3.11 Attachment CNV- Conversion

3.11.1 Approach

Microsoft Dynamics CRM has the ability to migrate historic case information from various data sources into the new Solution. Data can be imported into standard and customized attributes of most system entities and custom entities. This includes related data, such as notes and attachments.

Microsoft Dynamics CRM includes a web application tool called the Data Import Wizard. This tool is used to import data records from one or more comma-separated values (.csv), XML (.xml), or text files. The Data Import Wizard allows administrators to easily map data from the file source columns to CRM attributes. These user-configurable data migration maps can then be used and reused to map imported data to Microsoft Dynamics CRM.

In addition, web services integration provides a programmatic interface for inserting, updating, and deleting records in real time. Microsoft SQL Server Integration Services packages can be used for doing fast batch integration for large volumes of data. The Microsoft Dynamics CRM web services provide additional capabilities that are not available in the Data Import Wizard:

- Create data maps that include complex transformation mapping, such as concatenation, split, and replace.
- Define custom transformation mapping.
- View source data that is stored inside the temporary parse tables.
- Access error logs to build custom error reporting tools with improved error logging views.
- Run data import by using command line scripts.
- Add LookupMap XML tags in the data map to indicate that the data lookup will be initiated and performed on a source file that is used in the import.
- Add custom OwnerMetadata XML tags in the data map to match the user records in the source file with the records of the user (system user) in Microsoft Dynamics CRM.
- Use optional validation checks. Validation is not optional in the Data Import Wizard.

It is through the intelligent application of each of the available data migration utilities that the Aeon team has previously migrated dataset in excess of the 175 million records currently maintained in the county's existing solution.

3.11.2 Aeon Nexus Migration Plan and Methodology

Aeon Nexus will work with the DA's office on a data migration plan to migrate historic case data into Dynamics CRM. Aeon Nexus will demonstrate the viability and establish levels of trust that the migration process will succeed via the test environments. Aeon Nexus understands the rationale behind a one (1) time production migration that needs to quickly occur off-hours. The approach includes:

1. Migration Scope/Technical Review
At the start of every migration we scope and identify all potential issues that may occur later on. This enables the migration team to plan for any risks. The aim of scoping is to thoroughly review the migration before it starts.

The migration review evaluates the following areas:
* Are the migration deadlines and objectives clearly defined?
* Have the information requirements of all potential stakeholders been included in the plan?
* Are there communication plans in place for the migration, and do they include all stakeholders?
* Is there enough client involvement in migration and are expectations appropriate?

The technical review is used to check the quality and appropriateness of:
* The proposed migration methodology

* The data security plan during and after migration
* The technical features/constraints of the proposed data migration tools
* The structure, volume and quality of the source data

2. Data Migration Methodology Definition

A clear methodology is an essential part of a successful data migration. Our methodology consists of the pre-migration scoping mentioned above, followed by migration assessments and a core migration process. The methodology includes:

* Extract design: how the data is extracted, held and verified
* Migration design: how data is transformed into the target structure
* Mapping rules: the details of the migration
* Test overview: tools, reporting, structure and constraints
* Unit test: unit test specification
* Integration test: integration test specification
* Recovery plan: recovery options for each stage of the migration
* Go live plan: actions (including verifications) required to go live

3. Data Preparation

There are a number of aspects to data preparation:

* Landscape analysis checks how each system works and how the data within each system is structured
* Data assurance validates the data identified in the landscape analysis and ensures that all data is fit for purpose
* Data profiling provides a check of data quality and ensures that any historical data is suitable for the new requirements of the organization
* Data quality definitions are used during the profiling phase to identify whether or not the data is of the correct standard and format
* A retirement plan should be used to define the data no longer required
* Data verification, which is then followed by data cleansing, checks that the data is available, accessible, complete and in the correct format
* Data impact analysis ensures that data cleansing does not project on other elements within the source and target systems.

4. Data Security

The migration team creates data security plans early on and embeds them in the data migration plan. Areas to consider include:

* How to ensure secure data transfer
* How to create secure server access
* How to ensure secure data access
* The number of permissions required to transfer data
* Clearance and vetting of personnel, including outside consultants
* The training or information sessions required by personnel
* Vetting of the software that will be used for the migration
* Protocols for the use of email and portable storage devices.

5. Business Engagement

The involvement of stakeholders will improve the chances of a data migration project going smoothly and ensure that the team has the necessary resources. The key is to communicate that the purpose of the migration is to make the overall business more effective and efficient.

In summary, the extensive database administrator experience of Aeon staff will be leveraged to create a specific process for creating supporting structures and identifying data mapping procedures for ensuring proper data assimilation into the new Solution. The Aeon team will monitor and mirror like structures and design a

significant number of post transfer queries and system tests to ensure a valid data migration has been completed. A set of data migration tasks will be created to draw out an intelligible path to a successful conversion. A thorough data dictionary will be defined with all proper fields and objects mapped appropriately prior to the development of services and scripts needed to complete the process. Through repeated execution of migration testing, and comparative analysis supported by the use of automated and custom data migration tools, the Aeon team will ensure the integrity of all data, and the processes required to maintain a valid data state and data security.

3.11.3 Solution Conversion Specification

Aeon will provide a detailed conversion plan to support the implementation and deployment of the Case Management System, consistent with the in-scope conversions set forth Attachment DEL. The plan must provide Aeon's approach to conversion; address the conversion methodology, strategies for testing, verification, validation, security and contingencies as defined in this attachment.

Aeon will:

- Provide mapping documentation of the DA's existing data fields to the new system;

- Provide the DA with an Entity Relationship Diagram (ERD) and a Data Dictionary defining the relationships of tables within the implemented applications' databases;

- Load converted data into the Solution; and

- Verify the converted data and images.

The DA will complete any data cleansing and transformation to the formats required within the CMS. Aeon will complete verification of any extracted, in-scope data.

3.11.4 Providing Data

The DA will provide document data (including images) to Aeon in a format as defined by Aeon.

3.11.4.1   Conversion Process

Aeon will run up to four conversions into one environment:

- Initial bulk conversion out of each source of data. All of the sources of data/images will be delivered at one time as part of the bulk conversion.
- Reconversion to fix any reported issues from the conversion review period. The review period will include reviewing data/images from all sources.
- Gap conversion done immediately before go live (there could be two gap conversions depending on timeframes as defined in the project plan and the amount of data to be converted/processed between delivery of the Reconversion and Go Live).

The data as defined above in Section 3.11.2 will be provided to Aeon on an external hard drive or other mutually agreeable media to allow initial programming to be completed in Aeon offices. When the conversion programs are ready, the conversions will be run on site on the DA servers (production environment is required to be in place for any phase of the conversion to be run on site).

3.11.4.2   Data Validation

At the beginning of the project, the DA will fill out Aeon's Conversion Verification Form and provide all requested reports and screen shots for all data being converted in-scope. These items will later be used by Aeon for data validation. For CMS, Aeon can validate the data directly against current CMS system.

Once the conversion has been run, Aeon will perform data validation.

- Aeon will compare the data against the reports and screenshots previously provided to look for missing data and formatting issues.
- Aeon will run internal tools to check for:
  - Accuracy
  - Omissions
  - Conversion Errors
- Aeon will verify that record counts match the expected number of records from the source data.

Aeon will correct any Issues identified in the data validation before the conversion is delivered to the DA. A list of invalid data items will be provided to the DA at the conversion delivery.

At conversion delivery, Aeon will also provide a report with record counts containing minimum and maximum recording dates, minimum and maximum record numbers and images counts.

3.11.4.3 Conversion Review

Once Aeon has completed the data validation process, a Conversion, Integration & Migration Specialist will schedule a conversion delivery meeting with the DA. This may be done onsite or via a web meeting, per the project plan.

During the conversion delivery meeting:

- The Specialist will explain what validation has been performed and what the results were, providing the DA all applicable reports and information.
- The DA will be trained on how to search and how to review the data and images.
- The Specialist will share any specific areas to pay special attention to.

The Specialist will ask the DA to sign a conversion delivery acknowledgment form at that time, acknowledging delivery of the conversion and the beginning of the review period.

The DA will also be provided a conversion issues log. Any conversion issues will be logged into the spreadsheet, including specific examples. The spreadsheet will be provided to a group at Aeon (to be determined) at the end of each day. This allows Aeon to begin working on any issues while the DA continues to review the conversion. The DA will appoint a point person to review and maintain the spreadsheet, make sure there are examples provided for each issue and remove any duplicate issues prior to sending to Aeon at the end of each day. This would also be the person to notify Aeon when a fix has been verified and can be removed from the issues log.

During the conversion review period, the Specialist will be available to answer any questions the DA may have.

Once the conversion review period is over, the conversion fixes will be run and the conversion will be officially accepted by signing an acknowledgment form.

<div align="center">END OF ATTACHMENT CNV</div>

3.12 Attachment PMP- Project Management

Project Approach

3.12.1 Overview

Project Management as defined for the CMS Project will ensure the effective flow of the project throughout the life of the project. Key processes in project management include:

- Requirements identification and management
- Issue identification & management
- Balance between competing project constraints

  - Scope
  - Quality
  - Schedule
  - Resources
  - Risk

Aeon Technologies will be the project management lead. Aeon and the DA will work closely together for the overall project via a mutually agreed upon methodology. Each partner (DA & Aeon) will appoint designated Project Manager(s) to lead their efforts for the duration of the project.

3.12.2 Project Management Plan

During the Project Initiation & Planning stage, as defined in Attachment DEL, Aeon will develop a detailed project management plan that encompasses the entire body of work for the project using the agreed upon standard implementation methodology. The DA will support the development of the project management plan and approve the final Deliverable.

Upon the approval of the DA, the project management plan shall be committed to in writing by both parties. Aeon will not deviate from the approved project management plan without approval from the DA Project Manager.

3.12.3 Project Roles & Responsibilities

Aeon shall refer to Attachment ROL for the project roles and responsibilities.

3.12.4 Requirements Identification and Management

Business needs that support project objectives have been documented in the Functional Requirements and Attachment SOW.

Consistent with Attachment DEL, Aeon and the DA will conduct a configuration review for the DA's staff members to perform business tasks in the new CMS and see how their business will function once the system is in place, which include the following:

- Define, detail and document desired end-to-end business processes and workflows
- Identify the impact of changes on the affected sections and individuals
- Identify gaps and areas of change between the CMS and the old system
- Identify staff training needs
- Determine overall functionality and identify issues to be resolved prior to Go-Live
- Better understand the strengths and weaknesses of the Solution being implemented

Aeon will configure the Solution and review the requirements as defined in the Business Process Review ("BPR") to validate the current solution against End-User business processes and requirements identifying gaps in accordance with Attachments DEL and SOW.

3.12.5 Issue Identification and Management

As Issues arise during the course of the project, they will be logged in project SharePoint site. The Issues log assists in monitoring who is responsible for resolving specific Issues by a target date. Issue management ensures that obstacles that can block project success are dealt with and resolved in a timely manner.

Issue overview, concern or need, impact and recommended solution will be reviewed weekly with the DA Project Manager. If the Issue owner and the Project Manager are unable to come to consensus, the Project Managers will determine the solution. If the Issue requires a leadership decision, the Project Managers will review the Issue with the project leadership for decision making purposes.

3.12.6 Balancing Project Constraints

The Project Managers will manage all project constraints using the project management plan. In some cases, such as quality, budget, and risk, separate detailed plans will be created to define how each of these groups will be managed.

3.12.7 Project Reporting

The Project Managers will collaborate to develop a weekly and monthly status report for their respective management teams. The report should include project accomplishments, Issues, risks, upcoming tasks and timeline updates.

<div align="center">END OF ATTACHMENT PMP</div>

SSDLC Handbook

Secure System Development Life Cycle (SSDLC)

RIVERSIDE COUNTY DISTRICT ATTORNEY

Prepared for

County of Riverside

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Introduction

Developing and managing software systems requires the coordinated efforts of a broad range of resources. The SSDLC (Secure Software Development Life Cycle) refers to the repeatable processes and methods adopted to coordinate these efforts and communicate progress and objectives.

This handbook defines the SSDLC best suited to fit the unique environment that exists at Riverside County District Attorney. It is based upon an iterative software engineering process that outlines a dependable and efficient methodology for managing who does what, when and how during a software development project. It has been custom fit to meet the agency framework and vision in terms of phases, work products, and metrics. The ultimate goal of the SSDLC implementation is the production of secure, high-quality, well documented software.

Overview

The Riverside County District Attorney SSDLC clearly defines the software development process from the separate but related viewpoints of project management and development. It is an iterative process inheriting elements from AUP (Agile Unified Process), RUP (Rational Unified Process), XP (Extreme Programming), and other methodologies. The details and decisions maintained within the SSDLC are reflections of the guiding principles identified within the agency. These principles determined the 7 key characteristics of the SSDLC.

Riverside County District Attorney SSDLC 7 Key Characteristics

- Iterative – The pitfalls of the waterfall method are avoided through shorter focused iterations culminating in a working release.

- Agile – Agile processes promote creative solutions and modern development philosophies that facilitate rapid changes in the course and direction of a project, allowing for adjustments to unforeseen project demands.

- Lightweight – Documentation and reporting responsibilities are appropriately distributed for maximum accuracy and minimum evasiveness. Work Products are short, pointed documents appropriately focused for the intended audience.

- People-centric – Encourages the production of useful output that facilitates personnel transitioning, training, maintenance, and support. Guiding principles should encourage productivity and creativity; recommendations should allow alternatives.

- Secure – By adopting industry guidelines (OWASP etc.) for developing secure applications, security is part of the development process, resulting in higher quality, secure applications with fewer bugs.

- Measurable – Offers concrete and obvious signs of project distress and success.

- Repeatable – Provide a clear and consistent path to success such that future projects can reproduce similar output and similar results.
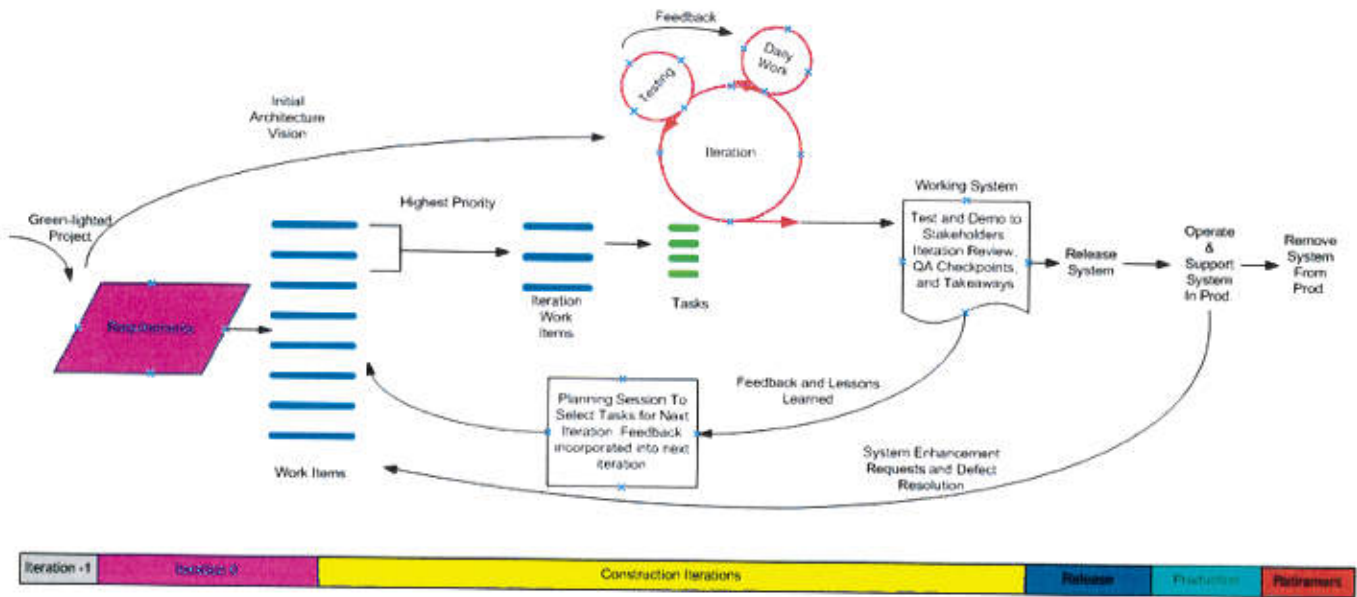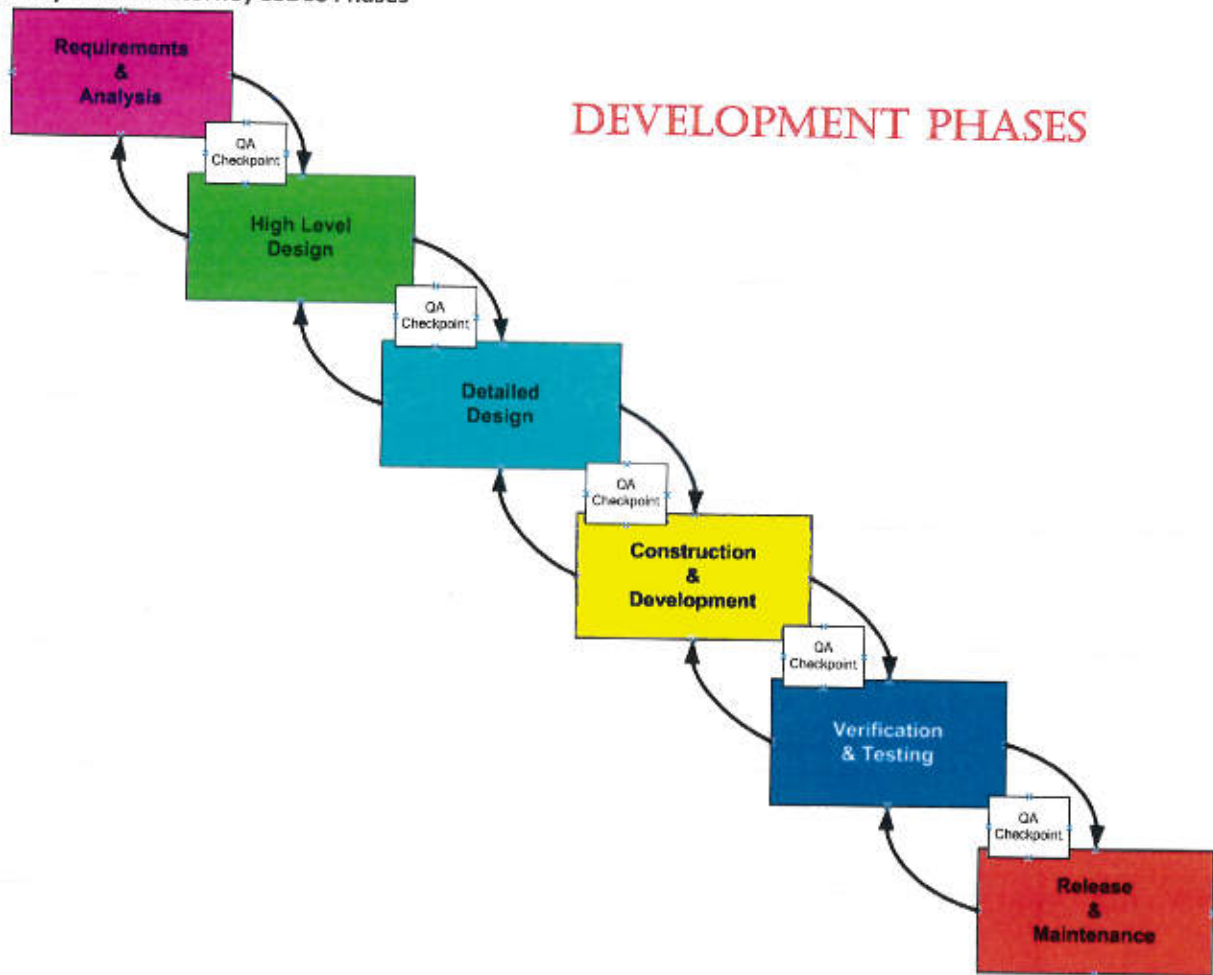
The image above depicts the iterative nature of an agile SSDLC. Reading from left to right, early iterations focus on requirements gathering and prioritization of the work items. Representing the work performed by the governance board prior to green-lighting a project is "Iteration -1". While equally important to the software development process, the Riverside County District Attorney SSDLC focuses primarily upon the activities occurring after this iteration. "Iteration 0" represents the Requirements & Analysis phase of the SSDLC and it is here that we begin.

