City and County of San Francisco
Office of Contract Administration
Purchasing Division
City Hall, Room 430
1 Dr. Carlton B. Goodlett Place
San Francisco, California 94102-4685

Implementation and Maintenance Services Agreement between the City and County of San Francisco and

Sapient Corporation

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AGREEMENT

The Term (as defined below) of this Agreement shall commence on October 1, 2018, and this Agreement is made in the City and County of San Francisco, State of California, by and between Sapient Corporation ("Contractor") and the City and County of San Francisco acting by and through its Office of the Assessor.

Recitals

WHEREAS, the Office of the Assessor ("Department") wishes to obtain professional implementation services for the Assessor Property Assessment Solution; and,

WHEREAS, this Agreement was competitively procured as required by San Francisco Administrative Code Chapter 21.1 through a Request for Proposals ("RFP") issued on October 26, 2017, in which the City selected Contractor as the highest qualified scorer pursuant to the RFP; and

WHEREAS, the Local Business Entity ("LBE") subcontracting participation requirement for this Agreement is 4%; and

WHEREAS, Contractor represents and warrants that it is qualified to perform the Work required by the City as set forth under this Agreement; and

WHEREAS, approval for this Agreement was obtained when the Civil Service Commission approved Contract number 47331-17/18.

Now, THEREFORE, the parties agree as follows:

Article 1 Definitions

The following definitions apply to this Agreement:

1.1. **"Affiliate"** means an entity directly or indirectly controlling Contractor, under the control of Contractor or under common control with Contractor.

1.2. "**Agreement**" means this contract document, including all attached appendices, and all applicable City Ordinances and Mandatory City Requirements which are specifically incorporated into this Agreement by reference as provided herein.

1.3. **"Annual Role Close"** means the date(s) set forth in the Implementation Statement of Work of each calendar year in which the City's annual year end processing has been certified by the City Controller.

1.4. "**As-Needed Professional Services**" means those services which shall be provided by Contractor as requested by the City on a time and materials basis at the rate set forth in the Implementation Statement of Work. For the avoidance of doubt, As-Needed Professional Services shall not include the Work under the Maintenance Statement of Work or Implementation Statement of Work.

1.5. **"Blackout Period"** means ASR's two peak periods - one for Personal Property (April 1 – June 30) and one for Real Property (March 15 – June 15). During these times, ASR staff will be less available for testing and training activities. However, ASR intends to have dedicated subject-matter-experts that will work on the system implementation that will not be impacted by black-out dates.

1.6. "**City**" or "**the City**" means the City and County of San Francisco, a municipal corporation, acting by and through both its Director of the Office of Contract Administration or the Director's designated agent, hereinafter referred to as "Purchasing."

1.7. "**City Program Budget Revision**" means the City's reallocation of contingency amounts available with respect to this Agreement in accordance with Article 3 of this Agreement.

1.8. "**CMD**" means the Contract Monitoring Division of the City.

1.9. "**Contested Amount**" means the amount of a charge from Contractor that the City disputes in writing in good faith.

1.10. "**Contractor**" means Sapient Corporation, a Delaware corporation, with principal place of business located at 131 Dartmouth Street, Boston, Massachusetts 02116, including its personnel.

1.11. "**Controller**" means the Controller of the City and County of San Francisco.

1.12. "**Deliverables**" means Contractor's work product resulting from the Work that are provided by Contractor to City during the course of Contractor's performance of the Agreement, the Implementation Statement of Work including without limitation, custom configuration, components, scripts, and other work product described in the Implementation Statement of Work, and to all of which the City receives an unlimited perpetual license.

1.13. **"Documentation"** means any written instructions, manuals, training materials, or other documents or materials, including any technical data associated with the Deliverables in paper, electronic, recorded or other format, relating to the functionality, operation, use, source code, data structures, implementation, or maintenance of the Deliverables, which are provided by Contractor to City.

1.14. "**Effective Date**" means the date upon which the City's Controller certifies the availability of funds for this Agreement as provided in Section 3.1.

1.15. "**Formal Amendment**" means a fully executed written amendment to this Agreement that has been approved by each Party in accordance with the terms of Article 3 of the Agreement. A Formal Amendment can either increase the guaranteed maximum price ("GMP") or reallocate contingency amounts.

1.16. "**Implementation Statement of Work**" means that statement of work attached to this Agreement on Appendix A-1.

1.17. "**Mandatory City Requirements**" means those City laws set forth in the San Francisco Municipal Code, including the duly authorized rules, regulations, and guidelines implementing such laws, that impose specific duties and obligations upon Contractor.

1.18. "**Maintenance Statement of Work**" means that statement of work attached to this Agreement on Appendix A-2.

1.19. "**Party**" and "**Parties**" mean the City and Contractor either collectively or individually.

1.20. "**Program Error**" means a reproducible error or defect in the Code that results in the failure of the Deliverable to operate (including to produce output) in substantial conformity to descriptions of such operation in the Specifications for the Deliverable.

1.21. "**Reasonable Workaround**" means a workaround of a Substantive Program Error that the parties mutually agree does not materially decrease the general utility of the Deliverables as described in the Specifications. If the parties do not agree, then an objective standard applies.

1.22. "**Salesforce**" means Salesforce.com, Inc., located at The Landmark @ One Market, Suite 300, San Francisco, CA 94105, USA.

1.23. "**Specifications**" means the descriptions of the operation, output, or interoperation of the applicable Deliverables identified in the Documentation and Statement of Work for the release and functions listed by Contractor as currently available.

1.24. "**Statement of Work**" means, individually or collectively as the context may require, the Implementation Statement of Work and the Maintenance Statement of Work.

1.25. "**Subcontract**" means an agreement between a third party and Contractor pursuant to which the third party (the "Subcontractor") provides Work that are billed through directly to City. Any Contractor Affiliate shall not be deemed a Subcontractor. Any individual member of the Contractor team under contract with Contractor but not an employee of Contractor shall not be deemed a Subcontractor.

1.26. "**Substantive Program Error**" means any Program Error that is classified by Contractor as a P1 or P2 Defect, as defined the Implementation Statement of Work. A Substantive Program Error may give rise to a warranty claim during the Warranty Period. If the parties disagree about whether a Program Error is a Substantive Program Error, an objective standard applies.

1.27. "**Uncontested Amount**" means an amount charged by Contractor that is not then a Contested Amount.

1.28. "**Warranty Period**" means, for Phases 1, 2, and 3 set forth in the Implementation Statement of Work, ninety (90) days after the date of Acceptance of the final Deliverable for each Phase, provided, City may elect to allocate up to forty-five (45) days of the ninety (90) day Warranty Period following the Annual Roll Close for each Implementation Phase. The City and Contractor will mutually agree in writing to the reallocation of such Warranty Period as further detailed in the Implementation Statement of Work.

1.29. "**Work**" means the professional services provided by Contractor under this Agreement.

Article 2 Term of the Agreement

2.1 Term.

The term of this Agreement shall commence on [November 1], 2018, and expire twelve (12) years later on [November 1], 2030, unless earlier terminated as otherwise provided herein.

2.2 Options.

The City has an option to extend the contract term for a maximum of five (5) additional years in any increment agreed to by the Parties, by modifying this Agreement as provided in Section 11.5, "Modification of this Agreement" and certifying any additional amount for such extension as provided in Section 3.4.

2.3 Effective Date.

This Agreement shall become effective when the Controller has certified to the availability of funds and Contractor has been notified in writing.

Article 3 Financial Matters

3.1 Certification of Funds; Budget and Fiscal Provisions; Termination in the Event of Non-Appropriation.

This Agreement is subject to the budget and fiscal provisions of the City's Charter. Contractor's Work will commence and related Charges will accrue only after prior written authorization certified by the Controller, and the amount of the City's obligation hereunder shall not at any time exceed the amount certified for the purpose and period stated in such advance authorization. This Agreement will terminate without penalty, liability or expense of any kind to the City at the end of any fiscal year if funds are not appropriated for the next succeeding fiscal year, provided, the City shall pay Contractor for all Work provided through the effective date of termination provided that funds were certified for such Work. If funds are appropriated for a portion of the fiscal year, this Agreement will terminate, without penalty, liability or expense of any kind at the end of the term for which funds are appropriated, provided, the City shall pay Contractor for all Work provided through the effective date of termination, provided that funds were certified for such Work. The City has no obligation to make appropriations for this Agreement in lieu of appropriations for new or other agreements. City budget decisions are subject to the discretion of the Mayor and the Board of Supervisors. Contractor's assumption of risk of possible non-appropriation is part of the consideration for this Agreement. The City shall make best efforts to provide reasonable advance written notice to Contractor upon learning that funding for this Agreement may be not be appropriated.

THIS SECTION CONTROLS AGAINST ANY AND ALL OTHER PROVISIONS OF THIS AGREEMENT.

3.2 **Guaranteed Maximum Costs.**

The City's payment obligation to Contractor cannot at any time exceed the amount certified by City's Controller for the purpose and period stated in such certification. Absent an authorized Emergency per the City Charter or applicable Code, no City representative is authorized to offer or promise, nor is the City required to honor, any offered or promised payments to Contractor under this Agreement in excess of the certified maximum amount without the Controller having first certified the additional promised amount and the Parties having modified this Agreement as provided in Section 11.5, "Modification of this Agreement."

3.3 **Compensation.**

3.3.1 **Payment.**

Contractor shall provide an invoice to the City for Work on a monthly basis for Work completed in accordance with the Acceptance Criteria set forth in the Implementation Statement of Work, in the immediate preceding month, unless a different schedule is set out in Appendix B (Calculation of Charges)." Payment for the Work provided under the Maintenance Statement of Work shall invoiced and paid annually in advance of the provision of such Work, unless a different schedule is set out in Appendix B (Calculation of Charges). To the extent the City requests Contractor to provide any As-Needed Professional Services, payment for the As-Needed Professional Services shall paid on a time and materials basis monthly in arrears. Payment shall be made within 30 calendar days of receipt of the invoice, unless the City notifies the Contractor that a dispute as to the invoice exists in accordance with Section 11.6.1. In no event shall the amount of this Agreement exceed **$21,414,700** [TWENTY ONE MILLION AND FOUR HUNDRED AND FOURTEEN THOUSAND AND SEVEN HUNDRED DOLLARS]. This amount shall include a $3,569,117 contingency to be expended only at the request of the City and upon mutual agreement of the Parties. The breakdown of charges associated with this Agreement appears in Appendix B, "Calculation of Charges," attached hereto and incorporated herein by this reference as though fully set forth herein. In no event shall City be liable for interest or late charges for any late payments.

3.3.2 **Payment Limited to Satisfactory Services. (Reserved – Contained in Section 7 of the Maintenance Statement of Work).**

3.3.3 **Withhold Payments. (Reserved – Implementation Statement of Work and Appendix B (Calculation of Charges).**

3.3.4 **Invoice Format.**

Invoices furnished by Contractor under this Agreement must be in a form acceptable to the Controller and the City, and must include a unique invoice number. Payment shall be made by the City as specified in Section 3.3.6, or in such alternate manner as the Parties have mutually agreed upon in writing.

3.3.5 **LBE Payment and Utilization Tracking System.**

Contractor must submit all required payment information using the online LBE Utilization Tracking System (LBEUTS) as required by CMD to enable the City to monitor Contractor's compliance with the LBE subcontracting commitments in this Agreement. Contractor shall pay its LBE subcontractors within three working days after receiving payment from the City, except as otherwise authorized by the LBE Ordinance.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of all required CMD payment information. Failure to submit all required payment information to the LBEUTS with each payment request may result in the Controller withholding 20% of the payment due pursuant to that invoice until the required payment information is provided. Following City's payment of an invoice, Contractor has ten calendar days to acknowledge using the online LBEUTS that all subcontractors have been paid. Contractor shall attend a LBEUTS training session. LBEUTS training session schedules are available at www.sfgov.org/lbeuts.

3.3.6 **Getting paid for goods and/or services from the City.**

a) All City vendors receiving new contracts, contract renewals, or contract extensions must sign up to receive electronic payments through, the City's Automated Clearing House (ACH) payments service/provider. Electronic payments are processed every business day and are safe and secure. To sign up for electronic payments, visit www.sfgov.org/ach.

b) The following information is required to sign up: (i) The enroller must be their company's authorized financial representative, (ii) the company's legal name, main telephone number and all physical and remittance addresses used by the company, (iii) the company's U.S. federal employer identification number (EIN) or Social Security number (if they are a sole proprietor), and (iv) the company's bank account information, including routing and account numbers.

3.4 **Contract Amendments; Budgeting Revisions.**

3.4.1 **Formal Contract Amendment.**

Contractor shall not be entitled to an increase in the Guaranteed Maximum Price or an extension of the Term unless the Parties agree to a Formal Amendment in accordance with the San Francisco Administrative Code and Section 11.5 (Modifications of this Agreement).

3.4.2 **Change Order.**

The City shall have authority to use Contingency funds and/or obtain As-Needed Professional Services without the execution of a Formal Amendment, to make changes to the work reflected in the Implementation Statement of Work, Maintenance Statement of Work or Appendix B (Calculation of Charges) in accordance with the terms of this Agreement (including such terms that require Contractor's agreement), not involving an increase in the GMP or the Term, by use of a written Contingency Change Order.

3.5 **Audit and Inspection of Records.**

Contractor agrees to maintain and make available to the City, upon reasonable advance written notice and during regular business hours, accurate billing and payment books and accounting records for the fees and expenses relating to its Work. Contractor will permit City to audit, examine and make excerpts and transcripts from such books and records, and to make audits of all invoices and financial, and/or other records required under Administrative Code Section 21.34, related to all other matters covered by this Agreement, whether funded in whole or in part under this Agreement. Contractor shall maintain such data and records in an accessible location and condition for a period of not fewer than three (3) years after final payment under this Agreement. To the extent required by applicable law or regulation, the State of California or any Federal agency having an interest in the subject matter of this Agreement shall have the same rights as conferred upon City by this Section. Contractor shall include the same audit and inspection rights and record retention requirements in any Subcontracts.

Any audit rights provided under this Agreement shall not permit the City to have any access to: (a) any information of other customers of Contractor, any Contractor Affiliates, or a Contractor subcontractor who is not providing services under this Agreement as defined above; (b) assets and equipment used by Contractor which are used to provide services to other customers of Contractor that contains confidential information of such other customers; (c) any personal information of Contractor employees, other than as expressly provided in this Agreement; (d) time cards or records of employee time for Work not billed on time and materials; or (e) books, records or information unrelated to this Agreement.

3.6 **Submitting False Claims.**

The full text of San Francisco Administrative Code Chapter 21, Section 21.35, including the enforcement and penalty provisions, is incorporated into this Agreement. Pursuant to San Francisco Administrative Code §21.35, any contractor or subcontractor who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. A contractor or subcontractor will be deemed to have submitted a false claim to the City if the contractor or subcontractor: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

Article 4 Services and Resources

4.1 **Services.**

4.1.1 **Implementation and Maintenance Services.**

Contractor agrees to perform the Work provided for in the Implementation Statement of Work and Maintenance Statement of Work. Officers and employees of the City are not authorized to request, and the City is not required to reimburse the Contractor for, Work beyond the scope listed in Statement of Works unless such Statement of Work is modified as provided in Article 3 of this Agreement (Contract Amendments; Budgeting Revisions).

4.2 **Warranty.**

4.2.1 **Error Correction.**

Contractor hereby assures the City that it is qualified to provide the Work required of it in the Implementation Statement of Work and that during the Warranty Period when implemented and in production use, the Deliverables will perform in substantial compliance with the Documentation and Specifications set forth in the Implementation Statement of Work. Contractor will correct and/or implement a Reasonable Workaround for any Substantive Program Error in the Deliverables that arise during the Warranty Period. Following the Warranty Period, Substantive Program Errors and any other defects within the scope of Contractor's Work will be corrected under the Maintenance Statement of Work.

4.2.2 **Exclusive Remedy.**

If Contractor is unable to correct any Substantive Program Error arising in a Deliverable identified during the Warranty Period and/or a Reasonable Workaround is not available or commercially feasible, Contractor shall notify the City and may provide the City with a monetary credit or additional hours to be utilized at the City's discretion. Such credit or any additional hours shall be equal to the amounts paid for such non-conforming Deliverable. The foregoing provisions of this paragraph constitute the sole and exclusive remedy of City, and the sole and exclusive obligation of Contractor relating to any non-conforming Deliverables. Any disagreements amongst the parties relating to a Substantive Program Error or any other warranty remedies shall be submitted to Dispute Resolution under Section 11.6 of this Agreement.

4.2.3 **Disclaimer.**

EXCEPT AS MAY BE EXPRESSLY SET FORTH IN THIS SECTION 4.3, CONTRACTOR MAKES NO REPRESENTATIONS OR WARRANTIES, EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, ANY IMPLIED WARRANTIES OF MERCHANTABILITY, AND FITNESS FOR A PARTICULAR PURPOSE. CONTRACTOR SPECIFICALLY DISCLAIMS ALL REPRESENTATIONS AND WARRANTIES NOT EXPRESSLY SET FORTH IN THIS AGREEMENT.

4.2.4 **Limitation.**

Contractor shall have no obligation to make corrections, repairs or replacements to the Deliverables during the Warranty Period resulting, in whole or in part, from (i) errors related solely to third party software that the City introduces, which is not provided by Contractor under the terms of this Agreement, (ii) fault or negligence of City, (iii) use of the Deliverables not authorized in writing by Contractor or in compliance with the Documentation relating to such Deliverable, (iv) use of the Deliverable in a manner for which it was not designed, including, without limitation, use of the Deliverable in connection with computer hardware other than as specified in the related Statement of Work, (v) modifications of the Deliverable by anyone other than Contractor or its employees or agents, or (vi) causes external to the Deliverable such as, but not limited to, power failure or electric power surges.

4.3 **Qualified Personnel.**

Contractor shall utilize only competent personnel under the supervision of, and in the employment of, Contractor (or Contractor's authorized subcontractors) to perform the Work. Contractor will comply with the City's reasonable requests regarding assignment and/or removal of personnel, but all personnel, including those assigned at the City's request, must be supervised by Contractor. Contractor shall commit adequate resources to allow completion within the project schedule specified in this Agreement.

4.4 **Acceptance Testing.**

Acceptance Testing shall be performed as detailed in the Implementation Statement of Work.

4.5 **Training.**

Training shall be performed as detailed in the Implementation Statement of Work.

4.6 **Disaster Recovery Plan. (Reserved)**

4.7 **Backup and Recovery of City Data. (Reserved)**

4.8 **Liquidated damages**

Contractor agrees that to deliver certain Deliverables identified as a Milestone in the Implementation Statement of Work. In the event of a failure to meet the Acceptance Criteria for the applicable Deliverables identified as a Milestone, Contractor will be subject to the following financial consequences: (a) 1st "Failure" – $0, (b) 2nd "Failure" - $0, (c) 3rd "Failure" $200, (d) 4th "Failure" - $450, (e) 5th Failure - $600. For purposes of this Section 4.9, "Failure" shall mean an applicable Deliverables failure to meet the Acceptance Criteria set forth in the Implementation Statement of Work and such failure is a result of errors or omissions that are solely within the exclusive control Contractor.

Contractor agrees that the sums listed herein is not a penalty, but is a reasonable estimate of the loss that City will incur based on the delay, established in light of the circumstances existing at the time this contract was awarded. The liquidated damages shall be capped at five hundred thousand dollars ($500,000). Before the assessment of liquidated damages, the Parties will conduct a root cause analysis to ascertain the cause of the Failure of the applicable Milestone Deliverable. A sum representing the liquidated damages shall be credited by Contractor to City as a non-transferable credit (not convertible to cash) that may be applied forward to any additional Work performed under the Implementation Statement of Work or Maintenance

Statement of Work (for clarity, liquidated damages, if any, shall be deducted from/credited against future sums billed by and owed to Contractor). Should Contractor bring the project timeline set forth in the Implementation Statement of Work back on schedule and achieve a subsequent Milestone Deliverable without Failure, Contractor may request and in that instance the City shall release any Liquidated Damages previously withheld. Liquidated damages shall be the exclusive remedy of the City for any such delays. Liquidated damages shall not apply to delays that are not solely attributable to Contractor. For clarity, liquidated damages shall not apply to delays or defects caused by the City or its personnel, third party delays, or a force majeure event.

4.9 **Delays.**

In the event of a City caused delay or a change in the Assumptions set forth in a Statement of Work, then Contractor may be entitled to an adjustment of the project timeline, contract price, or other modification as mutually agreed to by the Parties. Any adjustment to the contract price that exceeds the GMP or a time extension that exceeds the ten-year term, must be by Formal Amendment pursuant to Article 3 above. In the event of a City caused delay or a change in the Assumptions set forth in an applicable Statement of Work, Contractor will not be liable for failure to perform its corresponding responsibilities unless the parties agree otherwise in writing. Any disagreement regarding delay may be resolved pursuant to the Dispute Resolution Process set forth in Section 11.6 below.

4.10 **Subcontracting.**

4.10.1 **City Approval.**

Contractor may subcontract portions of the Work only upon prior written approval of City, which approval will not be unreasonably withheld. Contractor is responsible for its subcontractors throughout the course of the work required to perform the Work; provided, however, that Contractor shall have no responsibility for any Subcontractor or other third party vendor whose Work are provided to the City with no markup. Any disagreement about responsibility for Subcontractors may be resolved through the Dispute Resolution Procedure set forth in Section 11.6 below. All Subcontracts must incorporate the terms of Article 10 "Additional Requirements Incorporated by Reference" of this Agreement, unless inapplicable. Neither Party shall, on the basis of this Agreement, contract on behalf of, or in the name of, the other Party. Any agreement made in violation of this provision shall be null and void.

4.10.2 **Approved Subcontractors.**

City's execution of this Agreement constitutes its approval of the subcontractors listed below, subject to receipt of all requisite Certificates of Insurance from each such subcontractor.

1. Hamer
2. FivePaths LLC

4.11 **Independent Contractor; Payment of Employment Taxes and Other Expenses.**

4.11.1 **Independent Contractor.**

For the purposes of this Article 4, "Contractor" shall be deemed to include not only Contractor, but also any agent or employee of Contractor. Contractor acknowledges and agrees that at all times, Contractor or any agent or employee of Contractor shall be deemed at all times to be an independent contractor and is wholly responsible for the manner in which it performs the services and work requested by the City under this Agreement. Contractor, its agents, and employees will not represent or hold themselves out to be employees of the City at any time. Contractor or any agent or employee of Contractor shall not have employee status with the City, nor be entitled to participate in any plans, arrangements, or distributions by the City pertaining to or in connection with any retirement, health or other benefits that the City may offer its employees. Contractor or any agent or employee of Contractor is liable for the acts and omissions of itself, its employees and its agents. Contractor shall be responsible for all obligations and payments, whether imposed by federal, state or local law, including, but not limited to, FICA, income tax withholdings, unemployment compensation, insurance, and other similar responsibilities related to Contractor's performing services and work, or any agent or employee of Contractor providing same. Nothing in this Agreement shall be construed as creating an employment or agency relationship between the City and Contractor or any agent or employee of Contractor. Any terms in this Agreement referring to direction from the City shall be construed as providing for direction as to policy and the result of Contractor's work only, and not as to the means by which such a result is obtained. The City does not retain the right to control the means or the method by which Contractor performs work under this Agreement. Contractor agrees to maintain and make available to the City, upon request and during regular business hours, accurate books and accounting records demonstrating Contractor's compliance with this Section in accordance with San Francisco Administrative Code Section 21.34. Should the City determine that Contractor, or any agent or employee of Contractor, is not performing in accordance with the requirements of this Agreement, the City shall provide Contractor with written notice of such failure. Within five (5) business days of Contractor's receipt of such notice, and in accordance with Contractor policy and procedure, Contractor shall remedy the deficiency. Notwithstanding the foregoing, if the City believes that an action of Contractor, or any agent or employee of Contractor, warrants immediate remedial action by Contractor, the City shall contact Contractor and provide Contractor in writing with the reason for requesting such immediate action.

4.11.2 **Payment of Employment Taxes and Other Expenses.**

Should the City, in its discretion, or a relevant taxing authority such as the Internal Revenue Service or the State Employment Development Division, or both, determine that Contractor is an employee for purposes of collection of any employment taxes, the amounts payable under this Agreement shall be reduced by amounts equal to both the employee and employer portions of the tax due (and offsetting any credits for amounts already paid by Contractor which can be applied against this liability). The City shall then forward those amounts to the relevant taxing authority. Should a relevant taxing authority determine a liability for past services performed by Contractor for the City, upon notification of such fact by the City, Contractor shall promptly remit such amount due or arrange with the City to have the amount due withheld from future payments to Contractor under this Agreement (again, offsetting any amounts already paid by Contractor which can be applied as a credit against such liability). A determination of employment status pursuant to the preceding two paragraphs shall be solely for the purposes of the particular tax in question, and for all other purposes of this Agreement, Contractor shall not be considered an employee of the City. Notwithstanding the foregoing, Contractor agrees to indemnify and save harmless the City and its officers, agents and employees from, and, if requested, shall defend them against any and all claims, losses, costs, damages, and expenses, including attorneys' fees, arising from any determination of employment status under this Section.

4.12 **Assignment.**

The Work to be performed by Contractor are personal in character and neither this Agreement nor any duties or obligations hereunder may be assigned or delegated (excluding Subcontractors approved under Section 4.11) by Contractor unless first approved by City by written instrument executed and approved in the same manner as this Agreement. Notwithstanding the foregoing sentence, Contractor may without advance written approval, assign this Agreement in whole or in part to a Contractor Affiliate or to a purchaser of all or substantially all of the assets of Contractor or a Contractor affiliate, on the condition that the assignee agrees to comply and be bound by all terms of this Agreement and on the condition that Contractor obtains subsequent written approval by written instrument executed and approved in the same manner as this Agreement. Any purported assignment made in violation of this provision shall be null and void.

Article 5 Insurance and Indemnity

5.1 **Insurance.**

5.1.1 **Required Coverages.** Without in any way limiting Contractor's liability pursuant to the "Indemnification" Section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

a) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than $1,000,000 each accident, injury, or illness; and

b) Commercial General Liability Insurance with limits not less than $1,000,000 each occurrence for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; and

c) Commercial Automobile Liability Insurance with limits not less than $1,000,000 each occurrence, "Combined Single Limit" for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

d) Professional liability insurance, if applicable to Contractor's profession, with limits not less than $1,000,000 each claim with respect to negligent acts, errors or omissions in connection with the Work.

e) Technology Errors and Omissions Liability coverage, with limits of $10,000,000 each occurrence and each loss. The policy shall at a minimum cover professional misconduct or lack of the requisite skill required for the performance of services defined in the contract and shall also provide coverage for the following risks:

(i) Network security liability arising from the unauthorized access to, use of, or tampering with computers or computer systems, including hacker attacks; and

(ii) Liability arising from the introduction of any form of malicious software including computer viruses into, or otherwise causing damage to the City's or third person's computer, computer system, network, or similar computer related property and the data, software, and programs thereon.

f) Contractor shall maintain in force during the full life of the agreement Cyber and Privacy Insurance with limits of not less than $10,000,000 per claim. Such insurance shall include coverage for liability arising from theft, dissemination, and/or use of confidential information, including but not limited to, bank and credit card account information or personal information, such as name, address, social security numbers, protected health information or other personally identifying information, stored or transmitted in electronic form.

5.1.2 Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

a) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

b) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

5.1.3 Contractors shall provide thirty (30) days' advance written notice to the City of cancellation for any reason, intended non-renewal, or reduction in coverages. Notices shall be sent to the City address set forth in Section 11.1, entitled "Notices to the Parties."

5.1.4 Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the contract term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

5.1.5 Should any of the required insurance be provided under a form of coverage that includes a general annual aggregate limit or provides that claims investigation or legal defense costs be included in such general annual aggregate limit, such general annual aggregate limit shall be double the occurrence or claims limits specified above.

5.1.6 Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

5.1.7 Before commencing any Work, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Approval of the insurance by City shall not relieve or decrease Contractor's liability hereunder.

5.1.8 The Workers' Compensation policy(ies) shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

5.1.9 As appropriate, Contractor shall require that subcontractors provide all necessary insurance, including Technology Errors and Omissions Liability Insurance and Cyber and Privacy Insurance with limits of not less than identified above, and to name the City and County of San Francisco, its officers, agents and employees and the Contractor as additional insureds.

5.2 **General Indemnification.**

5.2.1 Contractor shall indemnify and save harmless the City and its officers, agents and employees from, and, if requested, shall defend them against any and all third party claims for loss, cost, damage, injury, liability and claims thereof for personal injury to or death, including employees of Contractor or loss of or damage to tangible property, arising directly or indirectly from Contractor's performance of the Work provided under this Agreement, except to the extent that such indemnity is void or otherwise unenforceable under applicable law in effect on or validly retroactive to the date of this Agreement and except where such loss, damage, injury, liability or claim is the result of active negligence or willful misconduct of the City and is not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its subcontractors or either's agent or employee. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related third party costs that the City necessarily incurs. For clarity, should the City settle a claim that would trigger a Contractor indemnity obligation without Contractor's consent, Contractor's indemnity obligation is waived.

5.2.2 In addition to Contractor's obligation to indemnify the City, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend the City from any claim which actually or potentially falls within this indemnification provision, while such claim is in effect, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by City and continues at all times thereafter.

5.2.3 There shall be no limitation on the ability of either party to bring an action arising from or relating to this Agreement except those set forth in California Law.

5.2.4 Contractor's indemnification obligation applies only if (i) Contractor is notified in writing of the claim promptly following the City receiving the claim (for clarity, the filing of a California Government Code claim in accordance with Sections 911, *et seq*., is a jurisdictional prerequisite to a third-party filing suit), and (ii) the City reasonably assists Contractor in obtaining information about the facts underlying the claim. If Contractor agrees in writing to defend, indemnify, and hold the City and its officers and employees harmless without a reservation of rights, Contractor may request sole control over the defense subject to the City Attorney approval, which approval will not be unreasonably withheld, with the exception that in any case a settlement calls for the payment of the City funds or action on the part of the City, such settlement would be subject to final approval of the City Attorney and the San Francisco Board of Supervisors, each acting in its sole discretion.

5.3 **Infringement Indemnification.**

5.3.1 Contractor shall indemnify and hold the City harmless from all third party claims and pay any related loss and liability including attorneys' fees, court costs and all other litigation expenses for any infringement of United States patent rights existing at the time of delivery of each Deliverable, or any copyright, trade secret or any other proprietary right or trademark, and all other intellectual property infringement claims of any person or persons in consequence of the use by City, or any of its officers or agents, of Deliverables supplied by Contractor in the performance of this Agreement. For clarity, should the City settle a claim that would trigger a Contractor indemnity obligation without Contractor's consent, Contractor's indemnity obligation is waived.

The infringement indemnity obligation shall not be applicable to the extent that an infringement claim is based solely upon:

(i) the City's alteration, combination, or modification of the Deliverables, without Contractor's written consent;

(ii) the City's failure to use corrections or enhancements made available by Contractor,

(iii) the City's instruction to Contractor to integrate or otherwise incorporate the Deliverables with software or other third party materials procured by the City.

5.3.2 If any Deliverable is, or in Contractor's opinion is likely to be, held to be infringing, Contractor will at its expense and subject to the approval of the City either: (i) procure the right for the City to continue using it, (ii) replace it with a noninfringing equivalent, (iii) modify it to make it noninfringing, or (iv) direct the return of the item of Deliverable and refund to City the fees paid for such Deliverable.

5.3.3 Contractor's indemnification obligation in this Section 5.3 applies only if (i) Contractor is notified in writing of the claim promptly following City receiving the claim (for clarity, the filing of a California Government Code claim in accordance with Sections 911, *et seq*., is a jurisdictional prerequisite to a third-party filing suit), and (ii) City reasonably assists Contractor in obtaining information about the facts underlying the claim. If Contractor agrees in writing to defend, indemnify, and hold the City and its officers and employees harmless without a reservation of rights, Contractor may request the sole control over the defense subject to City Attorney approval, which will not be unreasonably withheld, with the exception that in any case a settlement calls for the payment of City funds or action on the part of the City, such settlement would be subject to final approval of the City Attorney and the San Francisco Board of Supervisors, each acting in its sole discretion.

Article 6 Liability of the Parties

6.1 **City's Liability Limit.**

6.1.1 CITY'S PAYMENT OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE PAYMENT OF THE COMPENSATION PROVIDED FOR IN ARTICLE 3 OF THIS AGREEMENT.

6.1.2 NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE WORK PERFORMED IN CONNECTION WITH THIS AGREEMENT.

6.2 **Contractor's Liability Limit.**

6.2.1 **Disclaimer of Consequential Damages.**

NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CONTRACTOR BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE WORK PERFORMED IN CONNECTION WITH THIS AGREEMENT.

6.2.2 **Liability for Contractor's Services.**

a) Implementation Services. CONTRACTOR'S MAXIMUM LIABILITY FOR ANY DIRECT DAMAGES ARISING UNDER OR IN CONNECTION WITH THIS AGREEMENT OR THE WORK PERFORMED IN CONNECTION WITH THIS AGREEMENT UNDER THE IMPLEMENTATION STATEMENT OF WORK AND FOR THE FIRST 18 MONTHS AFTER PHASE THREE GO LIVE (INITIAL CAP PERIOD), SHALL BE CAPPED IN THE AGGREGATE AT THE TOTAL, NOT TO EXCEED CONTRACT AMOUNT IDENTIFIED SECTION 3.3 (PROVIDED, FOR PURPOSES OF THIS SECTION 6.2 THE NOT TO EXCEED CONTRACT AMOUNT SHALL NOT INCLUDE THE CONTINGENCY AMOUNT IDENTIFIED IN SECTION 3.3). FOR PURPOSES OF THIS SECTION "PHASE THREE GO LIVE" SHALL MEAN THE PERIOD COMMENCING UPON CITY'S ACCEPTANCE OF ALL DELIVERABLES FOR PHASE THREE SET FORTH IN THE IMPLEMENTATION STATEMENT OF WORK.

b) **Maintenance Services.** FOLLOWING THE INITIAL CAP PERIOD AND PROVIDED CONTRACTOR IS PROVIDING WORK UNDER THE MAINTENANCE STATEMENT OF WORK CONTRACTOR'S MAXIMUM LIABILITY FOR ANY DIRECT DAMAGES ARISING UNDER OR IN CONNECTION WITH THIS AGREEMENT SOLELY RELATED TO THE WORK PERFORMED UNDER THE MAINTENANCE STATEMENT OF WORK SHALL BE CAPPED IN THE AGGREGATE AT ½ OF THE TOTAL, NOT TO EXCEED CONTRACT AMOUNT IDENTIFIED IN SECTION 3.3 (PROVIDED, FOR PURPOSES OF THIS SECTION 6.2 THE NOT TO EXCEED CONTRACT AMOUNT SHALL NOT INCLUDE THE CONTINGENCY AMOUNT IDENTIFIED IN SECTION 3.3).

c) EXCEPTIONS TO CAP ON DIRECT DAMAGES. CONTRACTOR'S LIABILITY LIMIT FOR DIRECT DAMAGES SET FORTH IN SECTION 6.2.2(A) AND (B) HEREIN SHALL NOT APPLY TO:

i. DAMAGES CAUSED BY CONTRACTOR'S GROSS NEGLIGENCE (FOR PURPOSES OF THIS SECTION, "GROSS NEGLIGENCE" SHALL MEAN A WANT OF EVEN

SCANT CARE OR EXTREME DEPARTURE FROM THE ORDINARY STANDARD OF CONDUCT) OR WILLFUL MISCONDUCT; CLAIMS THAT FALL WITHIN THE INSURANCE COVERAGE OF THIS AGREEMENT;

ii. CONTRACTOR'S OBLIGATION TO INDEMNIFY AND DEFEND CITY PURSUANT TO THE GENERAL INDEMNIFICATION AND INFRINGEMENT INDEMNIFICATION PROVISIONS HEREIN;

iii. DAMAGES, INCLUDING ALL ASSOCIATED COSTS AND/OR STATUTORY FINES, AND/OR PENALTIES, THAT ARISE FROM THE UNAUTHORIZED USE OR DISCLOSURE OR FAILURE TO MAINTAIN CONFIDENTIALITY OF CITY'S INFORMATION IN THE POSSESSION OR CONTROL OF CONTRACTOR RESULTING FROM CONTRACTOR'S BREACH OF SECTION 13.1 (NONDISCLOSURE OF PRIVATE, PROPRIETARY, OR CONFIDENTIAL INFORMATION), INCLUDING, UP TO AN AGGREGATE LIABILITY CAP OF $10,000,000; AND

iv. WRONGFUL DEATH CAUSED BY CONTRACTOR.

6.3 **Liability for Use of Equipment.**

The City shall not be liable for any damage to persons or property as a result of the use, misuse or failure of any equipment used by Contractor, or any of its subcontractors, or by any of their employees, even though such equipment is furnished, rented or loaned by the City.

Article 7 Payment of Taxes

7.1 **Reimbursement by City.**

Except for any applicable California sales and use taxes charged by Contractor to City, Contractor shall pay all taxes, including possessory interest taxes levied upon or as a result of this Agreement, or the Work delivered pursuant hereto. Contractor shall remit to the State of California any sales or use taxes paid by the City to Contractor under this Agreement. Contractor agrees to promptly provide information requested by the City to verify Contractor's compliance with any State requirements for reporting sales and use tax paid by City under this Agreement.

7.2 **Possessory Interest Tax.**

7.2.1 Contractor acknowledges that this Agreement may create a "possessory interest" for property tax purposes. Generally, such a possessory interest is not created unless the Agreement entitles the Contractor to possession, occupancy, or use of City property for private gain. If such a possessory interest is created, then the following shall apply.

7.2.2 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that Contractor, and any permitted successors and assigns, may be subject to real property tax assessments on the possessory interest.

7.2.3 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that the creation, extension, renewal, or assignment of this Agreement may result in a "change in ownership" for purposes of real property taxes, and therefore may result in a revaluation of any possessory interest created by this Agreement. Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report on behalf of the City to the County Assessor the information required by Revenue and Taxation Code Section 480.5, as amended from time to time, and any successor provision.

7.2.4 Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that other events also may cause a change of ownership of the possessory interest and result in the revaluation of the possessory interest. (see, e.g., Rev. & Tax. Code

Section 64, as amended from time to time). Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report any change in ownership to the County Assessor, the State Board of Equalization or other public agency as required by law.

7.2.5 Contractor further agrees to provide such other information as may be requested by the City to enable the City to comply with any reporting requirements for possessory interests that are imposed by applicable law.

Article 8 Termination and Default

8.1 Termination for Convenience

8.1.1 City shall have the option, in its sole discretion, to terminate this Agreement, at any time during the term hereof, for convenience and without cause. City shall exercise this option by giving Contractor thirty ninety (90) days' prior written notice of termination. The notice shall specify the date on which termination shall become effective (the "Termination Effective Date").

8.1.2 In the event City elects to terminate this Agreement, upon receipt of the notice of termination, Contractor shall use reasonable efforts to commence and perform, with diligence, all actions necessary on the part of Contractor to effect the termination of this Agreement on the Termination Effective Date and to minimize the liability of Contractor and City to third parties as a result of termination.

8.1.3 Within 30 days after the Termination Effective Date, Contractor shall submit a final invoice to City, which shall set forth any outstanding claim for payment.

8.1.4 If the Agreement is terminated by the City for its convenience, City shall pay to Contractor all expenses incurred during the notice period plus an amount equal to the greater of either: (i) the actual fees incurred during the ninety day (90) termination notice period, or (ii) three (3) times the average monthly fee for Work rendered during the last three (3) full months immediately prior to the notice of termination. In no event shall City be liable for costs incurred by Contractor or any of its subcontractors after the Termination Effective Date. Such non-recoverable costs include, but are not limited to, anticipated profits on the Work under this Agreement, post-termination employee salaries, post-termination administrative expenses, post-termination overhead or unabsorbed overhead, attorneys' fees or other costs relating to the prosecution of a claim or lawsuit, prejudgment interest, or any other expense which is not reasonable.

8.1.5 In arriving at the amount due to Contractor under this Section, City may deduct: (i) all payments previously made by City for the same Work covered by Contractor's final invoice; (ii) an amount contested under an applicable invoice which is properly disputed in accordance with and subject to the dispute resolution language of Section 11.6; and (iii) any invoiced costs or expenses excluded pursuant to the immediately preceding subsection 8.1.4.

8.1.6 City's payment obligation under this Section shall survive termination of this Agreement.

8.2 Contractor's Right to Suspend.

In the event that Contractor in its sole discretion determines that the City has failed to make any payments set forth in Appendix B, or otherwise failed to fulfill its contractual obligations, Contractor may temporarily suspend its performance of its Work. Contractor shall provide the City prompt written notice of the suspension and shall provide the City with an opportunity to cure. During the cure period, Contractor shall actively assist the City to return to contractual compliance. Promptly upon the City's achievement of the cure, Contractor shall resume contractual performance. If the Parties are unable to resolve the issue within five business days, the matter shall be submitted to Dispute Resolution under Section 11.6 below.

8.3 Termination for Default; Remedies.

8.3.1 The City may terminate this Agreement for material breach by Contractor, by giving thirty (30) days' prior written notice to Contractor. In such event, Contractor shall have the right to cure the breach within the notice period. Each of the following may constitute an event of default ("Event of Default") under this Agreement:

a) Contractor fails or refuses to perform or observe any term, covenant or condition contained in any of the following Sections of this Agreement:

3.6	Submitting False Claims.	11.11	Compliance with Laws
4.13	Assignment	13.1	Nondisclosure of Private, Proprietary or Confidential Information
Article 5	Insurance and Indemnity		
Article 7	Payment of Taxes		

b) Contractor fails or refuses to perform or observe any other material term, covenant or condition contained in this Agreement, including any obligation imposed by ordinance or statute and is incorporated by this reference herein, and such default continues for a period of thirty days after written notice thereof from City to Contractor.

c) To the extent permitted by law, Contractor files, or consents by answer or otherwise to the filing against it of a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction; (iii) makes an assignment for the benefit of its creditors; (iv) consents to the appointment of a custodian, receiver, trustee or other officer with similar powers of Contractor or of any substantial part of Contractor's property; or (v) takes action for the purpose of any of the foregoing.

d) To the extent permitted by law, a court or government authority enters an order (i) appointing a custodian, receiver, trustee or other officer with similar powers with respect to Contractor or with respect to any substantial part of Contractor's property, (ii) constituting an order for relief or approving a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction or (iii) ordering the dissolution, winding-up or liquidation of Contractor.

8.3.2 On and after any Event of Default, the City shall have the right to exercise its legal and equitable remedies, including, without limitation, the right to terminate this Agreement or to seek specific performance of all or any part of this Agreement. Upon any termination, the City shall pay Contractor Uncontested Amounts for Work performed in material conformance to the requirements of this Agreement up to and on the effective date of termination, in accordance with Section 3.3.1.. Any contested amounts shall be subject to the dispute resolution language detailed in Section 11.6 below.

8.3.3 All remedies provided for in this Agreement may be exercised individually or in combination with any other remedy available hereunder or under applicable laws, rules and regulations. The exercise of any remedy shall not preclude or in any way be deemed to waive any other remedy. Nothing in this Agreement shall constitute a waiver or limitation of any rights that the City may have under applicable law.

8.3.4 Any notice of default must be sent by registered mail to the address set forth in Article 11.

8.4 **Non-Waiver of Rights.**

The omission by either party at any time to enforce any default or right reserved to it, or to require performance of any of the terms, covenants, or provisions hereof by the other party at the time designated, shall not be a waiver of any such default or right to which the party is entitled, nor shall it in any way affect the right of the party to enforce such provisions thereafter.

8.5 **Rights and Duties upon Termination or Expiration.**

8.5.1 This Section and the following Sections of this Agreement listed below, shall survive termination or expiration of this Agreement:

3.3.1	Payment		11.6	Dispute Resolution Procedure
3.3.2	Payment Limited to Satisfactory Services		11.8	Agreement Made in California; Venue
3.5	Audit and Inspection of Records		11.9	Construction
3.6	Submitting False Claims		11.9	Entire Agreement
Article 5	Insurance and Indemnity		11.11	Compliance with Laws
Article 6	Liability of Parties		11.12	Severability
Article 7	Payment of Taxes		13.1	Nondisclosure of Private, Proprietary or Confidential Information
8.1.6	Payment Obligation			

8.5.2 Subject to the survival of the Sections identified in Section 8.4.1, above, if this Agreement is terminated prior to expiration of the term specified in Article 2, this Agreement shall be of no further force or effect.

8.6 **Transition Period Following Termination of the Services.**

Following the termination of this Agreement pursuant to Sections 8.1 or 8.2, upon the written request of the City (which notice shall be delivered at least sixty (60) days prior to the effective date of termination and commencement of transition services), Contractor shall continue to provide transition services and reasonable assistance (collectively, “Transition Services”) to the City for a maximum period of twenty-four (24) months following the effective date of termination. The scope of the Transition Services, data transfer services, and applicable cost shall be set forth in a statement of work mutually agreed upon by the parties.

8.7 **Rights In Deliverables**

8.7.1 **License to Deliverables.**

Subject to the terms and conditions of this Agreement and upon the City’s Acceptance and payment of undisputed invoices for each Deliverable, Contractor hereby grants the City a worldwide, perpetual, non-exclusive, non-transferable, non-sublicenseable and royalty-free license and right to use all Deliverables identified in the Implementation Statement of Work for Client’s own internal business purposes.

8.7.2 **Shared Deliverables.**

Subject to obtaining Contractor’s prior written consent, City may share or otherwise grant access to any Deliverables (each a “Shared Deliverable”) with any other county located in California each a “Shared County”), provided City is not selling or otherwise receiving any financial consideration from the Shared County for the Shared Deliverable. Contractor’s consent will not be unreasonably withheld, provided it shall not be deemed unreasonable for Contractor to withhold consent in the event (i) City intends to sell or receive financial consideration for any Shared Deliverable or (ii) if City or a Shared County intend to grant access to any Shared Deliverable to any additional third parties.

a) Such Shared Deliverables are provided to any Shared County on as “as-is” basis and Contractor makes no representation or warranty of any kind regarding shared Deliverables and shall have no liability to any Shared County for use of such Shared Deliverable. In no event shall any Shared County be deemed a third party beneficiary of this Section 8.7 or any of the representations, warranties, covenants or other obligations of Contractor under this Agreement.

b) All rights not expressly granted by Contractor in this Agreement are reserved by Contractor. To the extent that Contractor provides services to a Shared County, Contractor and City may discuss whether City may leverage any materials created during Contractor’s engagement with such Shared County, which may include a reduction or discount on any fees payable under the Maintenance Statement of Work.

8.7.3 **Open Source Code.**

City acknowledges and agrees and Contractor represents and warrants that Contractor has authority to use Open Source Code in connection with the Work provided under this Agreement which shall be specifically identified in the relevant Statement of Work. Any Open Source Code provided to the City shall remain the sole and exclusive property of the Open Source Code provider. Sapient represents and warrants that the use of any Open Source Code in connection with the Work provided under this Agreement shall be in conformance with the applicable license terms for such Open Source Code. For purposes of this Section, “Open Source Code” means any software code that contains or is derived in any manner (in whole or in part) from any software that is distributed as free software, open source software, shareware or similar licensing or distribution models.

Article 9 Additional Requirements Incorporated by Reference

9.1 **Laws Incorporated by Reference.**

Contractor represents and warrants that it will comply with all laws and regulations applicable to the Work provided under this Agreement. Subject to the foregoing, the full text of the laws listed in this Article 10, including enforcement and penalty provisions, are incorporated by reference into this Agreement. The full text of the San Francisco Municipal Code provisions incorporated by reference in this Article and elsewhere in the Agreement ("Mandatory City Requirements") are available at http://www.amlegal.com/codes/client/san-francisco_ca/

9.2 **Conflict of Interest.**

By executing this Agreement, Contractor certifies that it does not know of any fact which constitutes a violation of Section 15.103 of the City’s Charter; Article III, Chapter 2 of City’s Campaign and Governmental Conduct Code; Title 9, Chapter 7 of the California Government Code (Section 87100 *et seq.*), or Title 1, Division 4, Chapter 1, Article 4 of the California Government Code (Section 1090 *et seq.*), and further agrees promptly to notify the City if it becomes aware of any such fact during the term of this Agreement.

9.3 **Prohibition on Use of Public Funds for Political Activity.**

In performing the Work, Contractor shall comply with San Francisco Administrative Code Chapter 12G, which prohibits funds appropriated by the City for this Agreement from being expended to participate in, support, or attempt to influence any political campaign for a candidate or for a ballot measure. Contractor is subject to the enforcement and penalty provisions in Chapter 12G.

9.4 **Reserved.**

9.5 **Nondiscrimination Requirements.**

9.5.1 **Non Discrimination in Contracts.**

Contractor shall comply with the provisions of Chapters 12B and 12C of the San Francisco Administrative Code. Contractor shall incorporate by reference in all subcontracts the provisions of Sections12B.2(a), 12B.2(c)-(k), and 12C.3 of the San Francisco Administrative Code and shall require all subcontractors to comply with such provisions. Contractor is subject to the enforcement and penalty provisions in Chapters 12B and 12C.

9.5.2 **Nondiscrimination in the Provision of Employee Benefits.**

San Francisco Administrative Code 12B.2. Contractor does not as of the date of this Agreement, and will not during the term of this Agreement, in any of its operations in San Francisco, on real property owned by San Francisco, or where work is being performed for the City elsewhere in the United States, discriminate in the provision of employee benefits between employees with domestic partners and employees with spouses and/or between the domestic partners and spouses of such employees, subject to the conditions set forth in San Francisco Administrative Code Section12B.2.

9.6 **Local Business Enterprise and Non-Discrimination in Contracting Ordinance.**

Contractor shall comply with all applicable provisions of Chapter 14B ("LBE Ordinance"). Contractor is subject to the enforcement and penalty provisions in Chapter 14B. Contractor shall utilize LBE Subcontractors for at least 4% of the Work except as otherwise authorized in writing by the Director of CMD. Contractor shall incorporate the requirements of the LBE Ordinance in each subcontract made in the fulfillment of Contractor’s LBE subcontracting commitments.

9.7 **Minimum Compensation Ordinance.**

Contractor shall pay covered employees no less than the minimum compensation required by San Francisco Administrative Code Chapter 12P. Contractor is subject to the enforcement and penalty provisions in Chapter 12P. By signing and executing this Agreement, Contractor certifies that it is in compliance with Chapter 12P.

9.8 **Health Care Accountability Ordinance.**

Contractor shall comply with San Francisco Administrative Code Chapter 12Q. Contractor shall choose and perform one of the Health Care Accountability options set forth in San Francisco Administrative Code Chapter 12Q.3. Contractor is subject to the enforcement and penalty provisions in Chapter 12Q.

9.9 **First Source Hiring Program.**

Contractor must comply with all of the provisions of the First Source Hiring Program, Chapter 83 of the San Francisco Administrative Code, that apply to this Agreement, and Contractor is subject to the enforcement and penalty provisions in Chapter 83.

9.10 **Alcohol and Drug-Free Workplace.**

City reserves the right to deny access to, or require Contractor to remove from, City facilities personnel of any Contractor or subcontractor who City has reasonable grounds to believe has engaged in alcohol abuse or illegal drug activity which in any way impairs City's ability to maintain safe work facilities or to protect the health and well-being of City employees and the general public. City shall have the right of final approval for the entry or re-entry of any such person previously denied access to, or removed from, City facilities. Illegal drug activity means possessing, furnishing, selling, offering, purchasing, using or being under the influence of illegal drugs or other controlled substances for which the individual lacks a valid prescription. Alcohol abuse means possessing, furnishing, selling, offering, or using alcoholic beverages, or being under the influence of alcohol.

9.11 **Limitations on Contributions.**

By executing this Agreement, Contractor acknowledges that it is familiar with Section 1.126 of the City’s Campaign and Governmental Conduct Code, which prohibits any person who contracts with the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, or for a grant, loan or loan guarantee, from making any campaign contribution to (1) an individual holding a City elective office if the contract must be approved by the individual, a board on which that individual serves, or the board of a state agency on which an appointee of that individual serves, (2) a candidate for the office held by such individual, or (3) a committee controlled by such individual, at any time from the commencement of negotiations for the contract until the later of either the termination of negotiations for such contract or six months after the date the contract is approved. The prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Contractor must inform each such person of the limitation on contributions imposed by Section 1.126 and provide the names of the persons required to be informed to City.

9.12 **Slavery Era Disclosure. (Reserved)**

9.13 **Working with Minors. (Reserved)**

9.14 **Consideration of Criminal History in Hiring.**

Contractor agrees to comply fully with and be bound by all of the provisions of Chapter 12T, "City Contractor/Subcontractor Consideration of Criminal History in Hiring and Employment Decisions," of the San Francisco Administrative Code ("Chapter 12T"), including the remedies provided, and implementing regulations, as may be amended from time to time. The provisions of Chapter 12T are incorporated by reference and made a part of this Agreement as though fully set forth herein. The text of the Chapter 12T is available on the web at http://sfgov.org/olse/fco. Contractor is required to comply with all of the applicable provisions of 12T, irrespective of the listing of obligations in this Section. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 12T.

The requirements of Chapter 12T shall only apply to a Contractor's or Subcontractor's operations to the extent those operations are in furtherance of the performance of this Agreement, shall apply only to applicants and employees who would be or are performing work in furtherance of this Agreement, and shall apply when the physical location of the employment or prospective employment of an individual is wholly or substantially within the City of San Francisco. Chapter 12T shall not apply when the application in a particular context would conflict with federal or state law or with a requirement of a government agency implementing federal or state law.

9.15 **Public Access to Nonprofit Records and Meetings. (Reserved)**

9.16 **Food Service Waste Reduction Requirements.**

Contractor shall comply with the Food Service Waste Reduction Ordinance, as set forth in San Francisco Environment Code Chapter 16, including but not limited to the remedies for noncompliance provided therein.

9.17 **Sugar-Sweetened Beverage Prohibition. (Reserved)**

9.18 **Tropical Hardwood and Virgin Redwood Ban.**

Pursuant to San Francisco Environment Code Section 804(b), the City urges Contractor not to import, purchase, obtain, or use for any purpose, any tropical hardwood, tropical hardwood wood product, virgin redwood or virgin redwood wood product.

9.19 **Preservative Treated Wood Products. (Reserved)**

Article 10 General Provisions

10.1 **Notices to the Parties.**

Unless otherwise indicated in this Agreement, all written communications sent by the Parties may be by U.S. mail or e-mail, and shall be addressed as follows:

To CITY:

Office of the Assessor-Recorder
Rachel Cukierman
1 Dr. Carlton B. Goodlett Place
City Hall, Room 190
San Francisco, CA 94102
e-mail: rachel.cukierman@sfgov.org

To CONTRACTOR:

Sapient Corporation
Krishna Kosuri
350 Bush Street, Floor 17
San Francisco, CA 94104
e-mail: kkosuri@sapient.com

with a copy to

Sapient Corporation
Attention: Legal Counsel
131 Dartmouth Street, 3rd Floor
Boston, Massachusetts 02116

Any notice of default must be sent by registered mail. Either Party may change the address to which notice is to be sent by giving written notice thereof to the other Party. If email notification is used, the sender must specify a receipt notice.

10.2 **Compliance with Americans with Disabilities Act.**

Contractor shall provide the Work in a manner that complies with the Americans with Disabilities Act (ADA), including but not limited to Title II's program access requirements, and all other applicable federal, state and local disability rights legislation, provided, however, to the extent any amendment to any applicable federal, state and local disability rights legislation have a material impact on the Deliverables, Work or the Contractor's cost to provide such Deliverables and/or Work, the parties may execute a Formal Contract Amendment or a Contingency Change Order to account for any additional costs and expenses incurred in connection with such change in law.

10.3 **Reserved.**

10.4 **Sunshine Ordinance.**

10.4.1 **Public Records Request:**

Contractor acknowledges that this Agreement and all records related to its formation, Contractor's performance of Work, and City's payment are subject to the California Public Records Act, (California

Government Code § 6250 et. seq.), and the San Francisco Sunshine Ordinance, (San Francisco Administrative Code Chapter 67). Such records are subject to public inspection and copying unless exempt from disclosure under federal, state or local law.

10.4.2 **Contractors Obligations:**

If the Department receives a Public Records Request pertaining to Contractor, the Department will use its best efforts to notify Contractor of the Request and to provide Contractor with a description of the material that the Department deems responsive and the due date for disclosure ("Response Date"). If Contractor asserts that some or all of the material requested contains or reveals valuable trade secrets or other information belonging to Contractor that is exempt from disclosure and directs the City in writing to withhold such material from production ("Withholding Directive"), then the City will comply with the Withholding Directive on the condition that Contractor seeks judicial relief on or before the Response Date. If any third-party initiates or threatens to initiate legal action to compel the production of Contractor's material, Contractor shall defend, indemnify and save harmless City and its officers, agents and employees from any and all such third party claims. Should Contractor fail to seek judicial relief on or before Response Date, the City shall proceed with the disclosure of responsive documents.

10.4.3 **Agreement not to Sue:**

In the event that a disclosure occurs in response to a Public Records Request, Contractor agrees that it will not sue the City for damages in connection with the disclosure by the City of information that Contractor asserts is exempt from disclosure, so long as such disclosure was inadvertent and the City uses reasonable efforts to mitigate the effects of the inadvertent disclosure and/or uses reasonable efforts to retrieve the information as appropriate.

10.5 **Modification of this Agreement.**

This Agreement may not be modified, nor may compliance with any of its terms be waived, except as noted in Section 11.1, "Notices to Parties," regarding change in personnel or place, and except by written instrument executed by the parties and approved in the same manner as this Agreement. Contractor shall cooperate with Department to submit to the Director of CMD any amendment, modification, supplement or change order that would result in a cumulative increase of the original amount of this Agreement by more than 20% (CMD Contract Modification Form).

10.6 **Dispute Resolution Procedure.**

The Parties will attempt in good faith to resolve any dispute or controversy arising out of or relating to the performance or receipt of services under this Agreement, including those related to non-payment or disputed invoices, ("Disputes") in accordance with the following escalation process. Upon written notice by a party to the other party of a Dispute ("Dispute Notice"), such Dispute shall first be referred to Contractor's lead engagement partner or, principal, or managing director (or designee) and City's Contract Administrator (or designee), as defined in the Implementation Statement of Work. If they are unable to resolve the Dispute within fifteen (15) days of the Dispute Notice, the Dispute will be escalated to Contractor's lead client service partner (or designee) and the Department's Deputy Director of Administration and Finance (or designee). If the Parties are still unable to resolve the dispute within fifteen (15) additional days, then each party may resort to the formal dispute resolution procedure set forth in Section 11.6.1(b) or, pursuant to San Francisco Administrative Code Section 21.36, Contractor may submit to the Contracting Officer a written request for administrative review and documentation of the Contractor's claim(s). Upon such request, the Contracting Officer shall promptly issue an administrative decision in writing, stating the reasons for the action taken and informing the Contractor of its right to judicial review

a) After the parties have exhausted the informal dispute resolution process outlined in Section 11.6.1(a), then, if agreed by both Parties in writing, disputes may be resolved by a mutually agreed-upon non-binding alternative dispute resolution process. If the parties do not mutually agree to an alternative dispute resolution process or such efforts do not resolve the dispute, then either Party may pursue any remedy available under California law.

b) The status of any Dispute or controversy notwithstanding, Contractor shall proceed diligently with the performance of its obligations under this Agreement in accordance with the Agreement and the written directions of the City. Neither Party will be entitled to legal fees or costs for matters resolved under this Section

10.7 **Government Code Claim Requirement.**

No suit for money or damages may be brought against the City until a written claim therefor has been presented to and rejected by the City in conformity with the provisions of San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq. Nothing set forth in this Agreement shall operate to toll, waive or excuse Contractor's compliance with the California Government Code Claim requirements set forth in San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq.

10.8 **Agreement Made in California; Venue.**

The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

10.9 **Construction.**

All paragraph captions are for reference only and shall not be considered in construing this Agreement.

10.10 **Entire Agreement.**

This contract sets forth the entire Agreement between the parties, and supersedes all other oral or written provisions. This Agreement may be modified only as provided in Section 11.5, "Modification of this Agreement."

10.11 **Compliance with Laws.**

Contractor shall keep itself fully informed of the City's Charter, codes, ordinances and duly adopted rules and regulations of the City and of all state, and federal laws in any manner applicable to Contractor's performance of this Agreement, and must at all times comply with such local codes, ordinances, and regulations and all applicable laws as they may be amended from time to time, provided, however, to the extent any amendment to any applicable federal, state and local disability rights legislation have a material impact on the Deliverables, Work or the Contractor's cost to provide such Deliverables and/or Work, the parties may execute a Formal Contract Amendment or a Contingency Change Order to account for any additional costs and expenses incurred in connection with such change in law.

10.12 **Severability.**

Should the application of any provision of this Agreement to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of the parties and shall be reformed without further action by the parties to the extent necessary to make such provision valid and enforceable.

10.13 **Cooperative Drafting.**

This Agreement has been drafted through a cooperative effort of City and Contractor, and both Parties have had an opportunity to have the Agreement reviewed and revised by legal counsel. No Party shall be considered the drafter of this Agreement, and no presumption or rule that an ambiguity shall be construed against the Party drafting the clause shall apply to the interpretation or enforcement of this Agreement.

10.14 **Order of Precedence.**

Contractor agrees to perform the services described below in accordance with the terms and conditions of this Agreement, and the applicable Statement of Work. The terms of this Agreement are to be read and interpreted together with all other documents, appendices, exhibits, and addenda attached to the Agreement as a single agreement

10.15 **Non-Solicitation.**

Members of the City's project team agree not to solicit the employment of Contractor's employees during the Term of this Agreement, without the express consent of Contractor. Nothing in this Agreement can prevent any employee from applying for any job in California and the City cannot and will not agree that it would not hire a qualified applicant. However, Contractor may choose not to work with or provide training for any former Contractor employee employed by City or working with City as an employee of a consultant hired by City if such employee is hired less than 12 months after the date of the termination of such former employee's employment with Contractor.

Article 11 Department Specific Terms

11.1 **Third Party Beneficiaries.**

No third parties are intended by the parties hereto to be third party beneficiaries under this Agreement, and no action to enforce the terms of this Agreement may be brought against either party by any person who is not a party hereto.

Article 12 Data and Security

12.1 **Nondisclosure of Private, Proprietary or Confidential Information.**

12.1.1 **Private Information.**

This Agreement requires the City to disclose "Private Information" to Contractor within the meaning of San Francisco Administrative Code Chapter 12M, which may include, names, addresses, marital status, and social security numbers. The specific type of Private Information to be received by Contractor shall be further detailed in the Implementation Statement of Work and subcontractor(s) shall use such information only in accordance with the restrictions stated in Chapter 12M and in this Agreement and only as necessary in performing the Work. Contractor is subject to the enforcement and penalty provisions in Chapter 12M. The parties shall meet and confer annually regarding any changes in Private Information to be received by Contractor. Changes shall be documented in writing through a modification to the Implementation Statement of Work or Maintenance Statement of Work, executed by both parties. Contractor shall make any commercially reasonable modifications to the Deliverables as required to account for any modifications to the scope of Private Information to be received by Contractor. Any change that requires material increase in scope or effort which will require billable hours will be processed through a Change Order.

12.1.2 **Confidential Information.**

In the performance of Work, a party ("Receiving Party") may have access to the other party's ("Disclosing Party") proprietary or confidential information, the disclosure of which to third parties may damage the Disclosing Party. If the Disclosing Party discloses proprietary or confidential information to the Receiving Party, such information must be held by Receiving Party in confidence and used only in performing the Agreement, except as required by law, professional rule or regulation. Receiving Party shall exercise the same standard of care to protect such information as a reasonably prudent contractor would use to protect its own proprietary or confidential information.

12.1.3 **PCI and PHI Information.**

Should the Agreement require future disclosure of Personal Health Information ("PHI") or Payment Card Industry ("PCI") information, the Parties shall enter into a formal Amendment to the Agreement to add PCI requirements and/or a Business Associate Addendum ("BAA"), as appropriate.

12.2 **Payment Card Industry ("PCI") Requirements. (Reserved)**

Article 13 MacBride And Signature

13.1 **MacBride Principles -Northern Ireland.**

The provisions of San Francisco Administrative Code §12F are incorporated herein by this reference and made part of this Agreement. By signing this Agreement, Contractor confirms that Contractor has read and understood that the City urges companies doing business in Northern Ireland to resolve employment inequities and to abide by the MacBride Principles, and urges San Francisco companies to do business with corporations that abide by the MacBride Principles.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

CITY

Recommended by:

Rachel Cukierman
Deputy Director of Administration and Finance

Approved as to Form:

Dennis J. Herrera
City Attorney

By: ______________________________
Louise S. Simpson
Deputy City Attorney

Approved:

Jaci Fong
Director of the Office of Contract Administration, and Purchaser

CONTRACTOR

SAPIENT CORPORATION

Name: Jennifer Lee
Title: Chief Financial Officer

Supplier ID: 000003 6670

Appendices

A-1: Implementation Statement of Work
A-2 Maintenance Statement of Work
B: Calculation of Charges
C: Auto Insurance Waiver

Appendix A-1
Implementation Statement of Work

APPENDIX A1 - IMPLEMENTATION STATEMENT OF WORK
Property Assessment Solution

Table of Contents

1 General Provisions

This Implementation Statement of Work (SOW) is based on the RFP requirements and Contractor responses (as described in Exhibit 6).

1.1 Definitions

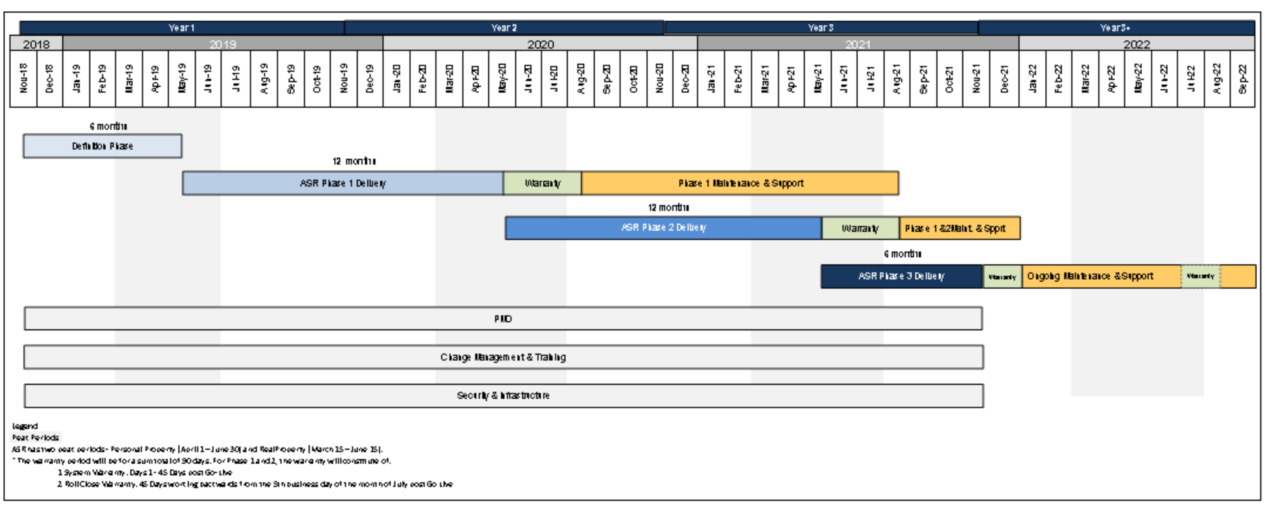
The definitions applicable to this Appendix can be found in Article 1 (Definitions) of the T&C agreement.

1.2 Schedule

The Schedule (high-level timelines with milestones) in Exhibit 13 will serve as the master schedule for the Property Assessment Solution implementation from the Effective Date until a detailed project plan is delivered in Definition Phase 0. The Schedule along with the project plan will be updated and revised as a deliverable in Phase 0 as mutually agreed upon between Contractor and ASR, then maintained and modified as agreed by both parties throughout the Implementation and Post Go-Live Support.

The project plan will include the Salesforce upgrades that are co-ordinated and tested by Contractor. In addition, it includes the Open Source software upgrades that are co-ordinated and tested by Contractor where necessary.

Contractor will work with ASR and make best efforts to use the latest version of Open Source software used on the project.



Roles and Responsibilities

Topic	Contractor	ASR
Implementation Schedule	1. Contractor will develop a detailed project plan during the Definition Phase 0. 2. Contractor will be responsible for maintaining and modifying the Implementation Schedule	1. ASR Project Manager will review and approve

1.3 Critical Milestones

Critical Milestones for the project are listed as follows. Milestone dates are based on the Definition Phase starting on November 12, 2018. Milestone dates are subject to change based on a mutually agreed-to project plan and schedule:

Critical Milestone Number	*Critical Milestone*	*Planned Duration*	*Critical Milestone Date*
1	**Acceptance of all Phase 0 Definition Deliverables**	**6 months**	**May 11, 2019**
2	**Acceptance of all Phase 1 Unsecured Implementation Deliverables**	**12 months**	**May 11, 2020**
3	**Go-Live of Phase 1 Unsecured Implementation Warranty Period**	**90 days - split to cover the roll close**	
4	**Acceptance of all Phase 2 Secured Implementation Deliverables**	**12 months**	**May 11, 2021**
5	**Go-Live of Phase 2 Secured Implementation Warranty Period**	**90 days - split to cover the roll close**	
6	**Acceptance of all Phase 3 Appeals, Web Portal, Customer Service Implementation Deliverables**	**6 months**	**November 11, 2021**
7	**Go-Live of Phase 3 Appeals, Web Portal, Customer Service Implementation Warranty Period**	**90 days - split to cover the roll close**	

Liquidated damages apply to Critical Milestone Numbers 1, 2, 4, and 6.

1.4 Deliverables

1.4.1 Deliverable Acceptance Process

The parties acknowledge that the approval process set forth herein will be facilitated by ongoing consultation between the parties, visibility of Parent and Child DAC Deliverables, and collaboration on key decisions. Any material change to this process must be in writing and executed by both Parties as a revision to this SOW.

1.4.2 Deliverable List

Each Deliverable identified in the SOW and/or Appendix B (Calculation of Charges) must have either a Parent or Child DAC.

1.4.3 Parent and Child Deliverables Per Phase

DACs. The Parties agree, in each Phase, to identify Parent and Child DACs for all Deliverables for that Phase. For clarity, there may be no Child DAC Deliverables in some instances.

Parent DAC Deliverables. Parent DAC Deliverables are defined as Deliverable identified for payment in the Appendix B (Calculation of Charges). Approval of a Parent DAC Deliverable will provide a basis for ASR's payment of that Parent Deliverable.

Conditional Parent DAC Deliverable Approval. Upon written request by Contractor, ASR may provide conditional approval of a Parent DAC Deliverable. Such conditional approval may provide a basis for ASR's payment of that Parent DAC Deliverable as mutually agreed by the Parties. Conditional approval of a Parent DAC Deliverable will not relieve Contractor's obligation to obtain final approval of each Parent DAC Deliverable.

Child DAC Deliverables. Child DAC Deliverables are defined as those Deliverables that must be approved before approval and payment of a Parent DAC Deliverable. Approval of Child DAC Deliverable will not provide a basis for ASR's payment of that Child Deliverable.

Child DAC Deliverable Swaps, etc. ASR and Contractor may mutually agree to swap, move, add, or delete Child DAC Deliverables.

1.4.4 Deliverable Acceptance Criteria

Acceptance of all Deliverables identified in the SOW and/or Appendix B (Calculation of Charges) will be granted if the mutually agreed upon Delivery Acceptance Criteria ("DAC") are confirmed by Contractor and ASR.

The Parties will use their best efforts to mutually complete the DAC for each Deliverable at least 30 days before the scheduled start date for each Deliverable. If this schedule is not met, then upon written notice, Contractor and/or ASR may unilaterally develop the DAC, subject to subsequent approval by the other Party.

The timeline for completing the DAC for each deliverable will be incorporated into the project schedule and managed by both ASR and Contractor during the course of the project.

1.4.4.1 Delivery

Upon delivery of a Deliverable (Parent or Child) from Contractor, including written notice that the Deliverable satisfies its Acceptance Criteria, ASR will review or perform Acceptance Tests on the Deliverable, as applicable, to determine whether the Deliverable conforms to the DAC mutually agreed to by ASR and Contractor. ASR will provide acceptance for a Deliverable per the DAC.

A Deliverable must address all components required by the DAC.

1.4.5 ASR Review Period

Written Deliverables: The ASR Review Period for Written Deliverables shall be five (5) business days, unless otherwise agreed in writing by the Parties. ASR may request interim submission of lengthy Written Deliverables.

Non-Written Deliverables: The ASR Review Period for Non-Written Deliverables shall depend upon the appropriate review process for such Deliverable as mutually agreed in writing by the Parties. In no case shall the ASR Review Period for a Non-Written Deliverable exceed five (5) business days.

ASR Approval or Deficiency Notice: The ASR must notify Contractor in writing by the end of the ASR Review Period either stating that the Deliverable is approved or must provide a notice of deficiencies. If ASR delivers to Contractor a written notice of deficiencies, Contractor must correct such deficiencies as defined in section 1.4.6 Deficiency Correction.

Conditional Approval: Should ASR exceed the ASR Review Period for a Deliverable, Contractor may submit an invoice, as appropriate, and seek conditional approval of such Deliverable pursuant to Section 1.4.3, above, which approval will not be unreasonably denied.

Delay: Should either Party cause a delay to the Project Schedule, the Parties may conduct a root cause analysis to determine the cause of the delay. A delay may give rise to liquidated damages and/or a Contractor Contingency Change Order request.

1.4.6 Deficiency Correction

If ASR provides Contractor with a written notice of deficiencies, Contractor shall resubmit after correcting all deficiencies identified. The ASR Review Period for deficiency correction shall be two (2) business days, unless otherwise agreed in writing by the Parties.

1.4.7 Conditional Approval.

ASR may, but shall not be required to, conditionally approve in writing a Deliverable that contains deficiencies. In any case, Contractor will be responsible for correcting deficiencies that remain outstanding before final acceptance of such Deliverable.

1.5 Contingency Change Order

In all cases in this Appendix A1 where the possibility of fees for additional products, services or usage is referenced (i.e., fees for items and services not licensed or committed as of the Effective date), such additional fees are subject to the terms of Article 3 (Financial Matters) of the Agreement.

Both parties agree that any changes to scope or Implementation Schedule will be assessed and documented with a Contingency Change Order which specifies the anticipated impact to the project in terms of change in scope, schedule, effort, and/or price. A Contingency Change Order, including zero-dollar changes, may be triggered for the following:

1. Change in scope (i.e. new or changed requirements (functional or technical), custom development items, integrations, conversions)
2. Change in requirements (e.g. due to legislative changes or otherwise)
3. Change in specifications of systems requiring integration with the new Property Assessment solution (e.g. switching out integration types)
4. Change to custom developed components of solution (i.e. code changes)
5. Change in timeline that impacts the critical milestone dates
6. Changes in services, including changes to Third Party Software and Data.
7. Additional products such as future/optional products and service items

Other changes or activities not mentioned above will be mutually agreed upon between ASR and Contractor as to whether a Contingency Change Order is required.

The following activities will not trigger a Contingency Change Order:

1. New Releases or upgrades to existing licensed modules
2. Defect fixes
3. Support for business activities occurring on the live system (e.g., portions of the system that may be gone live)

4. Prioritization/reprioritization of mutually agreed-to scope and product backlog by the ASR Product Owners and Project Manager

Where a change is needed, the Contractor will create a Contingency Change Order (Exhibit 1 – Contingency Change Order Template) for review by ASR. If Contractor commences work without an approved Contingency Change Order, then it is accepted as scope of work as defined in agreed-upon SOW. ASR will also fill out any required ASR forms to trigger a Contingency Change Order.

1.5.1 Contingency Change Order (CCO) Process

The following process shall be used for scope, schedule or cost changes. Changes that revise the program budgets to include use of ASR contingency funds are subject to certification of funds by the Controller.

1. Contractor must develop each CCO request using the template (Exhibit 1 – Contingency Change Order Template). Each Contractor CCO request must detail impacts to ASR technical and functional requirements, cost, schedule and resources.

2. ASR's response to each Contractor requested CCO shall either:

   a. Approve the CCO
   b. Disapprove the CCO
   c. Request additional information

3. CCOs and their disposition shall be documented by ASR in Appendix B (Calculation of Charges).

4. CCO's must be executed by the ASR Project Director and the Contractor's designated project representative. CCO's are subject to the Controller's certification of funds.

1. Approved CCOs shall become Changes to the SOW.

Any change that increases the guaranteed maximum price or the contract time must made by Formal Amendment to the Contract in accordance with Article 3 (Financial Matters).

2 Summary of Scope

The Implementation Statement of Work (SOW) outlines the scope of the Contractor's services to perform the Planning, Analysis, Design, Build, Test, Deploy and Post Go-Live tasks of the project (Work or Services) and the mutual agreement of the parties' respective responsibilities for the Project.

The Property Assessment Solution will be developed to meet the requirements in the Functional, Technical in the Requirements matrix (Exhibit 6) and Joint System Integration Plan. ASR and Contractor will validate and refine the Requirements during Phase 0 – Definition. Both parties agree that any changes in Requirements will be assessed and documented with a Contingency Change Order Request where applicable, which specifies any impact to the project in terms of change in scope (additions, exchanges, or reductions), schedule, effort and/or price.

This Appendix A1- Implementation Statement of Work (SOW) outlines the scope of Contractor's services to perform the following 4 Phase implementation and warranty:

2.1 System Modules Functionality

The Definition Phase (Phase 0), which is 6 months in duration, will enable the Contractor and ASR to confirm, understand and prioritize the requirements to finalize the project plan.

Subsequently, the Contractor will design, configure, develop, implement, integrate, migrate data and go live with the following modules:

	Modules
Phase 1 – Unsecured Property Implementation (*approximately 12 months in duration - to be confirmed during Phase 0)*	A. Unsecured Property B. Business Personal Property includes vessels, secured and unsecured accounts and (new electronic BPP statement filing and processing portal) C. Roll Management (Note: Time sensitive and highest priority for roll close by June 30th) D. Possessory Interest E. Exemptions F. Audit G. Dashboards/Reporting H. Prototype (this will occur in the early part of phase 1)
Phase 2 – Secured Property Implementation *(approximately 12 months in duration - to be confirmed during Phase 0)*	A. Ownership and Transfers B. Real Property C. Parcel Management D. Roll Management E. Exemptions F. Dashboards/Reporting

Phase 3 – Appeals, Customer Support and Miscellaneous Items *(approximately 6 months in duration, to be confirmed during Phase 0)*	A. Appeals B. Web Portal C. Customer Service D. Dashboards/Reporting E. Remaining items from the requirements grid (-), appended to this document in Exhibit 6.

2.2 Business Reporting Functionality

Contractor will develop reports and dashboards to fulfill the requirements as listed by ASR in Exhibit 6 as part of the RFP process. Based on subsequent discussions, both ASR and Contractor believe that Salesforce's native reporting/dashboard capabilities will sufficiently fulfill the requirements in Exhibit 6.

Contractor will also provide the appropriate training to enable ASR to create their own new reports and dashboards.

2.3 External System Integrations

Contractor will perform activities to implement system integrations between the PAS system and the following systems:

PAS will integrate with:

1. ASR's Geographic Information System (GIS).
2. ASR's Recorder System
3. ASR's Document Management System (DMS)
4. City's Enterprise Address System
5. Controller/Tax Collector system, to send secured property data to it
6. Controller/Tax Collector system, to send unsecured property data to it
7. Planning Department, to export Parcel Data Characteristics to it
8. Internal ASR Department, to export data (Parcel, Non-Private ownership)
9. Port Authority system, to import data from it
10. Business Tax System, to import data from it
11. ASR's BI/Analytical tool

PAS will have the capability to integrate with:

12. City's Identified Print/Mail Vendor(s) as contracted.
13. State's Board of Equalization (BOE)

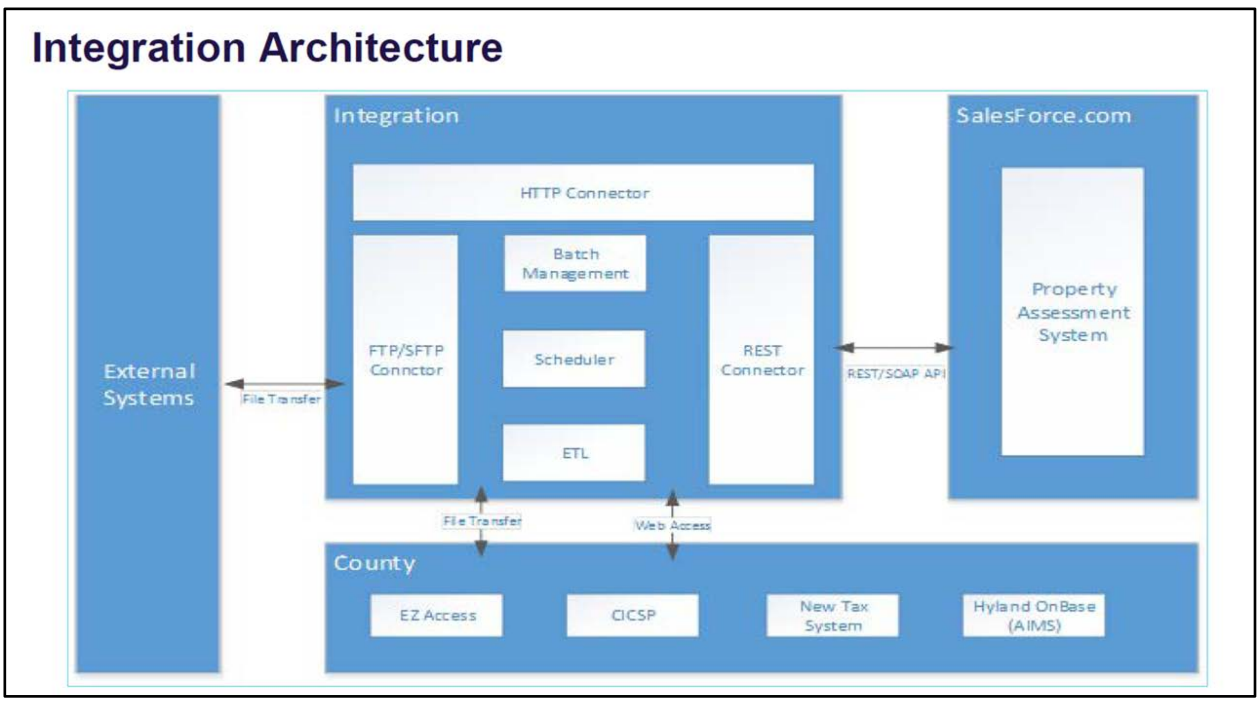
14. City’s Assessment Appeals solution.
15. US Census Bureau System (to validate census tract).
16. Postal Service System (to validate address) or a vendor provided address verification module (such as pitney bowes).
17. City's DocuSign system

For these systems (12 to 17), the contractor will also provide information as how to actually make the interfaces work (for future) using the capabilities that are delivered currently.

PAS - Temporary Integrations

A. One way data transfer from ASR system to EZ for the purpose of reporting/read only within legacy system. The interface will be decommissioned post the last phase of implementation. If during define/design, a need for a temporary two way data transfer is identified to achieve this purpose, it will be included in the design and implementation.
B. Outbound interfaces between ASR and legacy Controller/Tax Collector system until the new Property Tax system will be live.

The following is a high level diagram of the proposed integration architecture (will be revisited with ASR during Definition/Design):



2.4 Legacy Data Migration

Contractor will support the migration of data into the system. Data migration and related activities will occur during each of the Phases. Contractor responsibilities are detailed later in this document.

2.5 Solution Training, User Adoption and Change Management

Contractor will provide training and change management towards a successful user adoption of the solution. Further details on this can be found under section 4.2.12 (Change Management**)**

3 Implementation Sequence

APPENDIX A1 – IMPLEMENTATION STATEMENT OF WORK

	Phase 0 Definition	Phase 1 Unsecured Property Implementation	Phase 2 Secured Property Implementation	Phase 3 Appeals, Customer Support and Miscellaneous Items
Duration	**6 Months**	**12 Months (approx.)**	**12 Months (approx.)**	**6 Months(approx.)**
Activities	**1.** Project Initiation/Kickoff	**1.** Setup Environments	**1.** Setup Environments	**1.** Setup Environments
	2. Project Team Onboarding	**2.** Product Backlog Prioritization	**2.** Product Backlog Prioritization	**2.** Product Backlog Prioritization
	3. Analysis and Design	**3.** Quarterly Planning	**3.** Quarterly Planning	**3.** Quarterly Planning
	Business Process Review	**4. Sprints**	**4. Sprints**	**4. Sprints**
	User Roles / Scenarios	Planning	Planning	Planning
	Requirements Analysis	Grooming	Grooming	Grooming
	Business Rules Definition	Development	Development	Development
	Analysis of Interfaces	Testing/QA	Testing/QA	Testing/QA
	Design Workshops	Demo / Review	Demo / Review	Demo / Review
	Functional Design Doc	System Test	System Test	System Test
	Technical Design Doc	UAT	UAT	UAT
	Epics / User Stories creation	**5. Integration with other Systems**	**5. Integration with other Systems**	**5. Integration with other Systems**
	Setting up Environments	Interface Analysis and Design	Interface Analysis and Design	Interface Analysis and Design
	4. Proof of Concept discussions	Build (Regular and Temp	Build (Regular and Temp	Build (Regular and Temp
	5. Project Planning	QA	QA	QA
	6. Project Schedule	System Test	System Test	System Test
	7. Master Testing Strategy	UAT	UAT	UAT
	8. Integration Strategy	**6. Data Cleansing/Migration**	**6. Data Cleansing/Migration**	**6. Data Cleansing/Migration**
	9. Migration Strategy	Develop the Strategy	Develop the Strategy	Develop the Strategy
		Synergize with Sprints	Synergize with Sprints	Synergize with Sprints
		Data Mapping	Data Mapping	Data Mapping
		Document	Document	Document
		Data Migration (Execution)	Data Migration (Execution)	Data Migration (Execution)
		Data Migration (Reconciliation)	Data Migration	Data Migration (Reconciliation)
		7. End of Phase - Full UAT (Sprints, Integration and Data Migration)	**7. End of Phase - Full UAT** (Sprints, Integration and Data Migration)	**7. End of Phase - Full UAT** (Sprints, Integration and Data Migration)
		8. User Training	**8.** User Training	**8.** User Training
		9. Deployment to Production	**9.** Deployment to Production	**9.** Deployment to Production
		10. Post Go-live support	**10.** Post Go-live support	**10.** Post Go-live support
		11. Phase Closure (including Lessons Learned)	**11.** Phase Closure (including Lessons Learned)	**11.** Phase Closure (including Lessons Learned)
Deliverables	1. Kick Off Presentation (SOW_4.1.2)	1. Environments Established (SOW_4.12)	1. User Stories Developed (configuration and code)	1. User Stories Developed (configuration and code)
	2. Project Work Plan and Schedule (SOW_4.2.5)	2. User Stories and plan confirmed (SOW_5.1.4)	2. Test Plan (SOW_5.3.1)	2. Test Plan (SOW_5.3.1)
	3. Functional Design Document (SOW_4.4.6)	3. User Stories Developed (configuration and code) (SOW_5.1.2)	3. Test Scenarios, Test Cases and Test Scripts (SOW_5.3.8)	3. Test Scenarios, Test Cases and Test Scripts (SOW_5.3.8)
	4. Technical Design Document (SOW_4.4.7)	4. Test Plan (SOW_5.3.1)	4. Documented System Test Results (SOW_5.3.8)	4. Documented System Test Results (SOW_5.3.8)
	5. Integration Specs Document (SOW_4.6.2)	5. Test Scenarios, Test Cases and Test Scripts (SOW_5.3.8)	5. Training Plan (SOW_6.1)	5. Training Plan (SOW_6.1)
	6. System Architecture Document (SOW_4.4.1)	6. Documented System Test Results (SOW_5.3.8)	6. Training Manuals, Guide and Materials (SOW_6.2)	6. Training Manuals, Guide and Materials (SOW_6.2)
	7. Data Conversion Plan (SOW_4.8.2)	7. Training Plan (SOW_6.1)	7. System Implementation Plan (SOW_4.10)	7. System Implementation Plan (SOW_4.10)
	8. Project Scope (Product Backlog and MVP) (SOW_4.3.1)	8. Training Manuals, Guide and Materials (SOW_6.2)	8. System Maintenance, Support and Transition Plan (SOW_11.4)	8. System Maintenance, Support and Transition Plan (SOW_11.4)
	9. Risk Analysis and Management Plan (SOW_4.2.9)	9. Integration (SOW_4.6.1)	9. Release Readiness Evaluation and Reports (SOW_7.1)	9. Release Readiness Evaluation and Reports (SOW_7.1)
	10. Communication Plan (SOW_4.2.13)	10. Data Migration (SOW_4.8.2)	10. Project Status Reporting (SOW_4.2.6)	10. Project Status Reporting (SOW_4.2.6)
	11. Closure Approach Definition (SOW_4.2.14)	11. System Implementation Plan (SOW_4.10)	11. Data Conversion, Synchronization and Reporting	11. Data Conversion, Synchronization and Reporting
	12. Database Design (**First Draft** - Logical Level with Key Entries, Relationships, Attributes) (SOW_4.4.7)	12. System Maintenance, Support and Transition Plan (SOW_11.4)	12. Database Development (SOW_4.4.7)	12. Database Development (SOW_4.4.7)
	13. Project Status Reporting (SOW_4.2.6)	13. Release Readiness Evaluation and Reports (SOW_7.1)	13. Security matrix Documentation (SOW_5.1.6)	13. Security matrix Documentation (SOW_5.1.6)
	14. User Story Acceptance Criteria i.e. "Definition of Done" (SOW_5.1.5)	14. Project Status Reporting (SOW_4.2.6)	14. Change Mgmt Plan (SOW_4.2.12)	14. Change Mgmt Plan (SOW_4.2.12)
	15. Data Mapping (initial draft) (SOW_4.6.2)	15. Managed prototype / Proof of Concept (early in Phase 1) (SOW_4.7)	15. Help Desk scripts (SOW_7.3)	15. Help Desk scripts (SOW_7.3)
		16. Database Development (SOW_4.4.7)	16. Updated Entity Relationship Diagram for Phase 2 (SOW_4.4.7)	16. Updated Entity Relationship Diagram for Phase 3 (SOW_4.4.7)
		17. Security matrix Documentation (SOW_5.1.6)		
		18. Change Mgmt Plan (SOW_4.2.12)		
		19. Reports (SOW_4.)		
		20. Help Desk scripts (SOW_7.3)		
		21. Updated Entity Relationship Diagram for Phase 1 (SOW_4.4.7)		

4 Definition Phase (Phase 0)

This phase will enable Contractor and ASR to confirm, understand and prioritize the requirements to finalize the project plan. Additionally, the following subsections highlight key activities within this phase.

4.1 Project Initiation

A Project Initiation meeting or meetings (Project Kick-Off) to formally notify all Assessor-Recorder and Contractor team members and stakeholders that the Project has begun and to ensure all team members have a shared understanding of their roles and the contract requirements. ASR shall select the location of the Project Kick-Off(s). ASR and the Contractor shall coordinate a mutually agreeable date and time for the Project Kick-Off meeting to occur no more than 30 calendar days after contract execution, unless otherwise approved by ASR.

4.1.1 Project Initiation Plan

The Contractor shall plan the Project Initiation meeting with the ASR Project Manager. The Contractor shall prepare draft material at least 48 hours in advance of the meeting and work with ASR to develop a shared agenda.

4.1.2 Project Kick-off Presentation

The ASR Project Manager will finalize the agenda of one or more Project Kick-Off Presentations and facilitate any questions. The Contractor shall present a portion of the agenda items at meeting(s) to adequately provide ASR and Contractor team members and Project stakeholders with an overview of the Project approach and expectations. The Contractor shall present and facilitate a discussion at minimum, information about the following, which shall later be detailed in the Project Management Plan:

1. Project Scope
2. Vision of Success
3. Critical Success Factors
4. Implementation Methodology, Strategy and Approach (including Agile processes, data migration, integration, phases)
5. Change Management
6. Budget/Cost Management
7. Risk Management Strategy
8. Quality Management Strategy
9. Communication and Status Reporting Approach – including performance measurements and critical success factors
10. Introduction of Contractor key personnel their roles and responsibilities

11. Reporting structure to ASR
12. Overall Project approach and high-level schedule including slated completion of key deliverables
13. Overview of Contractor's Project management processes including initiating, planning, executing, controlling, and closing each phase of the contract

The Contractor shall be prepared to answer questions that arise during the meeting. Any decisions or agreements from the Kick-off Meeting will be documented by the Contractor and submitted to ASR Project Manager for review and acceptance. Any proposed changes to the scope and/or requirements must go through the established ASR change control process.

Roles and Responsibilities

Topic	Contractor	ASR
Project Kick-Off Meeting	1. Contractor shall plan the Project Initiation meeting with ASR Project Manager. Contractor shall prepare draft material for Project Kick Off meeting and develop a shared agenda. 2. Support and participate in the Project Kick-Off(s) meetings	1. Setup location for the Project Kick-Off(s) meeting. 2. Support and participate in the Project Kick-Off(s) meetings 3. ASR Project Manager will review and approve material developed by Contractor. 4. ASR Project Manager will finalize the agenda for one or more Project Kick-Off presentations.
Project Kick Off Agenda	3. Contractor shall present a portion of the agenda items during the Kick Off meeting	5. ASR Project Manager will approve the portion of the agenda items the Contractor will be kicking off.
Kick Off meeting decisions/agreements	4. Contractor will document any decisions or agreements from the Kick-off meeting and submit to the ASR Project Manager for review and acceptance.	6. ASR Project Manager will review and approve documented decisions/agreements from the Kick-off meeting.

4.2 Project Management

The Contractor Project Manager shall be responsible for providing project management services. The Contractor Project Manager will generate and provide project management analysis and information to the ASR Project Director, ASR Project Manager and ASR Product Owners and Executive Steering Committee.

4.2.1 Project Team Overview

The Project Team will consist of the ASR Project Director, ASR Product Owners, ASR Project Manager, ASR Project Leads, ASR BAs, ASR IT SMEs, ASR Business SMEs, Contractor Program Manager, Contractor Project Manager, Contractor Technical Architect, Contractor BAs, Contractor Developers, and as appropriate, other resources team members, administrative staff who represent ASR, Independent Validation and Verification (IV&V) and Contractor. The IV&V will be selected by ASR to assist with project management, oversight and related activities. In addition, the ASR's project team will include a Salesforce Technical Architect (from Salesforce). Contractor will collaborate with IV&V and Salesforce Technical Architect to support related activities.

4.2.2 Project Governance & Escalation Management

<u>Project Governance</u>

The project governance structure identifies how the project should be governed and organized, including executive management, project management and project team personnel. The structure also provides direction for project management, timely decision-making and ultimately, project success.

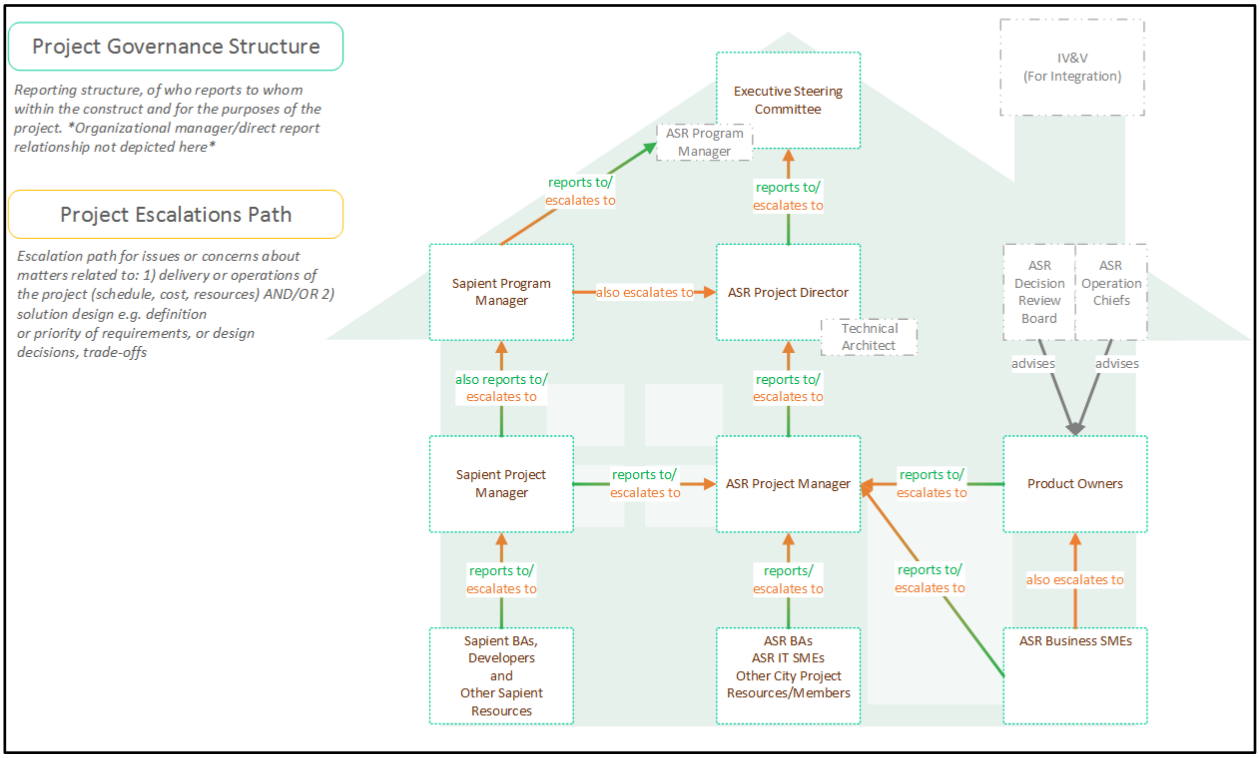
<u>Escalation Management</u>

The Contractor, working with ASR, will define a clear escalation path upfront in the project and make it visible to the entire project team so that there is buy-in from everyone in the project team and the escalation chain, at all levels. We will also leverage consensus and clear goals to empower teams such that escalation is less likely to slow or stall the team while they are gated by a decision. Depending on the type and priority of escalation, the escalation person could be from anyone in the project team. The escalation management process includes the following steps:

1. Formation of escalation team
2. Development of the action plan
3. Execution of the action plan
4. Post-action plan monitoring

There will be several levels of accountability defined with client-level, solution-level and process-level ownership and an ability to resolve escalated issues. Typically a detailed escalation matrix is prepared during the project initiation phase and shared with the entire project team.

The following diagram depicts the initial governance and escalation structure as mutually agreed to by ASR and Contractor:



A brief description of ASR and Contractor project team responsibilities in terms of governance and escalation are provided here:

1. **Executive Steering Committee (ESC)** - The ESC members will include department heads from ASR, Contractor and Salesforce, and potentially other City Departments. The committee will have responsibility for overseeing the strategic governance and ASR-wide deliverables for the project as a whole and major and significant changes (in terms of functionality, schedule and cost) to the project will be approved by this committee.

2. **An Independent Validation and Verification (IV&V)**, along with the Contractor, will report to the ASR Deputy Director of Administration and Finance (ASR Program Manager) with the responsibility for advising the ESC of significant risk factors that could jeopardize the project's delivery, schedule and cost. This group will ensure the project is aligned with Project Management best practices and aligned for project success.

3. **Decision Review Board** (**DRB**) - this board, comprised of ASR business unit managers, will be responsible for reviewing, validating and providing guidance on business design related decisions. They will identify potential areas of concern and provide recommendations. They will communicate design related decisions to their teams and act as change advocates.

4. **Project Team —** The Project Team will comprise of the ASR Project Director, ASR and Contractors Project Managers, ASR Product Owners, Team/Track Leads, Architects, other project team members such as Contractor Developers, ASR and Contractor Business Analysts, and administrative staff. All ASR and Contractor project members who work closely together on a daily basis, and will identify any issues or decision that should be escalated to the Project Team Leaders.

    a. **ASR Project Director** — The ASR Project Director will support the Executive Steering Committee, Decision Review Board, ASR Project Manager and ASR Product Owners with interactions with the ASR's Subject Matter Experts. The ASR Project Director will meet with the Executive Steering Committee to discuss status and high priority risks/issues, and potential changes in scope. The ASR Project Director will also have approval authority on customizations and changes to scope which can be delegated as appropriate. The ASR Project Director escalates issues to the Executive Steering Committee when needed.

    b. **ASR Product Owner** - The Product Owners will be responsible for the design, usability, and quality of the system and is a key decision maker on priorities and design decisions, and works to ensure that all stakeholders, including project SME's, are aligned at each stage of the development lifecycle, as this role is representing the end user's needs. This role will be responsible for understanding and defining the vision of a product from the point of view of the end user. This role is responsible for ensuring the business requirements are satisfied. In addition, this role is collaborative and influential and bridges the gap between the end user and project team and represents the voice of the customer by prioritizing business requirements and Board of Equalization (BOE) rules to ensure that the project team is delivering necessary functionality to all end users. This role will be responsible for reviewing/approving overall business process alignment and change management program, overseeing overall functional capabilities. The ASR Product Owners, with input from the Team/Track Leads, will prioritize business needs and approve, reject, or escalate requested customizations and changes to scope. The Product Owners will also oversee the project's change management program and ensure that overall change management goals are achieved. Major and significant changes (in terms of functionality) to the project will be vetted by the Product Owners. The Product Owner will collaborate with the ASR and Contractor Project Managers to confirm the impact of changes on schedule and cost.

c. **ASR and Contractor Project Managers** - these roles are responsible for project operations and will be identifying, tracking, and escalating risks and issues to the ASR Project Director where appropriate. They are responsible for managing scope, budget and schedule.

d. **Team/Track Leads** – provide daily program oversight over specific teams. They also provide status and escalation of major Contingency Change Order requests to the Project Managers. They will meet with the Project Managers on a weekly basis.

e. **Salesforce Technical Architect** - The Technical Architect will report to the Project Director and will validate the technical architecture of PAS. They will ensure the design is scalable and leveraging Salesforce best practices.

4.2.3 Project Oversight

ASR and Contractor will provide oversight for the entire project as described below:

1. ASR Project Manager and Contractor Project Manager will operate as peers and collaborate to fulfill project management services.
2. All issues and decisions that cannot be resolved or made by the ASR's Product Owners will escalate to the ASR Project Manager who will then make the required decision or escalate further to the ASR Project Director or Executive Steering Committee, which is the final authority. The ASR Project Director and ESC will be responsible for making consultations within ASR as needed.
3. ASR Project Manager review and approval will be required to close milestones and to begin work on the next milestone.
4. The ASR Project Director, ASR Project Manager, ASR Product Owners, and Contractor Project Manager will meet monthly with the Decision Review Board and Executive Steering Committee, and may meet more frequently when necessary to review milestone completion.
5. The ASR Project Director and Contractor Project Director/Manager will set the agenda for all Executive Steering Committee Meetings.
6. Contractor's Project Manager and designated Contractor executives will attend Executive Steering Committee and/or Decision Review Board Meetings and present status, provide analysis and recommendations related to needed decisions or issues requiring resolution, and answer questions that may arise during the course of the meeting. Other Contractor personnel may attend if needed to provide background, analysis, or a presentation on a topic scheduled for a particular meeting. However, the ASR reserves the right to hold meetings or to discuss a particular topic without Contractor personnel or representatives in attendance. In such situations, Contractor’s Project Manager will be notified.

4.2.4 Project Management Plan

The Contractor shall provide a set of documents that, when taken together, constitute the Project Management Plan that describes how the project objectives shall be met and provides a road map for executing the Project. The approach shall be consistent with the Project Management Institute (PMI) Project Management Methodologies stated in the Project Management Body of Knowledge (PMBOK) or equivalent. The Contractor shall use ASR's central repository (Jira and potential other repositories) for all Project artifacts and required documentation identified in the contract. The Property Assessment Solution Project Management Plan shall be maintained and kept accessible in the central repository for Project artifacts.

The Property Assessment Solution Project Management Plan shall address the initiating, planning, controlling, executing, and closing of activities and processes. At a minimum, with the support of ASR staff, the Contractor shall include the following components in the Plan, as defined, and in accordance with the contract requirements.

