS.

Contract Amount: $60,363,271

Funding Source: Workers' Compensation (WC) and CEO Insurance Budget

☐ Legislative or Regulatory Mandate ☐ Subvened/Grant Funded: Enter %

Note: Federal and State laws and regulations require electronic data interchanges to collect claims data. The new system will allow the County to comply with current and new reporting requirements.

Strategic and Business Analysis	PROJECT GOALS AND OBJECTIVES:
	The proposed contract will enable the CEO to implement a system that will consolidate risk management operations and create a comprehensive risk management program. The new system will create a risk management strategy across all departments. The project goals and objectives are clearly described and reasonable.

BUSINESS DRIVERS:

The business drivers have been clearly defined and communicated. Aside from consolidating risk management operations and creating a comprehensive risk management program, the primary business drivers are to better manage claims, create advanced fraud analytics, and implement proactive measures to lower the County's overall cost of risk.

PROJECT ORGANIZATION:

The Project Manager is Steve Robles, Assistant CEO. The Project Lead is Steve Nyblom, and the project team will be comprised of County and Contractor employees. The project will be managed in accordance with a detailed project plan.

PERFORMANCE METRICS:

The CEO will monitor the project progress using milestones, acceptance criteria and a detailed project plan. Project success will be determined by implementing the system on budget, on schedule and with the required functionality. Additionally, system uptime and performance metrics will be monitored based on the contract.

STRATEGIC AND BUSINESS ALIGNMENT:

Development and maintenance of a consolidated risk management operation and comprehensive risk management program are well aligned with the CEO's business objectives and the County's 2016-21 Strategic Plan Goal III – Realize Tomorrow's Government Today.

PROJECT APPROACH:

The proposed system will be hosted by the Contractor and the implementation will be phased to allow the County to retire nine legacy systems and/or non-automated processes. Portions of the system are commercial-off-the-shelf (COTS) licensed software and portions will be customized to meet the County's specific requirements.

ALTERNATIVES ANALYZED:

The CEO released an RFP on April 14, 2016, and addenda to the RFP were released on April 19, 2016, June 29, 2016, and August 12, 2016. On September 6, 2016, four proposals were received in response to the RFP. One proposal was disqualified as non-responsive. The County entered negotiations with the Contractor on August 14, 2017, and negotiations concluded on September 28, 2017.

Technical Analysis	ANALYSIS OF PROPOSED IT SOLUTION: The new RMIS solution will be hosted by the Contractor and will be accessible from a browser. It will have four modules for use by various County departments. It is anticipated that the current software functionality for E-Billing will remain with Tymetrix, Inc. The General Design Document for the new RMIS will provide specific information about each individual architectural component (functional architecture, application architecture and data architecture). The technical infrastructure will be designed based on the County's requirements. There will be five separate computing environments (Test, Staging, Production, Reporting, and Training), and the Contractor will develop a system maintenance strategy. There are provisions in the Contract regarding ownership of County data, destruction of County data, information security and privacy requirements, and business continuity/disaster recovery.
Financial Analysis	BUDGET: Contract costs One-time costs: Implementation Services ... $ 18,759,771 Letter of Credit..... $ 300,000 **Sub-total one-time costs ... $ 19,059,771** Ongoing annual costs (10 yrs): License and Maint. Costs ... $ 16,432,924 **Sub-total Initial Term Costs: $** 35,492,694 Option Years (License/Maint).. $ 15,644,515 Pool Dollars ..... $ 9,226,061 **Maximum Contract Sum..... $ 60,363,271**
Risk Analysis	RISK MITIGATION: As with any hosted solution, there are risks associated with security, privacy and vendor performance. However, based on reviewing the contract and the SOW, the department has sufficiently mitigated those risks. Based on the Contract, all the County's confidential information, to which the Contractor has access, is and shall remain property of the County. There are also provisions for encrypting County data and preventing the unauthorized use, release, modification, loss or destruction of County data. The information security and privacy requirements require that the Contractor implement appropriate administration, physical and technical measures to secure its systems and data to protect and ensure the privacy, confidentiality, integrity and availability. Also, the Contractor is responsible for providing backup, disaster recovery and business continuity services,

	data replication from the primary data center to a secondary data center, and providing a Business Continuity/Disaster Recovery Plan. The Chief Information Officer (CIO) has reviewed the Contract and did not identify any IT security or privacy related issues.
CIO Approval	PREPARED BY: Henry Balta, Sr. Associate CIO — Date: 11/2/17 APPROVED: Peter Loo, Acting Chief Information Officer — Date: 11/2/17

Please contact the Office of the CIO (213.253.5600 or info@cio.lacounty.gov) for questions concerning this CIO Analysis. This document is also available online at http://ciointranet.lacounty.gov/