Once the work items have been identified, smaller subsections of work are chosen for each of the subsequent construction iterations. The "Mickey Mouse" shaped graphic at the top of the image illustrates the root of all iterations during any phase of development, and includes the daily testing and feedback that influences the direction of the daily work. Although not depicted in this image, daily "stand-up" meetings should be incorporated into the daily work schedule for all phases of development.

Each of the construction iterations produce a working system that is tested and demonstrated to the stakeholders. Feedback is piped back into planning sessions where the next iteration's tasks and priorities are selected.

Finally, the system is released and the maintenance phase begins. Enhancements and defects are reported back to the team which are incorporated into the next iteration, or may initiate a whole new iteration of their own. The SSDLC phases are explained in further detail below.

DEVELOPMENT PHASES

Requirements & Analysis

QA Checkpoint

High Level Design

QA Checkpoint

Detailed Design

QA Checkpoint

Construction & Development

QA Checkpoint

Verification & Testing

QA Checkpoint

Release & Maintenance

The image above represents the phases of development represented in the Riverside County District Attorney SSDLC. Each phase is defined by the unique tasks and work products travelling in and out of the phase. A transition to the next phase occurs upon meeting critical mass, or the "Now we know enough" state. At this point "QA Checkpoints" located between phases represent the stage at which all associated Work Products have become suitable for review.
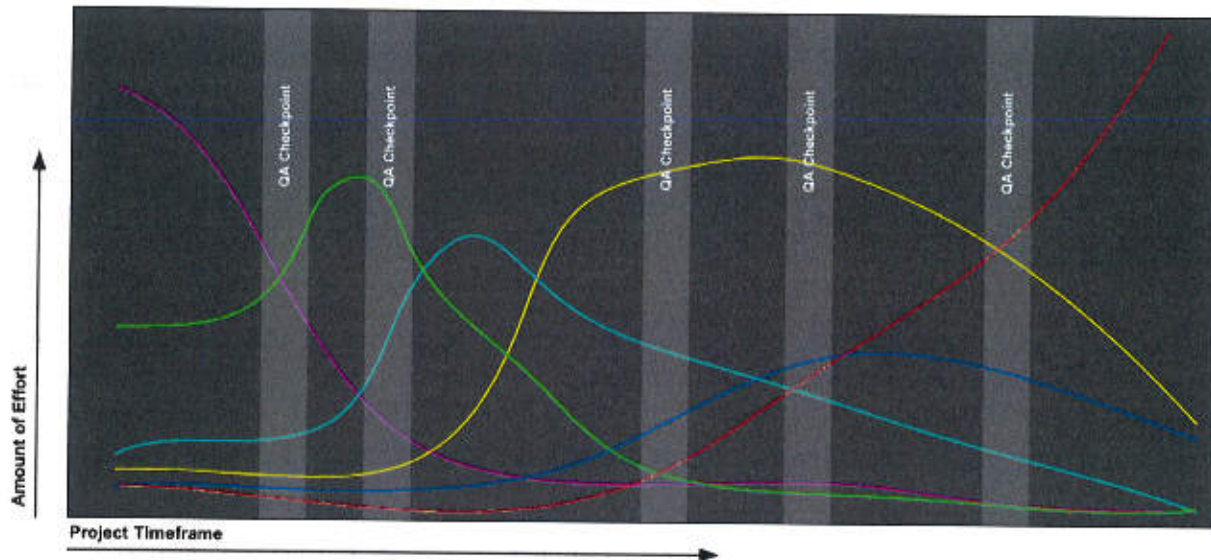
The chart above demonstrates how the level of effort associated with each phase changes throughout the timeframe of a project. While Requirements & Analysis sets its peak very early in the project, Verification and Testing, along with Release and Maintenance rise toward the end of the timeframe. More importantly it should be recognized that no phase of development works separate and independently of the others. Instead, the SSDLC requires that the phases overlap, creating intersections, or "Checkpoints" where effort levels shift focus but continue in all phases.

Roles

As previously stated, the SSDLC helps coordinate the efforts of a broad range of resources. The individuals and groups impacting a development effort have different interests that affect a project in different ways. The SSDLC provides the project playbook for each member, and each role on the team. For the Riverside County District Attorney SSDLC, the important roles that have been identified are:

- **Business Analyst (BA)** – The business analyst is responsible for identifying and documenting the business process, requirements, and use cases for the project.

- **Systems Analyst (SA)** – The business analyst representative of the tech team. Responsible for working with BA and creating technical versions of the business documentation.

- **Subject Matter Expert (SME)** – A role provided by experts in the business process. BA and SA roles work to extract requirements and business rules from the SME.

- **Enterprise Architecture Group (EA)** – Involved early in the Origination and Initiation phases of a project and are responsible for architectural guidance, governance, and portfolio management.

- **Outcome Management Office (OMO)** – Responsible for tracking project process and status through touch-points identified in the SSDLC.

- **Quality Management Control (QMC)** – Responsible for implementing and enforcing best practices and improving the overall product quality before launch through structured testing strategies.

- **Quality Assurance (QA)** – Responsible for enforcing SSDLC checkpoints and work product conformity.

- **Application Architect (AA)** – Often called the technical lead, this is the leadership role on the technical team.

- **Project Manager (PM)** – Responsible for planning, organizing and managing resources to bring about the successful completion of the project and communicating project status and risk to the OMO.

- **Application Developer (DV)** – Developer role responsible for producing source code.

- **Application Tester (QMT)** – Responsible for testing all deliverables for bugs, and ensuring the quality of released product

Work Products

The Riverside County District Attorney SSDLC has been assembled such that Work Products are the primer and the product for all phases of development. While Work Products are often the interfaces between phases of development, they are living documents and often follow through each phase of the SSDLC, open to the modifications inherent with each. The "QA Checkpoints" represent points in the project's lifecycle where Work Products are assessed to ensure that the proper documentation is being carried through. Work Products in the Riverside County District Attorney SSDLC have been selectively chosen to provide their intended audience with the right combination of detail and brevity, while allowing for minimally evasive project status and quality measurements.

Development Process Outline

The Riverside County District Attorney SSDLC Development Process is divided into 6 phases:

- Requirements and Analysis
- High Level Design
- Detailed Design
- Construction & Development
- Verification & Testing
- Release & Maintenance

Each phase in the process will designate specific roles and work products vital to its intention. Together, they work to provide an iterative solution to solving larger problems. By iterating through the process, each time focusing on a small subsection of work, large undertakings can be more easily managed. Sudden deviations from project plans, or unforeseen stall points can be dealt with earlier and easier. At the end of each phase, a "QA Checkpoint" provides the feedback necessary to ensure a project stays on target and in compliance. Checkpoints are reached when the necessary Work Products have achieved the "just barely good enough" state as described in the AUP.

Requirements and Analysis

Purpose – "The What" of the System

The Requirements and Analysis phase encompasses the tasks that go into determining what a new or altered system will do, while taking account of the needs of the various stakeholders. The R & A phase should ultimately produce an unambiguous set of requirements defined to a level of detail *sufficient* for system design. Prioritization of requirements will also factor into the determination of what will be developed in earlier iterations.

Activities

There are 5 fundamental activities that will take place during the R & A phase.

- Establishing A Vision – Creating a pointed description of "what" the system will do and what it represents to the stakeholders. Vision should represent a clear picture of the scope of the work to be performed, the priority of the feature to be implemented and a concrete representation of the "end game" of the project.
- Identifying Constraints – Determine the directives, standards, and governing bodies that will directly influence the direction, environment, and qualities of the system.
- Eliciting Requirements – Communicating with customers, stakeholders, and beneficiaries to farm the system requirements.
- Analyzing Requirements – Processing collected requirements and validating for clarity, completeness, and contradicting goals and resolving any issues.
- Recording Requirements – Producing the SSDLC Work Products associated with this phase.

The Requirements and Analysis phase begins with identifying the stakeholders for the project and commencing a kick-off meeting to establish communication channels and discuss the project charter. It is vital that all stakeholders are included

the process as early as possible. Although the group responsible for Verification and Testing may not see their needed effort increase for quite some time, their stake in the project schedule and testing plans mandate their involvement in the early stages of the project. By bringing groups into the process early, expectations are established, potential conflicts can be identified early and rectified, and necessary preparations can begin.

Requirements gathering is facilitated through the work products associated with this phase, including the Requirements documents, project charter, and Business Use Cases. Emphasized throughout this SSDLC is the desire for all Work Products to reach the level of detail "sufficient" for moving to the next phase. The purpose is to avoid the "Big Requirements Up Front", or "BRUF" pitfall associated with waterfall methods of development.

Primary Roles
The primary active roles during the R & A phase include:

- PM – Project Manager
- BA – Business Analysts
- SA – Systems Analyst
- AA – Application Architect

Checkpoints
The documents required for the R & A Checkpoint are: QA Checkpoint Doc, Information Security Plan, Quality Management Plan

Prerequisite Work Products
For the first iteration, the R & A phase will include a number of Work Products as input from the Project Origination phase. These Work Products include: Project Charter, Scope Document, Preliminary Project Budget Estimate, EA Architecture Doc, Information Security Plan, Security Categorization and Information Classification Worksheet, Recovery Strategy Budget Plan, High Level Schedule

Work Products
The primary Work Products for this phase include: Business Model, Functional Requirements, Non-Functional Requirements, Business Use Case Doc, Project Schedule, Test Strategy

High Level Design

Purpose
The high-level design phase involves creating and prototyping architecture for the system or system components, and planning what functionality will be placed in what portions of the system. It includes the overall system architecture, specification of the general responsibilities of major packages, specification of interfaces and flow of data between adjacent systems and the software and the flow among internal packages. After the initial iteration of this phase where a finalized architecture or framework has been selected, the focus of this phase shifts more toward the high level component and function design for incorporating new or altered requirements into the system.

Activities
During this phase the development team's primary focus will be on modeling. Early iterations or iterations involving large or significantly complex tasks may produce working prototypes to demonstrate the feasibility of a technology, or architectural decision. The 5 main activities during the High Level Design Phase are:

- Developing Prototypes (early iterations) – Prototypes uncover potential issues or conflicts not readily uncovered during the R & A or modeling activities. Risk assessments from prototype processes are invaluable in the early stages of development.
- Domain Definition – Model the system as a series of subsystems, objects and responsibilities.
- Develop Models – The process of developing models is often more important to the team than the models

themselves. Modeling data storage, processes, and entities helps the development team gain insight to the inner working of the system.

- Develop Test Strategy – The Verification & Testing phase may seem far away, but now is the time to define the issues the test plan should address and how.

- Evaluate Security Concerns – Security considerations should be address now! The need to secure government applications, and the mandates imposed can greatly affect the way a system needs to be structured. Involving security at this phase will ensure that security is built in from the foundation and prevent potentially devastating security related pitfalls in later phases.

Primary Roles

The primary active roles during the High Level Design phase include:

- PM – Project Manager
- BA – Business Analysts
- SA – Systems Analyst
- AA – Application Architect
- QMCA – Quality Management Control Analyst

Checkpoints

The documents required for the HL Design Checkpoint are: QA Checkpoint Doc, Information Security Plan, Test Strategy Doc

Work Products

The primary Work Products for this phase include: Business Model, Functional Requirements, Non-Functional Requirements, Business Use Case Doc, Test Strategy, Test Plan, Software Design Document

Detailed Design

Purpose

The Detailed Design Phase incorporates the provisions from the earlier phases into a detailed specification of each subsystem by thoroughly describing interfaces and functions provided by each component within. More detailed modeling activities result in lower level models that may or may not be saved and maintained, but resemble blueprints for the Construction and Development phase. The Detailed Design phase is also where we see technology choices, performance requirements, and EA Architecture compliance get incorporated into the system.

Activities

The 4 key activities that will take place during the Detail Design phase are:

- Design Elaboration – Expand the High Level Design output by implementing framework specific decisions, and detailing subsystem functionality and dependencies.
- System Integration – Platforms, hardware, and database selection should be brought into the design, as well as other third party, or serviced components.
- Develop Deployment Plan – How will this system be deployed, and what constraints exists that will affect these decisions.
- Develop Test Plan – Test plans and test cases should be developed along with expectations of the Verification and Testing phase.

The detailed design phase brings the system design into focus. Technical Use Case Documents offer developer insight into the implementation details of the Business Use Cases and models become more representative of the intended

deliverables. It is important to incorporate all recognized production constraints into the detailed design phase to reduce risk and maintain focus on a targeted deliverable. It is recommended that members of the development team are included in the detailed design phase. The *process* of developing the models and technical use cases inherent with this phase is as vital to the understanding of the system as are the Work Products themselves.

Primary Roles

The primary active roles during the Detailed Design phase include:

- PM – Project Manager
- BA – Business Analyst
- SA – Systems Analyst
- AA – Application Architect
- DV – Application Developer
- QMCA – Quality Management Control Analyst

Checkpoints

The documents required for the Detailed Design Checkpoint are: QA Checkpoint Doc, Information Security Plan, Test Strategy Doc, Security Categorization and Information Classification Worksheet

Work Products

Work Products included in this phase are: Functional Requirements, Non-Functional Requirements, Business Use Case Docs, Technical Use Case Docs, Software Design Document, Deployment Plan, Developers Guide, Test Cases, and Test Plan.

Construction and Development

Purpose

Construction and Development represents the realization of the Detailed Design Phase. Modeled subsystems, components, and functions become working systems that satisfy the functional requirements and technical use case documents. The purpose of this phase is to produce a working release of the software that incorporates the requirements included in the current iteration.

Activities

The 3 key activities that will take place during the Detail Design phase are:

- Development – Create the software, deployment constructs, and interfaces.
- Test – Execute Test Plan with appropriate test cases to ensure expected results.
- Document – Source code is the ultimate documentation of the system, however the Developers' Guide, Software Design Document, and Deployment Plan are necessary to fully document the details of the iteration.

Primary Roles

The primary active roles during the Construction and Development phase include:

- PM – Project Manager
- SA – Systems Analyst
- AA – Application Architect
- DV – Application Developer
- QMCA – Quality Management Analyst

Checkpoints

The documents required for the Construction and Development Checkpoint are: QA Checkpoint Doc, Deployment Plan

Work Products

Work Products included in this phase are: Project Schedule, Project Plan, Software Design Document, Technical Use Case Documents, Functional Specs, Developers' Guide, Release Notes, Test Plan, Test Cases, Deployment Plan, and Source Code.

Verification & Testing

Purpose

Verification & Testing ensures the quality of the product, its deployment package, and any training or support materials. This phase is a joint effort between the Development team and QMC, and includes user acceptance testing, product distributable verification, and documentation and support verification. Test and deployment plans are executed and verified for stability and accuracy in an effort to ensure quality product releases.

Activities

The 2 key activities that will take place during the Verification & Testing phase are:

- Execute the test and deployment plans. The application code and deployment package are tested and prepared for delivery. User documentation and any necessary support materials are verified for correctness and completeness and packaged for release.
- Defect Resolution – Bugs are reported by the QMC system testers and resolved before release.

The Verification & Testing phase often includes several "mini-iterations" for resolving reported defects. When bugs are discovered enhancement and defect reports are created that are pushed back into the Construction and Development phase. At this point, a re-evaluation of priorities establishes the work to be completed and a re-iteration of the process is required to repair the associated defects, unit test, and re-deploy the application for the Verification & Testing phase.

Primary Roles

The primary active roles during the Construction and Development phase include:

- PM – Project Manager
- AA – Application Architect
- DV – Application Developer
- QMT – Application Tester
- QMCA – Quality Management Analyst

Checkpoints

The documents required for the Verification & Testing Checkpoint are: Test Strategy, Test Plan, test Cases, Quality Management Plan, Deployment Plan.

Work Products

Work Products included in this phase are: Test Cases, Test Plans, Test Strategy.

Release and Maintenance

Purpose

The Release and Maintenance phase represents the "end game" of an iteration in the SSDLC. A working, executable application has been released and a new phase of maintenance and support begins. Current release maintenance continues even while additional iterations may be occurring. Defects and enhancement requests can start a new phase of Construction and Development, or may even push the project back into the Requirement and Analysis phase. Project

Management roles may reach a new level of complexity as it is now necessary to balance previously planned development tasks with those coming into the cycle from the Release & Maintenance phase.

Activities

Release notes provide version specific details of the iteration-finalized deliverable. It is imperative that a change management process has been selected and implemented by this time such that when defects are discovered, they can be logged, tracked, and rectified in a structured manner. Likewise, as the new system is used the stakeholder may become aware of additional features and enhancements that were not originally envisioned in the early phases of the project. These requests should also be logged by the change management process. This allows for feature enhancements to follow through the appropriate channels for approval, and prevents requests from falling off the radar. It is also important to note that a change request can be created at any time in the project lifecycle.

Checkpoints

Documentation to consider during this phase: QA Checkpoint Doc, Security Review, Deployment Plan

Work Products

Work Products included in this phase are: Release Notes, Change Request.

Project Management Process

Project management is the discipline of planning, organizing and managing resources to bring about the successful completion of specific project goals and objectives. For software systems, the goal is a highly reliable application that meets the expectation of all stakeholders produced while honoring project constraints such as time, cost, and available resources. The Riverside County District Attorney SSDLC Project Management Process controls the execution of the Development Process.

Tasks involved in the Project Management Process include:

- Identifying stakeholder requirements
- Managing Project Scope and project constraints; time, risk, quality, budget, resources
- Managing project priorities, needs, and expectations of stakeholders.
- Monitoring and managing progress.
- Maintaining metrics to interface with OMO and measure the project's state and progress.
- Maintaining Project Plan.
- Achieving QA Checkpoint criteria and quality focus.

Project Management Phases

PM PHASES

Project Origination (Above the line)

DWDI Boundary

Origination · Initiation · Planning · Execution and Control · Project Closeout
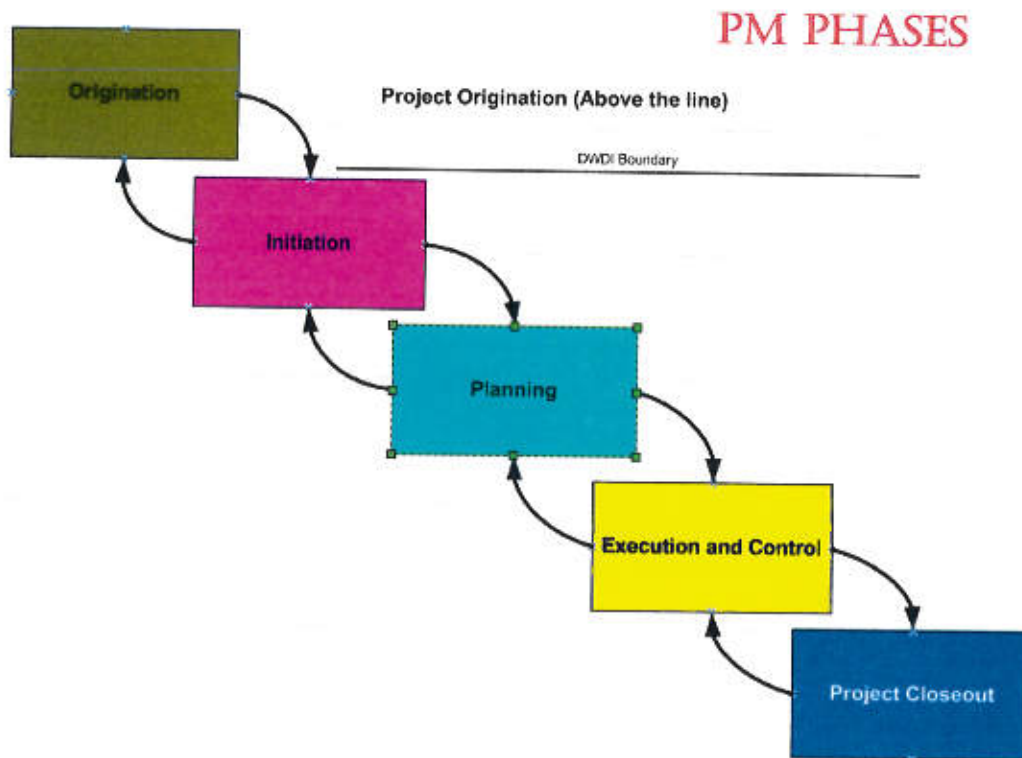
The five iterative phases of Project Management as listed by the OMO:

1. Origination – Develop and evaluate, and prioritize the Project Proposals – including business cases and proposed solutions. Select projects and notify project sponsors. This phase of the PM process occurs during the "green-lighting" process and is not the focus of the Riverside County District Attorney SSDLC.