4.2.5 Project Plan and Schedule

The Contractor shall build out and further define the planned Project schedule that was provided during the Request For Proposal (RFP) process during the Definition Phase 0. The Contractor shall deliver a baseline Project Plan and Schedule, including a Work Breakdown Structure (WBS), Gantt chart(s), and a Project calendar in Microsoft Project and/or agreed-to tools. The Contractor shall document any Project plan or schedule changes from the plan submitted with the Contractor's original proposal. The Contractor shall provide a Project Plan and Schedule to include:

1. Identification of the resources to be provided by ASR, together with the scheduled dates those resources will be required

2. All City holidays and periods that will be observed by the Contractor staff, periods during which the ASR has advised that ASR resources will be unavailable to the Contractor (e.g., blackout periods)

3. A WBS that encompasses all activities from Project Initiation and Planning to Project Closeout. The WBS shall define the Project's overall objectives by identifying all Project tasks and deliverables. Work Breakdown Structure, with indication of Deliverables / Constraints / Dependencies / Assumptions. This WBS is the Baseline Project Schedule and shall include:

    a. A consolidated view of the activities, activity descriptions, and activity durations assigned to ASR, the Contractor, and their sub-contractors
    b. A fully loaded staffing plan, Contractor, and ASR, including all resources identified to each Project activity/task
    c. A list of deliverables tied to Project milestones

   d. A methodology for tracking the actual Project schedule against the baseline Project schedule
   e. Identification and tracking of Deliverable acceptance periods
   f. Identify Project Dependencies

4. Identification of all tasks of the Project, and any proposed sequences of phased functionality (as mutually agreed upon by Contractor and ASR), the duration of the Phases, and the duration of the Project

5. Identification of the critical path activities of the Project, and the criteria used to identify those activities

6. Description of corrective action activities to address schedule variances during the life of the Project; how they are identified and tracked to completion

7. Process, roles, and responsibilities required to making changes to the Project schedule

8. Assignment of resources to the schedule and approach for managing staff and/or equipment availability to ensure completion of deliverables in accordance with contract terms and on schedule

The Project Plan and Schedule, once accepted by ASR, will form the baseline plan and schedule for the overall Project. The Contractor shall maintain and update applicable portions of the Project schedule weekly to reflect the current status of the Project with a comparison made to the initial (as provided in this response to this RFP) and baseline Project schedules.

The Project Schedule shall be consistent with available ASR resources. These resources will be identified by ASR and communicated to the Contractor prior to Schedule development. ASR shall have direct electronic access to the Project schedule as well as all deliverables and working papers for immediate review and coordination of schedules and plans via an agreed sharing and planning tool (ASR currently uses SharePoint and other data sharing methods (e.g., shared drives)).

The Project Plan will outline a plan for the entire project, including: project management activities, tasks, schedules, dependencies, critical paths, responsible parties, roles and responsibilities, detailed staffing plan, Deliverables, estimated work effort, duration, start and end dates, and milestones. The Project Schedule will be in Microsoft Project.

Throughout the project, Contractor's Project Manager will be responsible for monitoring and updating the project schedule on a weekly basis with input from the ASR Project Manager, and revising and developing further detail as appropriate.

The Project Plan will not be used to manage the day-to-day tasks of each project team member. The Project Plan will be supplemented by tools that are mutually agreed upon between ASR and Contractor, including document management and tracking inventories. Where possible, duplication in tracking activities will be minimized to provide the team with an efficient and effective approach to managing deliverables and status. The Contractor and ASR Project Managers will be responsible for day-to-day management of their team. The Contractor and ASR Project Manager will break day-to-day oversight down into manageable tasks and will assign those tasks to team members. The respective team members will report status, risks, and issues to the Project Managers (ASR and Contractor). The Project plan will be updated whenever there is a key change and at the end of each phase by the Contractor's Project Manager with the support of the ASR's Project Manager.

4.2.6 Project Status Reporting

Project Status reporting prepared by the Contractor will include the following items:

1. Scope, Budget and Schedule Baselines

   During the project definition phase, Contractor and ASR will discuss and agree on standard format / template for status reports, including tangible and appropriate metrics. The following metrics will be included at a minimum:

   a. Earned value analysis (EVA) as a tool for monitoring Project progress
   b. Burn rate report
   c. Schedule Performance Index
   d. Budget to Actuals
   e. Float
   f. Latest Start and Latest Finish
   g. Critical Path Task

2. Agreed-to information regarding the project, status, and accomplishments.

3. Agreed-to status meetings (e.g. daily scrums, sprint review, sprint retrospectives). ASR Project manager needs to be invited for all the SCRUM ceremonies (Sprint Planning, Daily standups, Sprint Demo, Sprint Retrospectives) and will attend those meetings as much as possible, subject to time zone and project needs.

The Contractor shall be required to provide, at minimum, a Weekly Status Report. The report shall address overall Project status against the current and baseline (if different) Project schedule. It shall cover progress against plans for the previous review period and identify work planned for the next work period, or longer if circumstances dictate. The periodic Status Report shall address issues and concerns, action items, and other pertinent information needed by the Contractor or requested by ASR as necessary and applicable to that Project task or phase. The presentation of the Status Reports shall be written and/or oral. Contractor Project management staff are expected to attend all Status Report meetings unless otherwise decided by ASR.

The Weekly Status Reports shall include a minimum of the following elements:

1. Milestones reached
2. Schedule Performance
3. ASR Approved Scope Changes
4. Risks/problems identified and a detailed report of the planned or completed mitigation thereof
5. Milestones not met on schedule
6. Milestones or critical path items expected to occur during the next month
7. A listing of departures from the Project Schedule with explanations of causes and effects on other areas, and remedies to achieve realignment
8. Changes to project objectives, scope, schedule, or budget
9. A listing of tasks completed since the last report
10. Updates for previously delayed tasks
11. Any other topics that require attention from the ASR Project Manager and/or ASR Governance Structure
12. Action items and follow-up to action items

Weekly status meetings will be held on a date/time that works for both ASR and the Contractor. The Project Team Leaders and Team Leads as needed from Contractor and the ASR will attend those meetings. ASR and Contractor will collaborate and drive the meeting. Contractor will capture the meeting minutes and discuss the appropriate distribution list with ASR. The weekly status report will drive the discussion.

The ASR Project Manager and ASR Product Owners will be empowered to make decisions on scope on behalf of ASR. If needed, escalation to the Project Director, Decision Review Board or Executive Steering Committee will occur when specific decisions are required or need to be validated, particularly if they relate to considerable changes in scope, schedule, or budget. Appropriate representation from ASR and Contractor will attend these meetings. The ASR Project Director with the support of the ASR Project Manager, Contractor Project Manager and Product Owners will be responsible for the development of the Steering Committee and Decision Review Board presentations and will drive the meetings. The Contractor Project Manager, ASR Project Manager and Product Owner will provide assistance in developing the presentation.

4.2.6.1 Schedule Updates

Contractor will provide updates to the Schedule on a weekly basis throughout the project to accurately reflect the status of activities, tasks, events, Services, and projected completion dates for such activities, tasks, events and Services. Any such update changes must be agreed upon by the ASR prior to their final incorporation into the Schedule. Changes to the phased milestones dates (e.g., Phase 0, 1, 2 and 3) will follow the Contingency Change Order process. Contractor shall collaborate with the ASR's Project Manager to confirm the Schedule contains all Contractor tasks and is accurate.

Roles and Responsibilities

Topic	Contractor	ASR
System Implementation Strategy	1. Contractor will develop a System Implementation Strategy.	1. ASR Project Manager will review and approve the System Implementation Strategy with buy-in from the ASR Product Owners.
Communication Plan	2. Contractor will develop a Communication Plan.	2. ASR Project Manager will review and approve the Communication Plan.
Weekly Status Report	3. Contractor shall be required to provide, at minimum, a Weekly Status Report. 4. Contractor will create status report template. 5. Conduct weekly status meeting 6. Provide input and attend Executive Steering Committee & Decision Review Board meetings & presentations	3. ASR Project Manager will review and approve 4. ASR Project Manager will create Executive Steering Committee & Decision Review Board presentations 5. ASR Project Director will approve Executive Steering Committee & Decision Review board presentations
Status Report Meetings	7. Contractor Project Manager is expected to attend all Status Report meetings and collaborate with ASR Project Manager on updates.	6. ASR Project Manager is expected to attend all Status Report meetings and collaborate with Contractor Project Manager on updates.
Project Plan Updates	8. Contractor will maintain and update the project plan on a weekly basis.	7. ASR Project Manager will provide updates to Contractor Project Manager on activity and responsibilities of ASR.

4.2.7 Project Resourcing

During Phase 0, Contractor and ASR will work together to make appropriate finalization to the ASR team structure and Contractor will work collaboratively with ASR to keep the charts updated if they change during implementation.

4.2.7.1 Staffing Levels

The projected staffing estimate is included in Exhibit 5 (**Project Staffing Chart**) provides the required staffing levels for Contractor and ASR per role and per phase. This document also outlines the projected staffing levels for each role on the Contractor and local business enterprise (LBE) Subcontractor teams. Contractor is responsible for ensuring delivery of implementation regardless of Contractor staffing levels.

Staff that is required to fix items from a previous phase should not be pulled off the next phase to resolve to the extent possible.

Contractor will staff the project with additional resources as necessary to complete the responsibilities as outlined in the SOW.

4.2.7.2 Staffing Experience

In addition, the Contractor staff will include Solution Engineers and Consultants with experience on the Salesforce platform.

4.2.7.3 Resource Location

Contractor resources will perform work at ASR locations in San Francisco and Contractor locations in the US and India. No Private or Confidential Information or Production Data may be transmitted to or stored offshore.

4.2.7.4 Team Membership

The Contractor shall define and document their planned Team Membership that is aligned with the proposed Project Schedule. The Contractor shall identify the roles and responsibilities for staffing all Project activities, including identifying the resources the Contractor and ASR will provide to successfully fulfill the requirements of the RFP.

Contractor shall define and maintain an Organization Chart. A projected Organization Chart is included within Exhibit 14 **(Organization Chart**) that defines the breakdown of team members for Contractor, ASR and local business enterprise (LBE) Subcontractor team members engaged in project and support delivery.

4.2.7.5 Key Personnel

The following Contractor resources are Key Personnel and will be on-site in San Francisco, California during key phases of the project. Contractor will confirm resources 30 days prior to the agreed-to start date of the project:

1. Client Partner – Krishna Kosuri

Role: 10 - 15 years experience partnering with client and working on key programs. Ensure the appropriate roles and resources are allocated to the team. Ensures ASR's expectations are being met or exceeded. Escalation point for help and support.

2. Project Manager – Sheri Yam
   Role: 8 - 10 years experience in project management. Creation and maintenance of project plan. Iteration Planning. Status reporting. Risk & Issue Tracking. Backlog Management with the Client Product Manager. Offshore Communication Management.

3. Functional Lead - – Joe Hamlet
   Role: 8-10 years experience leading functional aspects of a system implementation. Primary facilitator of analysis and design sessions. Provide guidance and direction to team of onshore/onsite Business Systems Analysts. Provide quality assurance on deliverables. Provide subject matter expertise on the appropriate use of the Salesforce platform.

4. Legacy System SME – John Bodden, James Agnew
   Role: Experience in Legacy System. Provide subject matter expertise re: the legacy system as needed. Ensure data from legacy system is properly transitioned to new solution

5. Offshore Application Development Lead – Gajendra Singh Rao
   Role: 8 - 12 years experience in building and integrating systems. Provide oversight, guidance, and direction for all application development activities and team members. Evaluate and ensure the appropriate levels of throughput from the team. Facilitate scrum meetings. Escalation point for resolution of technical issues.

6. Solution Architect – TBD
   Role: 8 - 12 years experience in building customer facing systems. Generate and maintain overall solution architecture that fulfills business needs. Ensure team understands and fulfills solution architecture. Provide assistance during issue resolution. Provide subject matter expertise on the appropriate use of the Salesforce platform.

7. Lead Property Assessment SME – Alan Petersen
   Role: Expertise in the Property Assessment space. Provide subject matter expertise on business capabilities and functions during analysis and design discussions. Review and provide feedback on analysis and design-related deliverables. Assist team during QA activities to ensure solution fulfills business needs and requirements.

4.2.8 Cost/Budget Breakdown

Contractor will provide a breakdown of costs/budget in preparation for the Executive Steering Committee meetings.

4.2.9 Risk Management

Contractor will lead risk management activities and tracking with the active participation of the ASR in the process. The Contractor Project Manager will develop and maintain a Risk Management Plan that shall include a Risk Register. The Risk Register will identify key risk elements and rank these risks based on the probability of occurrence and impact should the risk element be realized. The Risk Register will also include mitigation measures to monitor identified risks.

The Contractor Project Manager will update the Risk Register to report on the status of identified risks and any proposed or implemented risk mitigation activities. The updated Risk Register shall be reviewed on a monthly basis, unless a risk element occurs, in which case it shall be reflected in the updated risk register which shall be provided as part of the weekly status report.

The Risk Management Plan will include the following:

1. Identification of Project risks
2. Assessing the severity and probability of each identified risk
3. Identifying the potential impact of each identified risk, develop risk response plans for each identified risk, and how a risk will be reassessed once a response is received or put in motion
4. Providing guidance for assessing the efficacy of risk mitigation actions
5. Description of work products and processes for assessing and controlling risks
6. Detailed escalation mechanisms for risks
7. Risk and Issues Log, to be updated weekly
8. Risk and Issue Escalation Plan
9. Issues and Action Item Process that describes how unanticipated issues, action items, and tasks are assigned to a specific person for action and are tracked to resolution, and documents the following:

    a. Description of Issue and/or Action Item
    b. Priority of Issue and/or Action Item
    c. Status of Issue and/or Action Item (e.g. open, pending, under investigation, resolved)
    d. Plan for resolution
    e. Identification of individual responsible for resolution, including anticipated use of ASR staff or other resources
    f. Targeted resolution date
    g. Actual resolution dates
    h. Resolution action

4.2.10 Issue Management

Contractor will lead issue management activities with the active participation of the ASR in the process. The Contractor Project Manager will develop an Issue Management Plan with input from the ASR Project Manager. The Plan shall identify the processes for issue identification, tracking, resolution, and approval if required. The Plan also incorporates the incident management procedures as they relate to the problems and issues. It addresses responsible parties and specific steps to address issues or disputes that arise throughout the implementation.

Issues that arise during the project will be logged in the Issue Tracking Tool (potentially JIRA) reviewed and monitored on a weekly basis. The Project Team will lead the implementation of an issue management process that focuses on early issue identification, tracking and reporting, prioritizing and analyzing, escalation and prompt resolution procedures. The Contractor Project Manager and ASR Project Manager will agree upon open "Critical" and "High" issues that should be included as a subsection on the weekly track status reports.

4.2.11 Quality Management

Contractor's Quality Assurance approach combines leading industry practices with internal proprietary practices that provide:

1. Tools to evaluate quality and monitor performance
2. Processes that help to provide an early warning/detection system to identify and address issues
3. Standard quality methodologies and performance metrics
4. Quality reviews throughout the lifecycle

The approach includes layers of quality review, client satisfaction surveys and adherence to quality guidelines and standards.

The Quality Assurance approach includes the following major activities:

1. Develop quality guidelines for development and testing
2. Conduct monthly Process and Project Quality Assurance (PPQA) reviews
3. Conduct annual client satisfaction survey
4. Conduct Expectations Management sessions with ASR Managers
5. Work with ASR Departments to ensure adoption of and adherence to project QA standards.

4.2.12 Change Management

4.2.12.1 Project Change Management

The Contractor must detail the approach and plan to meet the complex Change Management needs and associated tasks that are part of a large scale system implementation Project.

4.2.12.2 People Change Management

The People Change Management team will be responsible for activities that will help to prepare the ASR Departments and users for transition to and the use of the new System. It includes activities in the following areas:

- Communications
- ASR Readiness, including existing and new roles
- Knowledge Transfer/Readiness of Support Team
- Training

The Change Management team will be comprised of representatives from the ASR project team and Contractor.

Major Activities

The Change Management team will utilize the Contractor's SuccessPath Change Management methodology uses a four step process which will look to build an agency paradigm of change for ASR. SuccessPath will consider the traditional areas of Change Management including communication, adoption and acceptance through its Plan and Execute stages. Additionally, additional stages will be added before and after traditional change management best practices to enhance the adoption, and ultimate success. Contractor Change Management Lead will work closely with the ASR's Project Manager and ASR Product Owners to carefully assess all the opportunities to promote successful change, while addressing the defined areas where change will be challenging.

Level Setting for Change and Its Outcome

At the beginning, Contractor will execute a Level Set stage with ASR, which defines baselines, ground rules and key players who are instrumental for change. In the final stage, our Evolve stage, Contractor looks at performance and adoption. This is executed at defined milestones after the implementation has been completed.

The following approach will be adopted:

1. Simplistic: Contractor will create plans and artifacts with ASR in a simple and digestible way to ease the change process.
2. Repeatable: Contractor will work with ASR to make the change processes repeatable to enhance productivity for the ASR during the change and its various phases.
3. Defined: Change will be defined at the start of the project by the Contractor working with ASR; ground rules will be established so that the type of change is understood. How the application will be used will also be clearly understood to increase the adoption rate.
4. Involved: Contractor will encourage ASR users to be involved early, rather than when the application is released, to help them feel like a valued part of the process rather than a recipient.
5. Assured: Milestone-based health checks will be performed throughout the process to ensure change and adoption are occurring in concert with the implementation.

SuccessPath's Four Steps

Contractor's SuccessPath Change Management methodology transitions through four steps to meet the needs of change, training and adoption success.

Level Setting Stage
This initial strategy phase will focus on aligning business goals with project goals, and will define the expectations both at a managerial and end user level.

Change Management Orientation	A 30 minute orientation on change management for those unfamiliar with change management, its processes and artifacts
Executive Interviews	A series of 30-60 minutes interviews with key stakeholders to understand their needs and their options on change and ability to change in the organization
Executive Alignment	A workshop to present findings from executive interviews and to propose the final direction change management will have for before, during and after project
Ground Rules Session	A workshop session which concentrates on how executives and managers want change to be managed. This includes how performance and usage will be defined, monitored and used to increase acceptance to change, adoption and overall performance of the new application
Baselining	Defining where your organization stands right now in reference to performance, usage and organizational need. This will be later used to understand your current state and success after the project has been released

Planning Stage

Working with the ASR Project Manager and ASR Product Owners, Contractor's Change Management Lead will lead this phase to define ASR plans and team optimization. Different areas of change management will be specified and planned for, including communication, training, resistance, and overall change management.

Change Management / Engagement Plan	An encompassing plan which looks at the areas of change management which will be addressed before, during and after the project has been completed. This plan includes the logistics, operations, technology management and usage, management alignment, user group organization, resources, costs, milestones and team optimization and usage
Communications Plan	A comprehensive plan noting communications which will be performed during the lifecycle of the project. This includes what mediums will be used, when communications will be executed and to which audience communications will receive the communications
Training Plan	This plan details the training approach, the training method either (virtual, live or both), who will be training (train the trainer of professional trainers), languages used, training deliverables, training milestones, and the training schedule
Resistance Plan	A plan which details possible scenarios of resistance in your organization and the steps to deal with resistance. The plan will also cover best practices to reduce resistance in the organization to the change

Execute Stage

This is the stage where all the careful team planning will come to fruition. After working jointly with the ASR Project Manager and ASR Product Owners to discover and plan for managing the change process, Contractor will move through the execution of each of the plans, as exemplified below.

Management Alignment	A series of meetings, processes and communications which aligns the management in their execution and management of the people, process and technology involved in this change
Resistance Management	Proactive management steps to take in case of resistance situations
Communications	Communications of project status, news and updates on functionality and process throughout the project (via email, Internet or other forums)
Curriculum & Materials Development	Training Materials including Training Presentation, Training Manual, Train the Trainer Guides, Quick Reference Cards and Training Skills Development Guides
User Training	Training delivered via Train the Trainer or by a professional trainer via remote or live venues

Evolve Stage

In the Evolve phase, Contractor will work jointly with the ASR Project Manager and ASR Product Owners to evaluate the status of success of the project via usage and performance metrics. If deemed necessary by the ASR team, Contractor will also fulfill advanced training needs and perform adoption and performance health checks at defined milestones following the release.

Roles and Responsibilities

Topic	Contractor	ASR
Assess all the opportunities	1. Contractor's Change Management Lead will assess all	1. ASR Project Manager will review and approve opportunities to

to promote successful change	the opportunities to promote change and define areas where change will be challenging.	promote change and where change will be challenging.
Level Set stage	2. Contractor will execute a Level Set stage to define baselines, ground rules and key players who are instrumental for change.	2. ASR Project Manager will review and approve.
Planning Stage	3. Contractor will define ASR plans and team optimization. This includes planning for communication, training, resistance and overall change management.	3. ASR Project Manager will review and approve.
Execute Stage	4. Contractor will execute change management plan	4. ASR Project Manager will review and approve.
Evolve Stage	5. Contractor will evaluate the status of success of the project via usage and performance metrics.	5. ASR Project Manager will review and approve.

4.2.13 Communication Plan

The Contractor shall fully define and document the Communication Plan that describes the Contractor's roles and responsibilities regarding communications with the Contractor's immediate Project team, subcontractors, and ASR including:

A. Communication protocols
B. Communication mode and format
C. Communication content
D. Communication frequency
E. Audiences

The following diagram generally describes the Contractor's approach towards the project communication framework which is defined during the project initiation with ASR:

	Status Reporting	Issue Resolution	Deliveries & Releases	Reviews
Artifacts	• Status Reports • Action Plans • Updated Support Plan • Ticket Updates • Problem Analysis	• Issues Log	• Delivery Documents • Release Notes	• Review Comments Logs • Addendum to Deliveries
Mechanisms	• Ongoing / Daily Communication • Workshops • Checkpoints • Regular Status Calls • Steering Committee Meeting	• Issue Tracker • Onsite Lead – Single Point for Issue Resolution • Regular Status Calls • Steering Committee Meeting	• Use of CM Tool to Track Deliverables • Delivery Made Through Secure FTP / Shared Servers	• Use of CM Tool to Track Deliverables • Review Meetings with Onsite Lead
Models	Daily Email Updates			
	Audio / Video Conferences			
	Minutes of Meetings / Quality Reports			
	Pager / Mobile for Key Personnel (support emergency cases)			
	Ticketing System			

Contractor's methodology is designed to facilitate continuous customer engagement and full transparency among all the stakeholders to demonstrate visible progress throughout the lifecycle of a project. Contractor will establish regular communications and meetings with key client stakeholders to review scope, discuss risks and resolve issues. This includes regular communications and meetings with the ASR Project Director, Decision Review Board, ASR, Program Manager, and Executive Steering Committee.
Regular status reporting will provide for:

1. Visibility into the speed of execution and accomplishments to date
2. Ability to influence the direction of the project in real time and correct miscommunications
3. Visibility into important issues and their resolution

Some of the Contractor's key activities to ensure full transparency of status of delivery for ASR includes:

1. Coordinate the overall project communication plan
2. Develop and implement a communication plan which includes defining integrations, meeting schedules, reports schedules, standards and communication prerogatives
3. Collect and distribute information through established and defined communication channels
4. Provide a first escalation point for the project
5. Enable agreement on empowerment and escalation practices, and indicators of progress in making timely decisions
6. Ensure alignment of teams and stakeholders around the path to successful completion and actions needed to stay on track

The following approaches will be used to effectively manage the Contractor's team and ensure ASR is properly informed of the project status as well as issues and risks:

1. Team meetings once or twice daily to review status and schedules as well as team morale and synergy
2. Client workshops and checkpoints to review requirements, functionality, scope, usability and technology, and to validate decisions that have been made by team segments
3. Weekly status reports and client checkpoints to review current project status, open issues, next steps and risks
4. Executive Steering committee/governance/Decision Review board meetings once or twice per month to review the project status including scope, issues, the project plan and other critical topics

4.2.14 Closure Approach

The Contractor shall define and document the Closure Approach (for any proposed Phases, the Implementation work, and the Project) in accordance with the requirements of this RFP.

Roles and Responsibilities

Topic	Contractor	ASR
Project Work Plan	1. Contractor will create the project work plan.	1. ASR Project Manager will assist with the creation of the project work plan and ultimately approve this deliverable.
Monitor and update the Project Work Plan	2. Contractor will routinely monitor and update the project work plan.	2. ASR Project Manager will assist with routine monitoring and updating of the project work plan
Capture actual hours	3. Contractor will capture actual hours worked and estimates to completion	3. ASR Project Manager will review and approve.
Project Metrics	4. Contractor will report on project work plan metrics (includes tracking of customization)	4. ASR Project Manager will review and approve.
Property Assessment Solution Project Management Plan	5. Contractor will provide a set of documents that will constitute the Property Solution Project Management Plan (see section 6.1.1.3) Contractor shall use ASR's central repository (ASR's	5. ASR Project Manager will review and approve

	SharePoint) for all Project artifacts and require documentation identified in the contract.	
Project Status	6. Contractor shall document and distribute a project status report	6. ASR Project Manager will contribute to the creation of the Project Status report based on ASR's responsibilities
Team Membership	7. Contractor shall define and document their planned Team Membership that is aligned with the proposed Project Schedule	7. ASR Project Manager will review and approve. ASR Project Manager will define and document the ASR team structure to support the Contractor team and also complete the ASR project responsibilities.
Project Plan	8. Contractor shall deliver a baseline Project Work Plan and Schedule, including a Work Breakdown Structure (WBS), Gantt chart(s), and a Project calendar via Microsoft Project and/or agreed-to tools.	8. ASR Project Manager will review and approve
Change Management Plan	9. Contractor must detail the approach and plan to meet the complex Change Management needs and associated tasks that are part of a large scale system implementation Project.	9. ASR Project Manager and ASR Product Owners will review and approve
Contingency Change Order Request Approach	10. Contractor will confirm understanding of existing Contingency Change Order request process.	10. ASR Project Manager will review existing Contingency Change Order Request process with Contractor and ASR Product Owners.
Closure Approach	11. Contractor shall define and document the	11. ASR Project Manager will review and approve

	Closure Approach (for any proposed Phases, the Implementation work, and the Project) in accordance with the requirements of this RFP.	
Risk Management Plan	12. Contractor will create the Risk Management Plan	12. ASR Project Manager will assist in creation of risk management plan. ASR Project Director will ultimately approve.
Risk Tracking	13. Contractor will create risk tracking document.	13. ASR Project Manager will assist in creation of risk tracking document and ultimately approve.
Risk Tracking Review	14. Conduct Risk Tracking Document review meeting on at least a monthly basis	14. ASR Project Manager will collaborate and support the review meeting.
Identify risks and mitigation	15. Contractor will identify risks and mitigation activities 16. Contractor will prioritize risks with ASR. 17. Contractor will execute mitigation plan with ASR. 18. Report on major risks in the weekly status report	15. ASR will identify risks and mitigation activities 16. ASR will prioritize risks. 17. ASR will execute mitigation plan. 18. Report on major risks in the weekly status report
Risk Management Plan	19. Contractor will create the Risk Management Plan	19. ASR Project Manager will assist in creation of risk management plan. ASR Project Director will ultimately approve.
Issue Management Plan	20. Contractor will create the Issue Management Plan.	20. ASR Project Manager will assist in creation of Issue Management Plan and ultimately approve.
Issue Tracking Tool	21. Contractor will create the issue tracking tool.	21. ASR Project Manager will assist in creation of issues tracking document and ultimately approve.

Identify issues and resolutions	22. Contractor will identify issues and resolution activities 23. Contractor will prioritize issues. 24. Contractor will execute resolution plan. 25. Report on major issues in the weekly status report	22. ASR will identify issues and resolution activities 23. ASR will prioritize issues. 24. ASR will execute resolution plan. 25. Report on major issues in the weekly status report
Quality reviews	26. Contractor to conduct quality reviews per the project plan.	26. ASR to assist with quality reviews per the project plan. 27. Respond to the annual client satisfaction survey

4.3 Requirements Analysis

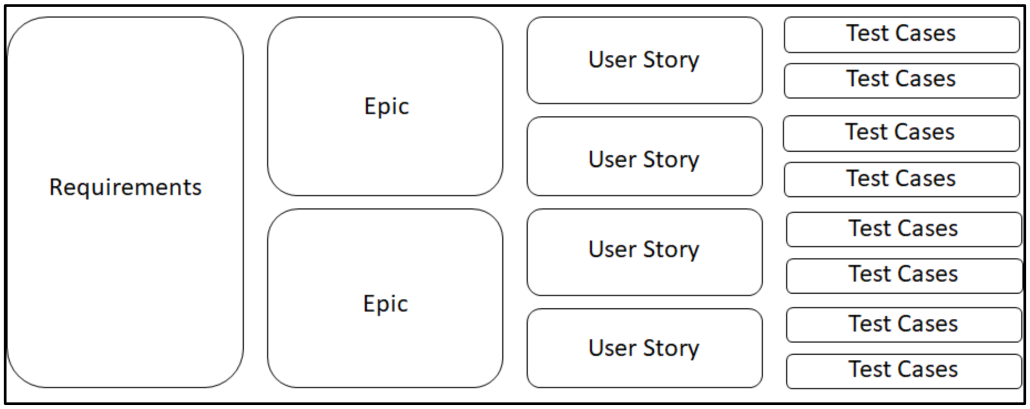
4.3.1 Requirements & Business Process Review

Contractor will work with ASR project team to review the business requirements and business process flows during the Definition Phase to confirm understanding of ASR needs. Contractor will provide the following deliverables as outputs of this review process:

1. Requirements grid updated with details, such as granularity and dependency references
2. Process flow diagrams updated with details such as granularity on lower processing
3. Creation of Story Epics

4.3.2 Requirements Traceability Matrix (RTM)

The Contractor shall provide a Requirements Traceability Matrix that will ensure traceability and fulfillment of ASR's specific functional, non-functional, and contractual requirements as outlined in the RFP. As part of each User Story, Contractor will associate the requirement(s) and epics the User Story fulfills. In addition, the Requirements Traceability Matrix will identify the test case document reference. See Exhibit 8 for an example of the Requirements Traceability Matrix format. As part of the requirements review process, Contractor will produce a detailed report with this information for ASR to confirm that all requirements are being addressed. This information is also tracked in Jira/Confluence, which allows for easy reporting and identification of specific requirements as part of the Build Phase. Whether the requirement is related to a User Story in a Sprint or in the Product Backlog there is visibility back to the original requirements.



Roles and Responsibilities

Topic	Contractor	ASR
Requirement Traceability Matrix	1. Contractor will develop and maintain a Requirement Traceability Matrix	1. ASR Project Manager will review and approve.

4.4 System Design

4.4.1 Architecture Design Review

Contractor will perform an architecture design review during the Definition Phase. Contractor will provide the following deliverables as outputs of this review process:

1. Architecture diagram updated with details confirming design
2. Identification of environments required for development and testing

Topic	Contractor	ASR
System Architecture	1. Contractor shall develop a System Architecture document	1. Salesforce Technical Architect from Salesforce and ASR Project Manager will approve the System Architecture document.

4.4.2 Systems Analysis & Design Methodology (SADM)

The system will be designed, to the extent possible, to allow for legislative changes to be a simple configuration or business rule changes with minimal code changes.

The Contractor shall provide a documented design approach and methodology to be followed when designing any new functionality to be developed, or to guide the configuration of the existing packaged system product. The document shall also identify the approach to conduct knowledge transfer and provide hands-on experience for identified ASR staff during the course of the SDLC. The development of the methodology shall consist of the following tasks:

1. Develop a draft Systems Analysis & Design Methodology document that identifies the process to manage any necessary functionality/capability development and configuration activities based on functional and technical specifications. The methodology shall clearly define the inputs and outputs for the design process, define the expected deliverables for the development team, and define the roles and responsibilities of the design team
2. Review draft methodology with the appropriate stakeholders
3. Prepare final methodology document

4.4.3 Design Workshops

In order to ensure that the Contractor fully understands the System requirements, the Contractor shall conduct and lead design sessions with appropriate staff from ASR. The Contractor shall conduct Joint Application Design **(JAD)** sessions to fully explore and understand existing Property Assessment System component functionality that the Contractor shall be leveraging for the new system, and to identify any gaps that the Contractor shall address in order to comply with the requirements identified in this SOW and the contract. Based upon the outcome of the JAD sessions, the Contractor shall document in detail the design, development, and configuration actions necessary to fully meet Property Assessment System requirements.

4.4.4 Joint Application Design (JAD) Sessions

A series of Joint Application Design (JAD) sessions will be conducted for each functional area. The steps used to prepare and conduct the JAD will be as follows:

- Contractor business analysts will prepare a schedule of JAD sessions organized around the identified business processes. This inventory of business processes becomes the foundation for the organization and scheduling of the Joint Application Design sessions.
- ASR will identify the appropriate ASR JAD participants and send invitations with sufficient lead time. While preparing for the JAD sessions, the audience will be identified and invitations sent out in advance. The ASR Product Owner and ASR Project Manager will want to identify a mix of JAD participants that represent a variety of ASR Department needs, including both functional and technical SMEs from the ASR Departments.
- Contractor will prepare for the JAD sessions, leveraging existing To-Be process documentation. The teams will review existing process documentation to become familiar with current ASR processes and work done to date to identify and document To-Be business processes. Contractor will update existing To-Be process documentation as necessary (e.g., To Be process flow diagrams, and To Be use cases documentation or User Stories). The teams will prepare agendas and scripts to plan and prepare for how the functionality will be demonstrated to the participants and how the user stories will be reviewed. The

Salesforce environment and supporting documentation will be used to support the To-Be processes.

- Contractor will conduct the JAD sessions and identify gaps between the requirements, To-Be business processes and delivered functionality. The Functional Team will use the live software and the configuration to explain how the business processes work in the delivered environment. The applicable user stories will be reviewed, and gaps will be identified.

4.4.5 Fit/Gap Analysis

- Document possible solution options for the identified gaps. After a JAD session is complete, the team will review the gaps and identify possible solution options for resolving the gaps. Possible solutions may include a business process change, a modification to the user story, a work around, a policy change or a modification to the software.
- For gaps where modifications are proposed, estimate the modification effort and prioritize the modification. For gaps where modifications are proposed, the teams will estimate the modifications. The ASR Product Owners will assign a priority to the modifications along with any appropriate justification for the modification.
- Contractor will document the results of the fit/gap analysis.

The proposed modifications arising from the JAD process will follow the standard documentation and approval process as described in this document. Approved modifications will be documented in the inventories of reports, interfaces, conversions, extensions, and workflows (RICEW objects) needed to meet the System requirements. The inventory of approved modifications will become the basis for the modification designs and build documents to be developed throughout the course of the Project.

At the end of the phase, the Project Work Plan will be updated to reflect any scope changes.

4.4.6 Functional Design Document (FDD)

Prior to the creation of detailed design or the start of any development/configuration, the Contractor shall develop and provide a comprehensive Functional Design Document to ASR, based on the requirements in the contract and interviews with ASR management and operations staff. The purpose of this document is to demonstrate that the Contractor has a strong understanding of the Property Assessment System requirements and a well-defined vision of how the Property Assessment System should be designed, developed, configured, and implemented. This document shall include all System requirements that have been included in this Scope of Work and address how they will be designed and developed.

The Functional Design Document should incorporate plans for the first functionality to be designed, developed, and deployed as a managed prototype phase. The managed Proof of Concept (POC) may include data migration and potential interfacing with other systems. ASR will review the managed POC experience and outcomes to ensure the established plans and approach for implementing the system appropriately address ASR's holistic needs. Any resulting areas for improvement should be addressed before beginning full system design and development/configuration.

The Contractor shall lead and facilitate the process for developing the Functional Design Document. This process should:

1. Provide a detailed description of the business processes and the functionality the Property Assessment System will provide, including a validation of the functionality described in the Property Assessment System "Future State" Workflows (Assessor Process Flows) and Use Cases (Assessor Use Cases) as well as the Property Assessment System response matrices (Functional and Technical) (all in Exhibit 6)
2. Provide a detailed description of all workflows identified during the planning phase of the Project
3. Perform on-site interviews with key ASR stakeholders to understand how the desired functionality will be translated into software requirements
4. Conduct joint meetings with ASR's Project team and Subject Matter Experts (SMEs) to validate the desired functionality
5. Analysis of existing artifacts and working documents/systems to identify legacy business rules, formulas, and decision support rules embedded in current systems and tools
6. Develop functionality groupings and provide a description with a detailed breakdown of functionality by proposed grouping and any proposed implementation phases
7. Review draft functional design document with the appropriate stakeholders, allowing time for those stakeholders to return comments or clarifications
8. Prepare final functional design document based on updates from appropriate stakeholders
9. When functional design document is accepted by ASR, Contractor will update as needed the workflows, use cases, and requirements

The Contractor shall provide a **Functional Design Document** that will include the following sections below. Please see Exhibit 10 for a sample representation of this deliverable.

1. The business processes and the functionality the Property Assessment System will provide (by phase, if relevant to the proposed approach)
2. Details on the requirements supported by the proposed Property Assessment System, any existing ASR system components that may be leveraged to meet requirements, and which System requirements/components will be newly developed based on a business process gap analysis
3. Business rules definition.
4. Reporting capabilities and pre-built reports. Identifying reporting and dashboard needs.
5. User profiles and security role permissions.
6. System functionality included in Exhibit 6 - Requirements Response Matrices. This would be leveraged as input into the Requirements Traceability Matrix.

7. System overview diagrams illustrating which system components provide what functionality, linking back to the workflows, use cases, and functional requirements.
8. A maintainable list of workflows mapped to business processes and use cases mapped to System requirements.
9. User integration screens for the system.
10. Identification of functions or user roles that initiate workflow receives the workflow, and any processes that occur as a result of the workflow.
11. List of assumptions made during the design as well as recommended next steps and required actions that shall be confirmed by ASR before development/configuration.
12. A comprehensive list of functional specifications to implement the functionality required.
13. Recommendations on how to close specific gaps that require changes to ASR's business processes, including database diagrams, workflow diagrams, process flows, and/or use cases.
14. A breakdown of the functionality by any proposed Phases, including temporary integrations, data migration approach
15. Any initial concepts for screen design, potentially including storyboards and the expected flow of work relative to the screens
16. Description of a proposed managed prototype phase to validate the solution and implementation approach
17. Defines a conceptual architecture that will produce a design to fulfill Property Assessment System stakeholder's functional expectations
18. Defines a logical architecture model, including defined integrations, data field definitions, and validation rules
19. Defines the data architecture model
20. The conceptual, logical, and physical architecture shall fulfill functional requirements

The Contractor will produce user stories for each custom Extension and Workflow object that was approved at the end of the Definition Phase. The designs include comparing the ASR's specifications to the abilities delivered in the standard application, and validating design plans with project stakeholders.

Functional Design Specification documents will include the following sections below. Please see Exhibit 10 for a sample representation of this deliverable.

1. Document History
2. Category of customization (i.e. report, interface, conversion, extension, workflow)
3. Application Overview, including Workflow, Business Process Impacts and Processing Overview
4. Application Flow Diagram
5. Legacy System, Conversion, Configuration, Change Management, Security, and Technical Impacts (if any)
6. Related Work Units (if any)
7. Testing Scenarios

The Contractor shall support the user review and acceptance process throughout the software development lifecycle and shall maintain the Functional Specifications and Functional Design Document throughout the Project—appropriately updating the document when any System design changes occur. ASR acceptance of the initial Functional Design Document is required before system development/configuration can begin.

After each completed implementation of a functionality set, and upon final Property Assessment System delivery, the Contractor shall assemble, update, and provide an updated Functional Design Document and Technical Design Document to ASR. The document components shall include at a minimum:

1. Updated user stories and mapping to Functional Requirements
2. Updated Technical Specification in the Technical Design Document

4.4.7 Technical Design Document (TDD)

The Contractor shall develop the Technical Design Document (TDD) based on outputs from the technical design sessions conducted with the Contractor and ASR.
The TDD shall provide a complete and comprehensive technical explanation of how the System will provide the performance, functionality, scalability, supportability, and operations specified in the Requirements and the Functional Design Document (FDD) deliverable, including, as applicable, details of processes, visual displays and estimates of transaction and data volumes, and including the database logical and physical model and the associated data dictionary.
The Contractor shall complete the following tasks during the development of the TDD:

1. Based on the FDD, conduct joint meetings with ASR's Project team and SMEs to validate and refine the technical design specifications
2. Develop detailed technical design specifications
3. Review draft technical design specifications with the stakeholders, allowing time for those stakeholders to return comments or clarifications

The Contractor will provide the **Technical Design Document to include** a minimum of the elements described above and the following components:

1. Detailed description of System architecture
2. User Integration Design
3. Data Migration Design
4. Logical Architecture Diagram
5. Physical Architecture Diagram
6. Entity Relationship Diagrams
7. Data Flow Diagrams
8. Data Dictionary

9. Processing controls
10. Processes to manage System installation and configuration
11. Security controls
12. Provides a detailed list of all the proposed production environment platforms, including Hardware, OS, Networking, and 3rd party systems/tools/utilities, etc.
13. Describes how the architecture design features ensure that the System can scale as needed for future transaction volumes, storage requirements, and System usage expansions over the next 10 years
14. Describes how the System will ensure performance based on expected data and user loading, target source systems and target platforms (including any relevant "failover" design specifications)
15. Defines a physical architecture that defines the various integration capabilities of the proposed system and how they shall be implemented. This shall also include details around the integration layers, potentially using web services and various other integration technologies

List of assumptions made during the technical design as well as recommended next steps and required actions that shall be confirmed by ASR before the development. The Functional Design Document (FDD) and the TDD shall be the documentation used by the Contractor during System Development.

The Contractor will produce Technical Design documents for the modifications approved during the Definition Phase 0. Unlike Functional Design Specifications documents, these detailed (technical) designs are intended as technical specifications that can be executed by application developers/business analyst. Technical Designs will include the following sections listed below. Please see Exhibit 11 for a sample representation of this deliverable.

- Description of Program Flows
- Description of Custom Objects

After each completed implementation of a functionality set, and upon final Property Assessment System delivery, the Contractor shall assemble, update, and provide an updated Functional Design Document and Technical Design Document to ASR. The document components shall include at a minimum:

1. Updated user stories and mapping to Functional Requirements
2. Updated Technical Specification in the Technical Design Document

4.5 Security Configuration

The Contractor will design security functionality within the solution that provides application controls to prohibit unauthorized use of the system, maintain system process controls, and log transactions. In addition, the system will provide security to limit availability to application functionality, software screens, data records, data elements, and date element values where appropriate. The Security Team will comply with applicable ASR and City IT Security Policies.

4.5.1 Security Approach

The security approach will define the high-level approach the Project team intends to use towards the security of the application, its supporting architecture, and remote access.

4.5.2 Data Masking and Encryption

The Contractor will work with ASR on Data Masking, Encryption and obfuscation (if and where necessary). Encryption controls and other data security controls must be adequately supplied to protect Social Security Numbers (SSN) when in-use, in-transition and at rest. We should not display SSNs visually, whether on a computer monitors, on printed forms, or on other system output.

If Data Obfuscation is necessary, the City will provide the licenses.

4.5.3 Security Design & Build

During the Phase 0 Definition of the project, the security profiles for the user roles will be defined by members of the Functional Team. This includes defining the user's roles and permissions in the System, and similar configurations in other application components such as Business Intelligence.

The technical architecture security components will be defined by members of the Technical Team. This includes the design of how the new System applications will authenticate against current ASR security, and securing the system components across the application tiers, as well as single sign-on design options.

During the Phase 1, defined security roles and permissions will be implemented in the application's test environments. Preliminary unit testing of this setup will be performed at this time.

Security of the infrastructure components will be built out during this phase.

4.5.4 Security Design Document (SDD)

The Contractor will produce Technical Design documents that defines the details of security and privacy management for the proposed Property Assessment System, including:

A. Security and privacy policies

B. Logical security controls (e.g. privacy, user access and authentication, user permissions, user authorization)
C. Technical security controls and security architecture (e.g. communications, hardware, data, physical access, software, operating system, encryption)
D. Security processes (e.g. security assessments, risk assessments, incident response)
E. Description of how the System will function in the ASR networking environment while adhering to all ASR security requirements
F. The technical approach to satisfy the following, as applicable to the proposed Property Assessment System and the system delivery model (the Contractor shall indicate items that do not apply to its proposed delivery model in the assumptions section):

- Network segmentation
- Perimeter security
- System security and data sensitivity classification
- Intrusion management
- Monitoring and reporting
- Host hardening
- Remote access
- Encryption
- ASR-wide active directory services for authentication
- Integration security
- Security test procedures
- Managing network security devices
- Security patch management
- Detailed diagrams depicting all security-related devices and subsystems and their relationships with other systems for which they provide controls
- Secure communications over the Internet

4.6 Integration Design

The Integration Team, comprised of resources from the Functional and Technical teams, will be responsible for the design, configuration, and testing of interfaces to and from the System, including: requirements validation, design specifications, build test, unit test, and system test based on the Interface Specifications deliverable.

The Integration Team will be comprised of representatives from the ASR and Contractor. Other ASR Department system's functional and technical resources will also play an active role in defining and developing interfaces from ASR Department based systems to and from the System. The Interface Team will collaborate and identify required ASR Department interfaces and map data elements between the ASR Department systems and the proposed System file layouts. Contractor will be responsible for building the interface extract/import programs with support from ASR resources on how to connect to ASR Department based systems. ASR and Contractor resources will collaborate on integration testing to ensure data is properly flowing between the proposed System and ASR Department based systems. .

The Controller/Tax Collector is in the process of implementing a new system. Therefore, we will need to initially integrate with the existing Controller/Tax Collector system until they transition to the new system. After the Controller/Tax Collector transitions to the new system, we will develop a new integration with their new system.

Since we are performing a phased implementation, we may need to interface with the existing EZ Access system to synchronize some tables. Details of this scope will be confirmed during Phase 0 (Definition).

The integration for all systems to the extent possible will be utilizing web services from a defined data source. This will allow a more transactional application that will support dynamic reports and dashboards. In any instance that requires a data file transfer, Contractor will discuss this need and obtain approval from the ASR Technical Architect and ASR Project Manager before implementing the architecture.

4.6.1 Integration Strategy

The Integration Team will create an Integration Strategy that defines the fundamental concepts and activities related to interfacing between the System and retained legacy systems or other external systems. The Contractor will create an Integration Strategy document that is expected to address, at a minimum, the following:

1. The assumptions made when developing the Integration Strategy.
2. Opportunities for consolidation or integration; for example, recommendations for additional modules and/or configurations and retiring interfaces that supply data which can be retrieved from the System by other means (e.g. data downloads).
3. Revised interfacing requirements based on the adopted implementation strategy.
4. Identification of risks with mitigation strategies.
5. Installing, maintaining and operating for the duration of the Project, tools to support the design, development, and testing of interfaces.
6. An error correction methodology for rejected interface data that ensures that data is not lost (i.e. an online suspense file) - this methodology will be worked on for each interface by the ASR and Contractor.
7. Definition of the formats and protocols that should be observed between ETL components for example Comma Separated Value (.csv) or Extensible Markup Language (XML).
8. Audit controls (validation only) that are expected to be built into the interface processing to ensure completeness and accuracy of transferred data.
9. Standards for transactions to/from the City Department administrative systems not replaced by the new System and for temporary interfaces to/from legacy systems required as a result of the agreed deployment approach.

10. Communication and coordination methodology to be used with City Departments and external entities.

4.6.2 Integration Specifications

The Contractor shall develop an Integration Specifications and Design Document that includes, at a minimum, integration-relevant architecture models and integration management specifications pertaining to the use of the Contractor's system. The document shall provide insight on how different integration technologies can be used together. The Contractor should leverage the ASR's Joint System Integration Plan in developing the Integration Specifications and Design Document.

The Contractor shall provide ASR with the **Integration Specifications and Design document**, and shall provide support, guidance and knowledge transfer to ASR for integration technologies. The document deliverable should include:

1. Identifying **integration requirements**, specifications, and designs that will involve both internal and external partners and ensuring that the new System is sufficiently scalable and flexible to support the number of integrations that will be required. Integration requirements shall also include defining what communications shall be asynchronous versus synchronous
    a. These integration requirements must include specifications regarding the temporary integrations that will be necessary for each/any proposed phases of the project.
2. Identifying **security requirements**, specifications, and designs that shall include encryption, authentication, data protection, and constraints on performing certain operations
3. Identifying **performance requirements**, specifications, and designs that may include the expected response time for system tasks, failover support for systems, and hours of availability
4. Identifying **operational requirements**, specifications, and designs that may include server needs, scalability requirements, hosting requirements, monitoring, load balancing, failover, fault recovery, accounting and metering
5. Identifying the intended methods for confirming successful interfacing between systems, and the methods of reconciling integrated data
6. If SOA based, include a centralized electronic catalogue of services to identify, manage, and track all available services in use and services dependencies on other services
7. Clear identification of why the system uses a service, database link, point-to-point integration, or other type of integration between data points

A key integration for the Property Assessment System will be with the new Property Tax System that is currently planned to be simultaneously implemented by the Controller and Treasurer & Tax Collector offices. The Contractor will collaborate with the Property Tax System vendor in developing and implementing these integration specifications.

Contractor will produce an Integration Design Specification that comprises of functional and technical design specifications.

Functional Specifications

Functional Design Specifications for each Interface in scope (as described in Appendix A1 above). The designs include comparing the City's specifications to the abilities delivered in the standard application, and validating design plans with project stakeholders.

Functional Design Specification documents will include the following sections:

- Document History
- Category of customization (i.e. report, interface, conversion, extension, workflow)
- Application Overview, including Business Process Impacts and Processing Overview
- Application Flow Diagram
- Requirements Traceability Matrix (RTM) Cross Reference
- Legacy System, Conversion, Configuration, Change Management, Security, and Technical Impacts (if any)
- Related Work Units (if any)
- Testing Scenarios

Technical Specifications

The Interface Team will produce Technical Design documents for the interfaces in scope (as described in Appendix A1 above). Unlike Functional Design Specifications documents, these detailed (technical) designs are intended as technical specifications that can be executed by application developers. Technical Designs include the following sections not included in the Functional Design Specification:

1. System/Data Flow Diagram
2. Technical requirements and standards for interfaces to/from external systems (including error handling mechanism)
3. Data mapping between proposed System and City Department based systems.

Roles and Responsibilities

Topic	Contractor	ASR
Interface Specifications, design, configuration and testing	1. Contractor will be responsible for the design, configuration, testing and testing of the interface (minus testing in the	1. ASR Product Owners and ASR Project Manager will approve interface specifications and test results.

	external (non ASR) and downstream systems). 2. Contractor will develop the interface specification. This includes the mapping of data elements between the ASR Department Systems (i.e. via files extracts etc.) and the proposed ASR System working with ASR team	2. ASR will be responsible for coordinating, fulfilling planning, designing, implementing and testing capabilities with external (non ASR)and other downstream systems 3. ASR will be working with Contractor on the mapping of data elements between the ASR Department Systems (i.e. via files extracts etc.) and the proposed ASR System working with ASR team 4. It is assumed that all the system(s) which integrated with Property assessment system have ability to push data out of their system (via File Transfer, Web Service, Messaging, etc). Similarly it has been assumed that systems which are expected to consume the data/file from Property Assessment system will write their respective scripts/jobs to consume the data/file
City Department SMEs	3 Conduct and facilitate meetings with City Department's SMEs to identify interface requirements.	5 Provide Subject Matter Experts (SMEs) for each City Department system's interface.
Document Requirements	4. Document requirements for each inbound and outbound interface routine	6. ASR Product Owners and Project Manager will review and approve.
Support	5. Support ASR in identifying potential required modifications to	7. Provide SMEs to support

	existing systems based on phased implementation approach.	
Synchronization of tables in EZ Access	6. Develop routines to synchronize EZ Access tables to Property Assessment Solution due to phased implementation. The synchronization specifications will be developed working with ASR.	8. ASR Product Owners and Project Manager will review and approve.
Integration Test Conditions	7. Develop high level test conditions and expected results for the proposed System and interfaces to/from ASR Department based systems.	9. ASR Product Owners and Project Manager will review and approve. 10. ASR will be responsible for coordinating, fulfilling planning, designing, implementing and testing capabilities with external (non ASR)and other downstream systems
City Department Based System APIs	8. Leverage technical means (e.g. APIs, flat files, or otherwise) provided by ASR resources to integrate to/from City Department based systems.	11. ASR will be responsible for coordinating, fulfilling planning, designing, implementing and testing technical means (e.g. APIs, flat files, or otherwise) to enable integration with ASR Department based systems.

Topic	Contractor	ASR
Functional Specification s	1. Produce Functional Design Specifications for each interface (both inbound and outbound).	1. Provide Subject Matter Experts (SMEs) for each ASR Department system's interface. 2. Product Owners will review and approve.
Testing	2. Plan Testing for approved interfaces.	3. ASR Project Manager will review and approve.
Layouts	3. Develop Interface layouts for data to be loaded into the System, and for the data extracts	4. ASR Project Manager will review and approve.

	to be provided to external systems.	
Technical Specifications	4. Produce Technical Design documents (including error handling mechanism) for data upload and data extract work units assigned to Contractor.	4. Provide Subject Matter Experts (SMEs) for each ASR Department system's interface.
Technical Specifications	5. Prepare Technical Design deliverable to City Departments stakeholders and answer ASR Department questions.	5. ASR Salesforce Technical Architect and ASR Project Manager to review and approve Technical Design deliverable.
Data Mapping	6. Develop and document data mapping and logic based on fields in proposed Property Assessment system.	6. ASR Product Owners, ASR SME, ASR Salesforce Technical Architect and ASR Project Manager will review and approve. Develop and document data mapping and logic based on fields in external systems.

4.7 Managed Proof-of-Concept

Create and fulfill a plan for the first functionality to be **designed, developed, and deployed** as a prototype during a mutually agreed to timeframe and environment during Phase 1. The prototype may include functionality that is mutually agreed-to including enablement of business capabilities, data migration and the potential to interface with other systems.

4.8 Data Migration Strategy

Contractor will work with ASR to complete data migration activities. In the Definition phase, the Contractor will produce the Migration Strategy and Migration Plan deliverables:

4.8.1 Migration Strategy

The Contractor, in working with ASR, is responsible for creating a Migration Strategy document that defines a high-level data mapping between the legacy system and the new system, as well as a high-level migration approach.

The Migration Strategy document will include the following components:

1. Assumptions made in developing the Migration Strategy. (ASR and Contractor)
2. Confirmation of which applications are expected to be retired or retained based on the adopted implementation plan. (ASR and Contractor)
3. Identification of historical data required to be migrated. (ASR)
4. Identification of risks with mitigation strategies. (ASR and Contractor)

5. Pre-migration activities such as archiving, purging, and cleansing of legacy data. (ASR)
6. Identification of historical or legally constrained data that cannot be cleansed (ASR)
7. Strategy/approach to handle scenarios of historical or legally constrained data that cannot be cleansed (ASR and Contractor)
8. An error handling and reporting methodology for rejected migration data, for example an online suspense file that will ensure that data is not lost. (ASR and Contractor)
9. Definition of the data formats and protocols that are expected to be observed between ETL components for example Comma Separated Value (.csv) or Extensible Markup Language (XML). (Contractor)
10. Communication and coordination methodology to be used with ASR Departments and other external parties. (ASR and Contractor)
11. Plan for migration testing and reconciliation (ASR and Contractor)

4.8.2 Migration Plan

The Contractor must support the design, support, maintenance, test, and execution of data migration processes to enable the migration of legacy system(s) data into their proposed system. The Contractor must work with ASR to recommend data migration strategies and develop a Data Migration Plan that will facilitate migrating the current data in a seamless and timely manner. The plan should include a detailed data roadmap for successful population of data staging tables. These strategies must take into consideration the impacts on the business processes and staff resources. ASR expects data migration responsibilities to be as follows:

1. ASR will be responsible for making the legacy systems available for data migration, extracting data, performing data cleansing, and populating data staging tables. Contractor will participate in discussions with ASR related to legacy extract requirements including fields and format to ensure the scope of functionality is supported in the new system. The Contractor will be responsible for providing detailed data migration staging tables aligned with their proposed system's data structure and values (the Contractor will not be responsible for the accuracy of legacy systems data).
2. The Contractor will be responsible for loading the populated staging tables into the proposed Property Assessment System database and resolving any exceptions. The Contractor will be responsible for performing data testing to confirm successful conversion, and provide detailed reports to ASR
3. ASR will be responsible for the final validation and approval of converted data. Contractor will provide the reconciliation reports defined by ASR.

The Contractor will provide ASR with the Data Migration Plan document, and shall provide support, guidance and knowledge transfer to ASR for data migration.

4.9 Test Strategy

The purpose of the Master Testing Strategy is to outline the approach and methodology for fulfilling testing activities and associated deliverables required to be performed by the Contractor. A separate and complete set of testing as outlined below shall be required for each module of functionality that will be put into production. Complete testing to the satisfaction of ASR shall also be required for every System integration that is built and put into production. The testing functions of the Project shall be iterative and span the entire length of the Project.

The Contractor shall provide the Master Testing Strategy deliverable, which shall, at a minimum, include:

1. The test methodology to be employed for overall system testing
2. The automated method of populating the test systems with data
3. Identification of the software-based tracking system that will be employed
4. Identified strategies for each type/level of Project testing:

    a. Unit and integration testing
    b. System testing
    c. End-to-end testing
    d. User acceptance testing
    e. Performance and load testing
    f. System regression testing
    g. Security testing

The Contractor shall be responsible for populating the test environment(s) with baseline ASR data necessary to ensure the validity of the testing for all phases of testing. Assessor-Recorder staff shall not be required to manually enter baseline data to pre-populate the test environment for any test phase. The Contractor shall use an automated test management tool suite to manage, assess, track, and perform the required test and deployment support activities. It is expected that the Contractor shall either utilize a vendor's product to support the testing methodology or a Contractor's existing requirements management tool.

The Contractor shall have a software-based defect tracking system capable of providing an acceptable level of detail and reporting, as agreed upon with the Assessor-Recorder Project Management staff and, at a minimum, facilitating the following functions:

1. Capture – Details about each defect will be recorded when the defect is discovered, including a description, symptoms, sequence of steps to re-create it, type, and severity
2. Review and assignment – Project management shall be able to review all open issues and assign a priority level and resources responsible for resolution
3. Estimate and resolution – Those assigned to resolve the defect shall be able to record an estimated duration and delivery date, and provide adequate explanation upon resolution
4. Track status and history – A complete history of each defect shall be maintained so that the life cycle of each defect can be tracked and reported on

5. Management reporting – The defect tracking system shall provide recurring reports to Project management throughout the Project

4.10 System Implementation Strategy

The Contractor shall document and provide ASR with the System Implementation Strategy. The document shall include the strategy for the implementation of all proposed property assessment functionality and any proposed phases to ensure all functionality required of the System is included.

The System Implementation Strategy shall also identify any technical challenges and include the deployment schedule of the proposed functionality.

The Contractor shall provide a System Implementation Strategy document to include, at a minimum, the following components:

1. Project implementation plan, by property assessment functionality and/or phases
2. Target end-user population included in the Project, by plan time frame
3. Deployment schedule, by plan time frame
4. Technology components required for the Project, by functionality and/or phases
5. Identification of the source systems to be integrated, by functionality and/or phases. This will include temporary integrations if applicable.
6. Identification of technical challenges that both the Contractor and ASR must overcome to implement the system

4.11 Development Standards Definition

The Contractor shall define and document the Software development standards which will also incorporate standards from ASR. The Software development standards will create uniform coding habits among software personnel to allowing reading, checking and maintaining configuration and programming code easier. In addition, the Contractor will define and document screen design standards. This will allow for uniformity in the look and feel of the system. Some of the Software development standards that will be document includes:

1. Naming Conventions
2. Library Standards
3. Coding Rules
4. Rules Engine Standards
5. SQL Standards
6. Documentation Standards
7. Screen Design Standards
8. Mobile Device Design Standards
9. Commenting Standards

10. Performance guidelines
11. List of common abbreviations to use when creating new elements

Roles and Responsibilities

Topic	Contractor	ASR
Master Testing Strategy	1. Contractor shall develop a Master Testing Strategy.	1. ASR Project Manager will approve the Master Testing Strategy document.
Development Standards Document	2. Contractor shall define and document the Software development standards.	2. ASR Project Manager will review and approve.

4.12 Environments Planning

At minimum, the following functions/activities will be supported within an agreed-to number of environments for the Property Assessment Solution and related integrations. Environments will not be shared for more than one function if there is risk of said function being fulfilled successfully. The appropriate access and permissions will be established for each role accessing the following Salesforce based environments:
1) Development (for Developers)
2) Testing (for Sapient)
3) Testing (for ASR QA)
4) Conversion (Includes both Cleansing and Migration)
5) UAT
6) Staging
7) Training
8) Production

The following environments will be leveraged for integration purposes:

- Development
- Testing
- UAT (Testing, Training, includes Data Migration)
- Performance
- Production

This list of environments will be supported by the agreed-to licensing between ASR and Contractor. Salesforce will have three releases per year. Contractor will include the latest releases within the ASR solution.

ASR will be responsible for provisioning, providing required access, maintaining and supporting the integration environments (Exhibit 7) for all phases of the project per the project schedule. The environments provided will meet the uptime and performance requirements needed during the development, testing and production phases as mutually agreed to by ASR and Contractor during the Definition Phase

The environments will be refreshed with configuration, code and data on a schedule that is mutually agreed to by ASR and Contractor during the definition phase. The schedule will ensure that activities including testing and training are properly supported and completed successfully. Refreshes may occur on a quarterly basis or on an as needed basis as mutually agreed to by ASR and Contractor.

5 Implementation Phases (Phase 1, 2 and 3)

The implementation of the Property Assessment Solution is broken out into three logical production releases: Phase 1, 2, and 3. While ASR and Contractor will confirm the exact capabilities to be delivered within each phase during the Definition phase, the expected following is a proposed summary of capabilities for Phases 1, 2, and 3:

1. Phase 1 – Unsecured Property Implementation – Contractor must develop, implement, integrate and go live with the following modules in Phase 1:
    a. Unsecured Property
    b. Business Personal Property
    c. Roll Management
    d. Possessory Interest
    e. Exemptions
    f. Audit
    g. Dashboards/Reporting
    h. Integrations
    i. Data Migration
    j. Managed Proof of Concept

2. Phase 2 – Secured Property Implementation - Contractor must develop, implement, integrate and go live with the following modules in Phase 2:
    a. Ownership and Transfers
    b. Real Property
    c. Roll Management
    d. Parcel Management
    e. Exemptions
    f. Dashboards/Reporting
    g. Integrations
    h. Data Migration

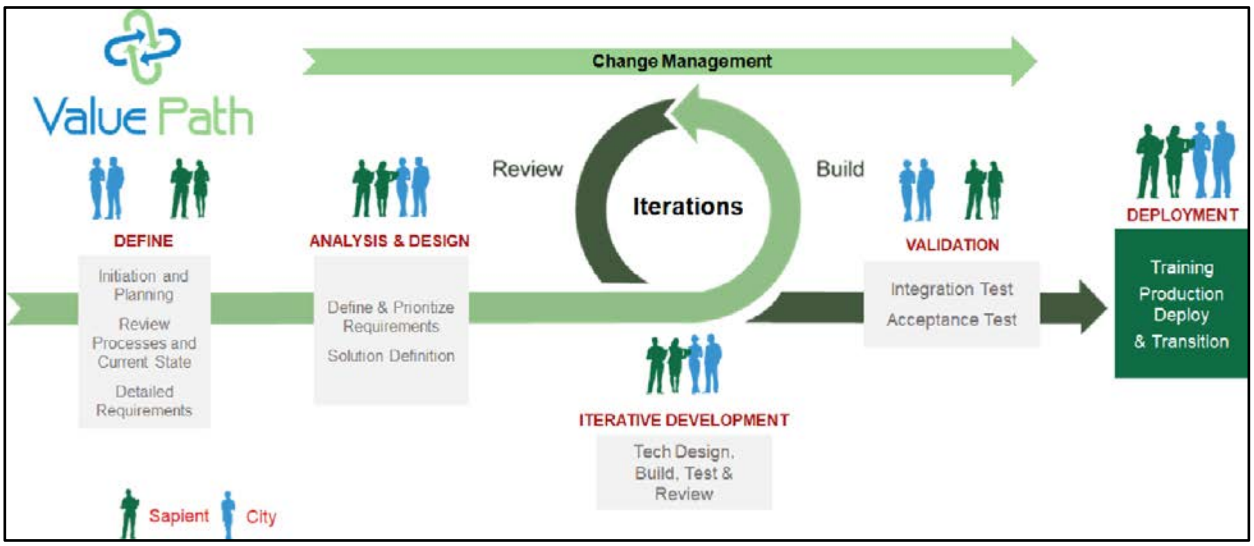
3. Phase 3 – Appeals, Customer Support and Miscellaneous Items - Contractor must develop, implement, integrate and go live with the following modules in Phase 3:
    a. Appeals

b. Web Portal
c. Customer Service
d. Dashboards/Reporting
e. Items remaining within Requirement Response Matrices that have not been implemented (See Exhibit 6)

5.1 System Development

Contractor will utilize agile development techniques which enable productive feedback cycles, and enable Contractor to produce working prototypes and to demo application functions shortly after completing the initial application design.

This is a high-level diagram outlining the project tasks utilizing Contractor's 'Value Path' hybrid-agile development technique:



System development including configuration efforts shall be guided by User Stories, the Product Backlog, the Sprint Plan, and the Sprint Goal. Unless otherwise agreed to in writing by ASR, the Contractor will not initiate development and/or configuration activities until ASR has formally approved FDD, TDD, and SADM deliverables.

5.1.1 Methodology

Prior to the development cycles, the Contractor is responsible for documenting and reviewing the system development methodology with ASR. The documentation is expected to include:

1. Description of formal process to review, provide feedback and approval on development submitted to ASR by the Contractor
2. Contractor methodology standards for development, configuration, test, and delivery

3. Standards and processes to manage the early identification and remediation of defects in project deliverables
4. A change methodology process and change control standards, criteria and process for the development, configuration, test, and delivery of all work products
5. Description of secure coding tools, methods, and standards
6. Description of identified required system development and testing tools (i.e., defect tracking tools, etc.)
7. Description of testing standards

5.1.2 User Stories

The Contractor is responsible for leveraging ASR requirements and design inputs (such as the requirements grid, JAD sessions, ASR SME/Product Owner/BA et al input, design documents, etc.) to create and refine user stories that enable the Contractor's developers to build the features and functionalities of the system.

User story definition will consist of:

- User story in standard format
- Associations to related user stories or tasks
- Acceptance criteria
    - Completion of unit testing will be an acceptance criterion of all user stories
- Story points/estimation ranking
- Story priority ranking

The Contractor is also responsible for providing the following, along with user stories:

- Grouping stories by Epics where applicable
- Test cases and test scripts

User stories will be created prior to each of the sprints by Contractor, prioritized on the Product Backlog by the ASR Product Owners, and the Contractor development team will move user stories into the Sprint Backlog. ASR Product Owners are responsible for confirming the completion of a user story. The Contractor is responsible for updating the traceability in the RTM upon the completion of a user story.

5.1.3 Product Backlog

The Contractor Business Analysts and ASR Product Owners will collaborate to generate the Product Backlog. The Contractor Business Analysts will document the agreed-to Product Backlog, including a list of user stories with ID# and backlog ranking. The ASR Product Owners will be responsible for prioritizing/re-prioritizing the user stories on the Product Backlog based on considerations such as business value, risk, dependencies, readiness, desired launch date, etc. as determined by ASR. The Contractor, through working with ASR Product Owners, will be responsible for other backlog refinement, such as adding estimates and detail.

5.1.4 Sprint Plan

Contractor will work with ASR to perform Sprint Planning. The deliverables within the sprint planning process are:

- Setting a prioritized sequence of Sprint themes
- Outline of goals for each Sprint
- Time-boxed dates for each Sprint
- Selection of product backlog items for each Sprint Backlog

5.1.5 Sprints

ASR and Contractor will confirm and agree to an appropriate sprint duration. The Contractor responsibility within sprints is to select user stories for the sprint and convert user stories selected for sprint into working software. This includes the fulfillment of user story acceptance criteria including unit testing. In addition, each iteration ends with an inspection of the team's increment to assess progress, as well as an updated backlog for the next iteration. The Contractor team will also be responsible for preparing a system demo to the Product Owners (and others as needed) that gives an integrated view of the new features delivered in the sprint.

The Sprint mini-retrospective is the 'adjust' step for the overall sprint. Here, the ASR and Contractor team will evaluate the process. The team will collectively identify new problems and their causes and create improvement stories that enter the team backlog for the next iteration. Before the next planning cycle begins, the backlog is refined to include the decisions from the iteration review and retrospective. The ASR Product Owners edit and re-prioritize new and old backlog items as needed.

5.1.6 Software Configuration Management

The Contractor will be responsible for the tracking and controlling of changes in the software, which includes configuration identification, configuration control, configuration auditing, and build management.

The Contractor will use Bitbucket (version control) and Gearset (release management) for Software Configuration Management. Contractor shall provide designated ASR users with the appropriate access to these tools. The Contractor shall provide all data from Salesforce to ASR at the conclusion of the project in a non-proprietary format.

Roles and Responsibilities

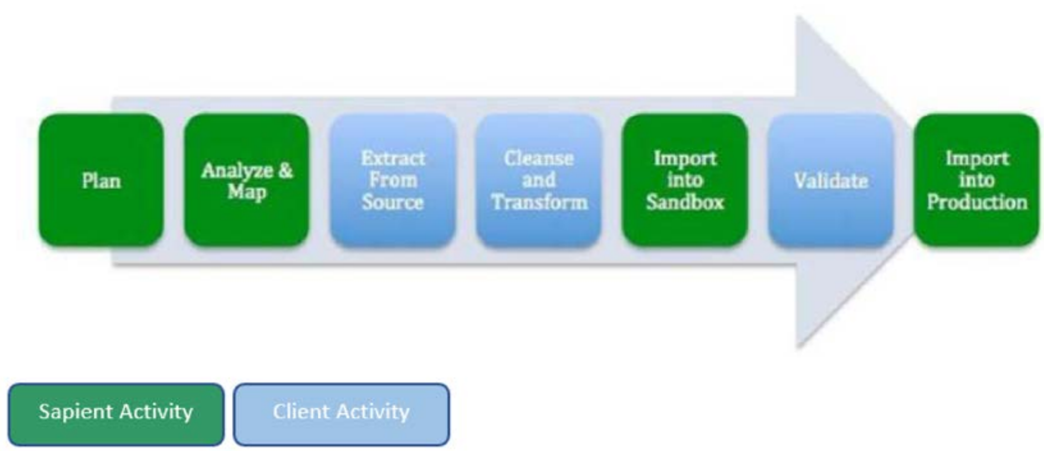
Topic	Contractor	ASR
System Development Methodology	1. Contractor will develop the System Development Methodology.	1. ASR Project Manager will review and approve.
Iterative Prototype /Sprint Demos	2. Contractor will develop prototype from User stories.	2. ASR Product Owner will provide feedback on the prototype.
Configuration /Code	3. Contractor will configure or code the system to fulfill user stories	3. ASR Project Manager will review at the end of the phase
User Stories	4. Contractor will document user stories based on input from ASR	4. ASR Product Owners will provide input for the user stories and ultimately approve.
Product Backlog	5. Contractor will document product backlog based on input from ASR	5. ASR Product Owners will own the product backlog and prioritize and confirm the user stories that will be included in each sprint
Sprint Plan	6. Contractor will document sprint plan based on input from ASR	6. ASR Product Owners will provide input for sprint plan based on priorities established within the product backlog
Fit/Gap Analysis on Iterative Development	7. Perform a Fit/Gap Analysis of the System software, and validate reports, interfaces, conversions, extensions, and workflows (RICEW) needed to meet the ASR requirements.	7. ASR Product Owner and ASR Project Manager will review and approve.
Update To Be Process Flows	8. Update To-Be Business Process Flows	8. ASR Project Manager and ASR Product Owner will review and approve.
Update roles affected	9. Identify and document the roles affected by the business processes designed during the Joint Application Designs. Create Responsible/Accountable/Consult	9. ASR Project Manager and ASR Product Owner will review and approve.

	ative/Informed (RACI) chart that will serve as the basis for the security matrix and appropriate access to the system.	
Validate Requirements	10. Validate existing System requirements by mapping requirements to Epics and mapping Epics to user stories. Identify any gaps in requirements and work with ASR Product Owners to confirm plan for addressing gaps.	10. ASR Project Manager and ASR Product Owner will review mapping of requirements, user stories, and business processes and approve. ASR Product Owners will review and approve plan for addressing any gaps in requirements.
Workshops	11. Conduct workshops to drive and confirm the scope of the solution, interfaces, and data migration efforts.	11. ASR will participate

5.2 Data Migration

5.2.1 Migration Design and Synchronization Specifications

The following is a high level graphic depiction of the Contractor's proposed approach to manage data migration:



The Contractor will work with ASR to perform necessary data migration and synchronization work to implement the system. The Contractor is responsible for developing a detailed plan and will collaborate with ASR to validate all data was successfully migrated to the new system.

The Contractor will produce functional design specifications for each migration work unit that is approved at the end of the Analyze & Map phase. The designs include file structure and data mapping for each migration.

The Contractor will also produce technical design specifications to be executed by the development/migration teams. The technical design documents will include the following sections:

1. Program Flows
2. Program Pseudo Code
3. Error Logic
4. Custom Objects

Each step in the process is explained in detail below.

1. Planning

Contractor will work with ASR to identify the data that will be migrated. Contractor will map existing data to the new database. Existing data will be from multiple sources (not just the existing EZ Access system). ASR and Contractor will jointly develop a plan for data migration and transformation that includes the sequence for data migrations. This will allow for potential data dependencies in the data relationships. Contractor will identify the dependencies by examining the data model and identifying the object relationship, then determine the correct order of operations for the Data Synchronization. In addition, Contractor will identify data integrity constraints.

2. Analyzing and Mapping the Transformation

Contractor will be responsible for the data mapping in the Data Transformation process. Data mapping from the old to new system will consider all data used by the ASR office. This includes data that is not stored in the existing EZ Access system. The data mapping document will include data types and characteristics.

3. Extraction from Source

ASR will extract data from source system. Contractor will perform data loads to the new system. Loads will occur in both the test, staging and production system. This will allow testing to occur with migrated data. In addition, this will validate the data migration process.

4. Data Cleansing and Transformation

The Contractor is responsible for designing and building any/all ETL logic required to translate the data from ASR provided data files to the Contractor's Staging Tables.

The Contractor is responsible for providing the Staging Area, all Staging Tables, populating the Staging Tables based on the data files provided by ASR, and for maintaining the tables once translated and populated. Contractor will assist ASR with best practices and advice with the cleansing process. ASR is responsible for fulfilling all data cleansing activities.

5.2.2 Migration Testing

Contractor will perform up to a maximum of 3 loads of full data (and an additional 3 loads of full data only if necessary, within the planned project schedule) into each applicable table within the new solution. The data migration planning/scheduling effort will be a priority within the upfront project plan activity. A full load will be defined as:

- A full volume data load that has been successfully loaded with no priority 1 or priority 2 defects in migration scripts and whereby we can articulate the deltas.
    - In the scenario of any priority 1 or priority 2 defects in migration scripts that prevents the users from reviewing accurate reconciliation reports and completing data correction (if necessary), the contractor working with ASR will do additional partial load(s) of the impacted data to produce the reconciliation reports. Each data element is validated for acceptable data values. Contractor will report exceptions to the data validation rules during dry runs for correction. Data that fails purification is not converted into the proposed system, but identified as a conversion failure for further analysis.
    - Partial data loads as necessary to fix and validate the resolution of priority 1 or priority 2 defects in migration scripts defects mentioned above
    - Where the Product Owner has approved the load

At the end of Data Migration, there will be no Priority 1 or Priority 2 defects due to data quality (ASR) or Data Migration Scripts (Contractor).

Contractor will provide ASR with an .xls or .csv formatted template for each object. Contractor will pre-populate these spreadsheets with data from the ETL programs. For objects that have multiple record types, it may be necessary to prepare a template for each record type. The templates will indicate:

A. Required fields for each object.
B. Legacy System ID (foreign key) fields to create a permanent reference between the legacy system record and the Salesforce record. This will help ASR build custom reports to validate the migrated data. Optionally, the field can be designated as an External ID field that will be indexed.
C. Comments on the fields that will be used to establish relationships to other records. For example, there could be separate Account and Contact templates, and the Account Name

field in the Contact file should match the Account Name field in the Account file in order to ensure that the data is properly related post-migration.

D. Field Type indicators to ensure that data can be properly cleansed to match the data validation rules that will be enforced in Salesforce. For example, email addresses and Date fields need to be verified. If the fields in the templates are not formatted properly, the import will fail with errors.
E. Indication of source field names.

See Exhibit 12 for a sample data mapping templates.

Contractor will provide proper guidance to ensure the process goes smoothly.

ASR will be responsible for data cleansing including the provision of tools or solutions designed to aid with this activity.

5. Importing into Sandbox

The Contractor is responsible for loading all populated Property Assessment System Staging tables or spreadsheets into the proposed system database, and managing/tracking the Data Migration process and progress, including reconciliation of the data migration iterations. Contractor team will work with the ASR to resolve any issues that are identified during the test upload. Contractor will develop reconciliation reports (see Exhibit 12 for some anticipated reconciliation reports) with input from ASR to validate the data was migrated successfully. Once all of the errors are corrected, Contractor will load all of the records, share the success and error files with ASR, and invite ASR to validate the data in the test environment.

6. Validation

Once the data is loaded into the Property Assessment System database, the conversion of data shall be thoroughly tested and verified as successfully converted, without significant discrepancy.

The Contractor is responsible for testing the conversion of legacy data from the point of populating Property Assessment System staging tables to completed conversion. The Contractor is responsible to work with ASR to identify any root-cause issues preventing data migration from being fully successful.

The Contractor will assist in the validation and reconciliation process. This includes the development of reconciliation reports. If any issue or errors are identified, the Contractor team will develop a resolution plan and ensure that the Data Migration Plan is updated to incorporate the process changes that will be required to ensure a successful Production Data Transformation, Migration, and Synchronization.

Once data has been tested by the Contractor, ASR will perform final data validation and approval.

ASR is responsible for the final validation and approval of converted data. The Contractor shall support Assessor-Recorder staff by providing easy access and issue identification reporting tools. Issues identified will be referred back to the Data Test activity Task for correction

5.2.3 Production Load

Importing into Production

Per the agreed-to data migration plan, the ASR will run an extraction of legacy system data, re-populate the templates and perform any necessary transformations. Contractor's team will load the data in the Production environment. ASR will validate the data has been successfully migrated to the Production environment. Contractor will assist with addressing any errors incurred as a result of data migration in the Production environment.

Roles and Responsibilities

Topic	Contractor	ASR
Data Migration Plan	1. Contractor will document the data migration plan	1. ASR will provide input to the data conversion plan. ASR Project Manager will approve the data migration plan.
Software Design Methodology	2. Contractor shall provide a software design approach and methodology.	2. ASR Project Manager will approve the Software Design Methodology document.
JAD Sessions	3. Contractor will lead and facilitate the Joint Application Design (JAD) sessions.	3. ASR Project Manager will approve plans for the Joint Application Design (JAD) sessions.
Functional Design Document	4. Contractor will develop the Functional Design Document.	4. ASR Project Manager will approve the Functional Design Document.
User Story	5. Contractor will document the User Stories.	5. ASR Product Owners will approve the User Stories.
Converting User Stories to Working Software	6. Contractor will convert the User Stories to Working Software (prototypes).	6. ASR will provide feedback on the User Stories
Iterative Design and Development	7. Contractor will incorporate feedback from ASR and refine the User Stories and Working Software	7. ASR will provide feedback on the User Stories. Product Owners will approve User Stories.

Technical Design Document	8. Contractor will develop a Technical Design Document	8. ASR Project Manager will approve the Technical Design Document
Integration Specifications and Design Document	9. Contractor will develop the Integration Specifications and Design document.	9. ASR Project Manager and Product Owner will approve the document.
Data Migration Extracts	10. Contractor will support the process of extracting Legacy system data.	10. ASR will develop extracts from the Legacy system.
Data Migration Mapping & Staging Tables	11. Contractor will be responsible for providing detailed data migration staging tables. In addition, Contractor will provide details mapping of Legacy data to the new system.	11. ASR Project Manager and Product Owners will approve the data migration staging tables and mapping.
Data Migration Loading	12. Contractor will be responsible for loading and populating staging tables into the proposed Property Assessment system. This includes testing to confirm successful conversion.	12. ASR will be responsible for loading and populating data from the Legacy system and other data sources into the staging tables (area). ASR Project Manager and Product Owners will approve converted data within the proposed Property Assessment system.
Data Migration Reconciliation	13. Contractor will support the reconciliation process of migrated data. This will include the creation of success/error reports.	13. ASR Project Manager and Product Owners will provide final validation and approval of converted data. ASR is responsible for cleaning the data including programs and tools to aid with this activity.
Data Migration and Synchronization Specifications and Design Document	14. Contractor will develop a Data Migration and Synchronization Specifications and Design Document.	14. ASR Project Manager and Product Owner will approve the Data Migration and Synchronization Specifications Design Document.

5.3 Testing

5.3.1 Testing Plan

The purpose of the Testing Plan is to ensure that the Contractor has identified the major system testing activities and associated deliverables required to be performed by the Contractor. A separate and complete set of testing as outlined below shall be required for each module of functionality that will be put into production. Complete testing to the satisfaction of ASR shall also be required for every system integration that is built and put into production. The testing functions of the Project shall be iterative and span the entire length of the Project.

The Contractor shall provide a Testing Plan that includes the elements here and a detailed schedule for each of the activities to be completed within the test phase, including the individuals (named and role) responsible for the completion and or approval of each activity. Activities in the Test Plan shall include at a minimum:

1. Definition of the Test Phases and Objectives
2. Entrance Criteria for the Test Phases
3. Exit Criteria for the Test Phases
4. Key milestones (i.e. relationship in terms of timeframes days, weeks/ months, to predecessors and successor tasks) associated with each Testing Phase, including:
    a. Test Case Approval
    b. Test Environments Readiness
    c. Test Start and End dates
    d. System Baseline Configuration Established
    e. System Development Freeze Date(s)
    f. Required Approval Dates for Test Cases, Entrance and Exit Criteria, etc.
    g. Regression Testing start and end dates
    h. Test Results Review Meeting Completion
    i. System Release Promotion Go/No-Go Decision

5.3.2 Test Data

Contractor will define the test data needs for populating the test environment(s). ASR will provide data extracts from the existing system(s). The Contractor is responsible for populating the test environment(s) with baseline ASR data necessary to ensure the validity of the testing for all phases of testing. ASR staff shall not be required to manually enter baseline data for any test phase.

If there is specific customized data beyond the baseline that is desired for User Acceptance Testing (UAT), ASR will be responsible for loading or entering additional data.

ASR will review and provide feedback on Test Data coverage.

5.3.3 Test Automation and Management Tool

The Contractor shall use Selenium, an automated test management tool suite, to manage, assess, track, and perform the required test and deployment support activities. Contractor will develop test scripts and process test for the application. These tests will be automated and provided to ASR to enable future testing of the software upgrades that occur 3 times per year and any unscheduled software upgrades. Contractor will maintain the automated tests and documentation when changes, edits, updates are made to the application to allow these tests to continually used for testing updates.

5.3.4 Defect Tracking

The Contractor shall leverage ASR provided Confluence/JIRA. Contractor will provide ASR with an acceptable level of detail and reporting, as agreed upon with the ASR Project Management staff and, at a minimum, provide the following functions:

1. Capture – Details about each defect will be recorded when the defect is discovered, including a description, symptoms, sequence of steps to re-create it, type, and severity
2. Review and assignment – Project management shall be able to review all open issues and assign a priority level and resources responsible for resolution
3. Estimate and resolution – Those assigned to resolve the defect shall be able to record an estimated duration and delivery date, and provide adequate explanation upon resolution
4. Track status and history – A complete history of each defect shall be maintained so that the life cycle of each defect can be tracked and reported on

5.3.5 Unit Testing

As Contractor completes project work during sprints, the Contractor's team will ensure that the work fulfills the user stories that were agreed upon and that all system errors or defects listed as Priority 1 and 2 are addressed. This testing, along with the validation reviews with the project stakeholders, provide the baseline for system testing of the completed work. Contractor's developers and/or Contractor's quality assurance resources will conduct unit tests on the code they create. Contractor consultants will perform requirements testing to validate that the code and configuration meet functional requirements. When multiple related requirements are completed, Contractor's consultants will conduct system tests in order to validate logical processes and workflows. After the Contractor completes the Unit, Contractor will provide results to the ASR team during the appropriate scheduled review meetings (as part of scrum call).

5.3.6 Integration Testing

5.3.6.1 Integration Build and Unit Test

The Contractor team will code and unit test interfaces having an approved Interface Technical Design Document. The scope of unit testing is to test each piece in the interface work unit (e.g., line of code) that has more than one possible outcome, including error processing. A detailed set of test conditions and expected results will be created in close collaboration with the City based on the original design and functionality of the program as stated in the functional design documentation. ASR and Contractor will collaborate and perform a comparison of the actual results against the expected results. Any discrepancies discovered will be resolved and the program will be re-tested.

5.3.6.2 Integration Test Planning

ASR and Contractor will collaborate to fulfill integration test planning that includes the following components:

1. Definition of the test approach including methodology, standards, and structure of the test effort
2. Definition of test conditions including impacted systems, expected results
3. Identification of data requirements including the creation or mining of data, maintenance and refreshing of data, use of transactional data
    a. For inbound interfaces, ASR Departments (or appropriate external entity) will provide the transactional files. For outbound interfaces, the City System will provide the transactional files. Where possible, the outbound interfaces will use data from the inbound interfaces to generate the outbound transactions.
4. Definition of test scripts

5.3.6.3 Integration Test Execution

Integration test execution using test scripts will begin once the test preparation exit criteria are met, and will end once test execution exit criteria are met.

The ASR Project Manager will coordinate with owners of external systems to send and receive files from the ASR System. For outbound integrations to external entities, ASR will coordinate with the testing team and external entity to execute and validate the results of the testing. City Departments will be notified when discrepancies occur while processing their files. The Interface team tester will send the related error file from the ASR System to the Staging area so that City Departments can pick up the file and review the errors. Errors in the error file will contain the field name in error and a system message describing the error.

Contractor and ASR will collaborate to execute test scripts, process files in the ASR System document the actual results and validate the actual results against the expected results, and provide the source department with the test results and any error files. Errors in the error file will contain the field name in error and a system message describing the error. Unexpected results will be logged in defect tracking until resolved.

5.3.7 Performance Testing

The Contractor shall perform Performance Testing. Performance Testing shall include both stress and load testing to verify System performance. Results of Performance Testing will be provided via Salesforce's Trust.com site: https://trust.salesforce.com/en/. ASR shall provide final acceptance of the proposed system's performance. ASR and Contractor and Salesforce will work together on the defining the performance metrics as part of the test plan. If the performance metric requirements are not satisfied, the Contractor is responsible for working with Contractor Resources (Design, Configuration and Custom Code) ASR (Integration and Connectivity Hardware/Software) and Salesforce (Product) in fine tuning the system to meet the performance metric requirements.

5.3.8 System (QA) Testing

The System Testing is aimed at proving that the System meets the stated requirements and objectives by validating the total system in real world scenarios using ASR data.

1. Entry Criteria – The feature set, although largely defined and static, may still not be completely finalized. All features that have not yet been implemented are prioritized in case postponement of certain features is desired by ASR. The software has been unit tested, and there is a high level of confidence the completed software is ready
2. System Test Execution – The System Testing shall utilize Assessor-Recorder data, and shall be performed by the Contractor or an ASR approved third party. The System test shall be intended to demonstrate the critical business functions of the System and the overall effectiveness of the user-facing aspects. The Contractor shall provide and ASR shall accept the System Testing plan before it is executed. System testing will be fulfilled by the appropriate number of sprints within the sprint plan. At a minimum, the Contractor shall incorporate the following activities during System Testing:
    a. Demonstrate Critical Business Function Scenarios (as defined by and approved by ASR) – data and processes must be fully integrated across functional areas and that integration fully demonstrated
    b. Transaction Testing
    c. Error Message Testing
    d. Documentation of Test Results
    e. Testing of agreed-to reference material provided by ASR that will accessible within the solution
    f. Demonstrate the complete sequence of functional business tasks (as defined and approved by ASR)
    g. End-to-end business process testing (as defined by the detailed business requirements and approved by ASR)
    h. Report generation and printing
    i. Integration testing (all integrations included in the module/system) - Note: ASR will be responsible for all test planning, test execution and validation of downstream/external systems according to the project timelines

j. Demonstrate the complete sequence of functional business tasks (as defined and approved by ASR)
k. Usability/Integration Testing
l. Reliability Testing
m. Performance Testing (stress, load testing)
n. Security Testing
o. System recovery and restoration Testing
p. Regression Testing
q. User Role Testing
r. Data Migration Validation

3. Exit Criteria – The results of the System Testing are to be presented to ASR for approval before the development/configuration System status can be promoted to UAT stage for end user testing. This presentation shall take the form of a live demonstration of System functionality if requested by ASR.

5.3.8.1 Test Scenarios, Test Cases, and Test Scripts

The Contractor shall consult with the relevant ASR SMEs to develop comprehensive System Test Scenarios, System Test Cases and System Test Scripts that test each user story in a logical and business process-oriented manner. Development shall occur in consultation with the relevant ASR SMEs for each area.

1. To ensure comprehensive test coverage of each and every user story and that the System has been thoroughly tested, the Contractor shall provide the developed System Test Scenarios, System Test Cases, and System Test Scripts as well as Data Sheets. Additionally, the Contractor will: Provide an organized catalog of all of the Test Scenarios, Test Cases, and Test Scripts

5.3.8.2 Test Results

Test results will be compared with the current system to the new system process where applicable per the test plan (e.g., roll close, input from business users on additional key activities).

5.3.8.3 Results Documentation

The Contractor shall provide comprehensive Documented System Test Results for each test event identified in this SOW for ASR review and approval. Test Results shall include all of the test activities identified above, with the following components for each test event:

1. Test coverage matrix for each test phase identified above (excluding Unit Testing)
2. Completed Systems requirements vs. functionality tested matrix for each phase and for the final System delivery

a. Defect reports
b. Monthly test issues and mitigation reports
c. Test phase final results report and corrective action(s) plan

5.3.8.4 Regression Testing

The Contractor shall perform Regression Testing for each phase and throughout the testing process to verify System integrity after functional improvements or fixes have been made as a result of System Integration and User Acceptance test activities. Contractor will use automated scripts for Regression testing to the level mutually agreed to by Contractor and ASR. Regression Testing shall be designed to confirm that fixes have not created any new problems and that the results are as planned. The results will also define the System baseline configuration to be released to ASR. The Contractor team shall document all tests performed and provide the results to ASR. It shall be the responsibility of the Contractor to ensure all automated test scripts have been assessed to ensure their proper function.

5.3.9 User Acceptance Testing (UAT)

The purpose of User Acceptance Testing (UAT) is to confirm that the System is developed according to the Assessor-Recorder's business functionality, performance, technical requirements, and that it is ready for enterprise deployment and operational use.

1. Entry Criteria –Prior to moving from System Testing to UAT, the System's feature set shall be fully defined and static. The final release version shall have been built from source control. This final version shall have passed a formal Contractor quality assurance acceptance test. Converted ASR data shall be used for UAT

    a. Priority Levels – The requirements for release to UAT shall be zero Priority 1 and zero Priority2 defects. ASR and Contractor Project managers will meet and mutually agree on an acceptable level of Priority 3 defects in order to move forward. Defect levels of Priority are defined as:

        i. Priority 1 (P1) Show Stopper: The Deliverable cannot provide core functionality and/or the system has stopped working unless the issue is resolved.

        ii. Priority 2 (P2) High: A major function of the Deliverable produces the wrong result and there is no acceptable workaround. An acceptable workaround is one that does not pose a significant risk to ASR operations, will not cause missed SLAs and must have a reasonable level of effort

iii. Priority 3 (P3) Medium: The Deliverable is operable with only moderate deficiency and a work-around exists

iv. Priority 4 (P4) Low: Functionality of the Deliverable is not affected, and only minor, cosmetic changes are required

2. Pre Test

The Contractor and ASR shall perform the following activities prior to User Acceptance and Reliability Testing (UAT):

a. Development of the overall UAT Testing plan and schedule (ASR working with Contractor)
b. Build the UAT System release (Contractor)
c. Install and configure the UAT release System components and database(s) on the designated testing environments (Contractor)
d. Develop and provide the required UAT Testing documentation (e.g. end user guides, systems administration manuals, user help files) and provide to ASR for approval for use during UAT activities (Contractor)
e. Load database(s) with complete and validated production-ready datasets (converted ASR data) (Contractor)
f. Ensure security roles are in the testing environments (Contractor)
g. Develop comprehensive UAT scripts (ASR)
h. Ensure Service Level Requirements are met by system functions (excluding ASR load testing for transaction volumes) (Contractor)

3. Conduct UAT – There are a number of activities that the Contractor and ASR must perform for the completion of UAT. At a minimum, the following activities shall be performed:

a. Identification and allocation of the required ASR and Contractor resources to support UAT activities (Contractor/ASR)
b. Fulfillment of UAT scripts (ASR) - features will be tested during the sprints. Additionally the collective set of features and functionality will be tested during the stabilization sprints (formal UAT) and prior to go-live.
c. Logging of issues within the defect management tool (ASR)
d. Re-testing of UAT scripts upon resolution of defects (ASR)
e. Development of the defect resolution management plan (Contractor)
f. Review and acceptance of the defect management plan (ASR)
g. Compilation of all relevant information needed to permit ASR to validate that the System meets all functional, operational, performance, and support requirements. This shall include:

i. The Project statement of work (ASR)

ii. Functional Design Document (Contractor/ASR)
iii. User Stories (Contractor/ASR)
iv. Requirements Traceability Matrix (Contractor)
v. End-user documentation (user manuals, systems administration procedures, and training documents) (Contractor)
vi. End-user documentation will include work flows diagrams (Contractor)
vii. UAT Testing plan (ASR)
viii. Compiling and evaluating the UAT Testing results (ASR with assistance from Contractor)
ix. ASR approval of the UAT results and corrective actions (ASR)
x. ASR acceptance of the overall System and its readiness for production deployment (ASR)

h. As defined in the test plan, Contractor shall respond to all problem/error reports via the agreed-to test acceptance criteria and within the overall agreed-to testing timeframe by the Contractor and ASR. The acceptability of remedial fixes will depend on the nature of the problem and be mutually agreed upon by the Contractor and ASR. When UAT tests are rerun, the reruns shall be treated as any other UAT test activity and documented accordingly.
i. Software shall be feature complete. Changes taking place must be considered by ASR a low risk to the underlying stability of the software. The software shall have been rigorously tested by the Contractor's quality assurance before being provided to ASR, and there shall be a high level of confidence the software is working as customers will expect.

4. Exit Criteria –The requirements for release from UAT are zero Priority 1 and zero Priority 2 identified defects. The ASR Project Manager, ASR Product Owners, and Contractor Project Managers will meet and mutually agree on an acceptable level of Priority 3 defects in order to move forward. Defect levels of priority are as defined above
    a. All known problems are to be reviewed by ASR Project Manager, ASR Product Owner and any additionally designated staff. Supporting materials such as release notes, user manuals, and training manuals shall be in final form and shall also been verified by the Contractor's quality assurance or other appropriate reviewers. Customer support (if applicable) shall be fully prepared to support the product at this point
    b. The Contractor shall present in person the results of the completed User Acceptance Testing process to ASR after review by ASR Project Manager and ASR Product Owner. The Contractor shall also prepare a report detailing any remaining defects of all severities and the expected impacts of each, and deliver the report at the same time as the presentation. ASR will review the results and approve or reject the completion of the UAT phase.

5.3.10 Testing of Software Upgrades

Contractor will develop, document and execute the test plan for software upgrades. The ASR Project Manager will approve the document.

5.3.11 Testing and Acceptance

As is the case with very complex computer software, the Custom Developed solution is likely to contain some errors. In accordance with the roles and responsibilities in Appendix A1, both Contractor and ASR must test for errors both in the Custom Developed solution and in any Updates as delivered.

Contractor's testing of the Custom Developed solution will include using reasonable efforts to test and perform quality assurance reviews of the Custom Developed solution (including any subsequent releases, Updates, patches or bug fixes) for errors before delivering it to ASR. As part of its Services under this Agreement, Contractor staff will also provide the testing Services described under this Appendix A1 (Implementation Scope of Work).

ASR is responsible for all final validation of the Custom Developed solution for ASR's production system, including any configurations and modifications. ASR also will instruct ASR's employees and Affiliate Users using the Custom Developed solution to be vigilant in identifying Program Errors and in reporting any Program Errors detected to Contractor both during the Warranty Period and thereafter. Any procedures, rules or guidelines for workflows or content incorporated into or provided with the Custom Developed solution are provided as examples of potential use only, and ASR must test and validate that all such materials are both correct and in accordance with ASR's requirements and procedures in ASR's environment before any use.

Roles and Responsibilities

Topic	Contractor	ASR
Test Plan	1. Contractor will provide a Test Plan. 2. Contractor will be responsible for populating the test environment(s) with baseline ASR data to ensure validity of the testing for all phases of testing. 3. Contractor shall use an automated test management tool suite (Selenium) to manage, assess, track, and perform the required test and deployment support activities.	1. ASR Project Manager will review and approve.

	4. Contractor shall leverage ASR provided Confluence/JIRA. Contractor will provide ASR with an acceptable level of detail and reporting,	
Unit and Integration Testing	5. Contractor consultants will perform user story testing within each sprint to validate that the code and configuration meet functional requirements. 6. Contractor's consultants will conduct system tests in order to validate logical processes and workflows. 7. Contractor will train key ASR personnel on the new system's capabilities.	2. ASR team will perform Unit and Integration Testing related to changes to downstream/peripheral systems 3. ASR personnel will be made available for training sessions.
System Testing	8. Contractor will develop comprehensive System Test Scenarios, System Test Cases and System Test Scripts 9. Contractor will perform system testing.	4. ASR (not end Users) will participate in the System testing with the Contractor. 5. ASR will review the system test results.
User Acceptance Testing	10. Contractor will support UAT activities as defined in the test plan 11. Contractor will document all tests performed and provide the results.	6. ASR will perform UAT. ASR End Users will compare System's functionality, features and performance to the ASR Requirements, Design document and document UAT exit criteria.
Performance Testing	12. Contractor will perform performance testing. 13. Contractor will provide test results.	7. ASR Project Manager will approve performance test results.
System Regression Testing	14. Contractor shall perform Regression Testing. 15. Contractor will provide test results.	8. ASR Project Manager will approve regression test results
System Test Scenarios, Test Cases and Test Scripts	16. Contractor will support the development of comprehensive UAT Scenarios, UAT Test Cases and UAT Test Script by:	9. ASR SME will provide input with the development of the test scenarios, test cases and test scripts.

	- Handover all System/Integration Test documents - Contractor will conduct two sessions for ASR on the process for creation of automated test scripts in Selenium and clarify questions. - Contractor will provide organized catalog of all test scenarios, test cases and test scripts.	10. ASR will develop comprehensive UAT Scenarios, UAT Test Cases and UAT Test Scripts
Documented System Test Results	17. Contractor will provide comprehensive Documented System Test Results.	11. ASR Project Manager will approve documented System Test results.
Automated Test Tools	18. Contractor will develop and maintain automated test scripts.	12. ASR Project manager will approve the automated test scripts.
Test Plans for Software Upgrades	19. Contractor will develop, document and execute the test plan for software upgrades.	13. ASR Project Manager will approve the document.

Topic	Contractor	ASR
Build	1. Code and unit test each interface	1. Provide Subject Matter Experts (SMEs) for each ASR Department system's interface to provide sample input/output files/data and to test (as appropriate). 2. Provide access to systems which require direct integration with property assessment system as necessary to complete the build 3. Confirm actual matches expected results within City Department based systems.
Code Review	2. Conduct a code review to confirm proper coding standards are followed to meet City security standards	4. Participate in code reviews to ensure City security standards are met. 5. Invite other City participants to participate in the code review to ensure City security standards are met.

Topic	Contractor	ASR

Test Plan & Scripts	1. Develop plan & scripts to test the actual and expected results within the proposed System and integration with ASR Department based systems. 2. Work with ASR to determine if additional sample data is needed besides the input/output files and data	1. ASR will be responsible for coordinating, fulfilling planning, designing, implementing and testing capabilities with external (non ASR) and other downstream systems 2. Provide sample input/output files/data for testing (as appropriate)

Topic	Contractor	ASR
Test Execution	1. Complete testing responsibilities within ASR by recording actual results and comparing to expected results. If actual and expected results match, indicate test as 'pass'. If actual and expected results do not match, log issue within agreed-to test tracking tool.	1. ASR Project Director will approve test results. 2. ASR will be responsible for fulfilling or coordinating testing responsibilities within external systems by recording actual results and comparing to expected results. If actual and expected results match, indicate test as 'pass'. If actual and expected results do not match, log issue within agreed-to test tracking tool.

6 Project Training

The overall objective of the Property Assessment System training is to provide all staff with the skills, knowledge, and incentives that will enable them to more efficiently and effectively use Property Assessment System in the most productive manner. The Property Assessment System training must provide the following benefits:

1. Encourage adoption of the Property Assessment System
2. Increase collaboration and coordination among programs through use of the Property Assessment System
3. Provide ASR the ability to efficiently and effectively assume training responsibilities subsequent to implementation
4. Understand the business reengineering and associated benefits and organizational changes that must occur as a result of the new System
5. Ensure that all users gain an overall understanding of Property Assessment System functionality and use

The Contractor shall provide professional-level training staff specializing in business systems training to work with Office of the Assessor- Recorder staff to develop and implement a Training Plan for the Project, provide/deliver initial training (with ASR), provide/deliver train the trainer training and associated material to enable ASR to conduct post go-live/on-going training curricula and material, develop reinforcement training material, and evaluate the effectiveness of the Property Assessment System training. ASR Product Owner and Project Manager shall have approval over Contractor-provided staffing used for training and over the format/content of the training to be given.

A “Training Team” consisting of a Contractor’s training specialist, other Contractor staff, and ASR staff who shall participate in various Phases of the Project to gain an understanding of System design and functionality. The Team shall have direct access to the Project test systems in order to map workflows and copy system screens, outputs, and other materials needed to produce the documentation necessary for staff training. The Contractor professional training staff shall provide all user training specified in this SOW.

Although ASR staff will participate in decisions on Training Plans and materials, the Contractor is solely responsible for creating those plans and materials, implementing the Training Plan, and delivering the training for the duration of the contract. The Contractor shall:

1. Provide effective training on the required knowledge, skills, and abilities necessary to use and administer the proposed Property Assessment System
2. Provide timely training which ensures transition from training to actual operations and application to staff work
3. Provide necessary reinforcement training following initial training per the Training Plan and schedule
4. Ensure that there is easy access to training on the part of trainees
5. Be responsible for the development of user training curricula, schedules, training materials and training evaluation materials in accordance with the accepted Training Plan
6. Be responsible for assisting ASR with the setup and maintenance of an online training environment that allows trainees to access the new System
7. Be responsible for conducting face-to-face, hands-on, user training in logical groupings at locations determined by ASR, and for managing all training planning and logistics in coordination with ASR
8. Develop on-line instruction material (with input from ASR) and as Help pages for external ASR stakeholders regarding access to the customer service capabilities and functionality in Property Assessment System
9. Be responsible for coordinating training efforts with ASR’s SMEs who will provide policy and practice support during the training sessions
10. For those users engaged in UAT, training shall be provided prior to UAT for those users to ensure a complete understanding of the system prior to testing. For all other users, training shall be provided per the Training Plan and schedule prior to deployment and must comprehensively address all System operations as well as security considerations

11. Development of self-paced training materials - available in an online repository. The intent is not to create an LMS.
12. Provide/deliver the training with ASR for the go live.
13. Provide/deliver the train the trainer sessions for future ongoing training

In addition to focusing on the navigation and functional use, the user training shall also focus on how the System is integrated into the day-to-day work of end users, including any newly introduced business processes and/or workflows related to ASR's business processes. To the fullest extent possible, the training classes shall consist of trainees with similar job duties and materials and the training approach should reflect a user-specific focus, including the use of user-specific case scenarios. User training sessions are expected to focus on how staff will utilize the system to meet the objectives of their typical responsibilities.

User engagement and adoption is critical to the success of the Project. As such, Contractor shall organize training in an interesting, non-technical manner to keep the trainees' attention. Innovative training aides, case studies, scenarios, humor, gamification, and other learning tools that will engage the users and support information retention are encouraged.