2. Initiation – Continued activities are intended to assess the final feasibility of a solution. Risk and preliminary budget estimates are ascertained and high level schedule and resource plans are produced.

3. Planning – Includes reappraising the capabilities of the project and creation of a communications plan. This is the final preparations phase that builds the framework for conducting the following iterations. A final project definition is prepared, the project schedule gains more detail, and the change control process is recommended. The kickoff meeting occurs with all members of the development team as the design phases of the development process begin. The Project Plan and Project Schedule are produced to manage the resources as those team member filling technical roles see an increasing level of effort.

4. Execution and Control – Develop and manage the production of the work products in the software development plan. Work products of the current iteration are reviewed for quality and acceptability to stakeholders while planning continues for the next immediate iteration. Metrics and status reports are created as interfaces to other interests such as the OMO.

5. Closeout – Finalize a project and bring it to a close. All required work products have been produced, open items have been resolved, and project meets the criteria for success as initially described in the project charter.

Origination

Origination occurs prior to the true beginning of the Riverside County District Attorney SSDLC. Origination is a fundamental component of governance and portfolio management and is the conversion phase whereby a project proposal is transformed into a project.

Work Products
Work products coming out of this phase include: Project Charter, High Level Budget, Scope Document

Initiation

Initiation takes the project from its initial idea to a point at which it can be decided whether or not to continue or abandon it. The is the elaborative phase of the process whereby the CSSQ is initially defined and activities include collecting process history, identifying objectives and business needs, developing a project definition and creating a high level schedule. Upon completion of these activities, if the project is determined to be feasible, it is formally pushed to the planning phase.

Work Products

The work products included in this phase are: Preliminary Project Budget Estimate, Resource Plan, Risk & Issue Management Plan, High Level Schedule, Initial Risk Assessment

Planning

Reappraise the project's intended capabilities and characteristics and the risks associated with achieving them. As the capabilities and risks are better understood, the business case should be updated to ensure that the project continues as a viable investment in its current form, or if a change in direction is needed. The framework that guides the development process iteration cycle is produced and high level documents are expanded to include more fine grained detail. The formal kickoff meeting will take place during this phase and project objectives are presented to the team. The designing phases of the development process begin and the details of the Project Schedule and Project Plan manage the daily work activities.

Work Products

Work products included in this phase are: Quality Management Plan, Project Schedule, Communications Plan, Project Definition, Project Schedule, Change Control Process, Status Reports

Execute & Control

Develop and manage the Software Development Plan and the Work Products associated with each phase. This phase is best summed up as the basic execution of the project plan. Project progress should be tracked, all risks should be closely monitored and strong lines of communication should be maintained between the team and all interested stakeholders. Close monitoring of the progress, complete with the necessary metrics and status reports occurs in parallel with preparations for the next iteration. Management of the change control process for defect reporting and enhancement requests is also necessary to ensure that scope is maintained, stakeholders' needs are met, and project timelines remain consistent.

Work Products

Work Products included in this phase are: Status Reports, Change Control Report, Project Schedule

Closeout

Finalize a project and bring it to a close. All required work products have been produced, open items have been resolved, and project meets the criteria for success as initially described in the project charter.

Work Products

Work Products include: Any final audit documentation, QA Checkpoints

<div align="center">END OF ATTACHMENT SSDLC</div>

3.14 Attachment PER- Personnel

3.14.1 Responsibilities and Requirements

During all project phases, Aeon must provide the necessary personnel for the successful completion of the Professional Services and Maintenance and Support Services to be provided under this Agreement, including but not limited to Attachments DEL and SCH. Such personnel will have extensive knowledge and experience through hands-on application with the Solution on numerous successful projects and will be highly qualified to ensure the successful implementation of the Solution. The DA shall perform background checks (see section 2.14.7) on all personnel assigned to work on this project or having access to any DA information.

The DA retains the right to require the removal of any of Aeon's personnel from the project by providing written notice to Aeon. If, in the opinion of the DA, Aeon's personnel have not performed well or achieved the appropriate professional working relationships with the DA's project staff, Aeon will have ten (10) business days from the receipt of written notice to resolve the problem to the DA's satisfaction or to replace the staff person in question.

In the event that any Aeon personnel are reassigned or replaced, Aeon will provide replacement personnel with sufficient training and knowledge required to meet the Professional Services stated in the Agreement with no adverse impact on the project schedule as set forth in Attachment SCH. However, the Project Manager shall not be removed by Aeon without the written consent of the DA, except in the event of termination or resignation from Aeon. The DA will not unreasonably withhold acceptance of any replacement resource.

3.14.2 Proposed Project Manager

Aeon must provide in advance the proposed Project Manager resume for the DA review and acceptance. The DA may request to interview any such Project Manager. Only the Project Manager accepted by the DA may participate in the project. The DA will have the right to reject any of Aeon's proposed Project Managers.

3.14.3 Changes in Project Manager

The DA will request a thirty (30) day prior notice to any changes in Project Manager. Resumes of proposed Project Manager replacement candidates for the DA review and acceptance must be provided at that time.

3.14.4 Subcontracted Personnel

The DA reserves the right to approve Aeon subcontractors for this project and to require Aeon to replace subcontractors who are found at any time to be unacceptable. Aeon must provide the DA with proposed subcontracted personnel resumes for review and acceptance prior to an offer of employment on the project. The DA may request to interview any such personnel. Only accepted subcontracted personnel may participate in this project. The DA has accepted the use of ECS personnel for work designated on Attachment LSF. The DA will have the right to reject any of Aeon's proposed subcontracted personnel. The use of subcontracted personnel is not intended to relieve Aeon of obligations stated elsewhere in the Agreement.

END OF ATTACHMENT PER

3.15 Attachment ROL- Roles and Responsibilities

3.15.1 Aeon Project Roles and Responsibilities

Aeon will provide personnel to provide the Professional Services set forth in this Agreement. The DA will have access to certain project resources, including those fulfilling the following roles and responsibilities mentioned below. The requirements listed are not intended to relieve Aeon of any additional personnel requirements that may be identified and agreed upon by both parties or stated in this Agreement.

Role	Responsibilities
Implementation Manager	• Provide overall project guidance & support in collaboration with the DA • Set overall project direction in collaboration with the DA • Secure executive commitment within Aeon Technologies • Ensure executive communication within Aeon Technologies • Point of escalation regarding project support, resources, issues, risks, etc. • Provide leadership to Aeon's Project Team
Project Manager	• Possess the ability to lead complex projects to successful completion; on time and within the agreed upon budget and level of quality • Functions as the primary contact for the DA on this project • Responsible for communicating project status, Issues and risks to the DA in a regular and timely basis • Responsible for the overall coordination and execution of the project, including all Deliverables and Milestones (Attachment DEL) • Monitor and control project scope, schedule, resources and quality • Will collaborate with the DA Project Managers to develop and maintain the project plan and all other required project Documentation • Will manage Issues, schedule, provide time and labor cost estimates, maintain staffing at proper levels, etc. • Responsible for coordinating and communicating all project Deliverables, Milestones, Issues, updates, etc., with the DA Project Managers throughout the life of the project (Attachment DEL) • Assume daily responsibility for the activities of Aeon Staff and subcontractors • Assist in CCB facilitation and participate as needed to achieve Milestone Acceptance (Attachment ACC) • Works on-site at the DA's premises for terms agreed upon in this Agreement (Attachment STE)
CRM Developer(s)	• Significant experience and knowledge of the CRM and/or SharePoint platform • Responsible for the implementation of the functional requirements and setting up the sites and artifacts needed to deliver those requirements • Able to develop custom web parts, workflows, themes/branding, and customization of the CRM environment • Knowledgeable in all Microsoft Products, SQL, and Data Migration. • Responsible for testing and providing successful system functionality
Business Analyst	• Responsible for planning, developing, implementing and maintaining the Configuration Management Plan for Aeon's integrated system • Configuration Plan will include the setup and definition of all project configurations such as reporting, queues, workflows, fees, accounting parameters, retention policies, business processes, etc.

Role	Responsibilities
	• Configures Solution and conducts Solutions Pilot/Configuration Review with the DA to understand and translate Functional Requirements into configuration specifications • Responsible for planning, configuring and setting up of all Solution environments • Will create and maintain all environment configuration Documentation • Will contribute to the creation of the System Administration Manual • Responsible for knowledge transfer and mentoring of DA technical team related to system and integration configuration and post stabilization hand-off
Quality Assurance Analyst	• Responsible for testing applications to make sure they are reliable, fully functional, and user-friendly • Responsible for discovering weaknesses in the program, such as an unappealing interface or slow loading speed • Involved throughout all project phases to include design, development, production and deployment
Conversion, Integration & Migration Specialist(s)	• Responsible for planning, coordinating and executing all activities related to data conversion and migration • Activities include the extraction, transformation and loading of data into the new integrated system • Responsible for documenting technical specifications for the conversion process including data mapping, format, validation, transformation rules, etc. • Creation and maintenance of detailed conversion test scripts
Solution Trainer	• Responsible for developing and maintaining all training plans and training Documentation as outlined in Milestone and Deliverables for all training groups (Attachment DEL) • Responsible for conducting all on-site and online training sessions as outlined in Milestone and Deliverables (Attachment DEL)

3.15.2 DA Project Roles and Responsibilities

The DA will provide personnel to fulfill the following roles and responsibilities:

Role	Responsibilities
Project Steering Committee	• Provide overall project guidance and support • Set overall project direction • Secure executive commitment • Ensure executive communication • Point of escalation regarding global Issues and risks
Project Sponsor	• Ensure that all DA Departmental goals and initiatives are integrated into the project • Communicate CMS project goals and status to all levels of the organization • Ensure resources are available to the project team • Approve project Deliverables • Approve business process changes • Approve business change orders • Make critical decisions regarding scope, schedule and budget
Project Manager(s)	• Responsible for the overall delivery of the project • Ensure cross-functional team coordination

Role	Responsibilities
	• Direct project communications
	• Maintain project budget and manage financial Issues
	• Work with County Procurement Officials regarding contracts
	• Responsible for Vendor management related to financial Issues and the escalation of Issues and conflicts
	• Communicate and review project status and global Issues with the Steering Committee and Project Sponsor
	• Communicate Issues and risks to the DA
	• Ensure appropriate resources are assigned to the project
	• Responsible for DA Project Manager performance
	• Acts as point of escalation regarding Issues and risks
	• Manage Vendor and business expectations
	• Facilitate awareness of success criteria
	• Sign off on key Deliverables, status reports, change orders, etc.
	• Approve technical change orders
	• Responsible for overall coordination and execution of the project
	• Works closely with Aeon's Project Manager and Staff throughout the life of the project
	• Monitors and controls project scope, schedule, DA resources and quality
	• Tracks and reconciles all tasks, Milestones and Deliverables against Agreement and project Deliverables (Attachment DEL)
	• Will collaborate with Aeon Project Manager(s) to develop and maintain the project plan and all other required project Documentation
	• Manage and communicate project status, Issues, risks and scope impact to the DA Project Manager and Core Team, as needed
	• Will support and approve changes to the project plan produced by Aeon
	• Will secure acceptance of Deliverables and Milestones from the Project Sponsor, the DA Project Manager and Core Team
	• Facilitate access to the DA Technical Team and the DA business Staff as required
	• Coordinate and drive all technology and business critical decisions
	• Facilitates organizational change management
	• Oversees Issue management process and escalates issues as appropriate
	• Represents the DA interests throughout the course of the project including overall process and system design

Role	Responsibilities
Project Administrator	• Supports Project Managers with project activities and tasks as assigned • Schedules project meetings and manages CMS Calendar • Acts as scribe; recording meeting minutes, actions items, and status updates identified during project meetings • Assists the DA Project Managers in tracking and reconciling all ongoing and completed Deliverables, Milestones and tasks as called out in this Agreement and related project Documentation • Collects and maintains required project forms and documents from project team • Collects and maintains all required project Documentation for the DA, including approval signatures, Aeon status reports, etc. • Assists in coordinating and facilitating activities and communication with the DA's technical and business Staff • Monitors, tracks, and reports status of Acceptance Criteria certification for the project • Monitors, tracks and produces status reporting for project managers regarding the status of all testing phases
Change Control Board	• Consists of DA Project Managers, DA Project Manager, Project Sponsor and others as needed • Ensure change is implemented in an organized and controlled manner (*Attachment CHG*) • Manages change activity from initial request through implementation • Evaluate initial request for completeness • Evaluate change recommendation for reasonability and value proposition • Evaluate impact (schedule and cost) • Ensure requested change addresses technical and/or business needs • Approve request based upon priority and/or impact • Ensure changes are made in a timely manner • Ensure changes are implemented in sequence • Approve implementation • Ensure coordination and communication with those impacted by change
System Administrators / Network Administrators	• Possess in-depth knowledge of the DA's system infrastructure, network and security policies and guidelines • Provide guidelines for Aeon to implement details of the proposed system • Provide access to key applications, systems, and networks, as needed • Support Aeon in the design, installation, configuration and testing of the integrated system • Review and approve Aeon technical design and system recommendation Documentation • Participate in technical and system administration training sessions • Attend and participate in knowledge transfer and mentoring sessions with Aeon's Technical Team for all technical learning sessions

Role	Responsibilities
Database Administrators (DBA)	• Possess in-depth knowledge of the DA's database infrastructure and security • Responsible for supporting the design, installation, configuration and testing of required databases • Provide assistance with troubleshooting and resolving database Issues • Review Aeon's database design and system Documentation • Participate in knowledge transfers and mentoring sessions with Aeon Staff, when applicable • Ensure database Documentation is maintained during and after Go-Live
Application Developers	• Responsible for collaborating on the design and configuration of the systems, as needed • Create and unit test requested reports using Microsoft Sequel Server Reporting as defined by the DA Project Managers • Participate in technical, system administration and business training sessions • Review Aeon's technical Documentation • Participate in knowledge transfers and mentoring sessions with Aeon Staff, when applicable
Help Desk	• Work with Aeon to understand workstation requirements and setup including, but not limited to, Hardware, Solution and peripherals • Participate in knowledge transfers and mentoring sessions with Aeon Staff, when applicable • Create internal workstation setup and installation Documentation guide to be used by the DA helpdesk • Develop an DA Helpdesk troubleshooting guide for use by the DA helpdesk once the system has been stabilized and accepted by the DA • Maintains all peripherals in DA sites • Issue weekly and monthly support metrics to the project team during functional rollout and continuing forward
Change Management Team	• Build awareness of the scope, benefits and impact of the Case Management System Solution and Support Services • Prepare the organization for the implementation of the new system through a combination of change leadership, learning activities and communication • Ensure timely and consistent communication to all DA Staff and affected business units regarding project activities and progress
Subject Matter Experts (SME)	• DA Subject Matter Experts familiar with the DA's Functional Business Requirements, functions, workflow processes and legal obligations • Represents SMEs from all major DA business sections and satellite offices • Will participate and support system configuration and design sessions, User Acceptance Testing, training, etc. • Provide specific business process knowledge and Functional Requirements as needed • Gain consensus from their respective business areas • Ensure End-User and/or system Documentation meets business needs • Act as Super-Users for functional area of expertise, if requested • Communicate to Core Team members
Core Team	• Comprised of the DA Project Manager, DA Project Managers, DA Technical Team, Project Administrator, and appropriate SMEs • Participate in Solution Pilot/Configuration Review and ensure all Functional Requirements are clearly understood by Aeon

Role	Responsibilities
	• Provide communication and direction on project tasks to subordinates • Link current and future business processes to system functionality • Document desired future processes • Identify and resolve gaps, considering system functionality and project scope • Conduct User Acceptance Testing • Attend training • Act as change agent in business areas • Act as business area key point of contact during and after implementation • Ensure System Documentation meets business needs • Review and approve Gap and Custom Enhancement development requests for submission to the Change Control Board • Participate in CCB meetings for sponsored change acceptance and approval • Act as trainers as requested • Participate in knowledge transfer and mentoring sessions with Aeon Staff
Trainer	• Deliver Aeon's training agenda and course • Perform training needs analysis • Support and coach students • Maintain appropriate records of student development and attendance • Ensure students receive user manuals and desktop procedure guides
Testers	• Develop test scenarios for the project • Execute Aeon's test scripts during User Acceptance Testing (UAT) • Investigate potential Defects and discuss with Aeon • Log Defects during test execution • Report test results to DA Project Managers • Participate in Functional Requirements review sessions
DA Technical Team	• Any member or group of members of the DA TSB Team • Responsibilities are detailed separately within the body of this document

3.15.3 Aeon Support Roles and Responsibilities

Aeon will provide personnel to fulfill the Maintenance and Support Services roles and responsibilities mentioned below. The Functional Requirements listed are not intended to relieve Aeon of any additional personnel requirements that may be identified and agreed upon by both parties or stated in this Agreement.

Role	Responsibilities
Aeon's Helpdesk	• Adheres to the agreed upon Service Level Agreement (SLA) based upon priority of the support ticket
Support Manager	• Adheres to the agreed upon Service Level Agreement (SLA) based upon priority of the support ticket
Account Manager	• Adheres to the agreed upon Service Level Agreement (SLA) based upon priority of the support ticket

3.15.4 DA Support Roles and Responsibilities

The DA will provide personnel to fulfill the following support roles and responsibilities:

Role	Responsibilities
End User	- Uses the system - Identifies Issues/Defects/bugs in any part of the integrated system - Reports Issue/Defect/bug to DA Section Lead - Tests fix and communicates to DA Section Lead - Updates desktop Documentation as needed
Section Lead	- Validates the Issue/Defect/bug reported by End-User - Creates an internal DA Support ticket and includes priority - Validates Issue/Defect/bug has been corrected - Ensures desktop Documentation is updated
Project Manager(s)	- Attend annual Aeon User conference - Participate in Aeon User groups - Engages with Aeon Product and Support managers to ensure the DA's initiatives and strategies are included in Aeon's System Roadmap - Facilitate CCB Meetings - Act as point of contact for the business - Complete Gap and Custom Enhancement requests - Escalate support Issues as needed - Performs Vendor Management - Performs business training and mentoring - Acts as Project Manager on newly assigned projects and business initiatives
Support Coordinator	- Receives original ticket and acknowledges receipt - Reviews Issue/Defect/bug - Creates Aeon Support ticket via email, telephone or other mechanism. - Tracks and follows up on Aeon ticket for status updates - Escalates internally as needed if the Issue is not corrected per SLA - Communicates resolution status to DA Section Lead via DA Internal Support ticket - Completes CCB request and presents fix to CCB - Communicates with DA Technical Team and Aeon to install fix in production environment
System Administrators / Network Administrators	- Possess in-depth knowledge of the DA's system infrastructure, network and security policies and guidelines - Provide access to key applications, systems, and networks, as needed - Provide End-User access and authentication for all supported systems - Applies Microsoft security and update patches monthly - Supports remote access requests as needed - Provide assistance with troubleshooting and resolving network or system Issues
DBA	- Responsible for configuring required databases - Responsible for supporting the design, installation, configuration and testing of all required databases

Role	Responsibilities
	• Provide assistance with troubleshooting and resolving database Issues
DA Helpdesk	• Partner with Aeon to understand workstation requirements and setup • Partners with Business Systems Analysts to resolve open support tickets related to Hardware and peripherals • Maintains user guides for workstation and peripheral setup and installation • Maintains troubleshooting guide for the DA helpdesk
Trainer	• Deliver Aeon's training agenda and course • Perform training needs analysis • Support and coach students • Maintain appropriate records of student development and attendance • Ensure students receive user manuals and desktop procedure guides
Tester	• Develop test scenarios for the project • Execute Aeon's test scripts during User Acceptance Testing (UAT) • Investigate potential Defects and discuss with Aeon • Log Defects during test execution • Report test results to DA Project Managers • Participate in Functional Business Requirements review sessions

END OF ATTACHMENT ROL

3.16 Attachment RES- DA Responsibilities

3.16.1 Office Facilities

The DA shall provide timely access during regular business hours to its office facilities for Aeon's personnel while at the DA's site. The DA's business hours are between 7:00 AM and 5:00 PM Pacific Time, Monday to Friday, with the exception of County holidays. After-hours access must be pre-arranged with the DA Project Managers at least one week in advance.

The DA will provide a work area for Aeon personnel, to include desk and chairs, Internet access, copier machines, networked printer and phone. Aeon will notify the DA regarding the number of work areas needed, during the planning phase of the project.

3.16.2 Facilities Access and Equipment

The DA shall provide timely access to all required areas of the DA premises for Aeon to perform duties within the requirements of this Agreement. Access to restricted areas of DA premises (including the server room, wiring closets, etc.) must include an authorized DA escort.

The DA shall provide a facility that will serve as the "Solution lab" where computers will be set up for interfacing with the test, development, and production environments.

Aeon shall provide its personnel with the computers and other resources Aeon requires to perform the duties specified in this Agreement. These computers and resources must comply with County security policies and standards (Attachment A58).

3.16.3 Data

The DA shall provide business, operational, and technical data to Aeon, as necessary to meet the objectives of the project.

3.16.4 Personnel

The DA shall make available project sponsors, business specialists, and relevant technical specialists who can address DA-specific Issues related to Aeon efforts to perform Services specified in this Agreement. The DA shall appoint dedicated Project Managers for the duration of this effort. The DA acknowledges that the implementation of the Aeon Solution is a cooperative process requiring the time and resources of DA personnel. The DA further acknowledges that the Work Plan set forth in Attachment PRC documents the full scope of Aeon deliverables for this project, and that all other deliverables are the responsibility of the DA.

<div align="center">END OF ATTACHMENT RES</div>

3.17 Attachment DEL- Deliverables

The matrix set forth below identifies the deliverables, including Professional Services and Solution, that are the subject of this Agreement. The matrix is organized by Milestone, and identifies the tasks to be performed within a Milestone phase, and the associated responsibility of each party. Milestones shall be accepted according to the process set forth in Attachment ACC, and shall be performed according to the scheduling terms set forth at Attachment SCH.

Aeon Nexus has included the preferred approach to implementing phase 1 as described above in the attached Secure Software Development Lifecycle (SSDLC) (Attachment SSDLC) This approach has been customized to match the specific timeline, deliverables, and artifacts requested of the Riverside County DA while implementing an industry leading Agile methodology for Solution delivery. It is the intent of the Aeon Nexus team to reduce complexity in the development process by minimizing communication paths between teams and maximizing the flexibility of the process to adjust and respond to new information and feedback.

To execute this engagement, Aeon Nexus implements the SSDLC process in a phased engagement approach as detailed below.

3.17.1 Engagement Approach

Phase 1 – Discovery

Aeon Nexus will work closely with Riverside County to elicit, identify, and document business requirements and functional requirements for this Solution. During this phase, the Aeon team will meet with key system stakeholders to ensure the resulting Solution meets the needs of the office. In addition to the specific requirements, the Aeon team will seek to understand and document the workflows that must be in place to ensure successful execution, both within the software solution and also at the point where staff or their designees take over to execute their part of the process. In addition, a fit-gap analysis will be performed to ensure the development efforts are targeted to the primary goals of the customer.

The Discovery Phase will result in two primary deliverables. The first deliverable will be the Business Requirements Document (BRD), which memorializes what business processes must be executed by the Solution and how the new, technology-enabled workflows will be performed. The second deliverable will be the Functional Requirements Document (FRD), which memorializes how the business requirements will be met in the Solution.

In addition to the primary discovery outputs, several additional artifacts will be presented and maintained to manage the requested implementation. Included in this early stage of engagement will be the Project Management Plan, Fit-gap analysis, training plan, and testing plan. It is also during this phase that all supporting environments, including development, test, and training will be identified and setup to support the development process.

Finally, an additional parallel effort will be beginning to analyze and understand all data sources and structured to begin mapping the transition and data conversion efforts necessary to support the new Solution. Through this understanding, a preliminary data conversion plan will be produced. This document will continue to follow the process and include several updates as more is learned at later stages.

Phase 2 – Development

Leveraging the deliverables from the prior phase, Aeon Nexus will design a development plan for the Solution and perform the necessary customizations and configurations to the Solution in order to ensure that the necessary business and functional requirements are successfully met. During this process, the engagement's

project plan will be more clearly defined, based upon a better understanding of the specific requirements. Specific milestones and implementation timelines will also be clarified.

The Development Phase results in two key deliverables. The first deliverable is a refined development plan that articulates what and how development will occur over the course of this specific phases. The second deliverable is the application itself, in a development environment, with the requisite customizations and configurations in place. Development will begin with the installation of the core DA Case Management Solution previously built by Aeon Nexus. It is from this foundational element that Riverside specific configurations and customizations will be made to meet each requirement.

Finally, external interfaces with identified applications, such as Court Notify, will be developed with identified testing plans to ensure valid data communications.

Phase 3- System Testing

In support of the successful implementation of the Solution, Aeon Nexus will work with Riverside County to develop an Overall Testing Plan detailing the testing approach and related procedures such as issue tracking and resolution. The Overall Testing plan will cover the following areas: Migrated Data Testing, Integration Testing, Unit Testing, Functional Testing, UAT, Performance Testing, and Security Testing. Testing procedures will also help identify documentation needs and training plans for executing common daily tasks. What is important to note is that Aeon Nexus will operate an internal quality assurance team responsible for managing not only the quality of the software, but the quality of Aeon's process and process deliverables. This team will be independent of User Acceptance testing, but will work in conjunction with the customer to ensure high quality deliverables and organized procedures for testing, tracking, and resolving issues.

Phase 4 – Deployment

Leveraging the deliverables from the prior phase, Aeon Nexus will work with the county to implement and deploy the Solution and ensure that it is functioning appropriately in a production environment. Aeon Nexus will work with Riverside County to help ensure appropriate communication is provided to the users of the new Solution. Additionally, the engagement leader will work with the county in support of how they will communicate with staff about this new Solution.

The Deployment Phase will have two key deliverables. The first deliverable will be the Solution delivered in a production environment. The second deliverable will be as needed communications and change management consulting in support of the new Solution. It is also during this phase that the previously developed migration plan will be executed to bring all identified data sources into the new CMS. Once complete, final data verification and validation plans will be executed to achieve data confidence and receive client sign off.

Phase 5 –Training

Aeon Nexus will work with Finance to develop and execute a Training Plan and will provide training and knowledge transfer to ensure that Riverside County system users and administrators understand how to use, administer, maintain, and support the application. The training demands of this effort are not taken lightly by the Aeon Nexus team. We understand the necessity of high quality training sessions and materials to tackle an effort that includes several hundred potential users. Training is fundamental to Aeon's approach to gain user acceptance and reduce support incidents, and we have therefore created a unique approach to training that includes class based hands on training, internet training, and unique video training guides and help files.

This phase will result in thoroughly trained and assessed work staff and administrators, and supporting materials – including a system user manual, a user quick-start guide, and a series of short, task-based screen capture videos instructing users on specific tasks within the system. System administration documentation will include: database dictionary, system administration and maintenance guide, troubleshooting guide, disaster recovery plan, and a system test plan.

3.17.2 Reporting

The Aeon Nexus team will develop a system that will facilitate the processing of information needed for all reports. The Aeon team will train county staff and key stakeholders on how to develop and run reports utilizing the new system.

<center>END OF ATTACHMENT DEL</center>

3.18 Attachment ACC- Acceptance Process

3.18.1 Purpose and Scope

This section defines the Acceptance Criteria and the review / approval process for County acceptance of the CMS. The Acceptance Criteria are the tasks identified in Attachment DEL.

The acceptance process provides a roadmap for incremental acceptance by the DA of the Solution and associated Deliverables during project Milestones.

Acceptance Processes are broken down into two individual work streams:

- **Development Acceptance Process**: This process will be used within a project phase / Milestone to accept any newly developed features and functions, if any to be added to the CMS during implementation, as identified in Attachment DEL.

- **Milestone Acceptance Process**: This process will be invoked to accept Deliverables in each distinct phase of the project and, as applicable, to trigger a payment obligation under Attachment PRC. The Milestone acceptance will incorporate all Acceptance Criteria, according to the tasks set forth in Attachment DEL, and Final Acceptance will incorporate the discrete tasks for all Deliverables for all phases of all Milestones. Acceptance of a Milestone will trigger payment for that completed and accepted Milestone, as set forth in Attachment PRC.

When the DA identifies a Defect or non-conformity of a Deliverable with the Acceptance Criteria, as applicable, during the Milestone Acceptance Process, the DA will provide Aeon with feedback and details as to the scope of the Defect or non-conformity as part of the rework process, and Aeon will correct such Defect or non-conformity prior to re-submittal of the Milestone for acceptance. The DA may withhold acceptance of any Milestone and the related Milestone payment until such time as all Acceptance Criteria which have been designated for rework have been re-submitted and approved.

3.18.2 Development Acceptance Process

The goal of the Development Acceptance Process is to review any Gap/Custom Enhancements that may be identified according to Attachment DEL.

The primary goals of the Development Acceptance Process will be the following:

- Ensure the development is fulfilling the business requirement
- Ensure completeness, consistency, and accuracy of the Deliverables within the development process.
- Provide reviewers with a common understanding of the Acceptance Criteria and the deliverable.

It is the intent of the DA to complete the Development Acceptance Certificate (4.2 Appendix B-Development Acceptance Certificate) within the "Date Required", agreed upon by both parties.

3.18.3 Change Control Board Participants, Roles and Responsibilities

The Change Control Board is depicted in the diagram below:

Change Control Board
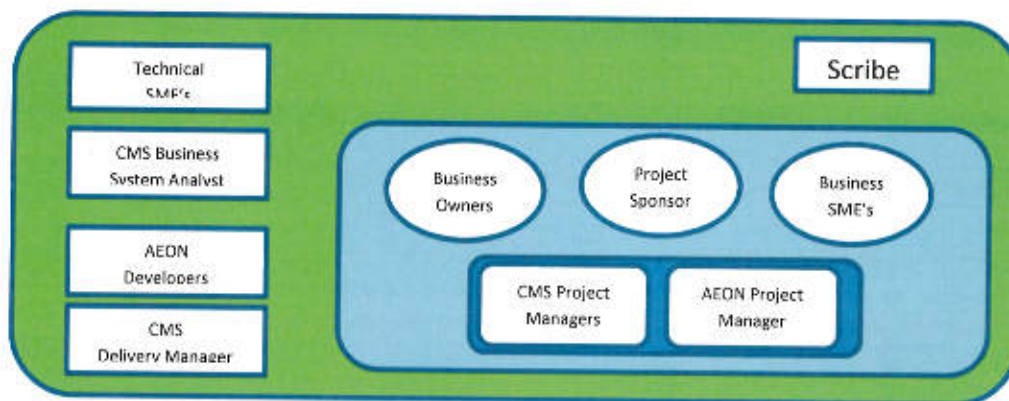
3.18.4 Status

The meeting participants will recommend one of the following status' at the Development Acceptance Meeting.

Approved Status:

The development is approved "as is" by the Change Control Board (CCB).

Approved with Changes Status:

The recommended changes / or actions are minor and can easily and quickly be addressed. The changes are understood by the business owners, business systems analysts, and the Project Managers. All parties agree that no further reviews are needed. The developer will make the changes and resolve the open actions. The business owner and business systems analyst will review the changes and confirm completion.

Rework Required Status:

If recommended changes and / or actions are required that significantly alter the development, the development will enter rework status, on terms and conditions to be mutually agreed to by the parties according to Attachment CHG. The entire Development Acceptance process will be repeated when the rework has been completed until the development has reached Approved Status.

3.18.5 Exit Criteria for Review

In order to closely manage the process for any Gap/Custom Enhancements identified in accordance with Attachment DEL, the exit process must be clearly defined. The exit criteria for the Development Acceptance process include:

- Items logged on the log of recommended changes and actions form has been verified by Project Managers as complete.
- The development is placed in the staging / test environment

- Completed log of recommended changes and actions is saved in the project shared directory for archival and audit purposes.

3.18.6 Milestone Acceptance Process

Goals of the Milestone Acceptance Process

The primary goals of the Milestone Acceptance Process will be the following:

- Ensure completeness, consistency, and accuracy of the deliverables within a specific project phase
- Provide reviewers with a common understanding of Acceptance Criteria and the scope of the Deliverable

To trigger a Milestone payment for the accepted project phase

3.18.7 Acceptance Criteria for Milestones

Acceptance Criteria are listed in Attachment DEL.

The following sample appendices shall be used to document Acceptance Criteria within each Milestone.

Appendix A Acceptance Action / Changes Log

Appendix B Development Acceptance Certificate

Appendix C Milestone Acceptance Certificate

END OF ATTACHMENT ACC

3.19 Attachment SCH- Project Schedule

Below is high level schedule estimating the duration of Milestones and deliverables for the CMS Project, as shown in Attachment PRC and referenced in Attachment DEL. It is intended that Milestone 1; Phase 1 will commence within thirty (30) to ninety (90) days following the Effective Date. Once finalized and approved by authorized representatives of both parties, that final schedule shall become part of this Attachment, as if fully set forth herein.

Tasks	Start Date	Description
Kick-Off Meeting	April 18, 2016	During this kick-off meeting, Riverside County DA and Aeon Nexus team members will meet to: • Provide team member introductions • Establish key service point-of-contacts, and processes • Comprehensive review of the Statement of Work and development of a project plan/schedule
Milestone 1: Discovery - Initiation and Planning	April 25, 2016 5 weeks	The Aeon Nexus team will gather functional and technical requirements and design and build the Solution.
Milestone 2: Development - Infrastructure/Software Installation and Configuration	May 30, 2016 12 weeks	The Aeon Nexus team will configure and build the system to meet Riverside County DA requirements as outlined in the SOW.
Milestone 3: System Testing	September 12, 2016 5 weeks	Aeon Nexus will facilitate internal testing. Aeon Nexus will develop and execute a User Acceptance Test plan with District Attorney test team. District Attorney test team will perform UAT testing.
Milestone 4: Production Deployment	October 17, 2016 5 weeks	The Aeon Nexus team will execute the development work and begin implementing the systems workflows, database integrations, and import of data. Unit and functional testing will also be executed. System Go-Live.
Milestone 5: Training and Documentation	November 21, 2016 5 weeks	Aeon Nexus will provide technical training for Riverside County DA IT staff and key stakeholders on how to use, maintain, and support the Solution.

After Launch Break Fix Support	December 27, 2016	Additional support after initial launch of system. Solution configuration completed, tested, fully implemented and operational.
	30 calendar days	
Elevated Response Resolutions	January 26, 2017	This includes support Monday – Friday between the hours of 7am and 5pm PST. Aeon Nexus will provide first-line support for the DA and escalate to Microsoft if required.
	120 calendar days	
	Ending	
	May 26, 2017	

END OF ATTACHMENT SCH

3.20 Attachment A43- Records Management and Archives Policy

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

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Background

The Board of Supervisors finds that in order to safeguard rights and ensure accountability, it is in the best interest of the county and its residents, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards for managing records and information across all county departments.

On April 16, 1991, the Board of Supervisors adopted the county's first Records Management Policy. On January 28, 2003, Board Policy A-43 established the county's records management program and formally created the county's archives under the management of the Assessor-County Clerk-Recorder's office. This program is known collectively as the County Records Management and Archives Program ("RMAP").

RMAP operates the County Records Centers used to store county records that are not immediately required to support day-to-day business. Records in the Records Centers may be either temporary (those waiting for their destruction date) or permanent (those waiting to be transferred to an archive). Legal custody and control of records remain with the department that created or received the records, until such time as the records are legally destroyed or transferred to the Robert J. Fitch County Archives ("Archives"). The Archives is the repository of the permanently valuable records of the county. The Archives preserves and maintains these records and makes them available for research.

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Part A. County Records and Information Management Policy

Section A. General

Section A.1. Authority
This policy is adopted in consideration of the provisions of Government Code §6250 et seq. pertaining to public records; Government Code §§26202-26202.6 and §§26205-26205.8 pertaining to the Board of Supervisors' responsibilities regarding the retention and destruction of county records; Government Code §12168.7 pertaining to establishing standards for trusted systems; Government Code §26201 pertaining to destruction of duplicate records; and pursuant to County of Riverside Resolution 2015-139 pertaining to management, retention, destruction, or disposition of county records.

Section A.2. Program Objectives
It is the purpose and intent of this policy to establish standards for managing county records and information in accordance with applicable laws; thus, the Board of Supervisors sets the following program objectives:

1. DEVELOP uniform standards for managing county records and information.
2. EDUCATE employees in the application of those standards.
3. FACILITATE the implementation of those standards.
4. MAINTAIN centrally managed cost-efficient county records facilities.
5. MONITOR policy compliance.

Section A.3. Applicability
This policy and the standards developed by RMAP for managing county records and information apply to all county departments.

Section B. Program Responsibilities

Section B.1. Responsibilities –Records Management and Archives Program
The Assessor-County Clerk-Recorder's office manages and maintains RMAP on behalf of the Board of Supervisors. RMAP operates as an internal service fund and establishes fees adequate to recover the full cost of maintaining the program. RMAP develops and maintains uniform standards for managing county records and information. RMAP provides training, advice, and assistance to departments on the

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application of those standards. In order for the Board of Supervisors to monitor compliance with this policy, RMAP conducts annual reviews of department record management practices and conformance with program standards, and recommends improvements where appropriate.

Section B.2. Responsibilities – County Records Facilities

County records administered by RMAP are kept in county-approved facilities suitable for records storage at locations determined by RMAP to be most efficient to serve the needs of departments. These facilities offer services for the proper storage, retrieval, delivery and disposal of county records. Records which are not in conformity with a Board-approved records retention schedule and program standards may not be accepted for storage at these facilities.

Any alternative records storage facilities used by departments to store county records, such as leased facilities or third party vendors, shall meet the standards for secure records storage developed by RMAP. County records shall only be stored in facilities with fire warning and suppression systems, and with adequate security to prevent unauthorized access to, or interference with, the records.

Section B.3. Responsibilities – Custody, Control of, and Access to Records

The rights of custody and control of departmental records remain with the department, including the granting of access to the records in accordance with applicable statutes, regulations, policies, and procedures. Any and all applicable legal restrictions regarding access to records must remain in effect while stored at County Records Facilities on behalf of departments.

Any county officer or employee, at the end of their term of office, appointment, or employment, will deliver to their successor, supervisor, or as directed by their department head, custody and control of all records kept or received by them. All records in the possession of any county department, upon termination of activities of such department, will be transferred to the successor department or to RMAP when directed by the department head, provided that such transfer of custody and control is consistent with the formal provisions of such termination.