If the implementation of Property Assessment System is delayed after initial training has been completed, the Contractor shall provide refresher training.

Contractor will train key ASR personnel on the new system's capabilities per the Training Plan.

6.1 Training Plan

The purpose of the Property Assessment System Training Plan is to identify the activities and define the curricula necessary to support Assessor-Recorder staff's adoption and effective use of the Property Assessment System. The Contractor's developed Training Plan shall include the delivery of user training, as well as the training of Assessor-Recorder staff to assume future on-going training responsibilities. The Plan document shall state the purpose and scope of the Training Plan that meets the requirements of this contract.

The Contractor shall provide a Training Plan that meets the requirements described above and, at a minimum, the following components to be approved by ASR's Project Manager and ASR Product Owner:

1. Detailed description of the training model for adult learners
2. Flow diagrams (work flow diagrams, process diagrams, etc.) and detail for the training curriculum for each functional area and integration into the end-to-end business process
3. Specific training curricula targeted and delivered to the different users in a manner that meets their specific needs including, but not limited to:
    a. Property Assessment System User training – shall focus on hands-on Property Assessment System usage to enable users to accomplish their day-to-day activities

b. Security administrator training – shall include instruction regarding use of query and custom reporting tools in order to monitor and research patterns of Property Assessment System use. This training shall enable security administrators effectively and efficiently fulfil their job duties to monitor and investigate system access, including, but not limited to, inappropriate access to records by users, identification of transactions performed by specific users, inappropriate extracts or downloads of data by users, and other patterns of use that may require intervention or corrective action
c. Property Assessment System Supervisor training – shall include courses identical to the Property Assessment System users as well as a separate training course that focuses on supervisory job functions such as assignments, approvals, controls and reports
d. Administrative and management staff training – shall have a management-oriented training course, including but not limited to development of basic dashboards created from pre-made modular content and an overview of the reporting and analytic capabilities of Property Assessment System, as well as use of Property Assessment System for decision support so that administrative and management staff have an understanding of what kinds of analysis they can assign Power Users to perform
e. Analyst training – shall focus on hands-on Property Assessment System usage to generate basic reports and use analysis features and use of Property Assessment System for decision support for both programs and executive management staff
f. Power User training – These users will perform advanced analysis of the aggregate data. Power User training shall focus on hands-on use of the business intelligence tools in Property Assessment System including, but not limited to custom query and development of specific business area analytics. Contractor shall ensure Power Users are made familiar with the Property Assessment System data model so that they may perform their job functions effectively and efficiently. Because most Power Users have specialized analytic software, training shall include any necessary instruction a Power User will need in order to transition data from Property Assessment System to analytic software
g. Trainer training – Contractor shall train individuals identified by ASR to become future trainers so that ASR may effectively and efficiently assume training responsibilities after the Property Assessment System implementation
h. Configuration Training – Contractor shall train individuals identified by ASR to be able to make configuration so that ASR may effectively and efficiently assume configuration responsibilities after Property Assessment System implementation
i. Constituents/Customer training – Contractor shall provide on-line training material to instruct Assessor-Recorder customers regarding accessing their own information through Property Assessment System and using features to participate in the management of their services. Customer training shall be developed to be self-service based, online, and incorporate the development and use of quick reference guides and frequently asked questions. Quick reference

guides and frequently asked questions will leverage the Knowledge component provided by the Salesforce platform.

j. Technical Administrator training – Contractor shall provide technical level training to instruct Assessor-Recorder Property Assessment System administrators and technical staff regarding Property Assessment System capabilities, operations, workflow, and System administration
k. Report Development training. This would include the development of report queries and ad hoc queries

4. Training Materials Development Plans
    a. Detailing the Role of the 'Training Team'
    b. Documentation style standards for the development of training material (e.g. document format, references, acronyms, font)
    c. Plan for review of training material
    d. Approach to prototyping and testing training materials with training customers
    e. Approach to modifying or adjusting training materials based on the results of the Evaluation of Training Effectiveness
    f. Job Aids/Tip Sheets or User Guides
5. Training Equipment Plans (including plans for training facilities and equipment)
6. Contractor shall provide Documented Evidence of Successful End-User Training at the end of each phase of training. Evidence shall include at a minimum:
    a. Tracking of employee attendance and completion of training course and modules
7. Training Methodology and Delivery Plans:
    a. Identification of the training mix including, but not limited to, web-based learning, in-person learning, learning-labs, and informal learning. Contractor will work with ASR customize each training to fit ASR's needs:
        i. Train the Trainer - up to 2 sessions will be conducted for each module/function and will be recorded
        ii. Direct End-User Training - Up to 2 sessions will be conducted for each module/function and will be recorded
        iii. Administrator Training
        iv. Salesforce Online Self-Paced Training
    b. Identification of plan to motivate and engage Property Assessment System users to learn about and use the system and complete the training
    c. The logistical plan for preparing and delivering the training solution including, but not limited to:
        i. End-user support website
        ii. Web-based navigation training
        iii. Training enrollment process
        iv. Tracking of users' completion of training
        v. Training locations and proximity to ASR
8. Training Schedule and timeline of training development, delivery, and evaluation.
9. Plan for Evaluation of Training Effectiveness at the end of each training.

a. Contractor Evaluation of training effectiveness shall be based on the Contractor's ValuePath methodology.
b. Plan shall include how Contractor will address any deficiencies in the proficiency of the current cohort of trainees based on the results of the evaluation of training effectiveness
c. Plan shall include how Contractor will modify or adjust training approach based on the outcomes of the Evaluation

While the training plan will include the appropriate details on timing and scheduling of activities, the following is a high-level summary of key milestones and related timing:

- Identify ASR trainers - during Definition Phase
  - This enables ASR trainers to be engaged throughout a project and have them understand the solution that is being built
- Define Training Approach - during Design Phase
  - This enables details for producing the training sessions, materials, and formats/channels.
- Outline Curriculum Map - during Build Phase
  - This represents an outline of the training modules that will be produced and related training courses.
- Attend UAT - during Validation Phase
  - This enables the training team to better understand the end-users and prepare realistic training scenarios.
- End-User Training & Train-the-Trainer Training - during Validation Phase
  - This enables the end users to effectively use the solution and ASR to have the appropriate means for training ASR staff after the implementation and on an ongoing basis.

6.2 Training Manuals, Guides and Materials

Contractor shall develop training materials in such a way as to allow for the capability of training to continue beyond initial deployment. Ownership of delivered and accepted training materials shall transfer to the ASR at the time of acceptance.

All training material shall have a consistent look and feel and shall be provided in a soft copy format so that ASR may easily make modifications to the materials if necessary. All training materials shall be maintained to reflect the latest version of Property Assessment System and the changes resulting from evaluations and use during acceptance, testing, and implementation. All training material shall be maintained on-line.

The Contractor shall be responsible for developing and providing training materials and for training ASR staff on System operation. The Contractor shall employ professional-level training staff (not technical staff) to prepare training and user materials. ASR shall have approval over the format/content of the training to be given. ASR and Contractor staff shall work together to develop the format/content for the training and user materials that the Contractor shall produce. These materials shall be provided to ASR in soft copy. ASR must accept these materials before they are distributed to ASR staff for use.

Training Manuals, Guides, and Materials shall include, but not be limited to:

1. Instructor/Trainer guides shall provide the ability for ASR staff to perform all training activities initially provided by the Contractor on an ongoing and continuing basis
2. Trainee packages shall provide the trainees exercises and usable examples with which to practice the lessons provided during formal training (for all user training types, including end users, power users, administrators, and any others mentioned in the sections above)
3. System user's manual shall provide non-technical Property Assessment System information as related to business functions in the explanation of Property Assessment System features, functions, modules and tools and the detailed procedures for using the proposed Property Assessment System
    a. The System user manual shall be designed for ease of use so that any user, regardless of his or her function, can readily locate, identify, understand and use the information
    b. The manual shall include copies of all screens with instruction on the use and function of each, including the definition of all data elements. System user manual shall include a catalog of all reports, forms, letters, and other system-generated documents (generated either automatically by the system or by the user)
    c. The manual shall include workflow diagrams that enable the user to understand the flow of activities necessary to perform business functions
    d. The manual shall include a description of the problems and issues that may arise while using the Property Assessment System and the procedures for resolution
4. Desk aids shall provide, at a minimum, quick access to solutions and information which users most frequently need (including Frequently Asked Questions, etc.)
5. User tips which shall be designed as short message reminders about short-cuts, features, and other relevant information to promote end-user adoption and use of the Property Assessment System
6. Quick reference guides that provide a concise bundle of condensed notes about various system functions
7. ASR to develop cross walks of prior functionality / activities to current functionality / activities as needed

Training Materials

Additionally, for each completed functionality set to be deployed, the Contractor must provide documentation in the form of "step-by-step manuals." This documentation shall include the following types of information:

For a business user audience –

A list of all included documentation and its use (i.e., use, configuration, administration, etc.)

A description of how to use the System based on user roles and responsibilities
A description of all screens and how they are interrelated
A list of prebuilt reports and their descriptions
A description of the key data tables, elements, and their contents
A description of all help and navigation functions and how to use them, including informational graphics and story boards
A description and diagram of the workflows

For a technical user audience –

A complete list of error messages, their descriptions, and how to resolve the errors
How to troubleshoot common System problems
How to perform ASR-specific system maintenance functions
A listing of key logs and guidance for interpretation
Key System capaASR management considerations
Key security management functionality and security matrix
Documented process for creating, changing, or deleting user Property Assessment System accounts
Documented process for managing user roles & privileges
Contact information for receiving support
Where to find disaster recovery and business continuity information related to the System
A listing of integrations and how to troubleshoot communications problems
System flow diagrams, data flow diagrams, system integration diagrams, and workflow diagrams

6.3 Knowledge Transfer

Contractor's Knowledge Transfer plans identify the specific roles that would be required to support and maintain the system. Contractor will be responsible for creating the plan and for ascertaining the level of support the ASR should anticipate to provide support, maintenance and enhancements to the system. The Knowledge Transfer plan will also identify the appropriate number and type of sessions conducted (e.g functional, technical). This information will be necessary to determine the specific skill sets, time commitment and cost to enable knowledge transfer to the appropriate ASR personnel.

Once the plan has been established, the following actions and meetings will be established to ensure that knowledge is adequately transferred to ASR employees:

A. Technical knowledge transfer will be done throughout the project as part of our design review process as well as during admin training.
B. ASR IT staff and Contractor will jointly determine a schedule to facilitate technical KT sessions.
C. Contractor will record design review sessions for distribution to ASR IT resources to review.

D. Contractor technical staff will do a comprehensive technical review of the solution, code, architecture, configuration with ASR IT resources.
E. Contractor will conduct a basic training for the designated system administrator covering key functions such as adding new users, more in-depth report generation, and changing security profiles. In addition, monitoring interface routines, obsolete user accounts, etc.
F. Contractor will conduct a training session focused on core administration (adding users, security setup, modifying page layouts, change sets, etc).
G. Contractor will conduct a training session focused on reporting and dashboards (focusing on making updates, training ASR users on how to author/modify their own reports).
H. Sessions will be recorded and made available for distribution and archiving.
I. Contractor will conduct a training session(s) focused on maintain and developing both workflow and business rules (will include overview of current configuration and customizations).
J. ASR Product Owners will be primary leads to foster knowledge transfer for business units for business processes. Contractor will use train-the-trainer approach as appropriate to train Product Owners so they are experts in functionality and usability to continue knowledge transfer to SMEs and staff.

6.4 Ongoing Training

If additional training (including refresher training) can be completed within the project plan with existing Contractor training resources it will be provided at no additional cost. Contractor and ASR will mutually agree that the additional training will not disrupt originally planned training activities. If not, training will be provided at Contractor's standard training rates.

Roles and Responsibilities

Topic	Contractor	ASR
Training Plan	1. Contractor will develop a training plan	1. ASR Project Manager and ASR Product Owners will review and approve.
Project Training	2. Contractor shall provide professional level training staff specializing in business systems training.	2. ASR will participate in the project training.
Training Manuals, Guides and Materials	3. Contractor will develop training materials in such a way as to allow for the capability of training to continue beyond initial deployment.	3. ASR Product Owners will approve the training materials.
Knowledge Transfer	4. Contractor will develop and execute the Knowledge Transfer plans	4. ASR will participate in the knowledge transfer.

Topic	Contractor	ASR
Release Readiness Evaluation Report	1. Contractor will develop a Release Readiness Evaluation Report	1. ASR Project Manager and ASR Project Director will review and approve.
Documentation in the form of "step by step manuals"	2. Contractor will develop documentation in the form of "step by step manuals".	2. ASR Project Manager will review and approve the documentation.

7 Release Management

7.1 Release Readiness Evaluation and Report

The Contractor shall develop and provide a Release Readiness Evaluation and Report for each major release (R1, R2, R3) of software provided to ASR. The Contractor should assume ASR will employ a structured Release Management process during the testing and deployment of System components that will be led by the Assessor-Recorder's Project Manager.

The report shall consist of an updated Release Readiness notification and updated documentation to describe all required System operational activities—including guidance on System maintenance and enhancement practices, tools, and approaches. The report must encompass System functionality from a remote user's perspective, an ASR business user's perspective, and from an information technology and system operations/Administrator perspective.

The Contractor shall provide a Release Readiness Evaluation and Report for each release of software provided to ASR. The Release Readiness Evaluation and Report shall include an overall assessment of the state of the software being considered for release and an analysis (in writing) as to whether it meets the exit criteria contained in the appropriate Test Plan as well as the Release Criteria documented below.

1. Release Test Coverage Matrix and Results
2. Release Functionality
3. Release Integrations and Data Stores
4. Release Hosting Requirements, if applicable
5. Release Support and Maintenance Requirements
6. Release Test Strategy and Plan
7. Release regression test results
8. Release Report of defects or punch list
9. Data Migration and Integration Readiness
10. Change Readiness Assessment Complete
11. Communication Plan Fulfilled

12. Detailed Step-by-Step Cutover Plan & Schedule (Go-Live Checklist)
    a. the specific time frame and activities associated with the full functionality roll-out of each functionality grouping, any other proposed Property Assessment System phases, and the overall complete roll-out of all functionality into the production environment
13. Go-live plan including major tasks for each phase
14. Points-of-contact to include individual names and contact information for key/critical personnel from the Contractor, and Assessor-Recorder
    a. All critical resources (Contractor, ASR, and/or any identified third parties) have been identified and are available to support deployment activities
15. Security Matrix confirmation
16. Go/No-go criteria and rollback/contingency considerations & plan.
    a. Communications have been developed, documented, and provided to stakeholders informing them of the deployment process and status
    b. Contingency plans are in place to deal with System Deployment issues that may arise
17. A detailed back-out and recovery Process has been documented that will be triggered if the release to production fails. The back-out and recovery process shall ensure that the old System is maintained and restored if necessary and all data remains available to ASR users with no impact to their job function or activities

Management Reporting – The defect tracking system shall provide recurring reports to ASR Project Manager throughout the Project. The release management plan shall document any software development needs and how the Contractor's release activities and processes shall be managed, tracked, and audited (from both a Project management and configuration control perspective), to ensure the delivered Property Assessment System and components meet the quality standards and requirements required by the contract. In addition, the plan shall provide a comprehensive explanation of how the Contractor will integrate its software release process into any ASR release schedules or processes.

7.2 Technical Change and Release Management

As part of the proposed Property Assessment Solution, the Contractor shall be responsible for Technical Change and Release Management activities. These include all tasks required to manage and document (e.g. through impact analysis, version control, library management, turnover management, build management, parallel development) changes to the system and any of the system components being developed. Change and Release Management also includes all tasks required to appropriately manage and document changes to the underlying System development environment components. Contractor activities shall include the following:

1. **Library Management**—the classification, control, and storage of the physical components of the System

2. **Version Control**—the maintenance, tracking, and auditing of modifications to a System's components over time, facilitating the restoration of the System to prior development stages
3. **Turnover Management**—the automated promotion of software changes across different phases of the life cycle (e.g. development/configuration, unit test, systems test, and production), including management of the approval process, production turnover, and software migration control

7.3 Deployment Bill of Materials (for each major Release (e.g. R1, R2, R3)

In preparation for System deployment, the Contractor shall ensure that the system can be assembled and installed in the proposed environment. The specific items that the Contractor shall deliver will be documented in a Deployment Bill of Materials. The Bill of Materials shall contain all the information required to assemble the system and supporting infrastructure in order to place the new System into production for each major release (R1, R2, R3). This would include all of the migrations within a given release. The Contractor shall include the following components in the Deployment Bill of Material (for each phased release if applicable, or for the entire System when fully completed):

1. A list of all components comprising the System
2. A list of all executables necessary to make the System operational
3. All technical documentation including specifications, installation guides, systems administration manuals, and test plans
4. Level 1 and Level 2 help desk scripts (or any variation of scripts as agreed upon with ASR in the final contract)
5. Standard and customizable features including a 'how to customize' guide
6. A list of all COTS software required by the System to make it operational including database engines, operating systems (and associated releases or service packs), compilers, configuration management software, editors, testing software and integration engines (as applicable, depending on the proposed solution delivery model)
7. A list of support functionality required to make the System operational including LAN/WAN connectivity, Internet/Intranet connectivity

7.4 System Deployment

The Contractor shall deploy the Property Assessment System in accordance with the Deployment Plan deliverable. The Contractor shall track and monitor progress towards the Deployment Plan deliverable and identify, escalate, and resolve issues and risks in accordance with the Project Management Plan.

7.4.1 Resources During Deployment

Contractor's project team will be available during deployment activities. The project team will work with ASR during the project to ensure that our deployment support meets ASR's needs. Deployment support will include the following:

1. As part of the Communication Plan, Contractor will articulate what the deployment plan is prior to go-live, frequent status updates during deployment, and post-deployment communications to ensure end users are aware of the channels available to them to gain support and issue resolution.
2. During deployment, Contractor will have a combination of onshore and offshore resources available to support deployments around the clock. This will enables the Contractor to ensure that data loading activities, and those activities that take longer can be running around the clock ensuring minimal impact to ASR Users.
3. Contractor will create posters, and other physical communication mechanisms to ensure people are aware of status and the support that is available to them.

7.4.2 System Incident and Corrective Action Reports

The Contractor shall document all incidents and defects that occur during System Deployment that are part of the defined system scope and communicate with ASR within a reasonable, agreed upon time frame. The System Incident Report must contain the priority of the incident as identified in the final contract's Service Level Requirements, a description of the incident, incident resolution status, and the proposed course of action for remedying all open incidents.

7.4.3 System Defect Resolution Reports

All within scope defect resolution requests that occur during the sign off period must be documented and communicated with ASR within a reasonable, agreed upon time frame. The Defect Resolution Report must contain the description of the maintenance request, resolution status, and the proposed course of action for remedying all open defect resolution requests.

All changes and fixes will be implemented based on a mutually agreed upon schedule. Changes will go through all phases of testing by the Contractor and ASR. The Contractor shall document the test results and provide them to ASR for approval before a decision is made to put a new release into production. At the conclusion of any Property Assessment System changes, the Contractor shall update all required system documentation as appropriate and provide it to ASR.

The Contractor shall provide **System Incident** and **Defect Resolution Reports** to ASR that include the elements described above.

Roles and Responsibilities

Topic	Contractor	ASR
Project Team Availability	1. Contractor's project team will be available during deployment activities.	1. ASR Project Manager will review and approve.

System Defect Resolution Reports	2. Contractor will provide a System Defect Resolution Reports.	2. ASR Project Manager will review and approve.

Roles and Responsibilities

Topic	Contractor	ASR
Deployment Plans	1. Contractor will provide a detailed Deployment plan.	1. ASR Project Manager will review and approve the Deployment plan.
Deployment Bill of Materials	2. Contractor will provide a Deployment Bill of Materials	2. ASR Project Manager will review and approve.
Production Support staffing plan	3. Contractor will develop a Production Support staffing plan.	3. ASR Project Manager will review and approve.
Help Desk Issue Managemen t Software	4. Contractor will use a help desk issue management software suite to collect and track all issues.	4. ASR Project Manager will review the contents of the help desk issue management software suite on a regular basis.
System Incident Report	5. Contractor will document all incidents and defects that occur during System Deployment	5. ASR Project Manager will review and approve system incident report during system deployment.
Defect Resolution Report	6. Contractor will document all defect resolutions that occur during the sign off period.	6. ASR Project Manager will review and approve.
Updated system design documents	7. Contractor will assemble, update and provide an updated Complete System Design requirements and specifications after each implementation of a functionality set.	7. ASR Project Manager will review and approve.
System Deployment	8. Contractor will execute the deployment of the Property Assessment System.	8. ASR Project Manager will approve the execution of the deployment.

8 Disaster Recovery

The Contractor will provide Disaster Recovery (DR) guidance and participate in execution (if necessary) in accordance with the ASR's disaster recovery plan. The DR plan should include testing of the disaster recovery capabilities for production prior to going live for each phase. The ASR will be responsible for planning and executing the disaster recovery testing.

9 Upgrades, Patches and Fixes

Contractor will establish criteria and plan for coordinating environment software upgrades. These upgrades include, but not limited to:

A. Patches & Fixes
B. Applying software upgrades

Work products will be created explaining the related approach, activities, procedures, tools, and templates. These work products include:

1. Configuration migration procedures
2. Object/code migration procedures
3. Methodology for developing and applying software patches and fixes

Throughout the Project, the Contractor will apply fixes, patches and bundles as needed, when available from Salesforce and in consultation and coordination with the overall project team. Fixes, patches, and bundles will not be applied after the start of testing and before the end of production stabilization, except for when the fix, patch, or bundle addresses a particular critical or high priority defect and has ASR Project Manager approval.

Roles and Responsibilities

Topic	Contractor	ASR
Environment Software Upgrades	1. Contractor will provide an Environment Software Upgrade Plan	1. ASR Project Manager will review and approve.

9.1 System Documentation During Warranty

At the completion of the Project, the Contractor shall conduct a review with ASR and identify any and all documentation that must be updated from the master list of deliverables in Section 5 as a result of changes during the 90 day warranty period. The Contractor shall update the documentation and provide it to ASR for review and Final Acceptance.

1. Functional Design Documentation

2. System Maintenance, Support, and Transition Plan

The Contractor shall also transfer all finalized required documentation to ASR. The format and transfer medium will be jointly agreed to between ASR and Contractor. The Contractor shall provide the following documentation to ASR:

1. Statement of known System limitations, defects, issues that could impact operations, and/or existing System workarounds

9.1.1.1 Warranty Support for Each Phase

During the Warranty Period for each Phase, Contractor's Project Team shall:

1. Closely monitor the newly deployed System and user activity
2. Assign appropriate resources to resolve issues
3. Rapidly detect and escalate issues as required and quickly resolve and communicate resolution
4. Provide onsite support during the first roll close

Before Final Acceptance the Contractor and ASR will jointly assess the status of the implementation and review the status of outstanding issues.

Roles and Responsibilities

Topic	Contractor	ASR
Final acceptance sign off	1. Contractor will update all documentation and provide it to ASR for review and final acceptance.	1. ASR Project manager will review and approve.
Declaration of Original Work (DOW)	2. Contractor will provide a written declaration stating it has delivered a satisfactory license to all software in the system.	2. ASR Project Manager will review and approve.
Statement of Limitation and Defects	3. Contractor will provide a statement of know system limitations, defects, issues that could impact operations and/or existing system workarounds.	3. ASR Project Manager will review and approve.
Production Support for 90 days before Final Acceptance	4. Contractor will provide production support for 90 days before final acceptance.	4. ASR Project Manager will monitor production support activities and escalate issues to the Contractor if necessary.
Status assessment	5. Contractor and ASR will jointly assess the status of the implementation and review the status of outstanding issues and adherence to SLRs.	5. ASR will jointly assess the status of the implementation and review the status of outstanding issues and adherence to SLRs.

10 Project Closeout

The purpose of Implementation Closeout activities is to identify the conclusion of the Implementation Project and gather the required approver signatures. This document will signify that all required deliverables for the Implementation Project have been completed and approved with the date of approval for each deliverable indicated. The document shall also list the status of each of the Exit Criteria.

10.1 Documented Implementation Project Closeout

The Contractor shall provide Documented Implementation Project Closeout to include, at a minimum, the elements described above and the following components:

1. ASR validation that all exit criteria have been met for the Implementation Project, inclusive of any/all proposed phases of delivered functionality
2. ASR validation that all deliverables for contracted requirements, functionality, and system capabilities have been provided, accepted, and placed in the Project Artifact repository (ASR's SharePoint and/or Confluence/JIRA)
3. ASR validation of the User Story Traceability Matrix (aka, Requirements Traceability Matrix-RTM)
4. ASR validation of the proposed system via completed User Acceptance Testing
5. ASR validation of the complete and accurate management of defect and issue tracking
6. Contractor completion of warranty period, inclusive of successful roll close

Roles and Responsibilities

Topic	Contractor	ASR
Implementation closeout report	1. Contractor will provide documented Implementation Project Closeout report.	1. ASR Project Manager will review and approve Implementation Project Closeout report.

10.2 Lessons Learned

The Contractor will close each major phase by conducting a "Lessons Learned and Project Closure" meeting with all necessary stakeholders. This is where any remaining issues will be addressed, and we can discuss any follow-on requirements at this time.

10.3 Analysis of User Adoption

Post Go-Live as part of our Change Management process, a Sapient Change Manager will conduct an analysis of user adoption and usage. Validation of user adoption will occur and strategies will be recommended to improve adoption. Sapient will create reports in Salesforce based on Change Management Workshop defined baselines. These reports will help identify adoption metrics to assist Change Managers in proactively providing end-user support. The currently performance (metrics) will be compared against the baseline (created in the level set stage) and will be evaluated for usage, performance, operations and adoption.

Sapient's SuccessPath Change Management methodology uses a four step process which will look to build an agency paradigm of change for ASR:

Evolve Stage
In the Evolve phase we will work jointly with the ASR Project Manager to evaluate the status of success of the project via usage and performance metrics. This is executed at defined milestones well after the implementation has been completed.

Performance Analysis	Analysis of usage, performance and operational metrics against the baseline defined in the Level Stage
Advanced Education	Training of end users and management in more detailed topics using Salesforce which were not covered during initial training or a training need was uncovered during initial use of the application
Post Release Change Management	Adoption and performance health checks at defined milestones of the project. The main goal will be to ensure that adoption goals are met, performance goals are being achieved and to define gaps or tweaks needed in the current application to optimize the usefulness and effectiveness of the application in its environment
Future Infrastructure Planning	Vertiba has developed the SuccessPath artifacts to utilize best practices and process in change management. Therefore the documentation provided is developed so that it can be leveraged for future projects

Contractor will provide ASR with a designated Post-Live Lead, a leadership contact to guide ongoing improvement and facilitate connections to the programs from which ASR would benefit most.

Roles and Responsibilities

Topic	Contractor	ASR
Post-Live Improvements	1. Contractor will provide recommendations for post-live improvements	1. ASR Project Manager will review.

10.4 Support Transition Plan

The Contractor shall provide a written plan for the maintenance, support, and transition of the System into the Production Environment. The Contractor shall provide support, guidance and knowledge transfer to ASR for integration technologies to be used by the System ongoing. The plan should align with the proposed delivery model.

The following documentation, at a minimum, shall be prepared by the Contractor and included in the System Maintenance, Support and Transition Plan provided to ASR:

1. Development of a System support structure and organization, including estimates of the Contractor and Assessor-Recorder manpower requirements to support operation and maintenance of the System
2. The skill sets required to operate and maintain the System should be specified, with recommendations of the skills, knowledge, and abilities required by Assessor-Recorder business and technical staff
3. System Installation and Administration Manual
4. Operating procedures manual, including diagnostic procedures, backup and restore procedures and disaster recovery procedures
5. Maintenance manual, including Information to aid in analyzing and debugging the software, apart from information already available in other delivered documentation
6. Maintenance and repair policies and procedures
7. System “Run Book” as defined by ASR

Exhibits

Exhibit 1 – Contingency Change Order Template

Sample

Contingency Change Order No. CCOXXX – (TITLE)

General Information

Date Requested: (Date)

Requested by: (ASR project resource making the request)

Assigned to: (project team member who completed the Contingency Change Order form)

Priority: (priority number – description, e.g. 1 – Urgent and Major Impact, 2 – Urgent and Minor Impact, 3 – Not Urgent and Major Impact, 4 – Not Urgent and Minor Impact)

Background

(Describe the current situation and the problem.)

Full Work Description

(Describe detailed solution, reason for the change, implications of not making the change, assumptions, and list business requirements.)

Deliverables

Below is a list of deliverables identified by the ASR that requires development or revision by the Contractor due to this work authorization. The parties understand and agree that additional deliverables requiring development or revision may be identified at a later date.

The Contractor shall exercise a good-faith effort to identify and list in this work authorization deliverables that require development or are impacted by this work authorization.

The Contractor shall develop or revise, as applicable, each identified deliverable in accordance with the Agreement. The Contractor shall complete the development or revision within a timeframe to be mutually agreed upon by the parties.

New Deliverables (ASR defined)

EXAMPLES:

- Work Authorization Design Specification (WADS)
- Work Plan
- Test scenarios and test results

Deliverable Revisions

Deliverable Title	Approved Deliverable Acceptance Criteria (DAC)	Deliverable Update

		(ready for distribution prior to work authorization implementation)
1.		
2.		
3.		

References

- (Contract sections, other work authorizations, request for proposal, etc.)

Schedule Dates

Estimated Start Date	Estimated Completion Date *

* Completion date is defined as the date the Contractor implements change(s) into the production environment. The completion date does not imply acceptance criterion is met or the work authorization is approved for payment.

Work Authorization Proposed Work Plan

ASR's Proposed Work Plan Schedule	
Milestone	Estimated Completion Date *
Initiation Deliverable	
Work Authorization Execution (requirements review/approval)	
Deliver Work Plan	
Implementation Deliverables	

* Estimated completion dates are determined by the ASR in coordination with the Contractor; however, the actual dates will reside in the mutually agreed upon Work Plan to be provided five(5) business days from the date of work authorization approval to commence work.

Pricing

Staff Assigned	Staff Position	Materials	Labor Hours	Hourly Labor Rate	COST
1.					
2.					
3.					

Contractor Task and Responsibilities

1. (to be completed by the Contractor)
2. (to be completed by the Contractor)

Completion Criteria

1. (to be completed by the ASR)
2. (to be completed by the ASR)

ASR Responsibilities

1. Participate in and oversee the Contractor tasks and responsibilities.
2. (to be completed by the ASR)
3. This work authorization will be performed in accordance with the applicable provisions of the Agreement.

Approvals

ASR AND COUNTY OF SAN FRANCISCO	CONTRACTOR
____________________________	____________________________
PROJECT DIRECTOR NAME ASR Project Director	PROJECT DIRECTOR NAME Contractor Project Director
____________________________	____________________________
Date	Date

Exhibit 2 – Sample Deliverable Acceptance Criteria Document (DAC)

1. **Deliverable Name (Number as appropriate) and Description**
2. **Deliverable Revision History**

Party/Person	*Date*	*Version*	*Action*
		1	

3. **Deliverable Format**
4. **Deliverable Acceptance Criteria**
   a. **xxx**
   b. **xxx**
   c. **xxx**
5. **Conditional or Final Approval**
6. **Assumptions and Open Items**
7. **Review Owner**

This DAC was completed according to the requirements of the Agreement

Submitted by (Contractor signature) Position title Date

Approved by (ASR signature) Position title Date

Exhibit 3 – Private or Confidential Information

The Property Assessment solution will contain personally identifiable information (PII) and sensitive personal information (SPI). The following is a list of PII Data (as defined by NIST Special Publication 800-122) that will be part of the Property Assessment solution.

1. Full name
2. Marital Status
3. Home address
4. Email address (if private from an association/club membership, etc.)
5. Social Security number
6. Date of birth
7. Telephone number
8. Login name, screen name, nickname, or handle
9. Taxpayer ID

Any additional private or confidential fields (if needed) will require an official notification to the Contractor by ASR

Exhibit 4 – City Standards

Application Development Specifications:

1. **Sensitive, Confidential or Restricted Data Review** –Contractor must conduct a review with the City to identify any sensitive CCSF data that will be processed as part of the solution. A list of private and confidential information is listed in the "Private and Confidential" section (Exhibit 3)
2. **Security Requirements** – Applications must be designed with security and privacy in mind. Each development specification document produced for CCSF applications must include information security and data privacy requirements. Security and data privacy requirements must be identified as such within the specification document. User Story acceptance criteria must include applicable security criteria.
   a. **Logging of Security Events** – All application code developed or purchased by CCSF must produce a log of security-related events in an approved industry-standard format. Logs must be exported to an approved logging collection and monitoring system.
   b. Application Security Requirements
      1. **Input Data Validation and Rejected Item Handling** - All transactions to be input to a production computer system must be subjected to reasonableness checks, edit checks, or validation checks, and transactions that fail such checks must either be rejected with a notification of the rejection sent to the submitter, corrected and resubmitted, or suspended pending further investigation.
      2. **Passwords into Software** - Passwords must never be hard-coded in software developed by or modified by CCSF workers.
3. **Secret User IDs or Passwords** - Developers must not build or deploy secret user IDs or passwords that have special privileges, and that are not clearly described in the generally available system documentation.
3. **Security Code/Test Review** – The information security and data privacy requirements within the application specifications and design must be reviewed by designated security personnel (City). Contractor will review the code/results of the security/penetration tests with the City.
4. **Initial Application Criticality Classification** – Each application built or acquired by CCSF must have an initial application criticality classification. This rating will specify the overall level of security of the system, as well as the required recovery time for any system disruption. ASR will complete the Criticality Classification application document provided by the City.
5. **Open Source and Third-Party Library Inventory** – Part of the required documentation for each CCSF developed application is a list of all third-party software packages used within the application. These include but are not limited to linked libraries, database applications, and encryption packages.

6. **Version Control** – Source code must be maintained in version control systems

Training Requirements

1. **Training Required** - All workers (both City employees and Contractor) involved in the developing of CCSF business applications must receive training on secure coding principles.

Outsourced (Third Party Contractor) Development

1. **Policy Acknowledgement** – All third-party contractors involved in the development of CCSF applications must read and acknowledge understanding of application security requirements (ASR will provide the same to Contractor).
2. **Restricted Disclosure** - The contractor shall not publish or disclose in any manner, without the contracting officer's written consent, the details of any safeguards either designed or developed by the contractor.

Open Source Software

1. **Conditions for Use of Open Source** - Contractor must not employ open source software for any production information system unless this software is approved by the City Contractor will make every effort within reason to ensure that such open source software is widely used i.e. software is known to be readily supported by a wide variety of technical consultants from different organizations. ASR will review and approve the list of Open Source software. The current list of ASR approved Open Source Software is in Exhibit 7

Application Development and Testing (will be documented and reviewed with ASR as part of the design and testing strategy documentation)

1. **Testing Data Sets** – To maintain the security and privacy of its residents, visitors and clients, Contractor must limit the amount of sensitive, confidential or restricted data that gets duplicated, stored and transmitted. Social security numbers must not use real data for testing purposes unless approved by ASR.
    a. **Sanitized Data Sets** - Software testing for systems designed to handle sensitive, confidential or restricted information must be accomplished with "sanitized" production information. Sanitized information is production information which no longer contains specific details that might be valuable, critical, sensitive, or private.
    b. **Third-Party Testing** – Contractor must not employ any third party to test applications which process sensitive, confidential or restricted data unless test data has been sanitized.
2. **Web Code Review Tools** - Prior to being moved to production status, all custom software to be run on web servers that are available on public internet must be tested for security vulnerabilities. High-risk security vulnerabilities discovered by the testing must be fixed prior to cut-over to production operation.
3. **Test Data Removal** - Test data and accounts must be removed before a production system becomes active.

Vulnerability Analysis and Testing

1. **Vulnerability Analysis before Release** – Before being released into production, all CCSF business applications must undergo a vulnerability analysis and penetration testing.
2. **Regular Vulnerability Analysis for Web-Based Production Applications** – All CCSF web applications that are available to the public internet must have period monitoring for

vulnerabilities. Vulnerability analysis must be based on, at a minimum, the most recent list of common vulnerabilities available from Open Web Application Security Project (OWASP).

Documentation and Source Code

1. **Documentation Confidentiality** - All documentation related to application security is confidential and must not be taken elsewhere when a worker leaves the Contractor.
2. **Software Features and Functions Documentation** - All features and functions of software released to the public must be fully revealed in the documentation provided to users. Contractor must not build any covert software features or functions. This is incompatible with the honest and forthright manner in which City conducts its business.

Exhibit 5 – Project Staffing Chart

SF Assessor's and Sapient's Property Assessment Solution
DRAFT Sapient's Staffing Plan

Definition Phase | Phase 1 | Phase 2 | Phase 3 | Ongoing Maintenance

Nov '18 | Dec '18 | Jan'19 | Feb '19 | Mar '19 | Apr '19 | Qtr 2 '19 (May - June) | Qtr 3 '19 | Qtr 4 '19 | Qtr 1 '20 | Qtr 2 '20 | Qtr 3 '20 | Qtr 4 '20 | Qtr 1 '21 | Qtr 2 '21 | Qtr 3 '21 | Qtr 4 '21 | Qtr 1 '22 | Qtr 1 '22

Role	Roles & Responsibilities	Assumptions	% Onsite (of the % alllocated)	Phases	Allocation	
Client Partner	• Ensure the appropriate roles and resources are allocated to the team • Ensures City's expectations are being met or exceeded • Escalation point for help and support	• 10% allocated	50%	Def, Ph 1, Ph 2, Ph 3	0.10	
Engagement Manager	• Primary point of contact for the relationship between the City & Sapient • Ensures City's expectations are being met or exceeded • Represent Sapient leadership during Steering Committee meetings • Provide contract management support • Escalation point for risks, issues, and support	• 20% allocated	80%	Def, Ph 1, Ph 2, Ph 3	0.20	
Delivery Lead	• Support team with best practices • Ensure performance of team • Quality review of key deliverables	• 5% allocated	20%	Def, Ph 1, Ph 2, Ph 3	0.05	
Program Manager	• Establish and fulfill program governance • Ensure agreed-to scope, timeline, resources are being properly fulfilled • Provide guidance on the completion of deliverables	• 20% allocated	80%	Def, Ph 1, Ph 2, Ph 3	0.20	
Project Manager	• Creation and maintenance of project plan • Iteration Planning • Status reporting • Risk & Issue Tracking • Backlog Management • Offshore Communication Management	• 100% allocated throughout all phases	80%	Def, Ph 1, Ph 2, Ph 3	1.00	
Functional Lead	• Primary facilitator of analysis and design sessions • Provide guidance and direction to team of Business Systems Analysts • Provide quality assurance on deliverables • Provide subject matter expertise on the appropriate use of the Salesforce platform.	• 80% allocated	80%	Def, Ph 1, Ph 2, Ph 3	0.80	
Business Analyst	• Help facilitate analysis and design sessions • Understand requirements and document user stories for confirguration/development	• 100% allocated	80%	Def, Ph 1, Ph 2, Ph 3	2 to 5	1 to 3
System Architect	• Generate and maintain overall solution architecture that fulfills business needs • Ensure team understands and fulfills solution architecture • Provide assistance during issue resolution • Provide subject matter expertise on the appropriate use of the Salesforce platform.	• 70% allocated	80%	Def, Ph 1, Ph 2, Ph 3	0.70	
Data Architect	• Generate and maintain data architecture/model that fulfills business functions and capabilities • Ensure team understands and fulfills data architecture/model • Provide oversight, guidance, and direction to team during data migration activities	• 100% allocated throughout all phases	80% during definition, up to 20% afterwards	Def, Ph 1, Ph 2, Ph 3	1.00	
Security/Privacy Lead	• Develop security and privacy plan to ensure the relevant requirements are accounted for and included in the solution • Coordinate all security and privacy-related activities and resources to ensure the plan is fulfilled per the schedule • Oversee and QA all security and privacy-related deliverables to ensure they fulfill the expectations outlined in the contract and requirements of the solution	• 10% allocated	80% during definition, up to 10% afterwards	Def, Ph 1, Ph 2, Ph 3	0.10	
Business Intelligence Lead	• Develop Business Intelligence (BI) plan to ensure the relevant requirements are accounted for and included in the solution • Coordinate all BI-related activities and resources to ensure the plan is fulfilled per the schedule • Oversee and QA all BI-related deliverables to ensure they fulfill the expectations outlined in the contract and requirements of the solution	• 20% allocated	80% (as of the 20%) as needed in other phases	Def, Ph 1, Ph 2, Ph 3	0.20	
Training Manager	• Develop training strategy and plan to drive maximum adoption and usage • Coordinate all training activities and resources to ensure the plan is fulfilled per the schedule • Oversee all training sessions to ensure users are properly enabled and knowledgeable on how to use the solution on a go-forward basis	• 10% allocated	75%	Def, Ph 1, Ph 2, Ph 3	0.10	

Application Development Lead	• Provide oversight, guidance, and direction for all application development activities and team members • Evaluate and ensure the appropriate levels of throughput from the team • Facilitate scrum meetings • Escalation point for resolution of technical issues	• 80% allocated	80% during definition, as needed in other phases	Def, Ph 1, Ph 2, Ph 3	0.80	
Project QA Lead	• Develop Quality Assurance (QA) plan to ensure the project is fulfills the goals, objectives, requirements, and desired outcomes of the City. • Coordinate all quality-related activities and resources to ensure the agreed-to scope, resources, timeline, and expectations are being fulfilled per the plan • Oversee and perform final QA on all deliverables submitted by each respective lead to ensure they fulfill the expectations as outlined in the contract	• 5% allocated resource	80% during definition (of the 5%), as needed in other phases	Def, Ph 1, Ph 2, Ph 3	0.05	
System Test Lead	• Provide oversight, guidance, and direction for all testing activities and team members • Generate QA strategy and plan • Track and report status on all QA activities • Ensure test cases fulfill agreed-to business requirements and scope • Publish release notes for each phase of the solution	• 100% allocated resource	80%	Def, Ph 1, Ph 2, Ph 3	1.00	
Web Lead	• Develop plan for fulfilling the requirements and expectations of to web portal component of the solution • Coordinate all web-related activities and resources to ensure the plan is fulfilled per the schedule • Oversee and QA all web-related deliverables to ensure they fulfill the expectations outlined in the contract and requirements of the solution	• 20% allocated	80% during definition (of the 20%), as needed in other phases	Def, Ph 1, Ph 2, Ph 3	0.20	
Deployment Lead	• Develop plan for deploying the solution across the appropriate environments throughout the project lifecycle • Coordinate all deployment-related activities to ensure the solution is accurately represented and available to team members for each stage of the project (iterations, testing, training, final deployment to production) • Oversee and QA all deployment-related deliverables to ensure they fulfill the expectations outlined in the contract	• 10% allocated	80% during definition (of the 10%), as needed in other phases	Def, Ph 1, Ph 2, Ph 3	0.10	
Lead Property Assessment SME	• Provide subject matter expertise on business capabilities and functions during analysis and design discussions • Review and provide feedback on analysis and design-related deliverables • Assist team during QA activities to ensure solution fulfills business needs and requirements	• 100% during Definition, up to 50% afterwards	80% during definition, as needed in other phases	Def, Ph 1, Ph 2, Ph 3	1.00	up to 0.5
Legacy System SMEs	• Provide subject matter expertise re: the legacy system as needed • Ensure data from legacy system is properly transitioned to new solution	80% during data migration, up to 50% otherwise	up to 50%	Def, Ph 1, Ph 2, Ph 3	0.80	up to 0.5
Salesforce Customer Success Manager	• Provide subject matter expertise on the appropriate use of the Salesforce platform • Point of contact into entire Salesforce team/support ecosystem • Communicate key features and functions of each Salesforce release • Provide quality assurance on Sapient deliverables	• Up to 50%	up to 50%	Ph 1, Ph 2, Ph 3	up to 0.5	up to 0.5
Software Development, Configuration and Implementation Services	•Requirements Review, Salesforce Configuration, Apex Coding, Unit Testing, QA etc		NA	Ph 1, Ph 2, Ph 3	0 to 2	5 to 12
Data Conversion Support and Services	• Data Conversion: Plan, Analyze and Map, Import into Sandbox, Import into Production		NA	Def,Ph 1, Ph 2, Ph 3	0 to 2	1 to 3

SF Assessor's and Sapient's Property Assessment Solution

DRAFT _Sapient's Staffing Plan

#	Assumption
1	The draft staffing plan is currently an estimate based on the RFP scope (will be revisited working during the definition phase)
2	Multiple roles will be fulfilled by a single person where appropriate when within capacity needed to fulfill the role
3	Resources are a range with peak numbers provided
4	The maximum percentage onsite is based on the total amount the resource is allocated.

Exhibit 6 – Requirements

1 – Parcel Management

ASR 1.01 – Recorded Maps (3 pages)

ASR 1.02 – Parcel Information Updates

2 – Ownership and Transfers

ASR 2.01 – Identify and Process Recorded and Unrecorded Documents (3 pages)

ASR 2.02 – Unrecorded Event

ASR 2.03 – LEOPs (2 pages)

ASR 2.04 – Review and Approval

ASR 2.05 – Reverse Previously Assessable Event

ASR 2.06 – Co-ops and Timeshares

ASR 2.07 – Processing of Proposition 58 Form

ASR 2.08 – Quarterly Report on Prop 58 to BoE

3 – Exemptions

ASR 3.01 – Homeowners Exemption Filing (2 pages)

ASR 3.02 – Disabled Veteran (3 pages)

ASR 3.03 – Multiple Claims (2 pages)

ASR 3.04a – 4 Commercial Fishing Exemption

ASR 3.04b – 50 Tons, Homeowners, Disabled Veterans, and Welfare Exemption Vessels

ASR 3.05 – Institutional Exemptions (3 pages)

4 – Real Property Valuation (General Valuation)

ASR 4.0 – High Level

ASR 4.01 – Prepare Real Property for Valuation

ASR 4.02 – Value Real Property (2 pages)

ASR 4.03 – Review and Approve Real Property Valuation

ASR 4.04 – Lien Date Construction Review (2 pages)

ASR 4.05 – Completed New Construction (2 pages)

ASR 4.06 – Tenant Improvements

4b – Real Property Valuation (Specialized Topics)

ASR 4b.01 – Prop 60/110 (3 pages)

ASR 4b.02 – Possessory interest

ASR 4b.03 – Urban Agriculture Application

ASR 4b.04 – Mills Act Application

ASR 4b.05 – Real Property Calamities

ASR 4b.06 – Real Property Lien Date Review and Calamity Restoration

ASR 4b.07 – Informal Review / Prop 8 / Decline in Value

5a – Unsecured Properties: General Topics

ASR 5a.01 – Business discovery (2 pages)

ASR 5a.02 – Prepare for business property statement (3 pages)

ASR 5a.03 – Electronic BPP statement filing and processing (2 pages)

ASR 5a.04 – Hard copy BPP statement filing and processing

ASR 5a.05 – Leasehold Improvements

5a – Unsecured Properties: General Topics

ASR 5a.06 – Business Property Audits (3 pages)

ASR 5a.07 – Business Property Audit Waivers

ASR 5a.08 – CCCase Audits

5b – Unsecured Properties: Specialized Topics

ASR 5b.01 – Leased Equipment Discovery and Processing (2 pages)

ASR 5b.02 – Marine Property Discovery

ASR 5b.03 – Marine Property Annual Statement

6 – Roll Management

ASR 6.01 – Secured value transfer from unsecured master file (2 pages)

ASR 6.02 – Unsecured value transfer from secured master file

ASR 6.03 – Real property roll corrections (2 pages)

ASR 6.04 – Business Personal Property roll changes (2 pages)

ASR 6.05 – Roll Close and Open

7 – Appeals

ASR 7.01 – TU Appeals Process (2 pages)

ASR 7.02 – BP Appeals Process (4 pages)

ASR 7.03 – RP Appeals Process (3 pages)

ASR 7.04 – Pre-Hearing Conference

ASR 7.05 – Formal Hearing

9 – Customer Service

ASR 9.01 – Walk-in Customer Request (2 pages)

ASR 9.02 – Self-Service Web Portal

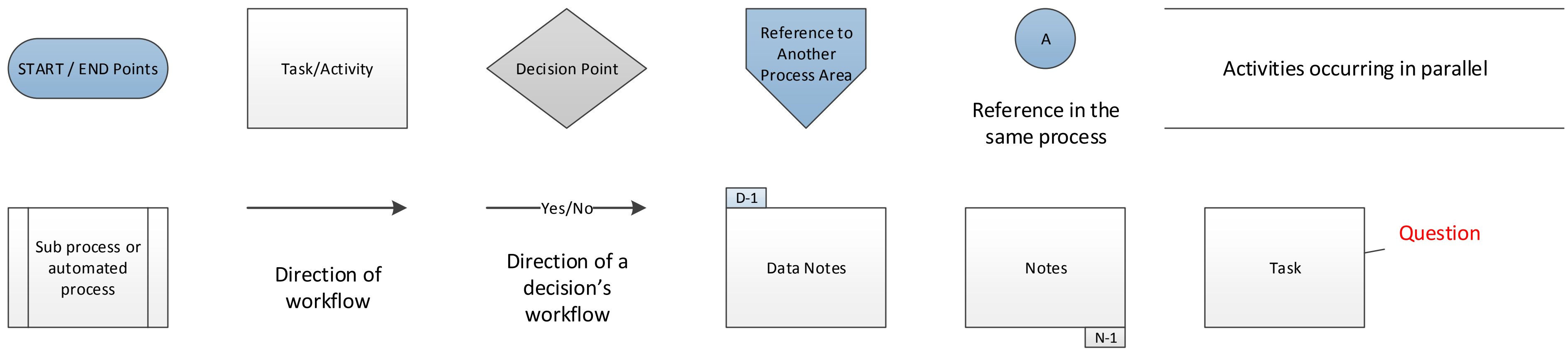
ASR 9.03 – Customer Service Tracking

ASR 9.04 – Returned Mail

San Francisco Property Tax System Process Documentation File

LEGEND

Shapes

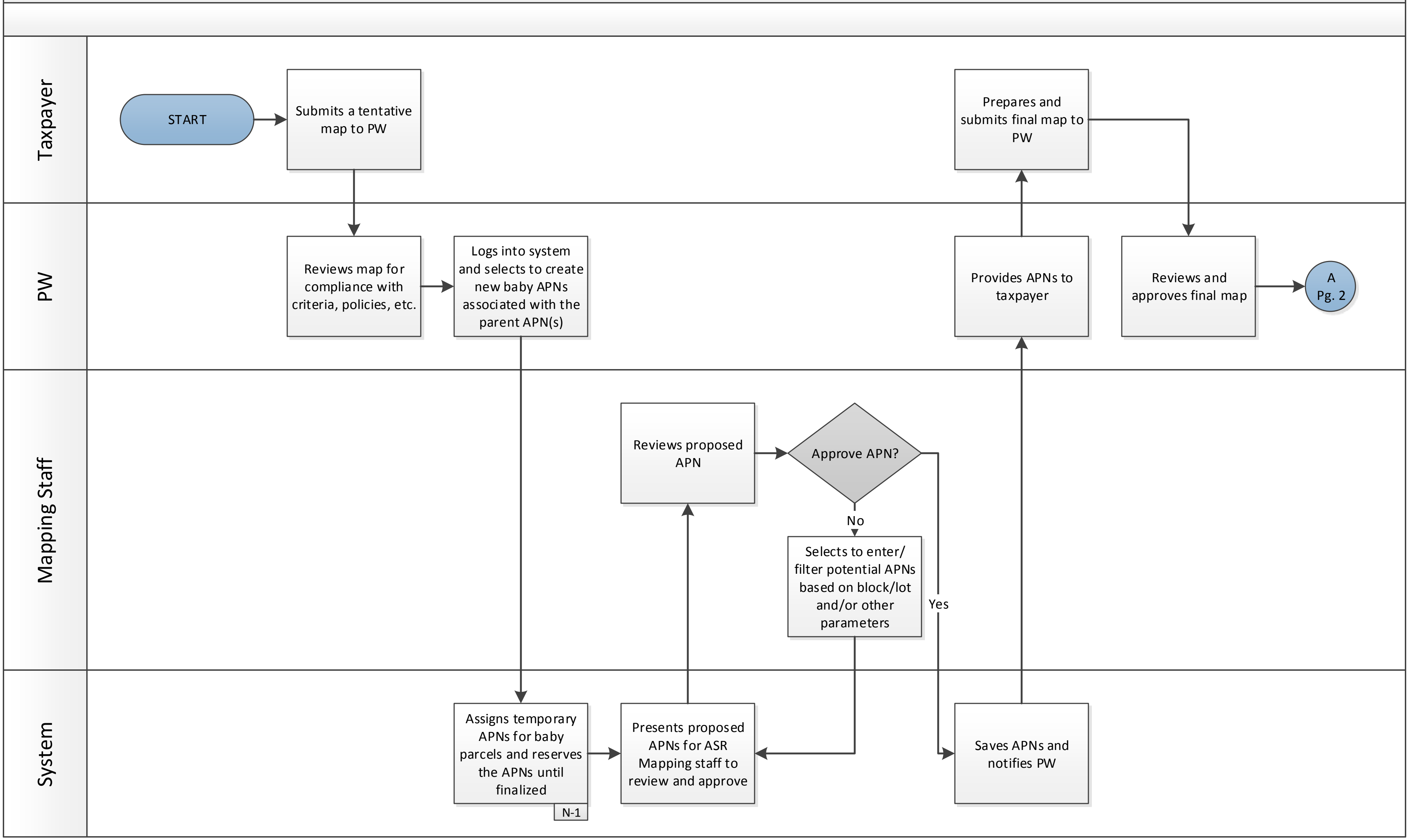


Principles

- Workflow will travel down and/or to the right whenever possible
- Shape size and spacing will be consistent whenever possible
- Process flows will be documented in a swim lane format
- Technology systems will always appear at the bottom of the page
- Tasks/Activities will be written starting with a verb
- Tasks/Activities will have only one exit path
- Decision points will be written as yes/no questions wherever possible
- Decision points will have only two exit paths wherever possible
- Key Data will be documented when it is created, changed, or transmitted
- Processes that continue on to multiple worksheets will be numbered, i.e., "Assessment Appeals (pg.1/2)" and "Assessment Appeals (pg.2/2)"
- References to other Process Areas will be made using shorthand Notation (e.g., "ASR 1.02", see below)

  - ASR = Assessor, CON = Auditor and Controller, TTX = Tax Collector
  - Process "1.02" is shorthand for "Subject/Workshop 1, Process Flow 02"
  - The singular Alphabetic reference "B" refers to the corresponding input shape "B" on the Referenced Process "AS 1.02"

ASR 1.01 – SF PTax: Assessor Workshop (Parcel Management) – Recorded Maps (pg. 1/3)

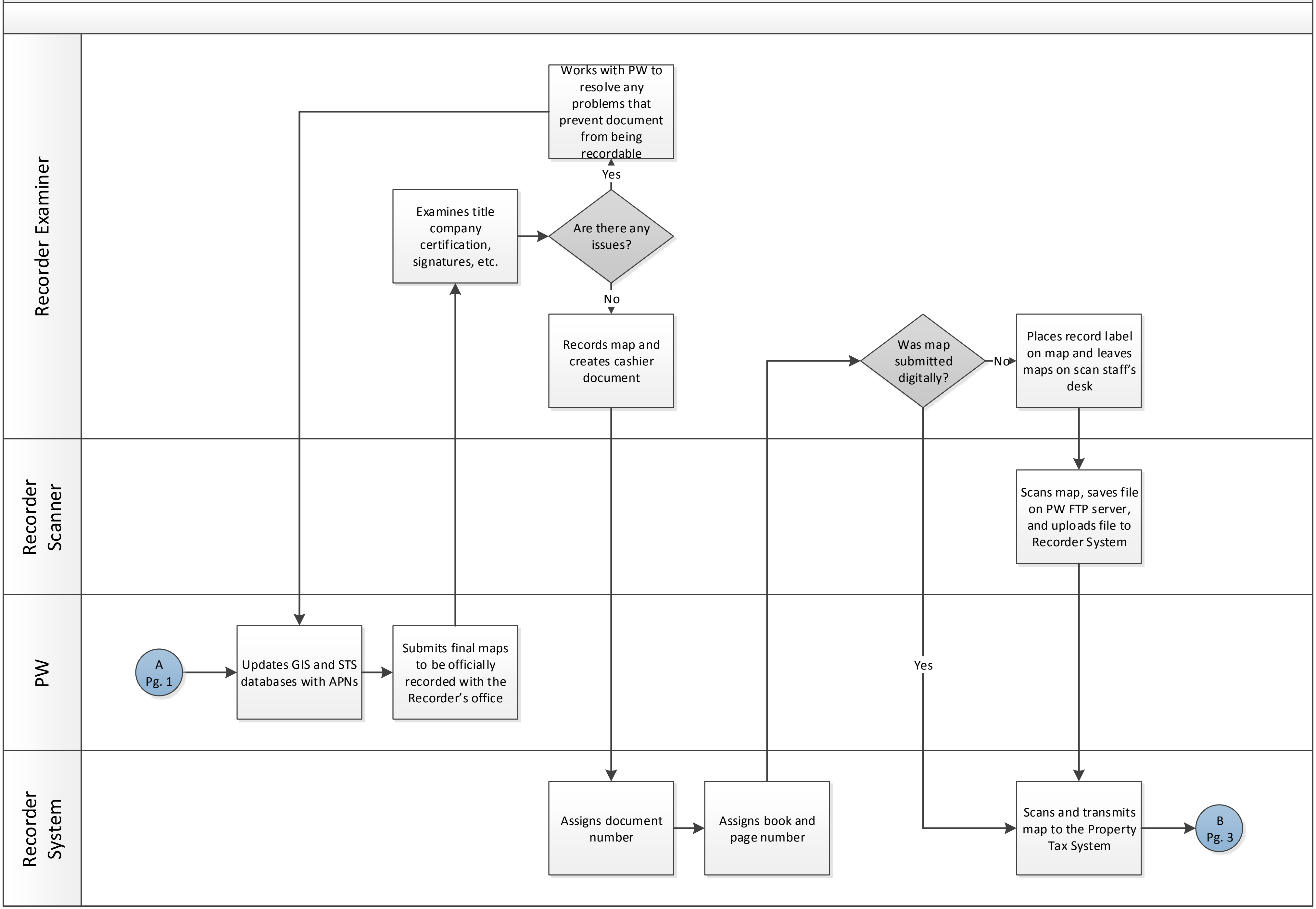


NOTES

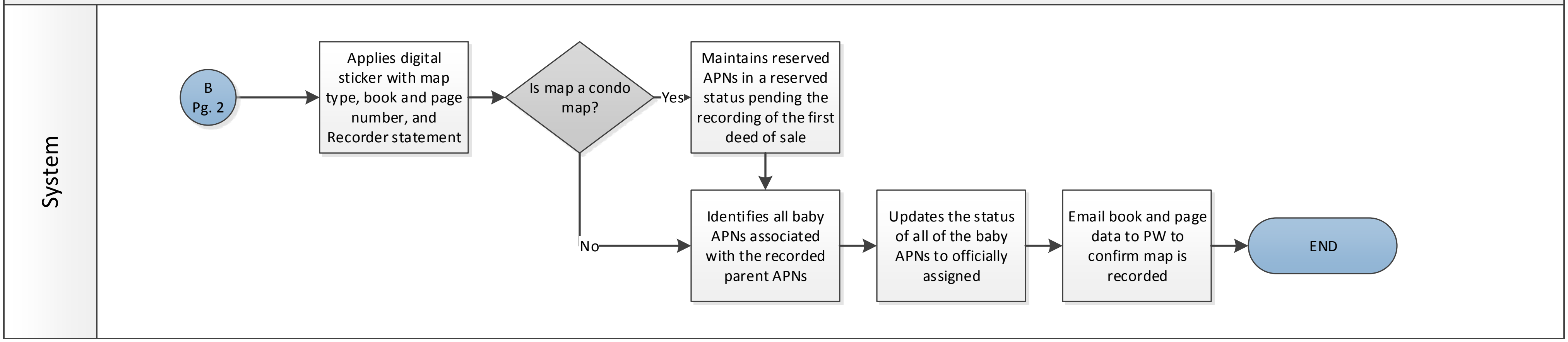
1. APNs are coded with a 2 digit volume, 4 digit block with possible letter, and 3 digit lot with possible letter (e.g. 12-3535A-001B). The APN will be determined according to the following rules:

- Numeric portion of a block will remain constant
- The alpha portion of the block will begin at "A" & only increment up if there are more than 999 lots. This is the only use of the Alpha portion of the block.
- Parcel numbers for new projects should infill an existing block unless the block cannot accommodate all parcels needed for the project. Under this circumstance, all of the parcels needed for the project will be assigned to a block that can accommodate all needed parcels
- The alpha portion of the lot is for comments. "Z" will always designate parking
- Any other type of information will be captured in non-APN fields. Timeshare, co-op, condos, etc.

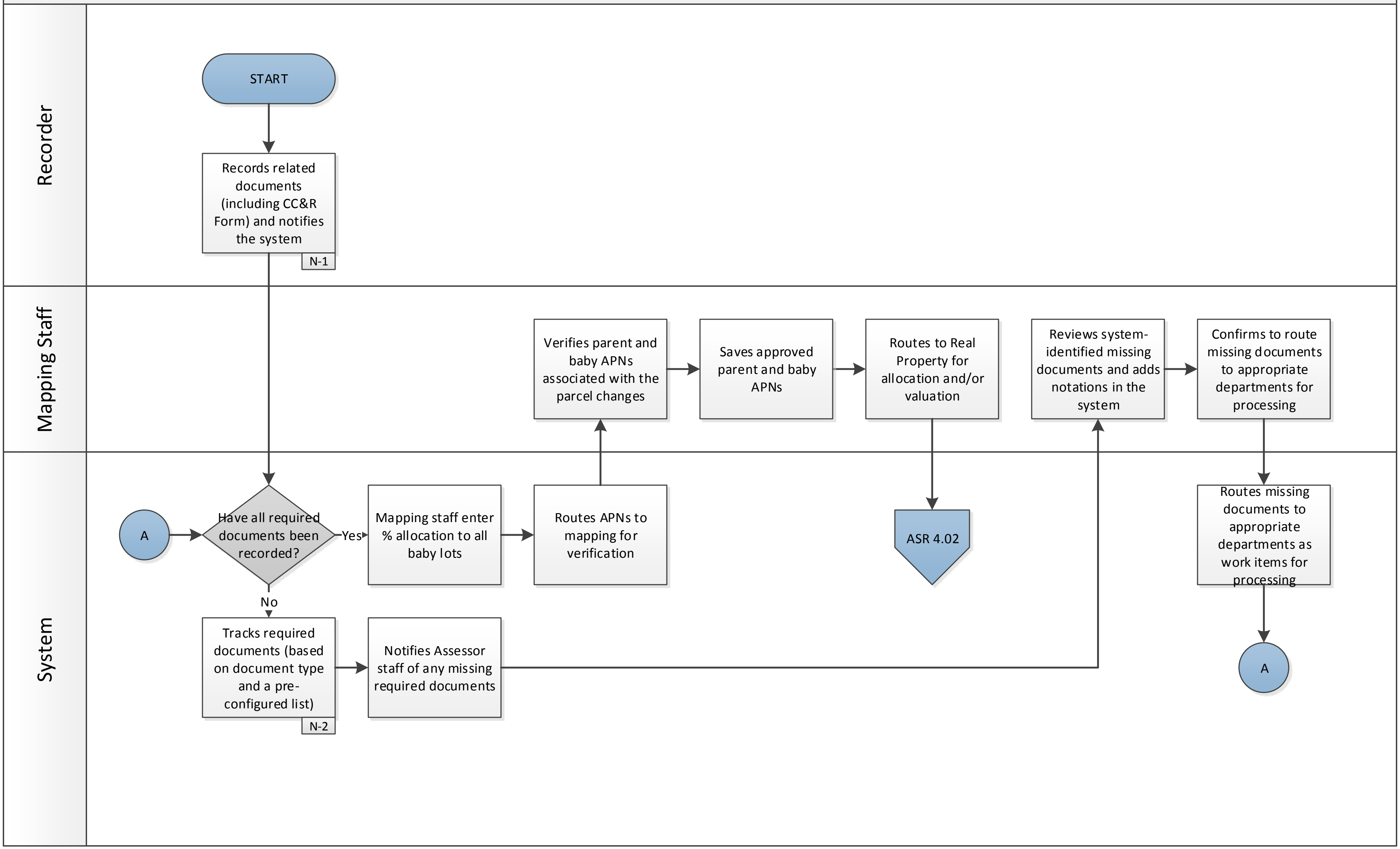
ASR 1.01 – SF PTax: Assessor Workshop (Parcel Management) – Recorded Maps (pg. 2/3)



ASR 1.01 – SF PTax: Assessor Workshop (Parcel Management) – Recorded Maps (pg. 3/3)

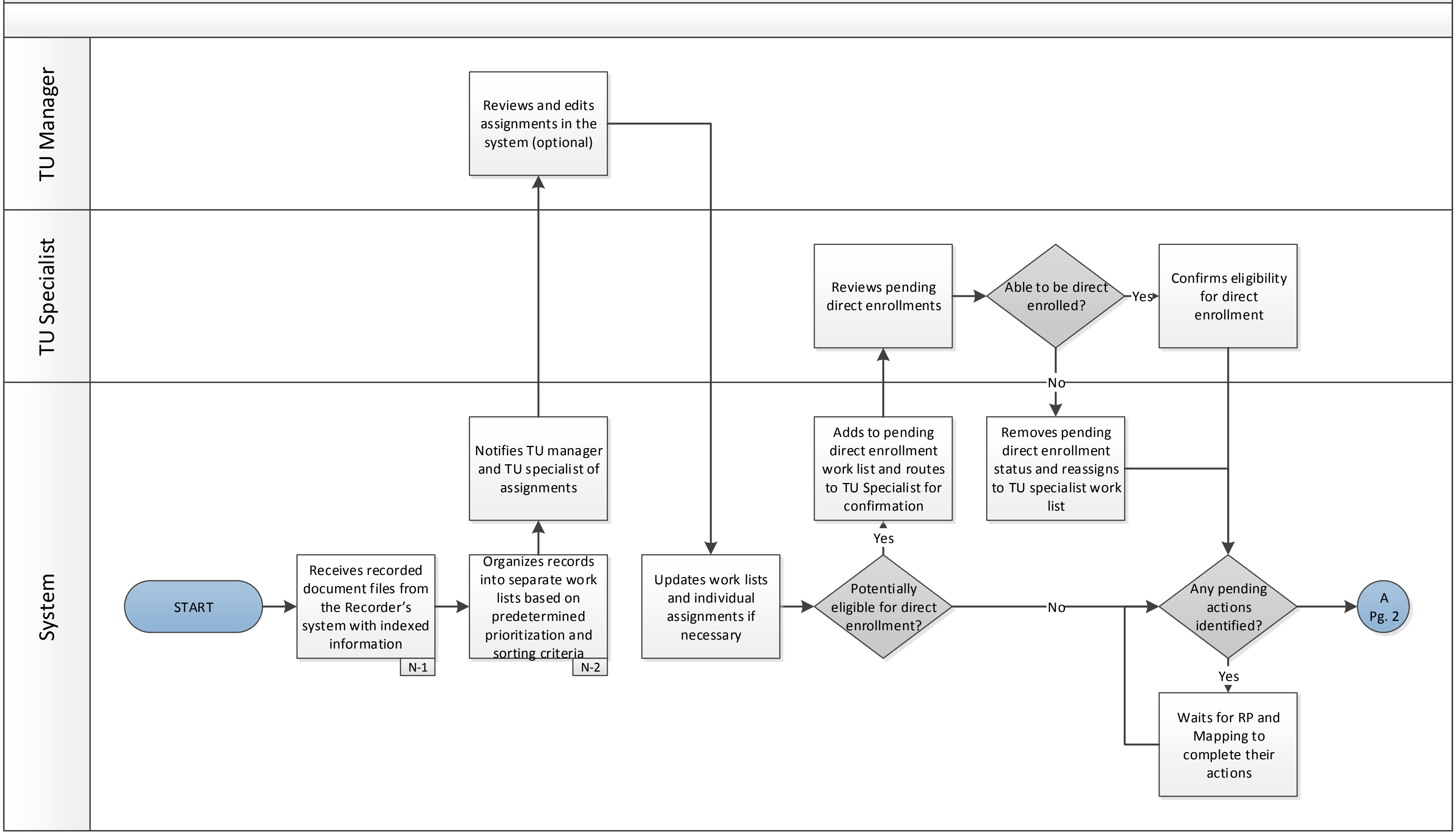


ASR 1.02 – SF PTax: Assessor Workshop (Parcel Management) – Parcel Information Updates



NOTES
1. Related documents include: certificate of compliance, cross deeds, CC&R, condo plan, etc.
2. Currently need a certificate of compliance for lot line adjustments/mergers, deed for condo split, a cross deed per owner for tenants in common, etc.

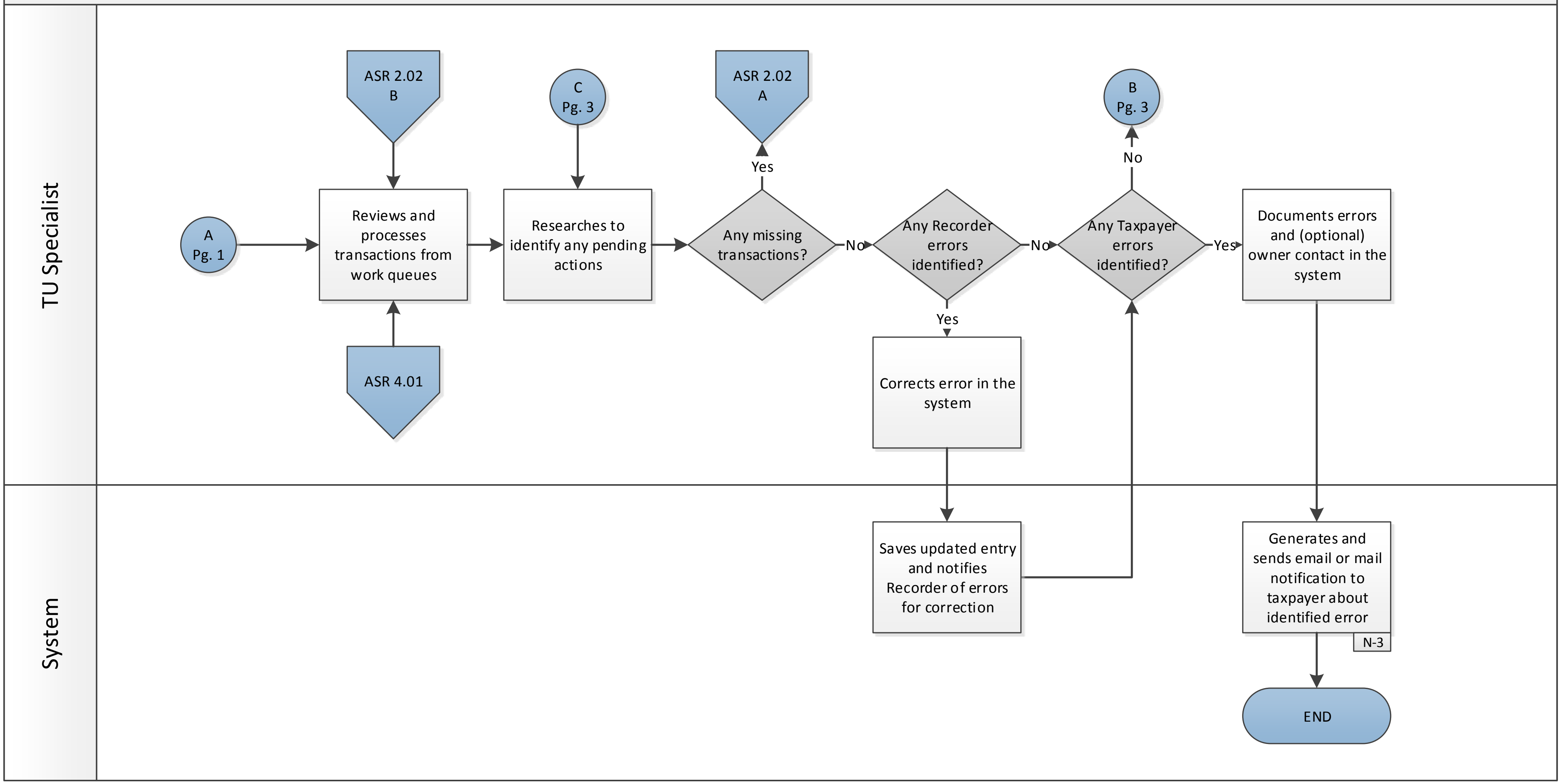
ASR 2.01 – SF PTax: Assessor Workshop (Ownership and Transfers) – Identify and Process Recorded and Unrecorded Documents (pg. 1/3)



NOTES

1. Indexed information: Grantor, grantee, document type, APN, cashiering information document date and time, and mailing information
2. Prioritization and sorting criteria include: potential direct enrollments, chain of title issues, sales transactions, etc.

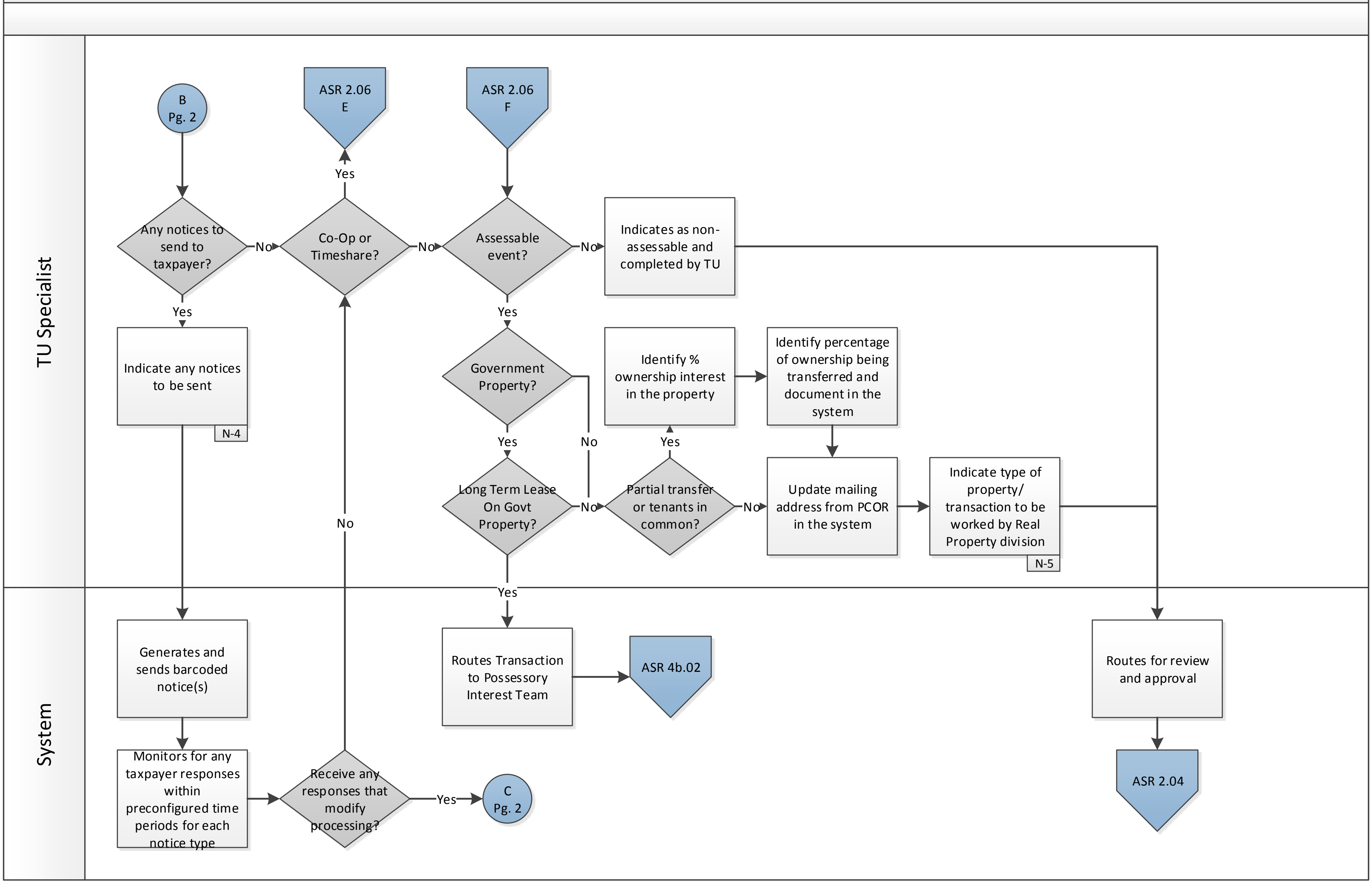
ASR 2.01 – SF PTax: Assessor Workshop (Ownership and Transfers) – Identify and Process Recorded and Unrecorded Documents (pg. 2/3)



NOTES

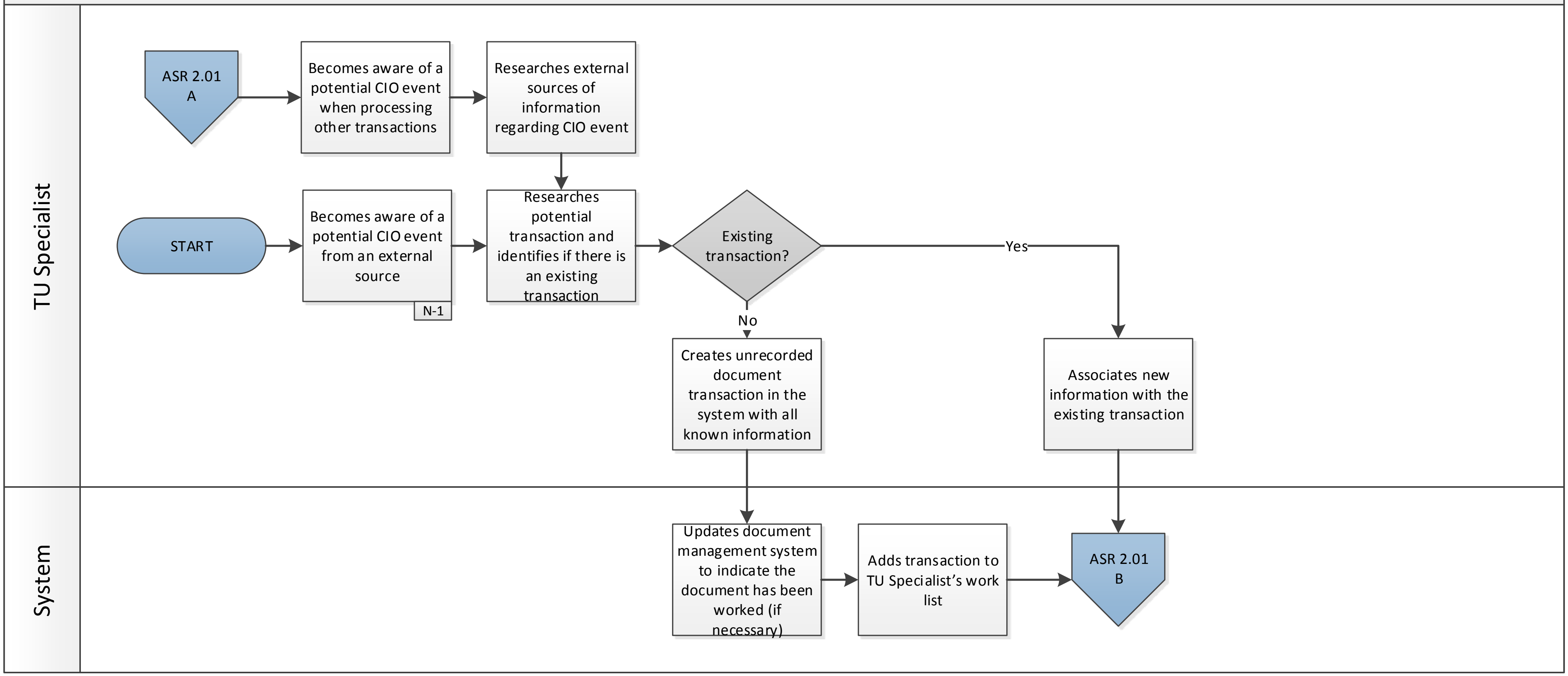
3. Issue types include: incorrect APN, owner discrepancy, etc.

ASR 2.01 – SF PTax: Assessor Workshop (Ownership and Transfers) – Identify and Process Recorded and Unrecorded Documents (pg. 3/3)



NOTES
4. Notices may include relevant exclusion forms, etc.
5. Codes may include: timeshare, possessory interest, co-op, pending events, etc.

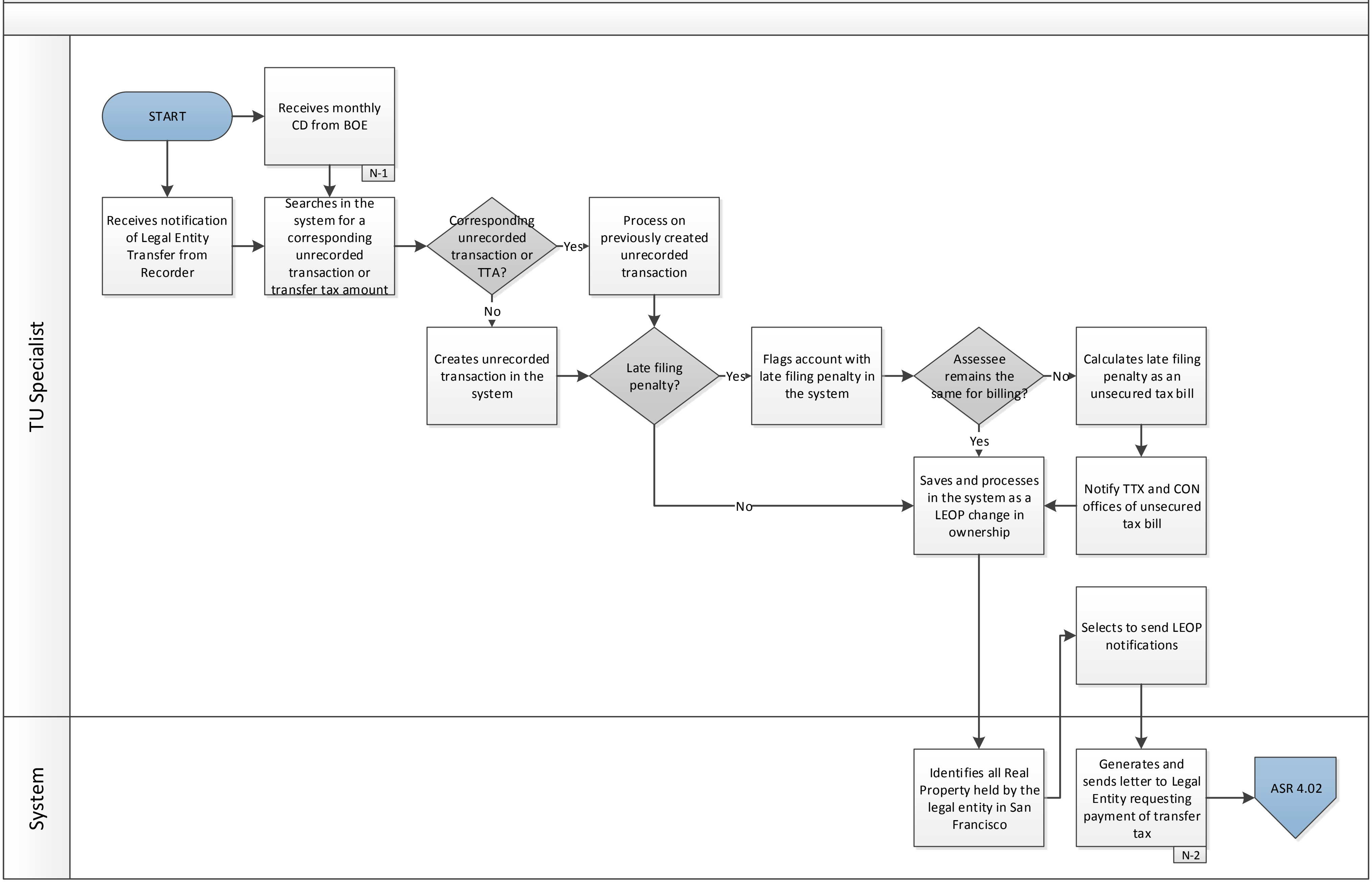
ASR 2.02 – SF PTax: Assessor Workshop (Ownership and Transfers) – Unrecorded Event



NOTES

1. External sources include: mail, documents received in person, death certificates, probate courts, etc.

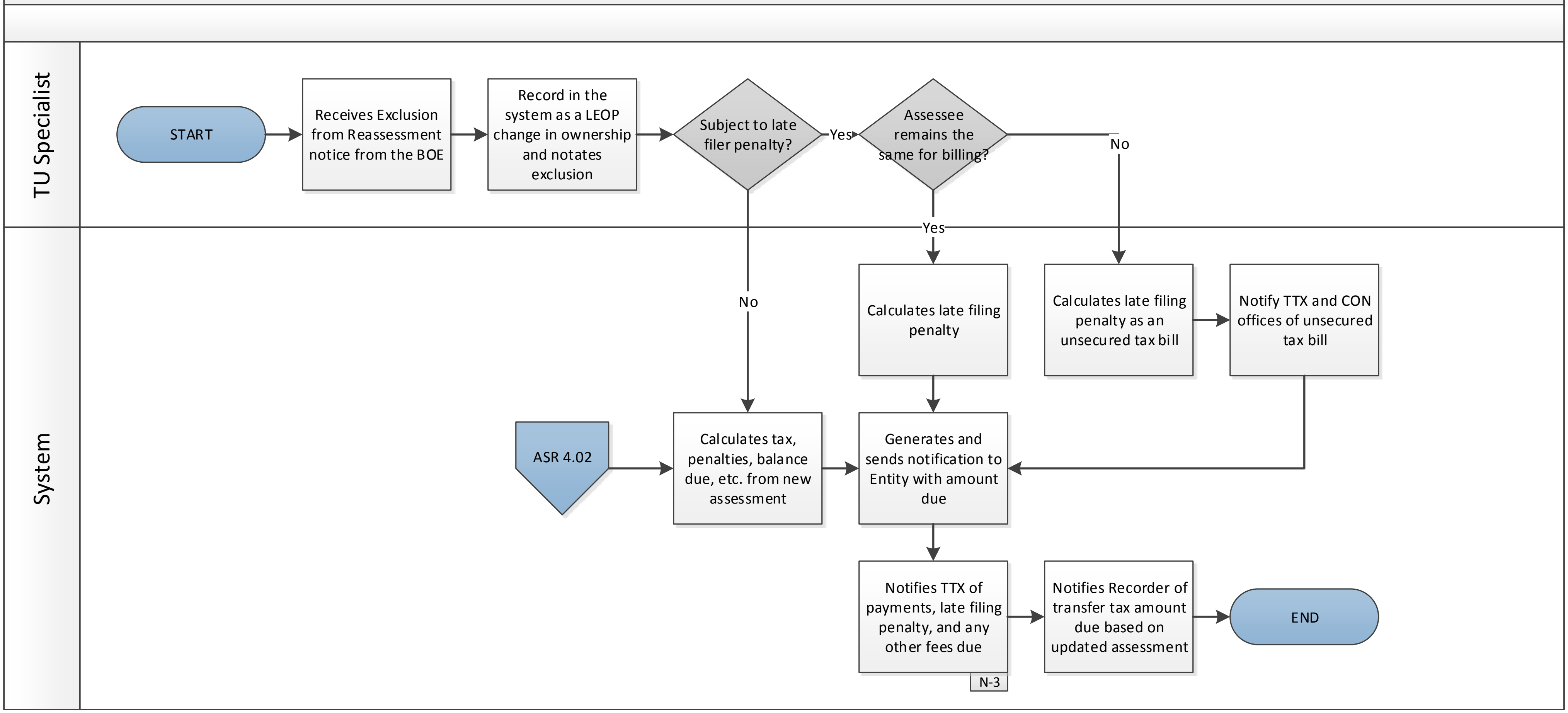
ASR 2.03 – SF PTax: Assessor Workshop (Ownership and Transfers) – LEOPs (pg. 1/2)



NOTES

1. The monthly file from the BOE contains "BOE-100B" forms, a list of changes from the state, any exclusions, and any entities subject to late filer penalties
2. Letter includes explanation of taxes, penalty, interest, date of change in ownership, date filing is due, BOE reported filing date, timely acknowledgement of any payments made, payment options, and late filing policy if the system calculates that the filing was submitted late.

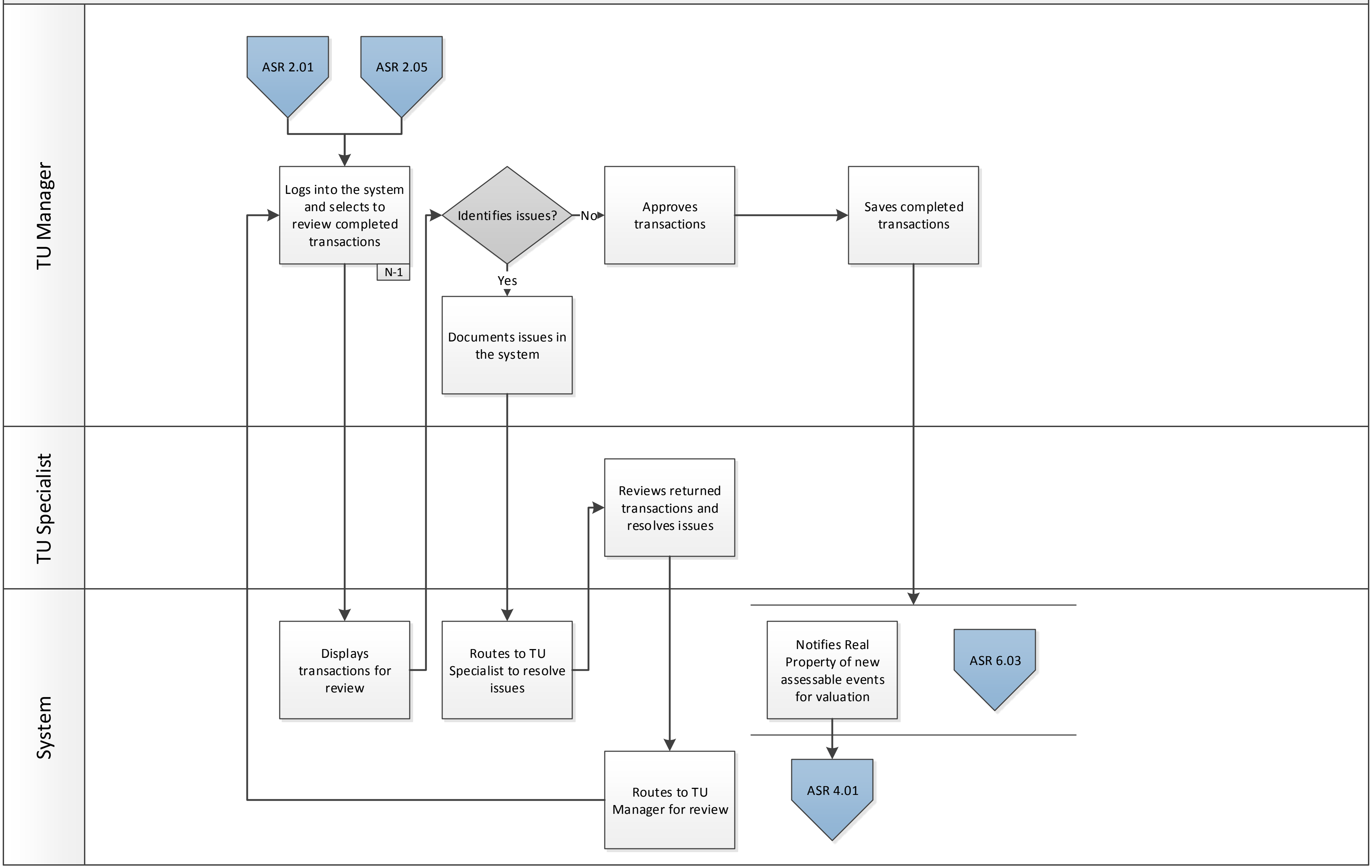
ASR 2.03 – SF PTax: Assessor Workshop (Ownership and Transfers) – LEOPs (pg. 2/2)



NOTES

3. Late filing penalty will be sent to TTX from real property valuation

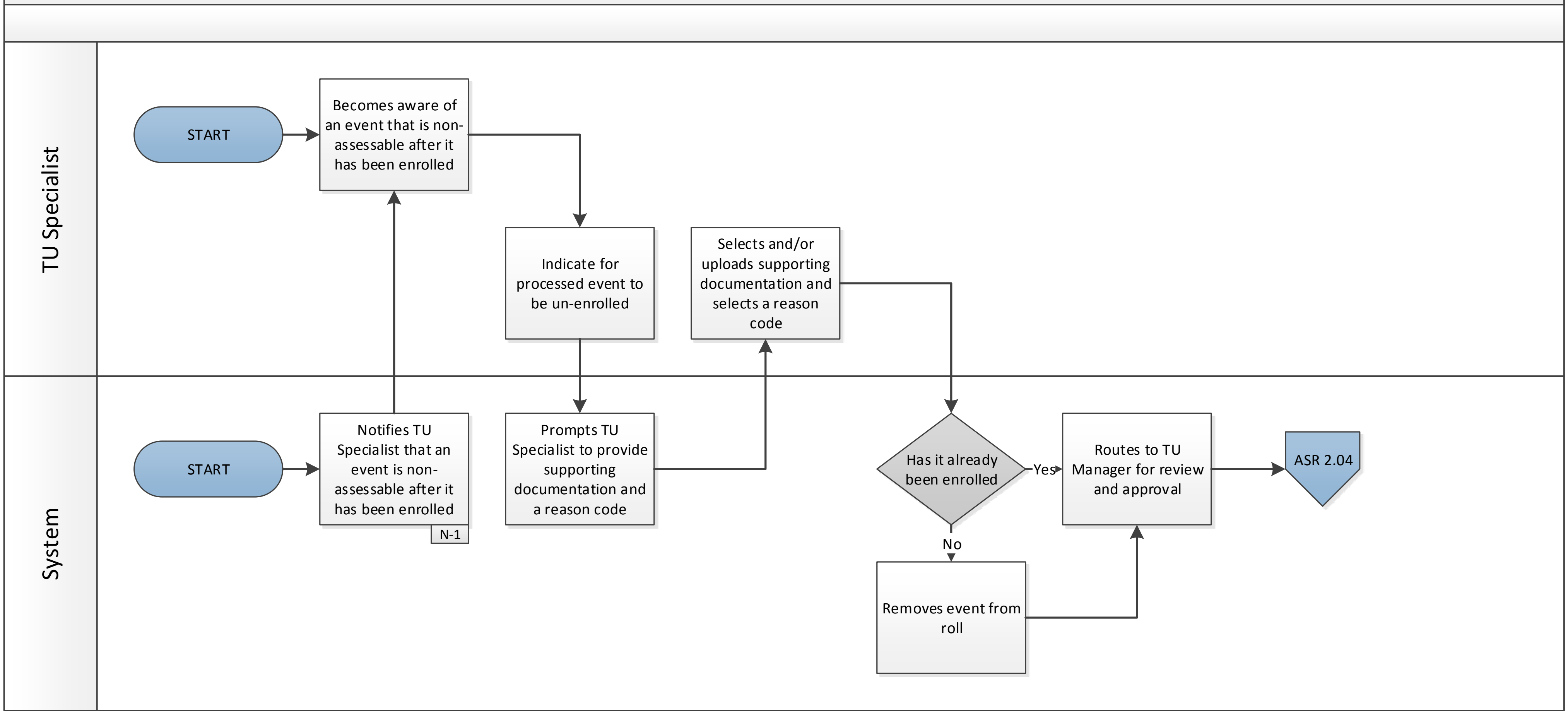
ASR 2.04 – SF PTax: Assessor Workshop (Ownership and Transfers) – Review and Approval



NOTES

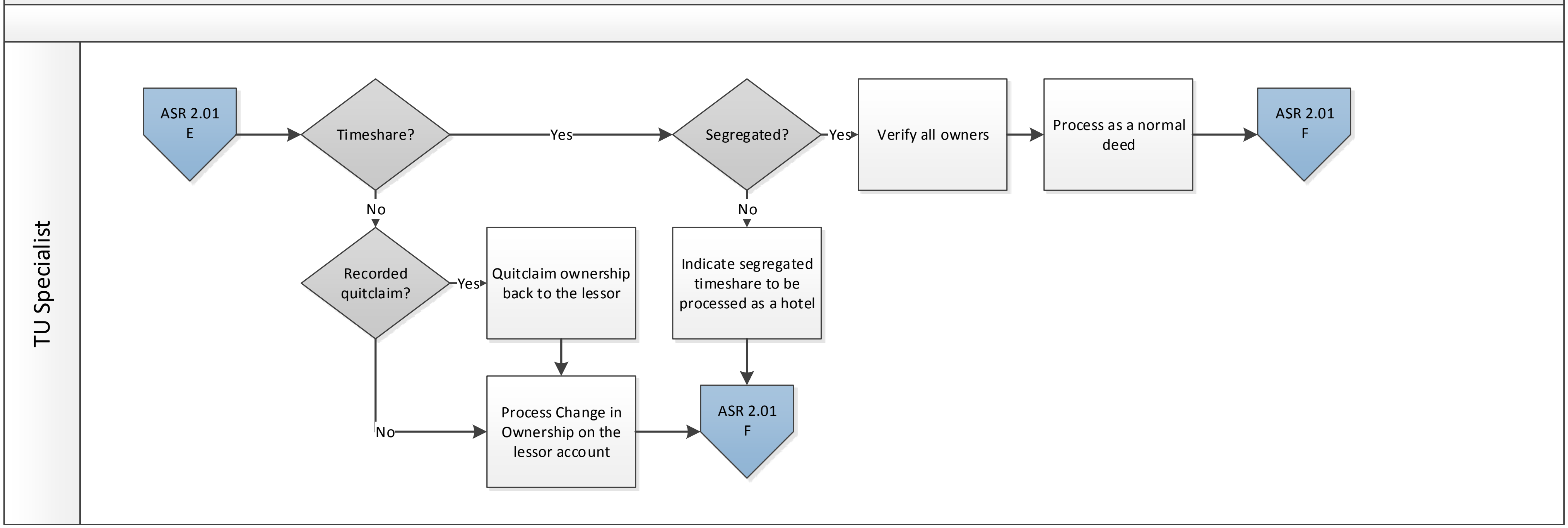
1. TU manager should have the option of reviewing any or all completed transactions, but may also be required to review high value and/or complicated transactions as decided by the Assessor's office. These decisions will be preconfigured in the system and these transactions will automatically be routed to the TU manager for approval prior to acceptance

ASR 2.05 – SF PTax: Assessor Workshop (Ownership and Transfers) – Reverse Previously Assessable Event

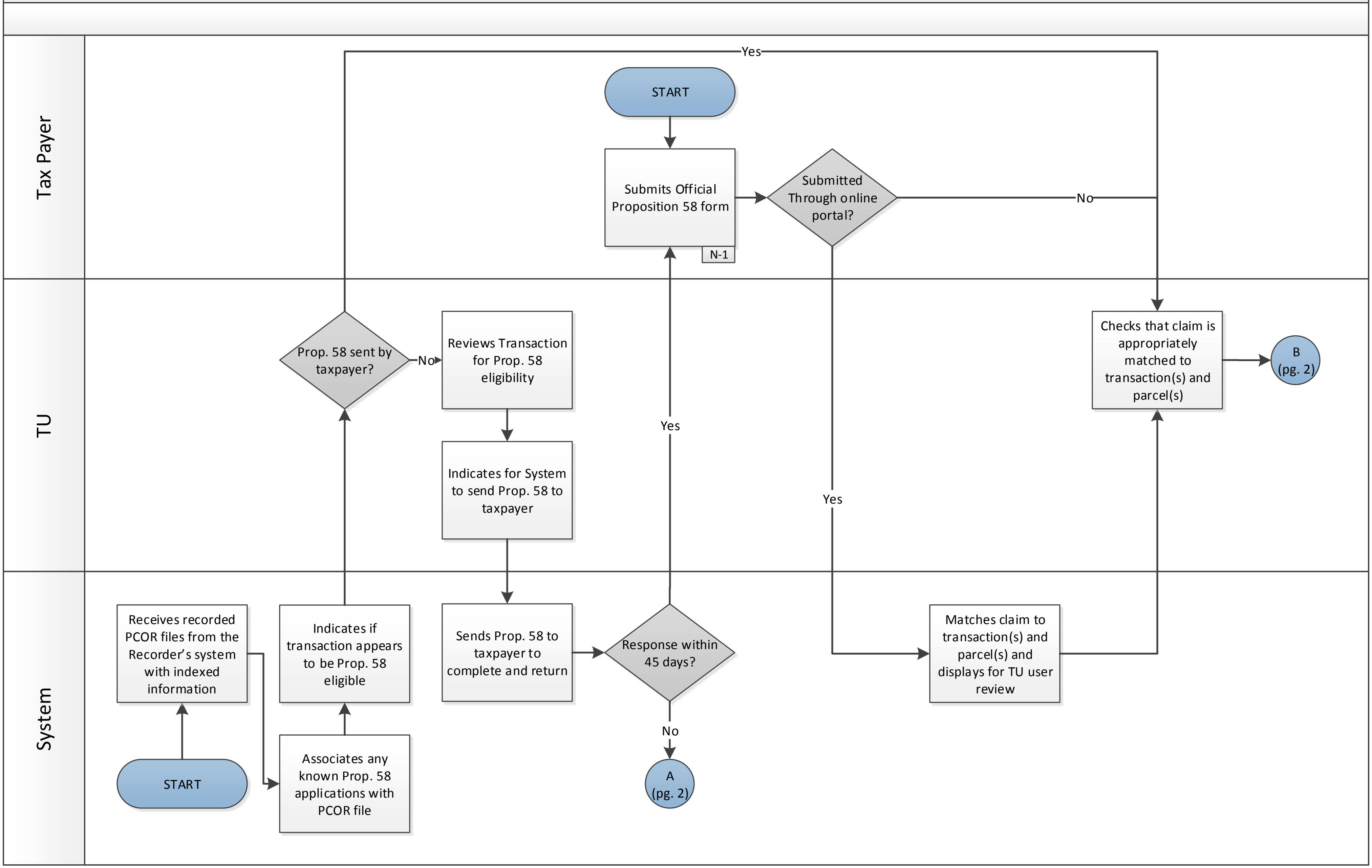


NOTES
1. System may identify a data condition whereby a property transaction is no longer assessable based on other data updates in the system including: exemption processing, exclusion processing, etc.