Section B.4. Responsibilities – Departments

The management of departmental records is the responsibility of the department. The department head, or their designee, is responsible for implementing this policy and ensuring that their employees complete records management training offered or

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approved by RMAP. Departments develop their departmental guidelines, consistent with this policy and program standards, to govern the management and use of their records, regardless of the records' format, and to ensure adequate internal controls are in place to prevent the unauthorized use, removal, disposition or loss of records. Records in the possession of the department are governed by this policy and program standards, including the maintenance and adherence to record retention schedules, submission of the annual assessment report in the form prescribed by the program as specified under Section B.5, and the adoption of a trusted system as appropriate pursuant to Board of Supervisors Policy A-68, Trustworthy Official Electronic Records Preservation, ("Board Policy A-68").

Section B.5. Responsibilities – Annual Report

No later than 90 days following the close of each fiscal year, RMAP reports to the Board of Supervisors the program's financial activities, financial condition, and long-term business outlook. The report will include a compiled summary of the departmental annual assessment reports affecting records maintained by the departments.

Section C. Standards

Section C.1. Standards – Development
With the approval by the County Executive Officer and County Counsel, RMAP develops program standards for managing county records and information that are consistent with applicable statutes and regulations and in consideration of recognized best practices.

Section C.2. Standards – Official Record

When any county record is held by more than one department, the departments concerned will clearly designate the copy that will serve as the official record in a Board approved retention schedule. The official record must meet or exceed all legal and evidentiary requirements and be maintained in accordance with this policy. Electronic official records must be created or received and maintained within a trusted environment in accordance with Board Policy A-68.

Section C.3. Standards –Reformatting

Where a record is reformatted to another medium, whether analog or electronic, in such a way that the reformatted record may act as a legal surrogate for the original, the reformatted record is considered to be the official record and is subject to the same

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requirements and restrictions applicable to the original including the standards established by Board Policy A-68.

Section C.4. Standards –Microfilm
Films used in the microphotography process will conform to quality standards approved by the National Institute for Standards and Technology and the American National Standards Institute, or other generally recognized standard setting organizations as applicable and relevant. A true copy of the microfilm is kept offsite for security purposes.

Section D. Records Retention and Destruction

Section D.1. Records Retention Schedules – General
In order to efficiently and effectively implement the various provisions of the Government Code pertaining to Board of Supervisors approval of records retention and destruction, the county uses Board-approved general and departmental records retention schedules. These schedules specify the various record series, retention periods, and any particular restrictions or specifications regarding retention, disposition and destruction.

Section D.2. Records Retention Schedules – Responsibilities
RMAP, acting as a liaison between departments, coordinates the preparation of records retention schedules and destruction of records.

Section D.3. Records Retention Schedules – Responsibilities – Master File
RMAP maintains a master file of all records retention schedules approved by the Board of Supervisors with a copy of the Board minute order of approval attached to each. Reference copies of the approved records retention schedules are available upon request.

Section D.4. Records Retention Schedules – Standard – Official Record
Records retention schedules apply to the official record, unless explicitly stated otherwise.

Section D.5. Records Retention Schedules – Standard – Retention Periods

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Records retention schedules apply to all records regardless of media or format. The implementation of Board-approved records retention schedules, including the prompt destruction of records upon expiration of the assigned retention period, is mandatory. The extension of a retention period due to litigation or audit will be submitted by the department head using the prescribed RMAP form. RMAP reports all extensions to the Board of Supervisors annually.

Some records series listed on the county's general records retention schedule may need to be retained by a department longer due to specific audit or legal requirements. Such series will be listed on a departmental records retention schedule as described in Section D.8 below.

No duplicates or other copies of any records are to be retained longer than the mandatory retention period for the official record. When records are disposed of by schedule, departments will ensure no duplicates or other copies are retained.

Section D.6. Records Retention Schedules – Approval
Pursuant to Government Code §26205.1 and Resolution 2015-139, records retention schedules must be approved by the Board of Supervisors to be in effect. RMAP coordinates the submission of records retention schedules to the Board of Supervisors for approval including the preparation of the Form 11. Prior to submittal, retention schedules are reviewed by an authorized designee from RMAP, the County Archives Manager, Risk Management, County Auditor-Controller, and County Counsel. The county's general schedule will be approved by an authorized designee from RMAP. Departmental records retention schedules will be approved by the department head.

Section D.7. Records Retention Schedules – General Schedule
In consultation with other county departments, RMAP develops and maintains a general records retention schedule for the county. The general records retention schedule provides the authority for the disposition of records commonly found in most county departments. Retention requirements for departments' specific program records are listed in their own departmental records retention schedules (per Section D.8).

Section D.8. Records Retention Schedules – Departmental Schedules
Each department develops department-specific records retention schedules to include records unique to their business. RMAP provides the forms and procedures for inventorying records and developing the retention schedule, and provides guidance and assistance to departmental personnel.

Section D.9. Records Retention – Records Destruction

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Pursuant to Government Codes 26202-26202.6 and 26205-26205.8, county records will be destroyed in accordance with a Board of Supervisors approved records retention schedule, or after reformatting to required standards (per Section C.3), or with specific permission of the Board of Supervisors.

Records are to be destroyed in accordance with this policy at the end of the approved retention period. All approvals for destruction of records include certification by the department head, or their designee, that the records are not required in relation to active or likely litigation, public records request, subpoena, or for audit purposes. Records required in relation to litigation are to be retained until all litigation matters are resolved and both Risk Management and County Counsel approve the destruction. Records required for audit purposes are to be retained until the audit is complete and audit exceptions are resolved.

A representative of RMAP or the department will supervise the destruction of records and attest in writing that destruction was carried out according to required procedures.

Section D.10. Records Retention – Non-Records Destruction

Pursuant to Government Code §26201 and other provisions of state statutes, non-records, as defined in this policy, may be destroyed at any time. Departments may dispose of non-records when they are no longer needed to support business processes.

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Part B – County Archives Management Policy

The Board of Supervisors established the County Archives Commission in September 1997. This Commission is charged with making recommendations to the Board of Supervisors concerning the development of the Archives, including the acquisition and preservation of significant historical records, documents and objects following generally accepted standards of archival practice. The purpose of the Archives program is to identify, collect, preserve, arrange, and describe records of historical significance relevant to the County of Riverside and county government, and to educate the public as to their use. The Archives serves as both a repository for these unique documents and as a resource center open to county staff and to the public. Materials relating to the history of the county and surrounding areas of influence are also collected to assist with the interpretation of these records, and to place them in the context of the overall growth and development of the county.

In order to ensure the preservation of historical records, departments choosing to transfer documents to the Archives should do so as soon as practicable following procedures developed by the Archives. Such procedures will balance the need to preserve records of permanent value with continuing department business need for access to them.

When departments choose to have records accessioned into the Archives, rights of custody and control of those records transfer to the Archives. The Archives provides access to records in archival custody to county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any legal restrictions regarding access to records extend to records under archival custody.

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Glossary

As used in this policy, the following definitions apply:

"Accession" means the process whereby the County Archives accepts transfer from a county department of records of permanent value which the department selects for preservation and which are brought within the County Archives' systems of physical and intellectual control.

"Archival custody" means the state of records once accessioned by the County Archives, and in which the County Archives accepts responsibility for appropriately maintaining those records, which includes planning and budgeting for their preservation, and for providing access in accordance with all applicable statutes, regulations, policies and procedures.

"Archives" means a facility for the collection, preservation, and use of records of permanent value transferred by departments to the County Archives, and which is managed and operated to generally accepted standards of archival practice. Departments transfer legal custody of records that they choose to transfer to the County Archives, although legal, regulatory and procedural restrictions regarding access to those records remain in effect.

"Department" means every county office, department, group of departments, division, agency, bureau, board, and commission that is not a separate public entity of the county.

"Duplicate" means any accurate and unabridged copy of a record or series of records.

"Non-records" means duplicates or other copies of records made solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank forms or publications; or library or museum material intended solely for reference or exhibit.

"Official record" means the copy of the record designated as the official copy.

"Permanent" as applied to records means there is no termination or end point to the value of maintaining the records, and that they or their appropriate surrogate are intended to be available indefinitely.

"Records" means all papers, maps, plans, photographic films and prints, microfilm or other micro-formats, electronic data, audio and visual materials, and other

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documents, regardless of physical form or characteristics, which are produced, received, owned, used, or retained by a department in the regular course of transacting official county business.

"Reformatting" means to copy the content, structure, and context of records to another medium, whether analog or digital, in such a way that the copy may act as a satisfactory surrogate for the original. This requires meeting accepted national standards for particular processes and media and applicable laws and regulations.

"Retention period" means the length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

"Retention schedule" means a list of all categories of records produced or maintained by a department, and the required and Board of Supervisors approved actions to be taken with regard to those records, including establishing their retention period.

"Temporary" as applied to records means there is a termination or end point to the value of maintaining the records, and that they are intended to be disposed of at that point.

"Trusted system" means a combination of techniques, policies, and procedures within which there is no plausible scenario in which a document retrieved from or reproduced by that system could differ substantially from the document as originally stored.

Reference:
Minute Order 3.12 of 04/16/1991
Minute Order 3.4 of 01/28/2003
Minute Order 3.36 of 01/13/2004
Minute Order 3.8 of 06/8/2004
Minute Order 3.5 of 1/23/2007
Minute Order 3.8 of 2/5/2008
Minute Order 3.12 of 12/16/2008
Minute Order 3.6 of 7/21/2009
Minute Order 3.11 of 12/01/2009
Minute Order 3.19 of 4/20/2010
Minute Order 3.4 of 12/17/2010
Minute Order 3.2 of 11/08/2011
Minute Order 3.10 of 12/12/2011
Minute Order 3.10 of 1/10/2012
Minute Order 3.20 of 08/28/2012
Minute Order 3.2 of 11/27/2012

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Minute Order 3-18 of 02/26/2013
Minute Order 3-12 of 07/14/2013
Minute Order 3-18 of 08/20/2013
Minute Order 3-15 of 11/05/2013
Minute Order 3-9 of 12/10/2013
Minute Order 3-19 of 09/09/2014
Minute Order 3-7 of 04/07/2015
Minute Order 3-8 of 06/30/2015

END OF ATTACHMENT A43

3.21 Attachment A58- Riverside County Enterprise Security Policy

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It is the policy of Riverside County to protect Riverside County information in accordance with all applicable laws, governmental regulations and accepted best practices to minimize

information security risk; ensuring the right information is available to the right people at the right time.

To achieve this goal, the Riverside County Board of Supervisors authorizes the Riverside County Chief Information Security Officer (CISO) to develop and maintain the Riverside County Information Security Program and requires all Riverside County Departments to comply.

The Information Security Program consists of the Program Framework, the Information Security Risk Management Methodology and Information Security Standards:

- The Program Framework defines the program's Vision, Mission and Roles & Responsibilities.

- The Information Security Risk Management Methodology defines the processes for assessing, accepting and mitigating information security risk.

- The Information Security Standards define the specific controls and processes required to mitigate information security risks. The Information Security Office (ISO) will develop Information Security Standards as necessary.

The Riverside County Chief Information Security Officer is further authorized to assist the state and federal governments in drafting security and privacy legislation to ensure that the best interests of the constituents of Riverside County are represented.

Reference:

Minute Order 3.39 of O712912003

Minute Order 3.7 of 11/0712006

Minute Order 3.33 of 04/07/2009

END OF ATTACHMENT A58

4 APPENDICES

(The remainder of this page has been left intentionally blank)

4.1 Appendix A – Acceptance Actions / Change Log

Log #	Date	Specification / Milestone	Revision #	Action / Change Description	Current Owner	Status	Notes, Resolution, Decision	Target Close	Close Date	Approved By:
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										

4.2 Appendix B – Development Acceptance Certificate

Development Acceptance Certificate

Project Name	DAARC-028 CMS	Reference Number	
Priority		Date Requested	
Requestor		Date Required	

Summary of Development Required

Deliverables Control	Status
1. Business Specification Completed Date:	
2. Technical Specification Completed Date:	
3. Development Completed (includes unit testing) Date:	
4. User Acceptance Testing Completed Date:	
5. Development Review Meeting Date:	
6. Roll Back Plan Reviewed Date:	

Schedule Impact & Scope of Work		
	Date Approved	Implementation Phase
Business Owner Name		
Business Owner Name		

Business Sponsor Name			
Comments:			

Decision			
	Approved		Rework Required
	Approved with Changes		Other

By: Aeon Project Manager _____Date: _____

By: DA Project Manager _____Date: _____

By: DA Delivery Manager _____Date: _____

4.3 Appendix C – Milestone Acceptance Certificate

Milestone Acceptance Certificate

Project Name	DAARC-028 CMS	Reference Number	
Milestone/Phase #		Date Requested	
Requestor		Date Required	

This certificate confirms acceptance of the following Milestones as defined in the Statement of Work executed as part of the CMS Contract <Date>.
<Milestone Description>

Approved deliverables included in this milestone	
Please list each deliverable	
1.	21.
2.	22.
3.	23.
4.	24.
5.	25.
6.	26.
7.	27.
8.	28.
9.	29.
10	30.
11.	31.
12.	32.

13.		33.	
14.		34.	
15.		35.	
16.		36.	
17.		37.	
18.		38.	
19.		39.	
20.		40.	

Decision			
	Approved		Not-Approved

By: Aeon Project Manager _____Date: _____

By: DA Project Manager _____Date: _____

By: DA Delivery Manager _____ Date: _____

4.4 Appendix D – Change Request Form

Project Name	DAARC-028 CMS	Reference Number	
Priority		Date Requested	
Requestor		Date Required	

Change Request Description
1.
2.
3.

Reason for Request

Business Requirements
1.
2.
3.

Recommended Change
1.
2.
3.

Impact Analysis (to be completed by Aeon)

Estimated Cost:	Estimated Hours:	Deliverable Date:

Describe Impact to any other project deliverable:	

Decision

Approved	Rejected
Approved with modifications	Deferred

Approvals

Business Owner:	DA Project Manager:
Aeon Project Manager:	DA Project Manager:
DA Project Manager:	DA Delivery Manager:

4.5 Appendix G1 – Riverside County User Agreement

Riverside County Enterprise

Information Systems Security Policy

User Agreement

I have read, understand and am fully aware of the County of Riverside Enterprise Information Systems Security Policy; and I agree to comply with the terms of this policy.

I also agree to remain informed of and comply with future revisions to this policy.

As a user of the County's information systems, you will have access to sensitive resources that are connected through the County network. To assure security throughout the entire County network, it is critical that all users actively support and fully comply with the measures described in the Enterprise Information Systems Security Policy. Failure to comply can place the entire County network at serious risk; and users who fail to comply will be subject to disciplinary action.

Users of the County's information systems shall at all times act in accordance with all applicable laws and County policies, rules or procedures. Users shall not use County information systems in an improper or unauthorized manner.

User Name: _____

Signature: _____

Date: _____

Responsible Manager Approval Authority

Name and Title: _____

Signature: _____

Date: _____

This form shall be retained by the DA.

4.6 Appendix G2 – Riverside County Remote Access Agreement

Riverside County Enterprise

Information Systems Security Policy

Remote Access Agreement

I have read, understand and am fully aware of the terms of the County of Riverside Enterprise Information Systems Security Policy, especially as applied to remote users of the County's information systems; and I agree to comply with the terms of this policy. I also agree to remain informed of and comply with future revisions to this policy.

As a remote user of the County's information systems, you will have unique access to sensitive resources that are connected through the County network. To assure security throughout the entire County network, it is critical that all remote users actively support and fully comply with the measures described in the Enterprise Information Systems Security Policy. Failure to comply can place the entire County network at serious risk; and remote users who fail to comply will be subject to disciplinary action.

Remote users of the County's information systems shall at all times act in accordance with all applicable laws and County policies, rules or procedures. Remote users shall not use County information systems in an improper or unauthorized manner.

Remote User Name: _____

Signature: _____

Date: _____

Responsible Manager Approval Authority

Name and Title: _____

Signature: _____

Date: _____

This form shall be retained in department, district or agency files.

4.7 Appendix H1 – Hardware Configuration Details Worksheet
(Aeon to review and recommend any changes required)

	Hardware Description	Model	Version	Qty	Environment	Other Details
1	Dell PowerEdge Servers	FC630		3	Hyper-V Clustered Hosts	Dual E5-2660 v3 10C 2.6GGHz CPUs with 128GB RAM, with qty 2 400GB SSDs
2	**Compellent SAN Storage**	SC200		1	In an SC4020 Enclosure utilizing Flash Optimization	
3						
4						
5						
6						

(The remainder of this page has been left intentionally blank)

4.8 Appendix H2 – Solution Configuration Details Worksheet

	Solution Description	Vendor	Version	Qty	Environment	Other Details
1	**Microsoft Dynamics**	Microsoft	2016		Hyper-V Virtualized On-Premise	Microsoft Dynamics CRM servers can be deployed in a virtualized environment by using Windows Server 2008 or Windows Server 2012 with Hyper-V or virtualization solutions.
2	**SQL Server (SSRS compatible)**	Microsoft	2014 Enterprise or Standard		Hyper-V Virtualized On-Premise	2016 will be reviewed.
3	**SharePoint**	Microsoft	2013		Hyper-V Virtualized On-Premise	
4	**Windows Server**	Microsoft	2012 R2			
5	**Exchange**	Microsoft	2013 / 2016			Not required for email tracking but recommended for full email, calendaring functionality.
6	**Office**	Microsoft	2016			Required for office integration features

4.9 Appendix H3 – Peripherals Configuration Details Worksheet

(Aeon to review and recommend any changes needed)

	Peripheral Description	MFG/Vendor	Model	Quantity	Other Details
1	Scanner	Cannon	DR-7550 (15), DR-6010 (3), DR-G1100 (10)	28	
5	Barcode Scanner	Symbols Technologies Inc.	LS2208-SR20007R-UR, LS2208-SR20001		
9	Tablet	Apple	IPAD 2 or Greater	6	
		Surface Pro	3 and 4	Up to 300	
10	Windows Laptop	HP or Dell	Windows 7 and higher		

4.10 Appendix H4 – Configuration Parameters and Settings
(To be completed by Aeon upon UAT acceptance)

Item Number	Description	Parameter	Setting	Environment	Other Details

4.11 Appendix I – DA Network Design Diagram

Riverside Office

1 Gb

Indio Office

1 Gb

CORNET

Riverside Juvi

1 Gb

1 Gb

Southwest Justice Center

T1 x 2

1 Gb

T3

Banning Office

Blythe Office

Southwest Bureau
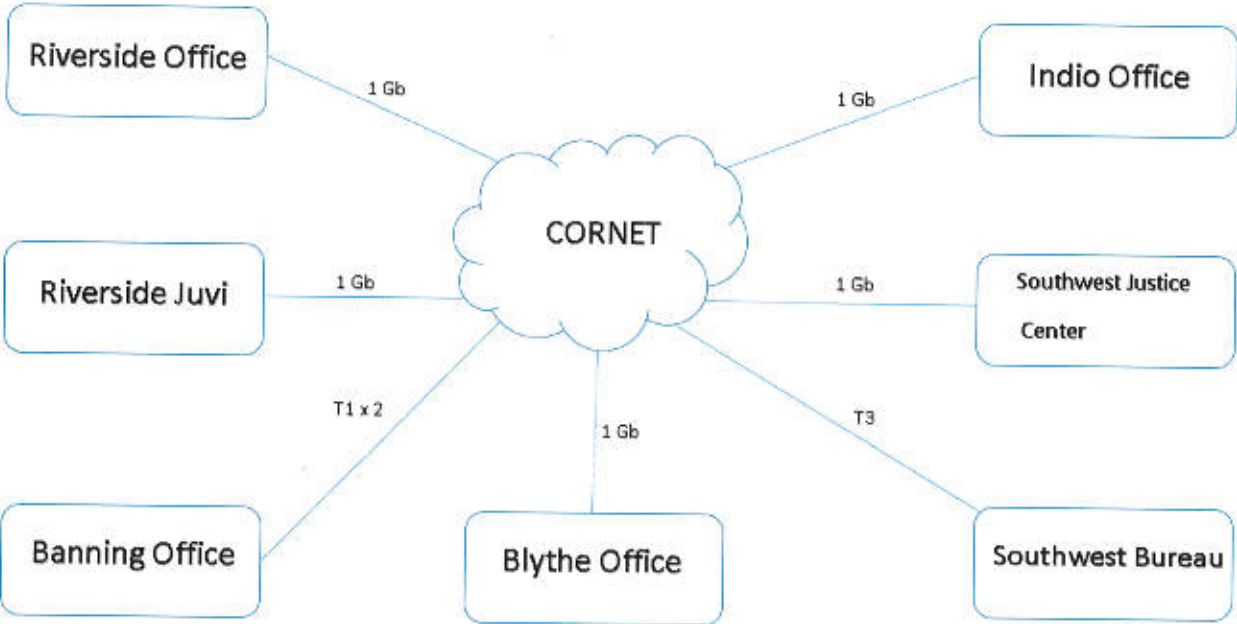
4.12 Appendix J – DA Background Check Package

Instructions to the Applicant

- The information you provide in this Personal History Statement will be used in the background investigation to assist in determining your suitability for the position of **Public Safety Employee**, in accordance with POST Regulation 1018.

- Type or neatly print, in ink, responses to all items and questions. If a question does not apply to you, write "N/A" (not applicable) in the space provided for your response. If you cannot obtain or remember certain information, indicate so in your response.

- If you need more space for any response, use the last page of this form (page 24) and identify the additional information by the question number.

If you do not have telephone numbers (home, business and cell phone), addresses (home and business), and or <u>e-mail addresses</u>, it is your responsibility to call the individuals and get the information. Failure to do so could be the basis for disqualification.

Disqualification

There are very few **automatic** bases for rejection. Even issues of prior misconduct, such as prior illegal drug use, driving under the influence, theft or even arrest or conviction are usually not, in and of themselves, automatically disqualifying. However, *deliberate misstatements or omissions* can and often will result in your application being rejected, regardless of the nature or reason for the misstatements/omissions. In fact, the number one reason individuals "fail" background investigations is because they attempt to deliberately withhold or misrepresent job-relevant information from their prospective employer.

BOTTOM LINE: Be as complete, honest and specific as possible in your responses.

Disclosure of Medical Information

In accordance with the U.S. Americans with Disabilities Act and the California Fair Employment and Housing Act, at this stage of the hiring process applicants are not expected or required to reveal any medical or other disability-related information about themselves in response to questions on this form, or to any other inquiry made prior to receiving a conditional offer of employment.

Initial this page to indicate that you have read the instructions: _____

SECTION 1: PERSONAL

1 YOUR FULL NAME

LAST	FIRST	MIDDLE

2. OTHER NAMES, INCLUDING NICKNAMES, YOU HAVE USED OR BEEN KNOWN BY

3. ADDRESS WHERE YOU RESIDE

NUMBER / STREET	APT / UNIT

CITY	STATE	ZIP

4. MAILING ADDRESS, IF DIFFERENT FROM ABOVE

5. CONTACT NUMBERS

HOME ( )	WORK ( )	EXT	OTHER ( )	☐ CELL ☐ FAX ☐ PAGER

6. EMAIL ADDRESS

HOME	BUSINESS

7. Are you legally authorized for permanent employment in the United States?... ☐ Yes ☐ No

If no, explain fully:

8. BIRTHPLACE (CITY / COUNTY / STATE / COUNTRY)	9. BIRTHDATE	10. SOCIAL SECURITY NUMBER
		— —

11. DRIVER'S LICENSE	12. PHYSICAL DESCRIPTION			
NO. STATE EXP DATE	HEIGHT	WEIGHT	HAIR COLOR	EYE COLOR

SECTION 2: RELATIVES AND REFERENCES

13. IMMEDIATE FAMILY

- Provide all applicable information in the spaces below.
- Mark "N/A" if a category is not applicable or if the individual is deceased.
- If more space is needed, continue your response on page 24.

☐ N/A   A. Father

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		

☐ N/A   B. Step-father

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		

☐ N/A   C. Mother

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 2: RELATIVES AND REFERENCES *continued*

13. IMMEDIATE FAMILY *continued*

☐ N/A   D. Step-mother

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

WORK PHONE ( )	CELL PHONE ( )	EMAIL

☐ N/A   E. Spouse / Registered Domestic Partner

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

WORK PHONE ( )	CELL PHONE ( )	EMAIL

YEARS OF MARRIAGE	Is there, or has there been, a restraining or stay-away order in effect for this individual? ☐ Yes ☐ No

☐ N/A   F. Father-in-law

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET)	(CITY)	(STATE / ZIP)

WORK PHONE ( )	CELL PHONE ( )	EMAIL

☐ N/A   G. Mother-In-law

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

WORK PHONE ( )	CELL PHONE ( )	EMAIL

☐ N/A   H. Former Spouse(s) / Former Registered Domestic Partner(s)

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

WORK PHONE ( )	CELL PHONE ( )	EMAIL

YEAR OF DISSOLUTION	Is there, or has there been, a restraining or stay-away order in effect for this individual? ☐ Yes ☐ No

NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP

WORK PHONE ( )	CELL PHONE ( )	EMAIL

YEAR OF DISSOLUTION	Is there, or has there been, a restraining or stay-away order in effect for this individual? ☐ Yes ☐ No

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 2: RELATIVES AND REFERENCES *continued*

13. IMMEDIATE FAMILY *continued*

☐ N/A **I. Brothers and Sisters** — list all living siblings, including half-siblings, step-siblings, foster siblings, etc.

1) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

2) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

3) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

4) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

5) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

6) NAME		HOME ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ M ☐ F	HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
☐ UNDER AGE 18	WORK PHONE ( )	CELL PHONE ( )	EMAIL			

☐ N/A **J. Children**

List all of your living children, including natural, adopted, step, and/or foster care. Include any other children who reside with you. Provide the name and contact information of the custodial parent or guardian, if other than you.

1) NAME		CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)				
☐ M ☐ F	CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
		CONTACT NUMBER ( )	EMAIL			

2) NAME		CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)				
☐ M ☐ F	CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY		STATE	ZIP
		CONTACT NUMBER ( )	EMAIL			

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 2: RELATIVES AND REFERENCES *continued*

13. IMMEDIATE FAMILY (Section J: Children) continued

3) NAME	CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)			
☐ M ☐ F CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
	CONTACT NUMBER ( )	EMAIL		

4) NAME	CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)			
☐ M ☐ F CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
	CONTACT NUMBER ( )	EMAIL		

5) NAME	CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)			
☐ M ☐ F CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
	CONTACT NUMBER ( )	EMAIL		

5) NAME	CUSTODIAL PARENT OR GUARDIAN (IF OTHER THAN YOU)			
☐ M ☐ F CHILD'S AGE	ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
	CONTACT NUMBER ( )	EMAIL		

14. REFERENCES

List 5–7 people who know you well, such as social and family friends, co-workers, military acquaintances. Do not include relatives, employers or housemates, or other individuals listed elsewhere.

A) NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		
HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER)			HOW LONG HAVE YOU KNOWN THIS PERSON?	

B) NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		
HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER)			HOW LONG HAVE YOU KNOWN THIS PERSON?	

C) NAME	HOME ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
HOME PHONE ( )	WORK ADDRESS (NUMBER / STREET / APT)	CITY	STATE	ZIP
WORK PHONE ( )	CELL PHONE ( )	EMAIL		
HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER)			HOW LONG HAVE YOU KNOWN THIS PERSON?	

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 2: RELATIVES AND REFERENCES *continued*

D) NAME | HOME ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP

| HOME PHONE ( ) | WORK ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP |

| WORK PHONE ( ) | CELL PHONE ( ) | EMAIL |

HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER) | HOW LONG HAVE YOU KNOWN THIS PERSON?

E) NAME | HOME ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP

| HOME PHONE ( ) | WORK ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP |

| WORK PHONE ( ) | CELL PHONE ( ) | EMAIL |

HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER) | HOW LONG HAVE YOU KNOWN THIS PERSON?

F) NAME | HOME ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP

| HOME PHONE ( ) | WORK ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP |

| WORK PHONE ( ) | CELL PHONE ( ) | EMAIL |

HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER) | HOW LONG HAVE YOU KNOWN THIS PERSON?

G) NAME | HOME ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP

| HOME PHONE ( ) | WORK ADDRESS (NUMBER / STREET / APT) | CITY | STATE | ZIP |

| WORK PHONE ( ) | CELL PHONE ( ) | EMAIL |

HOW DO YOU KNOW THIS PERSON? (FOR EXAMPLE: FRIEND, TEACHER, FAMILY FRIEND, CO-WORKER) | HOW LONG HAVE YOU KNOWN THIS PERSON?

SECTION 3: EDUCATION

NOTE: You may be required to furnish transcripts or other proof to support all of your educational claims.

15 Do you have a high school diploma, GED, or California High School Proficiency Certificate? .... ☐ Yes ☐ No

16 List high schools attended:

| A) NAME | | FROM | TO | DID YOU GRADUATE? ☐ Yes |
| | CITY | | STATE | ☐ No |

| B) NAME | | FROM | TO | DID YOU GRADUATE? ☐ Yes |
| | CITY | | STATE | ☐ No |

17 List all colleges or universities attended:

| A) NAME | | FROM | TO | TOTAL UNITS EARNED | TYPE OF DEGREE EARNED |
| | CITY | | | STATE | |

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 3: EDUCATION *continued*

(17) List all colleges or universities attended *continued*

B) NAME		FROM	TO	TOTAL UNITS EARNED	TYPE OF DEGREE EARNED
	CITY			STATE	

C) NAME		FROM	TO	TOTAL UNITS EARNED	TYPE OF DEGREE EARNED
	CITY			STATE	

(18) List any trade, vocational, or business schools/institutes attended:

A) NAME		FROM	TO	DID YOU COMPLETE THE COURSE?
TYPE OF SCHOOL OR TRAINING	CITY		STATE	☐ Yes ☐ No

B) NAME		FROM	TO	DID YOU COMPLETE THE COURSE?
TYPE OF SCHOOL OR TRAINING	CITY		STATE	☐ Yes ☐ No

C) NAME		FROM	TO	DID YOU COMPLETE THE COURSE?
TYPE OF SCHOOL OR TRAINING	CITY		STATE	☐ Yes ☐ No

19. Have you ever attended a **POST** Public Safety Dispatcher Basic Course? .... ☐ Yes ☐ No

If yes, provide the following information:

A) TRAINING PRESENTER	FROM	TO
LOCATION (CITY / STATE)	Did you complete the course? ☐ Yes ☐ No	

B) TRAINING PRESENTER	FROM	TO
LOCATION (CITY / STATE)	Did you complete the course? ☐ Yes ☐ No	

20. Have you ever been placed on academic discipline, suspended, or expelled from any high school, college/university, business or trade school? .... ☐ Yes ☐ No

If yes, describe in detail below. Starting with high school, list any and all disciplinary actions received in any school or educational institution. Include when the disciplinary action occurred, name of school, and explanation of circumstances.

_____

_____

_____

_____

_____

_____

_____

_____

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 4: RESIDENCE

24. LIST OF RESIDENCES

- List all residences during the last ten years or since age 15. Provide complete addresses (include markers such as Street, Drive, Road, East, West, etc., and unit or apartment number). Do not use P.O. Boxes.
- If the residence is a military base, identify name of base in address, nearest city, state and zip code. DO NOT LIST military barracks mates unless you shared individual quarters.
- If more space is needed continue on page 24.

A) ADDRESS WHERE YOU NOW LIVE (NUMBER / STREET / APT)				FROM	TO **Present**
CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER		
ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)				CONTACT NUMBER ( )	
CITY	STATE	ZIP	EMAIL		

Names of those with whom you live:

B) FORMER ADDRESS (NUMBER / STREET / APT)				FROM	TO
CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER		
ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)				CONTACT NUMBER ( )	
CITY	STATE	ZIP	EMAIL		

Names of those with whom you lived:

Reason for moving:

C) FORMER ADDRESS (NUMBER / STREET / APT)				FROM	TO
CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER		
ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)				CONTACT NUMBER ( )	
CITY	STATE	ZIP	EMAIL		

Names of those with whom you lived:

Reason for moving:

D) FORMER ADDRESS (NUMBER / STREET / APT)				FROM	TO
CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER		
ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)				CONTACT NUMBER ( )	
CITY	STATE	ZIP	EMAIL		

Names of those with whom you lived:

Reason for moving:

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 4: RESIDENCE continued

11. LIST OF RESIDENCES continued

E) FORMER ADDRESS (NUMBER / STREET / APT)

			FROM	TO

CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER

ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)

CONTACT NUMBER ( )

CITY	STATE	ZIP	EMAIL

Names of those with whom you lived:

Reason for moving:

F) FORMER ADDRESS (NUMBER / STREET / APT)

			FROM	TO

CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER

ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)

CONTACT NUMBER ( )

CITY	STATE	ZIP	EMAIL

Names of those with whom you lived:

Reason for moving:

G) FORMER ADDRESS (NUMBER / STREET / APT)

			FROM	TO

CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER

ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)

CONTACT NUMBER ( )

CITY	STATE	ZIP	EMAIL

Names of those with whom you lived:

Reason for moving:

H) FORMER ADDRESS (NUMBER / STREET / APT)

			FROM	TO

CITY	STATE	ZIP	IF RENTING: PROPERTY MANAGER, RENT COLLECTOR, OR OWNER

ADDRESS OF PROPERTY MANAGER, RENT COLLECTOR, OR OWNER (NUMBER / STREET / APT)

CONTACT NUMBER ( )

CITY	STATE	ZIP	EMAIL

Names of those with whom you lived:

Reason for moving:

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 4: RESIDENCE *continued*

22. Provide contact information for all housemates listed in Question 21 with whom you have resided during the past 10 years, or since the age of 15. DO NOT list anyone for whom you have already provided contact information.

A) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

B) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

C) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

D) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

E) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

F) NAME | CONTACT NUMBER ( )

CURRENT ADDRESS IF DIFFERENT (NUMBER / STREET / APT   CITY | STATE   ZIP

NATURE OF RELATIONSHIP (FOR EXAMPLE: RELATIVE, LANDLORD, FRIEND, HOUSEMATE ONLY) | EMAIL

23. Have you ever been evicted or asked to leave a residence? .... ☐ Yes   ☐ No

24. Have you ever left a residence owing rent? .... ☐ Yes   ☐ No

If you answered yes to Questions 23 and/or 24, explain (include when, where and circumstances):

_____

_____

_____

_____

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 5: EXPERIENCE AND EMPLOYMENT

25. JOB EXPERIENCE

- List **ALL** jobs you have had, including part-time, temporary, self-employment and volunteer. (Begin with your most current. If more space is needed continue your response on page 24.)
- If you have military experience, including reserve duty, enter your military base, assignments, or unit of assignment.
- List **ALL** periods of unemployment in **excess of 30 days**.

A) NAME OF EMPLOYER OR MILITARY UNIT				FROM	TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	

CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)   REASON FOR WANTING TO LEAVE

Would there be a problem if we contact your current employer?
☐ Yes ☐ No   If yes, explain:

B) PERIOD OF UNEMPLOYMENT
Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other   FROM   TO

C) NAME OF EMPLOYER OR MILITARY UNIT				FROM	TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	

CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)   REASON FOR LEAVING

D) PERIOD OF UNEMPLOYMENT
Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other   FROM   TO

E) NAME OF EMPLOYER OR MILITARY UNIT				FROM	TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	

CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)   REASON FOR LEAVING

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 5: EXPERIENCE AND EMPLOYMENT *continued*

25. JOB EXPERIENCE *continued*

F) PERIOD OF UNEMPLOYMENT

Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

G) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE			EMAIL	

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)

REASON FOR LEAVING

H) PERIOD OF UNEMPLOYMENT

Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

I) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE			EMAIL	

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)

REASON FOR LEAVING

J) PERIOD OF UNEMPLOYMENT

Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

K) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE)			SUPERVISOR	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
JOB TITLE			EMAIL	

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1)   2)

REASON FOR LEAVING

L) PERIOD OF UNEMPLOYMENT

Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 5: EXPERIENCE AND EMPLOYMENT continued

25. JOB EXPERIENCE continued

M) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE) | SUPERVISOR

CITY | STATE | ZIP | CONTACT NUMBER ( ) | EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1) | 2) | REASON FOR LEAVING

N) PERIOD OF UNEMPLOYMENT
Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

O) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE) | SUPERVISOR

CITY | STATE | ZIP | CONTACT NUMBER ( ) | EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1) | 2) | REASON FOR LEAVING

P) PERIOD OF UNEMPLOYMENT
Check applicable: ☐ Student ☐ Between jobs ☐ Leave of absence ☐ Travel ☐ Other | FROM | TO

Q) NAME OF EMPLOYER OR MILITARY UNIT | FROM | TO

ADDRESS (NUMBER / STREET OR BASE) | SUPERVISOR

CITY | STATE | ZIP | CONTACT NUMBER ( ) | EXT

JOB TITLE | EMAIL

DUTIES / ASSIGNMENTS

☐ F-T ☐ P-T ☐ Temp
☐ Self-employed ☐ Volunteer

NAMES OF CO-WORKERS
1) | 2) | REASON FOR LEAVING

26. Have you ever been disciplined at work? (This includes written warnings, formal letters of counseling, reprimands, suspensions, reductions in pay, reassignments or demotions) ....☐ Yes ☐ No

27. Have ever you ever been fired, released from probation, or asked to resign from any place of employment? ....☐ Yes ☐ No

28. Were you ever involved in a physical/verbal altercation with a supervisor, co-worker, or customer? ....☐ Yes ☐ No

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 5: EXPERIENCE AND EMPLOYMENT *continued*

29. Have you ever quit without giving proper notice? .... ☐ Yes ☐ No

30. Have you ever resigned in lieu of termination? .... ☐ Yes ☐ No

31. Have you ever been accused of discrimination (such as sexual harassment, racial bias, sexual orientation harassment, etc.) by a co-worker, superior, subordinate or customer? .... ☐ Yes ☐ No

32. Were you ever the subject of a written complaint at work? .... ☐ Yes ☐ No

33. Have you ever been counseled at work due to lateness or absences? .... ☐ Yes ☐ No

34. Did you ever receive an unsatisfactory performance review? .... ☐ Yes ☐ No

35. Have you ever sold, released, or given away legally confidential information? .... ☐ Yes ☐ No

36. Have you ever called in sick when you were neither sick nor caring for a sick family member? .... ☐ Yes ☐ No

If yes, how many sick days have you used in the past five years which were not due to illness?

If you answered yes to any of **Questions 26–36**, explain (include when, where and circumstances; indicate corresponding number):

_____

_____

_____

37. In the past three years, have you missed days or been late to work due to drug or alcohol consumption? .... ☐ Yes ☐ No

If yes, how often?

38. Has your work performance ever been affected by your use of alcohol or drugs? .... ☐ Yes ☐ No

WHEN?	NAME OF EMPLOYER

39. In the past three years, have you been warned by an employer about your drinking or drug habits and their impact on your performance? .... ☐ Yes ☐ No

WHEN?	NAME OF EMPLOYER

40. Have you ever applied to any other law enforcement agency (city, county, state or federal)? .... ☐ Yes ☐ No

- If yes, list EVERY agency you have applied to, starting with the most recent (give complete and accurate addresses).
- All agencies MUST be listed regardless of the outcome or current status. Check all boxes that apply for each agency.