ASR 2.06 – SF PTax: Assessor Workshop (Ownership and Transfers) – Co-ops and timeshares



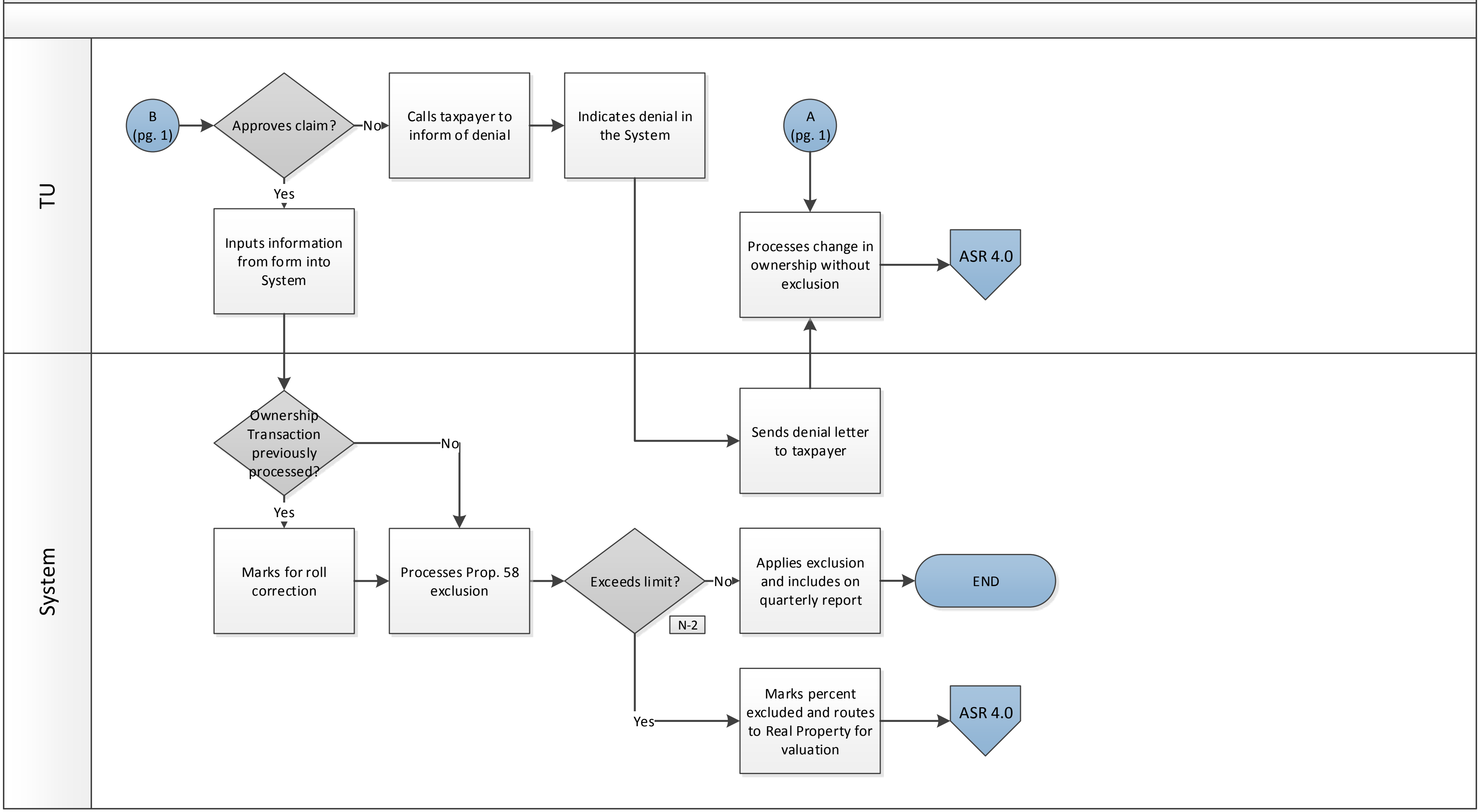
ASR 2.07 – Processing of Proposition 58 Form (pg. 1/2)



NOTES

1. Key information includes: if the place is the principle residence, SSN of transferor, Properties in trust, distribution of exclusion if the exclusion exceeds limit for non-principle residence

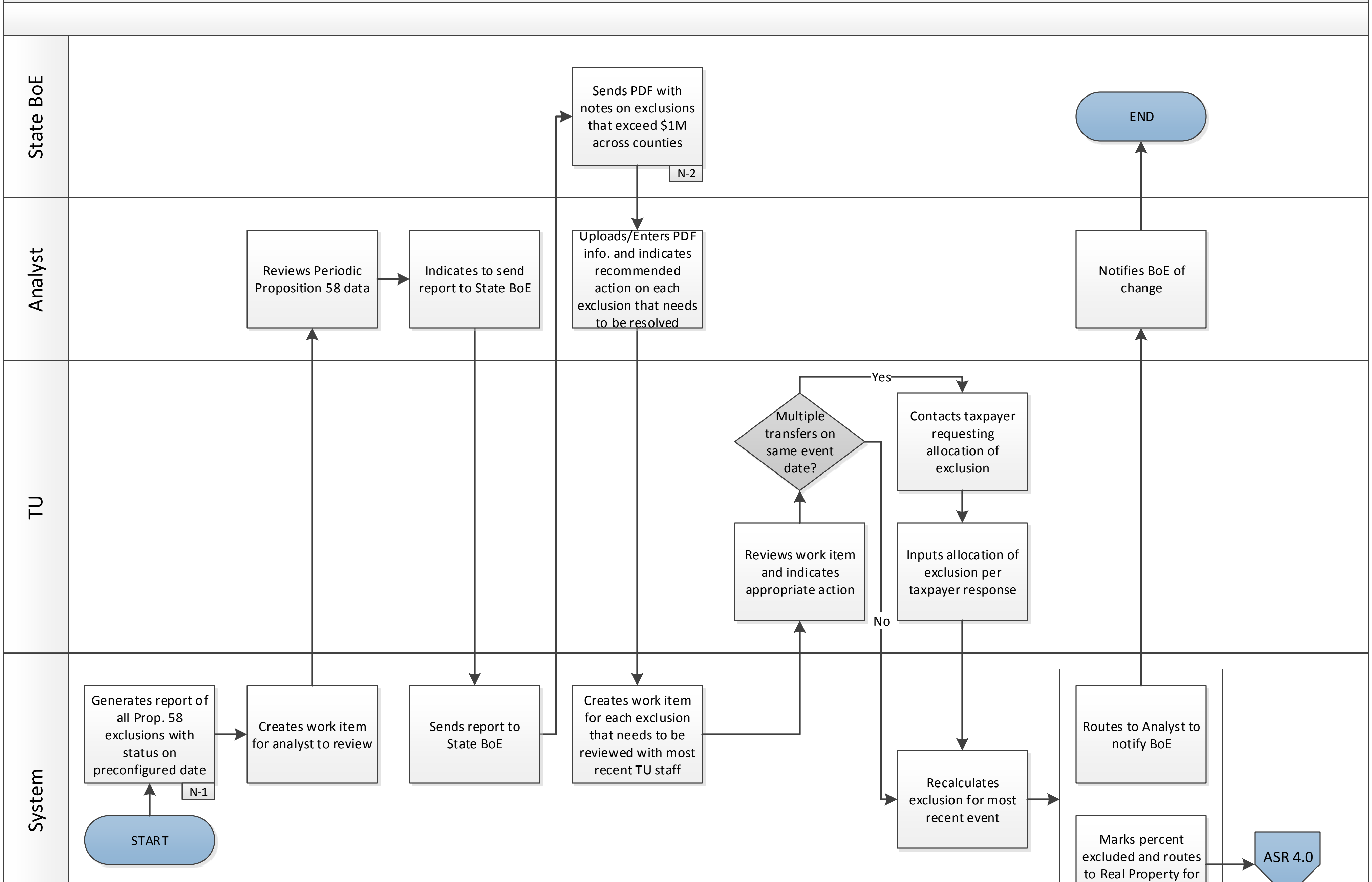
ASR 2.07 – Processing of Proposition 58 Form (pg. 2/2)



NOTES

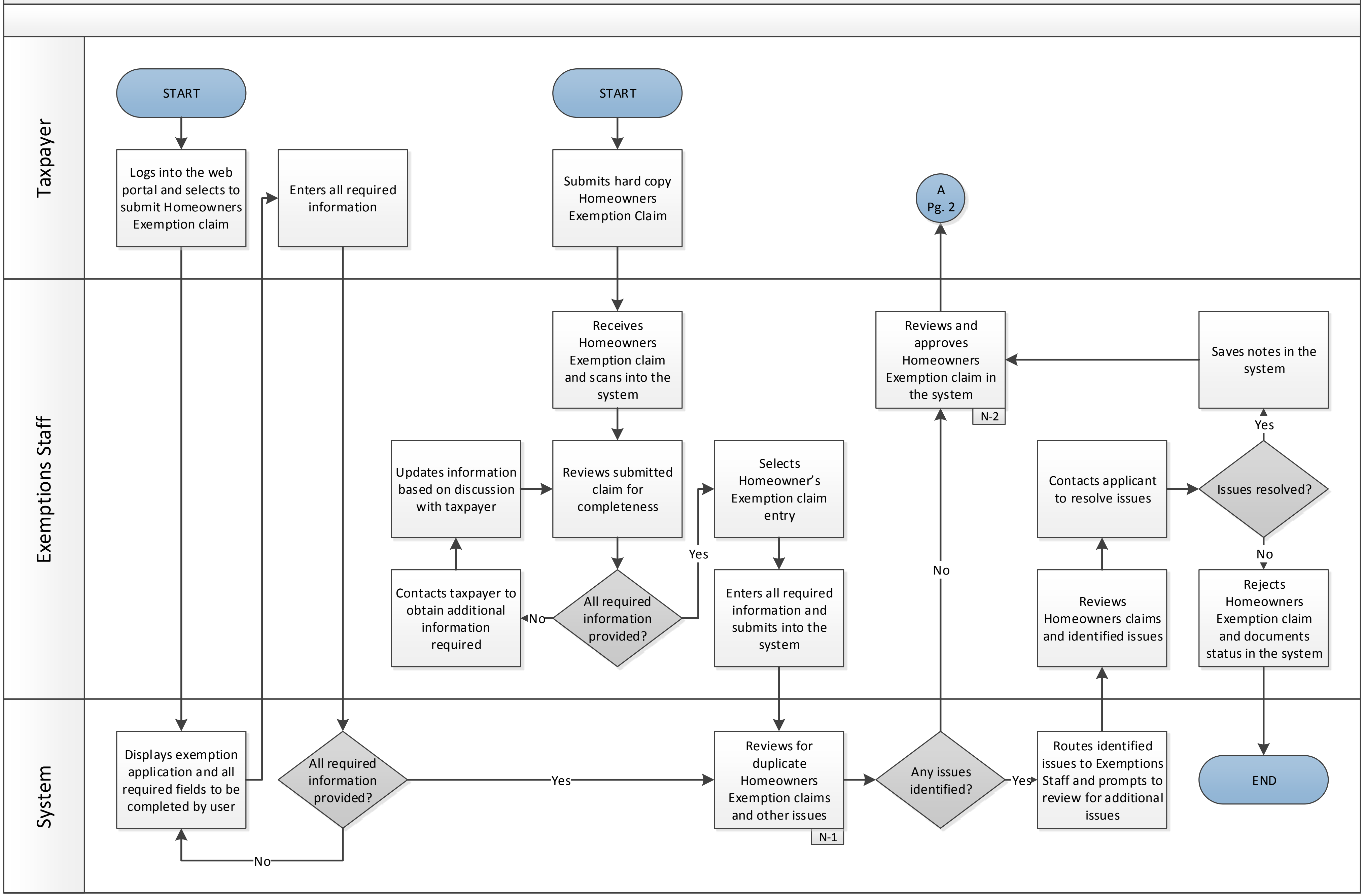
2. The cumulative limit is $1M for non-principle residence for an individual and $2M for a married couple

ASR 2.08 – Quarterly Report on Prop 58 to BOE



NOTES
1. Status options are: received, processed, approved, denied
2. Notes include: Duplicates submissions, submission errors, already corrected, adjustment by other county, adjustment required by City

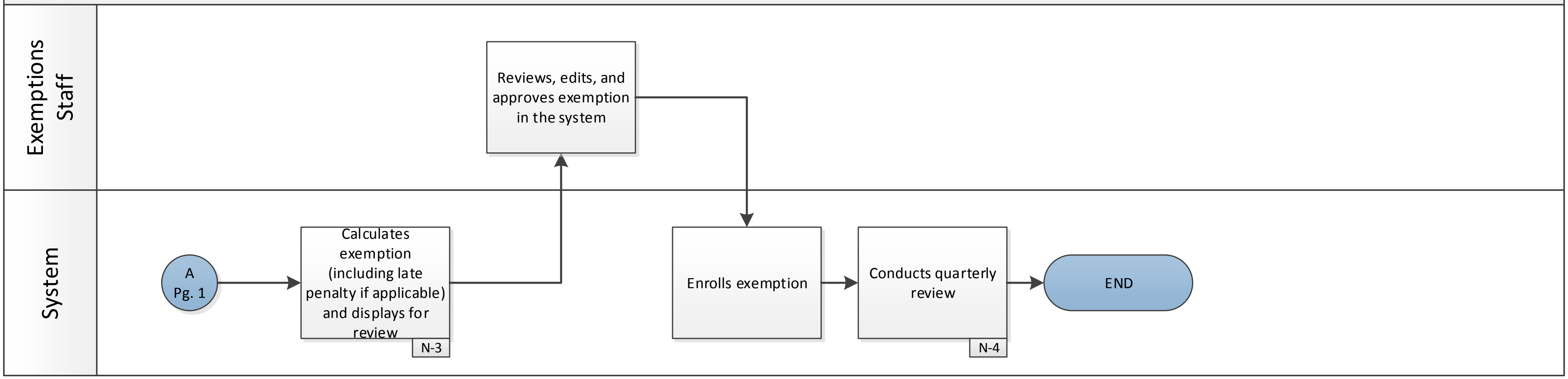
ASR 3.01 – SF PTax: Assessor Workshop (Exemptions) – Homeowners Exemption (pg. 1/2)



NOTES

1. Review includes reviewing mailing versus situs address, multiple claims, SSN review, and property type
2. Data entered into the system includes: SSN, name, owner ID, indication of co-ownership, co-owner(s) Name, co-owner(s) SSN, date application was received, date property was occupied, other property addresses, parcel, and situs. TU determination and coding automatically creates the owner ID

ASR 3.01 – SF PTax: Assessor Workshop (Exemptions) – Homeowners Exemption (pg. 2/2)

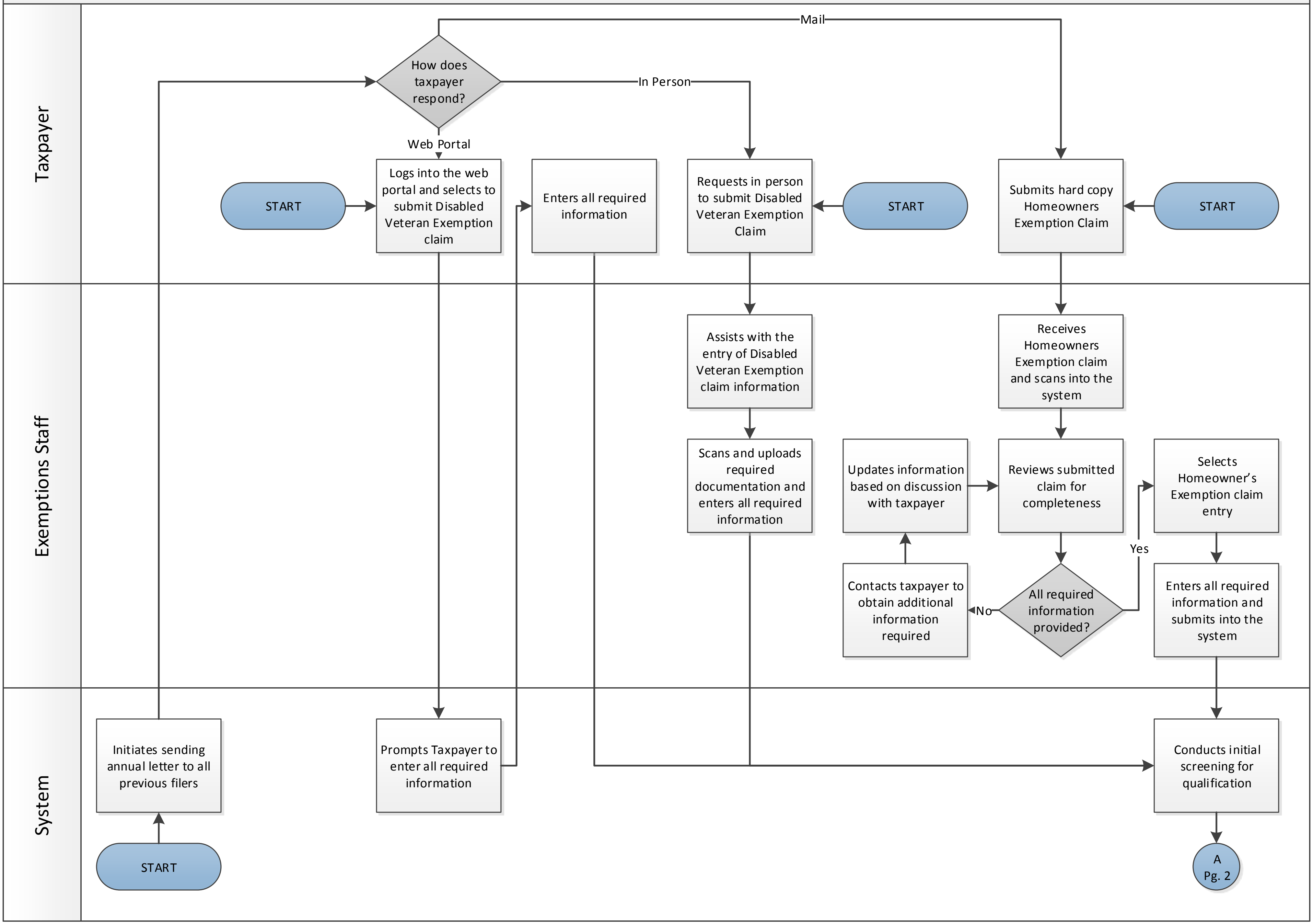


NOTES

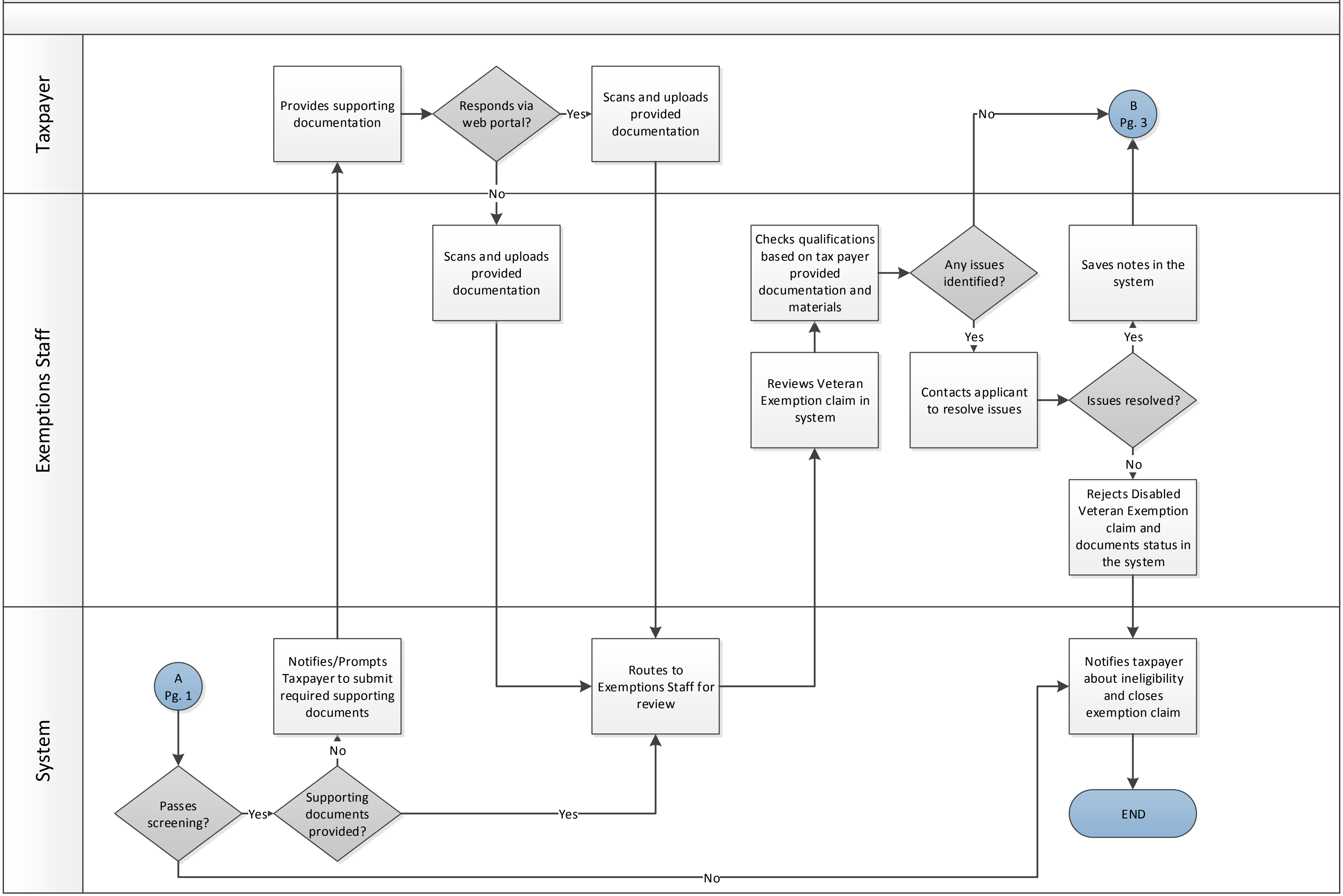
3. Calculation of exemption amount is done based on a number of conditions, including: filing date relative to deadline (deadline may either be set for a preconfigured day of the year or a preconfigured number of days after notice date), and conditions at time of filing

4. Quarterly Review report is generated to make sure that the Homeowner's Exemption is applied to the correct Owner ID number and checks for any Homeowner's Exemptions dropped by the system

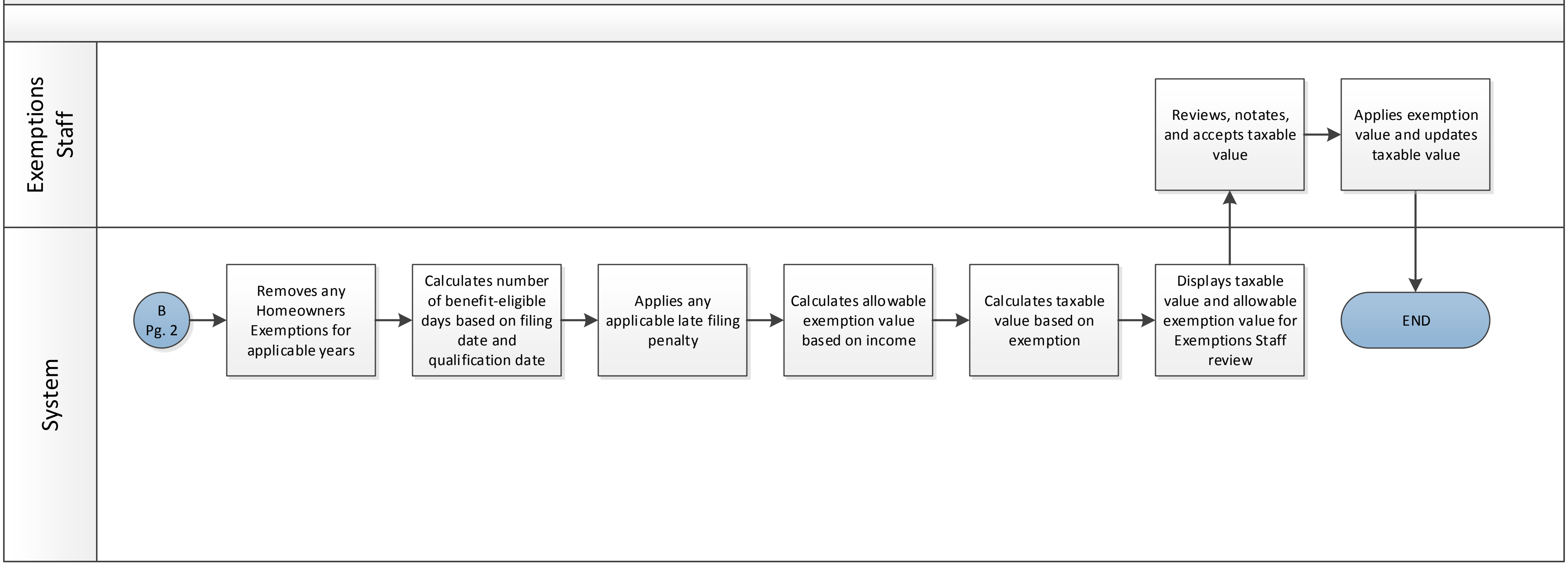
ASR 3.02 – SF PTax: Assessor Workshop (Exemptions) – Disabled Veteran (pg. 1/3)



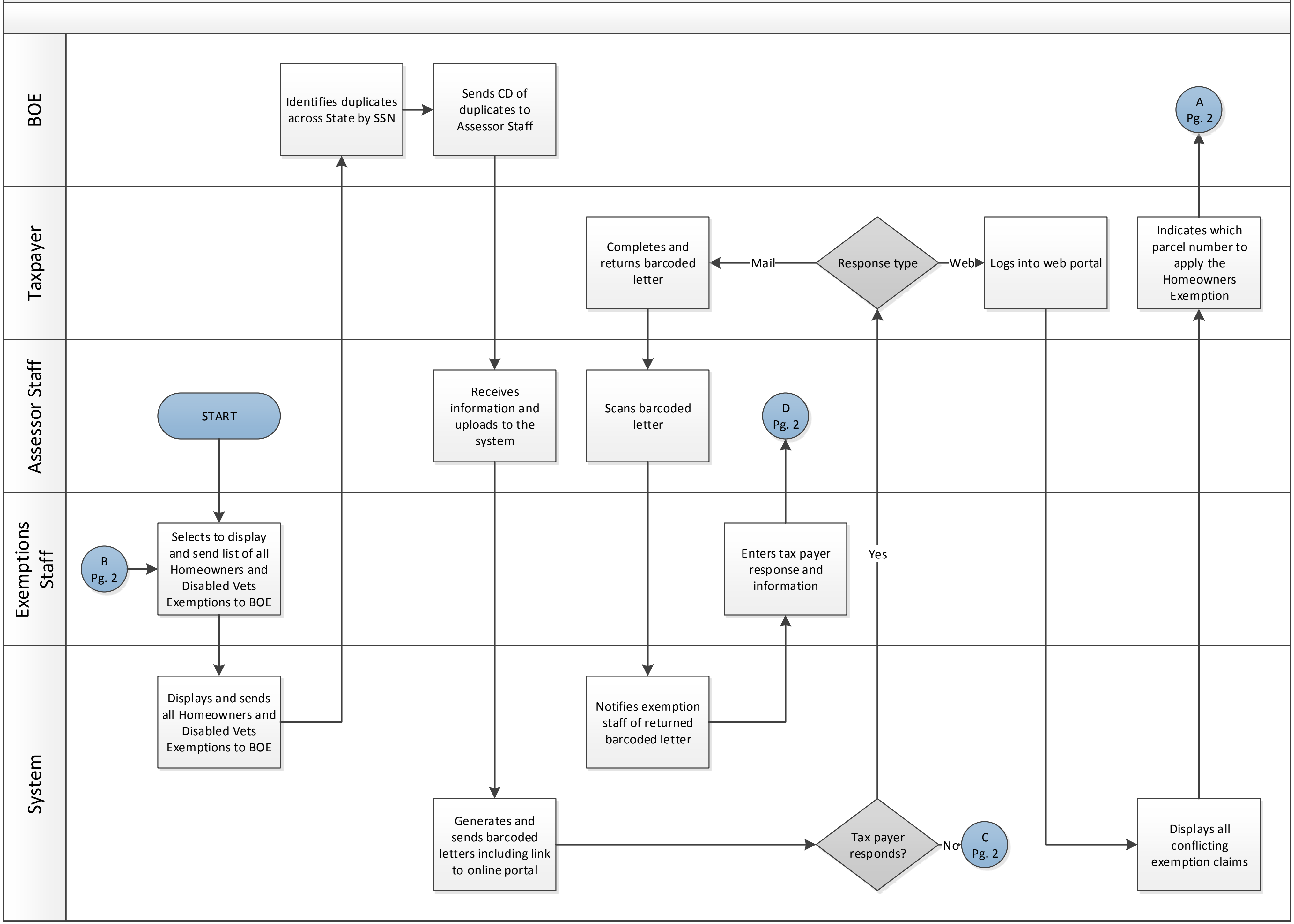
ASR 3.02 – SF PTax: Assessor Workshop (Exemptions) – Disabled Veteran (pg. 2/3)



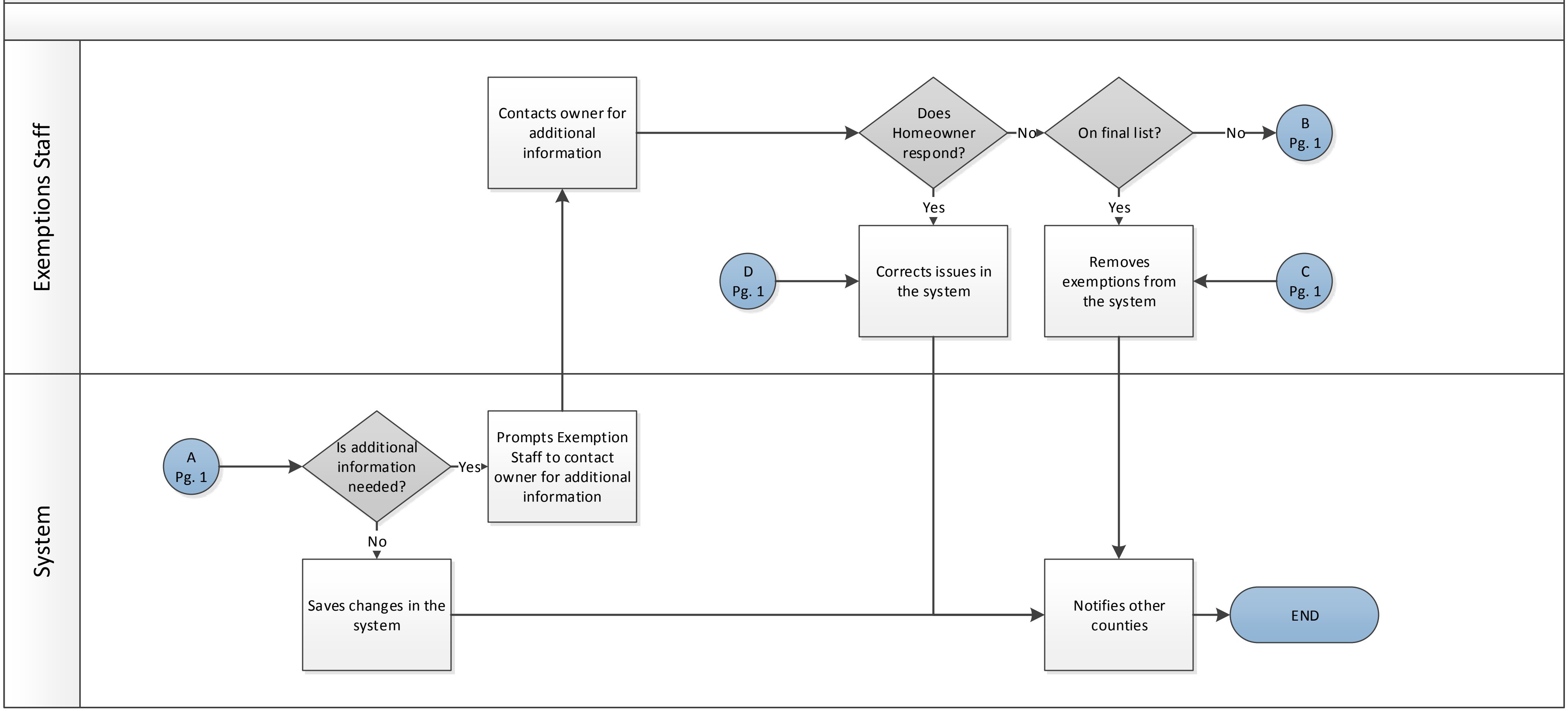
ASR 3.02 – SF PTax: Assessor Workshop (Exemptions) – Disabled Veteran (pg. 3/3)



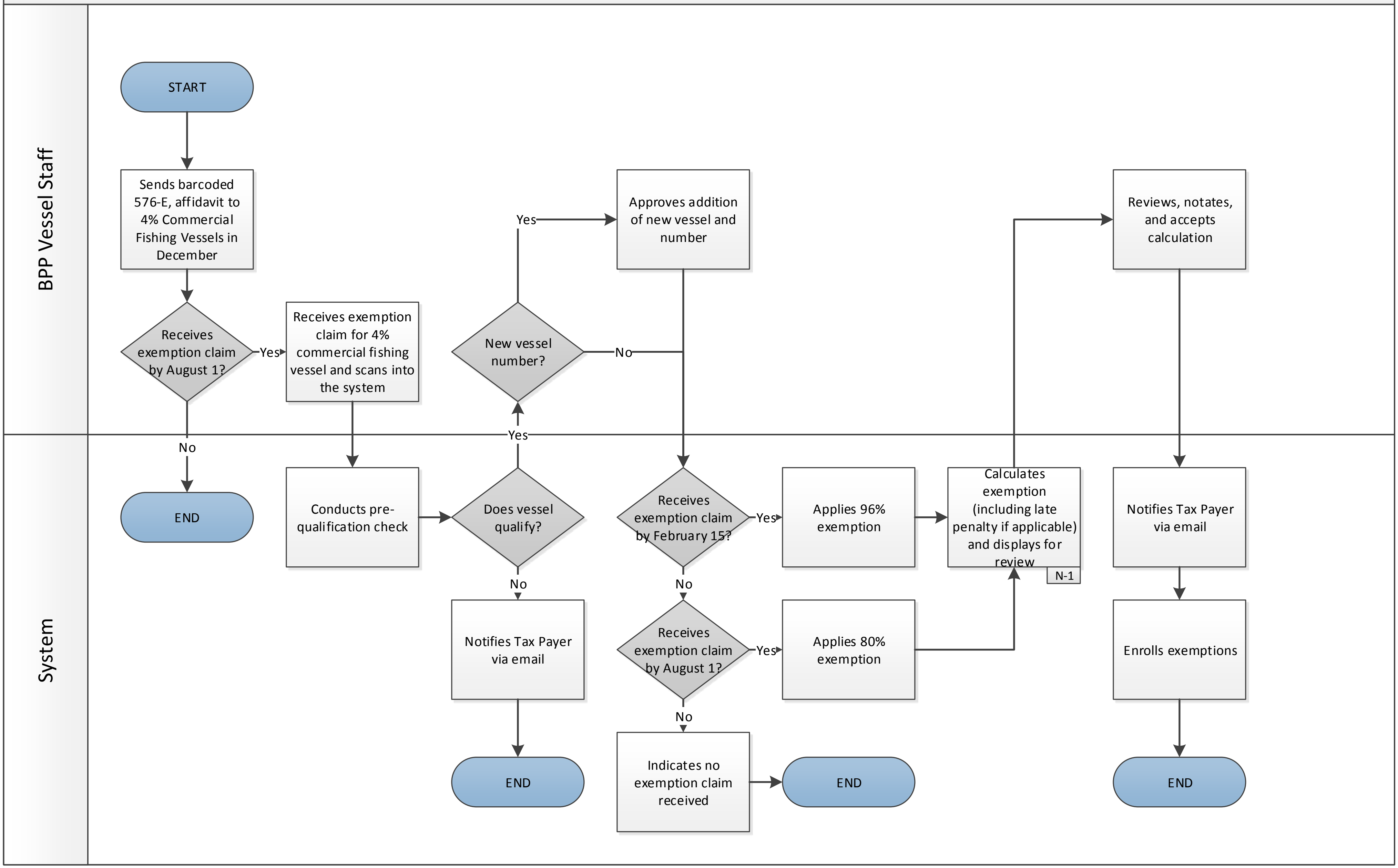
ASR 3.03 – SF PTax: Assessor Workshop (Exemptions) – Multiple Claims (pg. 1/2)



ASR 3.03 – SF PTax: Assessor Workshop (Exemptions) – Multiple Claims (pg. 2/2)



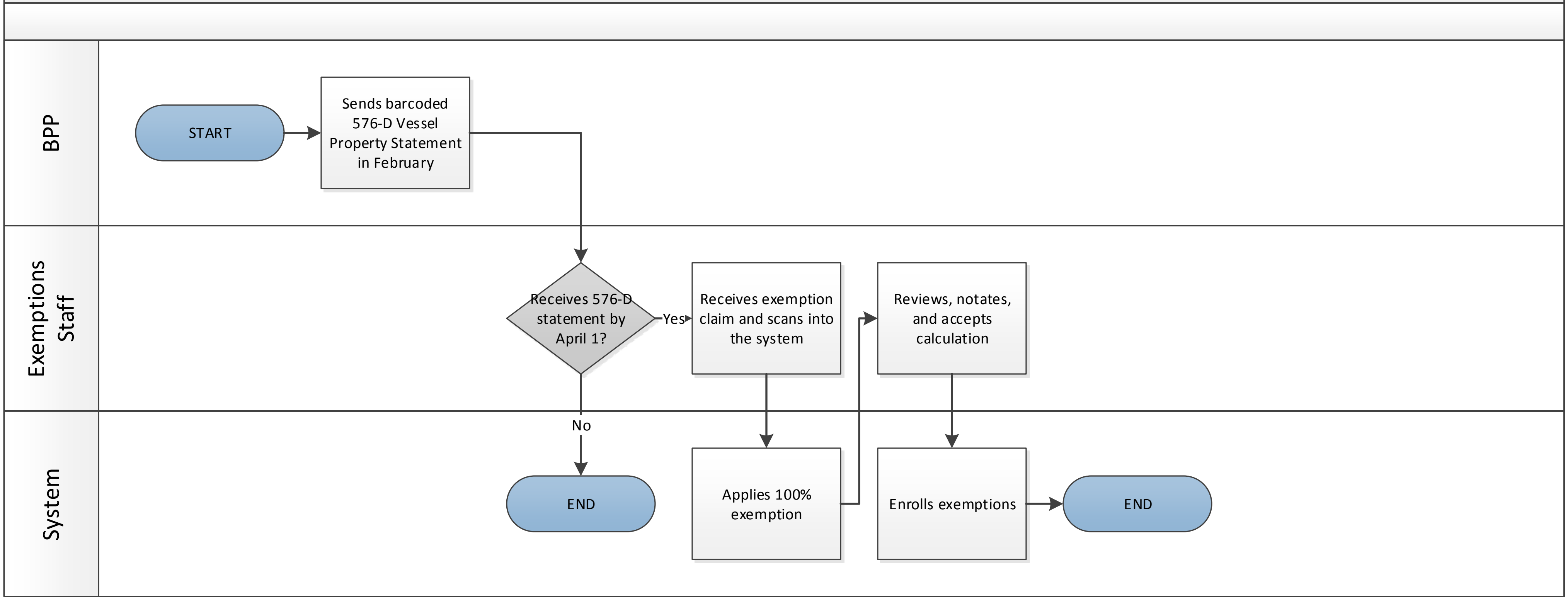
ASR 3.04a – SF PTax: Assessor Workshop (Exemptions) – 4% Commercial Fishing Exemption

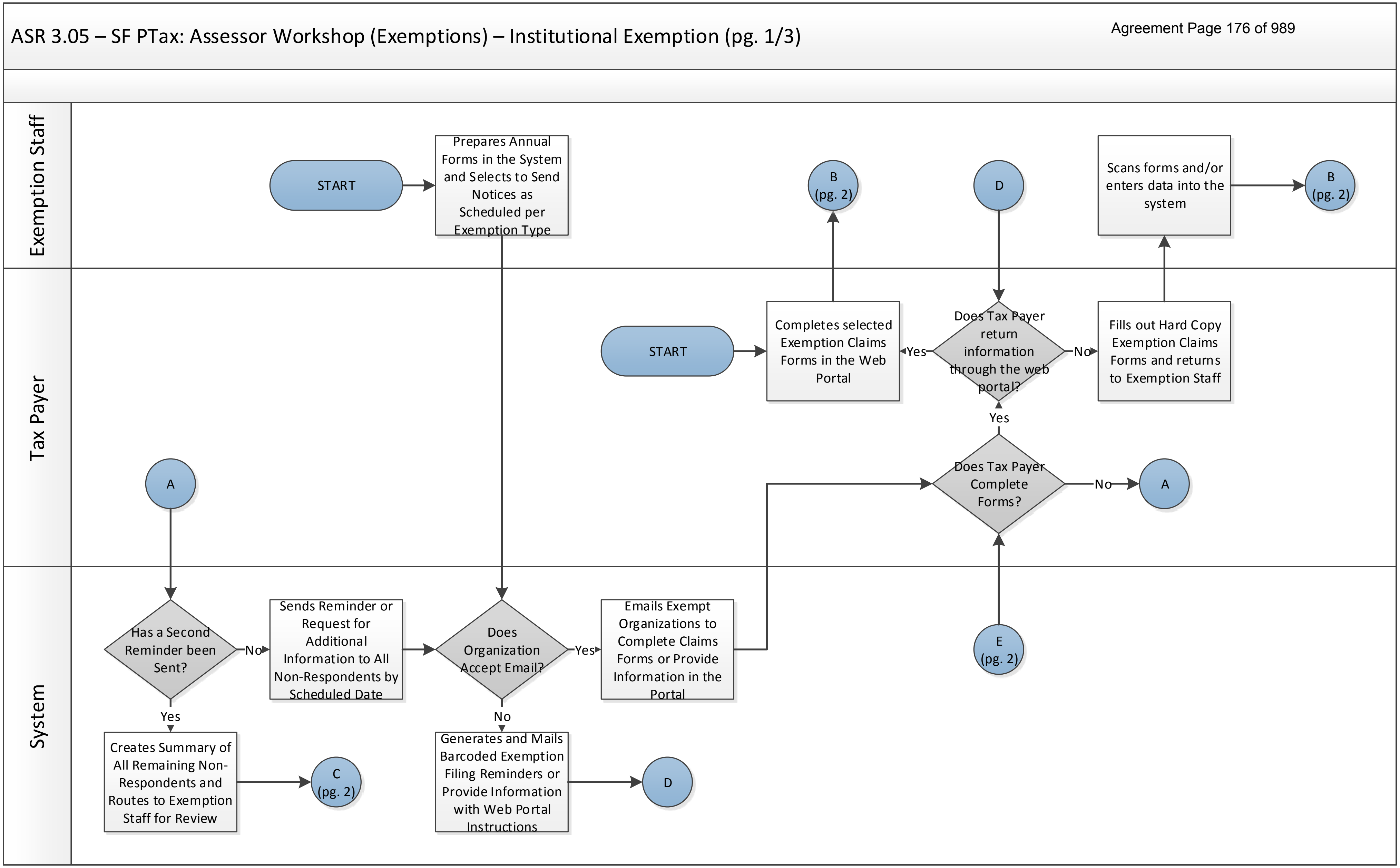


NOTES

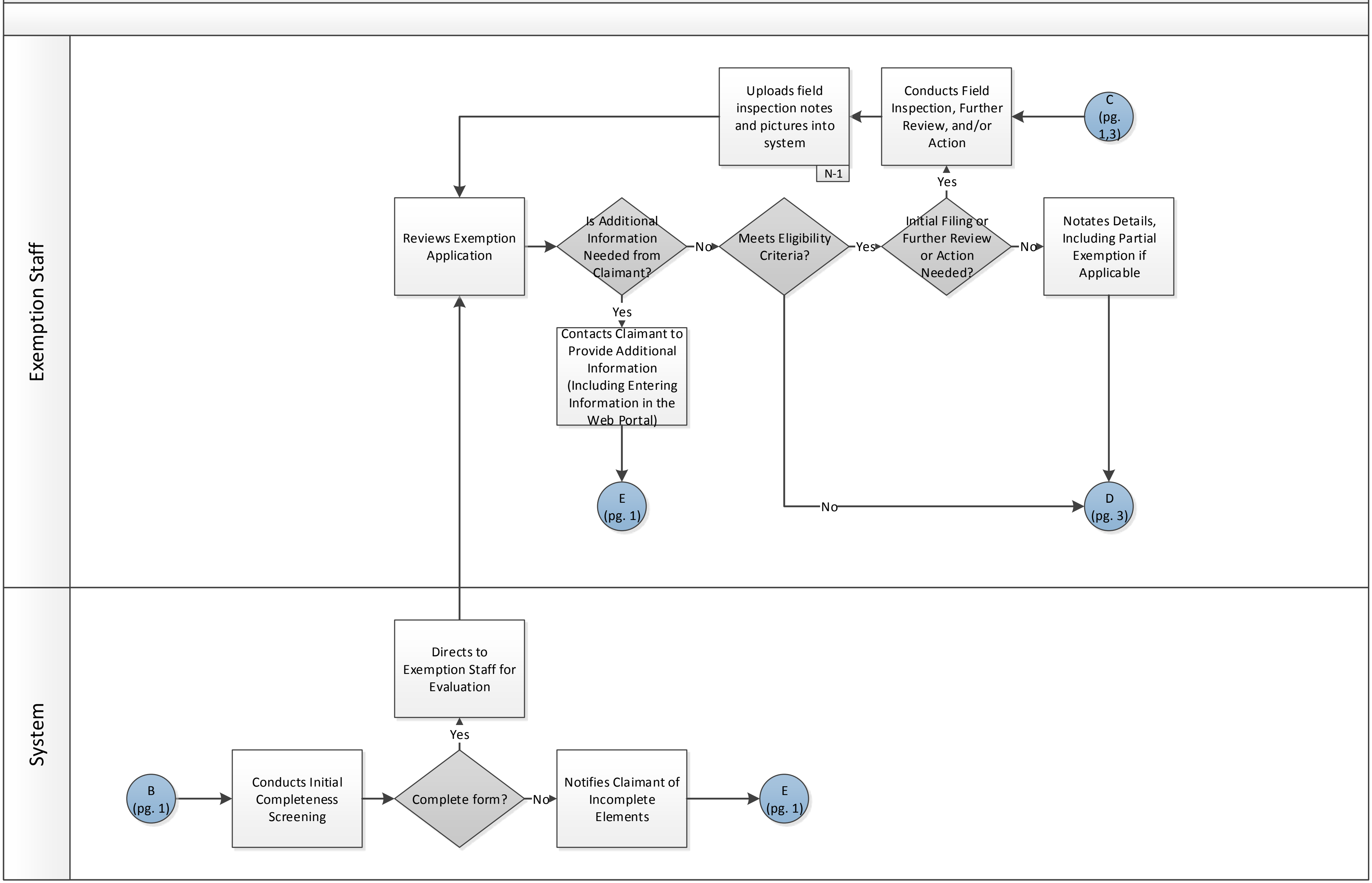
1. The penalty applies only if the vessel is required to file the 576-D. The last date without penalty is the same as the 571-L filing (May 7 for each year)

ASR 3.04b – SF PTax: Assessor Workshop (Exemptions) – 50 Tons, Homeowners, Disabled Veterans, and Welfare Exemption Vessels




ASR 3.05 – SF PTax: Assessor Workshop (Exemptions) – Institutional Exemption (pg. 1/3)
Exemption Staff
Tax Payer
System
START
Prepares Annual Forms in the System and Selects to Send Notices as Scheduled per Exemption Type
B (pg. 2)
D
Scans forms and/or enters data into the system
B (pg. 2)
START
Completes selected Exemption Claims Forms in the Web Portal
Yes
Does Tax Payer return information through the web portal?
No
Fills out Hard Copy Exemption Claims Forms and returns to Exemption Staff
Yes
A
Does Tax Payer Complete Forms?
No
A
Has a Second Reminder been Sent?
No
Sends Reminder or Request for Additional Information to All Non-Respondents by Scheduled Date
Does Organization Accept Email?
Yes
Emails Exempt Organizations to Complete Claims Forms or Provide Information in the Portal
E (pg. 2)
Yes
Creates Summary of All Remaining Non-Respondents and Routes to Exemption Staff for Review
C (pg. 2)
No
Generates and Mails Barcoded Exemption Filing Reminders or Provide Information with Web Portal Instructions
D

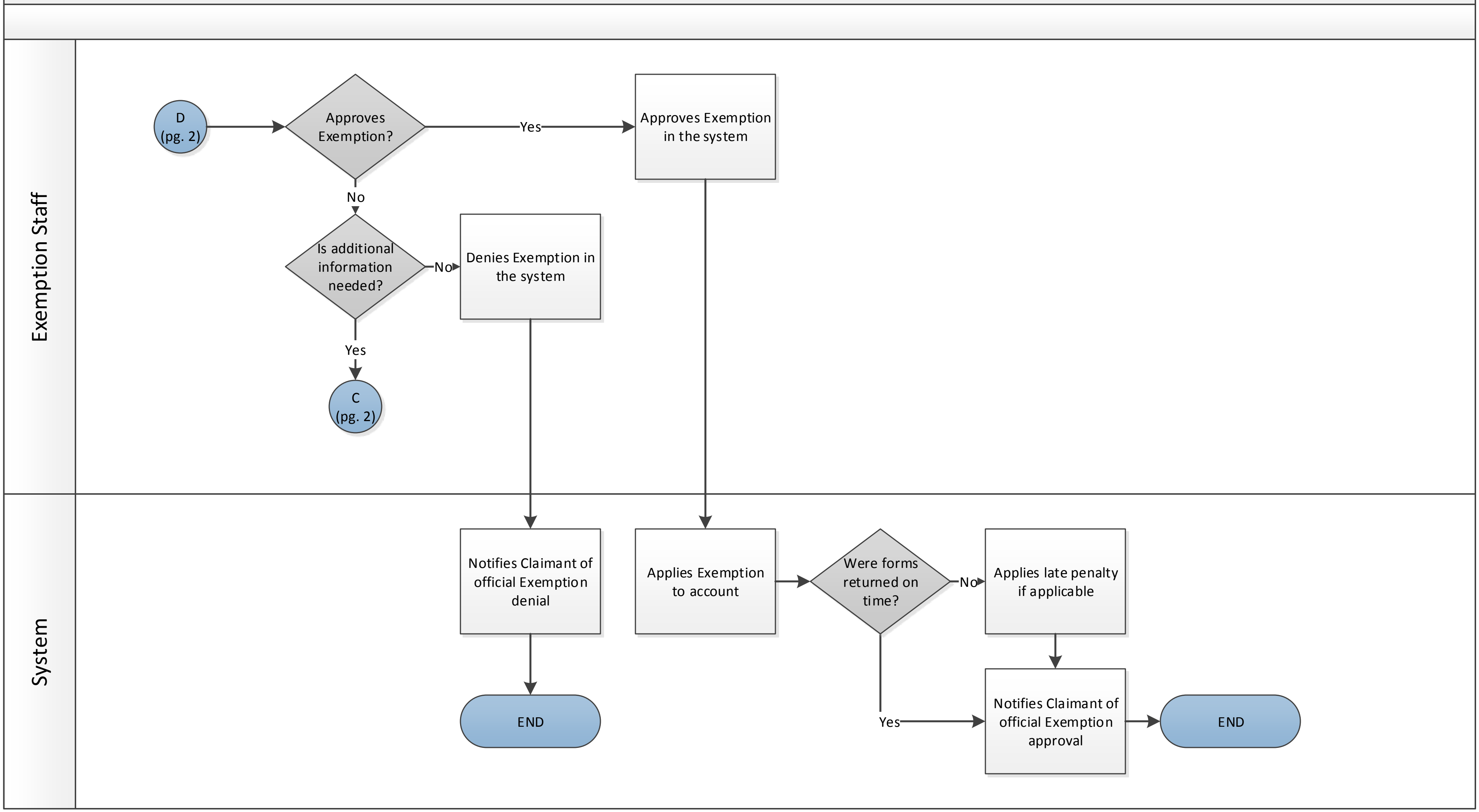
ASR 3.05 – SF PTax: Assessor Workshop (Exemptions) – Institutional Exemption (pg. 2/3)



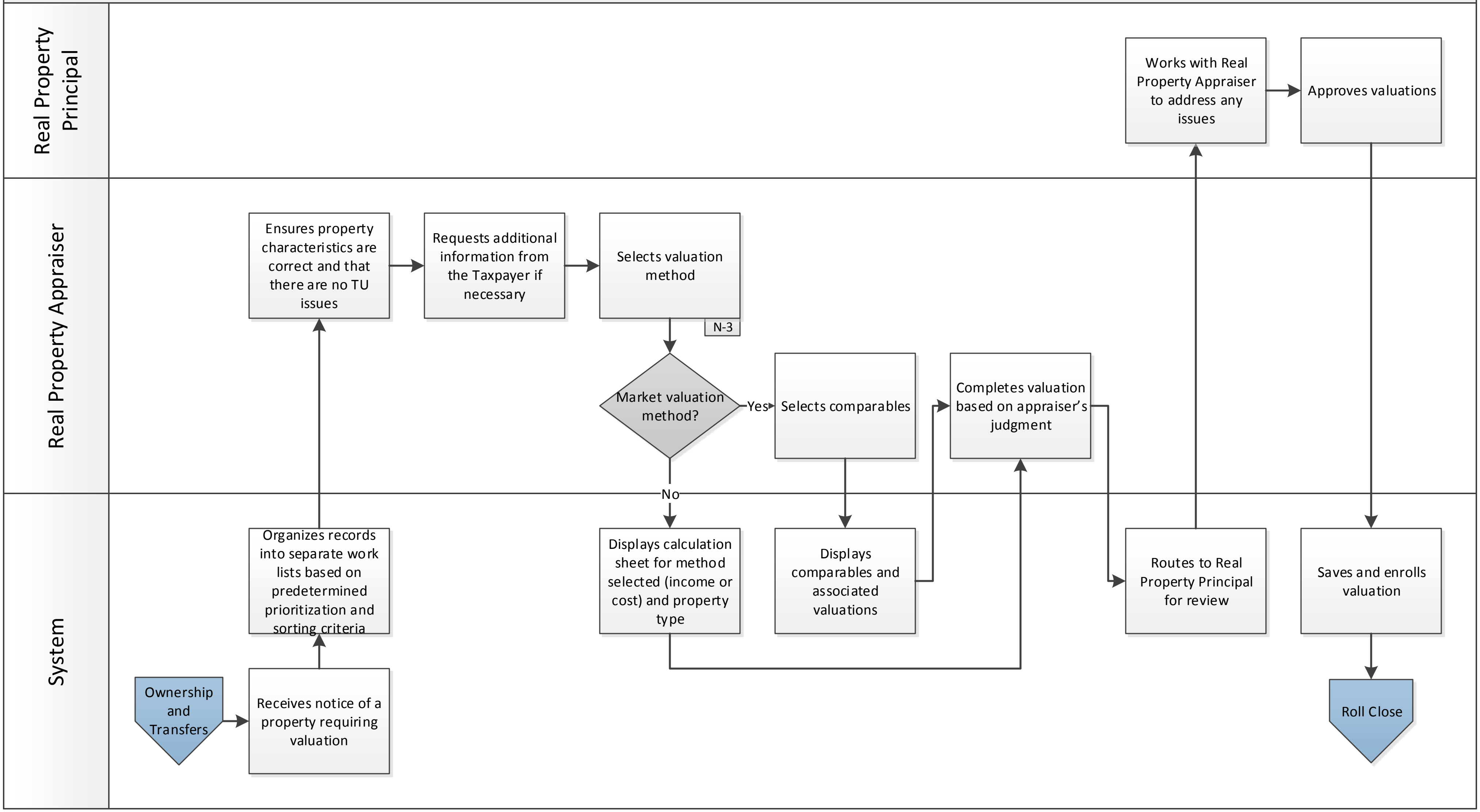
NOTES

1. The City has a preference for using a mobile device linked to the system during the field inspection that would allow staff to take notes and pictures into the system during the inspection. If that option is not available, the staff would take the notes and pictures outside of the system and input them once back in the office.

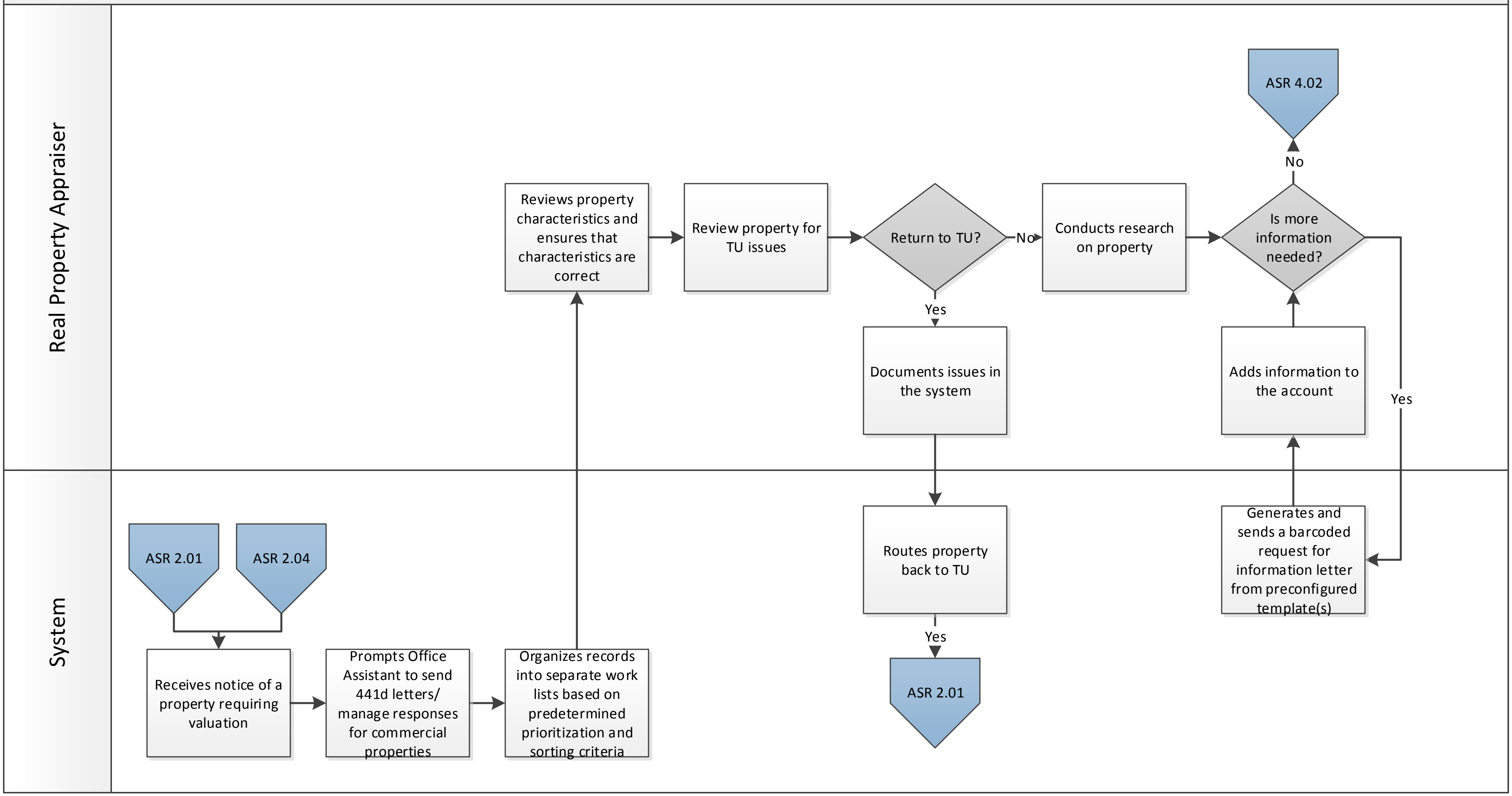
ASR 3.05 – SF PTax: Assessor Workshop (Exemptions) – Institutional Exemption (pg. 3/3)



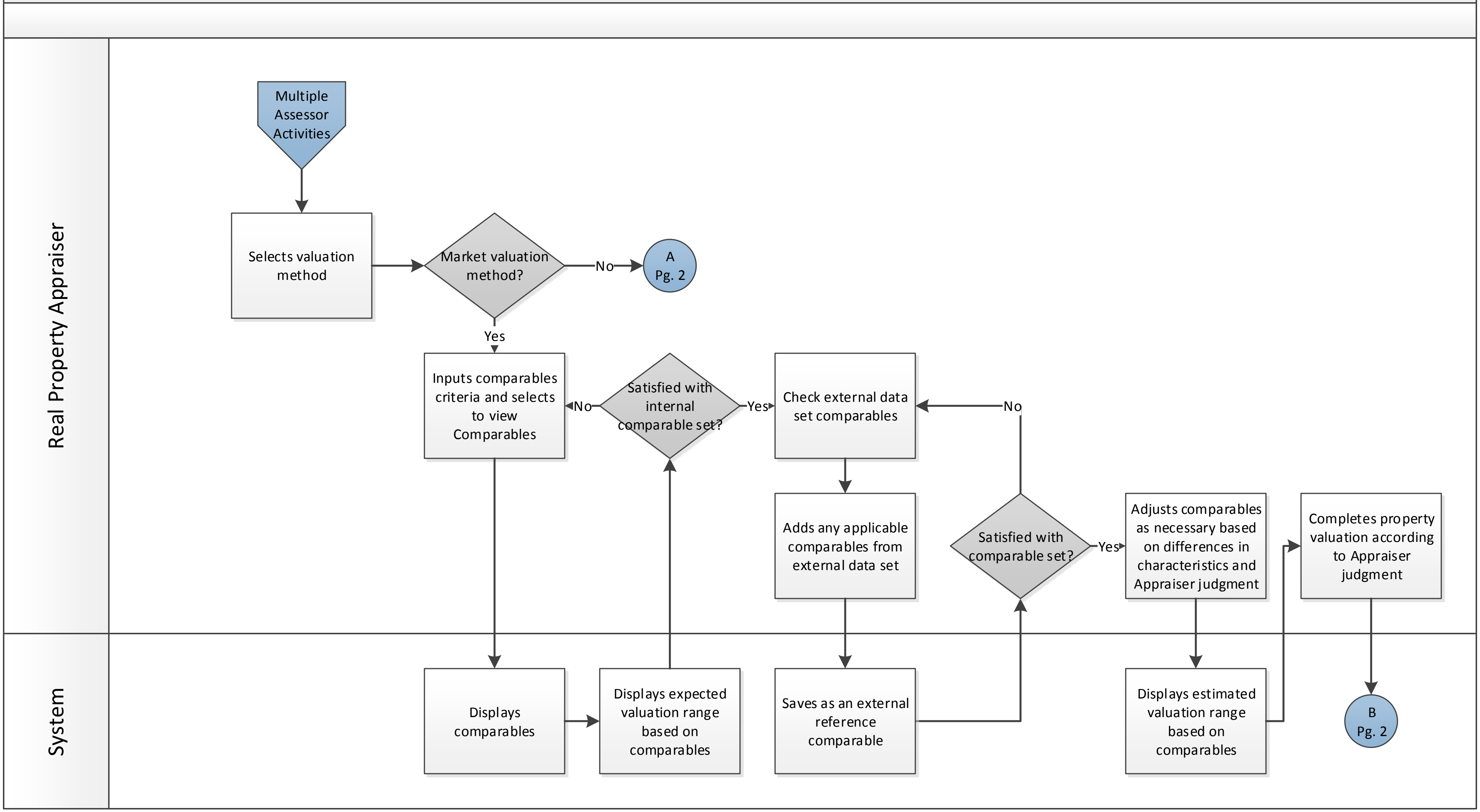
ASR 4.0 – SF PTax: Assessor Workshop (Real Property Valuation) – Real Property Valuation



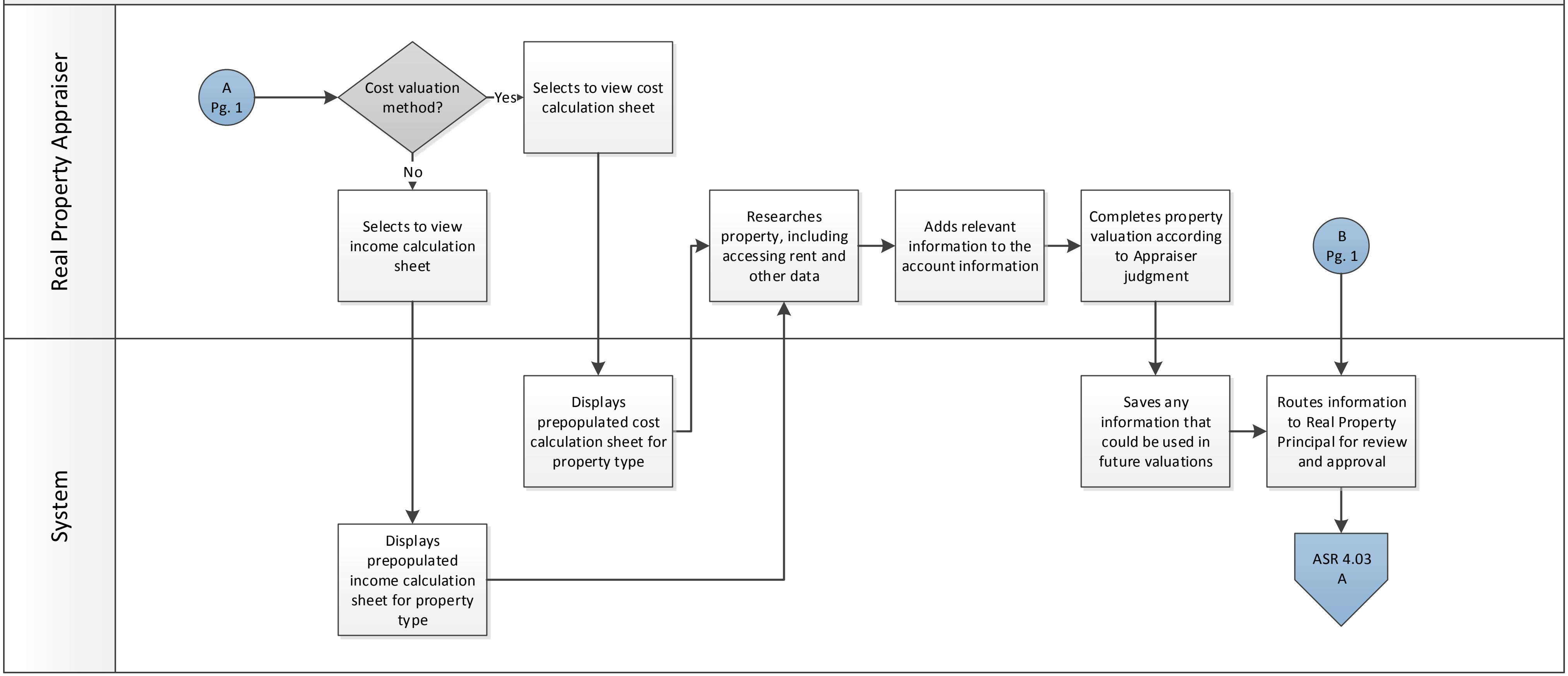
ASR 4.01 – SF PTax: Assessor Workshop (Real Property Valuation) – Prepare Real Property for Valuation



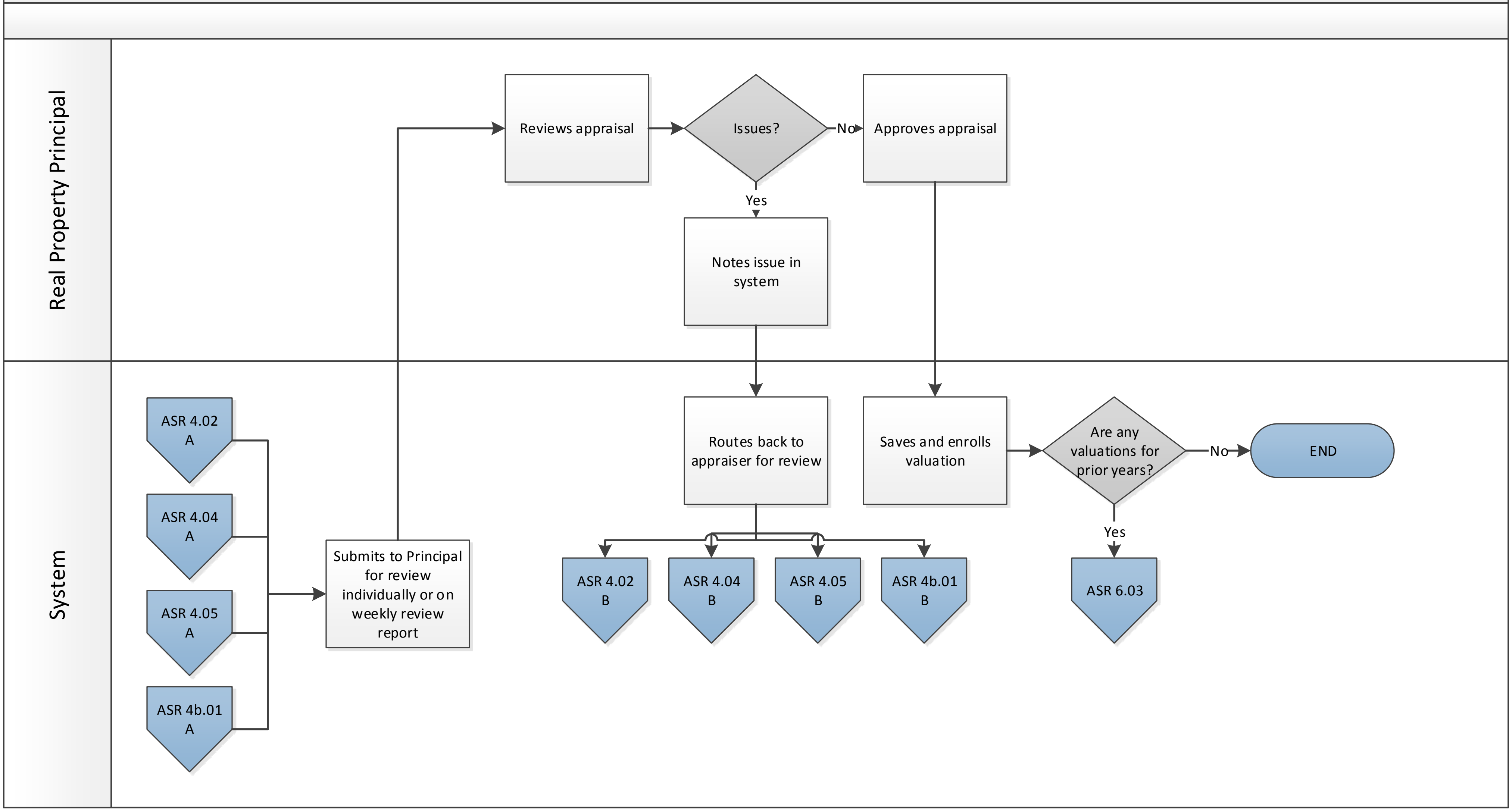
ASR 4.02 New – SF PTax: Assessor Workshop (Real Property Valuation) – Value Real Property (pg. 1/2)



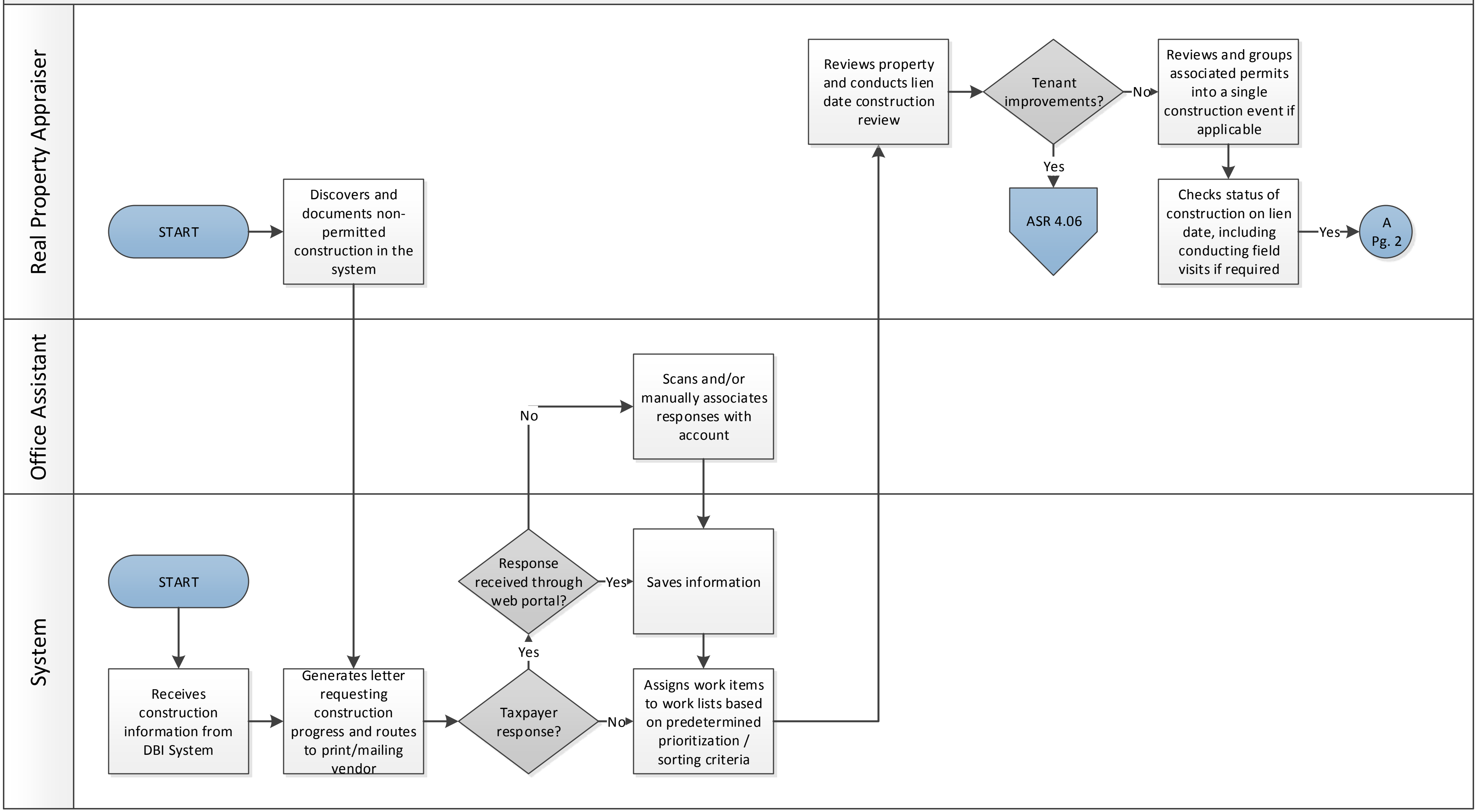
ASR 4.02 New – SF PTax: Assessor Workshop (Real Property Valuation) – Value Real Property (pg. 2/2)



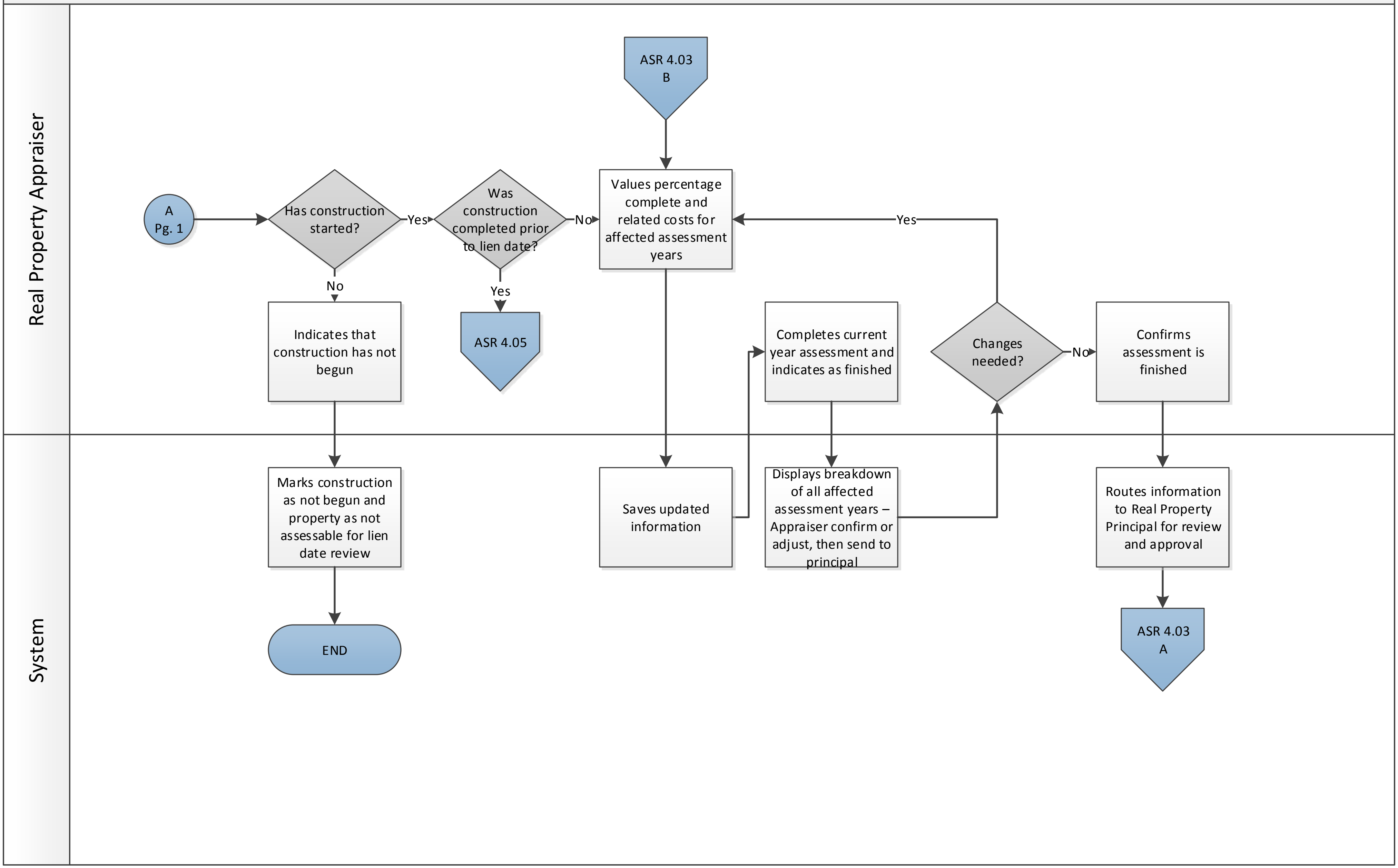
ASR 4.03 – SF PTax: Assessor Workshop (Real Property Valuation) – Review and Approve Real Property Valuation



ASR 4.04 – SF PTax: Assessor Workshop (Real Property Valuation) – Lien Date Construction Review (pg. 1/2)



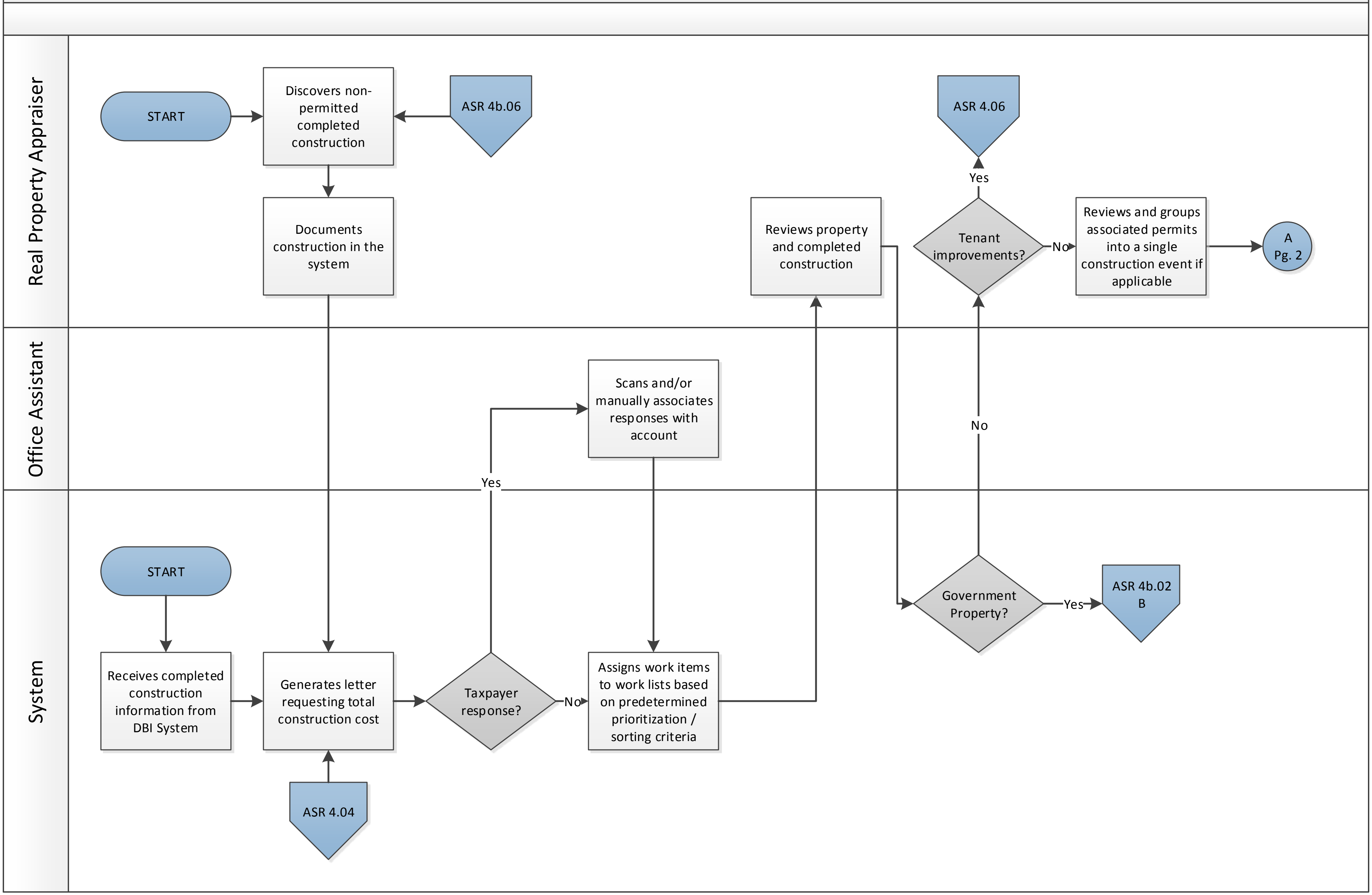
ASR 4.04 – SF PTax: Assessor Workshop (Real Property Valuation) – Lien Date Construction Review (pg. 2/2)



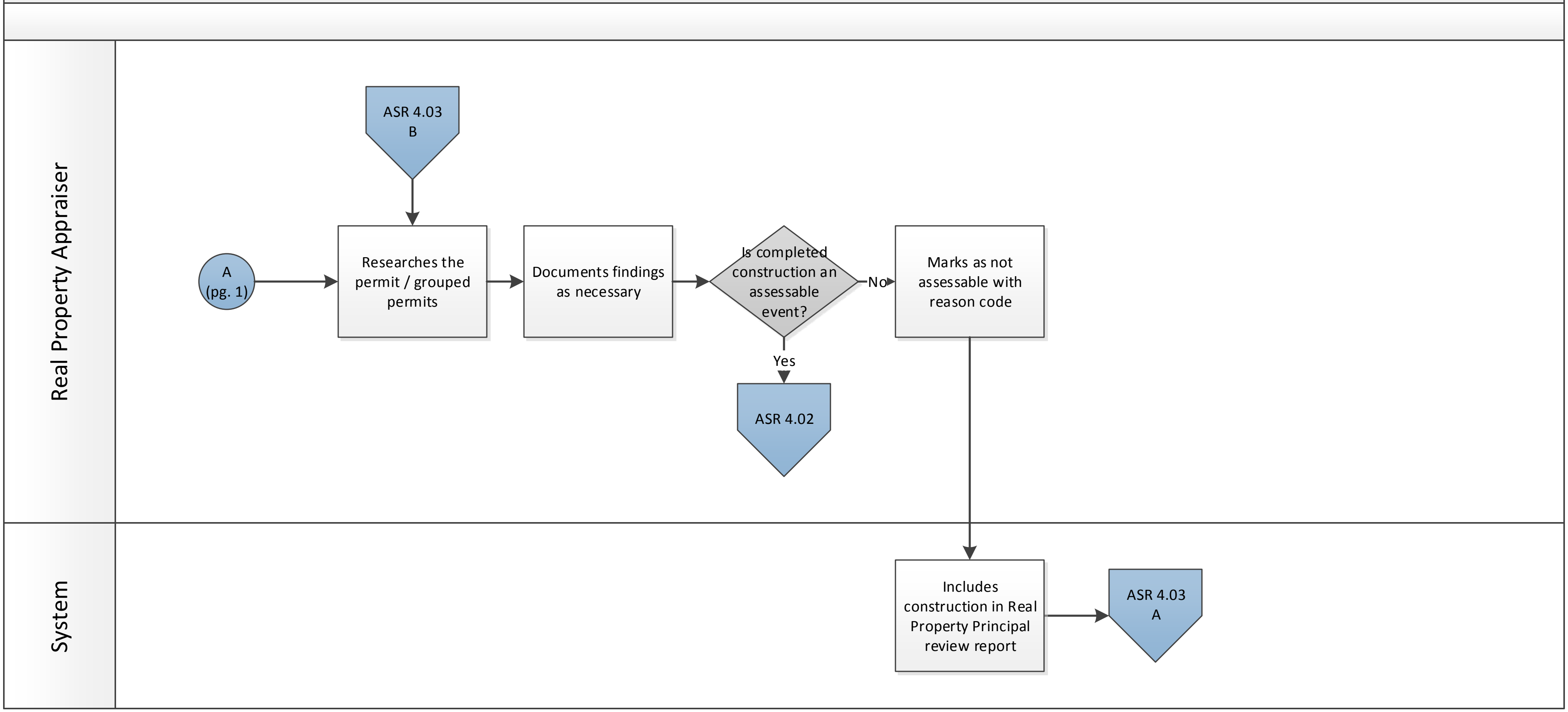
NOTES

1. Requested information includes, but is not limited to: total cost of construction, spending to-date, % complete, etc.

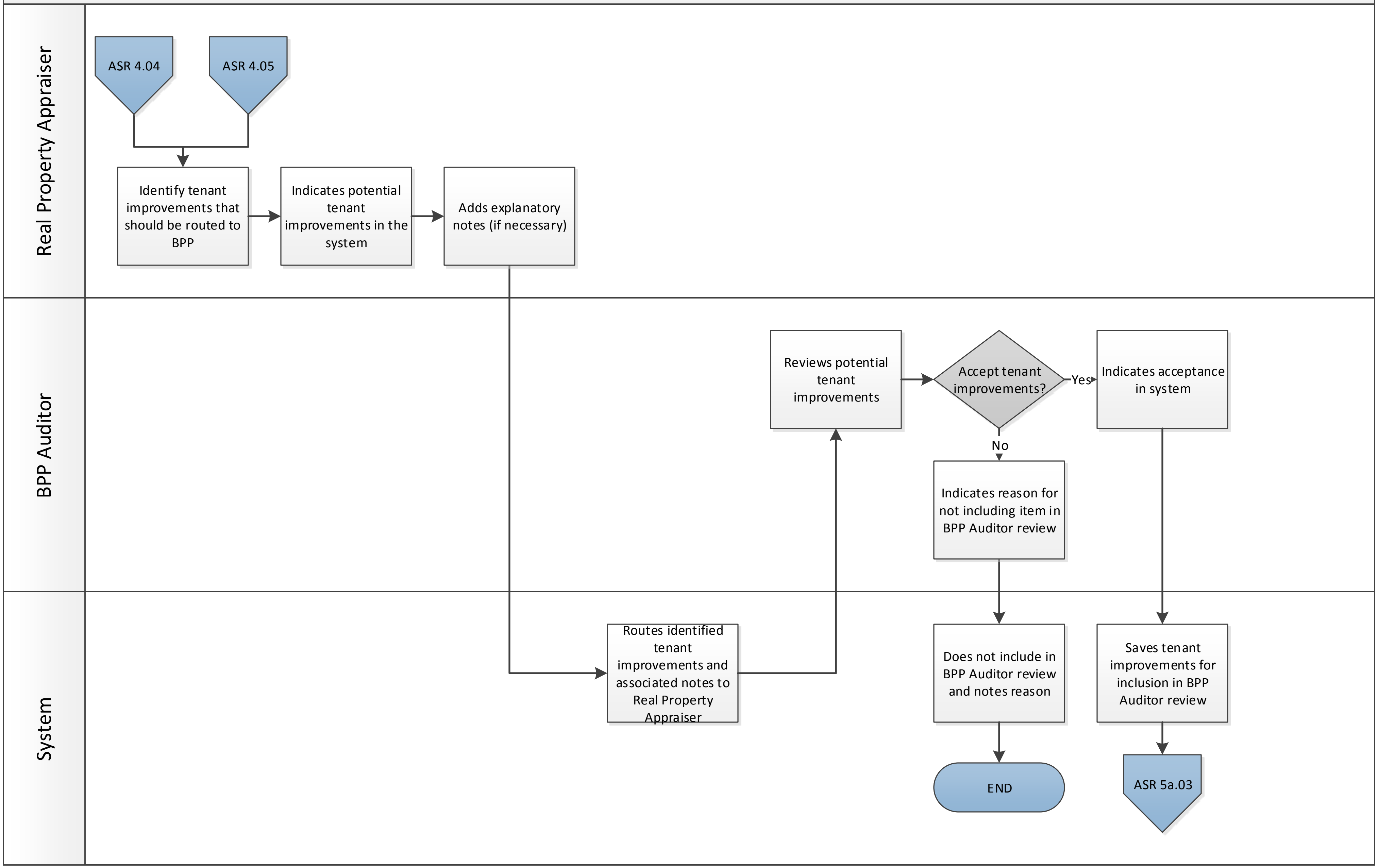
ASR 4.05 – SF PTax: Assessor Workshop (Real Property Valuation) – Completed New Construction (pg. 1/2)



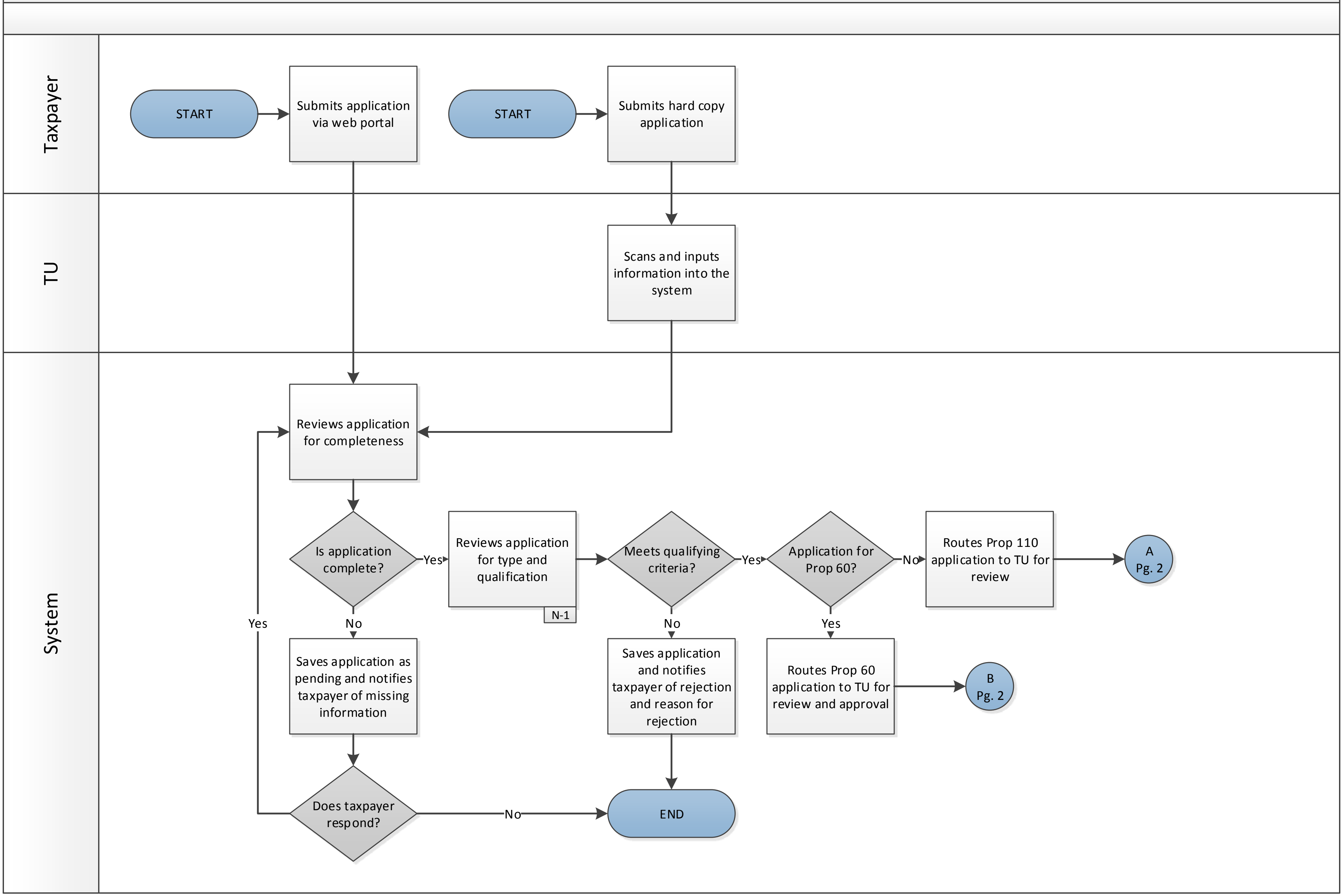
ASR 4.05 – SF PTax: Assessor Workshop (Real Property Valuation) – Completed New Construction (pg. 2/2)



ASR 5a.05 – SF PTax: Assessor Workshop (Unsecured Properties) – Tenant Improvements



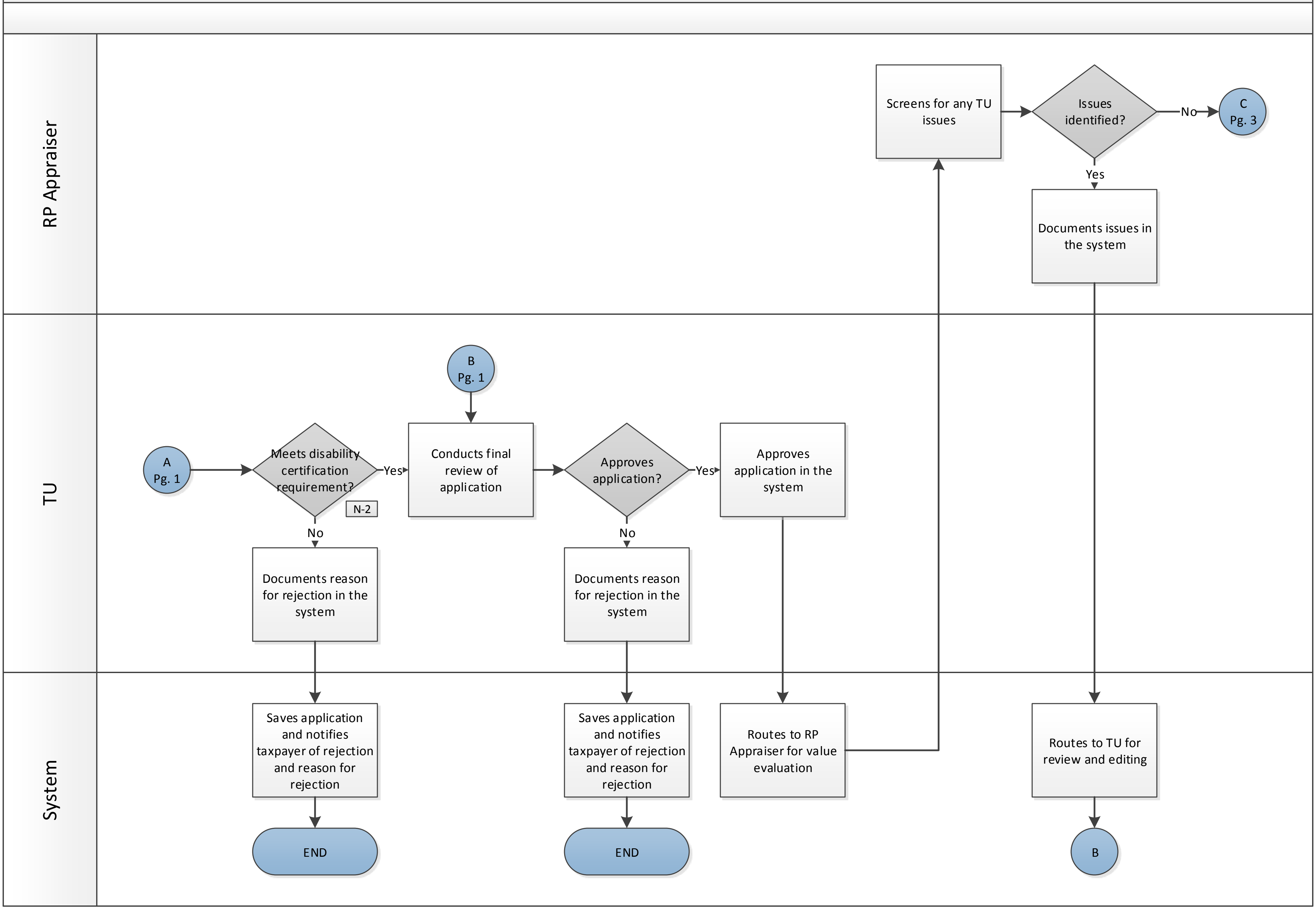
ASR 4b.01 – SF PTax: Assessor Workshop (Real Property Valuation) – Prop 60/110 (pg. 1/3)



NOTES

1. Qualifying conditions include: cannot previously have received Prop 60 and receive Prop 60, cannot previously have received Prop 110 and receive Prop 110, cannot previously have received Prop 110 and receive Prop 60, both Prop 60 and 110 must meet 2-year timeframe, Prop 60 must meet 55+ age qualification or have received a Prop 110

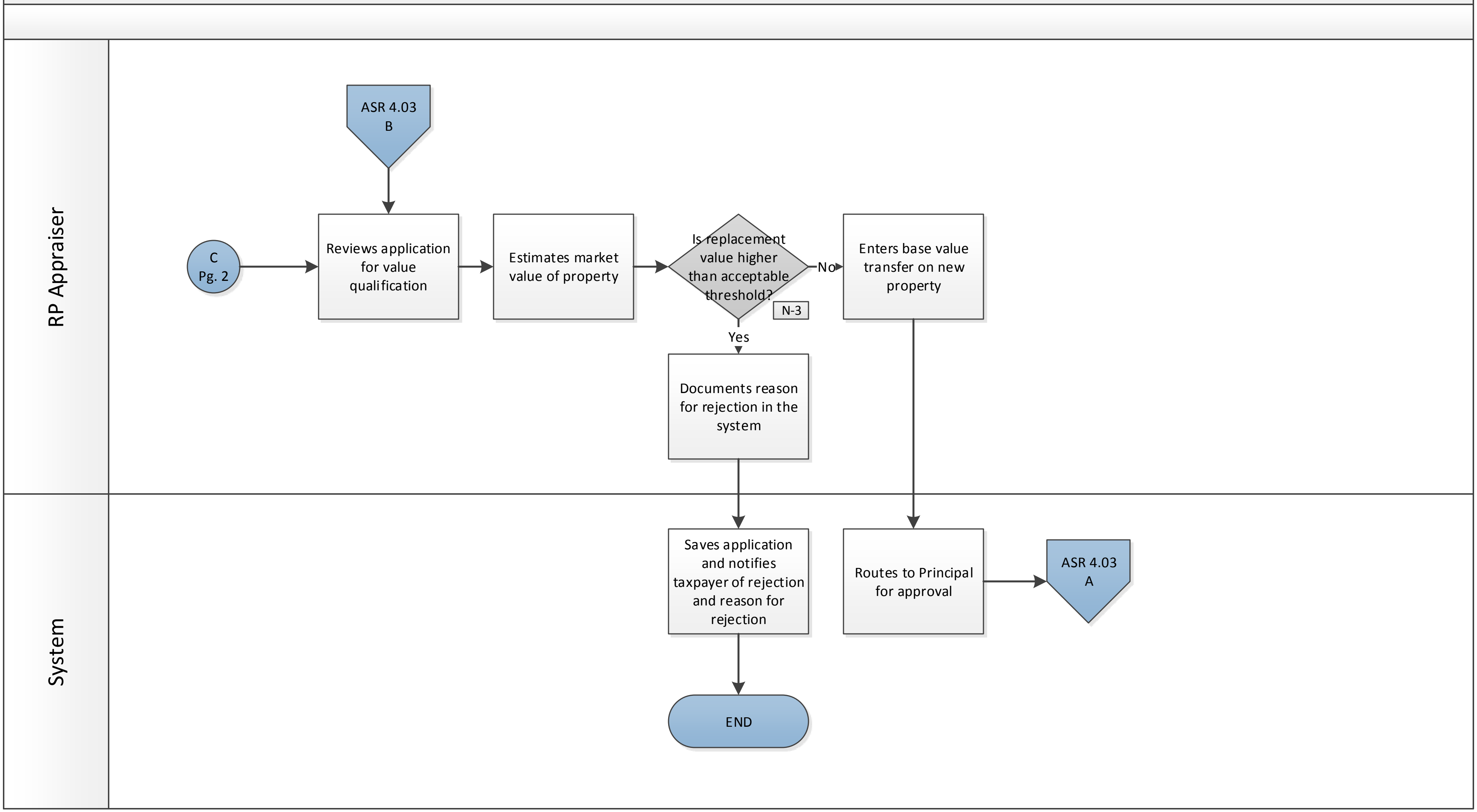
ASR 4b.01 – SF PTax: Assessor Workshop (Real Property Valuation) – Prop 60/110 (pg. 2/3)



NOTES

2. Prop 110 requires a certification of disability that has to be signed by a physician

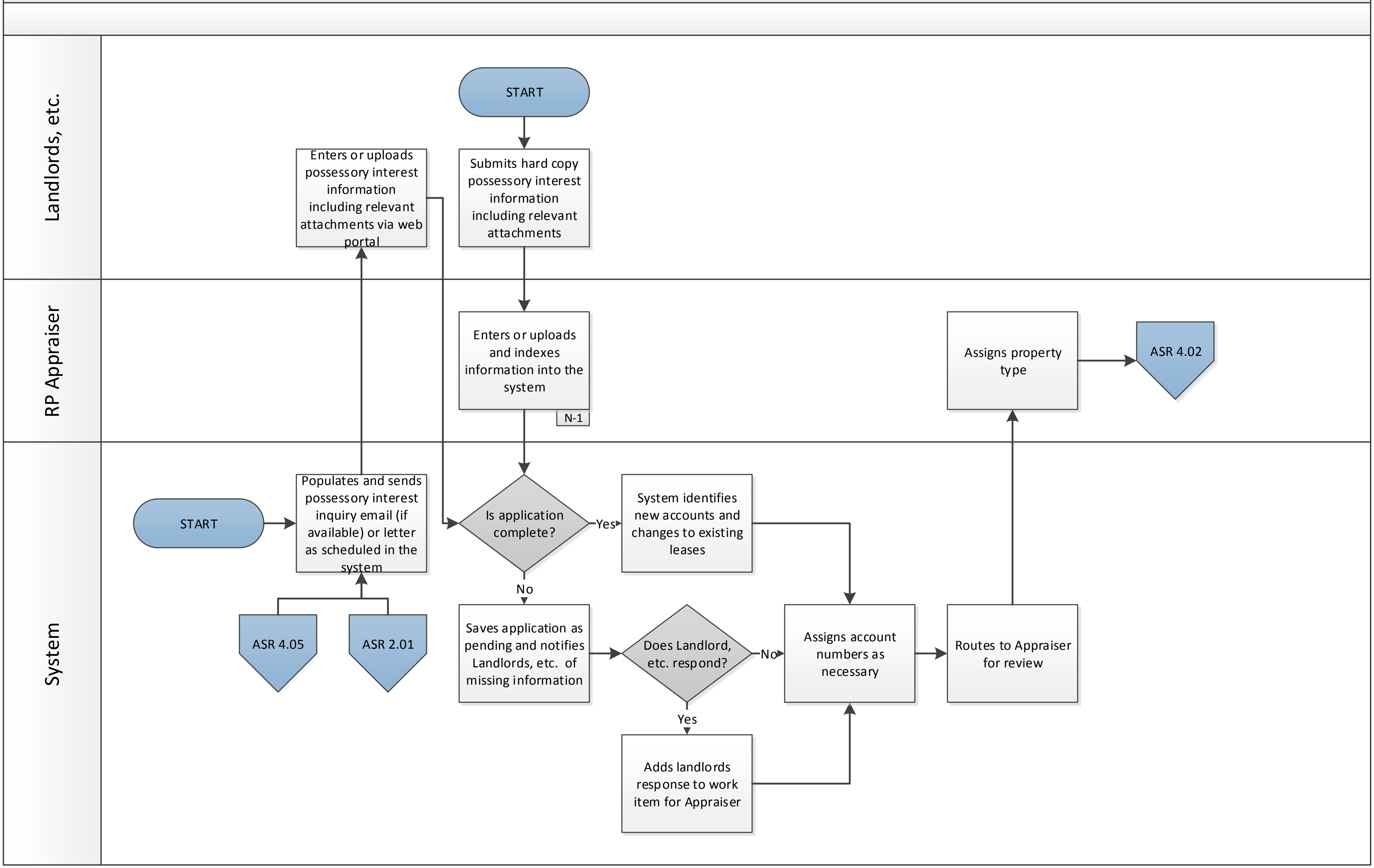
ASR 4b.01 – SF PTax: Assessor Workshop (Real Property Valuation) – Prop 60/110 (pg. 3/3)



NOTES

3. Acceptable threshold is greater than or equal to 105% for properties with 1 year between sale of existing home and purchase of new home and greater than or equal to 110% for properties with 2 years between sale of existing home and purchase of new home

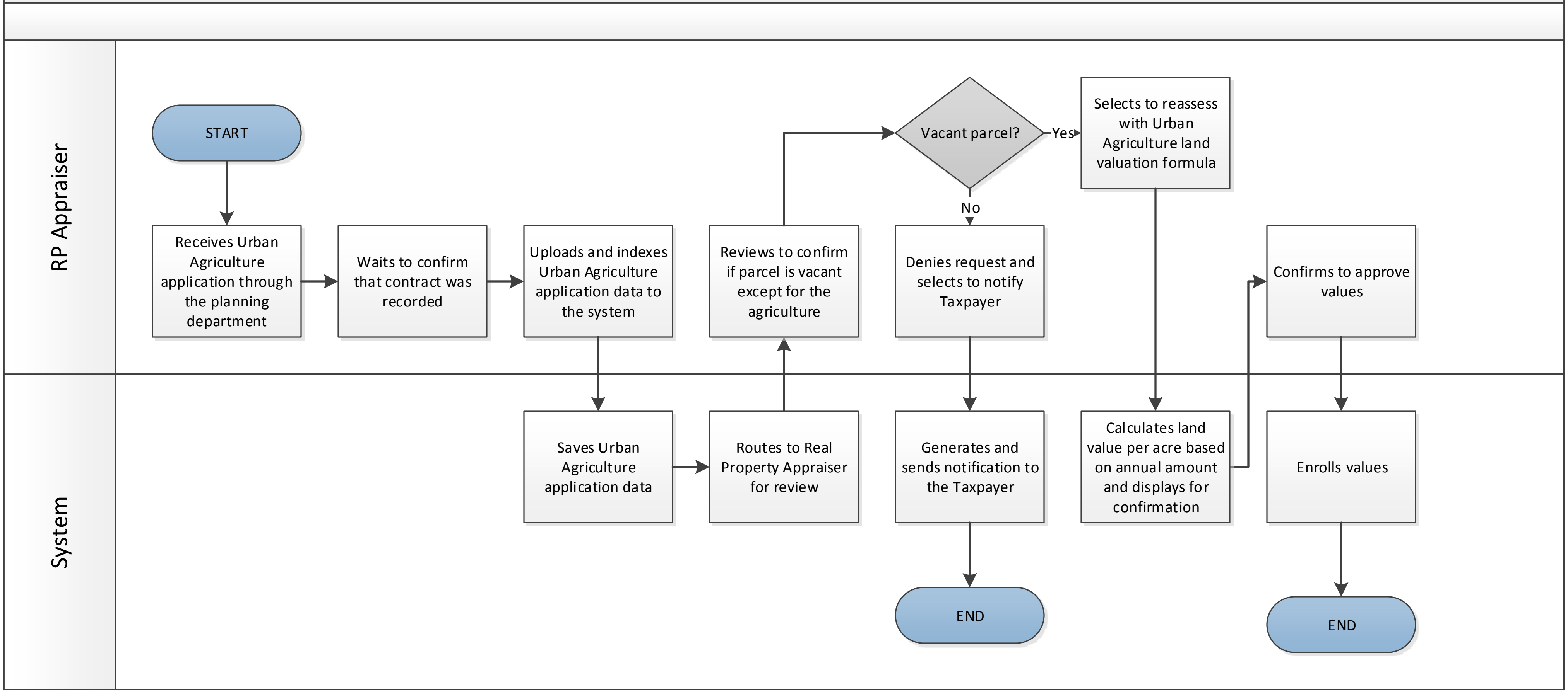
ASR 4b.02 – SF PTax: Assessor Workshop (Real Property Valuation) – Possessory Interest



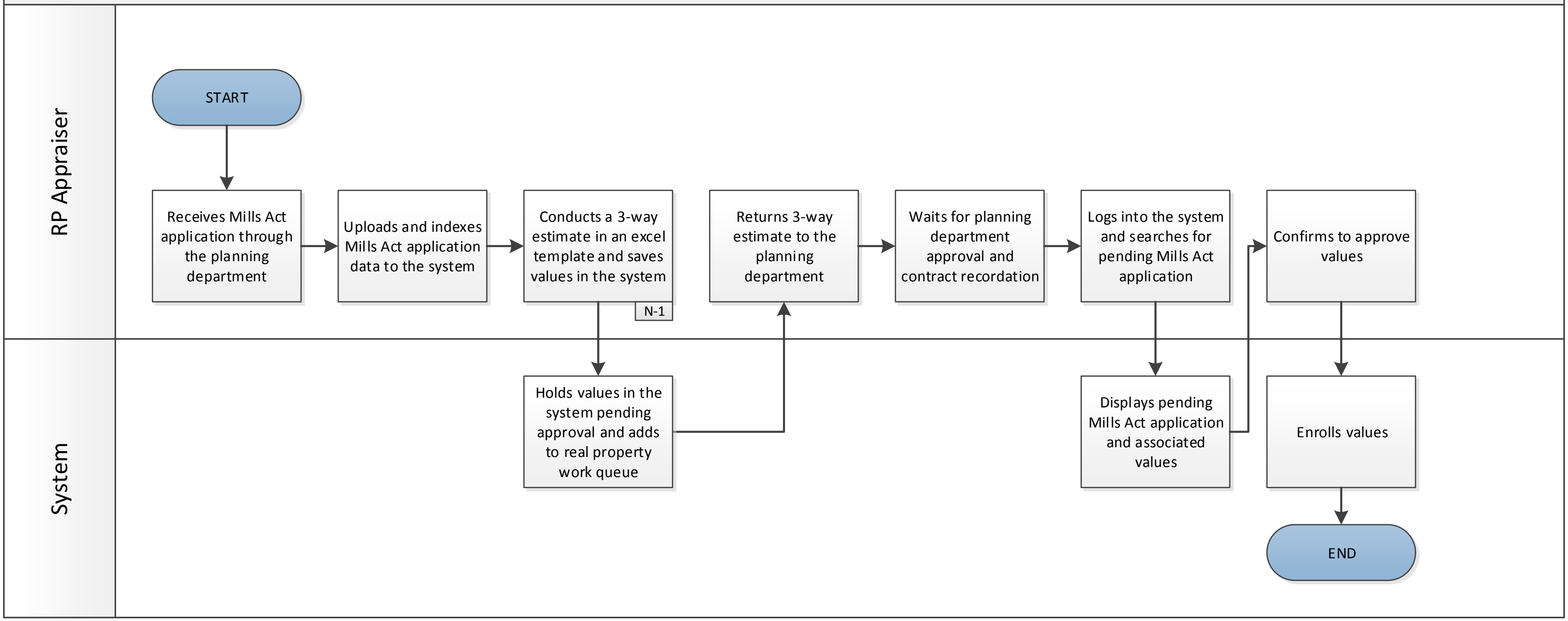
NOTES

1. Entered and indexed data should include: tenant, address or location, mail address, lease start, lease end, rent, terms, rent schedule, landlord name, contract number, and contact information

ASR 4b.03 – SF PTax: Assessor Workshop (Real Property Valuation) – Urban Agriculture Application



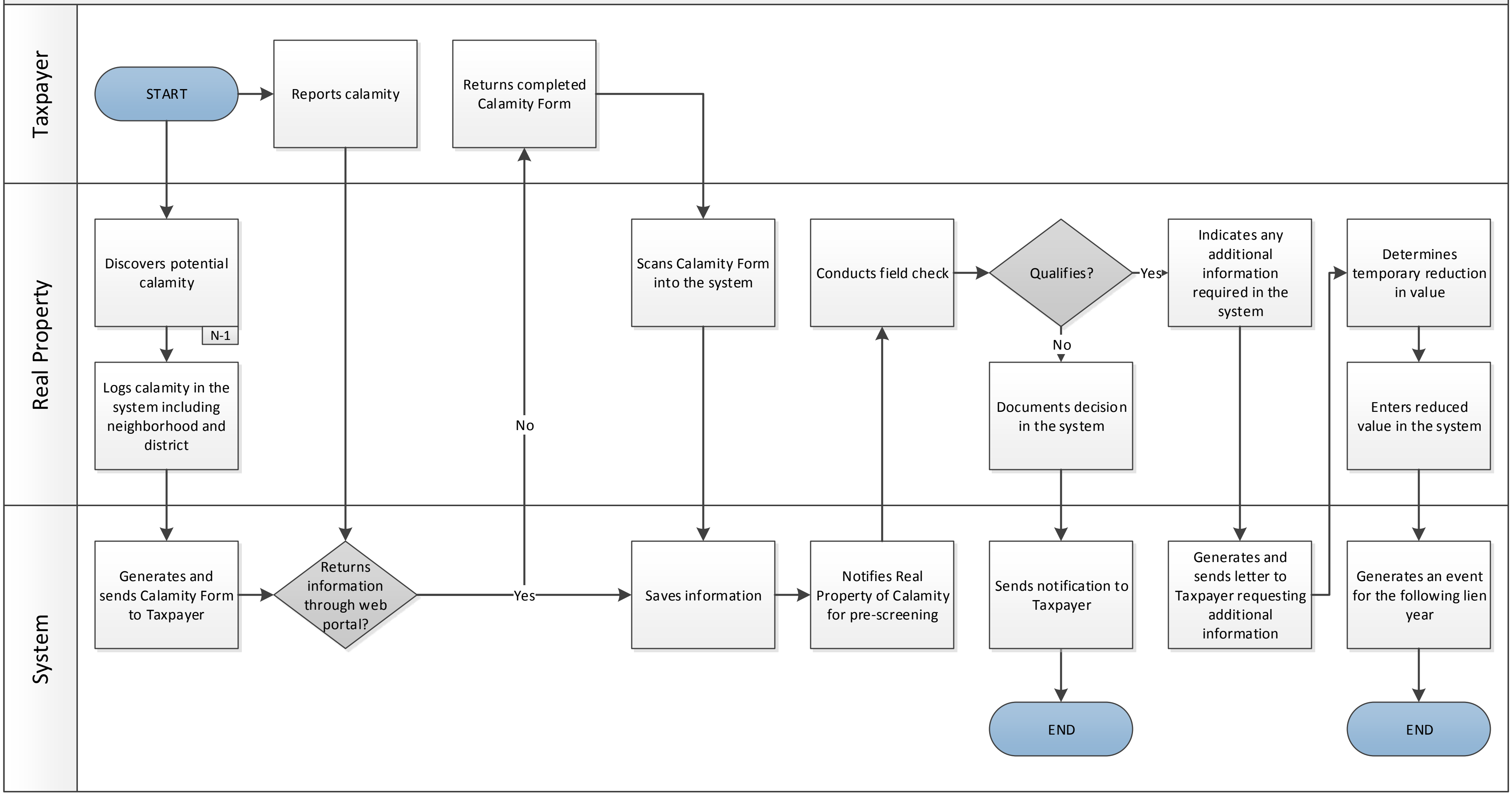
ASR 4b.04 – SF PTax: Assessor Workshop (Real Property Valuation) – Mills Act Application



NOTES

1. 3-way estimate includes: factored base year, restricted Mills Act, and market value based on the lien date

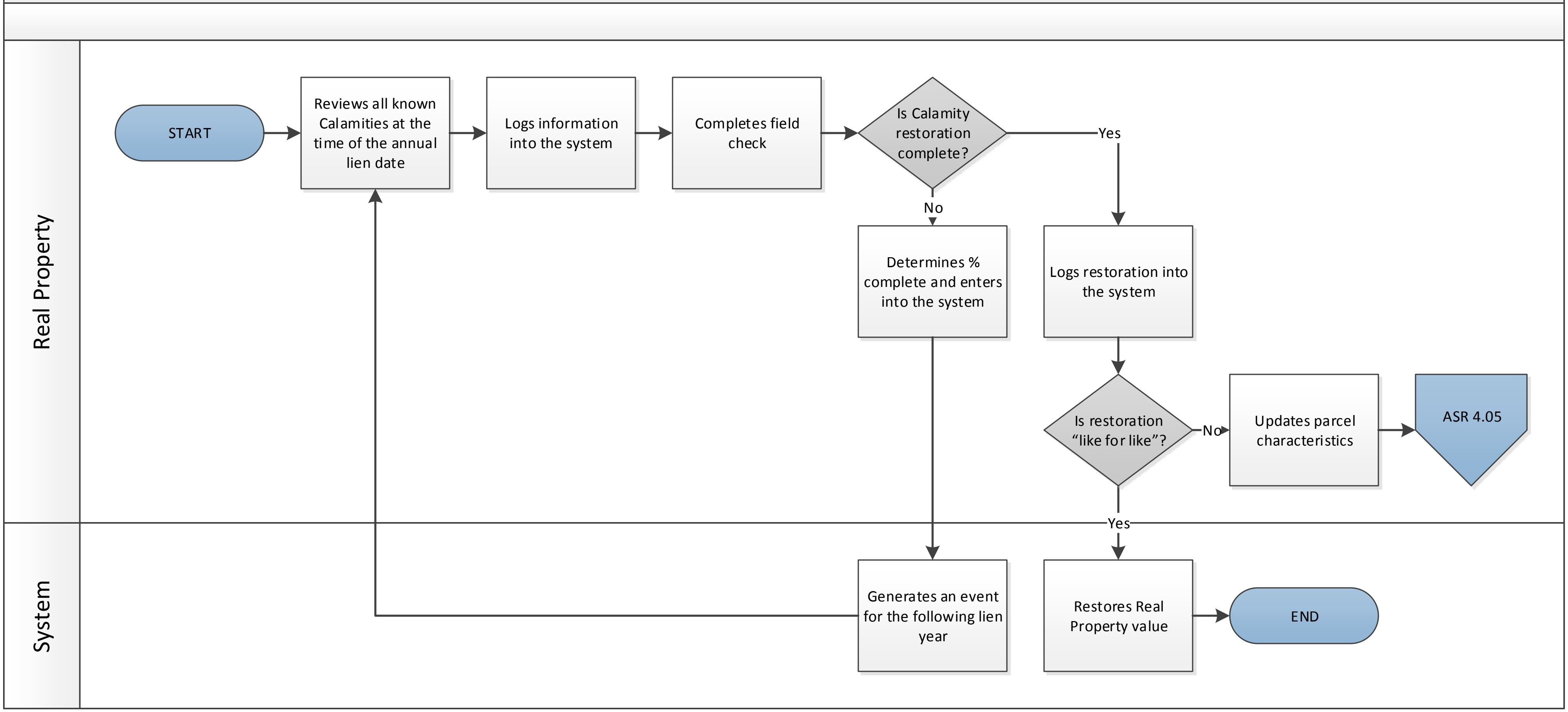
ASR 4b.05 – SF PTax: Assessor Workshop (Real Property Valuation) – Real Property Calamities



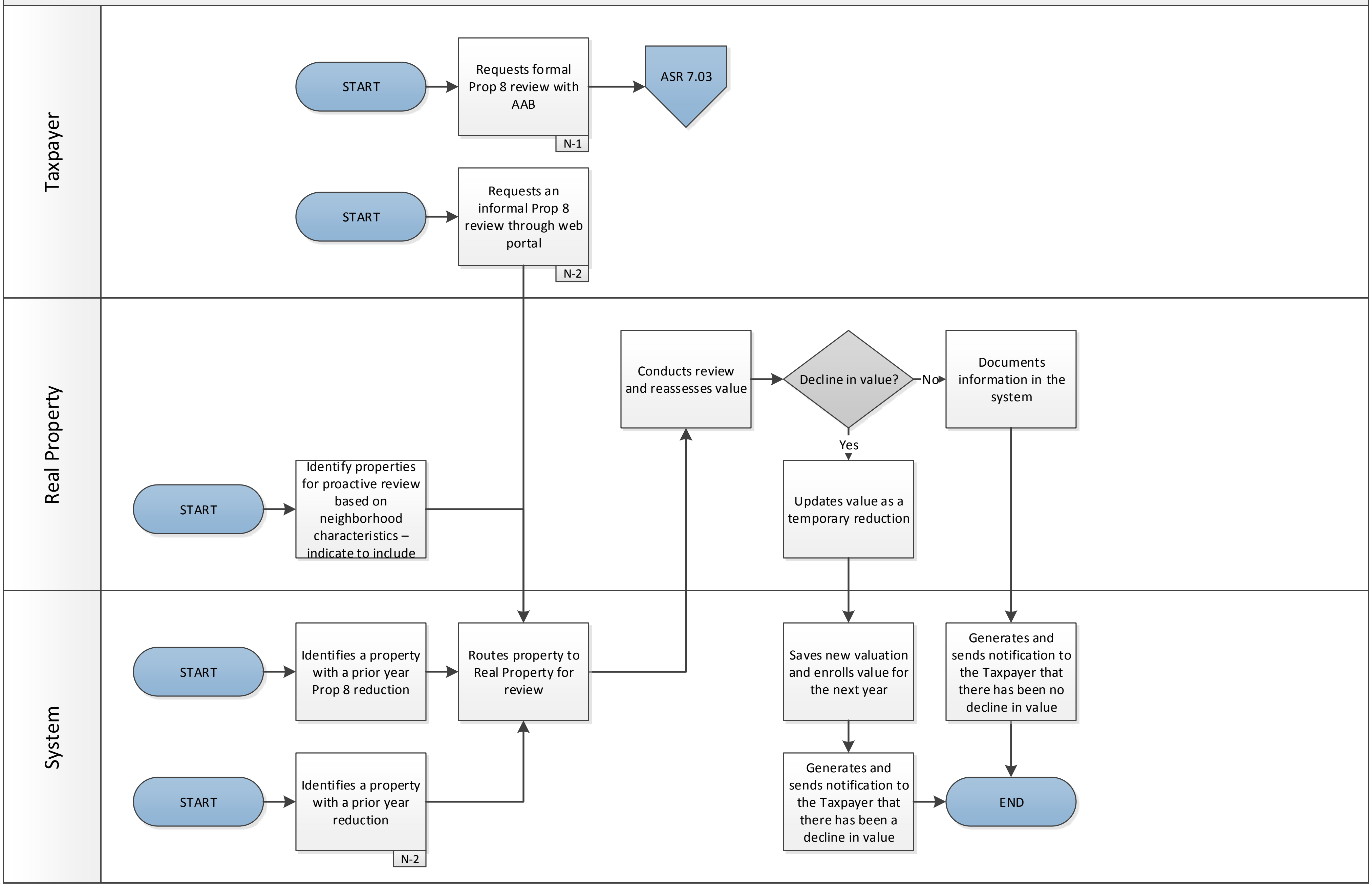
NOTES

1. Discovery occurs through a variety of means, including news coverage, field work, interface with Fire Department system, etc.

ASR 4b.06 – SF PTax: Assessor Workshop (Real Property Valuation) – Real Property Lien Date Review and Calamity Restoration



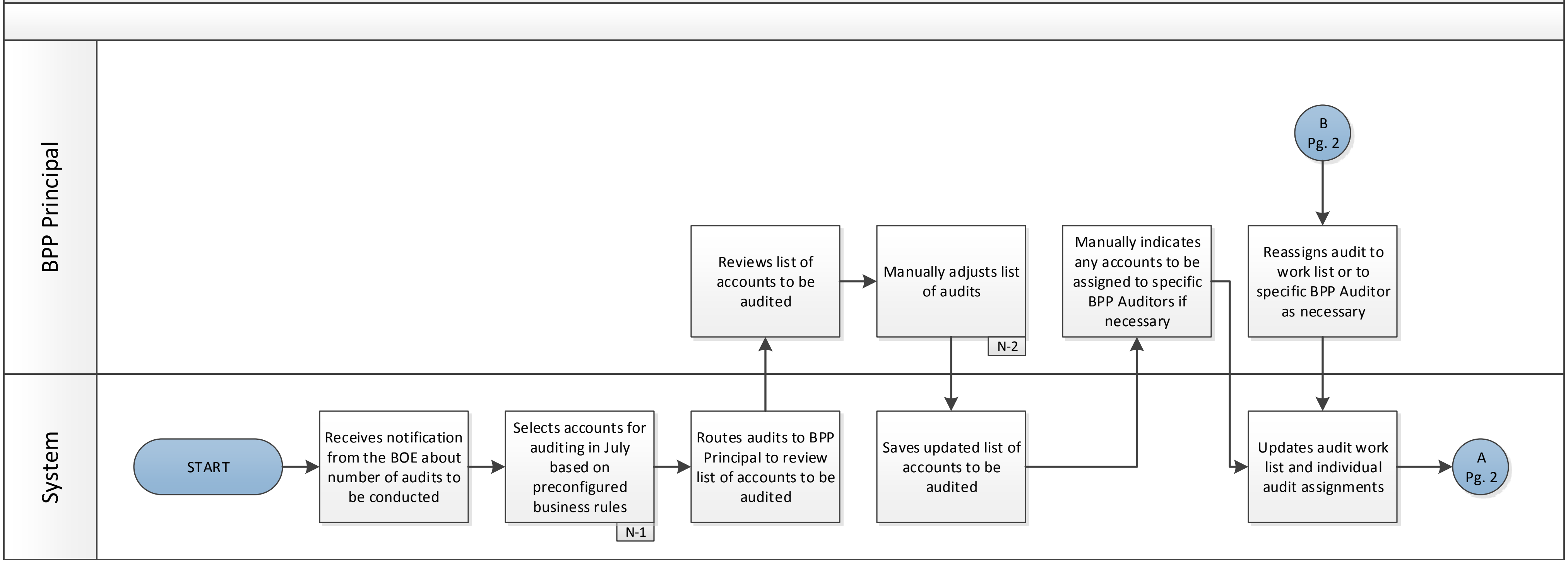
ASR 4b.07 – SF PTax: Assessor Workshop (Real Property Valuation) – Informal Review / Prop 8/Decline in Value



NOTES

1. Costs $60 and is only available 7/2 – 9/15
2. Only available January through March
3. Prior year reduction may also be due to Mills Act or Urban Agriculture

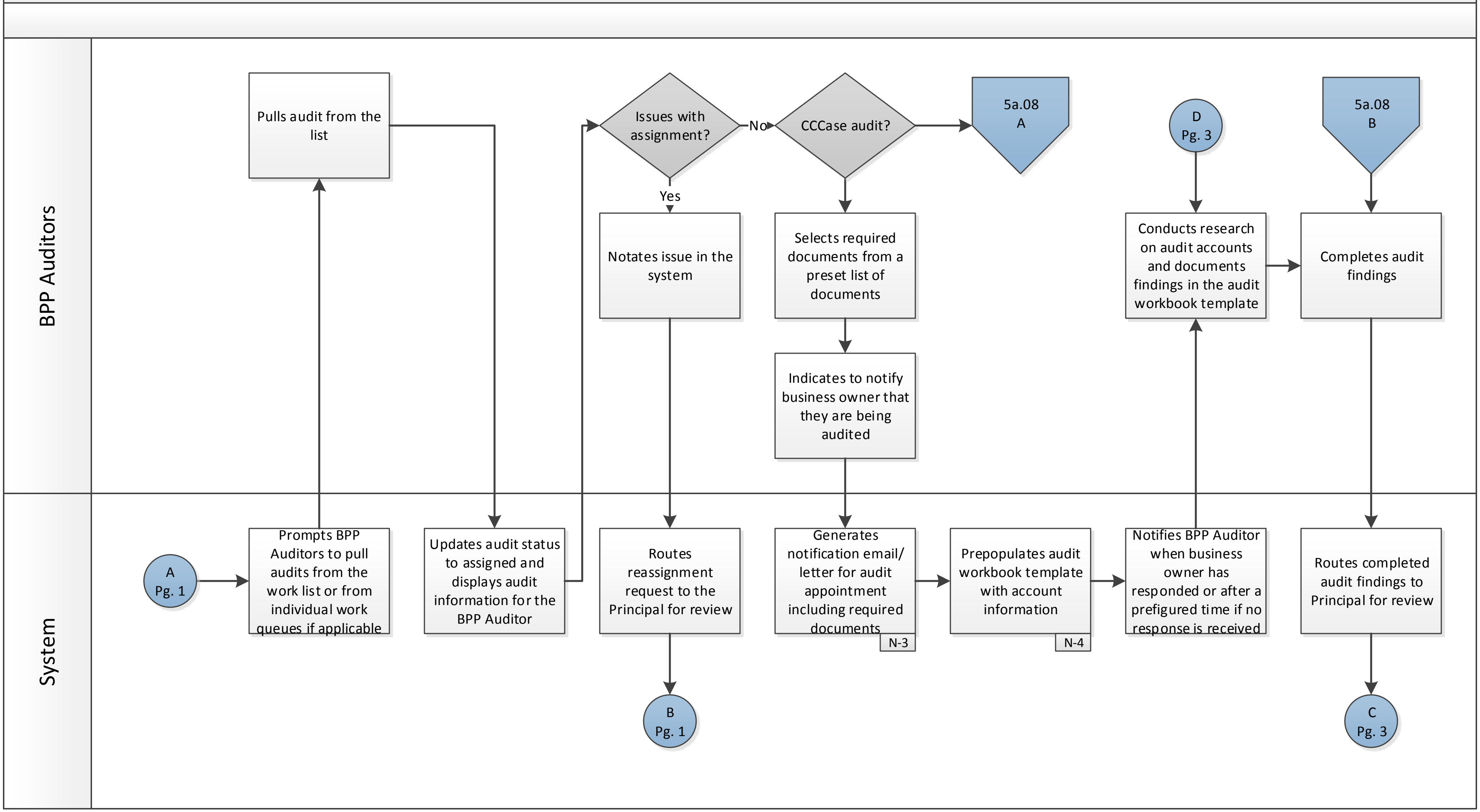
ASR 5a.06 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Property Audits pg. 1/3



NOTES

1. Select 152 high value accounts out of the top 608 accounts in the system – rotate through another 152 each year so that all high value accounts are audited every four years. Total audit number should include any audits from the previous year that were marked for continuation and any other accounts manually identified for auditing. Remaining audits should be randomly chosen from accounts not audited in the prior 4 years.
2. Manual additions may include appeals, disagreements, and CCCases

ASR 5a.06 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Property Audits pg. 2/3

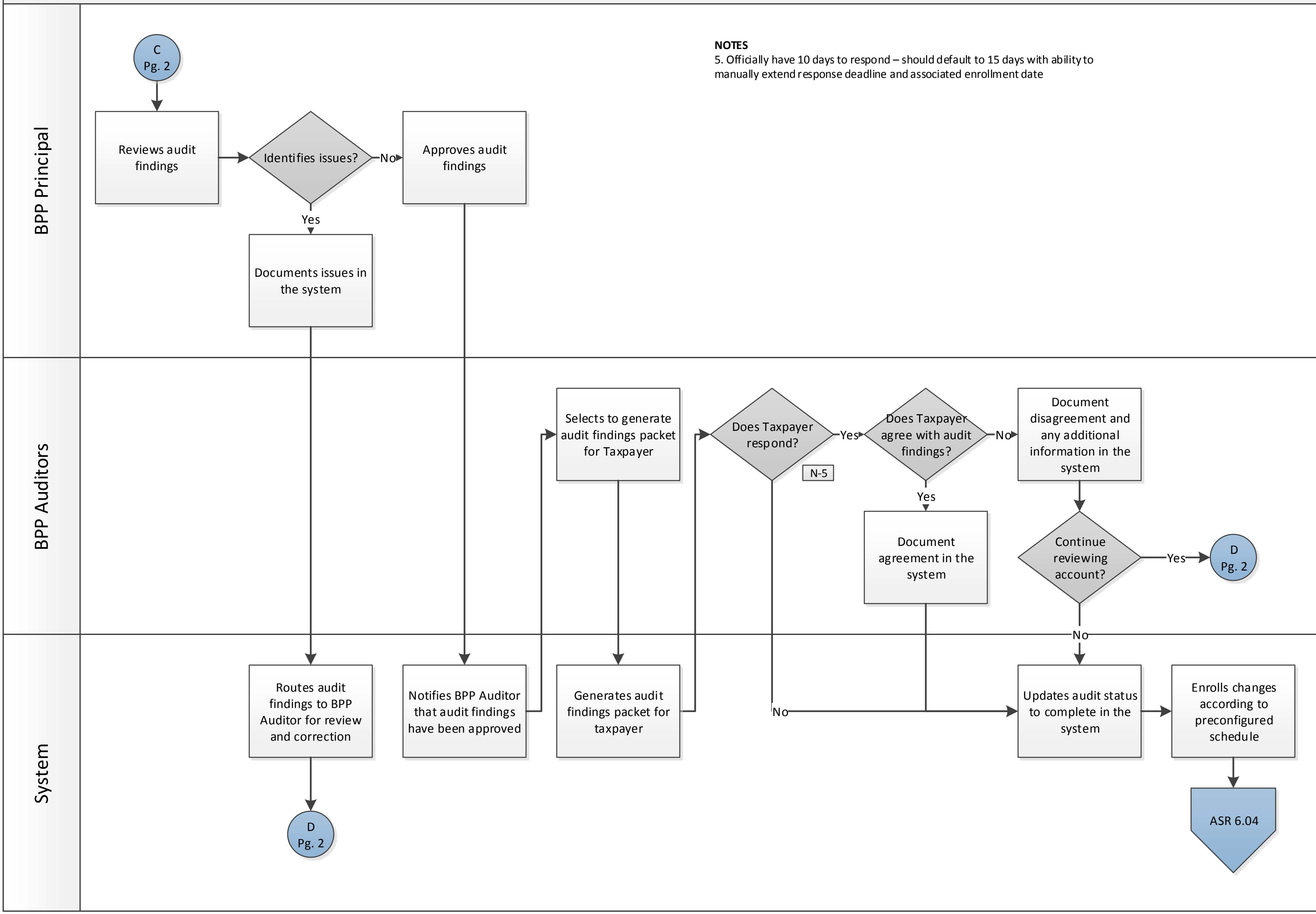


NOTES

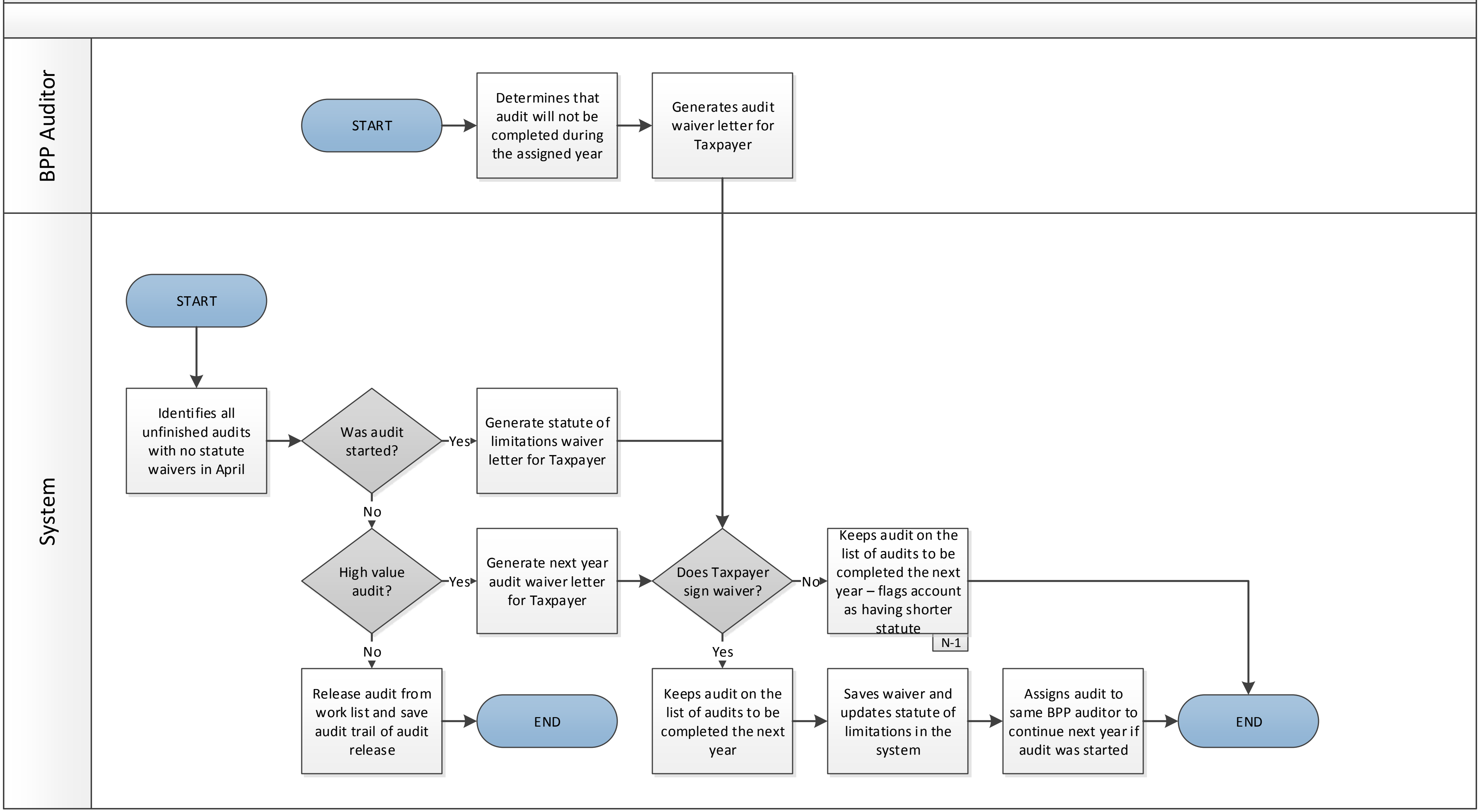
3. Notification should include required documents to submit, link to web portal, response deadline
4. Template should include everything in the account for up to 5 years

ASR 5a.06 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Property Audits pg. 3/3

NOTES
5. Officially have 10 days to respond – should default to 15 days with ability to manually extend response deadline and associated enrollment date



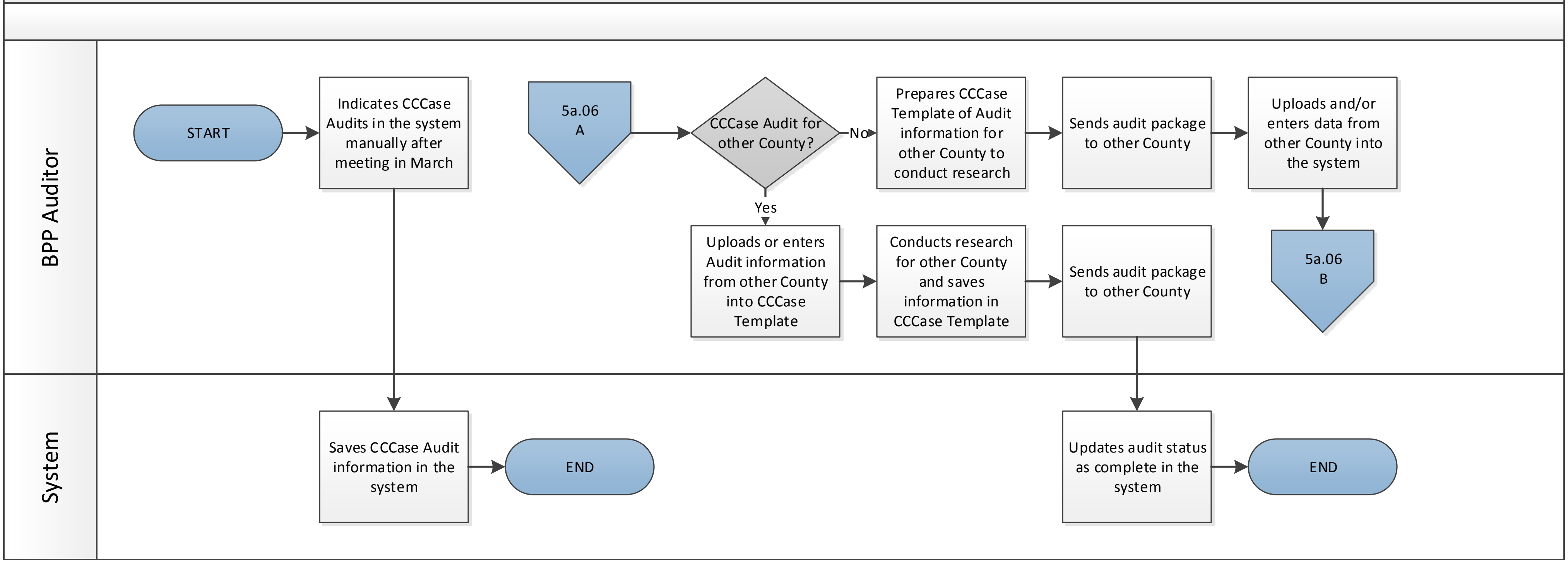
ASR 5a.07 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Property Audit Waivers



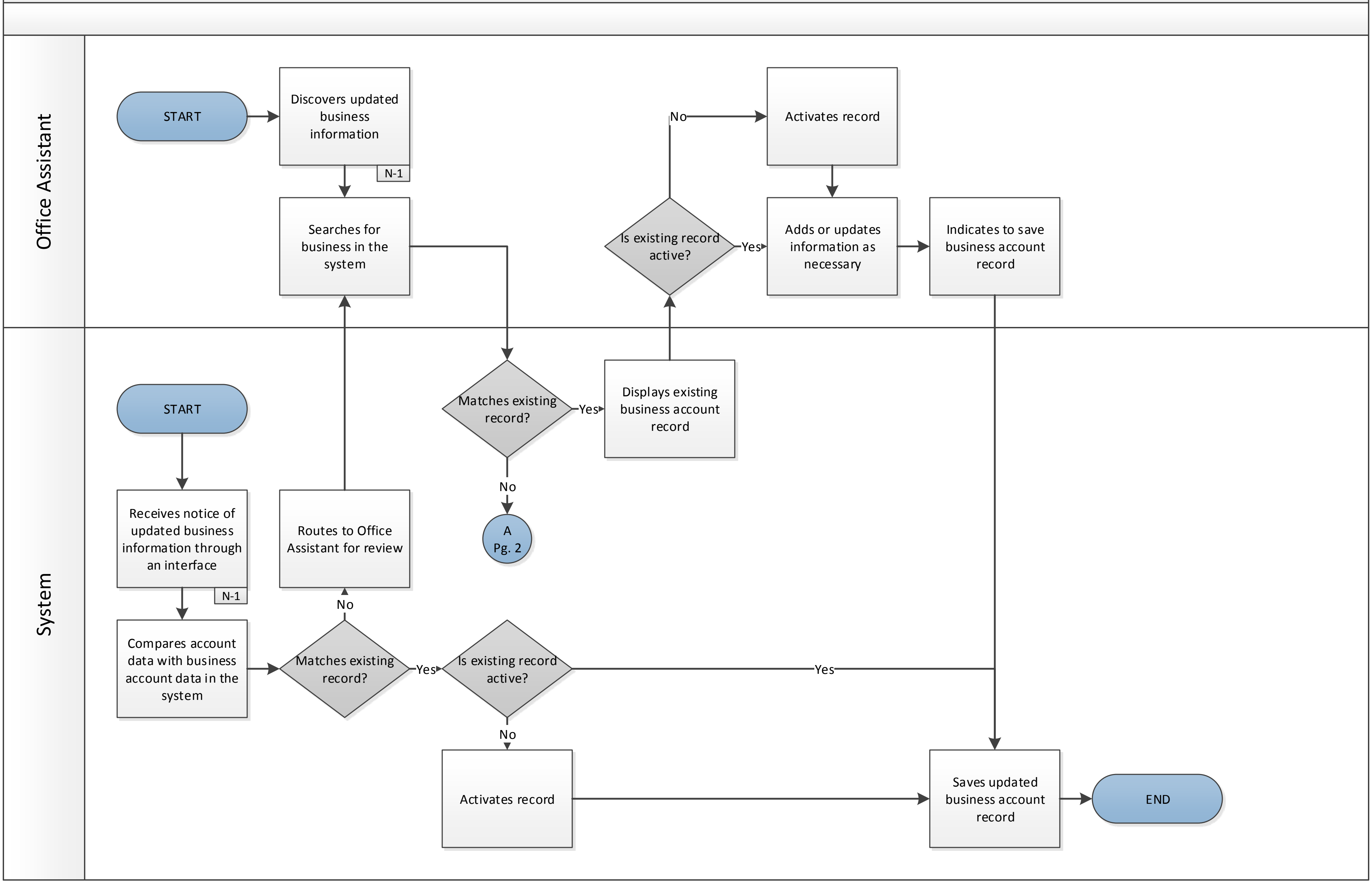
NOTES

1. BPP Auditor will have the decision to make about whether to audit fewer years or whether to audit the full 5 years ("jeopardy audit" if the city has liability for valuations conducted for dates out of statute)

ASR 5a.08 – SF PTax: Assessor Workshop (Unsecured Properties) – CCCase Audits



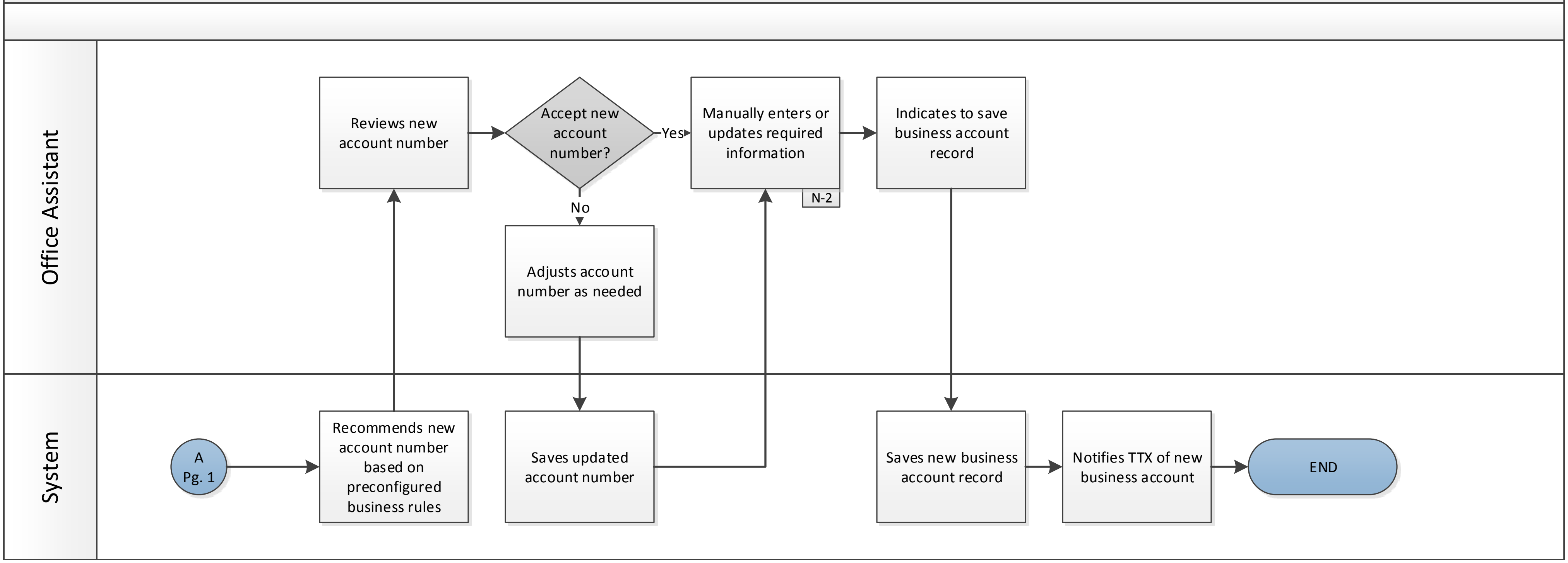
ASR 5a.01 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Discovery (pg. 1/2)



NOTES

1. Discovery methods include: TTX business license (direct data), new business registration form (direct data), BOE sales tax (direct data), landlord report (excel), informal discovery, other county, leased equipment

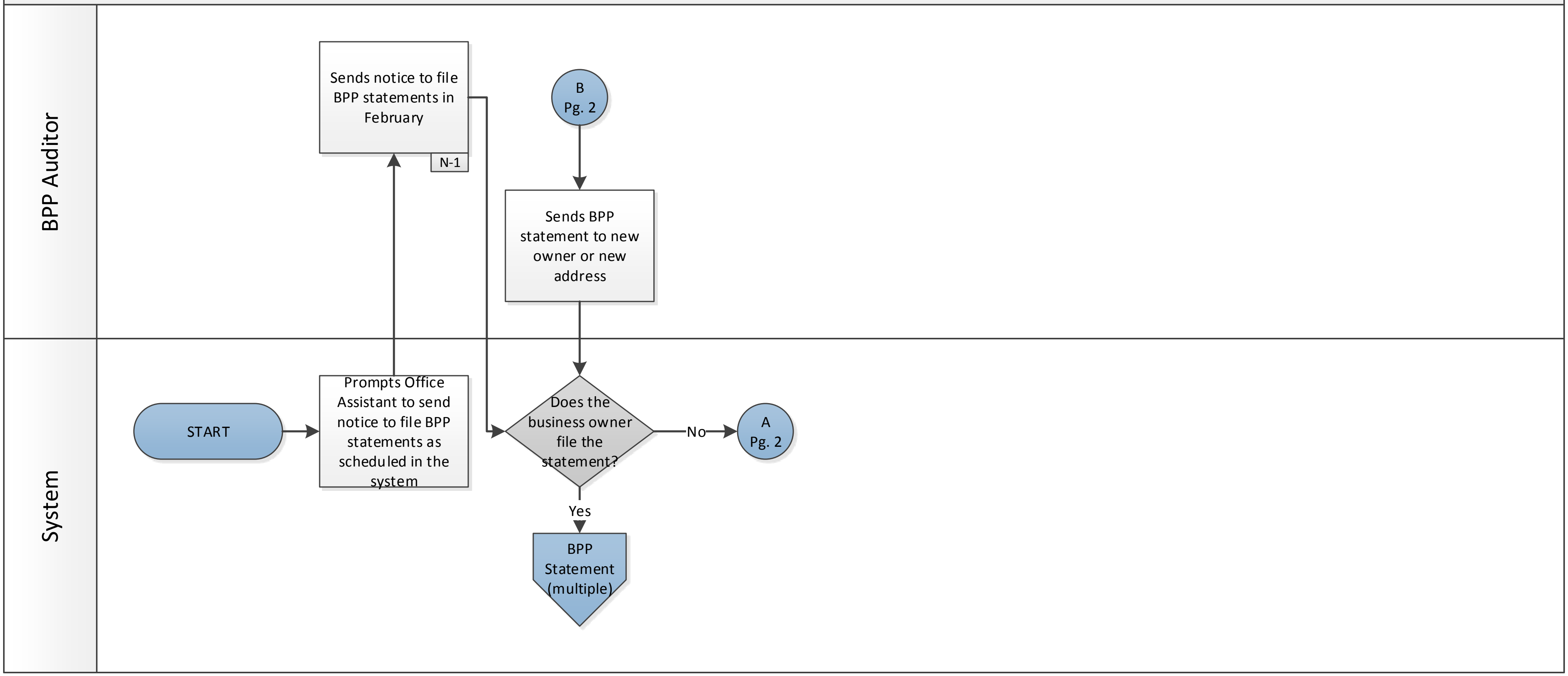
ASR 5a.01 – SF PTax: Assessor Workshop (Unsecured Properties) – Business Discovery (pg. 2/2)



NOTES

2. Required information includes: name of legal entity, location, DBA, Mailing address, and associated APN

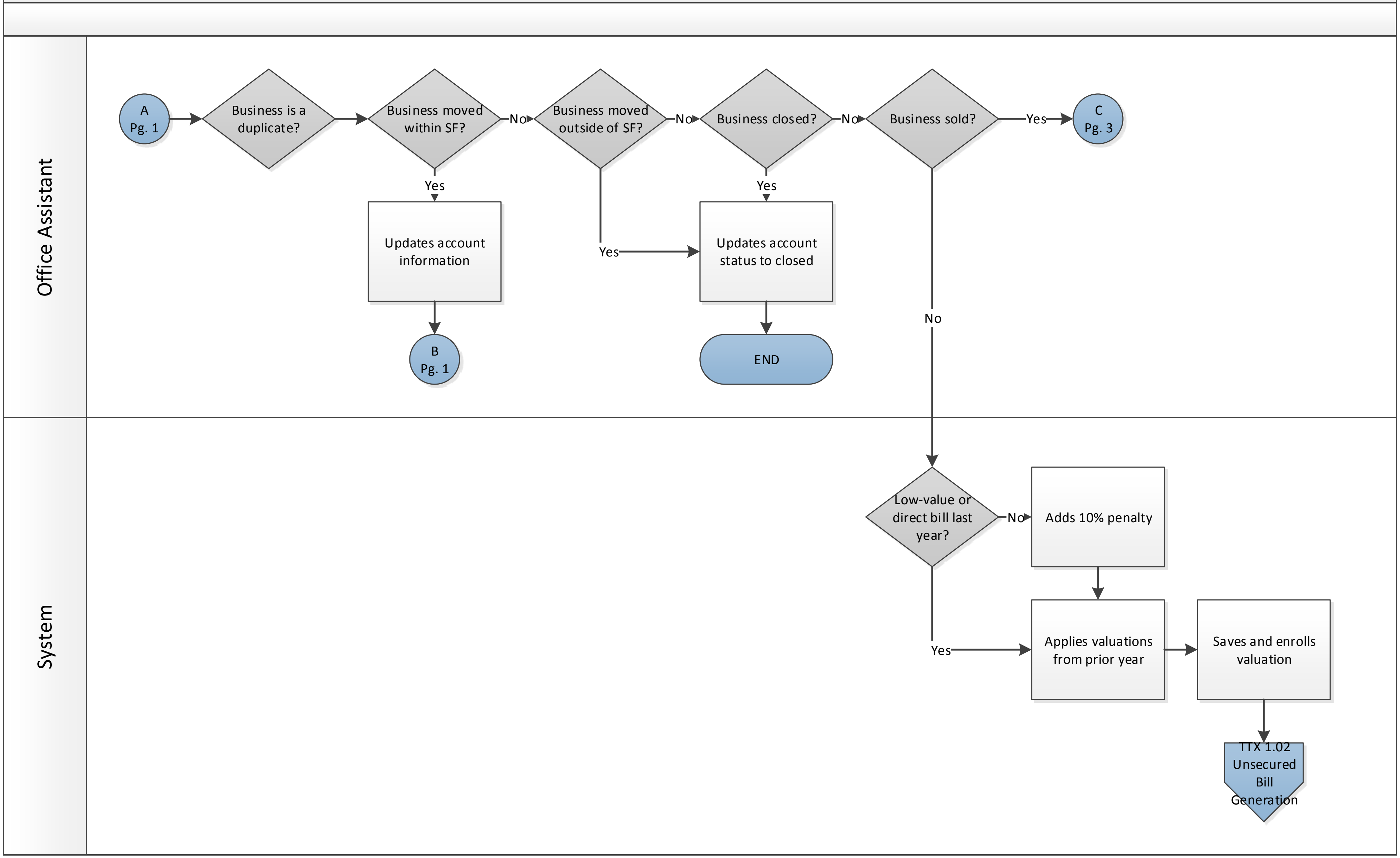
ASR 5a.02 – SF PTax: Assessor Workshop (Unsecured Properties) – Prepare for BPP Statement (pg. 1/3)



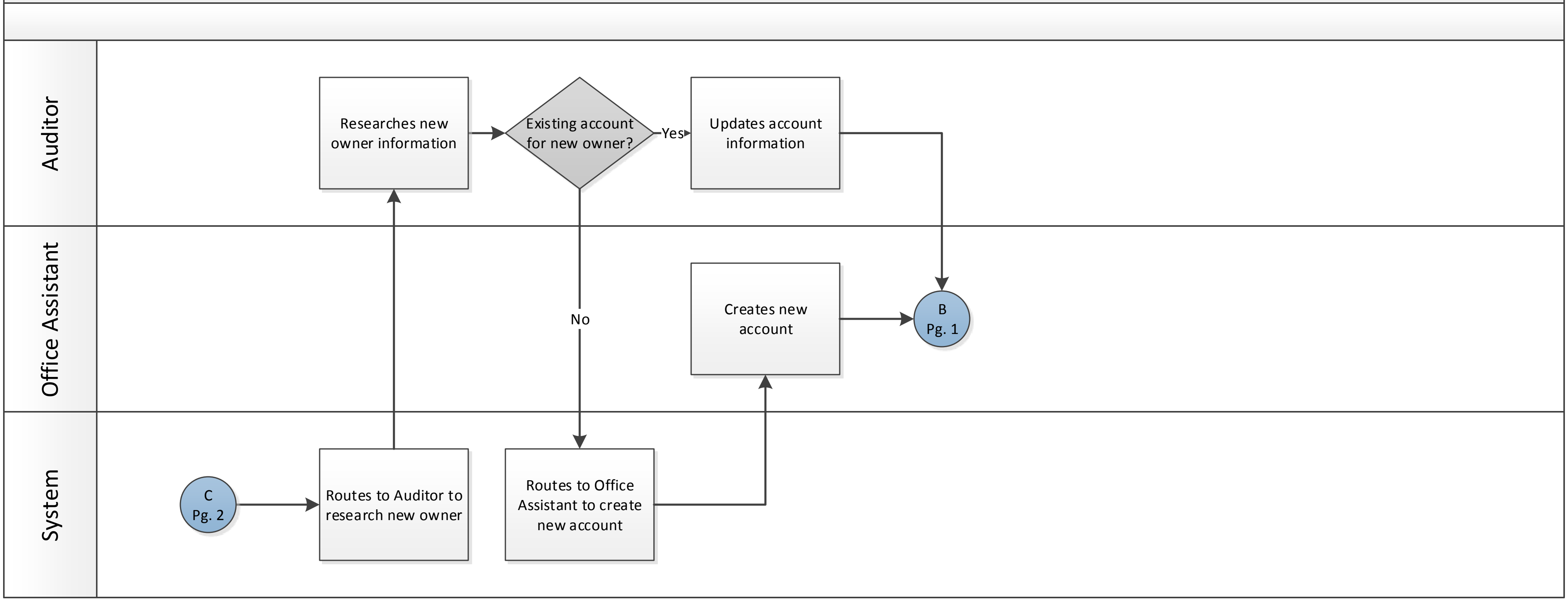
NOTES

1. Notice types include: 571-L (last year paper file and new accounts), 571-L (last year e-file), 571-R, direct bill(files a property statement every 4 years), low value(files a property statement every 4 years), short term rental (STR), and SDR

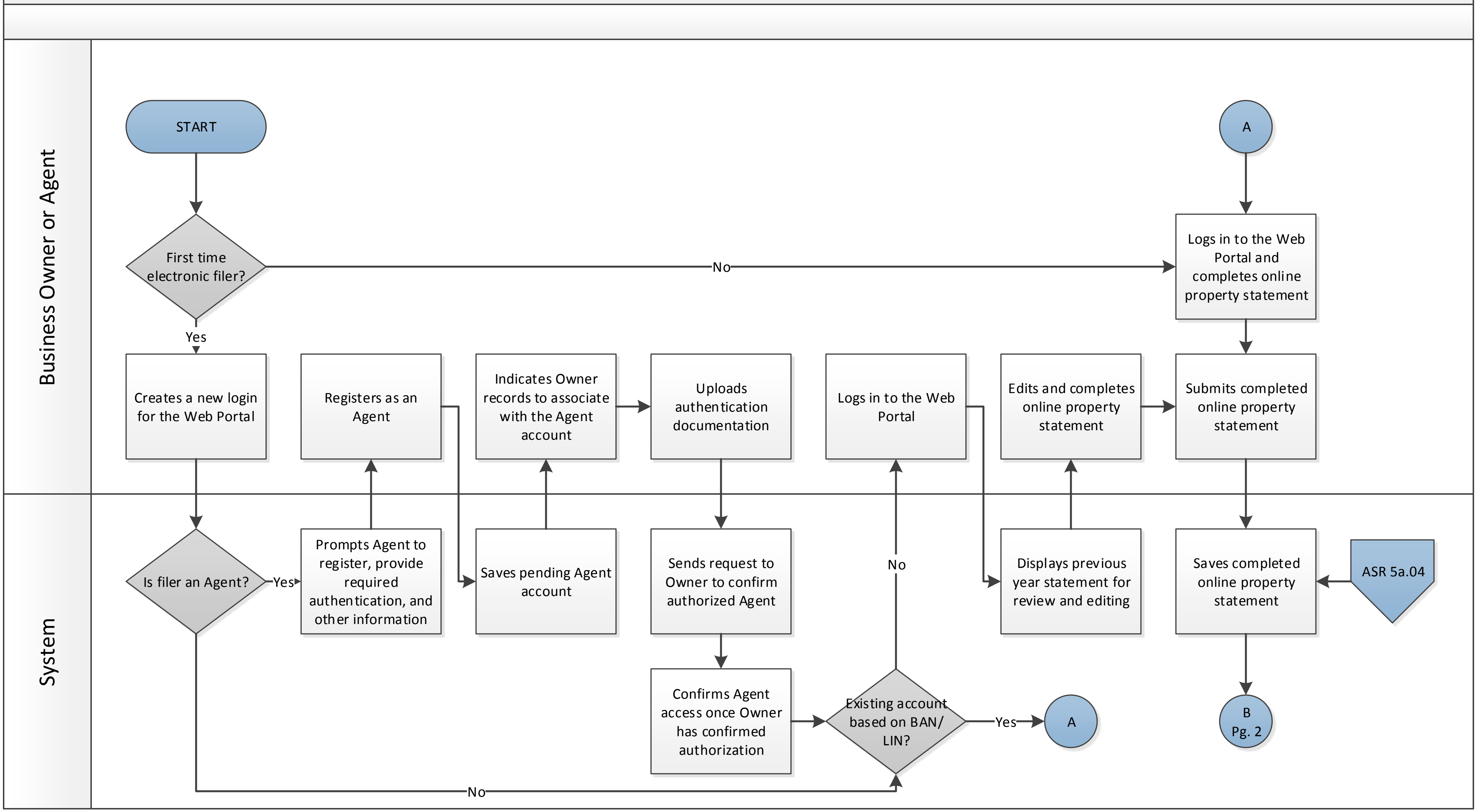
ASR 5a.02 – SF PTax: Assessor Workshop (Unsecured Properties) – Prepare for BPP Statement (pg. 2/3)



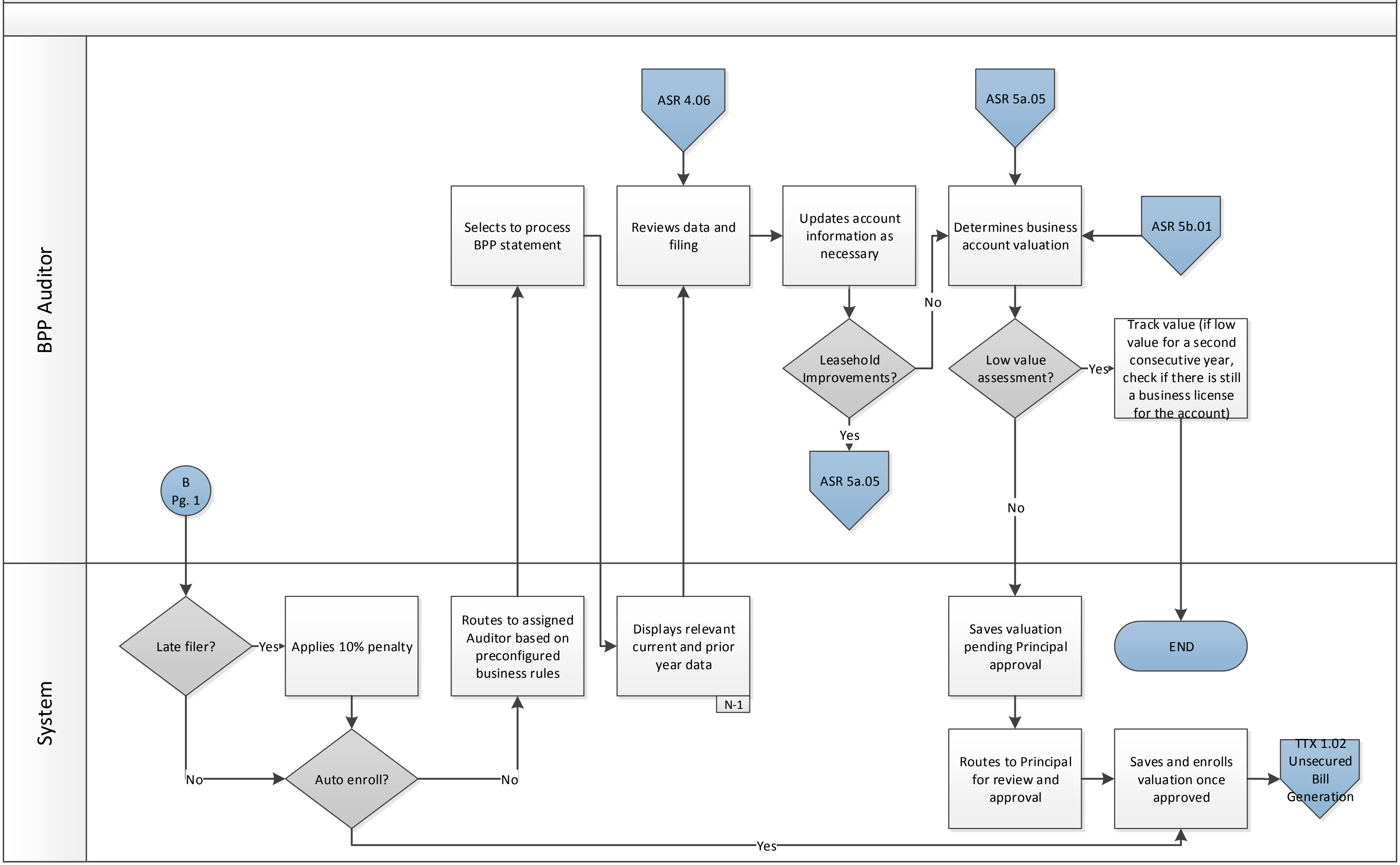
ASR 5a.02 – SF PTax: Assessor Workshop (Unsecured Properties) – Prepare for BPP Statement (pg. 3/3)



ASR 5a.03 – SF PTax: Assessor Workshop (Unsecured Properties) – Electronic BPP Statement Filing and Processing (pg. 1/2)



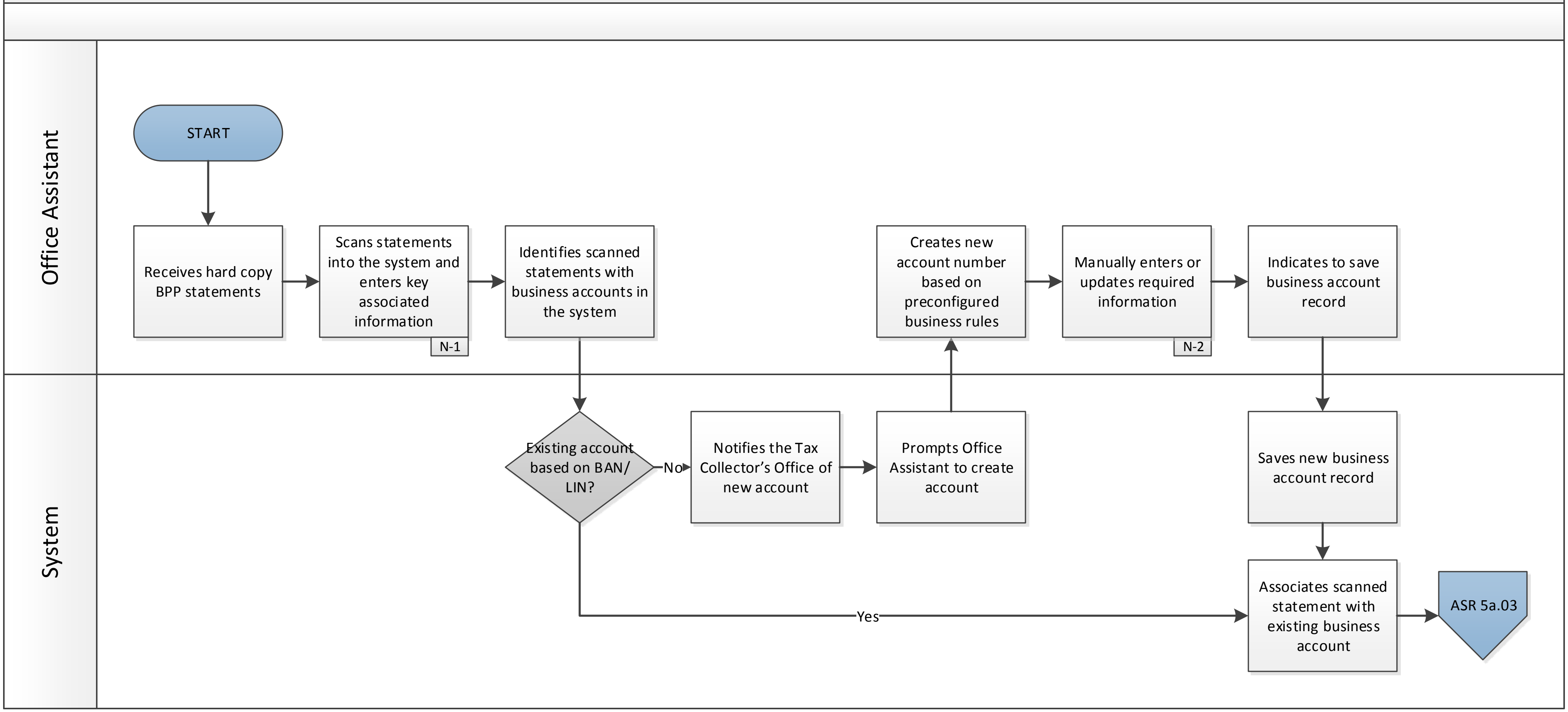
ASR 5a.03 – SF PTax: Assessor Workshop (Unsecured Properties) – Electronic BPP Statement Filing and Processing (pg. 2/2)



NOTES

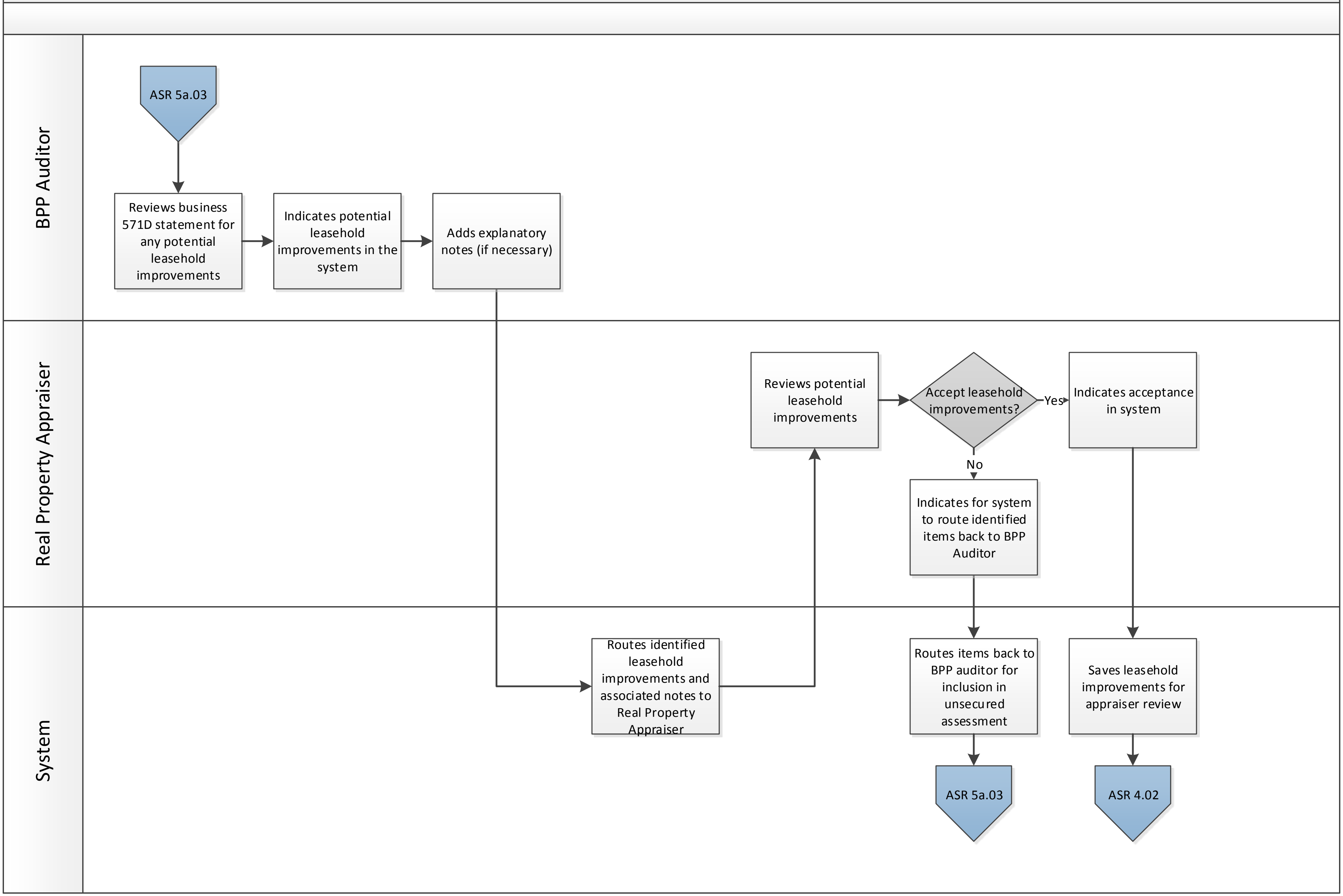
1. Data for display includes: prior year cost, value, and associated factor; prior year adjusted/enrolled cost and value; current year filing cost and factor

ASR 5a.04 – SF PTax: Assessor Workshop (Unsecured Properties) – Hard Copy BPP Statement Filing and Processing

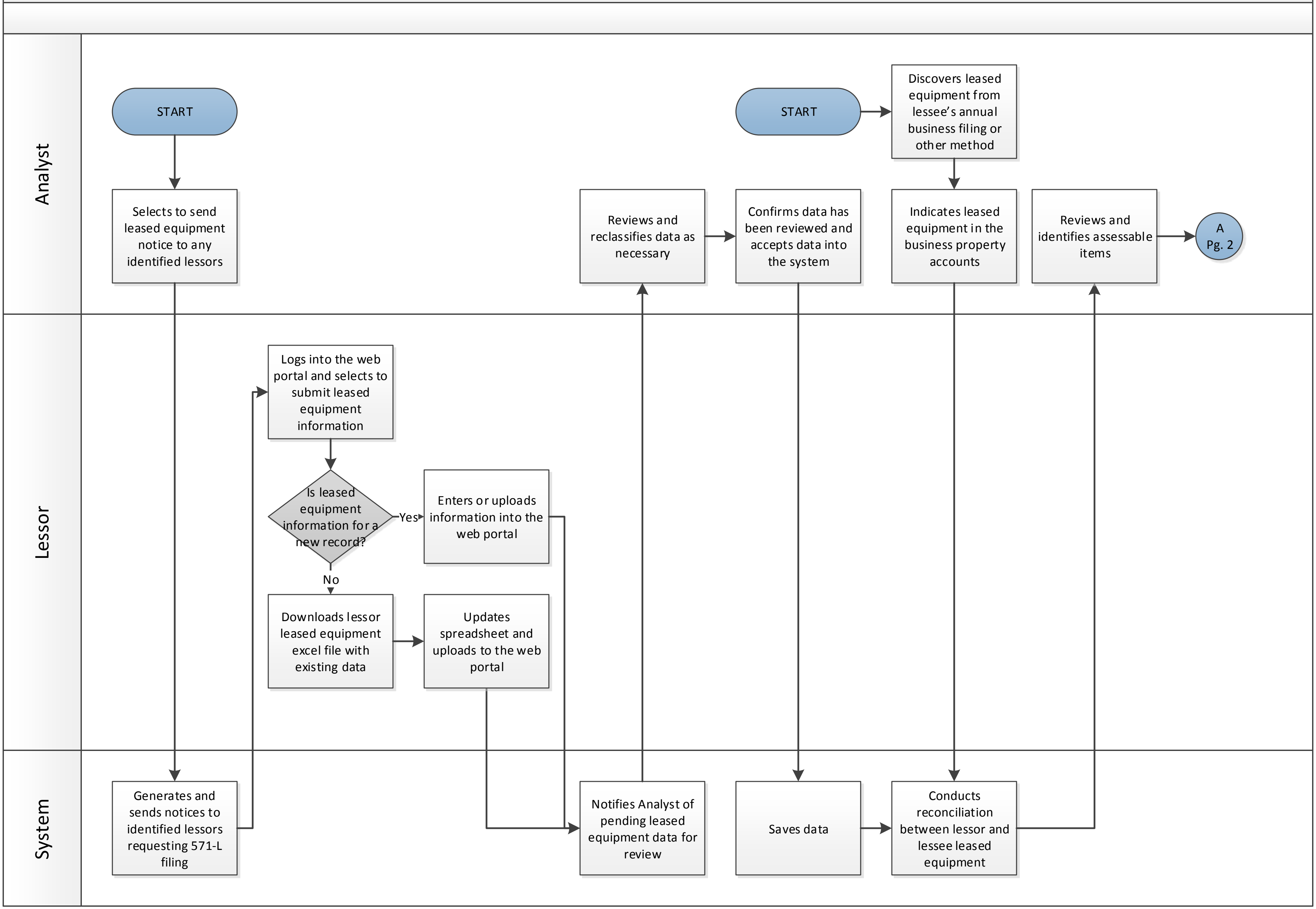


NOTES
1. Key information includes: BAN/LIN and statement submission date
2. Required information includes: name of legal entity, location, DBA, Mailing address, and associated APN

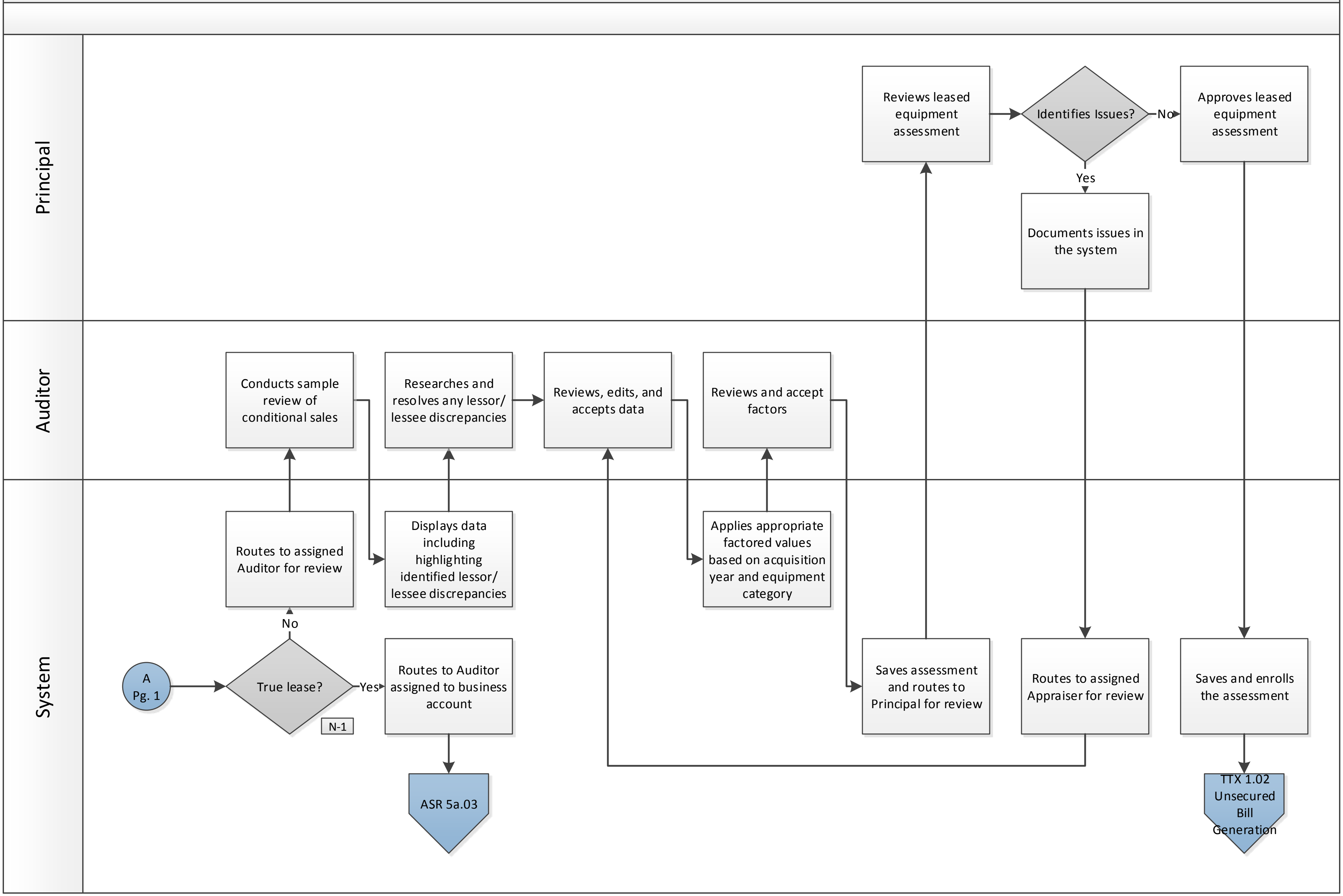
ASR 5a.05 – SF PTax: Assessor Workshop (Unsecured Properties) – Leasehold Improvements



ASR 5b.01 – SF PTax: Assessor Workshop (Unsecured Properties Specialized Topics) – Leased Equipment Discovery and Processing (pg. 1/2)



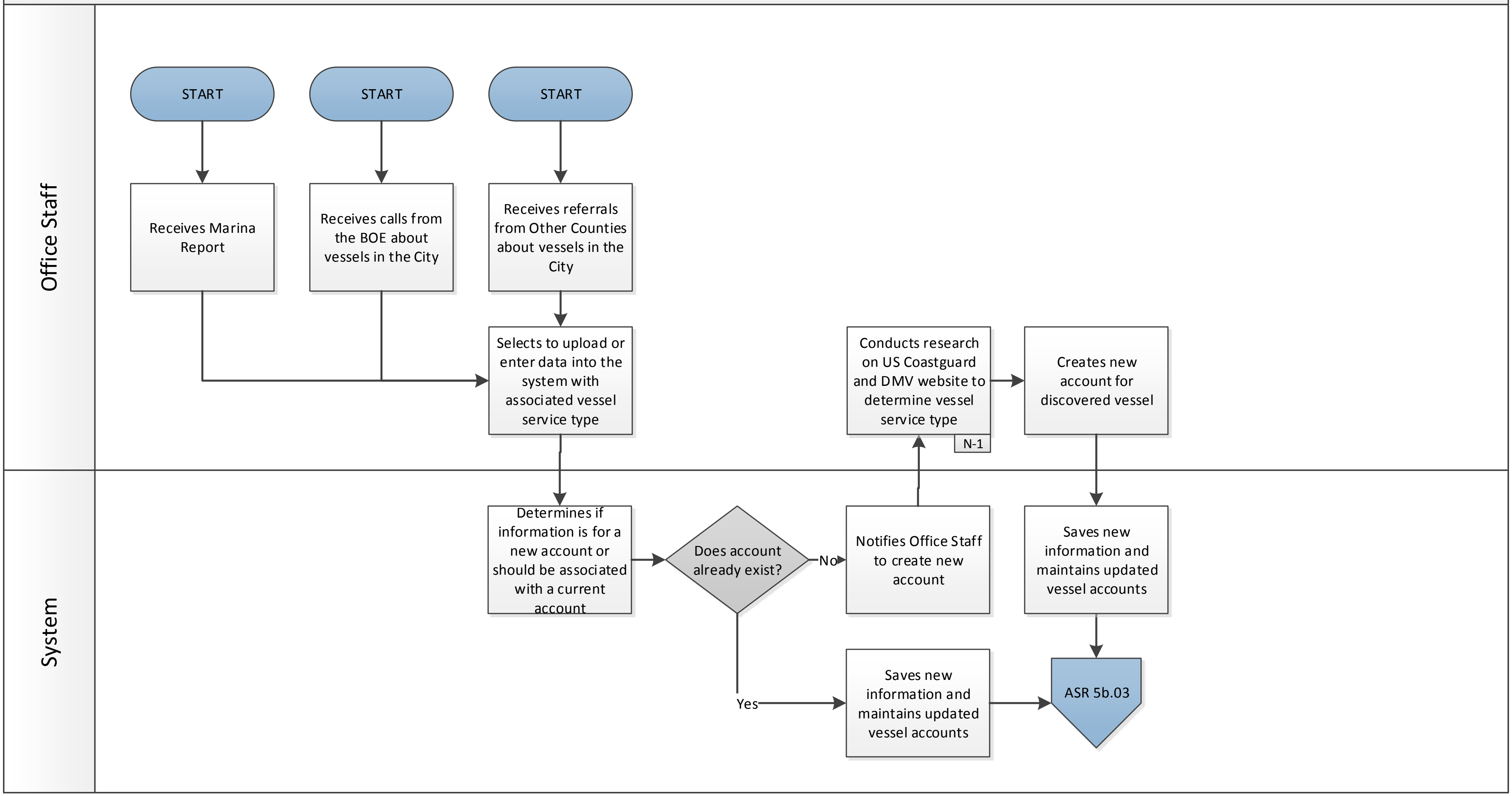
ASR 5b.01 – SF PTax: Assessor Workshop (Unsecured Properties Specialized Topics) – Leased Equipment Discovery and Processing (pg. 2/2)



NOTES

1. True leases are assessed to the leasing company (lessor). Conditional sales/lease purchases/rent-to-own are assessed to the lessee.

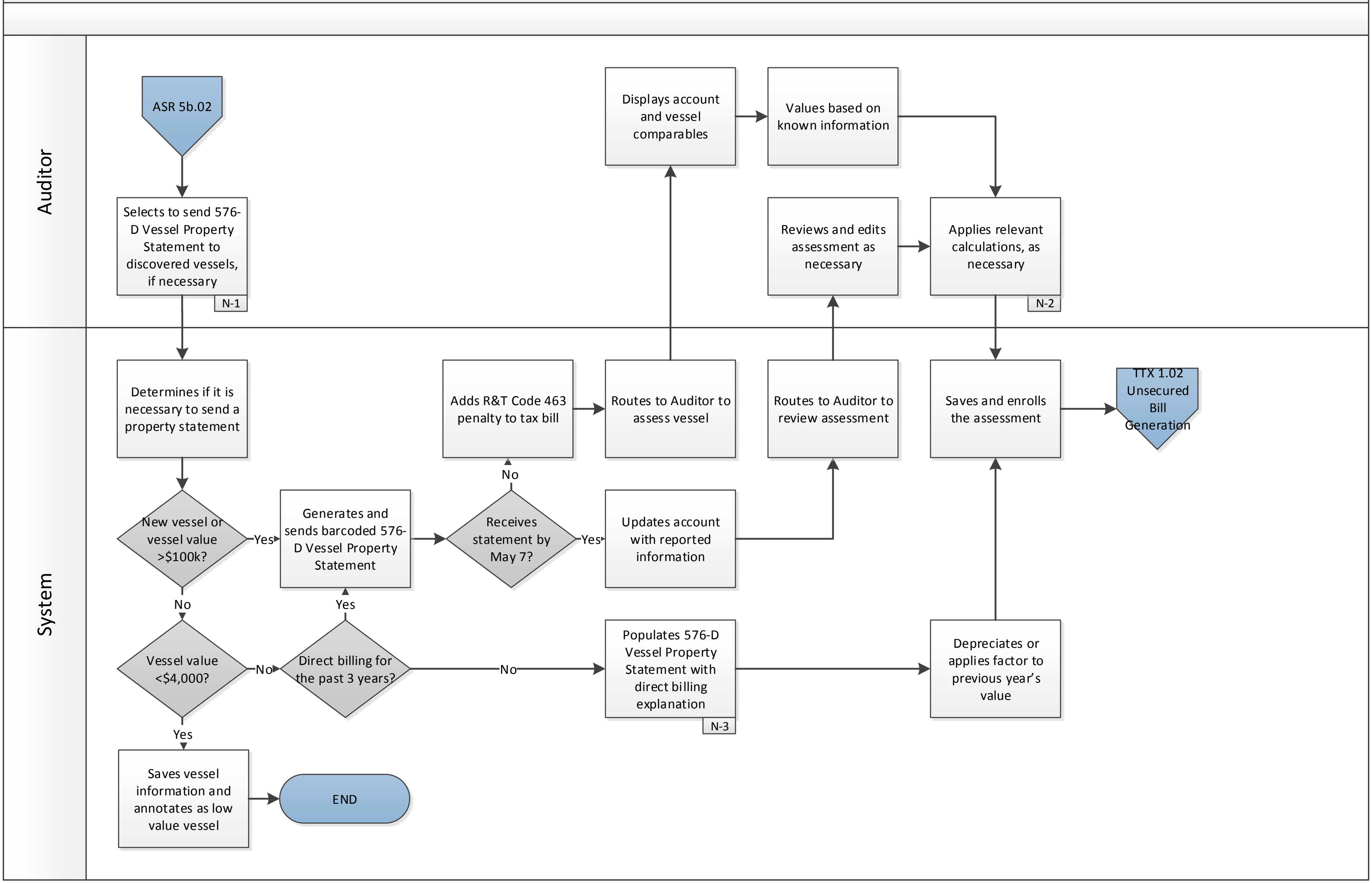
ASR 5b.02 – SF PTax: Assessor Workshop (Unsecured Properties Specialized Topics) – Marine Property Discovery



NOTES

1. Vessel service types include: 4% commercial fishing vessel, 50 tons exemption vessel, homeowners exempt vessel, disabled veterans vessel, and welfare exemption vessel

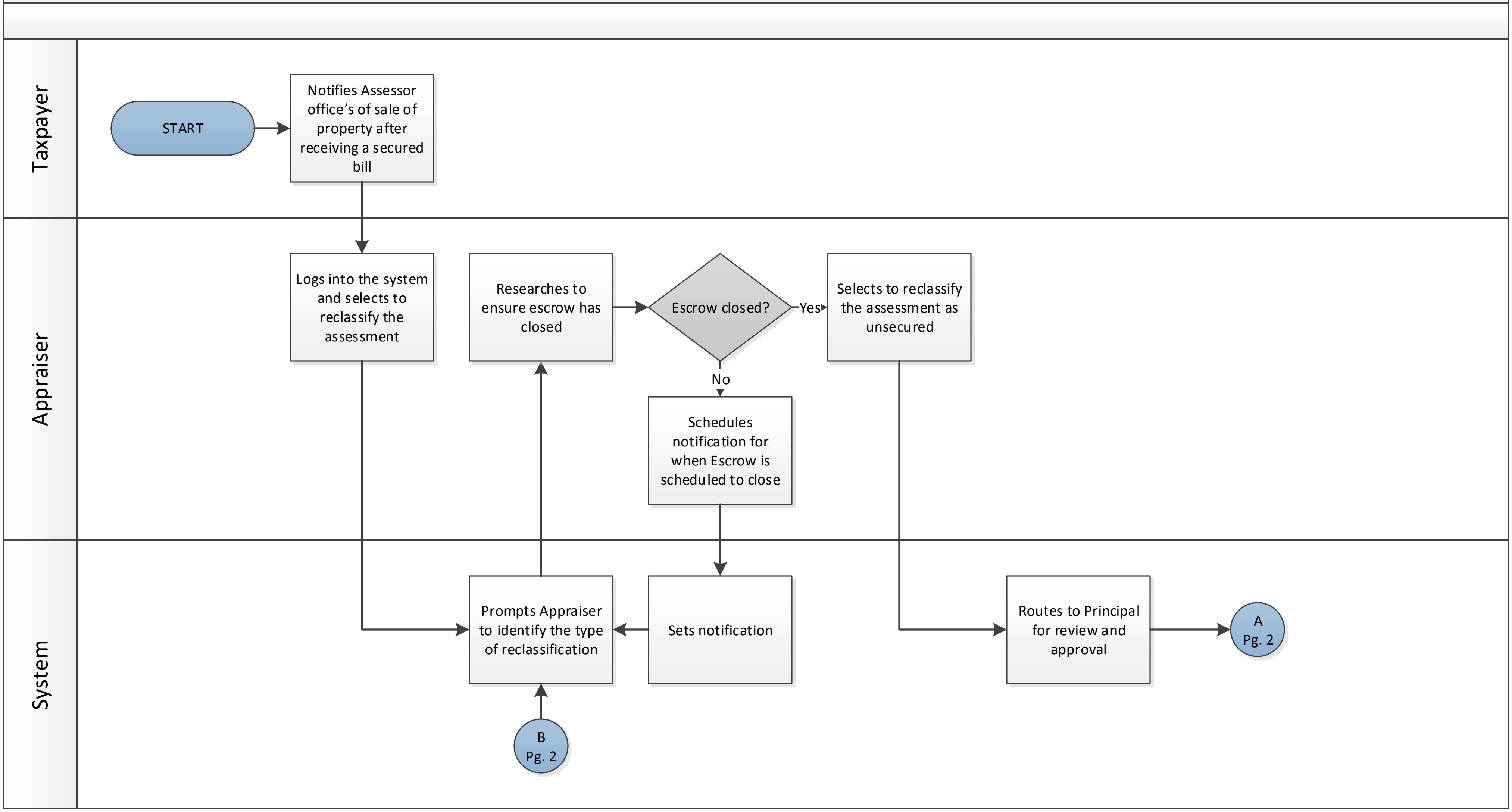
ASR 5b.03 – SF PTax: Assessor Workshop (Unsecured Properties Specialized Topics) – Marine Property Annual Statement



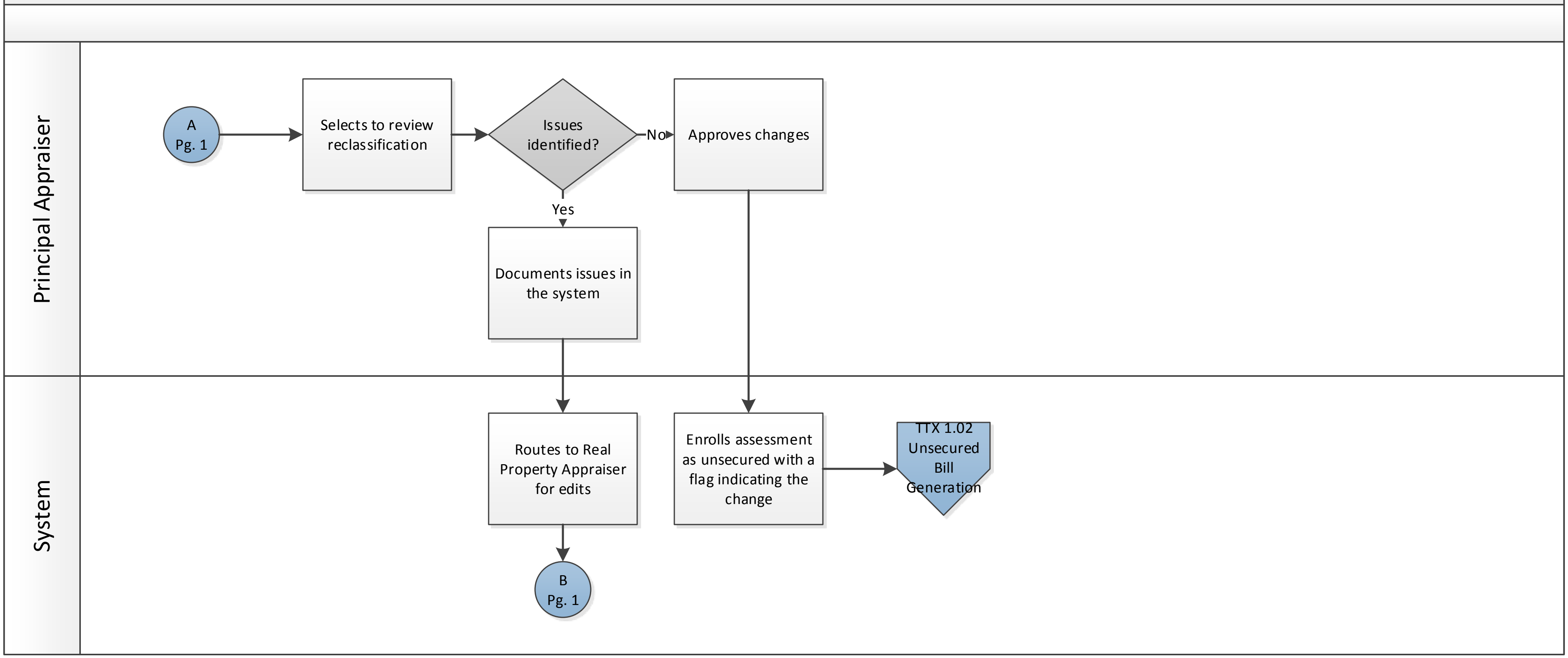
NOTES

1. Vessel statement includes vessel service types - 4% commercial fishing vessel, 50 tons exemption vessel, homeowners exempt vessel, disabled veterans vessel, and welfare exemption vessel
2. Relevant calculations include barge valuation calculations, BOE depreciation rates, etc.
3. Direct billing explanation states that last assessment will be maintained for 3 years

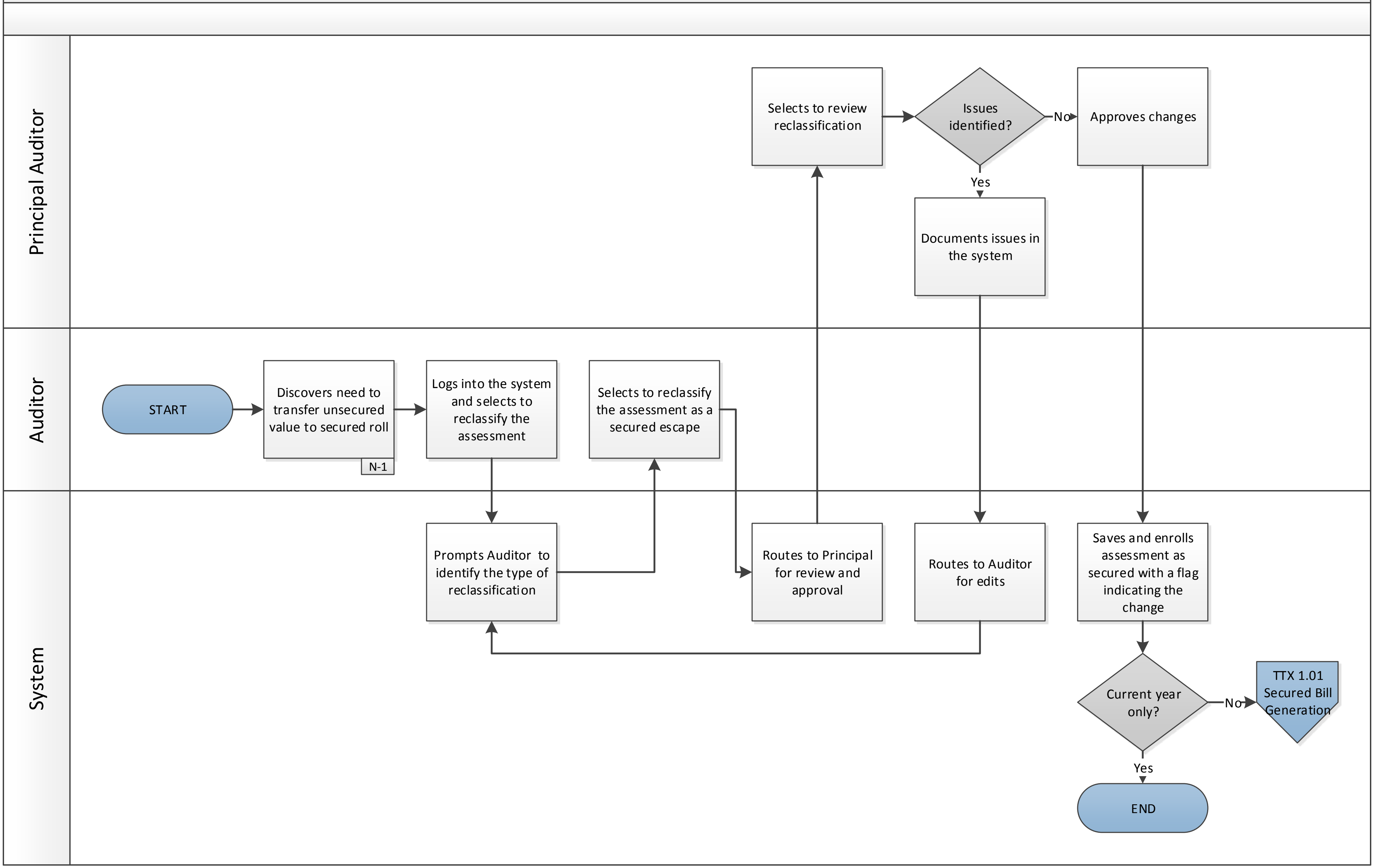
ASR 6.01 – SF PTax: Assessor Workshop (Roll Management) – Secured value transfer to unsecured roll (pg. 1/2)



ASR 6.01 – SF PTax: Assessor Workshop (Roll Management) – Secured value transfer to unsecured roll (pg. 2/2)



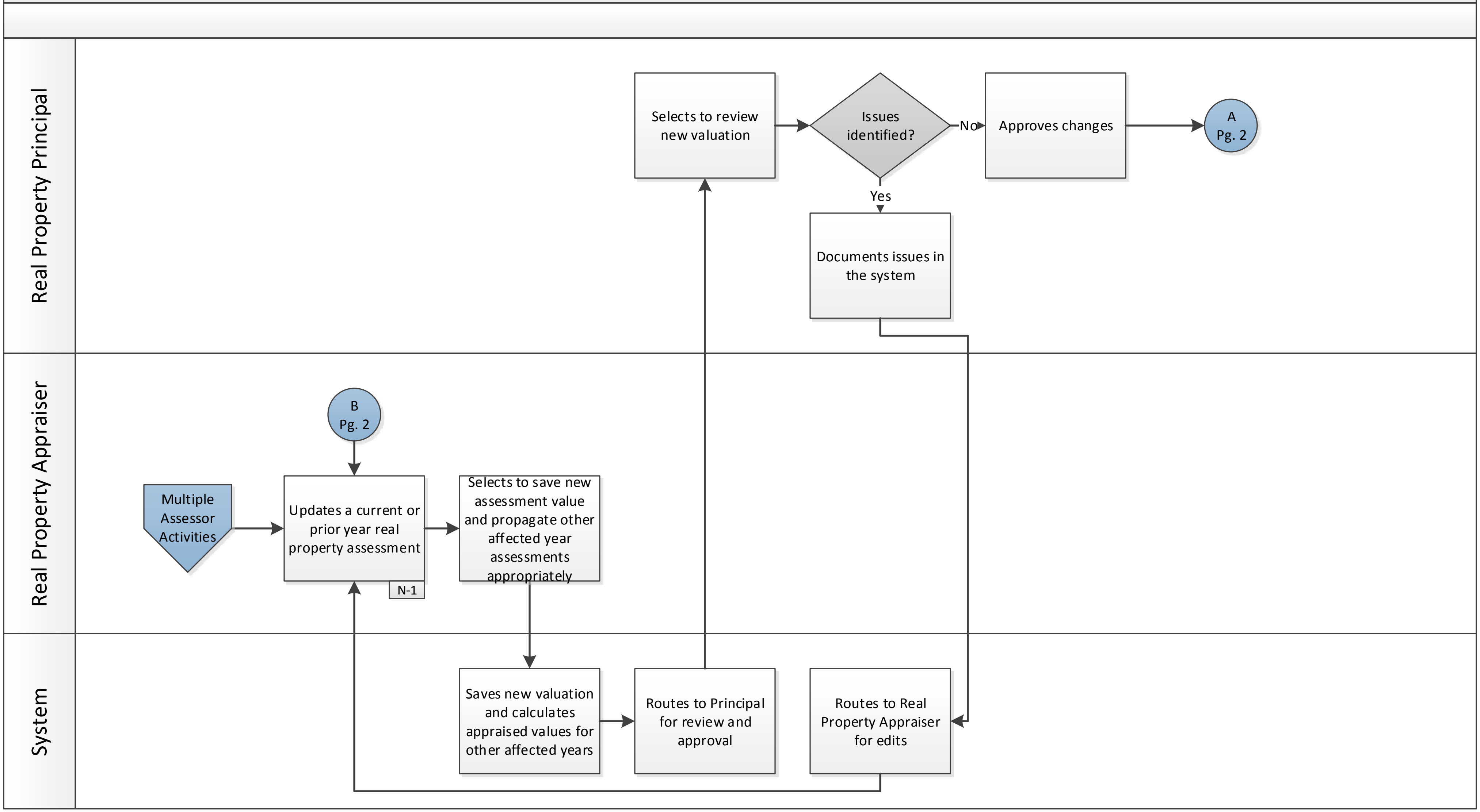
ASR 6.02 – SF PTax: Assessor Workshop (Roll Management) – Unsecured value transfer to secured roll



NOTES

1. Discovery can result from Taxpayer notification, audit finding, CIO, Taxpayer receiving multiple bills, etc.

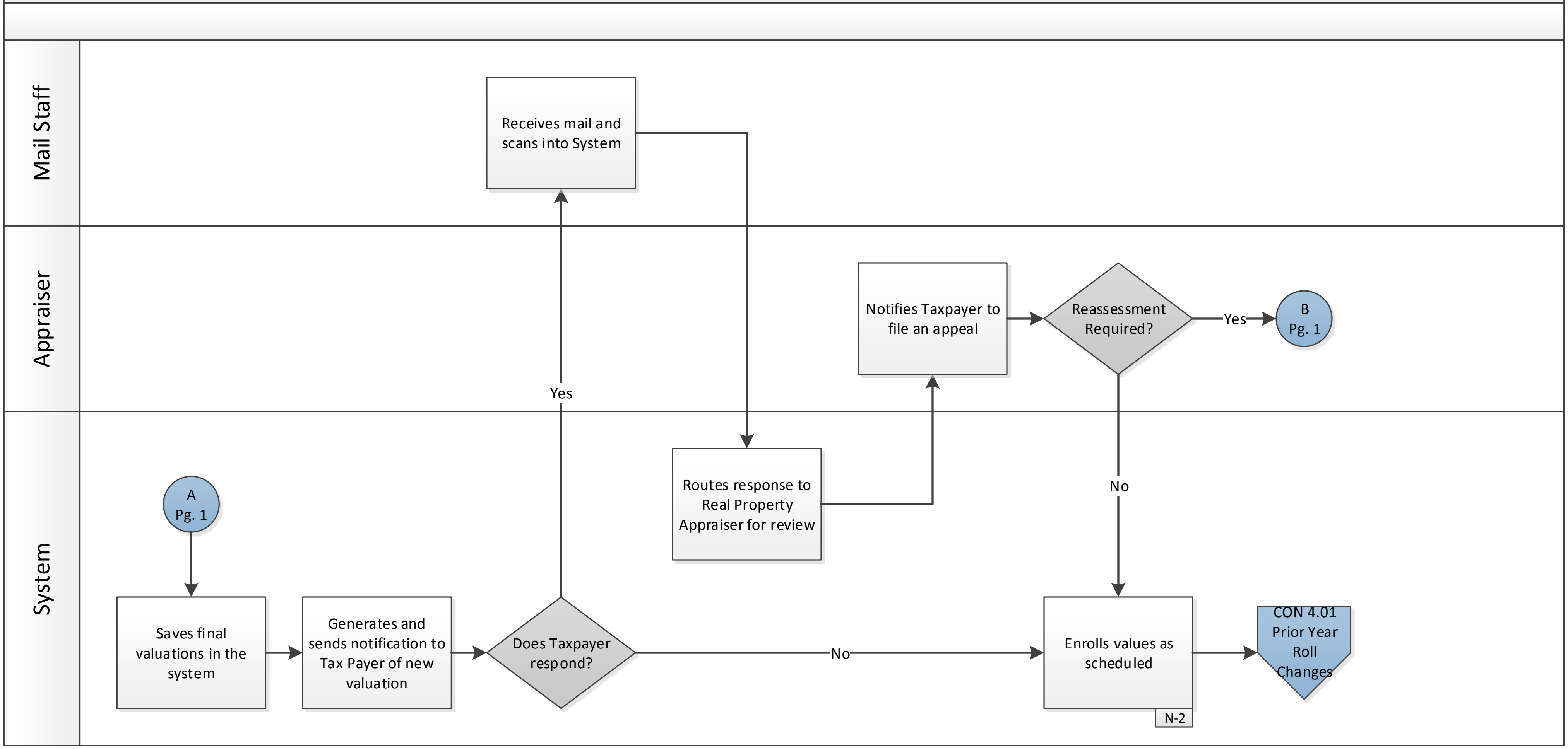
ASR 6.03 – SF PTax: Assessor Workshop (Roll Management) – Real Property Roll Corrections (pg. 1/2)



NOTES

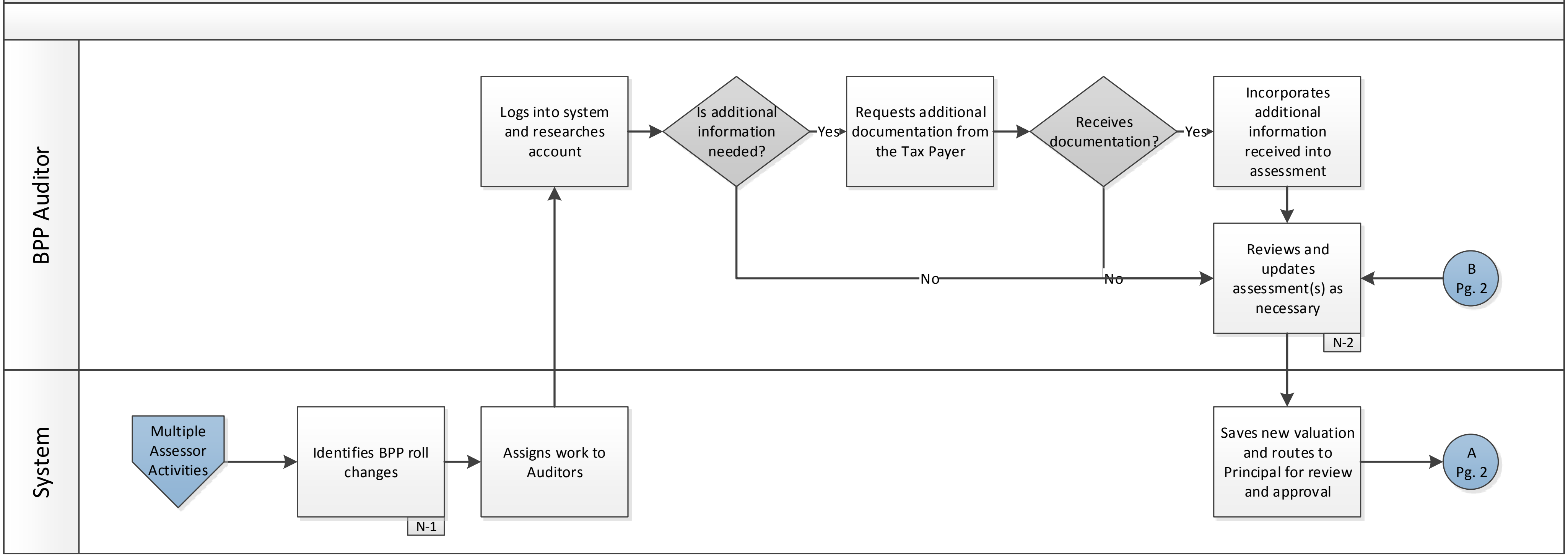
1. Roll changes can result from a number of different sources, including: prior year unprocessed changes, appeals, exemptions, recorder events, new construction (DBI info), and canvassing

ASR 6.03 – SF PTax: Assessor Workshop (Roll Management) – Real Property Roll Corrections (pg. 2/2)



NOTES
2. Enrolled values include: previously assessed value, new assessed value(s) and associated year(s)

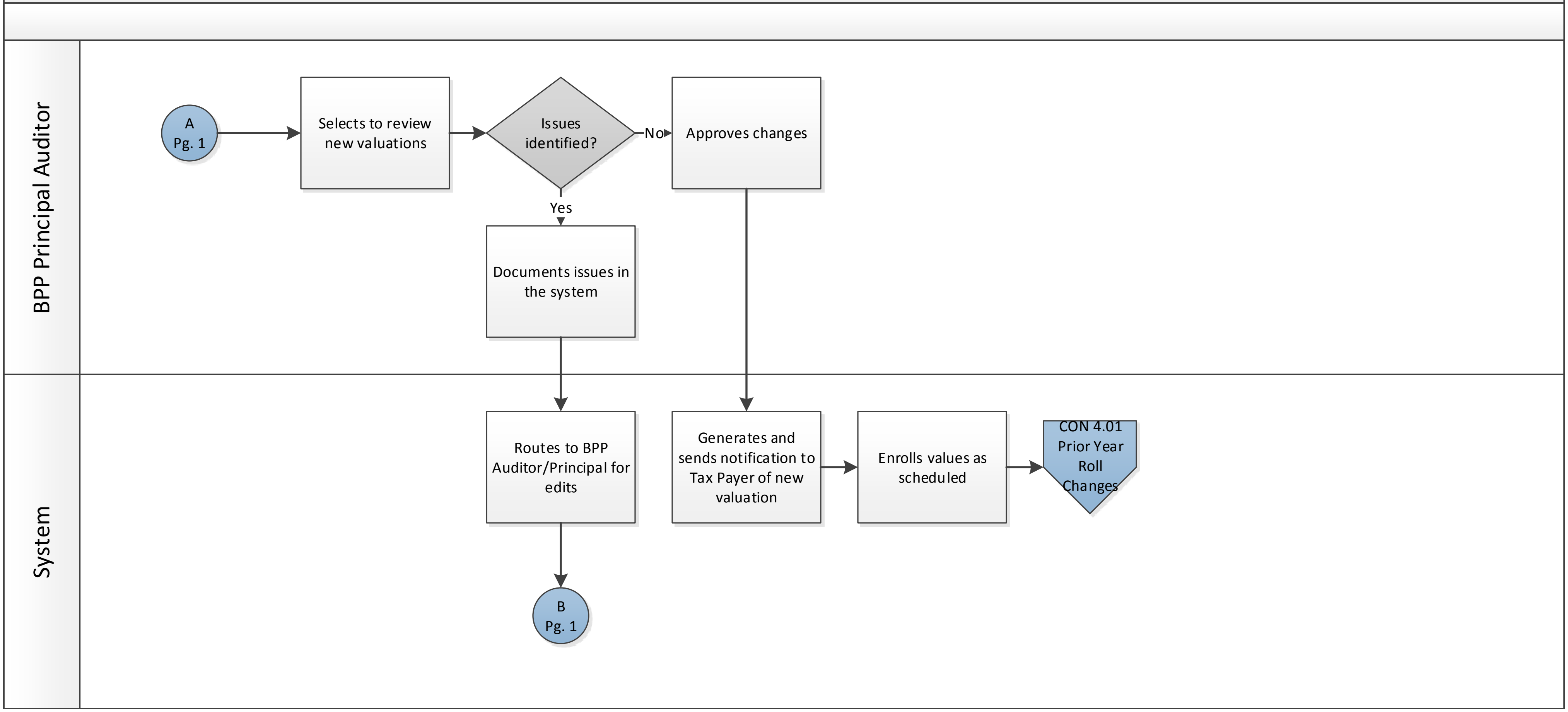
ASR 6.04 – SF PTax: Assessor Workshop (Roll Management) – Business Personal Property Roll Corrections (pg. 1/2)



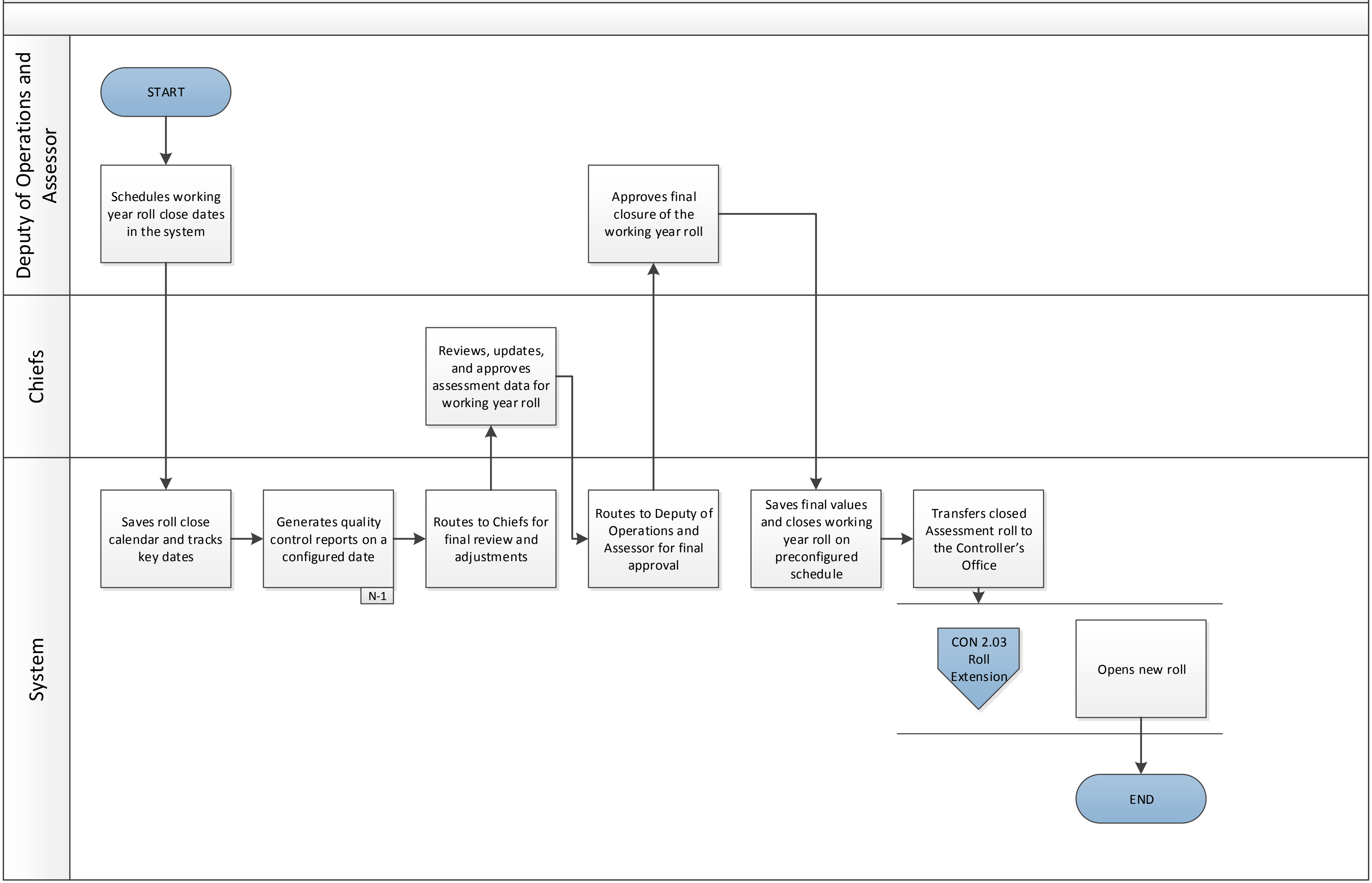
NOTES

1. Roll changes can result from a number of different sources, including: prior year change, tax payer notification (documentation depreciation schedule), cancellation, audit results, appeal, CIO, or did not file prior year.
2. Assessments can be updated for multiple years if discovery process identifies that multiple years are affected. Assessments can affect BPP secured or unsecured taxes

ASR 6.04 – SF PTax: Assessor Workshop (Roll Management) – Business Personal Property Roll Corrections (pg. 2/2)



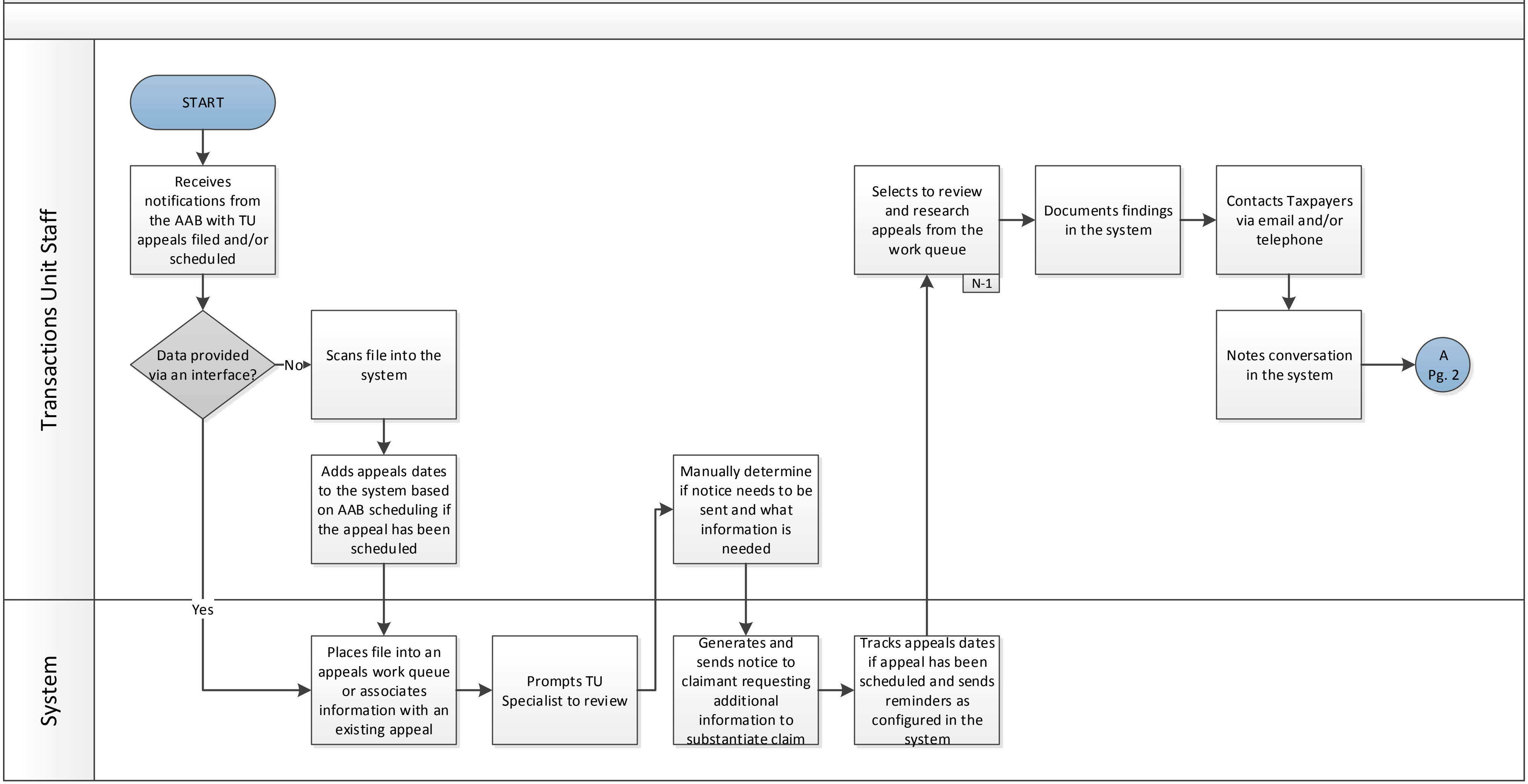
ASR 6.05 – SF PTax: Assessor Workshop (Roll Management) – Roll Close and Roll Open



NOTES

1. Quality control reports identify accounts meeting certain criteria including: assessments over a preconfigured threshold, assessment with building characteristics and no value, assessment with land characteristics and no value, etc.