A) NAME OF AGENCY			DATE APPLIED	
ADDRESS (NUMBER / STREET)			BACKGROUND INVESTIGATOR'S NAME (IF KNOWN)	
CITY	STATE	ZIP	CONTACT NUMBER ( )	EXT
POSITION APPLIED FOR			EMAIL	

CHECK EACH STEP IN THE PROCESS THAT YOU COMPLETED, AND YOUR STATUS

STEPS: ☐ Application ☐ Written ☐ Physical agility ☐ Oral ☐ Polygraph/CVSA ☐ Background ☐ Chief's oral ☐ Conditional job offer

STATUS: ☐ Hired ☐ On List ☐ Withdrawn ☐ Disqualified

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 5: EXPERIENCE AND EMPLOYMENT *continued*

40. Have you ever applied to any other law enforcement agency... *continued*

B) NAME OF AGENCY | **DATE APPLIED**

ADDRESS (NUMBER / STREET) | BACKGROUND INVESTIGATOR'S NAME (IF KNOWN)

CITY | STATE | ZIP | CONTACT NUMBER (,) | EXT

POSITION APPLIED FOR | EMAIL

CHECK EACH STEP IN THE PROCESS THAT YOU COMPLETED, AND YOUR STATUS

STEPS ☐ Application ☐ Written ☐ Physical agility ☐ Oral ☐ Polygraph/CVSA ☐ Background ☐ Chief's oral ☐ Conditional job offer

STATUS: ☐ Hired ☐ On List ☐ Withdrawn ☐ Disqualified

C) NAME OF AGENCY | **DATE APPLIED**

ADDRESS (NUMBER / STREET) | BACKGROUND INVESTIGATOR'S NAME (IF KNOWN)

CITY | STATE | ZIP | CONTACT NUMBER ( ) | EXT

POSITION APPLIED FOR | EMAIL

CHECK EACH STEP IN THE PROCESS THAT YOU COMPLETED, AND YOUR STATUS

STEPS ☐ Application ☐ Written ☐ Physical agility ☐ Oral ☐ Polygraph/CVSA ☐ Background ☐ Chief's oral ☐ Conditional job offer

STATUS: ☐ Hired ☐ On List ☐ Withdrawn ☐ Disqualified

SECTION 6: MILITARY EXPERIENCE

41. Are you required to register for the Selective Service? ....☐ Yes ☐ No

If yes, have you registered? ....☐ Yes ☐ No

If no, explain:

42. BRANCH OF SERVICE | 43. DATES OF SERVICE From   To

44. TYPE OF DISCHARGE. ☐ Entry Level ☐ Honorable ☐ General ☐ OTH (Other than Honorable) ☐ Bad Conduct ☐ Dishonorable

Re-entry Code (1–4) if applicable – *refer to your DD-214;*

45. Are you currently participating in one of the following? ☐ Military Reserve ☐ National Guard   If checked, date obligation ends:

46. Have you ever been the subject of any judicial or non-judicial disciplinary action (such as, court martial, captain's mast, office hours, company punishment)? ....☐ Yes ☐ No

47. Were you ever denied a security clearance, or had a clearance revoked, suspended or downgraded? ....☐ Yes ☐ No

If you answered yes to Questions 46 and/or 47, explain (include dates and circumstances):

_____

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Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 7: FINANCIAL

48. INCOME AND EXPENSES
For each of the following questions fill in the amounts to the nearest dollar.

A) From your employer(s), what is your take-home monthly income? .... $ _____ per month

B) Do you have income other than from your salary or wages? .... ☐ Yes ☐ No

If yes, fill in amount: .... $ _____ per month

Explain:

C) How much do you spend each month? .... $ _____ per month

Estimate your monthly living expenses; include housing, utilities, credit cards or other loan payments, food, gas and car maintenance, entertainment, etc., as well as any other obligation(s) you may have.

---

49. Have you ever filed for or declared bankruptcy (Chapter 7, 11 or 13)? .... ☐ Yes ☐ No

50. Have any of your bills ever been turned over to a collection agency? .... ☐ Yes ☐ No

51. Have you ever had purchased goods repossessed? .... ☐ Yes ☐ No

52. Have your wages ever been garnished? .... ☐ Yes ☐ No

53. Have you ever been delinquent on income or other tax payments? .... ☐ Yes ☐ No

54. Have you ever failed to file income tax or cheated/lied on an income tax form? .... ☐ Yes ☐ No

55. Have you ever had an employment bond refused? .... ☐ Yes ☐ No

56. Have you ever avoided paying any lawful debt by moving away? .... ☐ Yes ☐ No

57. Have you ever defaulted on (failed to pay) a loan? .... ☐ Yes ☐ No

58. Have you ever borrowed money to pay for a gambling debt? .... ☐ Yes ☐ No
    If yes, do you currently have any outstanding debts as a result of gambling? .... ☐ Yes ☐ No

59. Have you ever spent money for illegal purposes (e.g., illegal drugs, prostitution, purchase of fraudulent documents, etc.)? .... ☐ Yes ☐ No

60. Have you ever failed to make or been late on a court-ordered payment (e.g., child support, alimony, restitution, etc.)? .... ☐ Yes ☐ No

61. Have you written three or more bad checks in a one-year period? .... ☐ Yes ☐ No

---

If you answered yes to any of Questions 49–61, explain (include when, where, and why; indicate corresponding number):

_____

_____

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Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 8: LEGAL

Disclosure of Convictions

You are required to disclose **_any_** criminal conviction(s) which has not been sealed or expunged by a court pursuant to law. As an applicant for government employment, you are also required to disclose a criminal conviction expunged under Penal Code Section 1203.4. Consult with an attorney before failing to disclose a criminal conviction, as deliberate or significant omissions will result in disqualification. If more space is needed, continue on page 24.

62. Have you ever been convicted of any misdemeanor or felony in this or any other state or country? .... ☐ Yes ☐ No

If yes, list all offenses, including those punishable under the Uniform Code of Military Justice:

If yes, explain each incident.

A) APPROXIMATE DATE	ARRESTING OR DETAINING AGENCY
CHARGE	
DISPOSITION OR PENALTY	

B) APPROXIMATE DATE	ARRESTING OR DETAINING AGENCY
CHARGE	
DISPOSITION OR PENALTY	

C) APPROXIMATE DATE	ARRESTING OR DETAINING AGENCY
CHARGE	
DISPOSITION OR PENALTY	

D) APPROXIMATE DATE	ARRESTING OR DETAINING AGENCY
CHARGE	
DISPOSITION OR PENALTY	

63. Have you ever been placed on court probation as an adult?.. ☐ Yes ☐ No

64. Were you ever required to appear before a juvenile court for an act which would have been a crime if committed as an adult? (You may answer "no" if your juvenile record has been sealed or expunged by the juvenile court.) .... ☐ Yes ☐ No

65. Have you ever been a party in a civil lawsuit (e.g., small claims actions, dissolutions, child custody, paternity, support, etc.)? .... ☐ Yes ☐ No

66. Have the police ever been called to your home for any reason?.. ☐ Yes ☐ No

67. Have you or your spouse/partner ever been referred to Child Protective Services?... ☐ Yes ☐ No

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 8: LEGAL continued

68.	Have you ever been the subject of an emergency protective order/restraining order/stay-away order?	☐ Yes	☐ No
69.	Have you settled any civil suit in which you, your insurance company, or anyone else on your behalf was required to make payment to the other party?	☐ Yes	☐ No
70.	Have you ever fraudulently received welfare, unemployment compensation, workers' compensation, or other state or federal assistance?	☐ Yes	☐ No
71.	Have you ever filed a false insurance or workers' compensation claim?	☐ Yes	☐ No

If you answered yes to any of **Questions 63–71**, explain (include court case or document, dates, and circumstances; indicate corresponding number):

_____

_____

_____

_____

_____

72. UNDETECTED ACTS – PART 1

Within the past seven years **OR** at any time after you were first employed in law enforcement, have you ever committed any of the following misdemeanors?

A)	Annoying / obscene phone calls	☐ Yes	☐ No
B)	Battery (use of force or violence upon another)	☐ Yes	☐ No
C)	Brandishing a weapon (any type of weapon)	☐ Yes	☐ No
D)	Carrying a concealed weapon without a permit	☐ Yes	☐ No
E)	Contributing to the delinquency of a minor	☐ Yes	☐ No
F)	Defrauding an innkeeper (not paying for food or room at a hotel/motel)	☐ Yes	☐ No
G)	Driving under the influence of alcohol and/or drugs	☐ Yes	☐ No
H)	Drunk in public (being so intoxicated in a public place that you're not able to care for yourself)	☐ Yes	☐ No
I)	Hit & run collision (no injuries)	☐ Yes	☐ No
J)	Hunting/fishing without a license	☐ Yes	☐ No
K)	Illegal gambling	☐ Yes	☐ No
L)	Impersonating a peace officer (pretending to be a police officer)	☐ Yes	☐ No
M)	Indecent exposure (including flashing or mooning)	☐ Yes	☐ No
N)	Joyriding (using a car or other vehicle without owner's permission)	☐ Yes	☐ No
O)	Petty theft (value up to $400, including shoplifting/switching price tags)	☐ Yes	☐ No
P)	Possession of alcohol as a minor	☐ Yes	☐ No

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 8: LEGAL *continued*

72. UNDETECTED ACTS – PART 1 *continued*

Q) Possession of falsified or altered identification, including use of another person's ID (for any reason)	☐ Yes	☐ No
R) Possession of stolen property (including vehicles)	☐ Yes	☐ No
S) Prostitution or soliciting a prostitute	☐ Yes	☐ No
T) Resisting arrest (including running from the police)	☐ Yes	☐ No
U) Trespassing	☐ Yes	☐ No
V) Vandalism (including "tagging," malicious mischief and/or property damage)	☐ Yes	☐ No
W) Intentionally writing a bad check	☐ Yes	☐ No
X) Filing a false police report	☐ Yes	☐ No
Y) Any other act amounting to a misdemeanor within the past seven years	☐ Yes	☐ No

If you answered yes to **any** item(s) in Question 72, fully explain circumstances, including date(s), names of individuals involved, and resolution. Indicate the corresponding letter (72-A, etc.) for each explanation.

_____

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73. UNDETECTED ACTS – PART 2

*At any time in your life have you **ever** committed any of the following?*

A) Arson (intentionally destroying property by setting a fire)	☐ Yes	☐ No
B) Assault with a deadly weapon	☐ Yes	☐ No
C) Theft of a vehicle and/or vehicle parts	☐ Yes	☐ No
D) Burglary (entering a structure or vehicle to commit theft or other crime)	☐ Yes	☐ No
E) Child molestation (performing unlawful acts with a child)	☐ Yes	☐ No
F) Accessing and/or possessing child pornography	☐ Yes	☐ No

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 8: LEGAL (Question 73) *continued*

G) Elder abuse/neglect	☐ Yes	☐ No
H) Embezzlement (theft of money or other valuables entrusted to you)	☐ Yes	☐ No
I) Felony drunk driving (involving injuries)	☐ Yes	☐ No
J) Forcible rape or other act of unlawful intercourse	☐ Yes	☐ No
K) Forgery (falsifying any type of document, check certificate, license, currency, etc.)	☐ Yes	☐ No
L) Hit & run (with injuries)	☐ Yes	☐ No
M) Hate crime	☐ Yes	☐ No
N) Insurance fraud	☐ Yes	☐ No
O) Grand theft (value of over $400, or any firearm)	☐ Yes	☐ No
P) Murder, homicide, or attempted murder	☐ Yes	☐ No
Q) Perjury (lying under oath)	☐ Yes	☐ No
R) Possession of an explosive/destructive device	☐ Yes	☐ No
S) Robbery (theft from another person using a weapon, force, or fear)	☐ Yes	☐ No
T) Stalking	☐ Yes	☐ No
U) Blackmail or extortion	☐ Yes	☐ No
V) Any other act amounting to a felony	☐ Yes	☐ No

If you answered yes to **any** item(s) in **Question 73**, fully explain circumstances, including date(s), names of individuals involved, and resolution. Indicate the corresponding letter (73-A, etc.) for each explanation.

_____
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Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 8: LEGAL *continued*

Questions 74 and 75 ask about your current and past recreational drug use. This covers the use of *any* drug, including the unauthorized use of prescription drugs or over-the-counter drugs. Your answers should include, *but not be limited to,* your use of any of the following drugs:

- Amphetamines / Methamphetamines *(Uppers, Speed, Crank, etc.)*
- Barbiturates *(Downers)*
- Cocaine / Crack Cocaine
- Designer Drugs *(Ecstasy, Synthetic Heroin, etc.)*
- GHB *(Date Rape Drug)*

- Glue
- Hallucinogens *(Peyote, LSD, Mushrooms)*
- Hashish / Hashish Oil
- Heroin / Opium
- Marijuana

- Mescaline
- Morphine
- PCP / Angel Dust
- Quaaludes
- Steroids
- Tetrahydrocannabinal (THC)

74. *Within the past six months,* have you used any drug(s) as indicated above? .... ☐ Yes ☐ No

If yes, give details, including drug(s) used, number of times, over what time period(s), and circumstances:

_____

_____

_____

75. *Prior to the past six months* (check all that apply):

☐ I have *never* used any drug recreationally.

☐ I have tried or used one or more drugs, but only under *limited* circumstances *(for example, experimentation, at parties, concerts, special events, etc.).*

If checked, give details including drug(s) used, estimated number of times, over what time period(s), and circumstances.

_____

_____

_____

☐ I used drugs on a *regular* basis *(from one to several times a week or more).*

If checked, ONLY indicate the time period(s) of drug use. DO NOT include the drug(s) used or frequency of use.

_____

_____

_____

76. Have you *ever* engaged in any of the activities listed below for drugs, narcotics or illegal substances, including marijuana? ☐ YES ☐ NO

☐ Sold   ☐ Purchased   ☐ Cultivated
☐ Manufactured   ☐ Furnished   ☐ Carried or held for another

If you checked any items above, give details including drug(s) involved, over what time period(s), and circumstances.

_____

_____

_____

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 9: MOTOR VEHICLE OPERATION

77. CURRENT DRIVER'S LICENSE NUMBER	STATE OF ISSUE	EXPIRATION DATE	NAME UNDER WHICH LICENSE WAS GRANTED

78. LIST OTHER STATES WHERE YOU HAVE BEEN LICENSED TO OPERATE A MOTOR VEHICLE:

State of Issue	Type of license	Name under which license was granted and license number, if known

79. Have you ever been refused a driver's license by any state? .... ☐ Yes   ☐ No

If yes, explain (include when, where, and circumstances):

_____

_____

_____

_____

80. Has your driver's license ever been suspended or revoked? .... ☐ Yes   ☐ No

If yes, explain (include when, where, and circumstances):

_____

_____

_____

81. List all traffic citations, excluding parking citations, you have received within the past seven years.

A) NATURE OF VIOLATION		LOCATION (STREET)	CITY	STATE
	DATE VIOLATION OCCURRED Month Year	ACTION TAKEN ☐ Not Guilty ☐ Fined ☐ Traffic School ☐ Dismissed		

B) NATURE OF VIOLATION		LOCATION (STREET)	CITY	STATE
	DATE VIOLATION OCCURRED Month Year	ACTION TAKEN ☐ Not Guilty ☐ Fined ☐ Traffic School ☐ Dismissed		

C) NATURE OF VIOLATION		LOCATION (STREET)	CITY	STATE
	DATE VIOLATION OCCURRED Month Year	ACTION TAKEN ☐ Not Guilty ☐ Fined ☐ Traffic School ☐ Dismissed		

D) Has a traffic citation ever resulted in a warrant or caused your driver's license to be withheld due to the following? (Check all that apply.)

☐ Failed to appear   ☐ Failed to complete traffic school   ☐ Failed to pay the required fine

If checked, explain circumstances:

82. Have you ever driven a vehicle without auto insurance, as required by law? .... ☐ Yes   ☐ No

If yes, give reason:

DATE Month Year	LOCATION (NUMBER / STREET / APT)	CITY	STATE	ZIP

Initial this page to indicate that you have provided complete and accurate information: _____

SECTION 9: MOTOR VEHICLE OPERATION *continued*

83. Have you ever been refused automobile liability insurance or a bond, or had them cancelled? .... ☐ Yes ☐ No

If yes, give reason:		INSURANCE COMPANY		
DATE Month Year	ADDRESS (NUMBER / STREET / APT)	CITY	STATE ZIP	

Use this space for additional information you would like to include regarding your driving record.

SECTION 10: OTHER TOPICS

84. Have you ever been refused a permit to carry a concealed weapon? .... ☐ Yes ☐ No

85. Are you now, or have you ever been, a member or associate of a criminal enterprise, street gang, or any other group that advocates violence against individuals because of their race, religion, political affiliation, ethnic origin, nationality, gender, sexual preference, or disability? .... ☐ Yes ☐ No

86. Do you have, or have you ever had, a tattoo signifying membership in, or affiliation with, a criminal enterprise, street gang, or any other group that advocates violence against individuals because of their race, religion, political affiliation, ethnic origin, nationality, gender, sexual preference, or disability? .... ☐ Yes ☐ No

87. Since the age of 16, have you ever been involved in an anger-provoked physical fight, confrontation or other violent act? .... ☐ Yes ☐ No

88. Have you ever hit or physically overpowered a spouse or romantic partner? .... ☐ Yes ☐ No

If you answered yes to any of Questions 84–88, give details including dates and circumstances; indicate corresponding number.

SECTION 11: CERTIFICATION

89. I hereby certify that I have personally completed and initialed each page of this form and any supplemental page(s) attached, and that all statements made are true and complete to the best of my knowledge and belief. I understand that any misstatement of material fact may subject me to disqualification; or, if I have been appointed, may disqualify me from continued employment.

SIGNATURE IN FULL	DATE

Initial this page to indicate that you have provided complete and accurate information: _____

ADDITIONAL SPACE

- Duplicate this page as needed to include additional information that does not fit elsewhere on this form (e.g., additional family members, schools, residences, employers, explanations to questions, etc.)
- Identify the corresponding question and specific item being referenced.

Initial this page to indicate that you have provided complete and accurate information: _____

5 Functional Requirements

Core Product Requirements

5.1 FUNCTIONAL REQUIREMENTS

Function No.	Functionality Description
GN1001	Make sections/information of records "read only" depending on authorization to prevent unauthorized edits, deletes, etc. (example – Victim Advocate's case notes, scanned letters from victims, Investigator reports).
GN1002	System needs to have flexibility to change/adjust fields for input and/or track depending on new requirements.
GN1003	Robust search function that would allow searching on various fields including phone number, address, Name, DOB, etc.
GN1004	Ability to scan/save various documents and file types into the CMS and make content searchable when possible.
GN1005	User customizable homepage/dashboard.
GN1006	Have requests generated with notification to the appropriate division once the request is made.
GN1007	Ability to filter/sort assigned cases by case type/grant type/active/closed etc.
GN1008	Ability to populate the forms, briefs, filings, motions and work requests
GN1009	A button to generate various templates with pertinent/case specific information automatically filled in (i.e. Transport Orders Jury Instructions, Personal Service Sub Forms, Complaint Amendment, Witness Lists on pleading paper, Exhibit List, CalCrim Forms, Verdict Forms).
GN1010	Approval mechanism built into the system for transportation requests, travel requests, witness fees, etc.
GN1011	Document sharing/sending within Department.
GN1012	Document sharing/sending to outside entities/partner agencies.
GN1013	Ability to track and manage statistics.
GN1014	Ability to easily create, and modify statistical and activity reports for grant and other reporting needs - could be used to track billable hours as well.
GN1015	Supports the use of multiple pointing devices, hot keys, key combinations, buttons, and hyperlinks.
GN1016	Ability to track caseloads – assigned/pending/opened/stage of case, etc. – in a manner that provides a picture of that particular user's productivity.
GN1017	Customizable workflows.
GN1018	Work order tracking.
GN1019	Function for Supervisors to assign cases – ability to sort by crime type/Office location/DDA assigned.
GN1020	Tag metadata for searching via topics.
GN1021	Ability to scan/add/publish documents and files directly into a specific case.
GN1022	Event Reminders within the CMS and pushed to Outlook calendars.