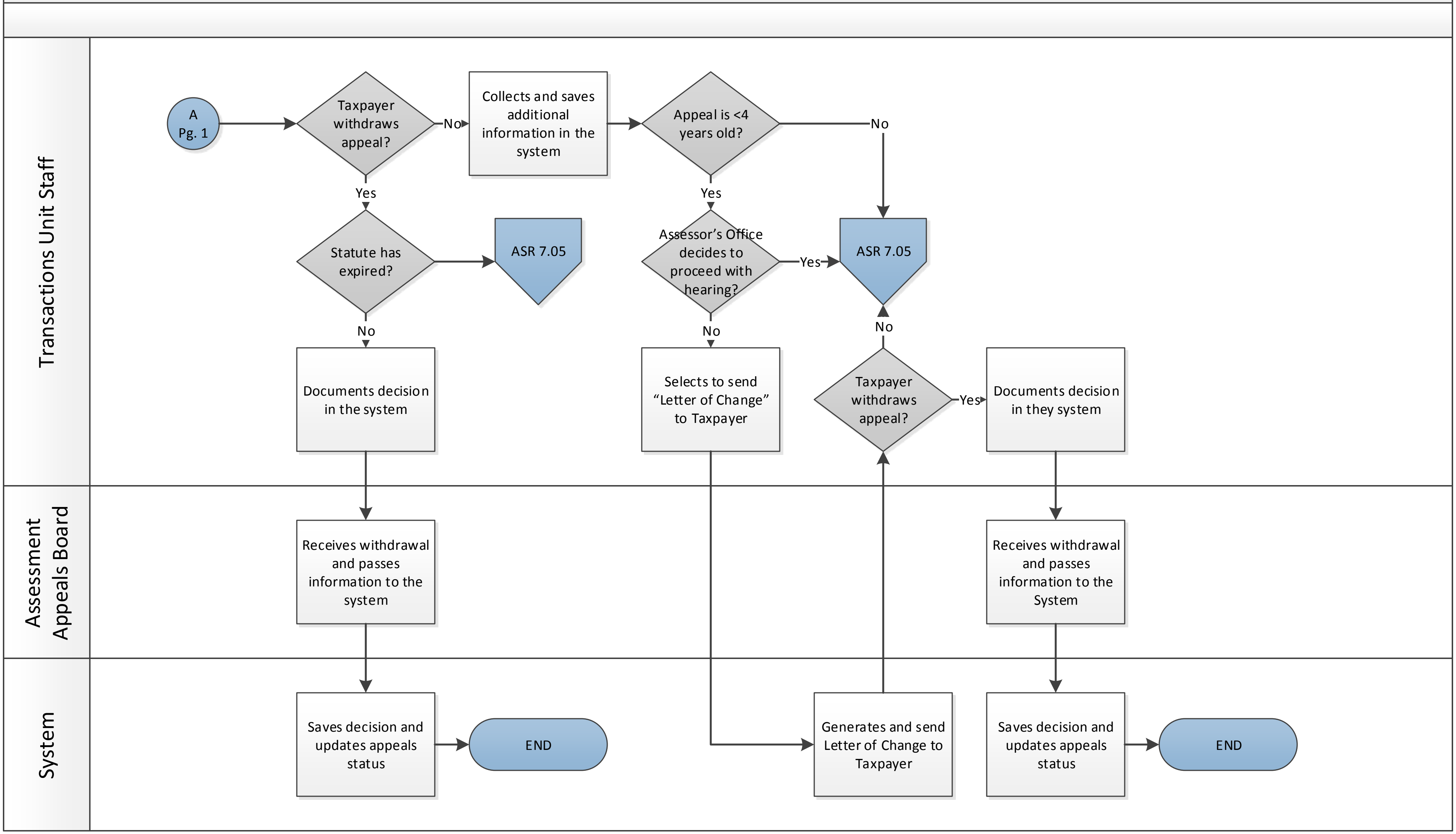
ASR 7.01 – SF PTax: Assessor Workshop (Appeals) – TU Appeals Process



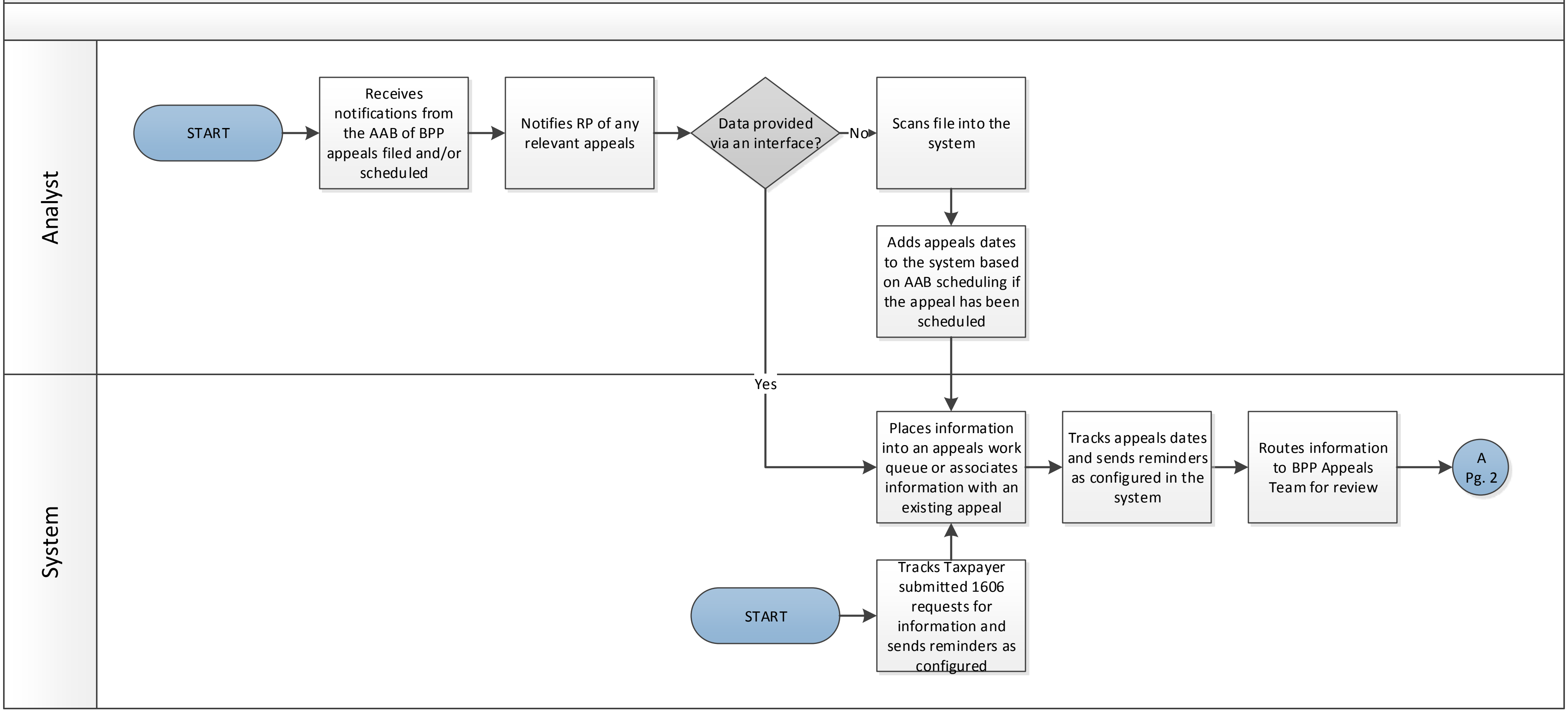
NOTES

1. Research actions can include: reviewing chain of events around reassessment, reviewing CIO, contacting Taxpayer for information as necessary, communicating with original processor, etc.

ASR 7.01 – SF PTax: Assessor Workshop (Appeals) – TU Appeals Process



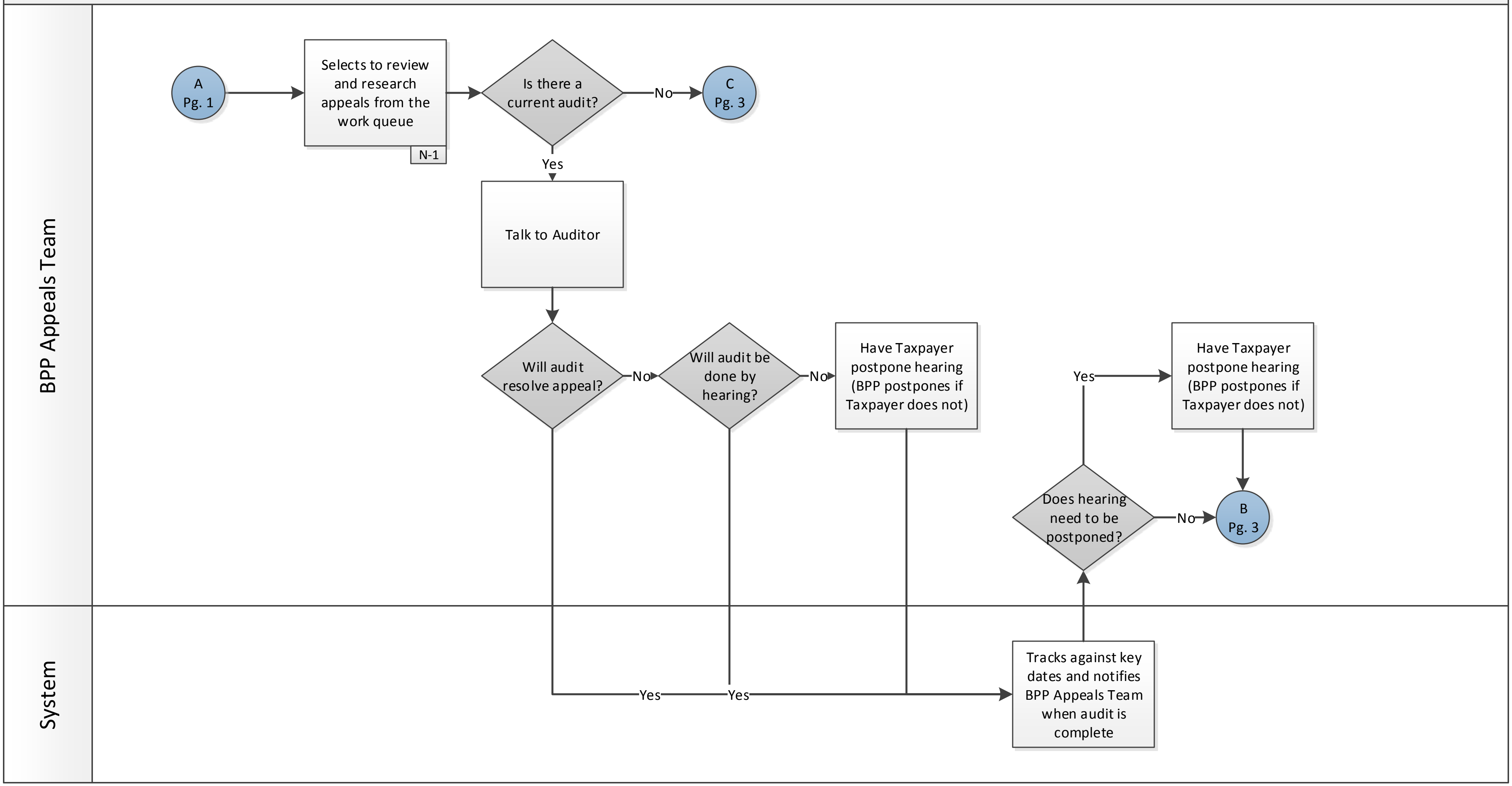
ASR 7.02 – SF PTax: Assessor Workshop (Appeals) – Business Personal Property (BPP) Appeals Process (pg. 1/4)



NOTES

1. Items are prioritized by: hearing date, value, information provided, etc.

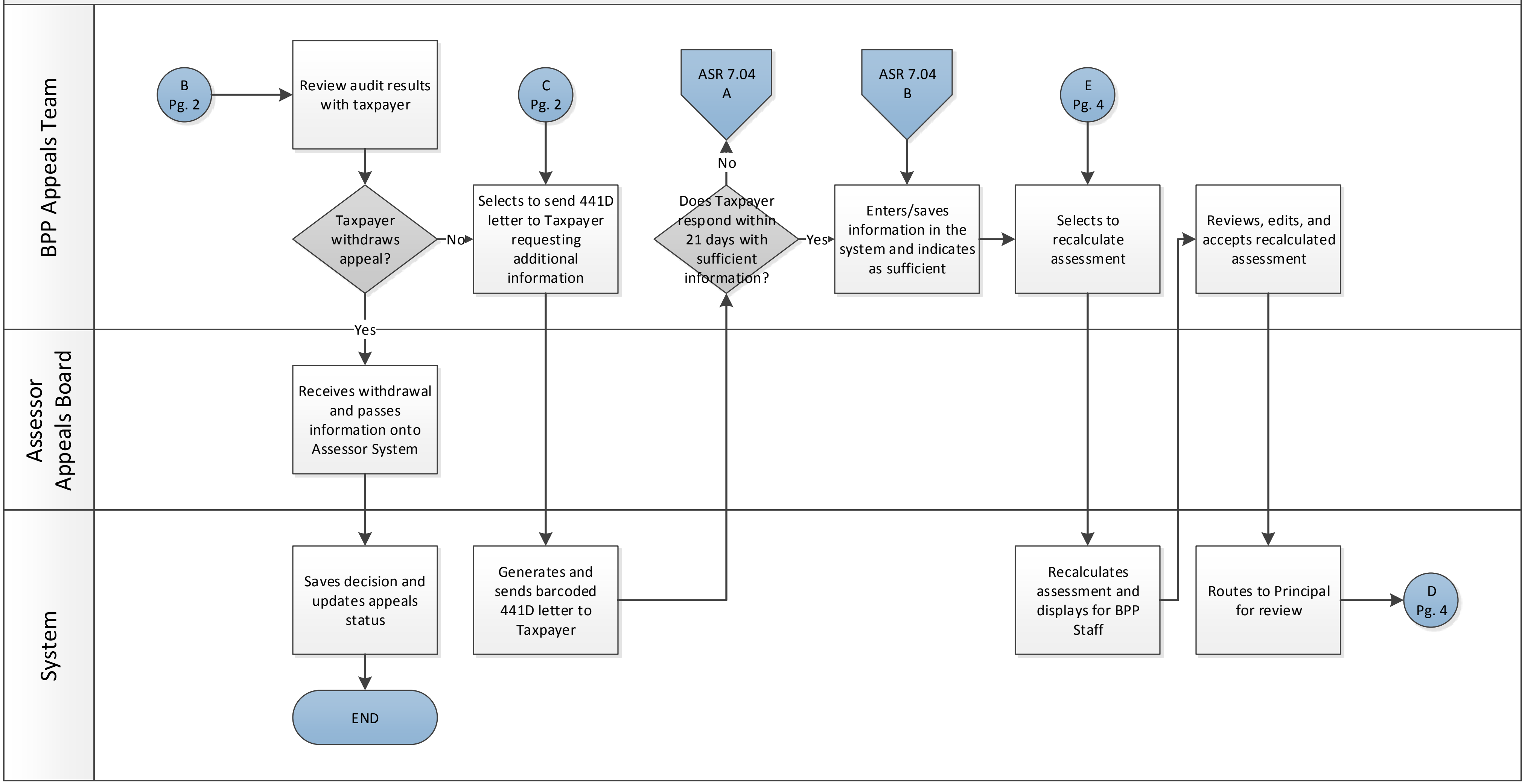
ASR 7.02 – SF PTax: Assessor Workshop (Appeals) – Business Personal Property (BPP) Appeals Process (pg. 2/4)



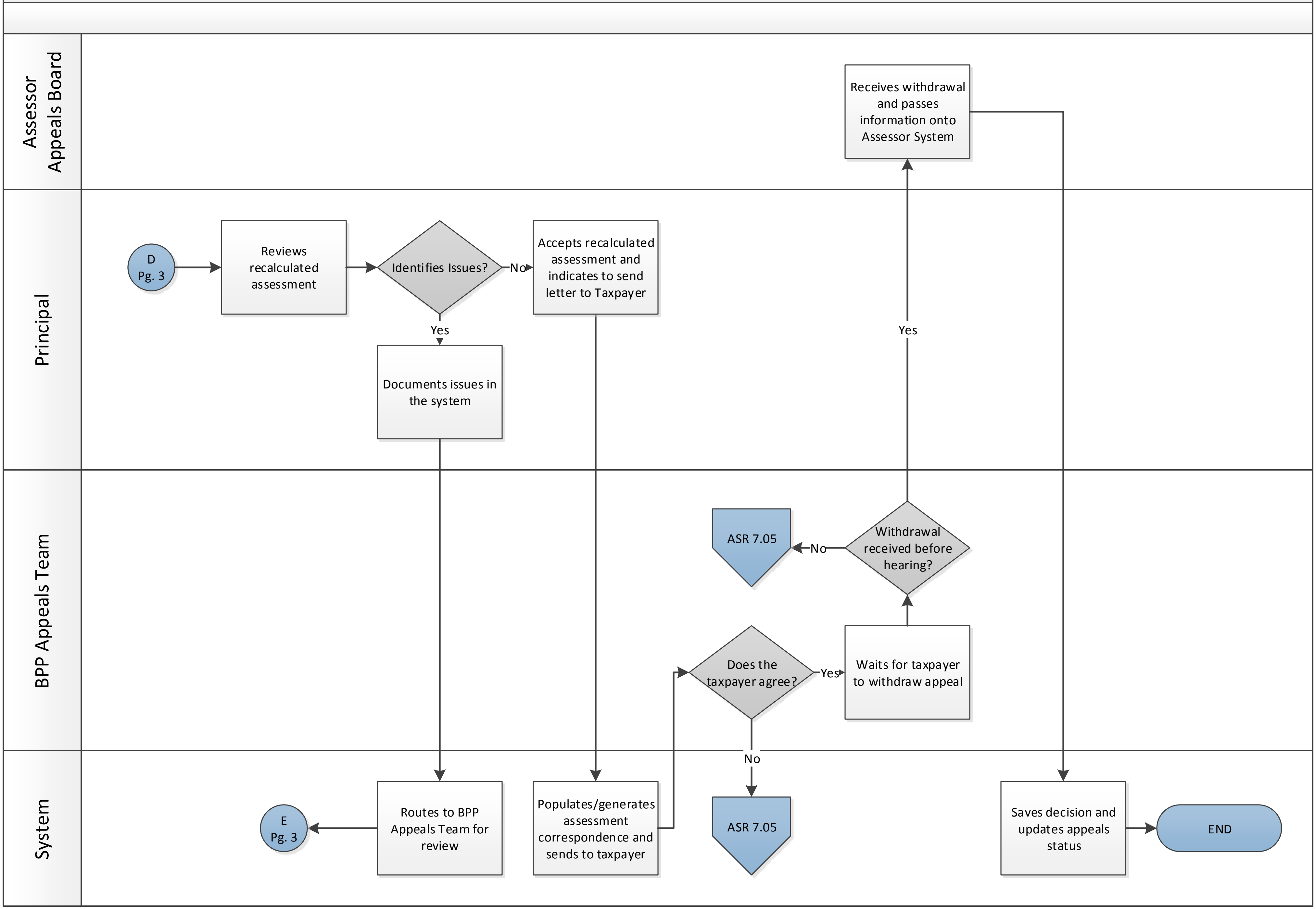
NOTES

1. Items are prioritized by: hearing date, value, information provided, etc.

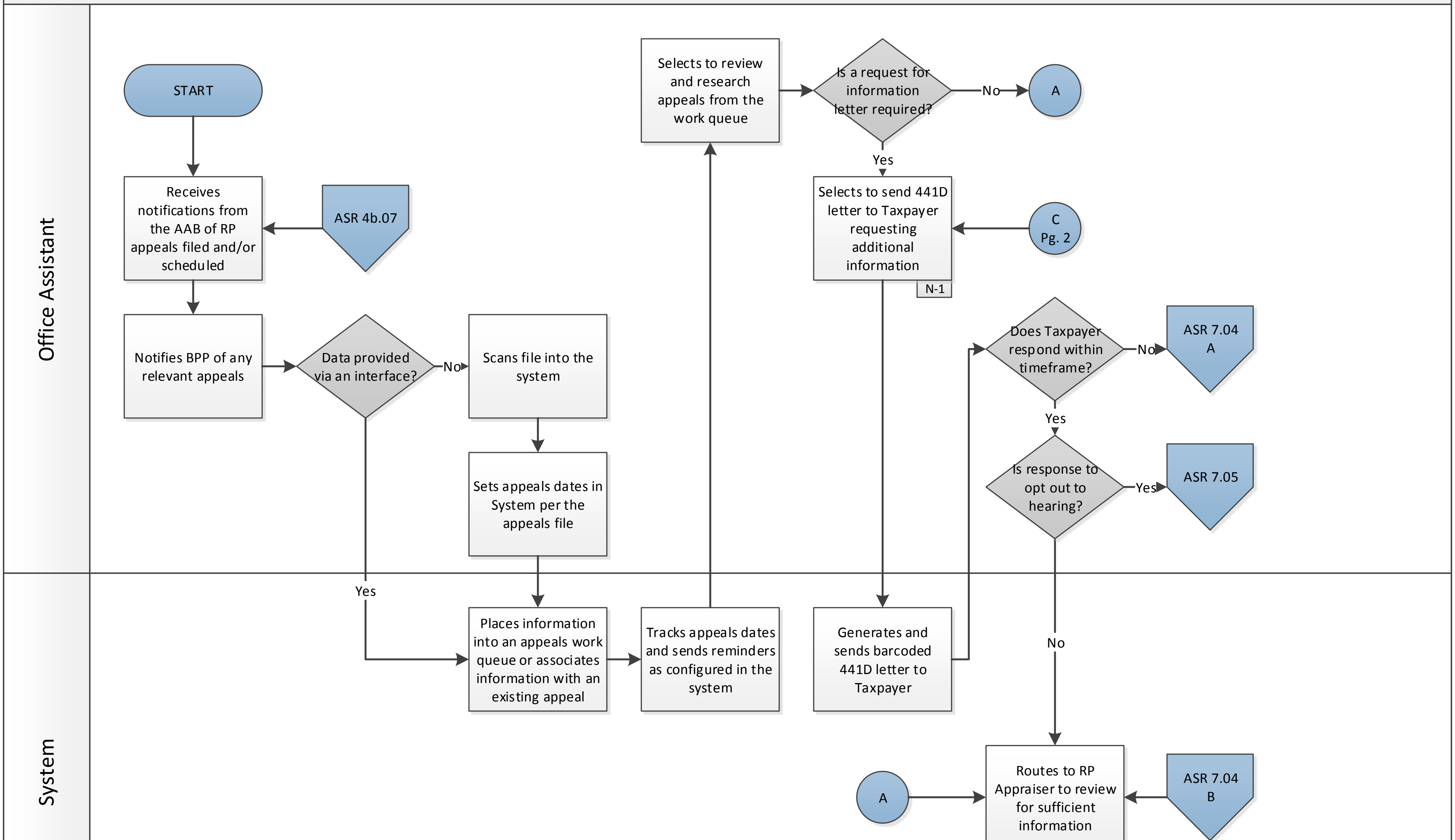
ASR 7.02 – SF PTax: Assessor Workshop (Appeals) – Business Personal Property (BPP) Appeals Process (pg. 3/4)



ASR 7.02 – SF PTax: Assessor Workshop (Appeals) – Business Personal Property (BPP) Appeals Process (pg. 4/4)



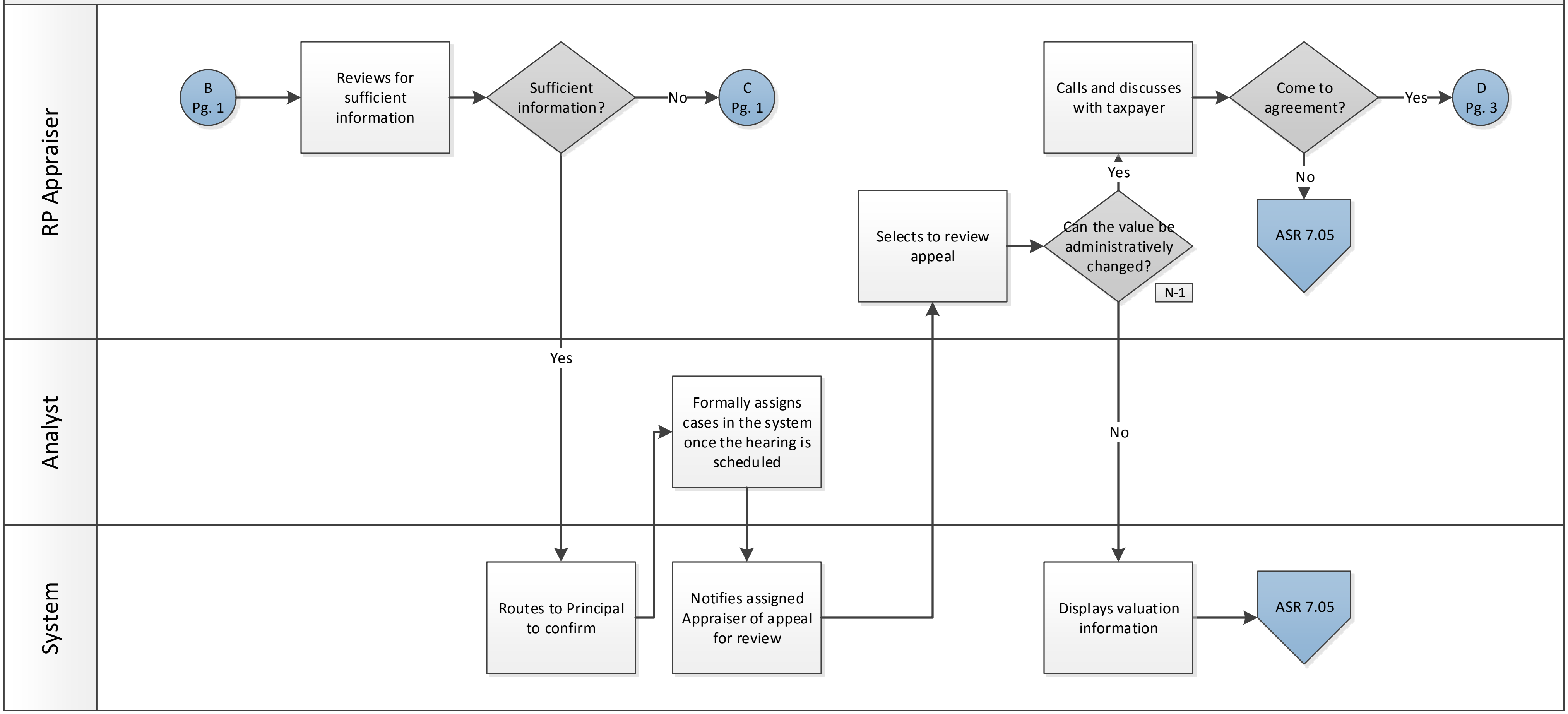
ASR 7.03 – SF PTax: Assessor Workshop (Appeals) – Real Property Appeals Process (pg. 1/2)



NOTES

1. Filed has a 30 day response time. Scheduled has a 24 day response time. 441D letter content varies by property type – types include: office, apartment, industrial, hotel, mixed use, mixed use residential, retail, data centers, park garage, church, schools, and residential. Letters are sent with the exception of: 4 units or less residential unless supplemental or base year appeal

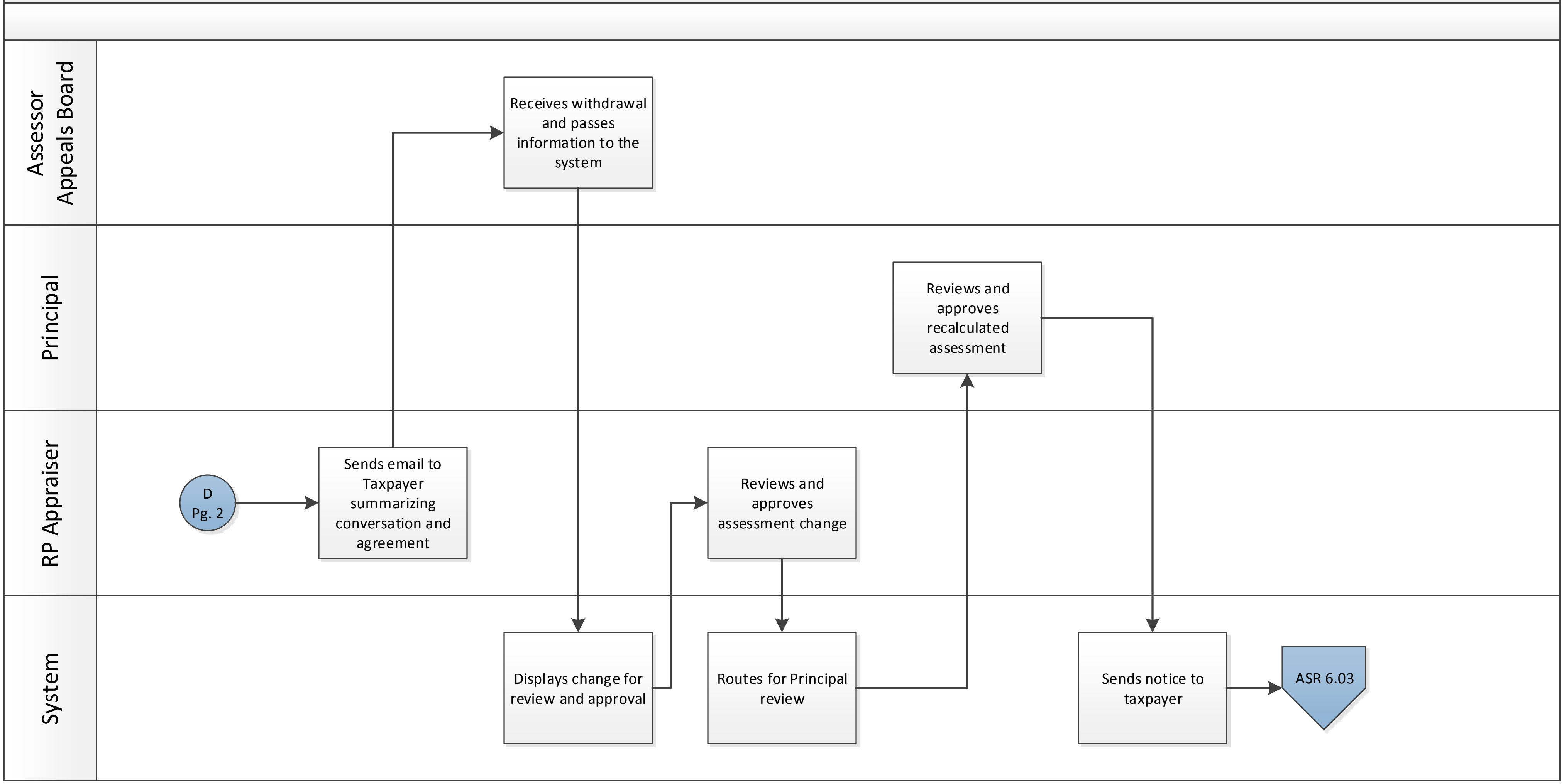
ASR 7.03 – SF PTax: Assessor Workshop (Appeals) – Real Property Appeals Process (pg. 2/3)



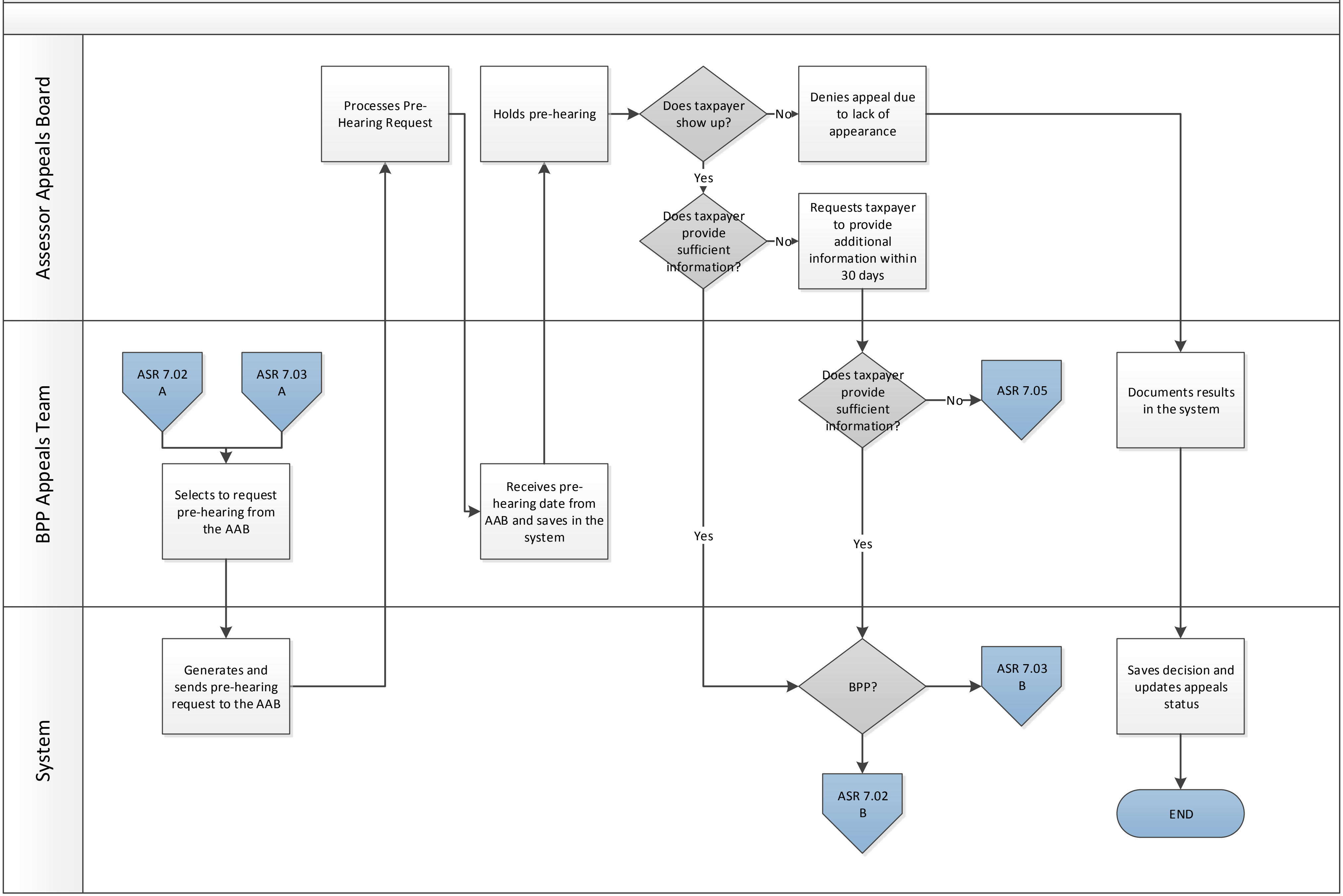
NOTES

1. The following can be administratively change: current year prop 8, supplemental or base year within the prior 4 years, prior year prop 8 exists in the past 4 years

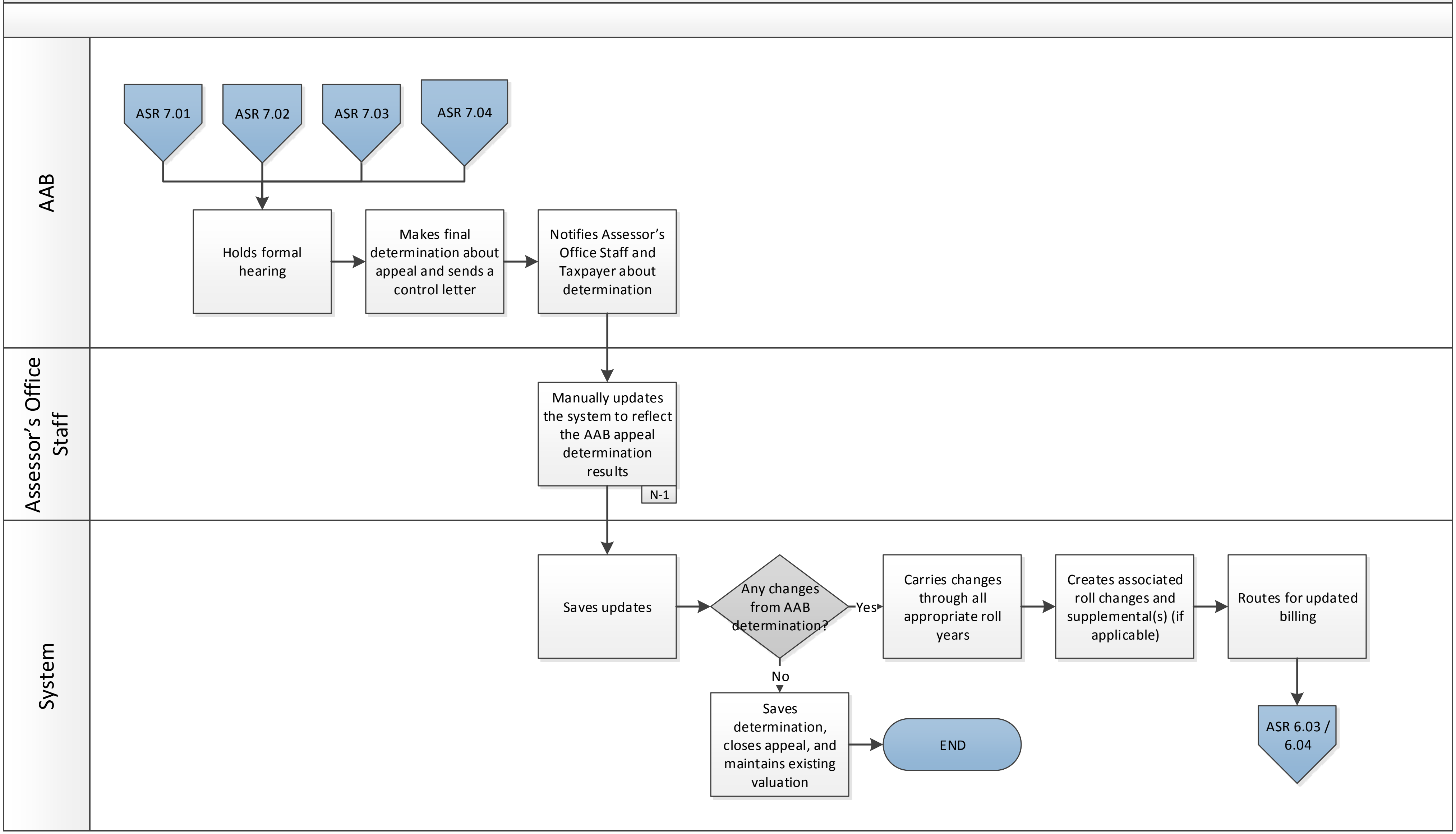
ASR 7.03 – SF PTax: Assessor Workshop (Appeals) – Real Property Appeals Process (pg. 3/3)



ASR 7.04 – SF PTax: Assessor Workshop (Appeals) – Pre-Hearing Conference

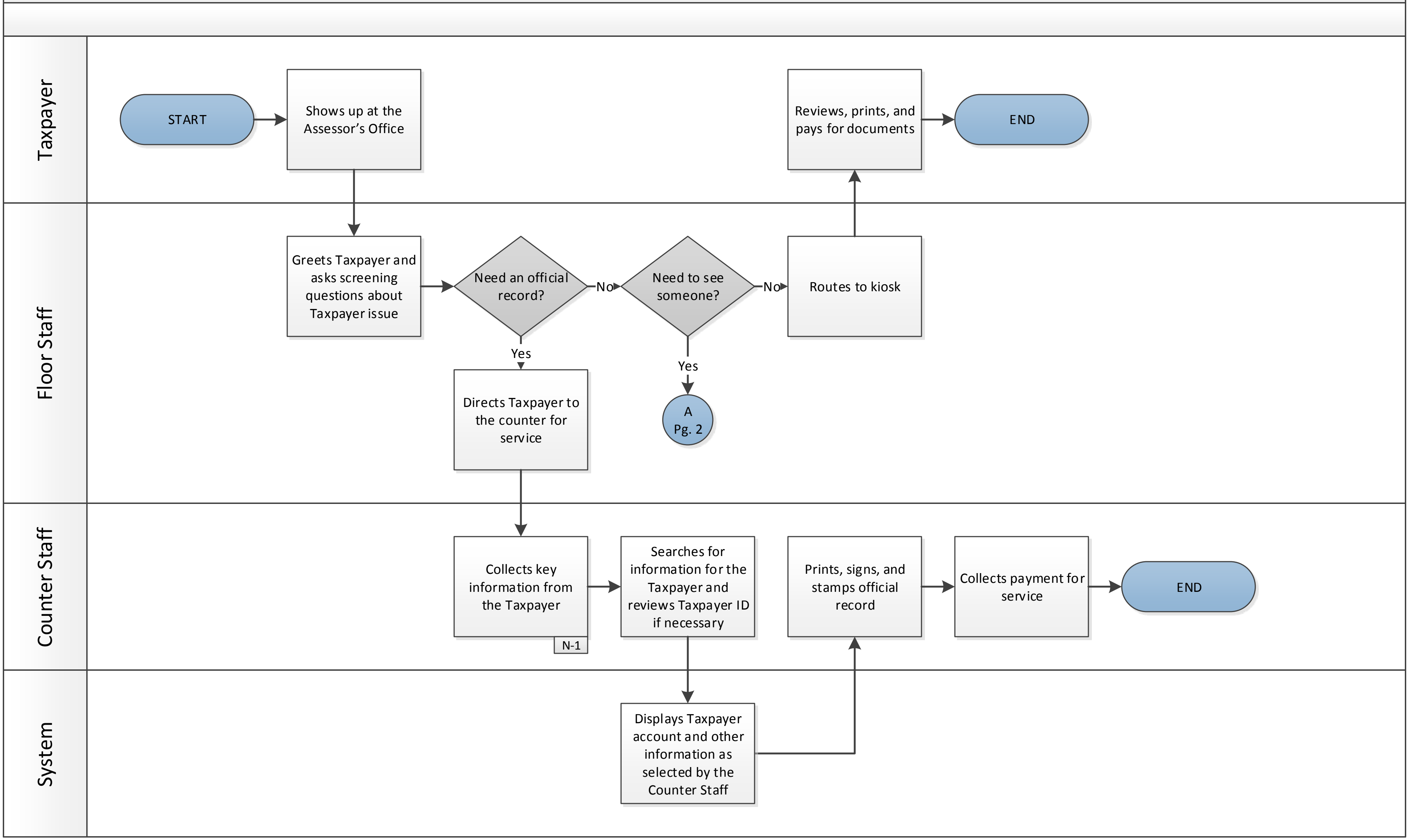


ASR 7.05 – SF PTax: Assessor Workshop (Appeals) – Formal Hearing



NOTES
1. AAB appeal determination results include event date, percent reassessed, exclusion amounts to apply, etc.

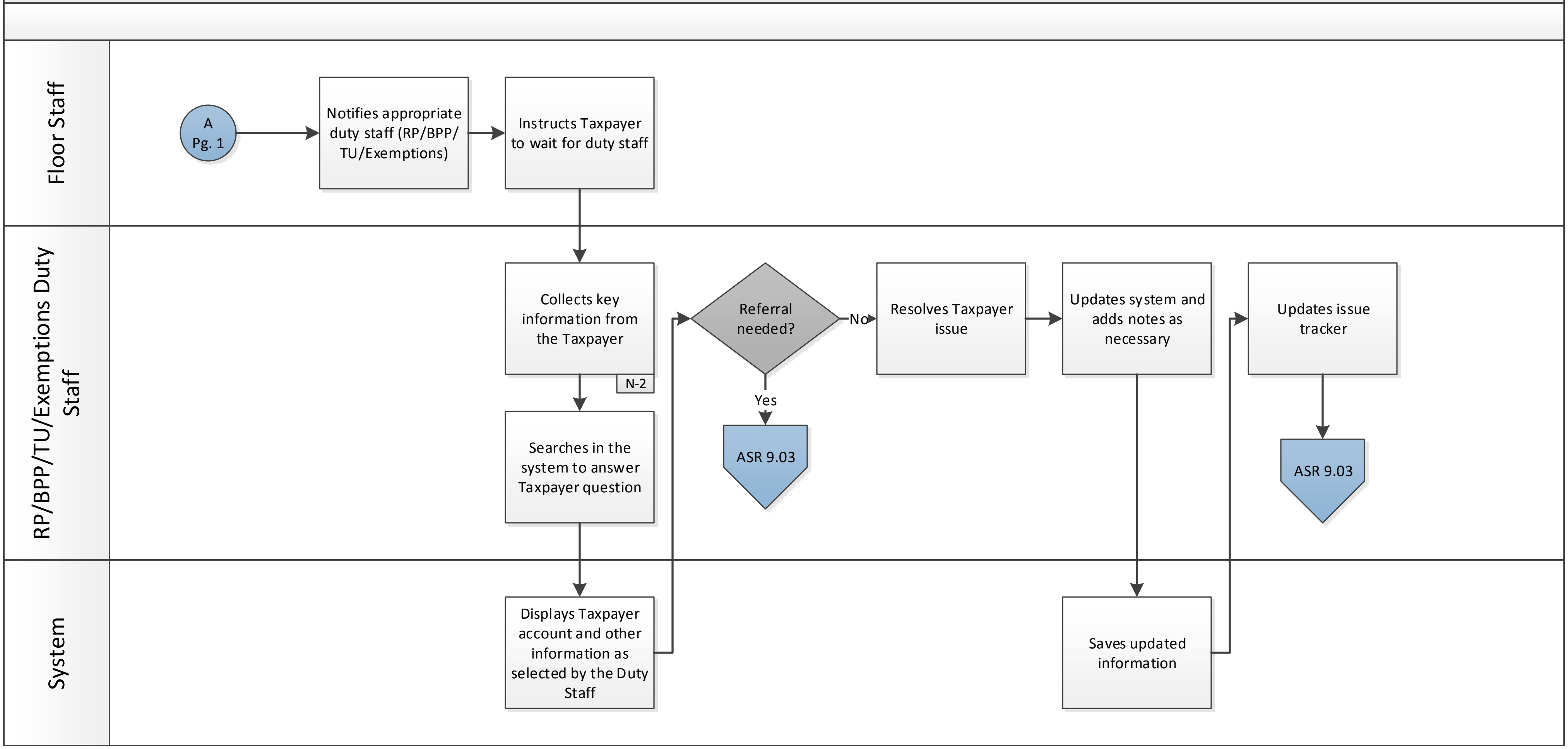
ASR 9.02 – SF PTax: Assessor Workshop (Customer Service) – Walk-in Customer Request (pg. 1/2)



NOTES

1. Key information includes: dates, document number, image and reel number

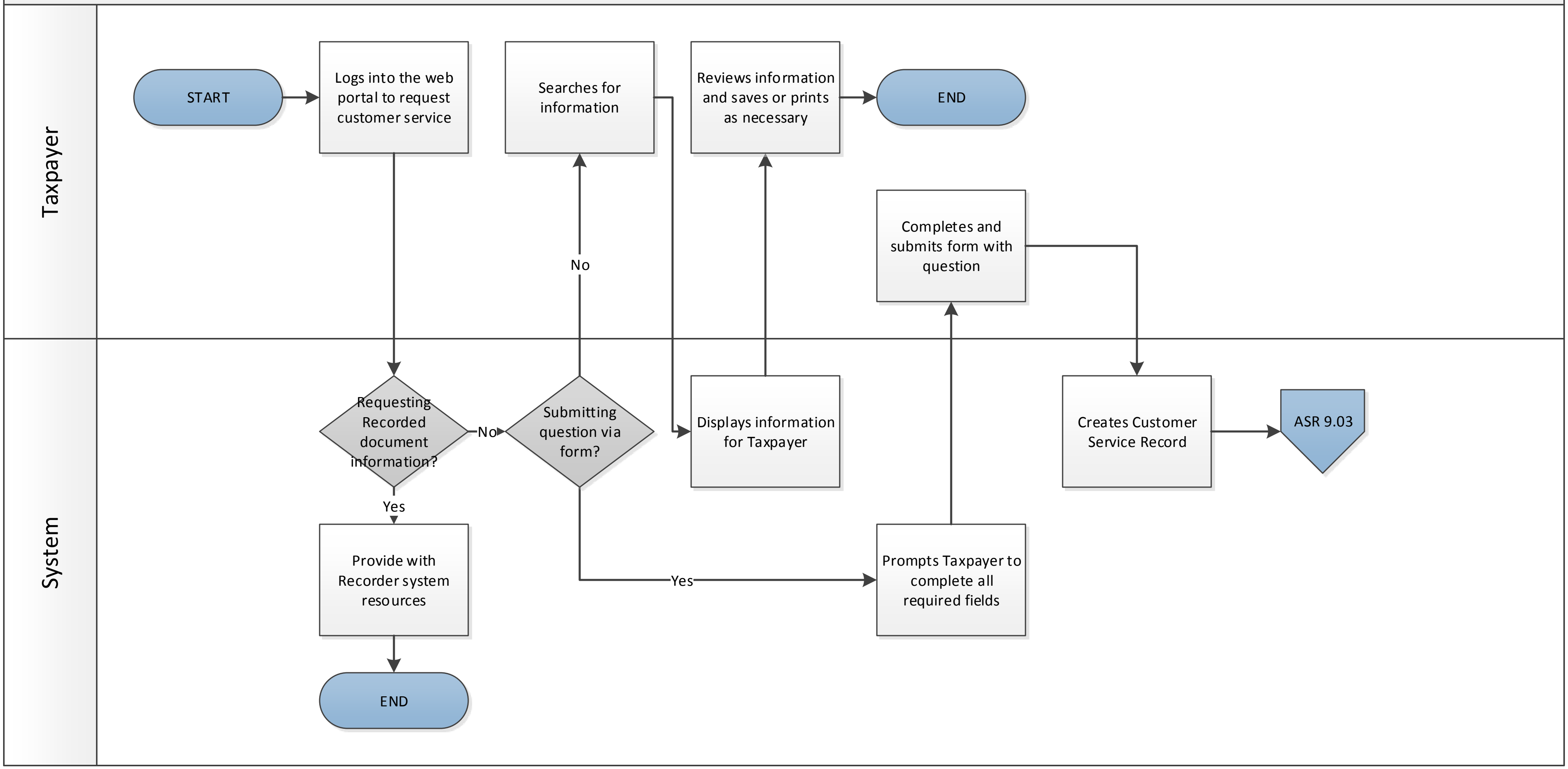
ASR 9.02 – SF PTax: Assessor Workshop (Customer Service) – Walk-in Customer Request(pg. 2/2)



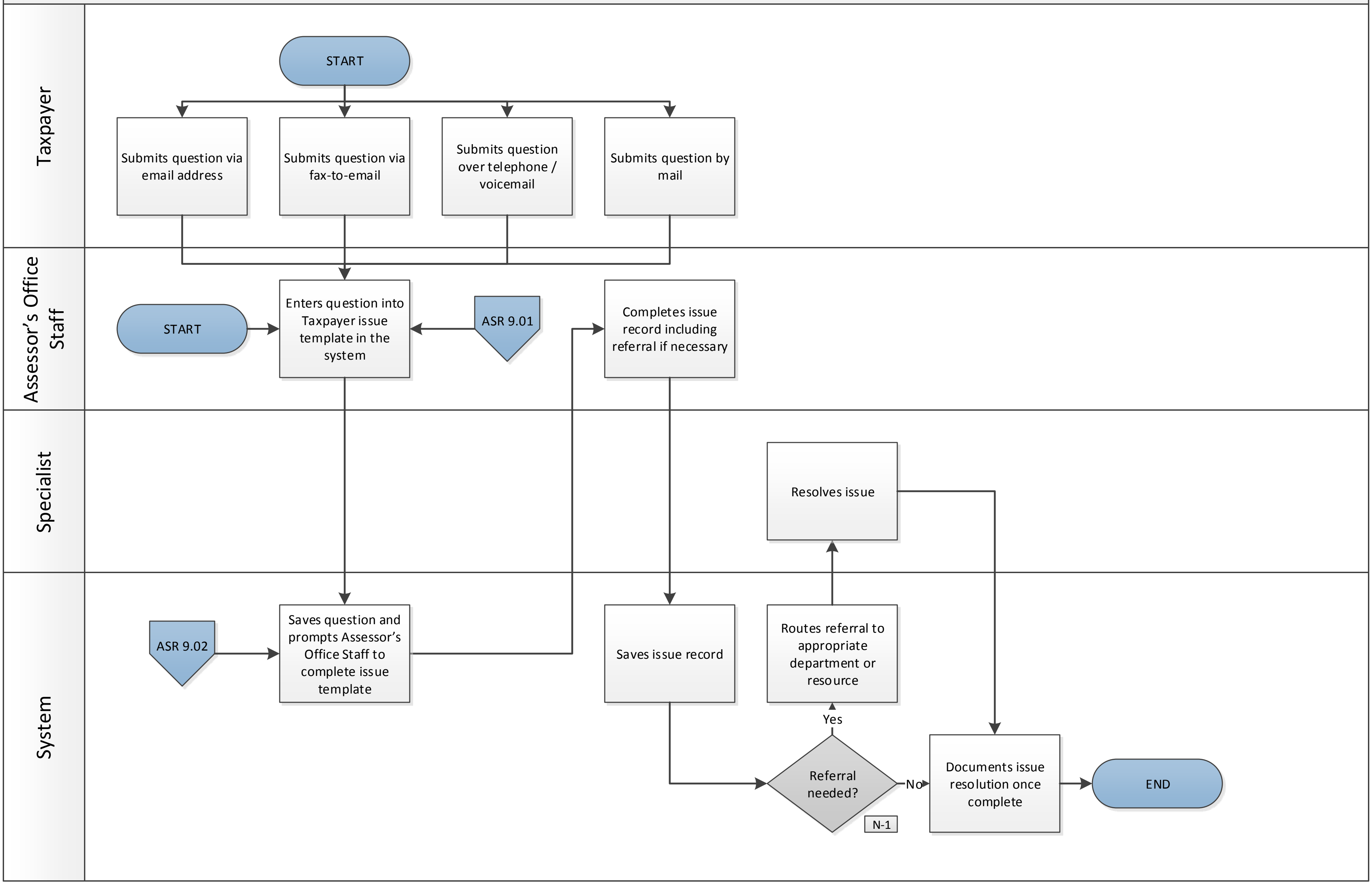
NOTES

2. Key information includes: dates, document number, image and reel number

ASR 9.02 – SF PTax: Assessor Workshop (Customer Service) – Self-Service Web Portal



ASR 9.03 – SF PTax: Assessor Workshop (Customer Service) – Customer Service Tracking



NOTES

1. Potential referrals include: daily appraisers, BPP, TU, language requirements, etc.

ASR 9.04 – SF PTax: Assessor Workshop (Customer Service) – Returned Mail

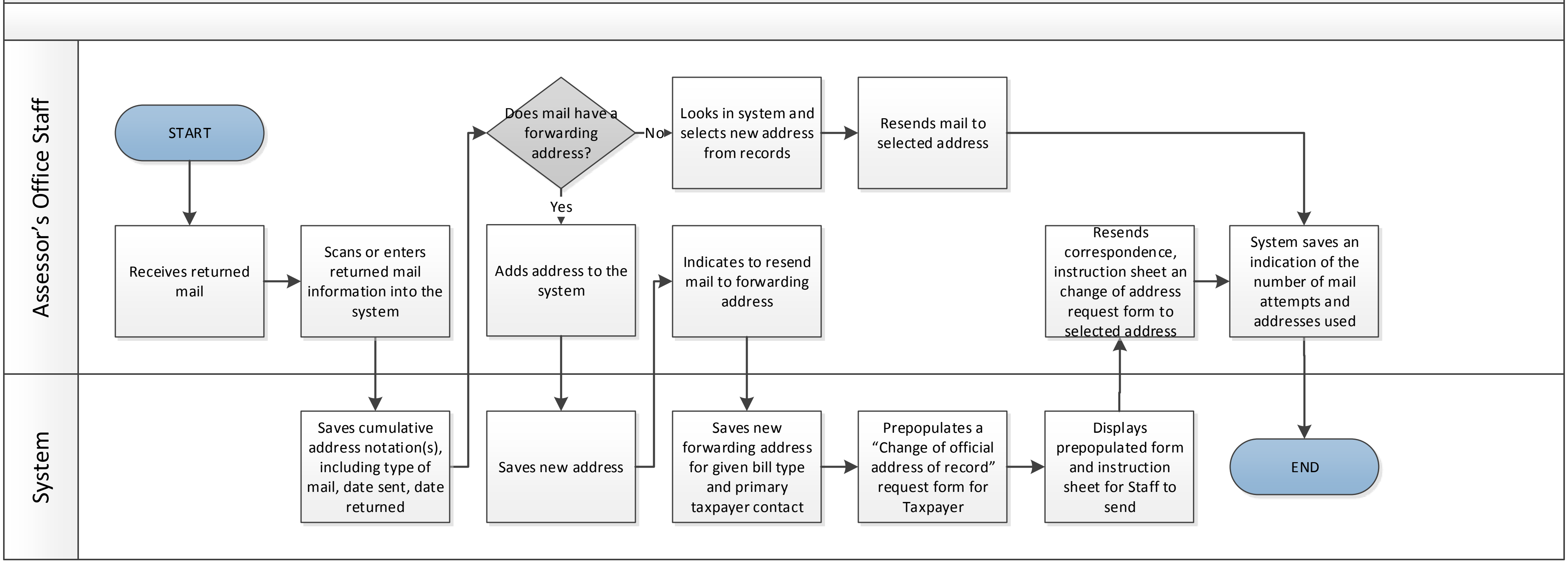


Table of Contents

Presentation and Methodology

Each Use Case detailed below is a high-level representation of the interactions between an actor and the System. When preconditions have been met and the use case is triggered, the actor will follow the use case flow until the post condition or alternative flow is completed. Table 1 lists all Use Cases included in this document.

1.0 Parcel Management

1.1 Background

1.1.1 Introduction

All Real Property Records within the system must be associated with a map of the parcel of land found inside the City. Parcel Management is required when boundary changes occur. City mapping Staff update and maintain property records with accurate parcel boundary and character descriptions.

1.1.2 Parcel Splits and Combinations

The geographic land area within the City's jurisdiction is fixed, however, the parcel boundaries within the City often change. Parcels can be divided to create multiple baby parcels within the boundary of the original parent parcel, and parcels can alternatively be combined to create a single parent parcel that encompasses the area within the boundaries of multiple combined baby parcels. Parcel boundary adjustments are treated in a similar way.

1.1.3 Assessor Parcel Numbers

Though land is not created by parcel split or combination actions, new parcel boundaries are established that require Assessor Parcel Numbers (APNs) to either be created or updated. These APNs are related historically to books of maps that are at the heart of official property records. APNs are formatted to reference the book and page where a map of each parcel can be found.

1.1.4 Property Research

When a parcel boundary change is occurring due to a recorded event or transaction, the system will route the work and accompanying documents to City mapping staff. Mapping staff will take a deeper look at the available information and examine the digital images of the documents. Mapping Staff will assess and update the system based on the new information and route any action items, such as the need to split or merge lots, to the appropriate department.

1.1.5 Overview of Use Cases, Actors, and Triggers for Parcel Management Functions

Table 1. Overview of Use Cases, Actors, and Triggers for Parcel Management Functions

Use Case Name	Actor	Trigger	Description
Recorded Maps	Mapping Staff (primary) Public Works Staff	A taxpayer submits a map or Certificate of Compliance to Public Works	Recorded maps or Certificates of Compliance are transmitted to the system from the Recorder's system and APNs are assigned to new baby parcels
Parcel Information Updates	Mapping Staff (primary) Clerical Staff	The system receives notification of recorded documents	Parcel combines, splits, and other changes are processed by Mapping Staff once all required recorded documents are available in the system

1.2 Use Cases

1.2.1 Use Case: Recorded Maps

Actor
Assessor Mapping Staff (primary)
Public Works Staff

Purpose and Objectives
Maps are reviewed by Public Works and officially recorded into the Recorder's system prior to being transmitted to the system. The system is the official record for all APNs. The system will propose APNs for any new baby parcels created with new maps. These APNs will be reviewed and approved by Mapping Staff prior to official assignment.

Trigger Event(s)
- A taxpayer submits a map to Public Works

Precondition(s)
- The Recorder's system is interfaced with the system
- Public Works staff have access to the system

Post condition(s)
- Map images and associated indexed data have been transmitted to the system from the Recorder's system
- Reserved APNs have been provided to taxpayers

Associated Use Cases
- Identify and Process Recorded and Unrecorded Documents

Use Case Flow

1. Public Works staff receive a tentative map from a Taxpayer and reviews the map for compliance with criteria, policies, etc. (The Assessor's Office condo map policy requires that the developer provide the property square footage prior to receiving reserved APNs). As part of this process, Public Works staff logs into the system and selects to create new baby APNs associated with the parent APN(s)
    a. The system assigns temporary APNs for the baby parcels and reserves the APNs until the APNs are finalized
        i. APNs are coded with a 2 digit volume, 4 digit block with a possible letter, and 3 digit lot with possible letter (e.g. 12-3535A-001B). The APN will be determined according to a set of rules, including, but not limited to:
            1. The numeric portion of a block will remain constant
            2. The alpha portion of the block will begin at "A" and only increment up if there are more than 999 lots. This is the only use of the Alpha portion of the block. The Alpha portion is optional and only used if necessary.
            3. Parcel numbers for new projects should infill an existing block unless the block cannot accommodate all parcels needed for the project. Under this circumstance, all of the parcels needed for the

project will be assigned to a block that can accommodate all needed parcels

4. The alpha portion of the lot is for comments. “Z” will always designate parking
5. Legal vs. assessment parcel
6. Parcel type

ii. Any other type of information (i.e. timeshare, co-op, condos, etc.) will be captured in non-APN fields.

b. The system presents the proposed APNs to Public Works Staff

c. The system routes the proposed APNs to Assessor Mapping Staff for review and approval

2. Assessor Mapping Staff logs into the system and selects to review the proposed APNs for issues
   a. The system displays the proposed APNs
   b. If the Assessor Mapping Staff does not approve the APN, Assessor Mapping Staff selects to enter/filter potential APNs based on block/lot and/or other parameters
      i. The process continues at Step 2a
3. Assessor Mapping Staff approves the reserved APNs in the system
   a. The system saves the reserved APNs and notifies Public Works staff
   b. Public Works staff provides the reserved APNs to the taxpayer
   c. Public Works staff draws and provides updated Block Map to Assessor Mapping Staff for upload into the system, and send to Planning/GIS

…

Public Works is responsible for receiving, reviewing, and approving finalized maps from the taxpayer prior to submitting the final maps to be officially recorded with the Recorder’s Office.

Recorder’s Office Staff are responsible for officially recording maps into the Recorder’s system. This process may involve working with Public Works to resolve any identified problems with the submitted map. The Recorder’s system will assign book, and page numbers to the recorded maps. Part of the Recorder Office’s process will include making map images and associated indexed data available to the system. Recorder’s Office Staff also creates the cashiering documents and document numbers associated with recorded maps.

…

4. The system receives notification of a recorded map from the Recorder's system
5. The system saves indexed information from the Recorder's system including, but not limited to:
    a. Map type
    b. Book and page number
    c. Recorder statement
    d. Parent APN(s)
    e. Document number
    f. Integration to Recorder's system for document image
    g. Project ID number
    h. Date and time recorded
6. The system identifies if the map type is a condo map
    a. If the map type is a condo map, the system maintains the reserved APNs in a reserved status pending the recording of the first deed of sale or Condo Conversion Deed
        i. The process continues at Use Case: Identify and Process Recorded and Unrecorded Documents
        ii. The process continues at Step 7
    b. If the map type is not a condo map, the system identifies all baby APNs associated with the recorded parent APNs and updates the status of all of the baby APNs to officially assigned
7. The system emails Public Works staff at a pre-determined email address to confirm the map has been legally recorded
    a. Emailed information will include, but not be limited to:
        i. Assigned book and page
        ii. Parent APNs
        iii. Map Type

1.2.2 Use Case: Parcel Information Updates

Actor
ASR Mapping Staff (primary)
Clerical Staff

Purpose and Objectives
ASR Mapping Staff require certain recorded documents in able to process different types of property changes. These requirements are understood and tracked by the system. When the system identifies that all required documents for processing a particular property change are available in the system, the system routes the change to Mapping Staff. Mapping Staff complete the parcel changes as necessary.

Trigger Event(s)
- The system receives notification of recorded documents

Precondition
- The Recorder’s system is interfaced with the system

Post condition
- Parcel splits/combines and other updates have been completed

Associated Use Cases
- Identify and Process Recorded and Unrecorded Documents
- Use Case: Real Property (multiple)

Use Case Flow
1. The system tracks required recorded documents associated with parcel management based on document and transaction type
    a. Recorded documents associated with parcel management may include, but are not limited to:
        i. Certificate of compliance
        ii. Cross deeds
        iii. CC&R
    b. Transactions with associated required supporting documents including, but are not limited to:
        i. Certificate of compliance (for lot line adjustments and mergers)
        ii. Condo splits require a deed
        iii. Tenants in common require a cross deed per owner
        iv. Condo conversion splits require a condo conversion application
2. The system receives notification of a recorded document from the Recorder’s system and evaluates the document against required supporting documents
    a. If the system identifies that all supporting documents required for the transaction type have been recorded, the system routes the transaction to Mapping Staff for processing

   b. If the system identifies missing required supporting documents, the system shall hold the recorded document “pending additional documentation” for a predefined wait period
      i. The system routes the recorded document “pending additional documentation” work item to Mapping Staff
      ii. Mapping Staff review the work item and the system-identified missing documents
      iii. Mapping Staff add any relevant notations and confirms to route the notification of missing documents to the appropriate departments for processing
         1. The process continues at Step 2 when the missing documents have been recorded

3. Mapping Staff logs into the system and verifies the parent and baby APNs associated with the parcel changes
   a. The system routes the work item to Real Property Appraisers
   b. The process continues at Use Case: Real Property (multiple)

2.0 Ownership and Transfers

2.1 Background

2.1.1 Introduction

The Change in Ownership Process is an integral part of the San Francisco County Assessor's Office. One of its main tasks is to maintain information about all properties and owners, as well as keep track of the relationship changes between properties and owners throughout each year.

Accurate ownership records are essential to levying property taxes. For this reason, the Assessor's Office maintains records of all property ownership changes, regardless of whether the change triggers a reassessment of a property's value. Each Change in Ownership within the City is carefully examined and processed to ensure that the correct property owner(s) are accurately taxed.

A Change in Ownership Event is created by any ownership change associated with a parcel. The City is made aware of changes through both the officially recorded documents that are public records as well as the receipt of private, unrecorded documents reflecting corporate ownership percentages, court orders, deaths, etc. Recorded document information (including images and index information) is received from the Recorder's Office while unrecorded documents may be received by the City from a variety of sources (courts, citizens, Board of Equalization, etc.). Examples of such documents include but are not limited to:

- Grant Deed
- Quitclaim Deed
- Affidavit of Death
- Leases
- State Board of Equalization (BOE) forms
- Court Orders (Eminent Domain, family disputes, etc.)

The Recorder's Office uses an independent system that should integrate with the Assessor's system to provide access to these documents and indexed information from the documents. The recording of certain documents affecting ownership should also trigger workflows in the Assessor's system.

Different types of transactions and properties require different types of information, processing, evaluation, and decision-making from Transactions Unit staff. Once processed, transactions are reviewed and approved by the Transactions Unit Manager prior to being submitted to Real Property for associated valuations.

2.1.2 LEOPs

The Board of Equalization's Legal Entity Ownership Program (LEOP) gathers and disseminates information to county assessors regarding changes in control and changes in ownership of legal entities that own or lease an interest in California real property. Such changes in ownership or changes in control require a reassessment of the real property interests. Thus, the purpose of the program is to assist County assessors in discovering assessable changes in control or changes in ownership that have not been captured by a county's own discovery systems. The program is needed because, ordinarily, transfers of ownership interests in legal entities do not involve a recorded deed or other notice that would inform county assessors.

The Board reviews form BOE-100-B, Statement of Change in Control and Ownership of Legal Entities and determine whether a transfer is either a change in control or a change in ownership. Once the Board determines that either of these events has occurred, and that an interest in San Francisco County real property is subject to reassessment, the information is reported to the Assessor's Office, which is tasked with reassessing such real property and levying late filing penalties, as appropriate.

2.1.3 Overview of Use Cases, Actors, and Triggers for Ownership and Transfers Functions

Table 2. Overview of Use Cases, Actors, and Triggers for Ownership and Transfers Functions

Use Case Name	Actor	Trigger	Description
Identify and Process Recorded and Unrecorded Documents	TU Specialist	A recorded document has been received by the system An unrecorded document transaction has been added to the TU Specialist's work queue	TU Specialists review recorded and unrecorded document transactions to identify re assessable events for processing by Real Property
Unrecorded Event	TU Specialist	The TU Specialist becomes aware of a potential CIO event not associated with a recorded document	TU Specialists create unrecorded document transactions for potential CIO events not associated with recorded documents
LEOPs	TU	TU receives a monthly from the State Board of Equalization TU receives a notification of Legal Entity Transfer from the Recorder TU receives an Exclusion from Reassessment notice from the State Board of Equalization	TU receives and processes Legal Entity Ownership Program information from the BOE
Condos	Transactions Specialist	The system receives a condo referral from Real Property	Transactions Specialists process condo transactions
Review and Approval	TU Manager	A TU Specialist has completed processing a transaction	TU Managers review and approve transactions processed by TU Specialists
Reverse Previously Assessable Event	TU Specialist	A processed transaction is found to be non-assessable	TU Specialists reverse events that were discovered to be non-assessable after they had been processed
Co-ops and Timeshares	TU Specialist	A co-op or timeshare transaction is routed to the TU Specialist for processing	Transactions Specialists process co-op and timeshare transactions

Use Case Name	Actor	Trigger	Description
Processing of Proposition 58 Form	Transactions Unit (TU) Staff (primary) Taxpayer	A taxpayer submits a Prop. 58 form TU staff notice that a property may be eligible for a Prop. 58 exclusion	Proposition 58 exclusion claims are received and processed by the Transactions Unit
Quarterly Report on Prop 58 to BoE	Analyst (primary) Transactions Unit Staff State BoE	Quarterly per predetermined schedule	Ensure Prop. 58 exclusions do not exceed the threshold for each owner

2.2 Use Cases

2.2.1 Use Case: Identify and Process Recorded and Unrecorded Documents

Actor
TU Specialist

Purpose and Objectives
The system receives relevant recorded documents and associated indexed information from the Recorder's Office. The system organizes these recorded documents into work queues based on the indexed information and routes them to appropriate TU Specialists for review and processing. TU Specialists review the transaction details, conduct relevant research, and add notations to the transaction in the system. TU Specialists identify reassessable events that are then routed to Real Property for continued processing. TU Specialist work is reviewed and approved by the TU Manager.

Trigger Event(s)
- A recorded document has been received by the system
- An unrecorded document transaction has been added to the TU Specialist's work queue

Precondition(s)
- Recorded documents are able to be transmitted and indexed to the system
- TU Specialist work queues have been set up in the system

Post condition(s)
- Direct enrollments have been processed by TU
- Real Property has been notified about any transactions requiring valuation
- Recorded and unrecorded events have been processed by TU and are ready for review and approval by the TU Manager if required

Associated Use Cases
- Recorded Maps
- Value Real Property
- Unrecorded event
- Review and approval

Use Case Flow

1. The system receives recorded document files, associated indexed information, and supplemental documentation
    a. Indexed document information may include, but is not limited to:
        i. Grantor
        ii. Grantee
        iii. Document type
        iv. APN
        v. Cashiering information

1. Transfer tax
2. Tax price

vi. Mailing address

b. Supplemental documentation may include, but is not limited to:

i. PCOR

1. New owner mailing address
2. APN
3. Transfer information
4. Exclusions
5. Purchase price
6. Broker sale vs. direct from seller
7. Operating Agreements
8. Trusts

ii. Tax affidavit

iii. BOE forms

iv. Death Certificate

2. The system organizes the recorded document records into separate work queues based on pre-configured prioritization and sorting criteria

a. Prioritization and sorting criteria may include, but is not limited to:

i. Potential direct enrollments

1. Potential direct enrollments are identified based on transactions meeting criteria including, but not limited to:

a. Residential class code

b. Sales price is greater than or equal to the current assessed value

2. The process for potential direct enrollments continues at Alternate Flow A: Potential Direct Enrollments

ii. Chain of title issues

iii. Sales transactions

iv. Sales price

v. Document type

vi. Government Owned Properties

3. The system identifies any transactions that have pending actions

a. The system holds these transactions as pending until the pending actions have been resolved by Real Property, Mapping, or other departments

        i. The system notifies appropriate departments of pending actions for resolution
        ii. See Use Case: Recorded Maps, Use Case: Value Real Property
    b. The system monitors for resolution of pending actions
    c. The system removes the pending status from the transaction when pending actions have been resolved
4. The system notifies the TU Manager and TU Specialists of assignments
    a. (Optional) The TU Manager logs into the system and reviews and edits TU Specialist assignments. This may include assigning specific transactions to individual work queues
    b. The system updates work queues and individual TU Specialist assignments
5. The TU Specialist logs into the system and selects to review and process an individual transaction from the TU Specialist's work queue
    a. The system displays the transaction for TU Specialist review
6. The TU Specialist conducts research to identify any missing transactions, pending actions, Recorder errors, and Taxpayer errors associated with the transaction
    a. If the TU Specialist identifies a missing transaction, see Use Case: Unrecorded Event
    b. If the TU Specialist identifies pending actions, the TU Specialist documents the pending actions in the system
        i. The process continues at Step 3a
    c. If the TU Specialist identifies any Recorder errors, the TU Specialist corrects the error in the system
        i. The system saves the updated entry and notifies the Recorder of the errors for correction in the Recorder's system
    d. If the TU Specialist identifies any Taxpayer errors, the TU Specialist documents the errors in the system by selecting the error type from a preconfigured list of error types and adding additional notations as necessary
        i. Error types include, but are not limited to:
            1. Incorrect APN
            2. Owner discrepancy
            3. Ownership percentage transferred discrepancy
        ii. The system generates and sends an email or mail notification to the taxpayer about the identified error
            1. The process ends
7. The TU Specialist indicates any notices to be sent to the taxpayer
    a. Notices may include, but are not limited to:
        i. Relevant exclusion forms
        ii. Informational requests

1. Break in chain-of-title
2. Incorrect APN
3. Owner discrepancy
4. Owner percentage discrepancy
5. Title correction relating to financing (with co-signature)

b. The system generates notifications based on preconfigured templates and sends the barcoded notices to the taxpayer

c. The system monitors for any taxpayer responses within a preconfigured time period for each notice type

i. If the taxpayer submits a response that affects the transaction processing, the process continues at Step 6

8. The TU Specialist reviews the property type for Timeshares

a. If the property type is a Timeshare, the process continues at Alternate Flow B: Timeshares

9. The TU Specialist reviews the transaction for assessable events

a. If the transaction is not an assessable event, the TU Specialist indicates in the system that the transaction is non-assessable

i. The TU Specialist processes the transaction and updates the record based on the transaction details

ii. The TU Specialist indicates that the transaction has been completed by TU

iii. The system routes the transaction for review and approval

iv. The process continues at Use Case: Review and Approval

10. The TU Specialist reviews the transaction for partial transfers, tenants in common, or full transfer

a. If the transaction is for a partial transfer or tenants in common, the TU Specialist identifies and documents the percentage ownership interest in the property and the percentage of ownership being transferred

b. If the transaction is for a full transfer, the TU Specialist documents a 100 percent transfer of interest

11. The TU Specialist updates the mailing address in the system with the mailing address from the PCOR

12. The TU Specialist indicates the transaction type to be processed by the Real Property division

a. Transactions types include, but are not limited to:

i. Possessory interest

ii. Condos

iii. Co-ops

iv. Timeshares

v. Government sales

13. The TU Specialist processes the transaction and updates the record based on the transaction details
14. The TU Specialist indicates that the transaction has been completed and is ready for review
    a. The system routes the transaction for review and approval
    b. The process continues at Use Case: Review and Approval

Alternate Flow A: Potential Direct Enrollments

1. The system places all identified potential direct enrollments in a pending direct enrollment work queue for TU Specialist review
2. The TU Specialist logs into the system and selects to review potential direct enrollments
    a. The system displays the identified potential direct enrollments
3. The TU Specialist identifies transactions that are not eligible for direct enrollment and selects to remove these transactions from the pending direct enrollments work queue
    a. The system removes the selected transactions from the pending direct enrollments work queue and reassigns the transactions to the appropriate work queues
        i. The system shall provide authorized users with the ability to remove transactions from the pending direct work queue at any point in processing the transaction
    b. The process continues at Primary Flow: Step 2
4. The TU Specialist confirms that the remaining transactions on the pending direct enrollments work queue are eligible for direct enrollment
    a. The process continues at Primary Flow: Step 3

Alternate Flow B: Timeshares

1. The TU Specialist evaluates whether the timeshare is segregated
    a. If the timeshare is segregated, the TU Specialist documents in the system that the timeshare is segregated
        i. The TU Specialist verifies all timeshare owners
        ii. The TU Specialist indicates in the system to process the timeshare as a normal deed
        iii. The process continues at Primary Flow Step 9
    b. If the timeshare is not segregated, the TU Specialist documents in the system that the timeshare is not segregated
        i. The process continues at Primary Flow Step 1

2.2.2 Use Case: Unrecorded Event

Actor
TU Specialist

Purpose and Objectives
The TU Specialist identifies a potential transaction that is not directly initiated by a recorded document. The TU Specialist creates an unrecorded document transaction in the system for use in tracking and processing the potential event.

Trigger Event(s)
- The TU Specialist becomes aware of a potential transaction not directly initiated by a recorded document

Precondition
- Unrecorded document transactions are able to be created in the system
- TU Specialist work queues have been set up in the system

Post condition
- Unrecorded document transactions are able to be tracked and processed in the system

Associated Use Cases
- Identify and Process Recorded and Unrecorded Documents

Use Case Flow
1. The TU Specialist becomes aware of a potential transaction when processing other transactions or from an external source
   a. External sources may include, but are not limited to:
      i. Mail (physical or email)
      ii. Documents received in person
      iii. Death certificates
      iv. Probate courts
      v. News
      vi. Court orders
2. The TU Specialist researches the potential transaction and identifies if there is an existing transaction
   a. If there is an existing transaction, the TU Specialist associates the new information with the existing transaction
      i. The process continues at Use Case: Identify and Process Recorded and Unrecorded Documents, Step 2
   b. If there is not an existing transaction, The TU Specialist creates an unrecorded document transaction including all known information
      i. The TU Specialist adds any relevant documentation to the unrecorded document transaction

3. The system adds the unrecorded document transaction to the TU work queues
    a. The process continues at Use Case: Identify and Process Recorded and Unrecorded Documents, Step 2

2.2.3 Use Case: LEOPs

Actor
TU

Purpose and Objectives
San Francisco City and County receives reports from the Legal Entity Ownership Program (LEOP) providing information about changes in control and changes in ownership of legal entities that own or lease an interest in a property or properties located within the City. Such changes in ownership or changes in control will require a work item to be assigned for review and eventual reassessment of the real property interests.

Trigger Event(s)
- TU receives a monthly notice from the State Board of Equalization
- TU receives a notification of Legal Entity Transfer from the Recorder
- TU receives an Exclusion from Reassessment notice from the State Board of Equalization

Precondition
- Template for requesting payment of transfer tax from Legal Entity is saved in the system
- Calculations for late filing penalties and other fees are configured in the system

Post condition
- LEOPs are accurately maintained in the system
- LEOPs have been appropriately routed to the Real Property division for assessment
- TTX and CON have been notified of LEOPs bills and associated late filing penalties
- Recorder has been notified of transfer tax amounts due

Associated Use Cases
- Real Property Valuation (multiple)
- TTX: Unsecured Bill Generation
- Identify and Process Recorded and Unrecorded Documents

Use Case Flow

1. TU receives a monthly file from the BOE containing “BOE-100B” forms, including, but not limited to:
    a. A list of changes from the state
    b. Any exclusions
    c. Any entities subject to late filer penalties
    d. Notice of Findings Report(s)
2. TU searches in the system for unrecorded transactions or transfer tax amounts corresponding to the LEOPs listed in the BOE forms
    a. If TU identifies a corresponding unrecorded transaction or transfer tax amount, TU processes the updated BOE information on the previously created unrecorded transaction
    b. If TU does not identify a corresponding unrecorded transaction or transfer tax amount, TU creates an unrecorded transaction in the system
3. TU searches for accounts identified by the BOE as requiring a late filer penalty and flags the accounts
    a. If the LEOP is subject to a late filer penalty, TU evaluates if the Assesse remains the same for billing
        i. If the Assesse remains the same, the process continues
        ii. If the Assesse is different, TU selects for the system to calculate the late filing penalty as an unsecured tax bill
            1. The system notifies TTX and CON of the unsecured tax bill
            2. The process continues at Use Case: TTX: Unsecured Bill Generation
            3. The process also continues
4. TU updates the accounts with the new LEOP information and selects to process the accounts as LEOP changes in ownership
    a. The system identifies all real property held by the legal entity in San Francisco and displays them for TU
    b. TU reviews all real property owned by the legal entity in San Francisco and indicates all properties that are subject to reassessment
    c. The process continues at Use Case: Identify and Process Recorded and Unrecorded Documents, Step 2
5. TU selects to send LEOP notifications to the identified accounts
    a. The system populates information in a saved LEOP letter template for the Legal Entity
        i. The LEOP letter contains information including, but not limited to:
            1. An explanation of taxes (including transfer taxes)
            2. Penalty

        3. Interest
        4. Date of change in ownership
        5. Date filing is due
        6. BOE reported filing date
        7. Timely acknowledgment of any payments made
        8. Payment options
        9. Late filing policy if the system calculates that the filing was submitted late
        10. Contact information for questions
        11. Legal entity's name

    b. The system sends the letters to the Legal Entities
    c. The system routes the LEOP accounts to the Real Property Division for valuation
    d. The system receives notification of completed LEOP valuations from the Real Property Division
    e. The system calculates the LEOP values from the new assessment
        i. Values calculated include, but are not limited to:
            1. Tax
            2. Penalties
            3. Balance due
    f. The system generates a letter notification to the Legal Entity with the amount due
    g. The system notifies TTX of payments, late filing penalties (sent from the Real Property valuation), and any other fees due
    h. The system notifies the Recorder of the transfer tax amount due based on the updated Real Property assessment

Alternate Flow A: Notification of Legal Entity Transfer

1. TU receives notification of a Legal Entity Transfer from the Recorder
    a. TU waits for the monthly "BOE-100B" forms file from the BOE before processing the change in ownership
    b. The process continues at Primary Flow: Step 1

Alternate Flow B: Exclusion from Reassessment Notice

1. TU receives an Exclusion from Reassessment notice from the BOE
2. TU searches for the account in the system, documents the transaction as a LEOP change in ownership, and notates the exclusion from reassessment
3. TU evaluates if the LEOP is subject to a late filer penalty
    a. If the LEOP is subject to a late filer penalty, TU evaluates if the Assesse remains the same for billing

i. If the Assesse remains the same, TU selects for the system to calculate the late filing penalty

1. The process continues at Primary Flow: Step 5f

ii. If the Assesse is different, TU selects for the system to calculate the late filing penalty as an unsecured tax bill

1. The system notifies CON of the unsecured tax bill

a. The process continues at The process continues at Use Case: TTX: Unsecured Bill Generation

2. The process continues at Primary Flow: Step 5f

b. If the LEOP is not subject to a late filer penalty, TU selects to calculate the tax due

i. The process continues at Primary Flow: Step 5e

2.2.4 Use Case: Review and Approval

Actor
TU Manager

Purpose and Objectives
The TU Manager reviews and approves of all transactions processed by TU prior to competition. Any issues identified by the TU Manager are documented in the system and routed back to the original processor for correction.

Trigger Event(s)
- A TU Specialist has completed processing a transaction

Precondition
- The review workflow is set up in the system

Post condition
- Transactions have been reviewed and approved by the TU Manager and are ready for Real Property valuation

Associated Use Cases
- Identify and Process Recorded and Unrecorded Documents
- Real Property Valuation (multiple)
- Real Property Roll Changes

Use Case Flow
1. The TU Manager logs into the system and selects to review completed transactions
    a. The system displays completed transactions for review
        i. The TU manager should have the option of reviewing any or all completed transactions, but may also be required to review high value and/or complicated transactions as decided by the Assessor's Office. These decisions will be preconfigured in the system and these transactions will automatically be routed to the TU Manager for approval prior to acceptance.
2. The TU Manager reviews the completed transactions for issues
    a. If the TU Manager identifies any issues, the TU Manager documents the issues in the system
        i. The System routes the transaction to the TU Specialist who originally processed the transaction to resolve the issues
        ii. The TU Specialist logs into the system and selects to review the returned transaction and the TU Manager notes
        iii. The TU Specialist resolves the issue and adds any relevant notes
        iv. The TU Specialist indicates that the transaction has been completed and is ready for review
            1. The system routes the transaction for review and approval

a. The process continues at Step 1

3. The TU Manager indicates that the transactions have been approved
4. The system routes the approved transactions based on predetermined business rules
   a. The system routes any associated new assessable events to Real Property Valuation
      i. The process continues at Use Case: Real Property Valuation (multiple)
   b. The system routes any roll changes
      i. The process continues at Use Case: Real Property Roll Changes

2.2.5 Use Case: Reverse Previously Assessable Event

Actor
TU Specialist

Purpose and Objectives
An event may be discovered to be non-assessable after it has been processed. The TU Specialist may reverse the processing with appropriate documentation and TU Manager approval.

Trigger Event(s)
- A previously assessable transaction is found to be non-assessable

Precondition
- Un-enrollment reason codes are set up in the system
- The review workflow is set up in the system

Post condition
- A previously assessable transaction has been reversed from the roll and/or canceled

Associated Use Cases
- Review and Approval

Use Case Flow
1. The system notifies the TU Specialist that a previously assessable event is non-assessable
    a. This discovery may be the result of other data updates in the system including, but not limited to:
        i. Exclusion processing
        ii. Appeals
        iii. Prop 58
        iv. Financing
        v. Prop 193
        vi. Interspousal
        vii. Interdomestic partnership
        viii. Proportional interest exclusion
        ix. Joint tenancy exclusion
        x. Co-tenancy exclusion
        xi. Fraud
    b. The TU Specialist may also independently become aware of a previously assessable event that is non-assessable during the course of research or processing other transactions or from other notifications

2. The TU Specialist selects the identified transaction and indicates the previously assessable event to be reversed
    a. The system prompts the TU Specialist to provide a reason for the reversal
3. The TU Specialist selects a reversal reason from a preconfigured list of reason codes
    a. The system prompts the TU Specialist to provide any additional supporting documentation
4. The TU Specialist attaches any relevant documentation and adds notes to the transaction
5. The system evaluates if the previously assessable transaction has already been enrolled and sent to the Controller's office for taxes to be extended
    a. If the transaction has not been enrolled, the system reverses the transaction from existing records pending approval
    b. If the transaction has been enrolled and sent to the Controller's Office, the system creates a roll correction work item pending approval
6. The system routes the transaction to the TU Manager for review and approval
    a. The process continues at Use Case: Review and Approval

2.2.6 Use Case: Processing of Proposition 58 Form

Actor
Transactions Unit (TU) Staff (primary)
Taxpayer

Purpose and Objectives
Proposition 58 exclusion claims are received and processed by the Transactions Unit. These exclude a property from re-assessment when it is transferred from parent to child.