GN1023	The Solution supports the sending of e-mails using Simple Mail Transfer Protocol (SMTP) especially Microsoft Exchange integration.
GN1024	Special Security Controls - Confidential Flags – limiting access to case and/or documents to specific users (because of Contracts, Confidential Informants, Confidential Notes, Attorney Wall, etc.).
GN1025	A calendar function for groups and individual users that also integrates with Exchange 2013 or higher.
GN1026	Remote access to information from mobile devices.
GN1027	Ability to package different types of files in a format that can easily be sent as an e-mail attachment.
GN1028	Mobile Device recognition/screen scaling.
GN1029	Ability to create pre-filing tasks or record work even on cases that have not been filed or for grand jury type of assignments independent of potential filing.
GN1030	Dashboard Checklist that re-directs to the specific area of the system that will accomplish that checklist task.
GN1031	Ability to subscribe to notifications specific to a case or person.
GN1032	Previously entered Case or record information re-populates forms; e.g. if case number entered, defendant's name, investigator's name and charge populates automatically and are editable.
GN1033	Being able to track all changes made on a case, service request, etc., automatically date/time stamping all changes including the user name of who made the change.
GN1034	Import photos, diagrams, voice recordings, etc. into the database.
GN1035	Eliminate duplicate entries, by warning the user of existing information.
GN1035b	Eliminate duplicate entries by auto populating fields that have already been entered.
GN1036	A case, service request or record automatically shows if there are any attached documents such as investigator reports, narratives, etc.
GN1037	Be able to copy text or entries from a page.
GN1038	One button printing.
GN1039	The Solution supports integrations to federal, state, and local applications. It supports real-time data transfer, as well as batch mechanisms for data transfer, including file transfer protocol (FTP).
GN1040	Be able to know what assignments are finished/completed during any given month.
GN1041	Events and documents are not deleted if an officer, witness, or DA employee status changes; e.g. retires, leaves office, changes positions, etc.
GN1042	Notification of pending work order requests. If there is a RUSH request, a way to mark requests as "urgent".
GN1043	Ability to highlight a field and change it without using backspaces.
GN1044	The CMS and supporting hardware is available for use 24 hours per day, 7 days per week.
GN1045	Ability to distinguish type of phone number, i.e., Home, Cell, Work, Contact, Fax, etc.
GN1046	No one can alter or delete event entries unless authorized and if so this action is logged.

GN1047	Ability to link family members, or other pertinent groupings or relationships.
GN1048	Ability to track multiple/previous addresses, phone numbers, etc.
GN1049	The solution allows authorized users, groups, or roles to make corrections when a data entry error occurs.
GN1050	The Solution supports the output of reports in a variety of formats, including MS Word, Excel, or Access; XML; and PDF.
GN1051	The Solution provides the ability to compile and retrieve robust statistical reports.
GN1052	The Solution provides complex query functionality by which queries can be combined and nested.
GN1053	The Solution provides query and ad hoc reporting capabilities for every element within the database.
GN1054	The Solution provides the ability to produce summary reports of the user roster and access rights.
GN1055	The Solution allows individuals and/or groups to request and receive specific information as it becomes available or as events occur.
GN1056	The Solution provides automatic distribution of information to individuals, roles, or defined groups based on established rule sets.
GN1057	The Solution provides the ability to display, update, and manage static information, such as manuals, study guides, codified laws, Web site links, and contact information.
GN1058	The Solution has the ability to provide summary data capabilities to specifically authorized users in order to extract information from defined query sets for external analysis. It is expected that this capability will initially involve gathering and presenting such information in predefined reports but will increase to include an access capability for various analysis needs.
GN1059	The Solution supports the ability for authorized users to mine data from log, transaction, and activity files.
GN1060	Create Record# for cases that are not yet a criminal case (still investigating, Victim Services, Civil, etc.)
GN1061	Robust ability to create templates and forms.
GN1062	Automatic display/notification that subject (defendant, witness, victim, etc.) has or is a part of multiple cases current or closed.
GN1063	Support for OneNote files for collaboration including remote syncing.
GN1064	Provide E-R Diagrams for each business function and report.
GN1065	Solution provides ability to create reports and templates.
GN1066	Ability to enforce a records retention policy.
GN1067	Ability to facilitate records retention by generating reports\alerts\database actions - based on charge codes, statute of limitations, and or departmental records retention schedules.
GN1501	Barcode system compatibility for digital and physical evidence scanning (e.g. EvidenceOnQ).
GN2001	Validate US mailing addresses for correctness (including Street, City, State, and Zip)

GN2002	Map to addresses in the Database
GN2003	Handle International mailing addresses
GN2004	Generate an Officer Sub and integrates with Court Notify
GN2005	Generate a Mail Sub with Group Generation
GN2006	Identify Assets for Forfeiture
GN2007	Accounts for Forfeited Assets
GN2008	Set calendar entries, reminders, emails, ticklers, and deadlines
GN2009	OCR a document
GN2010	Modify a document template
GN2011	Indicates a "Gang" member and/or the "Gang"
GN2012	Brady identification and usage in documents and reports
GN2013	Pull CalJIC text
GN2014	Pull CalCrim text
GN2015	Merge people
GN2016	Merge cases
GN2017	Set a records retention schedule
GN2018	Peace Officer and agency maintenance
GN2019	Re-label screen field names
GN2020	Produce daily and/or weekly calendar report for DDA's and VS Advocates
GN2021	Collect discovery fees and produce accounting records
GN2022	Demonstrate evidence "Chain of Custody"
GN2023	Demonstrate "Trial Stats"
GN2024	Print complaint documents to be presented to Courts for their Approval/Acceptance
GN2025	Search thru the system
GN2026	Show a CLETS search
GN2027	Show integration with the Courts
GN2028	Show integration with Agencies
GN2029	Show a DMV search
GN2030	Show possible data conversion exception reporting and possible fixes
GN2031	Demonstrate Court interface both ways with and without error reporting
GN2032	Demonstrate a JUVI Petition request thru Probation
GN2033	Demonstrate a "Workflow" creation and execution for Clerical, DDA, VS, and INV
CL1001	Prompts when changes are made to default entries.
CL1002	See all related /associated cases by suspect name.
CL1003	Consolidated areas to see all generate documents, notes, etc. on a case.
CL1004	Broaden search parameters to include all potential spellings (i.e. Gonzalez, Gonzales) using 'Wildcard' and 'fuzzy logic' searches.
CL1005	Ability to send specific documents to a default printer type.
CL1006	Tickler to indicate when a case or person is no longer on Probation or any other type of program or status.
CL1007	Customizable screens.

CL1008	Identify and locate all of a defendant's cases from his name.
CL1009	Consistent shortcut keys to navigate the system.
CL1501	California Department of Correction (CDC) search field.
CL1502	Folder Tracking Function – track when sending files to other office locations.
CL1503	General public viewing information screen (a screen or tab that shows just the information approved for public consumption)
CL2001	Enter New Case (including add/searching suspect & victim)
CL2002	Generate a New Complaint
CL2003	Do an Event/Hearing Update
CL2004	Generate a Subpoena (or other available documents)
CL2005	Close Out a Case (including Charge dispositions)
CL2006	Scan in Agency Report (or where it would be located…) / other documents
CL2007	Run an Individual Stats report (i.e. # of new cases entered for the day)
CL2008	Run a Unit Stat Report (i.e. # of new cases entered for the month)
DA1001	Drop down boxes for charges, priors, defendants, etc.
DA1002	A discovery page that has all the pertinent information filled out (i.e. case number agency information, etc.) and check boxes for commonly requested items (i.e. photos, interview tapes, etc.)
DA1003	Ability to enter status updates of discovery or other requests.
DA1004	Notification of when discovery tasks are completed
DA1005	A screen which has a witness list with check boxes indicating whether to mail personal service witnesses and dates and automatically generating by pulling pertinent information from the system.
DA1006	Link defendants with multiple cases.
DA1007	Brady icon or designation allowing for a search of law enforcement personnel either by last name or badge number. Or have the name of a law enforcement witness change color allowing the DDA to automatically know there is Brady and the issue needs to be addressed.
DA1008	When there is particular information needed for the charges [i.e. name of victim; location of burglary, date for multiple different crimes etc.] a box appears requesting that information.
DA1009	Ability to visually flag a person (i.e. Brady, Marsy's Law, Sideways, Defendant with multiple active cases, etc.)
DA1010	Ability to restrict access to specific contact information based on case or role.
DA1011	Reminder to verify/flag status at specific intervals.
DA1012	Work order status triggered by case status changes (i.e. case closed, work orders cancelled, Rap Sheets at filing/1381/etc., 969b at Information)
DA1013	Cancelation of work orders and Call Offs when case changes to closed or sentencing.
DA1014	Case status changes triggers DOJ scientific testing cancellations (Drug, DNA, GSR, etc.).
DA1015	Attorney Dashboard contains work request status.
DA1016	Automatic Defendant Priors tracking.

DA1017	Attachments searchable via full document or file including CaseAlerts.
DA1018	Search all attorney work product in document text.
DA1019	Victim Availability flags.
DA1020	Automated 'Offer Alerts' to Managers/Attorney of Offers, Staffings, and signatures.
DA1021	Case Timeline feature that allows for at a glance view of activity done on a case Including investigations view.
DA1022	Defined work requests such as RAP sheet request automatically generated for all wits / defendants.
DA1023	Officer contact information maintained, including those who are retired.
DA1024	Link to Exposure reference guides or other reference guides like CrimeTime.
DA1025	Centralized area for recording information about experts that have testified on cases, including transcript copies. Collect transcript bank of experts; an 'Expert Bank'.
DA1026	Keyword and tag word search for cases in the database for later research. Data clearinghouse searches for topics for later cases.
DA1027	Implement best practice alerts. e.g. attorney and advocate gets a pop up message that this case hasn't had victim contact in 6 weeks, RAP sheet older 12 months, etc.
DA1027	Updateable sentencing table.
DA1501	Ability to track out-of-county subject related info; i.e. Brady info
DA1502	Able to share info with other laws enforcement offices.
DA1503	Sentencing Calculator calculates all possibilities and ranges.
DA1504	Automated Sentencing Calculator.
DA1505	Link to LEO vacation logs, training dates, Attorney vacation, etc.
DA1506	Victim, Witness, Attorney calendar availability built into court date selection tool.
DA1507	Electronic faxing to and from CMS.
DA1508	Native configurable Bates Stamping with digital evidence scanning process.
DA1509	Witness access in to see if their case is going to prelim.
DA1510	Web based call off interface.
DA1511	Secure ID sent with subpoena for logging into website for info.
DA1512	Case status changes triggers Removal of discovery packages from e-Discovery clearinghouse upon closed case.
DA1513	Automated receipts, logs and tracking of eDiscovery.
DA1514	Sentencing exposure calculated based on total charged crimes.
DA2001	Complete a filing process, especially an integration with LEO showing the automation capability.
DA2002	Integration with CLETS and auto population of filings and pleadings with criminal history
DA2003	Walk us through the life of a file in their system.
DA2004	Mobile access and touch interface options and scalability.
DA2005	Brady flags and workflow reminders.

BI1001	Ability to search for information other than name or court number. For example: vehicle, gangs, monikers, etc.
BI1002	Ability to search all cases by a specific task, i.e. search all search warrants an investigator has served, or search for all activity by user name.
BI1003	Ability to search based on activity; e.g. run a search for a specific activity like Fingerprinting.
BI1004	Ability to tag a person as being dangerous, a threat, 3rd strike, etc.
BI1005	Ability to send email with basic case information without having to retype it.
BI1006	Attorneys can see the events that the investigators are inputting, but make them read only.
BI1007	Ability to track requests including who it is assigned to, date, and time.
BI1501	A link on case info that shows all evidence that has been booked into our office. Link with property/evidence.
BI1502	Connect the software with CLETS by highlighting a Driver's License number and pulling up the DMV records.
VS1001	Ability to keep information related to Family Justice Center services separate/confidential.
VS1002	Ability to email saved documents from the case management system (example: email restitution documentation and statement of loss to Probation Dept.)
VS1003	From assigned cases – date of next hearing and type of next hearing automatically populates to the advocate's calendar.
VS1004	Ability to receive a "task" assignment within the case management system.
VS1005	Ability to document the amount of time that was spent on a specific task/service.
VS1006	Notification generated when a specified status changes (e.g. WARRANT case becomes active again).
VS1007	Generate reports related to each advocate's caseload and the status of cases – assigned/attempted contact/open/closed; ARR/FSC/Prelim/TRC/JT etc.
VS1008	Notification to advocate of subpoenas issued and whether they were personal service or mailed.
VS1009	Ability to identify who 'personal service subpoena requests' are assigned to in the Bureau.
VS1010	Ability to verify whether 'personal service subpoenas' are served or pending.
VS1011	Any updates made to victim or witness contact information automatically updates the information accessed by other divisions (example – IT's serving subs have access to same address/phone info).
VS1012	Data entry/Statistical record keeping – mandated services list are drop down and editable (i.e. in addition to mandated and optional services per PC 13835.4 and 13835.5 include entries for presentations/community education and outreach, VRW preparation/participation, eliminate codes that are not used).
VS1013	Crime type codes used by Victim Services match criminal codes.
VS1014	Ability to open/work/track cases that are not attached to a criminal case yet.
VS1015	Ability to track Direct Victim Restitution & VCGCB Restitution.

VS1016	Ability to track amounts and to which victim/victims the DDA should order restitution for.
VS1017	Ability to create/identify relationships between victims/witnesses linked to a specific case (and relationship history).
VS1018	When a victim/witness case is opened, any additional victims/witnesses attached to the criminal case are automatically linked and there is a mechanism to notify the advocate there are additional people to contact.
VS1019	A function to flag a victim (e.g. potential speakers/recipients for Victim Services/DA Office events, DV Awareness month, Victim Rights Week, Giving Tree, etc.).
VS1020	Ability to generate and evaluate stats related to victim services provided even when not attached to a criminal case.
VS1021	Ability to generate reports for partner agencies at defined stages of a case that will be sent automatically when requisite data is recorded into the CMS.
VS2001	Run an adhoc report for Grant Reporting
VS2002	Show how data/searches/reports are pulled
VS2003	Open and close a VS case
VS2004	Enter Grant codes on a VS case

5.2 TECHNICAL REQUIREMENTS

Tech No.	Functionality Description
IT1001	Solution based on virtualize-able architecture or cloud hosted.
IT1002	The Solution has a Web-based client interface.
IT1003	Utilizes SQL- or Oracle-Based Robust Database
IT1004	N-tier architecture solutions based on MS .NET or Java 2 Platform, Enterprise Edition (J2EE).
IT1005	Windows based Server 2012 r2 or higher or Cloud based
IT1006	The client interface runs on MS Windows 7 or newer
IT1007	An import/export mechanism for database updates, reporting, and data sharing
IT1008	The client interface operates on browser-enabled platforms, including desktop PCs, mobile computers, smartphones, and tablets.
IT1009	A Data Access Layer (DAL) for simplified database usage
IT1010	The client is optimized for MS Internet Explorer 10 and above.
IT1011	Certification that system it meets or exceeds HIPPA, CJIS or other security standards
IT1012	The Solution utilizes 'best-of-breed' Web format design.
IT1013	Two-tiers: Web, mobile, and desktop
IT1014	The CMS application utilizes a GUI that is intuitive and customizable for the end user.
IT1015	Two-factor authentication and/or security certificate for mobile access.

IT1016	When the server recovers from a sudden stop, the CMS application recovers itself without manual intervention.
IT1017	Robust audit trail and logging including client-specific tracking of update processes.
IT1018	The Solution provides system event logging.
IT1019	The Solution provides the ability to log all user transactions for audit purposes.
IT1020	Active Directory integration for authentication.
IT1021	The Solution writes error messages to the application log file.
IT1022	Document and data file reference capability for external and scanned documents.
IT1023	The CMS error messages are in plain English and meaningful.
IT1024	The Solution provides access to all functions through a logical set of menus or tabs.
IT1025	The Solution provides drop-down (admin) editable menus for valid values for fields.
IT1026	The Solution allows for updates via data exchanges with partner systems.
IT1027	The CMS integration with office productivity products supports the MS Office 2010 suite and newer versions.
IT1028	The Solution provides the capability to interface with a content/document management system that is separate from case processing (e.g., if the CMS Solution excludes content/document management capabilities but integrates with SharePoint).
IT1029	The Solution provides the capability to use the same content/document management system for imaging.
IT1030	The CMS database interfaces are accessible through Open Database Connectivity (ODBC), Java Database Connectivity, and/or ActiveX Data Objects (ADO) .NET.
IT1031	The Solution provides controls to ensure the referential integrity between related data elements in a multiuser environment, (e.g., cascading delete and ensuring that multiple users cannot make changes to the same file at the same time).
IT1032	The Solution provides a method for converting the existing data from the current CMS as well as ancillary systems for units within the DA's Office (e.g., Insurance Fraud, Victim Center).
IT1033	The Solution provides a method for consolidating related databases, including tools for cleansing converted data.
IT1034	The Solution provides master index capabilities, employing a database-indexing infrastructure that will optimize information searches while maintaining peak system performance.
IT1035	The Solution does not contain usernames or passwords in the database.
IT1036	Any integrations between the CMS and other systems uses standard messaging protocols and be sufficiently documented so the integrations can be used by future applications.

IT1037	The Solution provides the ability to move information in a structured XML format based on the National Information Exchange Model (NIEM).
IT1038	The Solution is adaptive and uses extensible architecture for future expansion and scalability without the need for major architectural modifications.
IT1039	The Solution utilizes a system architecture that is open, nonproprietary, and portable.
IT1040	The Solution complies with IP networking standards and provide network services to any TCP/IP-based client or requesting service.
IT1041	The operational production availability of the proposed Solution is at least 99.5 percent.
IT1042	The Solution configuration design provides internal redundancy.
IT1043	The Solution configuration design is capable of providing geographic redundancy.
IT1044	The Solution's storage systems includes sufficient redundancy to ensure the continued availability of data after the failure of any single component or interface in the system.
IT1045	The Solution provides robust system backup/archiving tools and strategies.
IT1046	The Solution has the capability to execute scheduled, unattended online system backups.
IT1047	The Solution has the ability to restore from system backups.
IT1048	The Solution is scalable to handle additional users, increased processing requirements, and increased data or index requirements.
IT1049	The Solution provider is able to remotely access the application for support purposes when authorized by the DA's Office.
IT1050	The Solution is sized to accommodate future growth for the next five years.
IT1051	The Solution supports Secure Sockets Layer (SSL) protocol, at a minimum, and password protection.
IT1052	The Solution provides the ability to accept authorized user information from certified partner Lightweight Directory Access Protocol (LDAP) repositories.
IT1053	The Solution enforces password complexity, in accordance with the DA's Office and Riverside County Security Policy.
IT1054	The Solution includes password controls that prevent multiple users from creating the same username/password.
IT1055	The Solution provides the ability for an authorized administrator to add, modify, and delete personnel and group or role authorizations.
IT1056	The Solution provides the ability to control access at the data element level.
IT1057	The Solution ensures that certain records cannot be modified without supervisor or administrator notification.
IT1058	The Solution requires client-side digital certificates for all Web interfaces with administrative access, which will be issued by a certificate authority.
IT1059	The Solution audits all activities via an audit service, including access, management, and security changes, and is based on an individual service definition level.

IT1060	The Solution provides for software upgrades and maintenance that do not result in extended downtime in the CMS application.
IT1061	The Solution has robust outage and disaster recovery capabilities, including the ability to recover in-process data.
IT1062	The Solution provides remote system administration and user management capabilities.
IT1063	The Solution minimizes any requirement to permanently store information locally (e.g., not utilizing the Web browser cache).
IT1064	The Solution's reporting model supports MS SQL Server reporting services.
IT1065	The Solution provides the ability to collect and provide statistical information about the performance, capacity, and accuracy of the data itself and the management operations of the CMS.
IT1066	Test and Development systems are environments similar to production.

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Final Page of Agreement

End of Agreement