Trigger Event(s)

- A taxpayer submits a Prop. 58 form
- TU staff notice that a property may be eligible for a Prop. 58 exclusion

Precondition(s)

- The Recorder’s system is interfaced with the system
- TU staff have access to the system

Post condition(s)

- Prop. 58 exclusion has been processed on all appropriate properties

Associated Use Cases

- Quarterly Report on Prop 58 to BOE
- Real Property Valuation

Use Case Flow

1. The System receives the recorded document and PCOR file data from the Recorder’s System, including indexed information
    a. The System flags any documents that could potential be eligible for Prop. 58 exclusions based on preconfigured business rules
2. The System creates a work item for TU staff to review the recorded document
3. TU staff opens the work item and reviews the document(s) and indicates if the transaction is eligible for a Prop. 58 exclusion
    a. TU staff checks if supporting documentation (P58 form, Asset Allocation, Trusts, etc.) has been submitted (either with the recorded document transferring title, or independently mailed in).
        i. If no documentation has been submitted, or if insufficient, TU contacts taxpayer and requests
            1. The process continues at Step 4
        ii. If documentation has been submitted, the process continues at Step 8

…

4. The Taxpayer logs into the Web portal and selects to submit a Prop. 58 form

   a. Alternatively, the Taxpayer can complete a paper form and submit it in person or via mail to the Assessor's office

5. The System displays the form and prompts the Taxpayer to complete the necessary fields, including, but not limited to:
   a. Associated property(ies) information
   b. Whether or not the property is the Taxpayer's principle residence
   c. Social Security Number of transferor
   d. Properties in trust
   e. Distribution of exclusion by property (for properties that are not principle residences)
   f. …
6. The Taxpayer completes and submits the form with any other required documentation (e.g., asset allocation or trust documents)
   a. If the Taxpayer submits a paper form, the TU staff will scan the form, review the claim, and input information (if claim is granted)
7. The System attempts to match the claim to the appropriate transaction(s) and parcel(s) and creates a work item for TU staff review

…

8. TU Staff reviews the transaction(s) and parcel(s) associated with a Prop. 58 exclusion form and ensures that all appropriate transactions and parcels have been associated with the form
9. TU Staff review the form to ensure eligibility
   a. If the TU staff determine that the taxpayer is ineligible for the exclusion, TU Staff calls the taxpayer to inform them and sends a denial letter
      i. The process ends (proceed to regular TU processing for CIO)
10. TU staff approve the claim in the System
11. The System processes the exclusion according to preconfigured business rules
   a. If the transaction has already been processed, the System indicates that the exclusion will result in a roll correction
   b. If the exclusion is on property that is not the taxpayer's principle residence, the system determines if the full exclusion applies
      i. If total Prop. 58 exclusion amount for the taxpayer exceeds a preconfigured threshold (currently $1M for a single taxpayer and $2M for married taxpayers) the System indicates the percent of the property that can be excluded and routes the property to Real Property for valuation. Note: the System can only perform this check on known information (e.g. within the City of San Francisco)
         1. The process continues at Use Case: Real Property Valuation

ii. If the total Prop. 58 exclusion amount for the taxpayer does not exceed a preconfigured threshold then the System applies the exclusion to the full property value

    1. The process continues at Use Case: Quarterly Report on Prop 58 to BOE

2.2.7 Use Case: Quarterly Report on Prop 58 to BoE

Actor
Analyst (primary)
Transactions Unit Staff
State BoE

Purpose and Objectives
Taxpayers cannot have Prop. 58 exclusions on non-principle residence properties that sum to over a predetermined threshold (currently $1M for a single taxpayer and $2M for married taxpayers). The State BoE receives reports on Prop. 58 exclusions filed in every County and ensures that each taxpayers total exclusion does not exceed their threshold and indicates to each County that action is needed when this is the case.

Trigger Event(s)
- Quarterly per predetermined schedule

Precondition
- Proposition 58 exclusions for the City are in the system

Post condition
- All Prop. 58 exclusions exceeding the threshold have been resolved

Associated Use Cases
- Processing of Proposition 58 Form
- Real Property Valuation

Use Case Flow

1. On a preconfigured date, the system generates a report of all approved Prop. 58 exclusions in the City and creates a work item for an Analyst to review
2. The Analyst selects the work item and reviews for accuracy and completeness
3. The Analyst selects to send the report to the State BoE
4. The System initiates sending the report to the State BoE per predetermined submission rules

…

5. The State BoE receives the report and combines it with the reports received from all the other Counties to determine taxpayers who have exceeded the threshold
6. The State BoE sends a PDF of the combined reports with notes to each County

…

7. The Analyst receives the State BoE report, scans it into the System
8. The Analyst adds notes indicating issues and actions. Notes may include, but are not limited to:

   a. Duplicate submissions
   b. Submission errors
   c. Exclusions that are already corrected
   d. When an adjustment needs to be made by a different County
   e. When an adjustment needs to be made by the City
   f. …

9. The System creates a work item for each exclusion that needs to be reviewed and places it in the work queue of the most recent TU staff reviewer
10. The TU staff selects to view the work item
11. The System displays the exclusion, recommendation for the Analyst and image of the State BoE report
12. The TU staff determines the appropriate action
    a. If multiple transfers occurred on the same day, the TU staff contacts the taxpayer (usually by phone) and requests an allocation of the exclusion by property
       i. The TU staff indicates the allocation of exclusions for the properties that were transferred during that event
13. The System recalculations the exclusion for the associated property(ies) and routes the necessary properties to Real Property for valuation
    a. The process continues at Use Case: Real Property Valuation
14. The System notifies the Analyst of the change
15. The Analyst notifies the State BoE that the appropriate change has been made

3.0 Exemptions

3.1 Background

3.1.1 Introduction

All Property Tax Exemptions reduce the taxable assessed value of a given property by a specific amount or percentage. Some exemptions apply to certain property types or categories (e.g. institutional, 4% commercial fishing, etc.). Others apply to the property owner (e.g. homeowner, disabled veteran, etc.). Depending on the exemption type, either a fixed value will be exempt, or an entire property may be exempt from taxation. Some exemptions require annual renewal and others last until the exempt property changes ownership or use. Exemptions can be requested by individuals or institutions, but do not apply until Exemptions Staff have confirmed that an application meets all required criteria for that specific exemption type. Under California property tax law, the City is responsible for issuing, tracking, and managing all property tax exemptions.

Exemption records are created or modified when a property owner files a claim form or when a property is identified for review by a registered change (e.g., change of ownership, parcel division). Exemption claims are then reviewed and processed by Exemptions Staff for qualification. Late filing penalties may also be applied to exemption applications exempt properties.

3.1.2 Overview of Use Cases, Actors, and Triggers for Exemptions Functions

Table 3. Overview of Use Cases, Actors, and Triggers for Exemptions Functions

Use Case Name	Actor	Trigger	Description
Homeowners Exemption Filing	Exemptions Staff	Taxpayer submits a Homeowners Exemption claim	Processing of Homeowners Exemption claims
Multiple Claims	Exemptions Staff (primary) Assessor Staff	Annual BOE schedule	Reviewing and resolving of Tax Payers with multiple Homeowners and/or Disabled Veteran exemption claims in California
Disabled Veteran	Exemptions Staff	Taxpayer requests a Disabled Veteran Exemption	Processing of Disabled Veteran Exemption claims
Vessel Exemptions	Exemptions Staff	Triggered as scheduled in the system	Processing of Vessel Exemption claims
Institutional Exemptions	Exemptions Staff	Triggered as scheduled in the system Receive a first filing	Processing of Institutional Exemption claims

3.2 Use Cases

3.2.1 Use Case: Homeowners Exemption Filing

Actor
Exemptions Staff

Purpose and Objectives
Property owners may apply for Homeowners' Exemptions by paper or through a web portal. Exemptions Staff are responsible for reviewing all exemption applications for completion, sufficient information, and qualification. Late applications will be charged a late penalty. Homeowners' Exemptions may also be deactivated or reinstated based on ownership events.

Trigger Event(s)
- Taxpayer submits a Homeowners Exemption claim

Precondition(s)
- Homeowners Exemption claim is set up for web portal submission

Post condition(s)
- Homeowners Exemption claims have been processed
- Homeowners Exemptions have been applied or denied

Associated Use Cases
- Multiple Claims
- Change in Ownership

Use Case Flow

1. The system/web portal prompts the Taxpayer to complete all required fields in the Homeowners Exemption claim form
    a. Required data fields include, but are not limited to:
        i. SSN
        ii. Name
        iii. Owner ID
        iv. Indication of Co-ownership
        v. Co-owner(s) Name
        vi. Co-owner(s) SSN
        vii. Date application was received
        viii. Date property was occupied
        ix. Other property addresses
        x. Acquire date
        xi. Supplemental notice receipt date
        xii. APN
        xiii. Situs
        xiv. Mailing address

        xv. Marital status

2. The system conducts an initial screening of the completed claim form
    a. The system screening may include, but is not limited to:
        i. Identifying any duplicate Homeowners Exemption claims
        ii. Reviewing mailing versus situs address
        iii. Reviewing for multiple claims
        iv. Conducting an SSN review
        v. Property Type
3. The system routes the Homeowners Exemption claims with associated information to Exemptions Staff for review
    a. Associated information may include, but is not limited to:
        i. Any issues identified in the system's initial screening
4. Exemptions Staff reviews the Homeowners Exemption claims for issues
    a. Issues may include, but are not limited to:
        i. Any issues identified in the system's initial screening
    b. If Exemptions Staff identifies issues, Exemptions Staff conducts activities that may include, but are not limited to:
        i. Contacting the applicant
        ii. Adding notations to the claim
        iii. Sending notifications for additional information
5. Exemptions Staff makes a determination about whether the Taxpayer qualifies for the Homeowner's Exemption
    a. If the Exemptions Staff determines that the Taxpayer does not qualify for the Homeowners Exemption, Exemptions Staff rejects the Homeowners Exemption claim and updates the status in the system
        i. The system saves the determination
        ii. The system notifies the Taxpayer of the denial and reason for denial
        iii. The process ends
    b. If the Exemptions Staff determines that the Taxpayer qualifies for the Homeowners Exemption, the process continues
6. Exemptions Staff approves the Homeowners Exemption claim
    a. The system calculates the exemption amount including any penalties and displays the exemption amount for review
        i. Calculation of exemption amount is done based on a number of conditions, including, but not limited to:
            1. Filing date relative to deadline

a. Deadline may either be set for a pre-configured day of the year or a preconfigured number of days after notice date

2. Conditions at time of filing

7. Exemptions Staff reviews and edits the exemption amount if necessary
8. Exemptions Staff approve the Homeowners Exemption claim amount
    a. The system applies the exemption
    b. The system generates and sends a notice to the Taxpayer that the exemption has been approved

Alternate Flow A: Hard Copy Homeowners Exemption Claim

1. Exemptions Staff receive a hard copy Homeowners Exemption claim and scan the claim into the system
2. Exemptions Staff review the submitted claim for completeness
3. Exemptions Staff determine if all required information is provide
    a. If Exemptions Staff determine that all required information has not been provided, Exemptions Staff contact the Taxpayer to obtain additional information required and update the claim based on information provided by the Taxpayer
4. Exemptions Staff enter all required data into the system (See Primary Flow: Step 1a for required data)
5. The process continues at Primary Flow Step 2

3.2.2 Use Case: Multiple Claims

Actor
Exemptions Staff (primary)
Assessor Staff

Purpose and Objectives
While Tax Payers may apply for homeowners or Disabled Veterans' Exemptions in multiple counties, they are only eligible for one exemption in California. This process mirrors a similar process in other Counties to identify multiple claims for exemptions. The County System sends a list of all homeowners and Disabled Veterans' Exemptions to the BOE. The BOE combines the information with similar information from other Counties and identifies duplicates across the State. The BOE returns this information to the City for follow-up with the Tax Payer. This process happens three times each year, in addition to a final read out.

Trigger Event(s)
- Annual BOE schedule

Precondition(s)
- Multiple claims notification letter template is saved in the system
- Information on Taxpayers with multiple claims has been exchanged with the BOE

Post condition(s)
- Taxpayers with multiple claims have been resolved

Associated Use Cases
- Homeowners Exemption Filing
- Disabled Veteran

Use Case Flow

1. The system monitors for multiple claims review deadlines as scheduled in the system
    a. Multiples claims review deadlines are currently scheduled 3 times annually
2. On the appropriate pre-configured dates, the system generates and routes the list of all Homeowners and Disabled Veteran Exemptions in the City to Exemptions Staff
3. The Exemption Staff selects to review the preliminary Multiple Claims List report and flags multiple claims within the City and blank/missing SSNs for correction.
4. The Exemptions Staff indicates the for system to send the updated Multiple Claims List report to BOE
5. The System sends the updated Multiple Claims List report to the BOE

…

6. Assessor Staff receive a CD of duplicate exemptions from the BOE and upload the information into the system
    a. Information from the BOE includes, but is not limited to:
        i. SSN

   ii. Case number
   iii. Duplicate County information (including APN)

7. The system generates and sends barcoded multiple claims notification letters to Taxpayers identified by the BOE
   a. Multiple claims notification letter data includes, but is not limited to:
      i. Truncated SSN
      ii. Case Number
      iii. Duplicate County information with APN
      iv. Taxpayer identification information
      v. All Homeowners and Disabled Veterans claims associated with the Tax Payer
      vi. Instructions to respond via the online portal

…

8. The system tracks Taxpayer responses
   a. If the Taxpayer responds via the web portal, the system prompts the Taxpayer to indicate which county with parcel number to apply the Homeowner Exemption.
      i. If the property is held in co-ownership, the system shall also prompt the taxpayer to respond if there are any changes to the co-ownership. Changes include, but are not limited to:
         1. Divorce
         2. Deceased
         3. Termination of Co-ownership
         4. Error
      ii. If the taxpayer indicates that co-ownership has changed, the system shall prompt the taxpayer to attach required documentation. Required documentation may include, but not be limited to:
         1. Death Certificate
         2. Divorce Degree
         3. Marital Settlement Agreement
         4. Contract of Sale
      iii. The system routes the Taxpayer response to Exemption Staff for review
      iv. The process continues
   b. If the Taxpayer responds by returning the hard copy barcoded letter, Assessor Staff scans the letter into the system
      i. The system notifies Exemption Staff of the Taxpayer response

        ii. The process continues

    c. If the Taxpayer responds by calling Exemption Staff, Exemption Staff document the Taxpayer information in the system

        i. The system saves the information and prompts Exemption Staff to complete reviewing the exemption information

        ii. The process continues

9. Exemption Staff review the exemption information

    a. If additional information is needed, Exemptions Staff contact the Taxpayer for additional information and update the system with any information provided

        i. If the Taxpayer does not respond, Exemptions Staff remove the Taxpayer’s exemptions

            1. The process continues

    b. If no additional information is needed, Exemptions Staff update the exemptions as indicated by the Taxpayer

        i. The process continues

10. The system applies exemptions as indicated by Exemptions Staff

    a. The system notifies other Counties of changes to multiple claims

3.2.3 Use Case: Disabled Veteran

Actor
Exemptions Staff

Purpose and Objectives
Property owners may apply for a disabled veteran exemption either on in person or through a web portal. An exemption reviewer will ensure that that the property owner qualifies for a Disabled Veterans' Exemption. If the veteran qualifies, the System will calculate the benefit that they are eligible for. The spouse of a Disabled Veteran may also request a Disabled Veterans' exemption.

Trigger Event(s)
- Taxpayer requests a Disabled Veteran Exemption

Precondition(s)
- Disabled Veteran Exemption claim is set up for web portal submission
- Disabled Veteran Exemption Claim amount calculation has been configured in the system
- Annual Disabled Veteran Exemption Claim letter has been scheduled in the system

Post condition(s)
- Disabled Veteran Exemption claims have been processed
- Disabled Veteran Exemptions have been applied or denied

Associated Use Cases
- Multiple Claims

Use Case Flow

1. The system/web portal prompts the Taxpayer to complete all required fields in the Disabled Veteran Exemption claim form
    a. Required data fields include, but are not limited to:
        i. SSN
        ii. Claimant's name
        iii. APN
        iv. Mailing information
        v. Property acquisition date
        vi. Entitlement date
        vii. Annual income
2. The system prompts the Taxpayer to submit required supporting documents
    a. The Taxpayer scans and uploads required supporting documents which may include, but are not limited to:
        i. DD214
        ii. Entitlement letter

        iii. Income report form (higher exemption value only)

3. The system routes the Disabled Veteran Exemption claim to Exemptions Staff for review
4. Exemptions Staff log into the system and select to review Disabled Veteran Exemption claims and supporting materials
    a. The system displays the Disabled Veteran Exemption claim and supporting documentation
    b. If Exemptions Staff identify any issues with the claim, Exemptions Staff contact the applicant to resolve the issue
        i. Exemptions Staff update the claim with any provided information
        ii. The process continues
5. Exemptions Staff determine if the Taxpayer meets the Disabled Veterans Exemption criteria
    a. If Exemptions Staff determine that the Taxpayer does not meet the Disabled Veterans Exemption criteria, Exemptions Staff rejects the claim and documents the determination in the system
        i. The system notifies the Taxpayer about the ineligibility and closes the exemption claim
        ii. The process ends
    b. If Exemptions Staff determine that the Taxpayer meets the Disabled Veterans Exemption criteria, Exemptions Staff select to calculate the Disabled Veterans Exemption amount
        i. The process continues
6. The system calculates the Disabled Veterans Claim
    a. The system removes any Homeowners Exemptions for applicable years
    b. The system calculates the number of benefit-eligible days based on filing date and qualification date
    c. The system applies any applicable late filing penalty
    d. The system determines the allowable exemption level (high or low) based on income
    e. The system applies the allowable exemption value (high or low)
    f. The system recalculates the taxable value with the Disabled Veterans Exemption
    g. The system displays the exemption and taxable value for Exemptions Staff review
7. Exemptions Staff review, notate, adjust (if necessary), and accept the taxable value
8. Exemptions Staff indicate to apply the Disabled Veteran Exemption
    a. The system applies the Disabled Veteran Exemption

…

9. The system generates and sends an annual Disabled Veteran Exemption Claim letter to claimants as scheduled in the system

Alternate Flow A: In Person Disabled Veteran Exemption Claim

1. Exemptions Staff receive an in-person request for a Disabled Veteran Exemption
2. Exemptions Staff log into the system and assist with the entry of Disabled Veteran Exemption claim information and supporting documentation into the web portal
    a. The process continues at Primary Flow Step 2

3.2.4 Use Case: Vessel Exemptions

Actor
Assessor Vessel Staff (Primary)
Assessor Staff

Purpose and Objectives
Some vessel service types are eligible for partial or full exemptions. Notices to file for exemptions are sent to known vessels on a pre-configured annual schedule for each vessel service type. Exemptions Staff review returned claims and apply exemptions as appropriate. Vessels are then valued by unsecured property.

Trigger Event(s)
- Triggered as scheduled in the system
- Receive a returned vessel statement with an associated vessel exemption claim

Precondition(s)
- Vessel affidavit, statement, and notification templates are saved in the system
- Vessel exemption amount calculations are configured in the system

Post condition(s)
- Vessel affidavits have been sent to vessel owners
- Vessel exemption claims have been processed and applied or denied

Associated Use Cases
- Vessel Discovery
- Business Personal Property

Use Case Flow

1. The system monitors for annual 576-E affidavit to 4% Commercial Fishing Vessels date as pre-configured in the system
2. The system prompts Exemptions Staff to send 576-E affidavit to 4% Commercial Fishing Vessels
3. Exemptions Staff log into the system and confirm to send 576-E affidavits
4. The system identifies if there is an email address on file
    a. If there is an email address on file, the system generates and emails the 576-E affidavits including directions to submit the claim through the web portal and any additional notes
        i. The system identifies any returned emails, and marks the email addresses as undeliverable
        ii. The process continues at Step 4b
    b. If there is no email address on file (or if the email address on record has been marked as undeliverable), the system generates and sends barcoded 576-E affidavits including directions to submit the claim through the web portal and any additional notes

…

5. The system/web portal saves 576-E affidavits scanned and/or entered into the system by vessel owners and associates the affidavits with the appropriate accounts
    a. If the vessel owner returned a hard copy affidavit, the process continues at Alternate Flow B: Hard Copy Vessel Affidavit

…

6. The system monitors for receipt of 576-E affidavits by pre-configured due dates
    a. If the system has not received a 576-E affidavit for 4% Commercial Fishing Vessels by the pre-configured due date, the system denies the exemption
        i. The process ends
7. The system conducts a pre qualification check to see if the vessel qualifies for a 4% Commercial Fishing Vessel Exemption
    a. If the system identifies that the vessel does not qualify, the system denies the exemption
        i. The system notifies the Tax Payer via email
        ii. The process ends
    b. If the system identifies that the vessel qualifies, the process continues
8. The system evaluates if the vessel number is new
    a. If the system identifies that the vessel number is new, the system routes the account to Exemptions Staff
        i. Exemptions Staff saves the information in the system
        ii. The process continues
    b. If the system identifies that the vessel number is not new, the process continues
9. The system calculates the exemption amount
10. The system routes the exemptions to Exemptions Staff for review
11. Exemptions Staff review, notate, adjust, and accept the exemption amount calculation
12. Exemption Staff approve and apply the exemptions in the system
13. The system applies the exemption to the account
14. The system notifies the Claimant of official exemption approval

Alternate Flow A: 50 Tons, Homeowners, Disabled Veterans, or Welfare Vessel Exemptions

1. The system monitors for receipt of 576-D vessel property statements sent by BPP
    a. If the system has not received a 576-D Vessel Property Statement by the preconfigured date, the system denies the exemption and applies R&T Code 463 penalty to the tax bill
        i. The process ends
2. The system records any 50 Tons, Homeowners, Disabled Veterans, or Welfare Vessel exemptions from returned 576-D vessel property statements
3. The system applies a 100% exemption to the 50 Tons, Homeowners, Disabled Veterans, or Welfare Vessel exemption accounts when the 576-D is received on time
4. The process continues at Primary Flow Step 10

Alternate Flow B: Hard Copy Vessel Affidavit

1. Exemption Staff scan barcoded vessel affidavits into the system as they are returned
2. The system saves and associates vessel affidavits with the appropriate accounts
3. Exemption Staff enter required information into the system from the vessel affidavits as necessary
    a. Required information includes, but is not limited to:
4. The system conducts a statement submission completeness screening
5. If the system identifies that the statement is incomplete, the system makes note of the missing elements for taxpayer notification
    a. The process continues at Primary Flow Step 4

3.2.5 Use Case: Institutional Exemptions

Actor
Exemptions Staff

Purpose and Objectives
Organizations can apply for a variety of institutional exemptions based on their organizational type and property use. Applications can be submitted either on paper or through the web portal. Exemptions Staff will review Institutional Exemption Claim Forms to ensure they meet qualifications.

Trigger Event(s)
- Triggered as scheduled in the system
- Receive an institutional exemption claim form

Precondition(s)
- Institutional Exemption claim is set up for web portal submission
- Annual Institutional Exemption Claim letter has been scheduled in the system
- Institutional statement and notification templates are saved in the system
- Institutional exemption amount calculations are configured in the system

Post condition(s)
- Exemption Claim Form has been sent to institutions
- Institutional Exemption claims have been processed
- Institutional claims have been applied or denied

Associated Use Cases
- NA

Use Case Flow

1. The system monitors for annual Institutional Exemptions Claim dates as pre-configured in the system
    a. Annual institutional statement dates are currently sent in January and due February 15
2. The system prompts Exemptions Staff to review and send annual Exemption Claim Form
3. Exemptions Staff log into the system, reviews the forms, and makes edits to the templates as necessary
4. Exemptions Staff confirm to send annual Institutional Exemption Claim Form
5. The system identifies if there is an email address on file for the organization
    a. If there is an email address on file, the system generates and emails the annual institutional exemption statement including directions to submit the claim through the web portal and any additional notes

        i. The system identifies any returned emails, and marks the email addresses as undeliverable
        ii. The process continues at Step 5b
    b. If there is no email address on file (or if the email address on record has been marked as undeliverable), the system generates and sends barcoded annual Exemption Claim Form including directions to submit the claim through the web portal and any additional notes

…

6. The system/web portal saves Institutional Exemption Claim scanned and/or entered into the system by institutions and associates the statements with the appropriate accounts
    a. The system prompts the institution to submit information and any required supporting documents based on the selected exemption type
        i. The institution scans and uploads required supporting documents which may include, but are not limited to:
            1. Organizational clearance certificate (OCC)
            2. Supplemental Exemption Claim, as applicable (i.e. BOE 267 O, etc.)
            3. Financial statement
            4. Construction invoices
            5. SCC for limited partnerships
            6. Lease agreements
            7. Occupant information
            8. Tenants list

…

7. The system monitors for receipt of Exemption Claim Form by preconfigured due dates
8. The system processes institutional accounts that have not submitted an institutional statement by the preconfigured due dates
    a. If the institution has not responded by the preconfigured reminder due date, the system sends a reminder
        i. The process continues at Step 5
    b. If the institution has not responded by the preconfigured final due date, the system adds the account to the summary of all remaining non-respondents and routes the report to Exemption Staff for review
        i. Exemption Staff conduct field inspections, further review, and/or actions as necessary

        ii. The process continues at Step 11

9. The system routes the exemptions to Exemption Staff for review
10. Exemption Staff log into the system and review the Institutional Exemption claims
11. Exemption Staff identify if additional information is needed from the Claimant
    a. If additional information is needed from the Claimant, Exemptions Staff document the missing information in the system
        i. The process continues at Step 5
12. Exemption Staff document and review findings in the system
    a. Findings may include, but are not limited to:
        i. Any identified missing information
        ii. Discovery details
        iii. Information affecting eligibility
        iv. Partial exemption if applicable
        v. Any attachments
        vi. Percentage exempt
            1. Alternatively, the Exemption Staff should be able to input the exemptions square footage and the System can calculate the percentage exempt utilizing total square footage

13. Exemption Staff determine if the institution meets the Institutional Exemption eligibility criteria
    a. If Exemption Staff determine that the institution is not eligible, Exemption Staff deny the exemption in the system
        i. The system saves the determination and notifies the Claimant of official exemption denial
        ii. The process ends
14. Exemption Staff determine if the account has pending actions that prevent an exemption from being applied
    a. If Exemption Staff determine that the account has pending actions that prevent an exemption from being applied, Exemption Staff research the action and notify the appropriate department of the pending action
        i. Pending actions that prevent an exemption from being applied may include, but is not limited to:
            1. Unprocessed change in ownership
        ii. Exemption Staff resume processing the exemption when the pending actions have been resolved
15. Exemption Staff determine if further review or action is needed

   a. If the further review or action is needed, Exemption Staff conduct field inspections, further review, and/or actions
      i. The process continues at Step 11
   b. Further actions include, but are not limited to:
      i. Unprocessed change in ownership
      ii. Incorrect change of ownership
      iii. Site visit
      iv. Appeals
      v. Dispute with a claimant
      vi. Reviewing issue finding sheet
      vii. BOE form - met / not met / incomplete
      viii. Missing requirements
16. Exemption Staff approve and apply the exemptions in the system
17. The system applies the exemption to the account
18. The system applies any applicable late filing penalty
19. The system notifies the Claimant of official exemption approval
20. The system routes the exemption claim to the Controller's Office if a proration is necessary

Alternate Flow A: Hard Copy Institutional Statement

1. Exemption Staff scan barcoded Exemption Claim Form into the system as they are returned
2. The system saves and associates Exemption Claim Form with the appropriate accounts
3. Exemption Staff enter required information into the system from the Exemption Claim Form as necessary
   a. Required information includes, but is not limited to:
4. The system conducts a statement submission completeness screening
5. If the system identifies that the statement is incomplete, the system makes note of the missing elements for taxpayer notification
   a. The process continues at Primary Flow Step 5

Alternate Flow B: Web Portal Institutional Exemption First Filing

1. The system/web portal saves first filing institutional Exemption Claim Forms scanned and/or entered into the system by institutions
2. The system/web portal ensures that all required fields are completed prior to accepting the application
   a. Required information includes, but is not limited to:
3. Exemption Staff conduct field inspections, further review, and/or actions
4. The process continues at Primary Flow Step 11

Alternate Flow C: Hard Copy Institutional Exemption First Filing

1. Exemption Staff scan first filing institutional Exemption Claim Forms into the system as they are received
2. The system saves and associates institutional Exemption Claim Forms with the appropriate taxpayer accounts
3. Exemption Staff enter required information into the system from the institutional Exemption Claim Forms as necessary
4. The system conducts a statement submission completeness screening
    a. If the system identifies that the statement is incomplete, the system makes note of the missing elements for taxpayer notification
        i. The system generates and sends a notice to the Taxpayer identifying missing elements
            1. If the Taxpayer does not return the information, the application is rejected and the process ends
            2. If the Taxpayer completes the information, the process continues at Step 3
5. Exemption Staff conduct field inspections, further review, and/or actions
    a. The process continues at Primary Flow Step 11

4.0 Real Property Valuation

4.1 Background

4.1.1 Introduction

A major responsibility of the Assessor's Office is to conduct valuations of the County's real property. Real property consists of physical properties and the use of physical properties for taxable activities.

4.1.1.1 Construction

Construction can be identified through official building permits as well as through a variety of other means (i.e. physical discovery, media reports, etc.). Construction can result in the increase or decrease of property value, or result in no change. Increased value is typically due to increasing the value of an existing improvement or to the construction of a new improvement. Decreased value is typically due to a partial or complete demolition of an existing improvement. No change in value is typically due to minimal construction activities or potentially due to construction following a calamity event. Construction applies to both residential and commercial properties.

4.1.1.2 Sales

Real property sales activities, unless subject to an exclusion, trigger a reassessment in whole or in part of either the land, improvements or both. Both the land and improvements must be valued on real property. Valuations are determined by trained appraisers based on their professional judgment and research including: the market sale value, the value of comparables, and property characteristics.

4.1.1.3 Possessory Interest

Possessory Interest (PI) is a tax on the private usage of real property owned by a non-taxable entity such as the government. While the property itself is not taxable, the private usage of the property by certain entities and/or for certain activities is taxable. Calculating possessory interest requires identifying the property users, quantifying their private usage of the property, and applying applicable taxation rates.

4.1.1.4 Overview of Use Cases, Actors, and Triggers for Real Property Valuation Functions

Table 4. Overview of Use Cases, Actors, and Triggers for Real Property Valuation Functions

Use Case Name	Actor	Trigger	Description
Prepare Real Property for Valuation	Real Property Appraiser	System receives notice of real property requiring valuation by an Appraiser	Screening of real property for TU issues and requesting additional Taxpayer information in preparation for valuation
Value Real Property	Real Property Appraiser	A Real Property Appraiser selects to value real property	Valuation of real property through market, income, or cost methods

Use Case Name	Actor	Trigger	Description
Lien Date Construction Review	Real Property Appraiser	The system receives construction information from the DBI system Real Property Appraiser discovers non-permitted construction	Valuation of new or in-progress construction
Completed New Construction	Real Property Appraiser	The system receives completed construction information from the DBI system Real Property Appraiser discovers non-permitted completed construction	Valuation of completed new construction
Prop 60/110	Real Property Appraiser	The system receives a 60/110 application via the web portal	Review of 60/110 applications and valuation of approved properties
Possessory Interest	Real Property Appraiser	Landlords, etc. submit possessory interest information via the web portal or hard copy RP Appraiser selects to send annual possessory interest inquiry notice	Valuation of possessory interests
Urban Agriculture Application	Real Property Appraiser	The RP Appraiser receives an Urban Agriculture application through the planning department	Review of Urban Agriculture applications and valuation of approved properties
Mills Act Application	Real Property Appraiser	The RP Appraiser receives a Mills Act application through the planning department	Review of Mills Act applications and valuation of approved properties
Real Property Calamities	Real Property Appraiser	The RP Appraiser discovers a potential calamity	Review of properties potentially affected by Calamities and valuation of approved properties
Calamity Lien Date Review and Calamity Restoration	Real Property Appraiser	Triggered by Lien date	Lien date review of Calamity restorations and valuation of affected properties
Prop 8 / Decline in Value	Real Property Appraiser	The Taxpayer requests a formal Prop 8 review with the AAB The Taxpayer requests an informal Prop 8 review through the web portal The system identifies a property with a prior year Prop 8 reduction	Review of potential Prop 8 reductions in value and valuation of approved properties

Use Case Name	Actor	Trigger	Description
		The system identifies a property with a prior year reduction	
Review and Approve Real Property Valuation	Real Property Principal	A Real Property valuation has been completed by a Real Property Appraiser	Review and approval of all real property valuations prior to enrollment

4.2 Use Cases

4.2.1 Use Case: Prepare Real Property for Valuation

Actor
Real Property Appraiser (Primary)
Office Assistant

Purpose and Objectives
Real Property Appraisers are responsible for evaluating, processing, and valuing all real property in the City. Properties that require valuation are typically identified by the Transactions Unit (TU) when processing changes in ownership. Real Properties include: residential (four units or less), commercial (five units or more), condos, etc. The first step for valuing property is conducting a screening for TU issues and requesting any additional information necessary.

Trigger Event(s)
- The system receives notice of real property requiring valuation by an Appraiser

Precondition(s)
- Taxpayer request for additional information letter template(s) are saved in the system
- Work item prioritization and sorting criteria is pre-configured in the system

Post condition(s)
- Real properties have been prepared for valuation

Associated Use Cases
- Identify and Process Recorded and Unrecorded Documents
- Value Real Property

Use Case Flow
1. The system receives notice of real property requiring valuation
    a. Real property types include, but are not limited to:
        i. Residential (four units or less)
        ii. Commercial (five units or more)
        iii. Condos
        iv. Timeshares
        v. Tenants-in-common (TIC)
        vi. Co-ops
        vii. Land sales
        viii. TDRs
        ix. Long-term leases
        x. Parking spaces
        xi. Air space
2. The system identifies any commercial properties for valuation

   a. If the system identifies commercial properties for valuation, the process continues at Alternate Flow A: Commercial Property Requests for Information
   b. The process continues for other property types
3. The system assigns work items to lists and/or individual work queues based on pre-configured transaction and/or parcel characteristics
   a. Criteria used for work distribution will be based on data including, but not limited to:
      i. Property type (class code)
      ii. Geography (block/lot)
      iii. Dollar value (existing assessment or new sale price/permit cost estimate)
4. The Real Property Appraiser checks all associated outstanding items and parcel information including, but not limited to:
   a. DBI permits
   b. Prop 8
   c. Appeals
   d. Parcel history
      i. Parent APN information
   e. Pending deeds
   f. Planning applications
5. The Real Property Appraiser ensures property characteristics are correct
6. The Real Property Appraiser reviews the property for any TU issues
   a. If the Real Property Appraiser identifies TU issues, the Real Property Appraiser documents the issues in the system
      i. The Real Property Appraiser indicates for the system to return the work item to TU
      ii. The system routes the work item back to the TU Specialist's work queue
      iii. The process continues at Use Case: Identify and Process Recorded and Unrecorded Documents
   b. If the Real Property Appraiser does not identify TU issues, the process continues
7. The Real Property Appraiser evaluates if more information is needed from the Taxpayer
   a. If more information is not needed, the process continues at Use Case: Value Real Property
8. The Real Property Appraiser indicates the information needed from the Taxpayer
   a. The Real Property Appraiser selects to send a letter to the taxpayer requesting additional information
   b. The system populates a pre-configured template with the information needed from the Taxpayer
   c. The system sends the barcoded request to the Taxpayer

…

9. The Office Assistant scans any Taxpayer responses into the system
10. The system monitors for a Taxpayer response within a preconfigured number of days
    a. If the Taxpayer responds, the system associates the Taxpayer response with the work item
        i. The process continues at Use Case: Value Real Property
    b. If the Taxpayer has not responded by a pre-configured date, the process continues at Use Case: Value Real Property

Alternate Flow A: More Taxpayer Information

1. The system populates a 441d letter to commercial properties requesting additional information
    a. The system will select the letter template based on data including, but not limited to:
        i. Property type (class code)
        ii. Event type, including but not limited to:
            1. Change in ownership
            2. New construction
            3. Assessment Appeal
            4. Lien date construction in progress
        iii. Change of ownership type (e.g. LEOP, multi-parcel sale, etc.)
2. The system prompts the Office Assistant to confirm sending the letter
    b. The system prints the barcoded request letter once approved by the Office Assistant

…

3. The Office Assistant documents any commercial property 441d letter responses in the system
4. The system monitors for a Taxpayer response within a preconfigured number of days
    a. If the Taxpayer responds, the system associates the Taxpayer response with the work item
        i. The process continues at Primary Flow Step 3
    b. If the Taxpayer has not responded by the preconfigured date, the process continues at Primary Flow Step 3

4.2.2 Use Case: Value Real Property

Actor

Real Property Appraiser (Primary)

Purpose and Objectives

Real Property Appraisers are responsible for evaluating, processing, and valuing all real property in the City. Properties can be valued through market, income, or cost methods. The system provides comparables matching the indicated characteristics for Real Property Appraiser reference in conducting market valuations. The system provides income or cost valuation templates for income or cost valuation methods. Some property types are more typically valued using one approach over the others, but the final valuation is always up to Appraiser judgment.

Trigger Event(s)

- A Real Property Appraiser selects to value Real Property

Precondition(s)

- Income calculation templates associated with different assessable events and property types are saved in the system

Post condition(s)

- Real Properties have been valued pending Principal approval

Associated Use Cases

- Prepare Real Property for Valuation
- Review and Approve Real Property Valuation
- Completed New Construction
- Multiple Other Assessor Use Cases

Use Case Flow

1. The Real Property Appraiser selects the desired valuation method
    a. If the Real Property Appraiser selects the market valuation method, the process continues
    b. If the Real Property Appraiser selects the income valuation method, the system displays the preconfigured income approach template associated with the assessable event and property type to be valued
        i. The process continues at Alternate Flow A: Income or Cost Valuation Method
    c. If the Real Property Appraiser selects the cost valuation method, the system displays the preconfigured cost calculation template associated with the assessable event and property type to be valued
        i. The process continues at Alternate Flow A: Income or Cost Valuation Method

2. The Real Property Appraiser inputs comparables criteria and selects to view comparables
3. The system displays the comparables and an estimated valuation range based on the comparables
4. The Real Property Appraiser filters and adjusts the criteria for comparables as necessary
    a. Staff should have a number of viewing options including, but not limited to:
        i. Filtered list
        ii. Map overlay
5. The Real Property Appraiser determines if the internal comparable set is satisfactory
    a. If the internal comparable set is unsatisfactory, the process continues at Step 2
6. The Real Property Appraiser checks the external data set (i.e., MLS) for comparables
7. The Real Property Appraiser adds any applicable comparables from the external data set
8. The system saves the information as an external reference comparable
9. The Real Property Appraiser determines if the comparable set is satisfactory
    a. If the comparable set is unsatisfactory, the process continues at Step 6
10. The Real Property Appraiser confirms the comparables set
11. The system displays the comparables and an estimated valuation range based on the comparables
12. The Real Property Appraiser completes the real property valuation according to Appraiser judgment, including making adjustments as necessary, and saves the valuation
    a. Based on appraiser judgment, the Real Property Appraiser may employ the building residual technique which use comparables to appraise the entire value (land + improvements) and comparables to appraise the value of the land in order to back into the value of the improvements
13. The system saves the valuation pending Real Property Principal review
    a. The system reviews if the real property has been valued as part of a material change of ownership or another event qualifying for a supplemental assessment
        i. If the valuation qualifies for a supplemental assessment:
            1. The system retrieves the last known property valuation information (last known lien date value, or latest valuation prior to an assessable event within the most recent year)
            2. The system calculates the supplemental assessment based on the difference between the last known real property valuation and the newly determined property value pending Principal review
            3. The system saves the supplemental assessment pending Principal review and includes the supplemental data to be reviewed as part of the new valuation

    ii. If the valuation does not qualify for a supplemental valuation, the system saves the supplemental assessment value as zero

  b. The system populates pre-configured templates to generate any draft correspondence based on the new Real Property Valuation, including any relevant Supplemental Assessments

    i. The system shall save any draft correspondence as pending Principal Review

    ii. The system shall route any draft correspondence with the new property valuation information to be available for review (if selected) by the Real Property Principal

14. The process continues at Use Case: Review and Approve Real Property Valuation

Alternate Flow A: Income or Cost Valuation Method

1. The system pre populates the template with any known data
    a. Known data may include, but not be limited to:
        i. Information provided on the 441d letter
        ii. Rent database information based on event date
        iii. Historical expenses
        iv. Cost guide information (i.e. $ per square foot for new offices etc.)
2. The Real Property Appraiser researches the property, including accessing rent and other data for comparison, and completes the valuation template
3. The system saves any information that could be used in future valuations
    a. Information relevant to future valuations includes, but is not limited to:
        i. Rent information (i.e. lease terms, sign date, start date, TI allowance, concessions, tenant name, etc.)
        ii. Costs (indirect, direct)
        iii. Historical expenses for a minimum of 3 years
        iv. Cost guide information
        v. Historical income information for a minimum of 3 years
4. The process continues at Primary Flow Step 12

4.2.3 Use Case: Lien Date Construction Review

Actor
Real Property Appraiser

Purpose and Objectives
Real Property Appraisers are responsible for evaluating and valuing in-process construction. This involves evaluating whether the construction has begun by the lien date, requesting construction progress information from the property owner, and documenting costs and spending-to-date in the system. The Real Property Principal reviews and approves the valuation prior to acceptance.

Trigger Event(s)
- The system receives construction information from the DBI system

Precondition(s)
- Construction progress request letter template is saved in the system

Post condition(s)
- In-progress construction has been valued

Associated Use Cases
- Completed Construction
- Business Personal Property Valuation
- Review and Approve Real Property Valuation

Use Case Flow
1. The system receives construction information from the DBI system
2. The system generates and sends a 441d or barcoded letter on a preconfigured date to the owner requesting construction progress
    a. Letter types vary according to property type and may not be sent for certain property types (e.g., Non-Taxable Government Agencies or parcels assessed by the State Board of Equalization)
    b. Requested information includes, but is not limited to:
        i. Total cost of construction
        ii. Spending-to-date
        iii. % complete
        iv. Anticipated completion date
3. The Office Assistant scans any Taxpayer responses into the system
4. The system monitors for a Taxpayer response within a preconfigured number of days
    a. If the Taxpayer responds, the system associates the Taxpayer response with the construction

5. The system assigns work items to lists and/or individual work queues based on pre-configured transaction and/or parcel characteristics
    a. Criteria used for work distribution will be based on data including, but not limited to:
        i. Property type (class code)
        ii. Geography (block/lot)
        iii. Dollar value
    b. Assignments will also use pre-configured transaction and/or parcel characteristics to include any required actions including, but not limited to:
        i. Field visits
6. The Real Property Appraiser reviews the property and permits to determine if there are any tenant improvements
    a. If there are any tenant improvements, the Real Property Appraiser routes the tenant improvements to Business Personal Property for valuation with an explanatory note, if necessary
        i. The BPP Auditor reviews the tenant improvement and determines if it should be included in their valuation
            1. If the BPP Auditor determines that the tenant improvement should be included in their valuation, the system adds it to the appropriate unsecured account and the process continues at Use Case: Electronic BPP Statement Filing and Processing
            2. If the BPP Auditor determines that the potential tenant improvement should not be included in their valuation, they indicate for the system to not include it and note the reason why
                a. The system saves the action and note and the process continues
7. The Real Property Appraiser reviews the property to determine if there are additional associated permits
8. The Real Property Appraiser links the permits as appropriate
    a. The system shall provide the capability to link/associate and organize permits under a “Primary” permit to effectively monitor construction activity as a cohesive whole, inclusive of all sub-level and incidental permits
9. The system groups permits as indicated by the Appraiser
10. The Real Property Appraiser researches the grouped permit
11. The Real Property Appraiser checks information related to the status of the construction on the lien date including conducting field visits
    a. Information related to the status of the construction on the lien date includes:
        i. Estimated % complete
        ii. Value of construction in progress

   b. If the construction has not started, the Real Property Appraiser indicates that the construction has not begun
      i. The system marks the construction has not begun and indicates that there is no lien date value to be added
      ii. The process ends
   c. If the construction was completed prior to the lien date, the Real Property Appraiser documents the completed construction in the system
      i. The process continues at Use Case: Completed Construction
12. The Real Property Appraiser reviews known data including, but not limited to:
   a. Information returned from the property owner
   b. Information gained from the field assessment
   c. Information from the DBI inspection status
13. The Real Property Appraiser adjusts the value of the current assessment as appropriate based on known information and the Appraiser's judgment and notates data including, but not limited to:
   a. Total value of the new construction
   b. % complete
   c. Spending-to-date
14. The Real Property Appraiser adds any notes as necessary
15. The process continues at Use Case: Review and Approve Real Property Valuation

Alternate Flow A: Non-Permitted Construction Discovery

1. The Real Property Appraiser discovers construction through a source other than permits
2. The Real Property Appraiser documents the construction in the system
3. The system creates a work item for review of the construction
   a. The process continues at Primary Flow Step 2

4.2.4 Use Case: Completed New Construction

Actor
Real Property Appraiser

Purpose and Objectives
Real Property Appraisers are responsible for evaluating and valuing completed construction. This involves reviewing information from the DBI system and researching permits. Completed construction may also be discovered through non-permit sources. Valuations are conducted with the same process as Residential 5 units or more and commercial sales/CIO/valuation. The Real Property Principal reviews and approves the valuation prior to acceptance.

Trigger Event(s)
- The system receives completed construction information from the DBI system

Precondition(s)
- Reason codes for construction not being assessable have been preconfigured in the system

Post condition(s)
- Completed construction has been valued

Associated Use Cases
- In-progress Construction
- Value Real Property
- Electronic BPP Statement Filing and Processing
- Review and Approve Real Property Valuation

Use Case Flow

1. The system receives completed construction information from the DBI system
2. The system populates a 441d letter to the taxpayer requesting additional information
    a. The system will select the letter template based on data including, but not limited to:
        i. Property type (class code)
    b. Letter types vary according to property type and may not be sent for certain property types (e.g., Non-Taxable Government Agencies or parcels assessed by the State Board of Equalization)
3. The system prompts the Office Assistant to confirm sending of the letter
    a. The system prints the barcoded request letter once approved by the Office Assistant

…

4. The Office Assistant scans any responses into the system
5. The system monitors for a Taxpayer response within a preconfigured number of days
    a. If the Taxpayer responds, the system associates the Taxpayer response with the construction

6. The system assigns work items to lists and/or individual work queues based on pre-configured transaction and/or parcel characteristics
    a. Criteria used for work distribution will be based on data including, but not limited to:
        i. Property type (class code)
        ii. Geography (block/lot)
7. The Real Property Appraiser reviews the property and permits to determine if there are additional associated permits
    a. If the property is a government owned property, the Real Property Appraiser routes the transaction to the Possessory Interest team for valuation
    b. If there are any tenant improvements, the Real Property Appraiser routes the tenant improvements to Business Personal Property for valuation with an explanatory note, if necessary
        i. The BPP Auditor reviews the tenant improvement and determines if it should be included in their valuation
            1. If the BPP Auditor determines that the tenant improvement should be included in their valuation, the system adds it to the appropriate unsecured account and the process continues at Use Case: Electronic BPP Statement Filing and Processing
            2. If the BPP Auditor determines that the potential tenant improvement should not be included in their valuation, they indicate for the system to not include it and note the reason why
                a. The system saves the action and note and the process continues
8. The Real Property Appraiser links the permits as appropriate
    a. The system shall provide the capability to link/associate and organize permits under a “Primary” permit to effectively monitor construction activity as a cohesive whole, inclusive of all sub-level and incidental permits
9. The system groups permits as indicated by the Appraiser
10. The Real Property Appraiser researches the grouped permit
11. The Real Property Appraiser determines if the completed construction is an assessable event
    a. If the Real Property Appraiser determines that there has been an assessable event, the process continues at Use Case: Value Real Property
    b. If the Real Property Appraiser determines that there has not been an assessable event, the Real Property Appraiser marks the construction as not assessable with a reason code selected from a pre-configured list
        i. The process continues
12. The Real Property Appraiser updates the grouped permit and marks it as complete
13. The Real Property Appraiser indicates to submit the construction for review/approval
14. The system includes the construction in the Real Property Principal review report

15. The process continues at Use Case: Review and Approve Real Property Valuation

Alternate Flow A: Non-Permitted Completed Construction Discovery

1. The Real Property Appraiser discovers completed construction through a source other than permits
2. The Real Property Appraiser documents the construction in the system
3. The system creates a work item for review of the construction
    a. The process continues at Primary Flow Step 2

4.2.5 Use Case: Prop 60/110

Actor
Real Property Appraiser (primary)
TU

Purpose and Objectives
Propositions 60 and 110 allow for exceptions from standard property tax assessments under certain conditions. Proposition 60 allows intra-county transfers of base year values. Proposition 110 provides property tax relief for severely and permanently disabled claimants when they sell an existing home and buy or build another. Processing proposition 60/110 applications includes reviewing applications for eligibility, notifying applicants, and adjusting base values as appropriate based on eligibility findings.

Trigger Event(s)
- System receives a 60/110 application via the web portal

Precondition(s)
- Prop 60/110 application is set up for web portal submission
- Prop 60/110 qualification criteria are preconfigured in the system

Post condition(s)
- Prop 60/110 applications have been reviewed and either applied or denied
- Accepted Prop 60/110 properties have been valued

Associated Use Cases
- Review and Approve Real Property Valuation

Use Case Flow
1. The system receives a Prop 60 or Prop 110 application via the web portal
2. The system prompts the Taxpayer to complete all required fields
3. The system reviews the application for type and qualifications
    a. If the Taxpayer is applying for Prop 60 and previously received Prop 60, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection
        i. The process ends
    b. If the Taxpayer is applying for Prop 110 and previously received Prop 110, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection
        i. The process ends
    c. If the Taxpayer is applying for Prop 60 and previously received Prop 110, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection
        i. The process ends
    d. If the application is not for a replacement property purchased within 2-years of sale of the original property and the claim was not filed within 3-years of the purchase of the replacement property, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection

            i. The process ends

    e. If the application is for Prop 60, the system also evaluates if the Taxpayer meets the 55+ age qualification or has received a Prop 110

        i. If the Taxpayer does not meet the 55+ age qualification or has already received a Prop 110, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection

            1. The system will have the capability to search and confirm previous Prop 60/110 based on Taxpayer SSN

            2. The process ends

    f. If the application is for Prop 110, the process continues at Alternate Flow A: Prop 110

4. The system routes the application to TU for review and approval

5. TU conducts a final review of the application

    a. If TU does not approve the application, TU documents the reason for rejection in the system

        i. The system saves the application and notifies the Taxpayer of application rejection and reason for the rejection

            1. The process ends

6. TU approves the application in the system

7. The system routes the application to the RP Appraiser for valuation

8. The RP Appraiser screens the application for any TU issues

    a. If the RP Appraiser identifies TU issues, the RP Appraiser documents the issues in the system

        i. The system routes the work item back to TU

        ii. The process continues at Step 5

9. The RP Appraiser reviews the application for value qualification

10. The RP Appraiser estimates the market value of the property

11. The RP Appraiser determines if the replacement value is higher than the pre-configured acceptable thresholds

    a. The currently acceptable thresholds are:

        i. 100% for replacement properties that are purchased prior to selling the original property

        ii. Greater than or equal to 105% for properties with 1 year between sale of existing home and purchase of new home

        iii. Greater than or equal to 110% for properties with 2 years between sale of existing home and purchase of new home

    b. If the replacement value is greater than the acceptable threshold, the RP Appraiser documents the reason for rejection in the system

i. The system saves the application and notifies the Taxpayer of application rejection and reason for the rejection

1. The process ends

c. If the replacement value is less than or equal to the acceptable threshold, the RP Appraiser enters the base value transfer on the new property

12. The process continues at Use Case: Review and Approve Real Property Valuation

Alternate Flow A: Hard Copy Application

1. TU receives a hard copy of a Prop 60 or Prop 110 application
2. TU enters the information into the web portal
3. The process continues at Primary Flow: Step 3

Alternate Flow B: Prop 110

1. The system routes the Prop 110 application to TU for review
2. TU reviews the Prop 110 application for disability certification qualification
   a. Prop 110 requires a certification of disability that has been signed by a physician
   b. If the Taxpayer does not meet the disability certification qualification, the system saves the application and notifies the Taxpayer of application rejection and reason for the rejection
      i. The process ends
3. The process continues at Primary Flow: Step 4

4.2.6 Use Case: Possessory Interest

Actor
Real Property Appraiser

Purpose and Objectives
Possessory Interest (PI) is a tax on the private usage of real property owned by a non-taxable entity such as the government. Information from the returned forms is used to calculate the taxable possessory interests. If an agency does not return the form, the City calculates the taxable possessory interests with other available information.

Trigger Event(s)
- Initiated by the system according to preconfigured schedule
- Initiated by Real Property Appraiser as needed

Precondition(s)
- Landlords, etc. are able to submit possessory interest information via the web portal
- Possessory interest calculations are configured in the system
- Annual possessory interest inquiry notice template is saved in the system

Post condition(s)
- Possessory interests have been valued

Associated Use Cases
- Value Real Property
- Review and Approve Real Property Valuation

Use Case Flow

1. The system prompts the RP Appraiser to review possessory interests accounts on the preconfigured lien date
2. The RP Appraiser selects to send the annual possessory interest inquiry notice to Landlords, etc.
3. The system populates and sends the possessory interest inquiry emails or letters to Landlords, etc. based on available contact information

…

4. Landlords, etc. log into the web portal and select to update or provide possessory interest information
    a. If Landlords, etc. do not have an existing web portal account, Landlords, etc. create a web portal account
        i. The process continues at Step 5
    b. If Landlords, etc. have previously provided possessory interest information, the system displays the previous information for updating
        i. The process continues at Step 6

   c. If Landlords, etc. have not previously provided possessory interest information, Landlords, etc., the process continues

5. The web portal prompts Landlords, etc. to complete or upload a document that contains all required fields
   a. Required fields include, but are not limited to:
      i. Tenant name
      ii. Address or location of leased/rented property
      iii. Tenant mailing address
      iv. Lease start date
      v. Lease end date
      vi. Rent
      vii. Terms
      viii. Rent schedule
      ix. Landlord name
      x. Contract Number
      xi. Contact information
      xii. Upload of full lease or contract
      xiii. Assessor parcel number
      xiv. Business account number
6. The system saves the updated or provided information
7. The system identifies new accounts and changes to existing leases
   a. New accounts and changes will be identified based on data including, but not limited to:
      i. Tenant name
      ii. Contract Number
      iii. Lease start date
8. The system assigns account numbers pending RP Appraiser approval
9. The system routes the possessory interest work item to the RP Appraiser for review
10. The RP Appraiser reviews the pending account numbers
    a. If the RP Appraiser identifies duplicates, the RP Appraiser removes the duplicate account number and selects to associate the new information with the previous account
       i. The system removes the duplicate account number and selects to associate the new information with the previous account
11. The RP Appraiser approves the account numbers
12. The RP Appraiser assigns a property type to the possessory interest work item

13. The RP Appraiser selects to initiate the possessory interest calculation for all accounts
14. The system calculates the rent schedule including, but not limited to:
    a. Initial value
    b. Subsequent annual values
15. The RP Appraiser views the information
16. The process continues at Use Case: Value Real Property

Alternate Flow A: Hard Copy Possessory Interest Information

1. The RP Appraiser, RP clerk/analyst and/or Office Assistant receives a hard copy of possessory interest information including relevant attachments
2. The RP Appraiser, RP clerk/analyst and/or Office Assistant enters or uploads and indexes the possessory interest information into the system (See Primary Flow: Step 5a for possessory interest information)
3. The system evaluates if the application is complete
    a. If the application is incomplete, the system saves the application as pending and generates a barcoded notification for Landlords, etc. of the missing information
        i. The system monitors for Landlords, etc. response by a pre-configured response date
        ii. If the Landlords, etc. respond, the system associates the response with the work item, and the process continues
        iii. If the Landlords, etc. do not respond by the pre-configured response date, the process continues
    b. If the application is complete, the system identifies new accounts and changes to existing leases
4. The process continues at Primary Flow: Step 7

4.2.7 Use Case: Urban Agriculture Application

Actor
Real Property Appraiser

Purpose and Objectives
Urban Agriculture allows for exceptions from standard property tax assessments if the property is in use only for agriculture and is otherwise vacant.

Trigger Event(s)
- The RP Appraiser receives an Urban Agriculture application through the planning department

Precondition(s)
- Urban Agriculture denial letter is saved in the system
- Urban Agriculture land valuation formula is configured in the system

Post condition(s)
- Urban Agriculture requests have been reviewed and approved or denied
- Urban Agriculture has been valued

Associated Use Cases
- Review and Approve Real Property Valuation

Use Case Flow
1. The RP Appraiser receives an Urban Agriculture application through the Planning Department
2. The RP Appraiser waits to confirm that a contract was recorded
3. The RP Appraiser uploads and indexes the Urban Agriculture application data to the system
4. The system saves the Urban Agriculture application data
5. The system routes the Urban Agriculture application to the RP Appraiser for review
6. The RP Appraiser reviews the property to confirm if the parcel is vacant other than the agriculture
    a. If the parcel is not vacant other than the agriculture, the RP Appraiser notifies the Planning Department
        i. The system generates and sends a notification to the Planning Department with information about the other property findings
        ii. The process ends
7. The RP Appraiser selects to reassess the property value with the Urban Agriculture land valuation formula
8. The system calculates the land value at the pre-configured rate (currently $12,700 per acre) and displays the calculated value for confirmation
9. The RP Appraiser confirms to approve the values
10. The process continues at Use Case: Review and Approve Real Property Valuation

4.2.8 Use Case: Mills Act Application

Actor
Real Property Appraiser

Purpose and Objectives
Mills Act allow for exceptions from standard property tax assessments if the property is a historical property.

Trigger Event(s)
- The RP Appraiser receives a Mills Act application through the planning department

Precondition(s)
- The RP Appraiser is notified when the planning department has approved the Mills Act application and recorded a contract

Post condition(s)
- Mills Act properties have been valued

Associated Use Cases
- Review and Approve Real Property Valuation

Use Case Flow

1. The RP Appraiser receives a Mills Act application through the planning department
2. The RP Appraiser uploads and indexes the Mills Act application data to the system
3. The RP Appraiser conducts a 3-way estimate in an excel template and saves the values in the system
    a. The 3-way estimate includes: factored base year, restricted Mills Act, and market value based on the lien date
4. The system holds the values in the system pending approval
5. The RP Appraiser returns the 3-way estimate to the planning department
6. The RP Appraiser waits for approval and contract recordation
7. The RP Appraiser logs into the system and searches for the pending Mills Act application
8. The system displays the pending Mills Act application and associated values
9. The RP Appraiser confirms to approve the values
10. The process continues at Use Case: Review and Approve Real Property Valuation

4.2.9 Use Case: Real Property Calamities

Actor
Real Property Appraiser

Purpose and Objectives
Properties that have been affected by Calamities may be eligible for a temporary reduction in value as approved by an RP Appraiser.

Trigger Event(s)
- The system notifies the RP Appraiser of a calamity for pre-screening

Precondition(s)
- The system is interfaced with the San Francisco Fire Department system (SFFD)
- Calamity Form is saved in the system
- Calamity denial letter is saved in the system
- Calamity additional information letter is saved in the system

Post condition(s)
- Calamity has been valued

Associated Use Cases
- Review and Approve Real Property Valuation

Use Case Flow

1. An appraiser becomes aware of a calamity
    a. This often occurs through news coverage or during the course of their field work, but the system should also receive notification of calamities through an interface with the San Francisco Fire Department (SFFD)
2. The appraiser selects for the system to generate letters to potentially eligible taxpayers
3. The system generates letters for Mail Services to send to potentially eligible taxpayers
    a. Taxpayers can alternatively request and complete the letter on their own

Documents received from the Taxpayer are scanned into OnBase and triggers the RP workflow

…

4. The system notifies the RP Appraiser of a calamity for pre-screening
5. The RP Appraiser conducts a field check of the property
6. The RP Appraiser determines if the property qualifies for a reduction in value due to calamity
    a. If the RP Appraiser determines that the property does not qualify, the RP Appraiser documents the decision in the system

   i. The system generates and sends a Calamity denial letter to the Taxpayer
   ii. The process ends

7. The RP Appraiser notates any additional information that is needed from the Taxpayer in the system
8. The system generates and sends a letter to the Taxpayer requesting the additional information
9. The RP Appraiser monitors for additional information from the Taxpayer

…

10. The Office Assistant scans or enters the additional Taxpayer information into the system
11. The system notifies the RP Appraiser of additional calamity information
12. The RP Appraiser determines the temporary reduction in value based on all known information and enters the reduced value in the system
13. The process continues at Use Case: Review and Approve Real Property Valuation
14. The system also generates an event for the following lien year to review the calamity

4.2.10 Use Case: Calamity Lien Date Review and Calamity Restoration

Actor
Real Property Appraiser

Purpose and Objectives
Calamity restoration progress is reviewed annually on the lien date. At this time, the RP Appraiser determines how complete the restoration is and updates the property value accordingly. If the restoration is still in progress, an event is generated for the following lien date to review restoration progress again.

Trigger Event(s)
- Lien date

Precondition(s)
- Calamities have been enrolled in the system

Post condition(s)
- Calamity restorations have been reviewed on the lien date
- Properties affected by calamities has been valued

Associated Use Cases
- Lien Date Construction Review
- Review and Approve Real Property Valuation

Use Case Flow

1. The RP Appraiser reviews all known Calamities at the time of the annual lien date
2. The RP Appraiser completes a field check on the property
3. The RP Appraiser logs the information into the system
4. The RP Appraiser determines if the Calamity restoration is complete
    a. If the restoration is not complete, the RP Appraiser determines and enters the % complete into the system
        i. The system restores the percentage property value indicated by the RP Appraiser
        ii. The process continues at Use Case: Review and Approve Real Property Valuation
        iii. The system also generates an event for the following lien year to review the calamity
5. The RP Appraiser logs the restoration into the system
6. The RP Appraiser determines if the restoration is “like for like”
    a. If the property is not “like for like”, the RP Appraiser updates the parcel characteristics
        i. The process continues at Use Case: Lien Date Construction Review
7. The RP Appraiser indicates to restore the property value to full value pending Principal review and approval
8. The process continues at Use Case: Review and Approve Real Property Valuation

4.2.11 Use Case: Prop 8 / Decline in Value

Actor
Real Property Appraiser

Purpose and Objectives
Properties may be eligible for a Prop 8 / Decline in Value temporary reduction in value due to economic circumstances. Taxpayers may apply for this consideration formally through the AAB and informally through the Assessor's Office. Properties that have received these reductions in the prior year are automatically considered for them again in the current year. Reductions may be due to many reasons including Urban Agriculture and Mills Act.

Trigger Event(s)
- The Taxpayer requests a formal Prop 8 review with the AAB
- The Taxpayer requests an informal Prop 8 review through the web portal
- The system identifies a property with a prior year Prop 8 reduction
- The system identifies a property with a prior year reduction

Precondition(s)
- Properties with prior year reductions are noted in the system
- Prop 8 / Decline in value correspondence templates are saved in the system

Post condition(s)
- Prop 8 / Decline in value properties have been valued

Associated Use Cases
- Review and Approve Real Property Valuation

Use Case Flow
1. The system routes properties for Prop 8 review to the RP Appraiser
    a. Properties for Prop 8 review include, but are not limited to:
        i. Properties that have been granted a reduction in value through the AAB formal review (consideration for this reduction costs $60 and is only available 7/2 – 9/15)
        ii. Properties that have been submitted for review through the web portal by Taxpayers (this process is only available January through March)
        iii. Properties that have received a prior year Prop 8 reduction
        iv. Properties that have received a prior year reduction
2. The RP Appraiser conducts a review and reassesses the property value
3. The RP Appraiser determines if there has been a decline in value
    a. If there has not been a decline in value, the RP Appraiser documents the information in the system
        i. The system generates and sends a notification to the Taxpayer that there has been no decline in value
        ii. The process ends

4. The RP Appraiser updates the property value as a temporary reduction pending Principal review and approval
5. The process continues at Use Case: Review and Approve Real Property Valuation
6. The system also generates and sends a notification to the Taxpayer that there has been a decline in value
    a. If corrections are made outside of the annual review processes, these corrections should also result in a notice being sent to the Taxpayer

4.2.12 Use Case: Review and Approve Real Property Valuation

Actor
Real Property Principal

Purpose and Objectives
Real Property Principals are responsible for reviewing and approving all Real Property valuations completed by Appraisers. Different types of valuations may be reviewed individually or on a weekly review report as decided by department policies. Real Property Principals will return any properties that require additional work to the Real Property Appraiser who conducted the original valuation. Valuations are enrolled once they are approved by the Real Property Principal.

Trigger Event(s)
- A Real Property valuation has been completed by a Real Property Appraiser

Precondition(s)
- A Real Property valuation has been completed by a Real Property Appraiser

Post condition(s)
- Real Property valuations are enrolled in the system

Associated Use Cases
- All Real Property Use Cases
- TTX Secured Bill Generation
- Roll Close and Open

Use Case Flow

1. The system routes the valuation to the Real Property Principal for review
2. The Real Property Principal reviews the appraisal and any relevant draft correspondence based on the valuation data
   a. The system shall provide the capability to designate different types of valuations for individual or consolidated review on a weekly report as pre-configured in the system based on department policies
   b. If the Real Property Principal identifies issues, the system routes the work item back to the Real Property Appraiser with notes
3. The Real Property Principal approves the appraisal
4. The system evaluates if any valuations were for prior years
   a. If the system identifies any valuations that were for prior years, the system generates an escape assessment for each relevant prior year and issue supplemental(s) for event year prescribed by R&T code 73.11, if applicable
      i. The process continues
5. The system updates the data included in any relevant draft correspondence generated as part of the real property valuation appraisal process
   a. The system saves the correspondence and routes the correspondence to be printed and mailed
6. The system saves and enrolls the valuations

a. For prior year assessment, the process continues at Use Case: TTX: Secured Bill Generation

b. For current year assessments, the process continues at Use Case: Roll Close and Open

5.0 Unsecured Property

5.1 Background

5.1.1 Introduction

Unsecured property includes aircraft, boats, and leased equipment. Each property type has separate discovery and valuation processes. The Assessor's Office conducts an annual discovery process for vessels in the County and updates records based on information provided by marinas and the DMV. These discovery processes result in the sending of property statements to vessel owners and the resulting valuation of the identified vessels. Leased equipment may be identified from Lessee reporting, audit activity, Lessor self-reporting, or BOE updates. Leased equipment discovery also leads to sending a business property leasing statement and subsequent valuations.

Initial valuations are conducted based on owner self-reporting, external reference sources, and pre-configured business rules. Auditors review all valuations, which are then reviewed and approved by Principal Auditors prior to enrollment.

5.1.1.1 Property Statement

The Assessor's Office is required to send property statements to applicable businesses each calendar year. The process begins with a discovery process of identifying new and existing businesses and updating property statement forms. Property Statement forms request information from businesses for use in valuations. Statements are available to be sent electronically and in hard copy. Duplicate statements may also be requested and resent.

Property statements should be completed and returned by all property owners by a given date. However, even if statements are not returned, the Assessor's Office still has the responsibility to assess the property and will conduct an assessment based on available information.

5.1.1.2 Direct Assessments

While most properties must be assessed by trained Assessor staff, some properties are eligible for Direct Assessment. Direct Assessment is the process of the System automatically assigning valuations to a property or set of properties based on pre-configured identifiable characteristics. Only straightforward and simple properties within a certain value threshold are eligible for Direct Assessments.

5.1.2 Overview of Use Cases, Actors, and Triggers for Unsecured Properties Functions

Table 5. Overview of Use Cases, Actors, and Triggers for Unsecured Properties Functions

Use Case Name	Actor	Trigger	Description
Business Discovery	Office Assistant	Office Assistant discovers a new business System receives notice of a new business through an interface	Creation of new business account records and updating of existing business account records based on new information
Prepare for Business Property Statement	Office Assistant (Primary) Auditor	Initiated by the system according to schedule	Sending of Notices to file BPP Statements and processing of non-filers
Electronic BPP Statement Filing and Processing	BPP Auditor (Primary) Business Owner or Agent	Business Owner or Agent initiates submission of a BPP statement through the web portal	Processing of BPP Statements received through the web portal
Hard Copy BPP Statement Filing and Processing	BPP Auditor (Primary) Office Assistant	Business Owner or Agent submits a hard copy BPP statement	Processing of BPP Statements received as hard copies
Leased Equipment Discovery and Processing	Auditor (Primary) Analyst	Triggered by 571-L statement date	Discovery and valuation of leased equipment
Marine Property Discovery	Auditor	Office Staff receives updated Marine Property information	Maintaining of Marine Property accounts. Update existing account for any changes like: ownership, mailing address, Marina locations, slip or berth number. Creation of new marine accounts.
Marine Property Annual Statement	Auditor	Initiated by the system according to schedule	Sending 576-D, Vessel Property Statement and Direct Bill Letters
Business Property Audits	BPP Auditor (Primary) BPP Principal	System receives notification from the BOE about the number of audits to be conducted	Identification, assignment, and processing of Business Property Audits
Business Property Audit Waivers	BPP Auditor	BPP Auditor determines that audit will not be completed during the assigned year System identifies unfinished audits as scheduled	Requesting of statute waivers for Business Property Audits

Use Case Name	Actor	Trigger	Description
CCCase Audits	BPP Auditor	BPP Auditor indicates CCCase Audits after annual meeting BPP Auditor is assigned a CCCase Audit	Conducting of Business Property Audits by or for other California Counties

5.2 Use Cases

5.2.1 Use Case: Business Discovery

Actor(s)
Office Assistant

Purpose and Objectives
As new businesses information is discovered throughout the City, the system and the Office Assistant compares the new business information with data maintained in the system. This enables the Assessor's Office to maintain updated business account records.

Trigger Event(s)
- Office Assistant discovers a new business
- System receives notice of a new business through an interface

Precondition(s)
- Existing business account records are saved in the system

Post condition(s)
- New business account records have been created
- Existing business account records have been updated
- The Tax Collector's Office has been notified of new business accounts

Associated Use Cases
- Prepare for Business Property Statement

Use Case Flow
1. The system receives notification of updated business information through an interface
    a. Discovery can occur through multiple methods including, but not limited to:
        i. Tax Collector business license (currently direct data)
        ii. New business registration form (currently direct data)
        iii. BOE sales tax (currently direct data)
        iv. Landlord report (currently an excel file)
        v. Informal discovery
        vi. Other County
        vii. Leased equipment
        viii. Vacant locations
    b. Updated business information may include, but is not limited to:
        i. New business
        ii. Updated address
2. The system screens out data that is not relevant to San Francisco

3. The system compares the updated business information with business account data in the system using data including, but not limited to:
    a. BAN
    b. LIN
    c. Ownership
    d. DBA
    e. Mailing address
    f. Situs address
4. The system determines if the potential new business data matches an existing business account record in the system
    a. If a business account record exists for the new business data, the system determines if the existing record is active
        i. If the existing record is not active, the system activates the record
            1. The process continues at Step 8
        ii. If the existing record is already active, or once the record has been activated, the system saves the updated business account record
            1. The process continues at Step 11
    b. If the new business data does not match any business account records in the system, the system routes the new business data to the Office Assistant for review
        i. The process continues
5. The Office Assistant searches for the business in the system
    a. If the Office Assistant identifies an existing record, the Office Assistant indicates to apply the updated information to the identified record
        i. The process continues at Step 4a
    b. If the Office Assistant cannot identify an existing record, The Office Assistant indicates to create a new business account record in the system
        i. The process continues
6. The system prompts the Office Assistant to create a new business account number
7. The Office Assistant creates a new business account number
8. The system populates the record with the updated information for Office Assistant review
9. The Office Assistant reviews, edits, and accepts the business record information
    a. Information includes, but is not limited to:
        i. Name of legal entity
        ii. Location
        iii. DBA
        iv. Mailing address

v. Associated APN

vi. BCC code

vii. Contact information if available

10. The system saves the new business account record
11. The system notifies the Tax Collector's Office or system of the new business account or updated business account information

Alternate Flow A: Office Assistant Business Discovery

1. The Office Assistant discovers updated business information
2. The Office Assistant searches for the business in the system
    a. If an account exists for the business, the process continues at Primary Flow Step 5a
    b. If an account does not exist for the business, the process continues
3. The Office Assistant indicates to create a new business account record in the system
4. The system prompts the Office Assistant to create a new business account number
5. The Office Assistant creates a new business account number
6. The system saves the business account number
7. The system prompts the Office Assistant to manually enter required information into the business record
8. The Office Assistant manually enters required information into the business record
9. The process continues at Primary Flow Step 10

5.2.2 Use Case: Prepare for Business Property Statement

Actor(s)
Office Assistant (Primary)
Auditor

Purpose and Objectives
The Principal or Senior Auditor sends “Notice to file BPP statement” notifications are sent to business account records as scheduled in the system. Businesses that have not filed a statement by a pre-configured date are researched by the Office Assistant. Depending on the findings, a new “Notice to file BPP statement” may be sent, or a previous year valuation may be applied to the account.

Trigger Event(s)
- Initiated by the system according to schedule

Precondition(s)
- Distribution of “Notice to file BPP statement” notifications are scheduled in the system
- “Notice to file BPP statement” templates are saved in the system

Post condition(s)
- “Notice to file BPP statement” notification have been sent to business owners
- New account records have been created

Associated Use Cases
- Business Discovery
- Electronic BPP Statement Filing and Processing
- Hard Copy BPP Statement Filing and Processing
- TTX: Unsecured Bill Generation

Use Case Flow
1. On an annual date, the system prompts the predetermined user to update annual business property statement information including, but not limited to:
    a. Templates
    b. Criteria
    c. Factor Table
2. The system prompts the predetermined user to send the appropriate “Notice to file BPP statements” notifications as scheduled in the system
    a. “Notice to file BPP statements” notification types include, but are not limited to:
        i. 571-L sent to businesses that filed a paper statement last year and new business account records
        ii. 571-L sent to business that filed via e-file last year
        iii. 571-R sent to Apartment Business that filed
        iv. Direct billing – notification only, not a notice to file
        v. Low value – notification only, not a notice to file

vi. 571-STR (Short term rental)
vii. Notice to file SDR

3. The system generates files for review
4. The Office Assistant selects to send the notifications
5. The system generates the notifications
6. The Office Assistant sends the notifications

…

7. The system identifies all business accounts that have not been associated with a filed BPP statement by a pre-configured date
8. The system prompts the predetermined user to review the identified non-filer business account records
9. The Office Assistant reviews each non-filer business account record in the system
10. The system displays the non-filer business account records
11. The Office Assistant conducts research to determine additional information about the businesses including conducting a manual check against the TTX system and for duplicates
    a. If the business is a duplicate, the Office Assistant updates the business account status to duplicate and links the accounts
        i. The process ends
    b. If the business moved within SF, the Office Assistant updates the business account record and sends a “Notice to file” to the new address
        i. The process continues at Step 3
    c. If the business moved outside of SF, the Office Assistant updates the account status to closed
        i. The system saves the updated business account record
        ii. The process ends
    d. If the business has closed, the Office Assistant updates the account status to closed
        i. The system saves the updated business account record
        ii. The process ends
    e. If the business has been sold, the Office Assistant indicates that the business has been sold
        i. The process continues at Alternate Flow A: New Business Owner
    f. If none of the previous conditions are true, the Office Assistant confirms review of the nonfiler business account records
        i. The process continues

12. The system evaluates the previous year valuation of the nonfiler business account record
    a. If the business met the low-value criteria the previous year, the process continues
    b. If the business was direct billed the previous year, the process continues
    c. If the business did not meet the low-value criteria the previous year and was not direct billed, the system adds a pre-configured non-filer penalty to the business account
        i. The process continues
13. The system applies the valuations from the prior year
14. The system saves and enrolls the assessment
15. The process continues at Use Case: TTX Unsecured Bill Generation

Alternate Flow A: New Business Owner

1. The system routes the business account record to the Auditor to research the new owner
2. The Auditor conducts research as necessary to identify the new business owner
3. The Auditor searches in the system to determine if there is an existing business account record for the new owner
    a. If an account exists for the business, the Auditor updates the account information and indicates for the Office Assistant to send a “Notice to file” to the new owner
        i. The process continues at
        ii. The Auditor routes the updated business account record to the Office Assistant to sends a “Notice to file” to the new address
        iii. The Office Assistant indicates to send a “Notice to file BPP statement” to the business account
        iv. The process continues at Primary Flow Step 3
    b. If an account does not exist for the business, process continues
4. The Auditor documents the information in the system and indicates for the Office Assistant to create a new business account record
    a. The system routes the new owner information to the Office Assistant
    b. The Office Assistant indicates to create a new business account record in the system
    c. The system prompts the Office Assistant to create a new business account number and to manually enter or update required information
    d. The system saves the new business account record
    e. The Office Assistant indicates to send a “Notice to file BPP statement” to the business account
    f. The process continues at Primary Flow Step 3

5.2.3 Use Case: Electronic BPP Statement Filing and Processing

Actor(s)
BPP Auditor (Primary)
Business Owner or Agent

Purpose and Objectives
Business Owners and their authorized Agents are able to file BPP statements for their businesses through the web portal. The web portal ensures that all required fields are complete before routing the statements to BPP Auditors for review and processing.

Trigger Event(s)
- Business Owner or Agent initiates submission of a BPP statement through the web portal

Precondition(s)
- BPP statement filing due date is saved in the system
- Late filer penalty amount is saved in the system
- The system is able to query business license information

Post condition(s)
- Electronically filed BPP statements have been processed

Associated Use Cases
- Hard Copy BPP Statement Filing and Processing
- TTX: Unsecured Bill Generation
- Value Real Property

Use Case Flow

1. The Business Owner or Agent logs into the web portal
    a. If the Business Owner or Agent is a first-time electronic filer, the process continues at Alternate Flow A: First Time Electronic Filer
    b. If the Business Owner or Agent is not a first-time filer, the process continues
2. The Business Owner or Agent enters the BAN/LIN/Account number information into the system
3. The system displays the prior year BPP statement
4. The system populates the current year statement with prior year information
5. The Business Owner or Agent edits and submits the completed BPP statement
6. The system ensures that all required fields have been completed by the Business Owner or Agent prior to accepting the online property statement
7. The system saves the completed BPP statement
8. The system applies a pre-configured late penalty to all BPP statements received after a pre-configured date
9. The System determines if a statement can be auto-enrolled or if it needs to be reviewed by a BPP Auditor based on pre-configured business rules
    a. Preconfigured business rules include, but are not limited to:

    b. For statements that the system determines can be auto-enrolled, the process continues at Use Case: TTX: Unsecured Bill Generation

10. For statements that the system determines to need to be reviewed, the system routes BPP statements to assigned Auditors based on pre-configured business rules
11. The BPP Auditor processes assigned BPP statements
12. The system displays the BPP statement and relevant current and prior year data as available
    a. If the previous BPP statement was received as a digital filing, the system displays relevant data including, but not limited to:
        i. Prior year cost
        ii. Prior year adjusted/enrolled cost
        iii. Prior year value
        iv. Prior year adjusted/enrolled value
        v. Prior year associated factor
        vi. Current year filing cost
        vii. Current year factor
        viii. Mismatch in location of accounting record, DBA, mailing address, situs address, change of ownership (from Inc. to LLC, secured to unsecured)
        ix. Images of previous seven years filing
    b. If the previous BPP statement was received as a hard copy, the system displays images of the previous seven years filings
13. The BPP Auditor reviews the data and BPP statement
14. The BPP Auditor updates the account information as necessary
    a. If the business moved within SF, the BPP Auditor updates the business account record
        i. The process continues
    b. If the business moved outside of SF, the BPP Auditor updates the account status to closed
        i. The system saves the updated business account record
        ii. The process ends
    c. If the business has closed, the BPP Auditor updates the account status to closed
        i. The system saves the updated business account record
        ii. The process ends
    d. If the BPP Auditor identifies line items that are leasehold improvements and should be transferred to Real Property
        i. The BPP Auditor indicates the items in the system and adds any explanatory notes
        ii. System routes the line items to a Real Property Appraiser for review

        iii. The Real Property Appraiser either:
            1. Accepts the leasehold improvements and includes them in their valuation and the Process continues at Use Case: Value Real Property
            2. Determines that the leasehold improvements should not be included in real property (likely based on further discussions with the auditor) and routes the items back to the BPP Auditor

15. The BPP Auditor determines the business account valuation
16. The system saves the business account valuation pending Principal approval
17. The system identifies accounts that are eligible for processing as low-value assessments
    a. Accounts are eligible based on criteria including, but not limited to:
        i. Unsecured accounts only
        ii. Values below a pre-configured value
        iii. Four years of low-value status only
    b. If an account is eligible for processing as a low-value account, the system saves and tracks the business value, but does not enroll the business value
        i. The process ends
    c. If an account is not eligible for processing as a low-value account, the process continues
18. The system routes the assessment to the Principal for review
    a. If the Principal identifies issues, the system routes the assessment back to the BPP Auditor with Principal notes
        i. The process continues at Step 10
19. The system saves and enrolls the assessment
20. The process continues at Use Case: TTX: Unsecured Bill Generation

Alternate Flow A: First Time Electronic Filer

1. The Business Owner or Agent requests a new login for the web portal
2. The system prompts the individual requesting the login to identify if they are an Agent
    a. If the individual requesting the login is an Agent, the system prompts the Agent to register and provide required authentication information
        i. The Agent registers as an Agent and indicates the Business Owner records to associate with the agent account
        ii. The Agent uploads authentication documentation
        iii. The system sends a request to the Business owner to confirm the authorized Agent

        iv. The system confirms Agent authorization once the Owner has confirmed authorization
        v. The web portal grants the Agent a login
        vi. The process continues at Step 5
    b. If the individual requesting the login is not an agent, the system prompts the Business Owner to provide required authentication information
        i. The Business Owner provides the required information
        ii. The web portal grants the Business Owner a login
        iii. The process continues at Step 5
3. The system prompts the Business Owner or Agent to indicate the business type
4. The system displays appropriate form based on business type selected
5. The Business Owner or Agent enters the BAN/LIN/Account number information into the system
6. The system displays the prior year BPP statement
7. The process continues at Primary Flow Step 1

5.2.4 Use Case: Hard Copy BPP Statement Filing and Processing

Actor(s)
BPP Auditor (Primary)
Office Assistant

Purpose and Objectives
Business Owners and their authorized Agents are able to file hard copy BPP statements for their businesses. The Office Assistant receives these statements, scans them into the system, and enters key information. This information is then routed through the system to BPP Auditors for review and processing.

Trigger Event(s)
- The Office Assistant receives a hard copy BPP statement

Precondition(s)
- Hard copy BPP statements are able to be saved and viewed in the system

Post condition(s)
- Hard copy BPP statements have been saved in the system

Associated Use Cases
- Electronic BPP Statement Filing and Processing

Use Case Flow

1. The Office Assistant receives a hard copy BPP statement
2. The Office Assistant scans the BPP statement into the system and enters key associated information
    a. Key associated information includes, but is not limited to:
        i. BAN/LIN/Account Number
        ii. Statement submission date
3. The system associates scanned BPP statements with business accounts in the system
    a. If the scanned BPP statement is not associated with an existing business account record, the system notifies the Tax Collector's Office of the new business account record
        i. The system prompts the Office Assistant to create a new business account record
        ii. The Office Assistant indicates to create a new business account record in the system
        iii. The system prompts the Office Assistant to create a new business account number and to manually enter or update required information
        iv. The system saves the new business account record
        v. The process continues
4. The process continues at Use Case: Electronic BPP Statement Filing and Processing Step 6

5.2.5 Use Case: Leased Equipment Discovery and Processing

Actor(s)
Auditor (Primary)
Analyst

Purpose and Objectives
Lessors are required to submit an annual 571-L statement to the Assessor's Office. This information is reconciled with leased equipment information provided by Lessees with their annual business filings or as discovered through other methods. Leased equipment information is then reviewed and assessed by Auditors.

Trigger Event(s)
- Triggered by 571-L statement date

Precondition(s)
- The leased equipment notice template is saved in the system
- Lessors are able to submit leased equipment information through the web portal

Post condition(s)
- Leased equipment has been assessed

Associated Use Cases
- TTX: Unsecured Bill Generation

Use Case Flow

1. The system monitors for the 571-L statement date as pre-configured in the system
2. The system prompts the Analyst to send the notice to file a 571-L statement to the lessors
3. The Analyst selects to send the notice to file a 571-L statement to any identified lessors
4. The system generates and sends notices to identified lessors requesting that they file a 571-L statement

…

5. The system notifies the Analyst of 571-L statements filed through the web portal by the Lessor
    a. The system shall have the capability to hold leased equipment data filed through the web portal in a pending status until approved by the Analyst
6. The system evaluates if the lease is a true lease or a conditional sales lease/lease purchase/rent-to-own
    a. If the lease is a true lease, the system routes the lease to the Auditor assigned to the associated business account – True leases are assessed to the leasing company (lessor)
        i. The process continues at Alternate Flow B: True Lease

   b. If the lease is a conditional sales lease/lease purchase/rent-to-own, the system routes the lease to the assigned Analyst for review – Conditional sales lease/lease purchase/rent-to-own are assessed to the lessee
      i. The process continues
7. The system conducts a reconciliation between the current and prior year leased data and highlights any differences in classification
8. The system conducts a reconciliation and highlights discrepancies between data including, but not limited to:
   a. Currently reported leased equipment
   b. Prior year reported leased equipment
   c. Terminated lease contracts
9. The Analyst reviews the conditional sales lease/lease purchase/rent-to-own lease data and reclassifies data as necessary
10. The Analyst confirms that the data has been reviewed and accepts the data into the system
11. The system saves the leased equipment data
12. The system applies the appropriate factored values based on acquisition year and equipment category
13. The Analyst confirms that factors have been reviewed and accepts into the system
14. The system saves the assessment
15. The system routes the assessment to the Principal for review
    a. If the Principal identifies issues, the system routes the assessment back to the Analyst with Principal notes
       i. The process continues at Step 9
16. The system saves and enrolls the assessment
17. The process continues at Use Case: TTX: Unsecured Bill Generation

Alternate Flow A: Other Leased Equipment Discovery

1. The Analyst discovers leased equipment from a method other than Lessor reporting
   a. Discovery methods include, but are not limited to:
      i. Lessee’s annual business filing
      ii. Audit findings
2. The Analyst reconciles the discovered leased equipment with the Lessor’s report to identify assessable items
3. The Analyst indicates the leased equipment in the business property accounts
4. The system saves the indicated leased equipment
5. The process continues at Primary Flow Step 6

Alternate Flow B: True Lease

1. The system conducts a reconciliation between the lessor and lessee leased equipment statements
2. The Analyst reviews the conditional sales leases
3. The system displays the conditional sales lease data including highlighting any system-identified lessor/lessee discrepancies
4. The system conducts a reconciliation and highlights discrepancies between data including, but not limited to:
    a. Currently reported leased equipment
    b. Prior year reported leased equipment
    c. Terminated lease contracts
5. The Auditor researches and resolves any lessor/lessee discrepancies
6. The Auditor reviews, edits, and accepts the data
7. The process continues at Use Case: Business Property Statement

5.2.6 Use Case: Marine Property Discovery

Actor
Office Staff

Purpose and Objectives
Marine Property accounts are maintained annually with information provided by Marinas, the BOE, and other Counties. Office Staff are responsible for maintaining updated accounts in the system based on this information.

Trigger Event(s)
- Office Staff receives updated Marine Property information

Precondition(s)
- Marine Property accounts are saved in the system

Post condition(s)
- Marine Property accounts are updated in the system

Associated Use Cases
- Marine Property Annual Statement

Use Case Flow

1. Office Staff receives updated Marine Property information
    a. Marine Property information updates may come from multiple sources including, but not limited to:
        i. Marina Report
        ii. Calls from the BOE about vessels in the City
        iii. Referrals from other Counties about vessels in the City
        iv. DMV
2. Office Staff select to upload or enter Marine Property data into the system
    a. Marine Property data includes, but is not limited to:
        i. Vessel service type
            1. Owned vessels
            2. 4% commercial fishing vessel
            3. 50 tons exemption vessel
            4. Homeowners exempt vessel
            5. Disabled veterans vessel
            6. Welfare exemption vessel
            7. Barges
        ii. Vessel Specifications
        iii. Owner information
        iv. DMV or Coastguard number
        v. Vessel name

3. The system determines if the Marine Property data is for an existing account
    a. If the Marine Property data is for an existing account, the system associates the information with the existing account and saves the updated information
        i. The process continues at Use Case: Marine Property Annual Statement
    b. If the Marine Property data is for a new account, the system prompts Office Staff to create the new account
        i. The process continues
4. Office Staff conducts research on the US Coastguard and DMV website to determine the vessel service type
5. Office Staff creates a new Marine Property account for the discovered vessel
6. The system creates the new Marine Property account with the provided information
    a. The process continues at Use Case: Marine Property Annual Statement

5.2.7 Use Case: Marine Property Annual Statement

Actor
Auditor

Purpose and Objectives
Marine Properties are valued annually, either by Auditors or through Direct Billing, depending on the vessel value and valuation history

Trigger Event(s)
- Initiated by the system according to schedule

Precondition(s)
- Marine Property accounts are maintained in the system
- 576-D Vessel Property Statement templates are saved in the system
- Marine Property factors are saved in the system

Post condition(s)
- Marine Properties have been valued

Associated Use Cases
- Marine Property Discovery
- TTX: Unsecured Bill Generation

Use Case Flow
1. On a pre configured date, the system prompts the Auditor to send the 576-D Vessel Property Statements
2. The Auditor selects to send the 576-D Vessel Property Statement to all necessary vessels
3. The system identifies the vessels that require a property statement according to pre-configured business rules
    a. If the vessel is new, a statement is required
        i. The process continues
    b. If the vessel value is greater than or equal to $100,000, a statement is required
        i. The process continues
    c. If the vessel value falls between the values identified for direct billing for the current year, the process continues at Alternate Flow A: Direct Billing
        i. Direct billing valuation ranges differ from year to year and are preconfigured in the system
        ii. Vessels not identified for direct billing will receive a vessel property statement regardless of whether they have previously been identified for direct billing
    d. If the vessel value is less than $4,000, a statement is unnecessary
        i. The process ends
4. The system generates and sends a barcoded 576-D Vessel Property Statement to the Vessel owner

…

5. The system monitors for completed 576-D Vessel Property Statements by the preconfigured date
    a. If a completed statement has been returned for a new account the system routes the statement to the Auditor to review
        i. The process continues
    b. If a completed statement has been returned for an existing account, the system updates the Vessel account with the reported information
        i. The system routes the statement to the Auditor to review the assessment
        ii. The Auditor reviews and edits the assessment as necessary
        iii. The process continues at Step 14
    c. If a completed statement has not been returned, the system indicates to add R&T Code 463 penalty to the tax bill amount
        i. The system identifies if the non-filer is a new account
            1. If the non-filer is an existing account, the process continues at Step 14
            2. If the non-filer is a new account, the process continues at Step 14
6. The Auditor selects to view the account and sets the parameters for vessel comparables
    a. Comparable parameters include, but are not limited to:
        i. Vessel type
        ii. Vessel Specifications
        iii. Vessel year
        iv. Vessel length
7. The Auditor selects to view comparables
8. The system displays an initial set of comparable properties based on the selected comparable parameters
9. The Auditor filters and adjusts the criteria for comparables as necessary
10. The system displays the expected valuation range based on the selected filters and adjustments
11. The Auditor determines if the comparable set is satisfactory
    a. If the comparable set is unsatisfactory, the process continues at Step 8
12. The Auditor confirms the comparables set
    a. The system suggests a valuation based on the selected comparables
13. The Auditor adjusts the sale prices of the comparables based on differences in characteristics to the subject and/or Auditor's judgment

    a. The system recalculates the suggested valuation based on the adjusted comparables

14. The Auditor establishes the vessel assessment
15. The Auditor applies relevant calculations as necessary
    a. Relevant calculations may include, but are not limited to:
        v. Barge valuation calculations
        vi. BOE factor table
        vii. Commercial Fishing Vessels
16. The system saves and enrolls the assessment
17. The process continues at Use Case: TTX: Unsecured Bill Generation

Alternate Flow A: Direct Billing

1. The system populates a letter for the vessel owner with a notice to update vessel information
2. The system sends the letter to the vessel owner

…

3. The system monitors for vessel updates provided by the vessel owner
    a. If a vessel update has been provided, the system updates the vessel account with the updated information
4. The system applies the appropriate factor to the previous year’s Vessel assessment as pre-configured in the system
5. The process continues at Primary Flow Step 14

5.2.8 Use Case: Business Property Audits

Actor(s)
BPP Auditors (Primary)
BPP Principal

Purpose and Objectives
BPP Auditors are required by the BOE to conduct a certain number of business property audits each year. The system will identify accounts for auditing on an annual basis based on pre-configured identification criteria and accounts that were manually identified for auditing. BPP Auditors will select one audit for review at a time from a pool of audits to be conducted. Audit findings and results will be saved in the system as they are conducted by BPP Auditors.

Trigger Event(s)
- The system receives notification from the BOE about the number of audits to be conducted

Precondition(s)
- Audit workbook template is saved in the system
- List of potential required documents for audit is saved in the system
- Audit correspondence template for Taxpayers is saved in the system

Post condition(s)
- Audits to be conducted have been identified
- Completed audits have been saved in the system
- Changes from completed audits have been enrolled

Associated Use Cases
- CCCase Audits
- Business Personal Property Roll Changes

Use Case Flow

1. The system receives notification from the BOE about the number of audits to be conducted during the current fiscal year
2. The system selects accounts for auditing in July based on pre-configured business rules including, but not limited to:
    a. 152 out of the 606 highest value accounts in the system based on a four-year rotation
    b. Any accounts identified for auditing in other processes
    c. Any accounts manually identified for auditing
    d. Any accounts identified for auditing in previous years that should be completed during the current year
    e. Audits randomly chosen from a pool of accounts in the system that have not been audited in the prior 4 years

3. The system routes the list of audits to be conducted to the BPP Principal for review
4. The BPP Principal reviews the list of accounts to be audited and manually makes changes as necessary including, but not limited to:
    a. Any inclusions including, but not limited to:
        i. Appeals
        ii. Disagreements
        iii. CCCases for other Counties
    b. Any exclusions
5. The system updates and saves the list of accounts to be audited
6. The BPP Principal manually indicates any accounts that should be assigned to specific BPP Auditors if necessary
7. The system generates a general audit work list and individual work lists of accounts to be audited
8. The system notifies BPP Auditors that the list of audits has been completed and prompts BPP Auditors to pull audits from the audit work lists
9. BPP Auditors pull an audit from the work list
10. The system updates the audit status to assigned to the BPP Auditor that pulled the audit
11. The system displays the audit information for the BPP Auditor
12. The BPP Auditor reviews the assignment for issues
    a. If the BPP Auditor identifies issues with the assignment, the BPP Auditor notates the issue in the system
        i. The system updates the audit assignment status as pending BPP Principal review
        ii. The system routes the reassignment request to the BPP Principal for review
        iii. The process continues at Step 5
    b. If the BPP Auditor does not identify any issues with the assignment, the process continues
13. The BPP Auditor identifies if the audit is a CCCase audit
    a. If the audit is a CCCase audit, the process continues at Use Case: CCCase Audit
    b. If the audit is not a CCCase audit, the process continues
14. The BPP Auditor selects the documents required from the Taxpayer to conduct the audit from a preset list of documents and indicates to notify the business owner that they are being audited
15. The system generates an audit notification email or letter to the Taxpayer with information including, but not limited to:
    a. Notification that their business is being audited
    b. Request for audit appointment

   c. Documents required for the audit
   d. Link to web portal for document submission
   e. Response submission deadline for documents
16. The system pre populates an audit workbook template with account information including, but not limited to:
   a. 4 years of business account information minimum

…

17. The system monitors for Taxpayer response by a pre-configured time
   a. If the Taxpayer responds within the preconfigured time, the system routes the information to the BPP Auditor
      i. The process continues
   b. If the Taxpayer does not respond within the preconfigured time, the system notifies the BPP Auditor that no response has been received
      i. The process continues
18. The BPP Auditor conducts research on the audit account and documents findings in the audit workbook template
   a. If the BPP Auditor collects any exhibits during their research, they save the exhibits in the System and associates them with the account and audit
19. The BPP Auditor completes the audit findings
   a. The BPP Auditor uploads any pictures or exhibits from the audit findings
20. The system saves the completed audit findings
21. The system routes the completed audit findings to the Principal for review
22. The BPP Principal reviews the audit findings for issues
   a. If the BPP Principal identifies issues, the BPP Principal documents the issues in the system
      i. The system routes the audit findings with BPP Principal notes back to the BPP Auditor for review and correction
      ii. The process continues at Step 17
   b. If the BPP Principal does not identify issues, the BPP Principal approves the audit findings
      i. The process continues
23. The system notifies the BPP Auditor that the audit findings have been approved
24. The BPP Principal selects to generate the audit findings packet for the Taxpayer

…

25. The BPP Auditor and the system monitor for Taxpayer response by a pre-configured time
    a. If the Taxpayer responds, the BPP Auditor documents the Taxpayer response in the system
        i. If the Taxpayer agrees with the audit findings, the process continues
        ii. If the Taxpayer disagrees with the audit findings, the BPP Auditor determines whether to continue reviewing the account
            1. If the BPP Auditor determines to continue reviewing the account, the BPP Auditor updates the audit status in the system
                a. The process continues at Step 17
            2. If the BPP Auditor determines not to continue reviewing the account, the process continues
    a. If the Taxpayer does not respond within the preconfigured time, the system notifies the BPP Auditor that no response has been received
        i. The process continues
26. The system updates the audit status to complete
27. The system reviews if there are any valuation changes resulting from the audit
    a. If there are valuation changes resulting from the audit, the process continues at Use Case: Business Personal Property Roll Changes
    b. If there are no valuation changes resulting from the audit, the process ends

5.2.9 Use Case: Business Property Audit Waivers

Actor(s)
BPP Auditor

Purpose and Objectives
Business Property audits are four-year audits conducted for five years by statute. Audits that are not completed within the year they are identified may require an audit waiver based on the audit type and status. Audit waivers are requested from Taxpayers for all audits that were begun and not completed during the year. Taxpayer response will extend the statute for auditable records for an additional year or based on the agreement. High-value accounts are sent waiver requests for audits that were not begun as well. If a Taxpayer does not sign the waiver, the BPP Auditor has the option of conducting the audit for only the records within the statute or the additional records as well based on department policy.

Trigger Event(s)
- Initiated by the system according to schedule
- BPP Auditor determines that audit will not be completed during the assigned year

Precondition(s)
- Statute waiver templates are saved in the system

Post condition(s)
- Statute waivers have been sent
- Incomplete business property audits statuses have been updated for the following audit year

Associated Use Cases
-

Use Case Flow
1. On an annual date in April, the system identifies all unfinished audits with no statute waivers on file
2. The system evaluates the audit status and audit type
    a. If the audit was started, the system generates a statute of limitations waiver letter and waiver template for the Taxpayer
        i. The process continues
    b. If the audit was not started and is a high-value audit, the system generates a next year audit waiver letter and waiver template for the Taxpayer
        i. The process continues
    c. If the audit was not started and is not a high-value audit, the system releases the audit from the work list and saves an audit trail of the audit release
        i. The process ends

…

3. The system monitors for Taxpayer response

a. If the Taxpayer signs the waiver, the system saves the waiver and updates the statute of limitations in the system
    i. The system adds the audit to the audit list for the following year
    ii. The system assigns any started audits to the same BPP auditor to continue auditing during the next year
    iii. The process ends
b. If the Taxpayer does not sign the waiver, the system adds the audit to the audit list for the following year
    i. The system flags the account as having a shorter statute (BPP Auditor will have the decision to make about whether to audit fewer years or whether to audit the full 5 years ("jeopardy audit" if the city has liability for valuations conducted for dates out of statute)
    ii. The process ends

Alternate Flow A: BPP Auditor Manual Statute Waiver

1. The BPP Auditor determines at any point in processing the audit that the audit will not be completed during the assigned year
2. The BPP Auditor indicates to generate an audit waiver letter for the Taxpayer
3. The system generates the indicated audit waiver letter for the Taxpayer
4. The process continues at Primary Flow Step 3

5.2.10 Use Case: California Counties Cooperative Audit Service Exchange (CCCASE) Audits

Actor(s)
BPP Auditor

Purpose and Objectives
California Counties have an agreement to conduct audits on behalf of other California Counties based on Joint Power Agreement. These audits for buy and sell are negotiated annually at a meeting in March. Counties may agree to conduct audits for another County or to have their audits completed by another County. These agreements are updated in the system and processed uniquely by BPP Auditors when they are assigned. Audits conducted for other Counties involve receiving initial information, conducting research, and then returning the results to the requesting County. Audits conducted by other Counties involve preparing data for the other County, uploading returned research, and then completing the audit based on normal process.

Trigger Event(s)
- CCCase Audits information is uploaded to the system after the annual meeting
- BPP Auditors process CCCase audits

Precondition(s)
- CCCase audit templates are saved in the system

Post condition(s)
- CCCase audits have been completed

Associated Use Cases
- Business Property Audits

Use Case Flow
1. The BPP Auditor reviews the CCCase Audit to determine if it is an audit for another County or by another County
    a. If the Audit is for another County, the BPP Auditor uploads or enters audit information from the other County into the CCCase template
        i. The BPP Auditor conducts research for the other County and saves the information in the CCCase template
        ii. The BPP Auditor returns the completed audit package to the other County
            1. The process ends
    b. If the Audit is by another County, the process continues
2. The BPP Auditor prepares the CCCase template of audit information for the other County to conduct the audit research
3. The BPP Auditor sends the audit package to the other County

…

4. The BPP Auditor uploads and/or enters data from the other County into the system

a. The process continues at Use Case: Business Property Audits Step 17

Alternate Flow A: Annual CCCase Audits Information Update

1. A single designated user inputs the CCCase buy and sell audit list in the system after the annual meeting in March
    a. Buy and sell audit list includes, but is not limited to:
        i. Audits to be conducted by other Counties
        ii. Audits to be conducted for other Counties
2. The system saves the CCCase buy and sell audit list

6.0 Roll Management

6.1 Background

6.1.1 Introduction

The Assessor's Office is responsible for the management of the annual assessment rolls. These rolls contain the official valuations for all assessable secured and unsecured property in the City for the given roll year.

6.1.1 Roll Changes

Business personal property and real property roll changes may be necessary if additional information or an error is discovered, a real property Change in Ownership event occurs, as the result of a business property audit, or other qualifying events. Roll changes require research to determine new valuations, recalculations of new assessed values, obtaining of appropriate approvals, updating of the roll, and notification of the assessee/taxpayer of the change in the assessed value.

6.1.2 Roll Open and Close

Assessment rolls must be officially opened and closed by authorized Assessor staff. Opening a roll indicates that property details and valuations can be updated and edited for the current roll year. The roll maintains an editable status until the roll is officially closed. When the roll is closed, all valuations are frozen for the indicated roll year.

6.1.3 Overview of Use Cases, Actors, and Triggers for Roll Management Functions

Table 6. Overview of Use Cases, Actors, and Triggers for Roll Management Functions

Use Case Name	Actor	Trigger	Description
Real Property Roll Changes	Real Property Appraiser	A Real Property Appraiser has updated a prior year real property assessment	Processing of updated real property assessments from prior year assessment rolls
Business Personal Property Roll Change	BPP Auditor	A BPP Auditor finds out about a roll change	Processing of updating BPP assessments from prior year assessment rolls
Secured value transfer to unsecured roll	Appraiser	A Taxpayer notifies the Assessor’s Office of sale of property after receiving a secured bill; Incorrect Block and Lot (Taxpayer request)	Transferring of secured values to the unsecured roll
Unsecured value transfer to secured roll	Auditor	Appraiser discover the need to transfer an unsecured bill to a secured bill	Transferring of unsecured values to the secured roll
Roll Close and Roll Open	Principal Appraiser	Initiated by the system based on scheduled roll close and open dates	Closing of the current working year roll and opening of the next year roll

6.2 Use Cases

6.2.1 Use Case: Real Property Roll Change

Actor
Real Property Appraiser

Purpose and Objectives
Updates to real property assessments from current or prior year assessment rolls result in real property roll change. These reassessments are conducted by Real Property Appraisers and approved by Real Property Principals. Reassessments for a given year may have an impact on assessment values for following years as well. These are automatically calculated for the relevant years once the original assessment is updated. Corrected assessment roll values are routed to the Tax Collector's office for bill generation.

Trigger Event(s)
- A Real Property Appraiser has updated a current or prior year real property assessment

Precondition(s)
- A real property assessment has been completed in the system
- Taxpayer new valuation notice templates are saved in the system

Post condition(s)
- Real property reassessments have been updated and enrolled
- Taxpayers have been notified of new assessment values
- Reassessments have been routed to the Controller's Office for bill calculation

Associated Use Cases
- TTX: Secured Bill Generation

Use Case Flow

1. The Real Property Appraiser updates a current or prior year real property assessment
    a. Real property assessments may be updated due to reasons including, but not limited to:
        i. Prior year unprocessed changes
        ii. Appeals
        iii. Exemptions
        iv. Recorder events
        v. New construction (DBI) information
        vi. Unpermitted new construction
        vii. Changes in ownership after the lien date
2. The Real Property Appraiser selects to save the new assessment value and propagate new assessment values for other affected years as appropriate
3. The system saves the new valuation and calculates appraised values for other affected years as appropriate

4. The system routes the reassessment to the Real Property Principal for review and approval
    a. If the Real Property Principal identifies issues with the reassessment, the system routes the reassessment back to the Real Property Appraiser with Real Property Principal notes
        i. The process continues at Step 1

…

5. Once the reassessment has been approved by the Real Property Principal, the system saves the final valuations in the system
6. The system generates and sends a barcoded notification to the Tax Payer of the new valuation informing them of the roll change

…

7. The system monitors for taxpayer response (as scanned and uploaded to the system by Mail Staff) by a pre-configured date
    a. If the system identifies that the taxpayer has responded, the process continues at Alternate Flow A: Taxpayer Response
    b. If there has been no Taxpayer response, the process continues
8. The system enrolls the values and associated data as scheduled in the system
    a. Enrolled values and associated data include, but are not limited to:
        i. Previously assessed value
        ii. New assessed value(s) and associated year(s)
        iii. Ownership information
        iv. …
    b. The system evaluates if the reassessment results in a supplemental(s)
        i. If the system identifies that a supplemental(s) assessment is necessary, the system generates and issue supplemental(s) for event year prescribed by R&T code 73.11, if applicable
    c. The process continues at Use Case: TTX: Secured Bill Generation

Alternate Flow A: Taxpayer Response

1. The system routes the reassessment and Taxpayer response to the Real Property Appraiser for review

2. The Real Property Appraiser selects to send the Taxpayer a notification to file an appeal
3. The system generates and sends a notification to the Taxpayer to file an appeal
4. The Real Property Appraiser reviews the Taxpayer response and determines whether a reassessment is required
    a. If the Real Property Appraiser identifies that the assessment needs to be reevaluated based on Taxpayer response, the process continues at Primary Flow Step 1
    b. If the Real Property Appraiser identifies that a reassessment is unnecessary, the Real Property Appraiser selects to enroll the approved valuation
        i. The process continues at Primary Flow Step 6

6.2.2 Use Case: Business Personal Property Roll Changes

Actor
BPP Auditor

Purpose and Objectives
Updates to BPP assessments from trigger events results in BPP roll changes. These reassessments are conducted by BPP Auditors and approved by BPP Principals. Reassessments for a given year may have an impact on assessment values for additional years as well. BPP reassessments can apply to both secured and unsecured taxes. Corrected assessment roll values are then routed to the Controller's Office for bill calculation.

Trigger Event(s)
- A BPP Auditor determines a roll change is warranted

Precondition(s)
- A BPP assessment has been completed in the system
- Taxpayer new valuation notice templates are saved in the system

Post condition(s)
- BPP reassessments have been updated and enrolled
- Taxpayers have been notified of new assessment values
- BPP reassessments have been routed to the Controller's Office for bill calculation

Associated Use Cases
- TTX: Unsecured Bill Generation

Use Case Flow

2. The system identifies BPP roll changes
    a. Roll corrections can result from a number of different sources including, but not limited to:
        i. Prior year change
        ii. Tax Payer notification (documentation depreciation schedule), cancellation
            1. Tax Payer mail, email, and other requests should be documented in the system by Clerical Support Staff. Documentation may include scanning and assigning account numbers to the documents.
        iii. Audit results
        iv. Appeal
        v. CIO
        vi. Not filing the prior year
3. The system assigns work to BPP Auditors based on pre-configured business rules
4. The BPP Auditor logs into the system and researches accounts
5. The BPP Auditor identifies if additional information is necessary

   a. If additional documentation is necessary, the BPP Auditor requests additional documentation from the Tax Payer
      i. If the BPP Auditor receives additional documentation, the BPP Auditor incorporates the additional information received into the reassessment
         1. The process continues
6. The BPP Auditor reviews and updates assessment(s) as necessary
   a. Assessment updates may include, but are not limited to:
      i. Updating assessments for multiple years if the discovery process identifies that multiple years are affected by the reassessment
      ii. Updated BPP secured or unsecured taxes
7. The system saves the new valuation(s) and associated years
8. The system routes the new valuation(s) to the BPP Principal for review and approval
   a. If the BPP Principal identifies issues with the reassessment, the system routes the reassessment back to the BPP Auditor with BPP Principal notes
      i. The process continues at Step 5

…

9. Once the reassessment has been approved by the BPP Principal, the system saves the final valuations in the system
10. The system generates and sends a barcoded notification to the Tax Payer of the new valuation
11. The system enrolls the values as scheduled in the system
   a. The process continues at Use Case: TTX: Unsecured Bill Generation

6.2.3 Use Case: Secured value transfer to unsecured roll

Actor
Appraiser

Purpose and Objectives
Secured assessment values may become unsecured if the Taxpayer sells the property associated with the original assessment. The Taxpayer still owes the tax for the property even though they no longer own it. Under these circumstances, the formerly secured value should be transferred to the unsecured roll. Appraisers indicate that these transfers should occur in the system. The system completes the transfer once the Principal Appraiser has approved the transfer.

Trigger Event(s)
- The Appraiser discovers a sale of property after the Taxpayer has received a secured bill for that property

Precondition(s)
- Assessments are able to be reclassified in the system

Post condition(s)
- Formerly secured values have been transferred to the unsecured roll

Associated Use Cases
- TTX: Unsecured Bill Generation

Use Case Flow

1. The Appraiser discovers a sale of property after the Taxpayer has received a secured bill for that property
    a. Discovery methods could include, but is not limited to, notification from:
        i. Taxpayer
        ii. Controller's Office
        iii. Tax Collector's Office
        iv. Transactions Unit
2. The Appraiser ensures that escrow has closed and that the sale has been routed to the Transfer Unit
    a. If the property is still in escrow, the Appraiser creates a reminder in the system to recheck the property once escrow has closed.
        i. The system creates a reminder and notifies the Appraiser on the appropriate day
            1. The process continues
3. The Appraiser logs into the system and selects to reclassify the assessment
4. The system displays the assessment and prompts the Appraiser to identify the type of reclassification
5. The Appraiser selects to reclassify the assessment as unsecured and adds notations about the reason for the reclassification

6. The system saves the notations about the reason for the reclassification
7. The system holds the reclassification in a pending status pending Principal Appraiser review
8. The system routes the reclassification to the Principal Appraiser for review and approval
    a. If the Principal Appraiser identifies issues with the reclassification, the system routes the reclassification back to the Appraiser with Principal Appraiser notes
        i. The process continues at Step 3
9. Once the reclassification has been approved by the Principal Appraiser, the system enrolls the assessment as unsecured with a flag indicating the change
10. The system routes the assessment reclassification and associated notations to the Tax Collector's Office for bill generation
    a. The process continues at Use Case: TTX: Unsecured Bill Generation

6.2.4 Use Case: Unsecured value transfer to secured roll

Actor
Auditor

Purpose and Objectives
Taxpayers may require an unsecured value to be secured to a property. Under these circumstances, Auditors indicate that these transfers should occur in the system. The system completes the transfer once the Principal Auditor has approved the transfer.

Trigger Event(s)
- Auditor discovers need to transfer unsecured value to the secured roll

Precondition(s)
- Assessments are able to be reclassified in the system

Post condition(s)
- Formerly unsecured values have been transferred to the secured roll

Associated Use Cases
- TTX: Secured Bill Generation
- CON: Roll Changes

Use Case Flow
1. The Auditor discovers the need to transfer unsecured values to the secured roll
    a. Discovery can occur through methods including, but not limited to:
        i. Taxpayer notification
        ii. Audit finding
        iii. CIO
        iv. Taxpayer receiving multiple bills
2. The Auditor logs into the system and selects to reclassify the assessment
3. The system displays the assessment and prompts the Auditor to identify the type of reclassification
4. The Auditor selects to reclassify the assessment as a secured escape and adds notations about the reason for the reclassification
5. The system saves the notations about the reason for the reclassification
6. The system holds the reclassification in a pending status pending Principal Auditor review
7. The system routes the reclassification to the Principal Auditor for review and approval
    a. If the Principal Auditor identifies issues with the reclassification, the system routes the reclassification back to the Auditor with Principal Auditor notes
        i. The process continues at Step 2
8. Once the reclassification has been approved by the Principal Auditor, the system enrolls the assessment as secured with a flag indicating the change

9. The system determines in the reclassification only affects the current year or if it effects prior year rolls
    a. If the reclassification is only for current year roll, the system saves the value for inclusion on the end of year roll
    b. If the reclassification effects prior year rolls, the system passes the assessment to the Tax Collector's office for bill generation and any supplemental(s) / roll changes to the Controller's office for review
        i. The process continues at Use Case: TTX: Secured Bill Generation and Use Case: CON: Roll Changes

6.2.5 Use Case: Roll Close and Roll Open

Actor
Principal

Purpose and Objectives
Appraisers and Auditors conduct valuations, or assessments, for individual roll years. Although Appraisers and Auditors may also be updating valuations for prior years, there is only one single working year roll at any given time. The working year roll must be closed, or finalized, on a specific date for each year as scheduled by Assessor Management. At this time, the roll for the following year is also opened, or activated, and becomes the next working year roll.

Trigger Event(s)
- Initiated by the system based on scheduled roll close and open dates

Precondition(s)
- Roll close dates have been scheduled in the system
- Roll open dates have been scheduled in the system

Post condition(s)
- The working year roll has been closed
- The next year roll has been opened

Associated Use Cases
- CON: Roll Extension

Use Case Flow

1. The system tracks key roll close calendar dates as configured and scheduled by Assessor Management
2. The system tags all assessments received after the indicated date as pertaining to the next roll year
3. The system generates final quality control reports on a preconfigured date
    a. Final quality control reports include identifying accounts meeting pre-configured criteria including, but not limited to:
        i. Assessments over a pre-configured threshold
        ii. Assessments with building characteristics and no value
        iii. Assessments with land characteristics and no value, etc.
        iv. Non-taxable properties with value
4. The system routes the quality control reports to the Chiefs on a preconfigured date for final review and adjustments
5. The Chiefs logs into the system and selects to review and update the final assessment data for the working year roll
6. The system displays working year roll information for the Chiefs
    a. Information displayed includes, but should not be limited to:
        i. Final assessment data

ii. Quality control reports

b. The system will provide the Chiefs with the ability to delegate review and correction to Principals

7. The Chiefs review the quality control reports and assessment data and makes updates as necessary
8. The Chiefs approves the final assessment data on the working year roll
   a. The system saves the final assessment values on the working year roll
9. The system routes the working year roll to the Deputy of Operations and Assessor for final closure of the working year roll
10. The Deputy of Operations and Assessor approve the final closure of the working year roll
11. The system closes the working year roll as scheduled in the system
12. The system transfers the closed assessment roll to the Controller's Office as scheduled in the system
    a. The process continues at Use Case: CON: Roll Extension
13. The system opens the roll for the new year

7.0 Appeals

7.1 Background

7.1.1 Introduction

Taxpayers may respond to an assessed value by appealing the determination. This process involves filing an appeal with the Assessment Appeal Board. Assessor's Office Staff review the filing and determine necessary next steps. Steps may include a pre-hearing, requests for additional information, conversations with the taxpayer, formal hearing, and/or postponements and withdrawals after conversations with the taxpayer. The prehearing is an opportunity for all involved parties to request and provide additional information. In some cases, if the Taxpayer and the Assessor's Office are able to come to a valuation decision prior to a formal hearing, the Taxpayer can withdraw the appeal and the valuation can be resolved by the Assessor's Office. If the parties are not able to come to an agreement prior to a formal hearing, a binding determination will be made at the formal hearing.

All calendaring and process information, as well as final valuation determinations are logged in the System.

7.1.2 Overview of Use Cases, Actors, and Triggers for Appeals Functions

Table 7. Overview of Use Cases, Actors, and Triggers for Appeals Functions

Use Case Name	Actor	Trigger	Description
TU Appeals Process	TU Specialist	TU has received notice of an appeal filed or scheduled by the AAB	Review and processing of TU appeals
BPP Appeals Process	BP Appeals Team	BPP has received notice of an appeal filed or scheduled by the AAB	Review and processing of BP appeals
RP Appeals Process	RP Appraiser (Primary) Office Assistant Analyst	RP has received notice of an appeal filed or scheduled by the AAB	Review and processing of RP appeals
Pre-Hearing Conference	Appeals Staff	Appeals Staff request a prehearing conference	AAB pre-hearing conference process
Formal Hearing	Assessor's Office Staff	The AAB holds a formal hearing	Resolution of AAB formal hearing results

7.2 Use Cases

7.2.1 Use Case: TU Appeals Process

Actor
TU Specialist

Purpose and Objectives
Transaction Unit (TU) determinations may be appealed by Taxpayers through a formal process with the Assessment Appeals Board (AAB). TU receives notice of these appeals from the AAB and researches details of the appeals. During the course of discovery, the Taxpayer may elect to withdraw the appeal. If the Taxpayer does not withdraw the appeal, the process continues to a formal hearing process. The AAB resolves any outstanding Taxpayer appeals at formal hearings if an agreement has not been reached with the Taxpayer prior to the scheduled date. AAB determinations are entered into the system. Determinations may result in updated assessment and bill values. Hearings before a Board is also an opportunity for Taxpayers or the Assessor to request for Postponements, if more time is needed to resolve an appeal matter, or present an agreed upon stipulation. In some cases an agreement is met; however due to the statute of limitations to correct ASR system internally, or failure to submit a timely 'Request for Postponement' for Board approval, the TP and ASR as a result have to present before a Board at their scheduled hearing.

Trigger Event(s)
- TU has received notice of an appeal filed or scheduled by the AAB

Precondition(s)
- A Taxpayer has submitted a formal appeal with the AAB
- The AAB is able to send information to the system
- “Letter of Change” notice templates are saved in the system

Post condition(s)
- TU appeals information has been saved and updated in the system
- TU appeals have been withdrawn by the Taxpayer or will continue to the formal hearing
- Formal hearing results have been saved in the system and routed for updated billing if necessary

Associated Use Cases
- Use Case: TTX: Unsecured Bill Generation
- Use Case: TTX: Secured Bill Generation

Use Case Flow

1. TU Specialist receives notifications from the AAB with information about TU appeals that have been filed and/or scheduled
2. TU Specialist scans or uploads, saves and tracks the AAB files into the system and manually adds any available notes
    a. Available information includes, but is not limited to:

i. Appeals scheduled dates, including but not limited to:
   1. Formal hearing
   2. Prehearing conference
   3. Admin hearing
ii. Appeal number
iii. Roll year
iv. Assessment type, including but not limited to:
   1. Regular
   2. Escape
   3. Supplemental
v. Appeals type
   1. Supplemental appeal
   2. Base year value appeal
   3. Escape appeal
   4. Regular appeal
   5. Penalty
vi. The event date being appealed
vii. Appeal reason
viii. APN
ix. Appeal reason from AAB and description of appeal
x. Parcel address
xi. Applicant Name
xii. Applicant contact information
xiii. Agent/representative name
xiv. Agent contact information
xv. Final decision
xvi. Requester of postponements
xvii. Postponements
xviii. Number of postponements
xix. Type of postponement (pre-hearing, admin hearing, regular)
xx. Associated Controller letters
xxi. Assigned Auditor or Appraiser
xxii. Years under appeal
xxiii. Statute of limitations date
xxiv. Appeal history for taxpayer or APN

xxv. Notification to Real Property or another authorized user

xxvi. Account Number

3. The system determines if the appeals information is for an existing appeal
    a. If the appeals information is for an existing appeal, the system associates the new information with the existing appeal
        i. Data associated with an appeal may include, but is not limited to:
            1. Appeal reason, including but not limited to:
                a. Sibling to sibling transfer
                b. State Registered Domestic Partners transfers
                c. LEOP penalty
                d. Share and share alike
                e. Parent-to-Child or Grandparent-to-Grandchild Transfer
                f. Financing
                g. Fraud
                h. Disproportional Transfer to LLC
                i. Interspousal
            2. Appeal type
                a. Regular
                b. Escape
                c. Supplemental
                d. Base year
        ii. The process continues
    b. If the appeals information is not for an existing appeal, the system creates a new appeal work item
        i. The system also generates and sends a notice to the claimant requesting additional information to substantiate the appeals claim
        ii. The process continues
4. The system routes the work item to the TU Specialist for review after a preconfigured number of days
    a. If the claimant has provided additional information, this information is also provided to the TU Specialist
5. The system also tracks appeals dates and sends reminders as configured in the system
6. The system also tracks 1606 requests for information and sends reminders as configured in the system

…

7. TU Specialist selects to review and research appeals from the work queue
    a. Research items can include, but are not limited to:
        i. Reviewing chain of events around reassessment
        ii. Retrieving a copy or image of all recorded/unrecorded documentations by searching information relating to APN, including but not limited to:
            1. Recording date
            2. Grantor/Grantee
            3. Document types
        iii. Reviewing change in ownership events
        iv. Accessing old and current contact information of previous and current owners/representatives, including but not limited to:
            1. Property location
            2. Mailing address
            3. Phone numbers
            4. Email
        v. Contacting Taxpayers for more information as necessary
        vi. Communicating with the original processor of assessment appeal Event
        vii. Reviewing record of original processors of each document recorded or unrecorded, as well as a record of processors who edit or add comments to particular documents
        viii. Reason(s) for reassessment
        ix. Exclusions from reassessment that may or may not apply
        x. Prioritizing appeals cases
        xi. Generating request letters
8. TU Specialist documents findings in the system with notes from any communications with Taxpayers, including but not limited to:
    a. Changes / updates to contact information
    b. Scanning/uploading supporting evidence to appeals claim by Taxpayer and authorized representative(s)
    c. Requests by ASR for more information
    d. Miscellaneous notes relating to appeal

…

9. If the Taxpayer withdraws the appeal at any point, TU Specialist documents the decision in the system

a. The AAB receives the withdrawal and passes information to the system
b. The system saves the decision by TU and/or TP and updates the status of the appeal
c. TU specialist makes correction to the system and Reviews
d. The process ends

10. If the appeal is greater than four years old, the process continues at Step 13
11. If TU Specialist decides to proceed with the hearing for a case less than four years old, the process continues at Step 13
12. If TU Specialist decides not to proceed with the hearing for a case less than four years old at any point, TU Specialist select to send a "Letter of Change" to the Taxpayer
    a. The system generates and sends the "Letter of Change" to the Taxpayer
        i. If the Taxpayer withdraws the appeal, the process continues at Step 9
        ii. If the Taxpayer does not withdraw the appeal, the process continues at Step 13
13. The TU Specialist prepares documents as necessary in preparation for a formal hearing.
    a. Documents may include, but are not limited to:
        i. Stipulation agreement
        ii. ASR Exhibit
        iii. Brief
            1. Recorded documents
            2. Citation: Laws
            3. Analysis
        iv. Other supporting documentation
    b. The process continues

…

The AAB has the responsibility to hold formal hearings and make final determinations about appeals that have not been resolved prior to the formal hearing. The AAB sends a Decision letter with determinations for all cases. If the determination is in the Claimant's favor, the AAB will also send a Controller letter with the changes to be made.

14. Assessor's Office Staff uploads the AAB appeal determination results data to the system
    b. Determination results data includes, but is not limited to:
        i. Appeal type
            1. Regular
            2. Escape
            3. Escape year

4. Notice date of escape
5. Enrollment date of escape
6. Supplemental (RP or TU)
7. Supplemental year
8. Notice date of supplemental
9. Enrollment date of supplemental
10. Base year (RP only)
11. Base year value

ii. New assessment

iii. Allocation of new assessment

1. TU – Land/improvement value and change or no change

iv. Exclusion amounts to apply

v. Appeal number

vi. No change

vii. Applicant

viii. Event Date

15. The system propagates the appeal results to multiple years as appropriate
16. The system saves the updates pending Assessor Staff review
17. The system routes the AAB updates to the appropriate Assessor Staff for review
18. Assessor Staff review the AAB updates for issues

c. If Assessor Staff identify issues, Assessor Staff contacts the AAB to update the Controller letter

i. The process continues at Step 14

d. If Assessor Staff do not identify issues, Assessor Staff accepts the changes and the process continues

19. The system determines if there are any changes from the AAB determination

e. If there are no changes, the system saves the determination, closes the appeal, and maintains the existing valuation

i. The process ends

f. If there is a change, the system holds the changes pending receipt of the Controller letter

i. Once the Controller letter is received, the system enrolls the changed values

ii. The system routes the reassessment for updated billing

iii. The process continues at Use Case: TTX: Unsecured Bill Generation or Use Case: TTX: Secured Bill Generation

7.2.2 Use Case: BPP Appeals Process

Actor
BPP Appeals Team (primary)
Principal

Purpose and Objectives
Business Personal Property (BPP) determinations may be appealed by Taxpayers through a formal process with the Assessment Appeals Board (AAB). BPP receives notice of these appeals from the AAB and researches details of the appeals. During the course of discovery, the Taxpayer may elect to withdraw the appeal. If the Taxpayer does not withdraw the appeal, the process continues to a formal hearing process.

Trigger Event(s)
- BPP has received notice of an appeal filed or scheduled by the AAB

Precondition(s)
- A Taxpayer has submitted a formal appeal with the AAB
- The AAB is able to send information to the system
- 441D notice templates are saved in the system

Post condition(s)
- BPP appeals information has been saved and updated in the system
- BPP appeals have been withdrawn by the Taxpayer or will continue to the formal hearing process
- BPP reassessments based on appeals findings have been updated in the system

Associated Use Cases
- Pre-Hearing Conference
- Formal Appeal

Use Case Flow

1. The Analyst receives notifications from the AAB with information about BPP appeals that have been filed and/or scheduled
2. The Analyst scans or uploads and saves the files into the system and manually adds any available information, or automatically uploads from AAB system if possible
   a. Available information includes, but is not limited to:
      i. Appeals scheduled dates
      ii. Appeal number
      iii. Roll year
      iv. Assessment type (regular or escape)
3. The system evaluates if the appeals information is for an existing appeal
   a. If the appeals information is for an existing appeal, the system associates the new information with the existing appeal

   b. If the appeals information is not for an existing appeal, the system creates a new appeal work item
4. The system routes the work item to the BPP Appeals Team for review
   a. The system prioritizes appeals by data including, but not limited to:
      i. Hearing Date
      ii. Value
      iii. Information provided
      iv. Queued for Audit
      v. Account number
   b. The system also tracks relevant information and sends reminders as appropriate
      i. Tracked information includes, but is not limited to:
         1. Appeal dates
         2. 1606 requests for information
         3. Postponements and number of postponements
         4. Controller letters associated with completed appeals
         5. Statute expiration date

…

5. The BPP Appeals Team selects to review and research appeals from the work queue
6. The BPP Appeals Team identifies if there is a current audit associated with the appeal
   a. If there is a current audit, the process continues at Alternate Flow A: Current Audit
   b. If there is not a current audit, the process continues
7. The BPP Appeals Team selects to send various notices to Taxpayers, including, but not limited to:
   a. 441D letter
   b. Request for postponement form
   c. Withdrawal form
8. The system generates and sends the barcoded letter(s) to the Taxpayer
9. The BPP Appeals Team documents findings in the system including notes from any communications with Taxpayers

…

10. The system prompts the BPP Appeals Team to review the appeal after the preconfigured number of days have passed
11. The BPP Appeals Team monitors for Taxpayer response within the preconfigured number of days
    a. If the Taxpayer responds with sufficient information within 21 days, the process continues
    b. If the Taxpayer does not respond within 21 days or does not respond with sufficient information, the process continues at Use Case: Pre-Hearing Conference
12. The BPP Appeals Team indicates that sufficient information has been provided by the Taxpayer
13. The BPP Appeals Team recalculates or adjusts the assessment based on updated information
14. The system recalculates and displays the updated assessment for the BPP Appeals Team
15. The BPP Appeals Team reviews, edits, and accepts the recalculated or adjusted assessment
16. The system routes the assessment to the Principal for review

…

17. The system monitors for Principal response
    a. If the Principal identifies issues with the assessment, the system routes the assessment with Principal notes back to the BPP Appeals Team for review
        i. The process continues at Step 13
    b. If the Principal approves of the assessment, the Principal accepts the recalculated or adjusted assessment and indicates to send a notification to the Taxpayer
        i. The system generates and sends assessment correspondence to the taxpayer by email or mail as appropriate

…

18. The BPP Appeals Team monitors for Taxpayer response
    c. If the Taxpayer and BPP Appeals Team have come to an agreement on a reassessment value, the Taxpayer withdraws the appeal
        i. The BPP Appeals Team makes the adjustment pending AAB withdrawal
        ii. The AAB receives the withdrawal and passes information to the system

iii. The system saves the AAB decision, updates the assessment value, and updates the status of the appeal

iv. The process ends

d. If the Taxpayer does not agree with the reassessment, the process continues at Use Case: Formal Hearing

e. If the Taxpayer does not submit a withdrawal prior to the scheduled hearing, the process continues at Use Case: Formal Hearing

f. If the Statute of limitations has expired prior to the scheduled hearing, the process continues at Use Case: Formal Hearing

g. If the Taxpayer withdraws the appeal prior to the scheduled hearing, but a reassessment is not necessary, BPP Appeals Team documents the decision in the system

   i. The AAB receives the withdrawal and passes information to the system

   ii. The system saves the AAB decision and updates the status of the appeal

   iii. The process ends

Alternate Flow A: Current Audit

1. The BPP Appeals Team talks with the Auditor conducting the audit associated with the appeal
2. The BPP Appeals Team enters the tentative audit completion date in the system
   a. The system tracks the audit against key appeal dates
   b. The system prompts the Auditor to complete the audit
   c. If the audit will resolve the appeal, but will not be completed by the formal hearing date, BPP Appeals Team postpones the hearing date either through the Taxpayer or directly with the AAB
3. The system notifies the BPP Appeals Team when the audit has been completed
   a. If the audit results indicate that the hearing needs to be postponed, BPP Appeals Team postpones the hearing date either through the Taxpayer or directly with the AAB
4. The BPP Appeals Team reviews the unresolved issues with the Taxpayer
   a. If the Taxpayer withdraws the appeal, the BPP Appeals Team documents the decision in the system
      i. The AAB receives the withdrawal and passes information to the system
      ii. The system saves the AAB decision and updates the status of the appeal
      iii. The process ends
   b. If the Taxpayer does not withdraw the appeal, the process continues at Primary Flow Step 7

7.2.3 Use Case: RP Appeals Process

Actor
RP Appraiser (Primary)
Office Assistant
Analyst

Purpose and Objectives
Real Property (RP) determinations may be appealed by Taxpayers through a formal process with the Assessment Appeals Board (AAB). RP receives notice of these appeals from the AAB and researches details of the appeals. During the course of discovery, the Taxpayer may elect to withdraw the appeal. If the Taxpayer does not withdraw the appeal, the process continues to a formal hearing process.

Trigger Event(s)
- RP has received notice of an appeal filed or scheduled by the AAB

Precondition(s)
- A Taxpayer has submitted a formal appeal with the AAB
- The AAB is able to send information to the system
- 441D notice templates are saved in the system

Post condition(s)
- RP appeals information has been saved and updated in the system
- RP appeals have been withdrawn by the Taxpayer or will continue to the formal hearing
- RP reassessments based on appeals findings have been updated in the system

Associated Use Cases
- Pre-Hearing Conference
- Formal Appeal

Use Case Flow
1. The Analyst receives notifications from the AAB with information about RP appeals that have been filed and/or scheduled
2. The Analyst scans or uploads the files into the system and manually adds any available information
    a. Available information includes, but is not limited to:
        i. Appeals scheduled dates
        ii. Appeal number
        iii. Roll year
        iv. Assessment type (regular or escape)
3. The system evaluates if the appeals information is for an existing appeal
    a. If the appeals information is for an existing appeal, the system associates the new information with the existing appeal

   b. If the appeals information is not for an existing appeal, the system creates a new appeal work item
4. The system tracks appeals dates and sends reminders as configured in the system
5. The system also tracks 1606 requests submitted by Taxpayer or Assessor staff for information and sends reminders as configured in the system
6. The system also tracks Taxpayer-submitted 408 requests for information
7. The system determines if a request for information letter is required based on pre-configured business rules
   a. If a request for information letter is required, the system determines the type of letter to send
      i. Potential letters include, but are not limited to:
         1. 441D letter
         2. Request for postponement form
         3. Withdrawal form
      ii. The system generates and sends a letter to the Taxpayer based on property type
         1. Property types include, but are not limited to:
            a. Office
            b. Apartment
            c. Industrial
            d. Hotel
            e. Mixed use
            f. Mixed use residential
            g. Retail
            h. Data centers
            i. Parking garage
            j. Church
            k. Schools
            l. Residential
      iii. Information letters are generally sent with the exception of 4 units or less residential with appeals not related to supplemental or base year assessments

…

8. The system prompts the Office Assistant to review the appeal after the preconfigured number of days have passed

9. The Office Assistant monitors for Taxpayer response within the pre-configured timeline
    b. If the Taxpayer responded, the Office Assistant documents the response in the system
        i. The system routes the appeal to the Appraiser for review
        ii. The process continues at Step X
    c. If the Taxpayer opts out of the 441D process, the process continues at Use Case: Formal Hearing
    d. If the Taxpayer does not respond, the process continues at Use Case: Pre-Hearing Conference
10. The RP Appraiser reviews the available information
    a. If the RP Appraiser determines that sufficient information has not been provided by the Taxpayer, the RP Appraiser documents the missing information in the system
        i. The process continues at Step 7ai
11. The RP Appraiser indicates that sufficient information has been provided by the Taxpayer
12. The system routes the appeal information to the Principal for review
13. The system monitors for Principal response
    a. If the Principal identifies issues with the appeal information, the system routes the assessment with Principal notes back to the RP Appraiser for review
        i. The process continues at Step 10
    b. If the Principal approves of the appeal information, the Principal confirms that there is sufficient information
        i. The system prioritizes the work item based on information including, but not limited to
            1. Scheduled Hearing dates
            2. Trigger valuation workflow
        ii. The system routes the work item to the RP Appraiser
14. The RP Appraiser selects to review the appeal work item
15. The RP Appraiser determines if the value can be administratively changed
    b. If the value cannot be administratively changed, the process continues at Use Case: Formal Hearing
    c. If the value can be administratively changed, the process continues
        i. Values that can be administratively changed include, but are not limited to:
            1. Current year prop 8
            2. Supplemental or base year within the prior 4 years
            3. Prior year prop 8 exists in the past 4 years

16. The RP Appraiser values the property associated with the appeal
17. The system routes the assessment to the Principal for review

…

18. The system monitors for Principal response
    a. If the Principal identifies issues with the assessment, the system routes the assessment with Principal notes back to the RP Appraiser for review
        i. The process continues at Step 14
    b. If the Principal approves of the assessment, the Principal accepts the recalculated or adjusted assessment
19. The RP Appraiser calls and discusses the appeal with the Taxpayer
    a. If the RP Appraiser cannot come to an agreement with the Taxpayer, the process continues at Use Case: Formal Hearing
    b. If the RP Appraiser comes to an agreement with the Taxpayer, the RP Appraiser sends an email to the Taxpayer summarizing the conversation and agreement
        ii. The RP Appraiser updates the assessment pending AAB withdrawal
        iii. The Taxpayer withdraws the appeal with the AAB
        iv. The AAB receives the withdrawal and passes information to the system
        v. The system updates the assessment and appeals status

7.2.4 Use Case: Pre-Hearing Conference

Actor
Appeals Staff

Purpose and Objectives
The AAB holds Pre-Hearing Conferences at the request of the Appeals Staff. These Conferences are an opportunity to gain additional information from the Taxpayer. If the Taxpayer does not attend the Pre-Hearing Conference, their appeal will be denied, but per AAB, Taxpayer can request an appeal to be reopened.

Trigger Event(s)
- Appeals Staff request a prehearing conference

Precondition(s)
- Appeals have been filed

Post condition(s)
- Prehearing conferences have been held

Associated Use Cases
- BP Appeals Process
- RP Appeals Process
- Formal Hearing

Use Case Flow
1. Appeals Staff selects to request a prehearing conference from the AAB
2. The system generates and sends a prehearing conference request to Principal for approval
3. Once approved by the Principal, the system submits the prehearing conference request to the AAB

…

4. The system applies the prehearing conference date to the appeal once received from the AAB

…

The AAB has the responsibility to hold the pre-hearing. There are three potential outcomes to the pre-hearing: 1) the Taxpayer does not show up and the appeal is denied for lack of appearance, 2) the Taxpayer has provided sufficient information and the AAB sets a Formal Hearing date, or 3) the Taxpayer is directed to provide sufficient information by a certain date.

5. Appeals Staff attend the pre-hearing

6. Appeals Staff documents information from the pre-hearing in the system
    a. Information to be documented includes, but is not limited to:
        i. Information the Taxpayer is required to provide
        ii. Date the Taxpayer is required to provide it by
        iii. No-shows
        iv. Information received from the Taxpayer at the prehearing conference (reportable)
    b. If the appeal was denied due to lack of appearance, Appeals Staff document the decision in the system
        i. The system saves the AAB decision and updates the status of the appeal
        ii. The process ends
    c. If the Taxpayer provided sufficient information or provides sufficient information within the allotted days, the process continues at:
        i. Use Case: BPP Appeals Step 12 for BPP Appeals
        ii. Use Case: RP Appeals Step 10 for RP Appeals
    d. If the Taxpayer does not provide sufficient information for an agreement, the process continues at Use Case: Formal Hearing

7.2.5 Use Case: Formal Hearing

Actor
Assessor's Office Staff

Purpose and Objectives
The AAB resolves any outstanding Taxpayer appeals at formal hearings if an agreement has not been reached with the Taxpayer prior to the scheduled date. AAB determinations are entered into the system. Determinations may result in updated assessment and bill values.

Trigger Event(s)
- The AAB holds a formal hearing

Precondition(s)
- Appeals have been scheduled for formal hearings

Post condition(s)
- Formal hearing results have been saved in the system and routed for updated billing if necessary

Associated Use Cases
- TU Appeals Process
- BP Appeals Process
- RP Appeals Process
- Pre-Hearing Conference
- Use Case: TTX: Unsecured Bill Generation
- Use Case: TTX: Secured Bill Generation

Use Case Flow

The AAB has the responsibility to hold formal hearings and make final determinations about appeals that have not been resolved prior to the formal hearing. For RP and BPP appeals, the AAB sends a Controller letter to both the Taxpayer and the Assessor's Office with their determination.

It is also possible for a formal hearing to not result in a final determination, but rather a postponement at the request of parties for additional time required to preparing for the hearing. This leads to a hearing continuance. The result is the process reverting back to the initial appeals process (i.e. RP, BPP, TU).

1. Assessor's Office Staff uploads the AAB appeal determination results data to the system
    e. Determination results data includes, but is not limited to:
        i. Appeal type
            1. Regular

2. Escape
3. Supplemental (RP or TU)
4. Base year (RP only)

ii. New assessment

iii. Allocation of new assessment

1. RP and TU – Land/improvement value and change or no change
2. BPP – Fixture and personal property value and change or no change

iv. Exclusion amounts to apply

v. Appeal number

vi. Base year assessment requirements

vii. g. Documents relating to the appeal, including but not limited to:

1. Agreements and Stipulations
2. Briefs
3. Supporting documentation and evidence (i.e. court orders, etc.)

2. The system propagates the appeal results to multiple years as appropriate
3. The system saves the updates pending Assessor Staff review
4. The system routes the AAB updates to the appropriate Assessor Staff for review
5. Assessor Staff review the AAB updates for issues

a. If Assessor Staff identify issues, Assessor Staff contacts the AAB to update the Controller letter

i. The process continues at Step 1

b. If Assessor Staff do not identify issues, Assessor Staff accepts the changes and the process continues

c. The system determines if there are any changes from the AAB determination

ii. If there are no changes, the system saves the determination, closes the appeal, and maintains the existing valuation

4. The process ends

iii. If there is a change, the system enrolls the changed values

1. The system routes the reassessment for updated billing
5. The process continues at Use Case: TTX: Unsecured Bill Generation or Use Case: TTX: Secured Bill Generation

8.0 Analytics

8.1 Background

8.1.1 Introduction

At the highest level, analytics involves the finding, understanding, and communicating of meaningful patterns in data. In order to accomplish this, analysts must have access to the data and the ability to manipulate and organize the data. Government organizations often apply analytics to business data to describe, predict, and improve business performance.

Government organizations often want to view various types of data, including input, in progress, and output data, for different types of analysis. Input data is often used to forecast workload. In progress data is used to manage and improve business efficiency. Output data is used to measure overall performance.

8.1.2 Types of Analytic Views

Most analytic tools provide a variety of ways for users to access and view data, including dashboards, canned reports, and query options. Dashboards are generally used to graphically display frequently viewed data elements in a preconfigured format. They often assist in the day-to-day management of work efforts. Canned reports are preconfigured reports that a staff or manager runs for a point-in-time view. Often these fulfill the requirement for providing periodic information to outside entities. Queries (sometimes referred to as ad hoc queries) are used for trend analysis and/or answering specific, unique questions.

8.1.3 Overview of Use Cases, Actors, and Triggers for Analytics Functions

Table 8. Overview of Use Cases, Actors, and Triggers for Analytics Functions

Use Case Name	Actor	Trigger	Description
Dashboards	Assessor Manager	Initiated by Manager as needed	Assessor manager views and/or edits dashboards
Report	Assessor Manager	Initiated by Manager as needed	Assessor manager views and/or distributes a pre-configured report
Ad hoc query	Assessor Manager	Initiated by Manager as needed	Assessor manager runs an ad hoc query

8.2 Use Cases

8.2.1 Use Case: Dashboards

Actor
Assessor Manager

Purpose and Objectives
Each Assessor manager should have a dashboard that they can easily access that displays the key metrics that they need to review periodically and frequently for oversight and management decision-making. Other users may also use analytic dashboards according to department policy.

Trigger Event(s)
- Initiated by Manager as needed

Precondition(s)
- Dashboards have been preconfigured in the system
- Access rights have been preconfigured in the system

Post condition(s)
- Assessor manager has viewed necessary information provided by the dashboard

Associated Use Cases
- Reports
- Ad Hoc Query

Use Case Flow
1. The Assessor Manager logs into the system and selects to view their dashboards
    a. The dashboards should be preconfigured in the system and be customizable for each manager based on their preferences and access rights
2. The system should display the preconfigured dashboards for the Assessor Manager to review
    a. Example types of Dashboard information includes, but should not be limited to:
        i. Current workload by characteristic, including but not limited to:
            1. Status (e.g. sent, received, reviewed/completed/approved, enrolled general, enrolled penal)
            2. Status Change
            3. Date of status change
            4. Total processing time
            5. Component processing time
            6. Transaction age
            7. Property or business type
            8. Transaction value
            9. Assigned staff
            10. Assigned work group

11. Geographic location (i.e. neighborhood, zip code)
12. Item type (i.e. CIO, NC, AAB, etc.)
13. Filing type (i.e. 571 L; 571R; 571STR; DB; LV)
14. Filing format (i.e. e-file, hard copy)
15. Roll (i.e. secured, unsecured)
16. Property owner

ii. Completed work by characteristic, including but not limited to:

1. Property type
2. Transaction value
3. Assigned staff
4. Status (e.g. sent, received, reviewed/completed/approved, enrolled general, enrolled penal)
5. Status Change
6. Date of status change
7. Total processing time
8. Component processing time
9. Transaction age
10. Property or business type
11. Transaction value
12. Assigned staff
13. Assigned work group
14. Geographic location (i.e. neighborhood, zip code)
15. Item type (CIO, NC, AAB, etc.)
16. Filing type (i.e. 571 L; 571R; 571STR; DB; LV)
17. Filing format (i.e. e-file, hard copy)
18. Roll (i.e. secured, unsecured)
19. Property owner

iii. Outstanding Appeals by assigned staff

iv. Highly Utilized Reports

v. Unworked and/or unassigned items

vi. 571 L statements at each stage of the business process

vii. Audits

viii. Exemptions annual processes

ix. Customer service inquiries

b. The system should allow users to preconfigure data for display in dashboards for individual or sets of users, including but not limited to:
    i. Work lists
    ii. Work list summaries
    iii. Pre-defined reports
    iv. Ad hoc reports
    v. Relevant upcoming deadlines as pre-configured for the user title or as selected by the user
c. The system should indicate items that have been preconfigured for alerts including, but not limited to:
    i. Real Properties that are approaching their four-year statutory deadline
    ii. Appeals that are approaching their 2-year statutory deadline
    iii. Properties that become vacant
    iv. Accounts transferred between secured and unsecured
    v. Prop 8 reductions

3. The Assessor Manager should be able to manipulate the dashboard display options, including, but not limited to:
    a. Display metrics graphically
    b. Display metrics numerically
    c. Move pertinent metrics into more immediate view
        i. Pertinent metrics may change by time of year
    d. Drill down on data detailed within a dashboard
    e. Display metrics over time (e.g. change week to week)

8.2.2 Use Case: Report

Actor
Assessor Manager

Purpose and Objectives
Each Assessor Manager should have a set of preconfigured reports that they can run out of the system. They should be able to run and view these reports, as well as distribute them to a predetermined distribution group, as necessary.

Trigger Event(s)
- Initiated by Manager as needed

Precondition(s)
- Reports have been preconfigured in the system
- Access rights have been preconfigured in the system

Post condition(s)
- Assessor manager has viewed necessary information provided by the reports and distributed them as necessary

Associated Use Cases
- Dashboards
- Ad Hoc Query

Use Case Flow

1. The Assessor Manager logs into the System and selects to run a report
2. The system displays the list of preconfigured reports
    a. The system should have a variety of pre-configured reports. Examples include, but should not be limited to:
        i. Production and pending workload reports for each unit and activity type
        ii. State or City mandated reports
        iii. Input volume, including but not limited to:
            1. Number of customer service inquiries
            2. Number of exemptions filed by type
            3. Number of recorded documents
            4. LEOPs
            5. Incoming NC permits
            6. New business accounts
        iv. Output volume, including but not limited to:
            1. Number of roll changes
            2. Number of exemptions granted

            3. Supplementals / Escapes
            4. Closed businesses
        v. Business property statements processed
        vi. Assessments enrolled by type (direct bill, low value, regular, etc.)
3. The Assessor Manager selects the report for the system to run
4. The system runs the report and displays the results for the Assessor Manager to review
5. The Assessor Manager reviews the report and determines if they have any questions about the report
    a. If the Assessor Manager has questions about the report, they should be able to research the questions both within and outside of the system
        i. The system should provide the capability for the manager to select specific items within the report and view additional detail (if available) on that item
6. The system should provide the Assessor manager a number of options for further actions with the reports
    a. Further actions should include, but not be limited to:
        i. View reports
        ii. Drill down into reports to view additional detail
        iii. Print reports
        iv. Export the report
        v. Distribute to a preconfigured list
            1. The distribution could include internal and external (i.e. other departments, State agencies) entities
        vi. Distribute to a new person or address
        vii. Route to other Assessor staff with notes
        viii. Create a dashboard item from this report
        ix. Edit the report and save as a new, pre-configured report
        x. Save the report for future use
        xi. Refresh data
        xii. Add date as of past period
        xiii. Add report format for specific reports
        xiv. Export raw data
        xv. Redact sensitive data for report downloads

8.2.3 Use Case: Ad Hoc Query

Actor

Assessor Manager

Purpose and Objectives
Assessor Managers (and all staff based on pre-configured access rights) should be able to run ad hoc queries for data in the system. These queries will often be used to answer non-standard and trend questions.

Trigger Event(s)
- Initiated by Manager as needed

Precondition(s)
- Access rights have been preconfigured in the system

Post condition(s)
- Assessor manager has viewed and downloaded (if necessary) necessary information

Associated Use Cases
- Dashboards
- Reports

Use Case Flow
1. The Assessor Manager logs into the System and selects to run an ad hoc query
    a. Ad hoc queries will often be used for trend analysis and/or data that involves multiple systems. Example ad hoc queries include, but should not be limited to:
        i. Month over month/year over year trends, overall and by FTE
        ii. How often sales prices are accepted
        iii. Policy/Practice Studies
        iv. Consistent outcomes across property/appraisal types
        v. Comparison of Information Across multiple systems/data sources
            1. Other data sources could be the Recorder system, the City time keeping system, other department's systems (i.e. DBI, Planning, AAB, DPW, etc.)
        vi. Property owner demographics over time
        vii. Additional properties that could be direct enrolled
2. The system displays the list of data elements to be included in the query, including but not limited to:
    a. Inclusion of data meeting defined criteria
    b. Exclusion of data meeting defined criteria
    c. Manual exclusion of data meeting defined criteria
3. The Assessor Manager selects the data elements to be included in the initial query and selects to run the query

4. The system runs the query and displays the results for the Assessor Manager to review
5. The Assessor Manager determines if the query meets their need
    a. The system should allow the Assessor Manager to manipulate the display to enable a better understanding of the data. Display options should include, but not be limited to:
        i. Display metrics graphically
        ii. Display metrics numerically
    b. If the Assessor Manager is not satisfied with the query, the process continues at Step 3
6. The system should provide the Assessor manager a number of options for further actions with the query
    a. Further actions should include, but not be limited to:
        i. View results
        ii. Drill down into reports to view additional detail
        iii. Print
        iv. Export results of report data
        v. Export raw data
        vi. Distribute to a person or address
        vii. Route to other Assessor staff with notes
        viii. Create a dashboard item from this query
        ix. Save as a new, pre-configured report
        x. Save the query for future use
        xi. Refresh data used in the query or rerunning the query

9.0 Customer Service

9.1 Background

9.1.1 Introduction

The Assessor's Office is a customer-facing office and may be required to provide customer service through multiple channels including: in-person, web portal, phone, email, etc. Requests will be addressed by the appropriate departments and roles for the customer issue. Requests meeting documentation criteria will also be tracked in the system.

9.1.2 Overview of Use Cases, Actors, and Triggers for Customer Service Functions

Table 9. Overview of Use Cases, Actors, and Triggers for Customer Service Functions

Use Case Name	Actor	Trigger	Description
Walk-in Customer Request	Floor Staff Counter Staff RP/BPP/TU/ Exemptions Duty Staff Taxpayer	Taxpayer asks for help in the Assessor's Office	Addressing of Assessor's Office walk-in questions
Self-Service Web Portal	Taxpayer	Taxpayer accesses the Self-Service Web Portal	Addressing of Assessor's Office web portal questions
Customer Service Tracking	Assessor's Office Staff (primary) Referral Taxpayer	Assessor's Office Staff enters a question into the tracking portion of the system The Taxpayer submits a question to the Assessor's Office Staff	Creation of Assessor's Office Customer Issue records
Returned Mail	Assessor's Office Staff	Assessor's Office Staff receives returned mail	Updating of system addresses from returned mail and resending of returned mail

9.2 Use Cases

9.2.1 Use Case: Walk-in Customer Request

Actor(s)
Floor Staff
Counter Staff
RP/BPP/TU/Exemptions Duty Staff
Taxpayer

Purpose and Objectives
The Assessor's Office provides customer service to Taxpayers that show up in-person to the Assessor's Office.

Trigger Event(s)
- Taxpayer asks for help in the Assessor's Office

Precondition(s)
- Taxpayer information is available at the kiosk
- Customer Service staff have access to the system

Post condition(s)
- Taxpayer questions have been addressed

Associated Use Cases
- Self-Service Web Portal
- Customer Service Tracking

Use Case Flow

4. The Assessor Floor Staff greets Taxpayers who show up to the Assessor's Office with questions
5. The Assessor Floor Staff screens the Taxpayer to identify the Taxpayer's question and how the question can be addressed
    a. If the Taxpayer needs to the see Duty Staff, the Assessor Floor Staff notifies the appropriate RP/BPP/TU/Exemptions Duty Staff and instructs the Taxpayer to wait for the Duty Staff
        i. The process continues at Alternate Flow A, Duty Staff
    b. If the Taxpayer is able to address their needs at the self-service kiosk, the Assessor Floor Staff directs the Taxpayer to the self-service kiosk located in the Assessor's Office lobby
        i. The Taxpayer searches for publicly available information on the kiosk
        ii. The system displays the Taxpayer account and/or other information as selected by the Taxpayer
        iii. The Taxpayer reviews, prints, and pays for documents at the self-service kiosk as necessary
        iv. The process ends

   c. If the Taxpayer requires an official record, the Assessor Floor Staff directs the Taxpayer to the Counter for service
      i. The process continues
6. The Counter Staff collects key information from the Taxpayer
7. The Counter Staff searches in the system for information for the Taxpayer
8. The system displays the Taxpayer account and/or other information as selected by the Counter Staff
9. The Counter Staff resolves the Taxpayer request

Alternate Flow A: Duty Staff

1. The appropriate RP/BPP/TU/Exemptions Duty Staff collects key information from the Taxpayer
   a. Key information may include, but is not limited to:
      i. APN
      ii. Business account ID
      iii. Name
      iv. Property address
      v. Issue
2. The Duty Staff determines if a referral is needed
   a. If the Duty Staff determines that a referral is needed, the process continues at Use Case: Customer Service Tracking
   b. If a referral is not needed, the process continues
3. The Duty Staff searches in the system for information for the Taxpayer
4. The system displays the Taxpayer account and/or other information as selected by the Duty Staff
5. The Duty Staff resolves the Taxpayer issue
6. The Duty Staff updates the system and adds any notes as necessary
7. The system saves the updated information
8. The Duty Staff updates an existing or add a new Property Tax-related question/issue related to a specific parcel or business account in the issue tracker.
   a. The process continues at Use Case: Customer Service Tracking

9.2.2 Use Case: Self-Service Web Portal

Actor(s)
Taxpayer

Purpose and Objectives
Taxpayers receive customer service through the Self-Service Web Portal.

Trigger Event(s)
- Taxpayer accesses the Self-Service Web Portal

Precondition(s)
- Taxpayers are able to access a Self-Service Web Portal

Post condition(s)
- Taxpayer questions have been addressed

Associated Use Case(s)
- Walk-in Customer Request
- Customer Service Tracking

Use Case Flow

1. The Taxpayer requests customer service through the Self-Service Web Portal with options, including but not limited to:
    a. Submit a question/issue to an appropriate Property Tax unit
    b. Submit forms electronically
2. The Taxpayer searches for the information that they are requesting
    a. If the Taxpayer is requesting a Recorded document, the system refers the Taxpayer to appropriate Recorder resources
    a. If the Taxpayer is submitting a question, the system prompts the Taxpayer to enter required information
        i. Required information includes, but is not limited to:
            1. Name
            2. Phone number
            3. Mailing address
            4. Email address
            5. Topic
            6. Question/Issue
            7. Language preference
        ii. The system creates a Customer Service Tracking record for the Taxpayer question
        iii. The process continues at Use Case: Customer Service Tracking
    b. If the Taxpayer is searching for information, the process continues

10. The system displays the publicly available information as selected by the Taxpayer
    a. The system allows access only to the items allowed for anonymous searching based on department policies around information security
11. The Taxpayer reviews and saves or prints documents as necessary

9.2.3 Use Case: Customer Service Tracking

Actor
Assessor's Office Staff (primary)
Referral
Taxpayer

Purpose and Objectives
Type and volume of Customer Service provided by the Assessor's Office Staff is tracked in the system.

Trigger Event(s)
- Assessor's Office Staff enters a question into the tracking portion of the system
- The Taxpayer submits a question to the Assessor's Office Staff

Precondition(s)
- Customer question template has been saved in the system
- Issue referrals are able to be made through the system

Post condition(s)
- Customer Service has been tracked in the system

Associated Use Cases
- Walk-in Customer Request

Use Case Flow

1. The Assessor's Office Staff selects to enter a Taxpayer question into the system
    a. Taxpayer questions may reach the Assessor's Office Staff through multiple methods including, but not limited to:
        i. Self-service form
        ii. Email
        iii. Fax-to-email
        iv. Phone bank or telephone
        v. Voicemail
        vi. Mail
        vii. In-person request
2. The system displays the Customer Issue template with pre populated entry date and name of Assessor's Office Staff entering the question
3. The system prompts the Assessor's Office Staff to enter other information including, but not limited to:
    b. Issue Date
    c. Taxpayer name
    d. Relevant APN(s)
    e. Recorded document number
    f. Relevant business account number(s)

i. Record types
ii. Form types

g. How question was received
h. Issue type (e.g., Ownership/Transfer, Real Property Value, Business Personal Property, Exemptions, Possessory Interest)
i. Question
j. Status (i.e. pending, resolved)
k. Referral, if appropriate
    i. Referrals may include, but are not limited to:
        1. Daily Appraiser
        2. BPP
        3. TU
        4. Language requirement
        5. Controller’s Office
        6. Tax Collector’s Office
        7. Recorder
        8. Exemptions
        9. County Clerk
l. Resolution and resolution date, if resolved
m. Attachment(s) if necessary

4. Assessor’s Office Staff enters information into the record
5. The system ensures that mandatory fields have been completed prior to accepting the record
    n. If the system identifies that mandatory fields have not been completed, the system prompts the Assessor’s Office Staff to complete the required fields
        i. The process continues at Step 4
    o. If the system identifies that all mandatory fields have been completed, the process continues
6. The system saves the completed Customer Issue record
7. The system notifies the indicated referral of the Customer Issue record
8. The referral addresses the Customer Issue and documents relevant information and interactions in the Customer Issue record including, but not limited to:
    p. Resolution and resolution date
    q. Interim activity and contact dates
9. The system saves the updated Customer Issue record

9.2.4 Use Case: Returned Mail

Actor
Assessor's Office Staff

Purpose and Objectives
The Assessor's Office has the responsibility to maintain official mailing addresses in the system. Mail may be returned due to bad addresses. In these cases, Assessor's Office Staff updates the contact information in the system and resend the appropriate correspondences.

Trigger Event(s)
- Assessor's Office Staff receives returned mail

Precondition(s)
- All known/available addresses are saved in the system

Post condition(s)
- Bad addresses have been updated in the system
- Correspondences have been resent

Associated Use Cases
- Returned mail

Use Case Flow
1. Assessor's Office Staff receive returned mail due to bad addresses
2. Assessor's Office Staff document the returned mail in the system
    a. If the mail is barcoded, Assessor's Office Staff scan the returned mail into the system
        i. The system associates the returned mail with the appropriate Taxpayer account and document
        ii. The process continues
    b. If the mail is not barcoded, Assessor's Office Staff manually enter the returned mail information into the system
        i. Entered information includes, but is not limited to:
            1. Type of mail
            2. Date Sent
            3. Date returned
            4. Business unit associated with the mail
        ii. The system associates the returned mail with the appropriate Taxpayer account and document
        iii. The process continues
3. Assessor's Office Staff indicates in the system if the returned mail has a forwarding address
    a. If the returned mail has a forwarding address, the Assessor's Office Staff adds the address to the system

i. The system saves the new address and the date the address was added
   1. The system shall have the capability to maintain a history of past addresses with associated entry dates
ii. The system prompts the Assessor's Office Staff to select the address type and/or origin from a preconfigured list
   1. The system shall provide authorized users with the ability to document additional notes about addresses in the system to indicate how an address should be used
iii. The process continues

4. Assessor's Office Staff selects an address from the system and indicates to resend the correspondence
   a. The system shall have the capability to maintain a record of the number of mailing attempts and addresses used for each document sent
5. The system pre populates a "Change of official address of record" instruction sheet for the Taxpayer
6. The system pre populates a change of address request form for the TP to complete
7. Assessor's Office Staff resends the correspondence, instruction sheet, and change of address request form to the selected address

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
ASR: Scheduling / Calendars								
	ASR - 01	The system shall provide the capability to store City calendars, schedules, and key dates, including but not limited to:		X				
	ASR - 02	a. Setting recurring dates		X				ASR - 01
	ASR - 03	b. Overriding recurring dates		X				ASR - 01
	ASR - 04	c. Manually setting dates		X				ASR - 01
	ASR - 05	The system shall notify pre-configured account users of upcoming City deadlines as scheduled in the system		X				
	ASR - 06	The system shall provide the capability to set optional or required reminder intervals for multiple or individual deadlines		X				ASR - 05
	ASR - 07	The system shall provide the ability to send manually configured or automatic reminder notices as individually scheduled or according to pre-configured default settings		X				ASR - 05
	ASR - 08	The system shall provide the capability to pre-configure blackout dates for scheduling different actions		X				ASR - 05
	ASR - 09	The system shall provide the capability to display the summary work status of selected upcoming deadlines		X				
	ASR - 10	The system shall provide the capability for authorized users to drill down into summary work statuses to see the status of the pre-configured dependencies / pre-conditions or other associated work items		X				
	ASR - 11	The system shall provide the capability to display a calendar of all or selected upcoming deadlines selected by the user		X				
	ASR - 12	The system shall provide the capability to export deadlines to external calendar systems as selected by the user		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 13	The system shall have the capability to distinguish between multiple date types for use in calendaring and scheduling activities including, but not limited to:		X				Vertiba will create custom calenda capabilities that will mee clients needs
	ASR - 14	a. Business days		X				ASR - 13
	ASR - 15	b. Weekend days		X				ASR - 13
	ASR - 16	c. Holidays		X				ASR - 13
	ASR - 17	The System shall have the capability to differentiate and track fiscal year v. calendar year		X				Standard Salesforce Capability
	ASR - 18	The system shall provide the capability for authorized users to postpone an activity to a future date		X				
	ASR - 19	The system shall display a tentative timeline of all the future steps in a process flow (e.g. notice mailed, enrollment, bill printing/mailing, etc.)		X				
ASR: Templates / Correspondence								
	ASR - 20	The system shall maintain contact information both as data elements and as information that can be used to generate and/or send physical mail and email correspondence		X				
	ASR - 21	The system shall provide the capability to save editable email and hard copy communication templates and message components		X				
	ASR - 22	The system shall have the capability to directly send emails to single or multiple email addresses or to distribution lists as individually or mass selected by an authorized user		X				
	ASR - 23	The system shall notify a preconfigured account user or users if emails or physical mail sent by the system were undeliverable		X				
	ASR - 24	The system shall have the capability to regenerate and resend email notifications to both existing and new email addresses for an APN or business account		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 25	The system shall automatically populate communication templates with pre-configured data when the templates are selected to be sent by either manual or scheduled processes		X				
	ASR - 26	The system shall provide the capability to save and apply electronic signatures/images to selected templates based on pre-configured business rules and as approved by authorized users		X				San Francisco's existing Docusign subscription will provide integrated electronic signature capabilities.
	ASR - 27	The system shall provide the capability to save multiple letter templates for use with physical mail and email correspondence templates as pre-configured by authorized users		X				
	ASR - 28	The system shall provide authorized users with the capability to update letter templates and automatically apply the update to all associated correspondence templates		X				
	ASR - 29	The system shall automatically retain a correspondence history of all communications initiated through the system including physical mail and emails as related to system events, updates, and APN		X				
	ASR - 30	The system shall have the capability to automatically determine whether to generate and send email correspondence or hard copy correspondence based on available contact information, documented preference, and preconfigured business rules		X				
	ASR - 31	The system shall provide the capability for authorized users to select the correspondence template to send for any relevant activity, including overriding any default recommended templates		X				
	ASR - 32	The system shall have the capability to apply barcodes with key parcel information to any system-generated correspondence and forms		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 33	The system shall have the capability to associate barcodes with key parcel information generated by the system with accounts in the system when the documentation is scanned or uploaded into the system		X				OnBased provides the ability to capture barcodes and associate documents with bar codes
ASR: Web Portal								
	ASR - 34	The system shall have the capability to provide information for public viewing through the Web Portal as authorized by City and department policies		X				Salesforce's Customer Community presents selected content to public without authentication.
	ASR - 35	The system shall provide the capability to make identified pieces of information available under individual or multiple Web Portal log in accounts		X				Salesforce Customer Community provides authenticated access to select information specifically exposed to customers.
	ASR - 36	The system shall support a public-facing Web Portal including, but not limited to:		X				Salesforce Customer Community provides authenticated access to select information specifically exposed to customers.
	ASR - 37	a. Providing the ability for the City to create and distribute log ins		X				Salesforce Customer Community provides authenticated access to select information specifically exposed to customers.
	ASR - 38	b. Providing the ability for public users to request log ins		X				Salesforce Customer Community provides authenticated access to select information specifically exposed to customers.
	ASR - 39	c. Ensuring secure storage and transmission of data for all City and other users		X				
	ASR - 40	d. Providing different access rights for different log ins		X				Salesforce provides record and field level security based on users role and profile
	ASR - 41	e. Providing the ability for users to upload documents including, but not limited to:		X				
	ASR - 42	1. Excel files		X				Please See Comments in ASR -41
	ASR - 43	2. CSV files		X				Please See Comments in ASR -41
	ASR - 44	3. PDF documents		X				Please See Comments in ASR -41
	ASR - 45	4. Word documents		X				Please See Comments in ASR -41
	ASR - 46	5. Image files		X				Please See Comments in ASR -41
	ASR - 47	6. New system files		X				Please See Comments in ASR -41

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 48	f. Providing the ability for users to view, enter and/or select data in appropriate data fields as pre-configured by City staff		X				Salesforce provides standard page configuraiton capabilities with full range of data types to ensure the best quality information is captured.
	ASR - 49	g. Providing the ability for users to select preferred communication methods and associated contact information		X				
	ASR - 50	h. Providing the ability for users to submit preconfigured requests including, but not limited to:		X				
	ASR - 51	1. APN		X				Please See Comments in ASR -50
	ASR - 52	2. Address		X				Please See Comments in ASR -50
	ASR - 53	3. Prop 58/60/90/110 on specific property		X				Please See Comments in ASR -50
	ASR - 54	4. Individual TIC assessed values		X				Please See Comments in ASR -50
	ASR - 55	5.Calamity relief request		X				Please See Comments in ASR -50
	ASR - 56	6. Seismic exemption		X				Please See Comments in ASR -50
	ASR - 57	i. Submitting recommended updates to property characteristics		X				Property Characteristics are configured into the platform.
	ASR - 58	j. Pre-populating and/or displaying past or other known information to the user as preconfigured for the selected request		X				All historical information is visible within the context of the records.
	ASR - 59	k. Providing the ability to save work in-progress		X				Please see comments on ASR - 50
	ASR - 60	l. Providing the ability to submit completed information to the City		X				Please see comments on ASR - 50
	ASR - 61	m. Providing initial submission status notices based on preconfigured criteria including, but not limited to:		X				
	ASR - 62	1. Request submitted (along with any additional preconfigured information)		X				Please see comments on ASR - 34
	ASR - 63	2. Request denied (along with reasoning for denial)		X				Please see comments on ASR - 34
	ASR - 64	3. Request ineligible (along with unmet criteria)		X				Please see comments on ASR - 34
	ASR - 65	n. Having the capability to track the status of submissions and display and/or notify submission status for public users as preconfigured in the system		X				Please see comments on ASR - 50
	ASR - 66	o. Providing the ability for public users to modify previous submissions		X				Please see comments on ASR - 50
	ASR - 67	p. Providing the ability for public users to submit public questions to the City without needing a login		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 68	q. Storing and displaying public information (i.e. FAQ, etc.)		X				
	ASR - 69	r. Provide a link to another site		X				Links to other sites can be embedded in the customer community
	ASR - 70	The system shall provide an authorized user the capability to automate the approval of user requested log-ins		X				Approval process for user logins can be automated through Salesforce Customer Community.
	ASR - 71	The system shall perform an initial validation check against email addresses or other key data elements when a user creates an account and notify the user if an account already exists		X				
	ASR - 72	The system shall provide the ability for users to reset passwords, retrieve usernames, and other standard web password actions		X				These capabilities are part of standard Salesforce administrative capabilities.
	ASR - 73	The system shall review information submitted through the Web Portal for missing or invalid data components and prompt the user to correct or enter the necessary components prior to accepting data into the system		X				
	ASR - 74	The system shall provide authorized users with the ability to review, accept, deny, hold, and edit data submitted to the system through the Web Portal		X				Authorized users will have these capabilities based on the permissions assigned to the users profile.
	ASR - 75	The system shall have the capability to monitor for submission of specified data elements or data sets through the Web Portal		X				
	ASR - 76	The system shall have the capability to notify users and/or generate workflow items based on data elements or data sets submitted through the Web Portal		X				
	ASR - 77	The system shall provide e-mail acknowledgment and/or Web Portal submission status updates as pre-configured for successfully submitted items		X				
	ASR - 78	When a public user requests a log-in, the Web Portal shall require pre-configured key data to be submitted along with the request including, but not limited to:		X				A custom solution will be developed to manage pre-configured key data.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 79	a. Name		X				Please see commonts on ASR - 50
	ASR - 80	b. Position		X				Please see commonts on ASR - 50
	ASR - 81	c. Entity		X				Please see commonts on ASR - 50
	ASR - 82	d. Contact information		X				Please see commonts on ASR - 50
	ASR - 83	e. Intended Web Portal usage (i.e. upload data, review data, receive notifications, etc.)		X				Please see commonts on ASR - 50
	ASR - 84	f. Email address		X				Please see commonts on ASR - 50
	ASR - 85	g. Property/ies affected by request		X				Please see commonts on ASR - 50
	ASR - 86	The system shall provide the capability for authorized users to set different permission levels for different accounts and account types		X				Please see commonts on ASR - 50
	ASR - 87	The system shall display the staff member, including contact information, who shall respond to the request (e.g. district appraiser, on-duty TU person, etc.)		X				Please see commonts on ASR - 50
ASR: Workflow / Work list								
	ASR - 88	The system shall automatically place work items in individual or multiple user workflow lists as pre-configured in the system		X				
	ASR - 89	The system shall provide the ability for authorized users to manually place workflow items in individual or multiple user workflow lists		X				Please see comments on ASR - 88
	ASR - 90	The system shall have the capability to trigger workflows and/or notices based on an event or data update related to specific data attributes as preconfigured in the system		X				Please see comments on ASR - 88
	ASR - 91	The system shall provide the capability to set deadlines and alerts for specific work items		X				Please see comments on ASR - 88
	ASR - 92	The system shall have the capability to route workflow items in different or multiple directions based on pre-configured criteria		X				Please see comments on ASR - 88
	ASR - 93	The system shall have the capability to maintain work queues for individual users and for groups of users		X				Please see comments on ASR - 88

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 94	The system shall provide the capability for authorized users to select a work item from their work queue based on pre-configured prioritization logic as well as individual judgment		X				Please see comments on ASR - 88
	ASR - 95	The system shall have the capability to assign work to work lists based on multiple criteria, but not limited to:		X				Please see comments on ASR - 88
	ASR - 96	a. User roles		X				Please see comments on ASR - 88
	ASR - 97	b. User rights		X				Please see comments on ASR - 88
	ASR - 98	c. Work type		X				Please see comments on ASR - 88
	ASR - 99	d. Property characteristics		X				Please see comments on ASR - 88
	ASR - 100	e. Geographic information		X				Please see comments on ASR - 88
	ASR - 101	f. Relative size of various queues		X				Please see comments on ASR - 88
	ASR - 102	g. Roll value		X				Please see comments on ASR - 88
	ASR - 103	h. Sale price		X				Please see comments on ASR - 88
	ASR - 104	i. Permit value		X				Please see comments on ASR - 88
	ASR - 105	The system shall provide authorized users with the ability to override system-generated work assignments		X				Please see comments on ASR - 88
	ASR - 106	The system shall provide the capability to configure single or multiple approvers for any workflow item		X				Please see comments on ASR - 88
	ASR - 107	The system shall provide the capability to place work items in work queues for any system user, regardless of user department		X				Queues ar eused to manage work assigned to a group; any queue member can assume ownership of a record.
	ASR - 108	The system shall provide the capability for authorized users to return work items to the previous user in the workflow		X				Please see comments on ASR - 88
	ASR - 109	The system shall provide the ability for authorized users to designate a portion of their workflow to another user		X				Please see comments on ASR - 88
	ASR - 110	The system shall provide the capability to annotate any work item including, but not limited to:		X				Please see comments on ASR - 88
	ASR - 111	a. Free text notes		X				Please see comments on ASR - 88
	ASR - 112	b. Hyperlinks		X				Please see comments on ASR - 88
	ASR - 113	c. Highlighting		X				Please see comments on ASR - 88
	ASR - 114	d. Attachments		X				Please see comments on ASR - 88

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 115	The system shall provide the capability to prompt users to complete pre-configured actions before workflow routing or continued processing including, but not limited to:		X				Please see comments on ASR - 88
	ASR - 116	a. Uploading and/or entering specific data		X				Please see comments on ASR - 88
	ASR - 117	b. Verifying that key data is correct		X				Please see comments on ASR - 88
	ASR - 118	c. Ensuring all prior events have been processed or are in an approved path		X				Please see comments on ASR - 88
	ASR - 119	The system shall have the capability to notify pre-determined users when workflow items progress, including both progressions initiated by user actions and those automatically conducted by the system		X				
	ASR - 120	The system shall have the capability to store pre-configured lists including, but not limited to:		X				
	ASR - 121	a. Issue types		X				
	ASR - 122	b. Reason codes and descriptions		X				
	ASR - 123	c. Comment categories		X				
	ASR - 124	The system shall prevent completion of some work items until specific prior activities are completed according to preconfigured business rules		X				Please see comments on ASR - 88
	ASR - 125	The system shall prioritize workflow including highlighting any actions that cannot be completed until prior activities are completed based on preconfigured business rules		X				Please see comments on ASR - 88
	ASR - 126	The system shall have the capability to route managed workflow to both internal system users and external web portal users		X				Please see comments on ASR - 88
	ASR - 127	The system shall provide the capability for authorized users to set deadlines for workflow elements and send reminders as preconfigured in the system		X				Please see comments on ASR - 88
	ASR - 128	The system shall provide the capability for authorized users to override preconfigured workflow routing		X				Please see comments on ASR - 88

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 129	The system shall provide the capability for authorized users to perform mass approvals of review or work items in their work queue		X				
	ASR - 130	The system shall provide the capability to track/flag items that have been mass approved		X				Please see comments on ASR - 129
	ASR - 131	The system shall have the capability to provide authorized users with statistical information on work flow items status, user, time to complete, etc.		X				This can be provided through Salesforce Standard Reports and Dashboards. Optionally, Einstein Analytics can provide a more advanced analytic capability
	ASR - 132	The system shall have the capability to provide authorized users with a graphical overview of work flow items status, user, time to complete, etc.		X				
	ASR - 133	The system shall provide authorized users to view workflow transaction history		X				
	ASR - 134	The system shall enable authorized users to configure default completion durations for workflow items and will alert workflow item owners and authorized users as required		X				
	ASR - 135	The system shall support parallel workflow activities		X				
ASR: Data / Search								
	ASR - 136	The system shall store data as needed		X				
	ASR - 137	The system shall provide the capability to display or pre-populate prior year and/or other relevant information when available as pre-configured (i.e., during calculation or review) for specific data fields and forms		X				Salesforce provides a fully functional, relational database that that is architected to store data so that data is entered once and available throughout the applicaiton.
	ASR - 138	The system shall provide the capability for an authorized user to search and review data elements associated with an individual or group of accounts and identify accounts that meet the selected or pre-configured criteria		X				Salesforce has a robust search engine that respects the permissions assigned to the users profile.
	ASR - 139	The system shall provide the capability to manually add free text notes and commentary to designated work screen		X				Salesforce has a robust search engine that respects the permissions assigned to the users profile.

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	Requirement #	**Description**	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 140	The system shall provide an authorized user the capability to add manual calculation fields		X				Users have the ability to add information from manual calculations.
	ASR - 141	The system shall provide the capability for authorized users to document manual actions and activities into an account's action history including, but not limited to:		X				
	ASR - 142	a. Discussions with City staff		X				Please see comments on ASR - 141
	ASR - 143	b. Discussions with external agencies		X				Please see comments on ASR - 141
	ASR - 144	c. Research actions conducted external to the system		X				Please see comments on ASR - 141
	ASR - 145	d. Correspondence and attempted correspondence actions conducted external to the system		X				Please see comments on ASR - 141
	ASR - 146	e. Field audit findings		X				Please see comments on ASR - 141
	ASR - 147	The system shall provide the capability for authorized users to enter, upload, or populate data into the system from files and formats in multiple formats including, but not limited to:		X				
	ASR - 148	a. Excel files		X				Please see comments on ASR - 147
	ASR - 149	b. CSV files		X				Please see comments on ASR - 147
	ASR - 150	c. PDF documents		X				Please see comments on ASR - 147
	ASR - 151	d. Word documents		X				Please see comments on ASR - 147
	ASR - 152	e. Image files		X				Please see comments on ASR - 147
	ASR - 153	The system shall provide the capability for authorized users to search data elements and return accounts that meet the search criteria. Search capabilities shall include, but not be limited to:		X				Salesforce provides a robust search feature that will be augment to support fuzzy search, probabilistic match and wildcard.
	ASR - 154	a. Fuzzy search		X				Please see comments on ASR - 153
	ASR - 155	b. Probabilistic match		X				Please see comments on ASR - 153
	ASR - 156	c. Wildcard		X				Please see comments on ASR - 153
	ASR - 157	They system shall provide the capability for authorized users to query current roll year, prior roll year, and other relevant information		X				Please see comments on ASR - 153
	ASR - 158	The system shall provide the ability for authorized users to manually refresh displayed data and/or calculations, including after completing manual adjustments		X				A manual calculation will be allowed inthe system, including manual adjustments

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 159	The system shall track manual changes or overrides made by authorized users including the time and date the change was made		X				
	ASR - 160	The system shall store information as needed including, but not limited to:		X				
	ASR - 161	a. Desk procedures		X				Please see comments for ASR - 160
	ASR - 162	b. Background information about Revenue and Taxation code		X				Please see comments for ASR - 160
	ASR - 163	c. City policy and interpretation of Revenue and Taxation code		X				Please see comments for ASR - 160
	ASR - 164	f. Relevant government codes and interpretations		X				Please see comments for ASR - 160
	ASR - 165	g. Other property tax rules		X				Please see comments for ASR - 160
	ASR - 166	h. Letter to the Assessors		X				Please see comments for ASR - 160
	ASR - 167	The system shall have a general reference library that can be referenced by authorized users, including, but not limited to:		X				Please see comments for ASR - 160
	ASR - 168	a. Being searchable		X				Please see comments for ASR - 160
	ASR - 169	b. Being indexed		X				Please see comments for ASR - 160
	ASR - 170	The system shall provide access to background, policy, and relevant reference information directly related to the screen or field level of work being conducted		X				Please see comments for ASR - 160
	ASR - 171	The system shall provide the capability for authorized users to configure error messages		X				Salesforce has the ability to configure error messages in the system in both configuration and customization.
	ASR - 172	The system shall have the capability to track account enrollment in programs as preconfigured in the system		X				The system will manage program enrollment
	ASR - 173	The system shall provide the ability for authorized users to directly enter any information that public users are able to enter via the Web Portal		X				
	ASR - 174	The system shall provide authorized users with the ability to search accounts by status including, but not limited to:		X				
	ASR - 175	a. Active		X				Please see comments on ASR - 175
	ASR - 176	b. Inactive		X				Please see comments on ASR - 175
	ASR - 177	c. Interim		X				Please see comments on ASR - 175

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 178	The system shall provide authorized users with the ability to configure data elements throughout the system, including, but not limited to:		X				Salesforce has robust tools for managing workflows and business logic.
	ASR - 179	a. Business rules		X				
	ASR - 180	b. Thresholds		X				Salesforce has robust tools for managing workflows and business logic.
	ASR - 181	c. Calculations		X				Salesforce formula capabilities enable administrators to build cross-object formulas to span to related objects and reference merge fields on those objects.
	ASR - 182	d. Data validation rules		X				
	ASR - 183	The system shall maintain a history of configurable items including associated effective start and end dates		X				
	ASR - 184	The system shall maintain an audit trail for all configuration items		X				Please see comments for ASR - 183
	ASR - 185	The system shall have the capability to perform data validation and data integrity checks at the field, record, and database level according to preconfigured business rules and shall alert the preconfigured user if any validation or integrity check has not been met		X				Please see comments for ASR - 183
ASR: Calculations								
	ASR - 186	The system shall provide authorized users with the ability to override system-generated calculations with manual adjustments		X				
	ASR - 187	The system shall maintain an audit trail of any manual adjustments made to system-generated calculations including, but not limited to:		X				
	ASR - 188	a. User name		X				Please See Comment on ASR - 187
	ASR - 189	b. Adjustment		X				
	ASR - 190	c. Time/date stamp		X				
	ASR - 191	d. Preview function before changes saved		X				
	ASR - 192	If system configured calculations are adjusted, the system shall require a reason for the adjustment		X				
	ASR - 193	The system shall have the capability to perform pre-configured calculations		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 194	The system shall provide the capability to pre-configure and store calculations to be performed when initiated by authorized users or as pre-configured in the workflow		X				Please see comments on ASR - 193
	ASR - 195	The system shall provide the capability for authorized users to drill-down to all available levels of data in any system-generated calculation		X				
	ASR - 196	The system shall provide the capability for authorized users to change or update pre-configured calculations		X				
and Integrations								
	ASR - 197	The system shall have the ability to interface with external BI tools, including but not limited to:		X				
	ASR - 198	a. PowerBI		X				
	ASR - 199	b. Tableau		X				
	ASR - 200	The system shall interface with or replace the Assessor's existing Enterprise Content Management systems (i.e., AIMS) for document management, document imaging and image capture, aerial photography (i.e., Pictrometry), records management and web content management		X				
	ASR - 201	The system shall have the capability to interface with the Recorder's Office system including, but not limited to:		X				
	ASR - 202	a. Automatically retrieving preconfigured information from the Recorder's Office system on a preconfigured schedule		X				
	ASR - 203	b. Providing authorized users with the capability to retrieve preconfigured or selected information from the Recorder's Office system on an ad hoc basis		X				
	ASR - 204	c. Retrieving documents		X				
	ASR - 205	d. Retrieving indexed information		X				
	ASR - 206	e. Generating workflow items based on information in the Recorder's Office system		X				
	ASR - 207	f. Querying documents recorded in the Recorder's Office system		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 208	The system shall have the capability to interface with City GIS systems as approved by an authorized user including, but not limited to:		X				
	ASR - 209	a. Providing authorized users with the capability to retrieve preconfigured or selected information from the City GIS systems on an ad hoc basis		X				
	ASR - 210	b. Associating retrieved information from the City GIS systems with the correct parcels in the system		X				
	ASR - 211	c. Exporting information to the City GIS systems		X				
	ASR - 212	The system shall provide the capability to access and utilize Tax information as well as transmit assessment information as approved by an authorized user		X				
	ASR - 213	The system shall provide the capability to integrate with City calendaring and email software (e.g., Outlook 365) including, but not limited to:		X				
	ASR - 214	a. Sending emails from City email addresses		X				Please see comments on ASR - 215
	ASR - 215	b. Sending calendar events to City accounts		X				
	ASR - 216	The system shall provide the capability to integrate with MS Office products including, but not limited to:		X				
	ASR - 217	a. Importing data from Excel spreadsheets		X				
	ASR - 218	b. Exporting data to Excel spreadsheets		X				
	ASR - 219	The system shall have the capability to interface with other Assessor-determined agencies including, but not limited to:		X				
	ASR - 220	a. BOE		X				
	ASR - 221	b. DMV		X				
	ASR - 222	c. Print/Mailing Vendor(s)		X				
	ASR - 223	d. SF Port		X				
	ASR - 224	e. SF Planning		X				
	ASR - 225	f. SF RecPark		X				
	ASR - 226	g. UCSF		X				
	ASR - 227	h. SFMTA		X				
	ASR - 228	i. OCII		X				
	ASR - 229	j. TIDA		X				
	ASR - 230	k. SFUSD		X				
	ASR - 231	l. SFHA		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 232	j. MOH		X				
	ASR - 233	k. CalTrans		X				
	ASR - 234	l. Accela (SF Port and SF Planning system)		X				
	ASR - 235	m. DBI		X				
	ASR - 236	n. PW		X				
	ASR - 237	o. TJPA		X				
	ASR - 238	p. SFFD		X				
ASR: Penalties								
	ASR - 239	The system shall provide the capability for authorized users to select to apply penalties to applicable accounts according to preconfigured business rules including, but		X				
	ASR - 240	a. 408 penalties		X				
	ASR - 241	b. Late filing penalties		X				
	ASR - 242	c. LEOP penalties		X				
	ASR - 243	The system shall provide the capability for authorized users to select to waive or cancel penalties		X				
	ASR - 244	The system shall provide the capability to automatically notify the Controller's Office of Assessor-imposed penalties		X				
ASR: Valuation								
	ASR - 245	The system shall provide authorized users with the capability to remove value from a parcel		X				
	ASR - 246	The System shall provide an authorized user with the capability to value a parcel in approved valuation statuses, including, but not limited to:		X				
	ASR - 247	a. Active		X				
	ASR - 248	b. Retired		X				
	ASR - 249	The system shall have the capability to save every event and the corresponding valuation information		X				
ASR: Field Work								
	ASR - 250	The system shall provide the capability for authorized users to conduct audits from the field through multiple means including but not limited to:		X				
	ASR - 251	a. Mobile device		X				Please see comments on ASR - 251
	ASR - 252	b. Mobile connection		X				Please see comments on ASR - 251
ASR: Agents								

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General			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	ASR - 253	The system shall provide agents with the capability to act on behalf of an individual or business if appropriate agent authorization has been submitted to the department		X				Salesforce Approval Processes specify a sequence of steps that are required to approve a record. An approval process specifies each step of approval, including from whom to request approval and what to do at each point of the process. Approvals can be redirected to authorized delegates.
	ASR - 254	The system shall have the capability to store and track agent authorization information		X				Please see comments on ASR - 254
ASR: Address								
	ASR - 255	The system shall be able to interface with the U.S. Postal service and other third party address agencies to confirm the formatting of all addresses entered into the system		X				
	ASR - 256	The system shall provide the functionality to store address component pieces that are post office compliant, including: Street addresses, Post Office Box, Military Addresses (Overseas and Domestic), Rural routes and international (http://pe.usps.gov/cpim/ftp/pubs/Pub28/pub28.pdf)		X				
	ASR - 257	The system shall provide the functionality to validate addresses (using address validation software to be selected by the Assessor's Office) to provide validation, correction and standardization		X				Salesforce has the ability to integrate with any address validation system that provides a web service API.
	ASR - 258	The system shall provide the functionality for storing additional location information. Examples include: GPS coordinates, Vessel's marina and slip, Manufactured Home's pad number, unit number, geographical location within a building (e.g. NW corner, 3rd floor, etc.) or others		X				
	ASR - 259	The system shall provide the functionality for a property account to have a situs address different from the mailing address		X				
	ASR - 260	The system shall provide the functionality for a status to be associated with addresses, for example: Undeliverable, Temporary, Assessor Approved, Pending Approval		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 261	The system shall have the capability to store information associated with addresses including, but not limited to:		X				
	ASR - 262	a. Address type		X				
	ASR - 263	b. Address input date		X				
	ASR - 264	c. Address source		X				
	ASR - 265	d. Notes relating to address usage		X				
	ASR - 266	The system shall store all historical addresses associated with a property, including source/reason for the change		X				
	ASR - 267	The system shall have the capability of storing, displaying and searching for multiple addresses on one parcel (e.g. a corner building)		X				
	ASR - 268	The system shall have the capability to find the "hidden values" of a range (e.g. If a building has the address 402-416 Streename and I search for 408 Streetname, it should still find that parcel)		X				This can be provided by an integration to GIS.
	ASR - 269	The System shall have the capability to indicate the owner and address that should be used in a tax bill in the case where there are multiple owners and/or addresses		X				
TIC and Multi-Unit								
	ASR - 270	The system shall have the capability to maintain master parcels and associated sub accounts for TIC units		X				
	ASR - 271	The system shall have the capability to maintain APN numbers for TIC master parcels		X				
	ASR - 272	The system shall have the capability to generate and maintain sub-ID numbers for individual TIC sub accounts		X				
	ASR - 273	The system should have the capability to track individual property characteristic profile for each sub account		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 274	The system shall provide authorized users with the capability to define separate ownership information for TIC master parcels and associated sub accounts including, but not limited to:		X				
	ASR - 275	a. Percentage ownership		X				
	ASR - 276	b. Base year value associated with percentage ownership		X				
	ASR - 277	The system shall have the capability to prompt a user to change to TIC account with sub accounts if transaction meets pre-configured business rules		X				
	ASR - 278	The system shall provide authorized users with the capability to designate the TIC parcel owner that should receive notices associated with the TIC unit		X				
	ASR - 279	The system shall have the capability to maintain valuation information for individual TIC sub accounts including, but not limited to:		X				
	ASR - 280	a. Base year		X				
	ASR - 281	b. Multiple base years for one sub-account		X				
	ASR - 282	The system shall have the capability to calculate TIC master parcel valuation based on a summation of associated TIC sub account valuations		X				
	ASR - 283	The system shall have the capability to maintain both summation value (if needed, e.g. if an AAB Prop 8 value is an 100% value) and summation of individual sub accounts		X				
	ASR - 284	The system shall have the capability to calculate base value percentage as needed		X				
	ASR - 285	The system shall have the capability to maintain exemption information for individual TIC sub accounts		X				
	ASR - 286	The system shall have the capability to calculate TIC master parcel exemptions based associated TIC sub account exemptions		X				
	ASR - 287	The system shall have the capability to maintain new construction valuation information for individual TIC sub accounts		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	ASR - 288	The system shall have the capability to calculate TIC master parcel new construction valuations based on a summation of associated TIC sub account new construction valuation information		X				
	ASR - 289	The system shall have the capability to generate billing information for individual TIC sub accounts		X				
	ASR - 290	The system shall have the capability to generate billing information for TIC master parcels		X				
	ASR - 291	The system shall have the capability to calculate TIC master parcel declines in value based associated TIC sub account declines in value		X				
	ASR - 292	The system shall have the capability to maintain decline in value information for individual TIC sub accounts		X				
	ASR - 293	The system shall provide authorized users with the capability to manage base year transfers to and from individual TIC sub accounts for primary residence units		X				
	ASR - 294	The system shall provide authorized users with the capability to manage exemption transfers from one property to multiple properties and vice versa		X				
	ASR - 295	The system shall have the capability to maintain master parcels and associated sub accounts for time share parcels and other multi-unit properties		X				
	ASR - 296	The system shall have the capability to maintain multiple base years for all properties		X				
	ASR - 297	The system shall provide the capability to track appeals filed on both master APN and sub-accounts with preconfigured business rules to determine how the appeal process is used.		X				
Appeals								
Appeals								
	APP - 1	The system shall have the capability to receive Appeals information from the AAB through an interface and to associate the information with the correct parcels/accounts on a regular basis		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 2	The system shall have the capability to track data associated with an appeal including, but not limited to:		X				
	APP - 3	a. Scheduled dates, including but not limited to:		X				Please see comments on App - 2
	APP - 4	i. Formal hearing		X				Please see comments on App - 2
	APP - 5	ii. Pre-hearing conference		X				Please see comments on App - 2
	APP - 6	iii. Admin hearing		X				Please see comments on App - 2
	APP - 7	b. Appeal number		X				Please see comments on App - 2
	APP - 8	c. Roll year		X				Please see comments on App - 2
	APP - 9	d. Assessment type		X				Please see comments on App - 2
	APP - 10	i. Regular		X				Please see comments on App - 2
	APP - 11	ii. Escape		X				Please see comments on App - 2
	APP - 12	iii. Supplemental		X				Please see comments on App - 2
	APP - 13	iv. Penalties		X				Please see comments on App - 2
	APP - 14	e. Appeals Type		X				Please see comments on App - 2
	APP - 15	i. Supplemental Appeal		X				Please see comments on App - 2
	APP - 16	ii. Base Year Value Appeal		X				Please see comments on App - 2
	APP - 17	iii. Escape Appeal		X				Please see comments on App - 2
	APP - 18	iv. Regular Appeal		X				Please see comments on App - 2
	APP - 19	f. The event date being appealed		X				Please see comments on App - 2
	APP - 20	h. APN		X				Please see comments on App - 2
	APP - 21	i. Appeal reason from AAB and description of appeal		X				Please see comments on App - 2
	APP - 22	j. Parcel address		X				Please see comments on App - 2
	APP - 23	k. Applicant name		X				Please see comments on App - 2
	APP - 24	l. Applicant contact information		X				Please see comments on App - 2
	APP - 25	m. Agent/representative name		X				Please see comments on App - 2
	APP - 26	n. Agent contact information		X				Please see comments on App - 2
	APP - 27	o. Final decision		X				Please see comments on App - 2
	APP - 28	p. Requester of postponements		X				Please see comments on App - 2
	APP - 29	q. Postponements		X				Please see comments on App - 2
	APP - 30	r. Withdrawal		X				Please see comments on App - 2
	APP - 31	s. Number of postponements		X				Please see comments on App - 2
	APP - 32	t. Type of postponement (pre-hearing, admin hearing, regular)		X				Please see comments on App - 2
	APP - 33	u. Associated Controller letters		X				Please see comments on App - 2
	APP - 34	v. Assigned Auditor or Appraiser		X				Please see comments on App - 2

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 35	w. Years under appeal		X				Please see comments on App - 2
	APP - 36	x. Statute of limitations date for hearing the appeal		X				Please see comments on App - 2
	APP - 37	y Appeal history for taxpayer or APN		X				Please see comments on App - 2
	APP - 38	z. Account number		X				Please see comments on App - 2
	APP - 39	The system shall provide the capability to determine if a request for information letter is required based on preconfigured business rules		X				
	APP - 40	The system shall provide authorized users with the capability to manage multiple request for information letter templates based on property type		X				
	APP - 41	The system shall provide authorized users with the capability to generate one or a batch of requests for information letters based on selected criteria, including but not limited to:		X				
	APP - 42	a. Office		X				
	APP - 43	b. Apartment		X				
	APP - 44	c. Industrial		X				
	APP - 45	d. Hotel		X				
	APP - 46	e. Mixed use		X				
	APP - 47	f. Mixed use residential		X				
	APP - 48	g. Retail		X				
	APP - 49	h. Data centers		X				
	APP - 50	i. Parking garage		X				
	APP - 51	j. Church		X				
	APP - 52	k. Schools		X				
	APP - 53	l. Residential		X				
	APP - 54	The system shall provide the capability for authorized users to manually add or edit appeals information received from the AAB	X					
	APP - 55	The system shall provide authorized users with the capability to scan or upload and save AAB files into the system		X				
	APP - 56	The system shall provide the capability for an authorized user to configure notifications to users/user groups based on specific AAB fields, including but not limited to:			X			
	APP - 57	a. Status	X					Please see comments on APP - 56

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 58	b. Dates	X					Please see comments on APP - 56
	APP - 59	The system shall provide the capability to determine if appeals information provided by the AAB is for an existing appeal based on Appeals Number	X					Please see comments on APP - 2
	APP - 60	The system shall associate new appeals information with existing appeals if an appeal already exists	X					Please see comments on APP - 2
	APP - 61	The system shall create a new appeal work item if appeals information from the AAB is not for an existing appeal			X			Please see comments on APP - 2
	APP - 62	The system shall have the capability to associate additional information provided by the claimant to the correct appeal	X					Please see comments on APP - 2
	APP - 63	The system shall have the capability to track appeals dates and send reminders as configured in the system	X					
	APP - 64	The system shall have the capability to track 1606 requests submitted by taxpayers or authorized users for information and send reminders as configured in the system						
	APP - 65	The system shall provide the capability to track Taxpayer-submitted 408 requests for information						
	APP - 66	The system shall provide the capability for an authorized user to document findings in the system including notes from any communications with Taxpayers	X					
	APP - 67	The system shall have the capability to generate and send barcoded correspondence to the Taxpayer		X				
	APP - 68	The system shall provide the authorized user with the capability to select to send various notices to Taxpayers. Including, but not limited to:						
	APP - 69	a. 441D letter		X				Please see comments on App - 68
	APP - 70	b. Request for postponement form		X				Please see comments on App - 68
	APP - 71	c. Withdrawal form		X				Please see comments on App - 68

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 72	The system shall have the capability to track letter requests sent and prompt the authorized user when the due date has approached.		X				
	APP - 73	The system shall provide the authorized user with the capability to monitor for Taxpayer responses within the preconfigured timeline		X				
	APP - 74	The system shall have the capability to prompt the authorized user to review the appeal after the preconfigured number of days have passed		X				
	APP - 75	The system shall have the capability to send an email for the reminder and have a calendar event		X				
	APP - 76	The system shall prompt the designated user to authorize requesting an AAB pre-hearing conference		X				
	APP - 77	The system shall provide the authorized user with the capability to document Taxpayer responses and route appeals as needed		X				
	APP - 78	The system shall provide the authorized user with the capability to document a Taxpayer's decision to withdraw the appeal at any point		X				Please see comments on APP - 2
	APP - 79	The system shall provide authorized users with the capability to make adjustments to appeals pending AAB withdrawal, including but not limited to:		X				Please see comments on APP - 2
	APP - 80	a. Records and notes relating to property (i.e. value, event dates, property types, etc.)		X				Please see comments on APP - 2
	APP - 81	The system shall provide authorized users with the capability to update Appeal status and enter comments		X				Please see comments on APP - 2
	APP - 82	The system shall have the capability to generate and send assessment agreement correspondences based on preconfigured templates including, but not limited to:		X				
	APP - 83	a. Instructions on how to withdraw an appeal with the AAB		X				
	APP - 84	b. AAB Appeals withdrawal form		X				
	APP - 85	c. Stipulation letter		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 86	d. Postponement instructions and forms		X				
TU Appeals Process								
	APP - 87	The system shall provide the authorized user with the capability to select to review and research TU appeals from the work queue, including, but not limited to:		X				Please see comments on APP - 2
	APP - 88	a. Reviewing chain of events around reassessment		X				Please see comments on APP - 2
	APP - 89	b. Retrieving a copy or image of all recorded/unrecorded documentations by searching information relating to APN, including but not limited to:		X				
	APP - 90	i. Recording date		X				Please see comments on APP - 87
	APP - 91	ii. Grantor/grantee		X				Please see comments on APP - 87
	APP - 92	iii. Document types		X				Please see comments on APP - 87
	APP - 93	c. Reviewing change in ownership events		X				Please see comments on APP - 87
	APP - 94	d. Accessing old and current contact information of previous and current owners/representatives, including but not limited to:		X				Please see comments on APP - 87
	APP - 95	i. Property location		X				Please see comments on APP - 87
	APP - 96	ii. Mailing address		X				Please see comments on APP - 87
	APP - 97	iii. Phone numbers		X				Please see comments on APP - 87
	APP - 98	iv. Email		X				Please see comments on APP - 87
	APP - 99	e. Contacting Taxpayers for more information as necessary		X				Please see comments on APP - 87
	APP - 100	f. Communicating with the original processor		X				
	APP - 101	g. Reviewing record of original processors of each document recorded or unrecorded, as well as a record of processors who edit or add comments to a particular documents		X				
	APP - 102	h. Reason(s) for reassessment		X				
	APP - 103	i. Exclusions from reassessment that may or may not apply		X				Please see comments on App - 2
	APP - 104	j. Prioritizing appeals cases		X				Please see comments on App - 2
	APP - 105	k. Generating request letters		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 106	The system shall provide authorized users with the capability to add, delete or recategorize appeal reasons		X				Please see comments on App - 102
	APP - 107	The system shall have the capability to track data associated with an appeal including, but not limited to:		X				Please see comments on App - 2
	APP - 108	a. Appeal reason, including but not limited to:		X				Please see comments on App - 102
	APP - 109	i. Sibling to sibling transfer		X				Please see comments on App - 102
	APP - 110	ii. State Registered Domestic Partners transfers		X				Please see comments on App - 102
	APP - 111	iii. LEOP penalty		X				Please see comments on App - 102
	APP - 112	iv. Share and share alike		X				Please see comments on App - 102
	APP - 113	v. Parent-to-Child or Grandparent-to-Grandchild Transfer		X				Please see comments on App - 102
	APP - 114	vi. Financing		X				Please see comments on App - 102
	APP - 115	vii. Fraud		X				Please see comments on App - 102
	APP - 116	viii. Disproportional Transfer to LLC		X				Please see comments on App - 102
	APP - 117	ix. Inter-spousal		X				Please see comments on App - 102
	APP - 118	x. Change in Ownership date		X				Please see comments on App - 102
	APP - 119	b. Appeal type		X				Please see comments on App - 2
	APP - 120	i. Regular		X				Please see comments on App - 2
	APP - 121	ii. Escape		X				Please see comments on App - 2
	APP - 122	iii. Escape year		X				Please see comments on App - 2
	APP - 123	iv. Notice date of escape		X				Please see comments on App - 2
	APP - 124	v. Enrollment date of escape		X				Please see comments on App - 2
	APP - 125	vi. Supplemental		X				Please see comments on App - 2
	APP - 126	vii. Supplemental year		X				Please see comments on App - 2
	APP - 127	viii. Notice date of supplemental		X				Please see comments on App - 2
	APP - 128	ix. Enrollment date of supplemental		X				Please see comments on App - 2
	APP - 129	x. Base year		X				Please see comments on App - 2
	APP - 130	xi. Base year value		X				Please see comments on App - 2
BPP Appeals Process								
	APP - 131	The system shall have the capability to route the work item to the authorized user for review prioritizing information based on preconfigured data including, but not limited to:		X				
	APP - 132	a. Hearing date		X				Please see comments on App - 2

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 133	b. Value		X				Please see comments on App - 2
	APP - 134	c. Information provided		X				Please see comments on App - 2
	APP - 135	d. Queued for Audit		X				
	APP - 136	e. Account number		X				Please see comments on App - 2
	APP - 137	The system shall provide the authorized user with the capability to select to review and self-assign from the BPP appeals work queue		X				
	APP - 138	The system shall provide the authorized user with the capability to identify whether there is a current audit associated with the appeal		X				Please see comments on App - 135
	APP - 139	The system shall have the capability to flag the authorized user that a roll correction is possible within the last 4 years, unless there is a waiver to extend statute of limitations for a relevant lien year		X				
	APP - 140	The system shall provide authorized users with the capability to make administrative changes to values		X				Please see comments on App - 2
	APP - 141	The system shall have the capability to track data associated with an appeal including, but not limited to:		X				Please see comments on App - 2
	APP - 142	a. APN		X				Please see comments on App - 2
	APP - 143	b. Appeal types, including but not limited to:		X				
	APP - 144	i. Regular		X				
	APP - 145	ii. Penal		X				
	APP - 146	iii. Escapes		X				
	APP - 147	iv. Audit results		X				
	APP - 148	c. Years under audit		X				Please see comments on App - 135
	APP - 149	d. Account number		X				Please see comments on App - 135
	APP - 150	The system shall have the capability to notify the authorized user when the related BPP audit has been completed		X				Please see comments on App - 135
RP Appeals Process								
	APP - 151	The system shall have the capability to search other active work items associated with the APN under appeal (e.g. other pending appeals, pending valuations, etc.)		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 152	The system shall provide an authorized user with the capability to confirm that sufficient information is included in a taxpayer response		X				
	APP - 153	The system shall have the capability to prioritize the work item based on information including, but not limited to:		X				A custom trigger will be developed that will create work prioritization logic.
	APP - 154	a. Scheduled Hearing dates		X				Please see comments on APP - 153
	APP - 155	b. Trigger valuation workflow		X				Please see comments on APP - 153
	APP - 156	The system shall have the capability to flag the authorized user that a roll correction is possible		X				A custom trigger will be developed that will flat authorized users of roll correction opportunities.
	APP - 157	The system shall have the capability to determine if values can be administratively changed based on preconfigured business rules including, but not limited to:		X				Customizations will be made to parameterize administration.
	APP - 158	a. Current year prop 8		X				Please see comments on APP - 157
	APP - 159	b. Supplemental or base year within the prior 4 years		X				Please see comments on APP - 157
	APP - 160	c. Prior year prop 8 exists in the past 4 years		X				Please see comments on APP - 157
Pre-Hearing Conference								
	APP - 161	The system shall provide authorized users with the capability to generate and send a pre-hearing conference request to the AAB		X				A table will be caustomized to capture pre-hearing conference information.
	APP - 162	The system shall provide authorized users with the capability to save the pre-hearing conference date		X				A custom visualization will simplify the process of saving pre-hearing appointment dates and times.
	APP - 163	The system shall provide the authorized user with the capability to document information from the pre-hearing in the system, including, but not limited to:		X				Please see comments on APP - 161
	APP - 164	a. Information the Taxpayer is required to provide		X				Please see comments on APP - 161
	APP - 165	b. Date the Taxpayer is required to provide it by		X				Please see comments on APP - 161
	APP - 166	c. No-shows		X				Please see comments on APP - 161
	APP - 167	d. Information received from the Taxpayer at the pre-hearing conference (reportable)		X				Please see comments on APP - 161
	APP - 168	The system shall provide the authorized user with the capability to document the decision to deny appeals due to lack of appearance and update the appeals status		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 169	The system shall provide the authorized user with the capability to document that a Taxpayer provided sufficient information		X				
	APP - 170	The system shall prompt the preconfigured user to enter a resolution for appeals scheduled for a pre-hearing conference when the pre-hearing conference date passes		X				
Formal Hearing								
	APP - 171	The system shall provide the authorized user with the capability to upload AAB appeal determination results data to the system, including, but not limited to:		X				A custom object will capture appeal appeal information and different types of appeals will display and capture different appeal type information.
	APP - 172	a. Appeal type, including Regular, Escape, Supplemental (RP or TU), Base year (RP only)		X				Please see comments on APP - 171
	APP - 173	i. Regular		X				Please see comments on APP - 171
	APP - 174	ii. Escape		X				Please see comments on APP - 171
	APP - 175	iii. Supplemental (RP or TU)		X				Please see comments on APP - 171
	APP - 176	iv. Base year (RP only)		X				Please see comments on APP - 171
	APP - 177	b. New assessment amount		X				
	APP - 178	c. Allocation of new assessment, including Land/improvement value and change or no change		X				Please see comments on APP - 171
	APP - 179	d. Exclusion amounts to apply		X				Please see comments on APP - 171
	APP - 180	e. Appeal number		X				
	APP - 181	f. Base year assessment requirements		X				
	APP - 182	g. Documents relating to appeal, including but not limited to:		X				
	APP - 183	i. Agreements and stipulations		X				
	APP - 184	ii. Briefs		X				
	APP - 185	iii. Supporting documentation and evidence (i.e. court orders, etc.)		X				
	APP - 186	The system shall provide the capability to populate values and generate workflows from Controller letter and prompt original appraiser to approve values		X				
	APP - 187	The system shall have the capability to route AAB updates to appropriate authorized users for review		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	APP - 188	The system shall have the capability to override standard configured business rules with AAB decisions		X				
	APP - 189	The system shall provide the authorized user with the capability to review the AAB updates for issues		X				
	APP - 190	The system shall provide the authorized user with the capability to contact the AAB to update the Controller letter, if the authorized user identifies issues		X				
	APP - 191	The system shall have the capability to determine if there are any changes from the AAB determination		X				
	APP - 192	The system shall have the capability to save the determination, close the appeal and maintain the existing valuation, if there are no changes to the AAB determination		X				
	APP - 193	The system shall have the capability to accept changes, if the authorized user does not identify issues with the AAB update		X				
	APP - 194	The system shall provide the capability to determine if there are changes from the AAB determination		X				
	APP - 195	The system shall provide the capability to enroll the changed values, if there is a change to the AAB determination		X				
	APP - 196	The system shall provide the capability to route the reassessment for updated billing		X				
Customer Service								
Customer Service								
	SER - 01	The system shall provide authorized users with the capability to look up all records of Property Tax-related questions/issues, based on key information including, but not limited to:		X				
	SER - 02	a. APN		X				
	SER - 03	b. Business account ID		X				
	SER - 04	c. Name		X				
	SER - 05	d. Property address		X				
	SER - 06	e. Issue		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	SER - 07	f. Document number		X				
	SER - 08	g. DBI application number		X				
	SER - 09	The system shall provide authorized users with the capability to update an existing or add a new Property Tax-related question/issue related to a specific parcel or		X				
Self-Service Kiosk and Web Portal								
	SER - 10	The system shall provide a user-friendly interface for the Self-Service Kiosk and Web Portal		X				
	SER - 11	The system shall provide public users with the capability to search, review, print, and pay for public tax information on the Self-Service Kiosk and Web Portal		X				Please see comments on SER - 10
	SER - 12	The system shall provide public users with the capability to request customer service through the Self-Service Web Portal, with options including but not limited to:		X				
	SER - 13	a. Submit a question / issue to an appropriate Property Tax unit		X				Please see comments on SER - 12
	SER - 14	b. Submit forms electronically		X				Please see comments on SER - 12
	SER - 15	The system shall provide the capability to integrate with the Recorder system to handle requests for Marriage Certificate and Certified Documents		X				
	SER - 16	The system shall provide the capability for the public to submit a Property-tax related question or issue through the Self-Service Kiosk or Web Portal with information including, but not limited to:		X				Please see comments on SER - 12
	SER - 17	a. Name		X				Please see comments on SER - 12
	SER - 18	b. Email		X				Please see comments on SER - 12
	SER - 19	c. Phone		X				Please see comments on SER - 12
	SER - 20	d. Topic (dropdown list)		X				Please see comments on SER - 12
	SER - 21	e. Question/Issue		X				Please see comments on SER - 12
	SER - 22	f. Preferred language		X				Please see comments on SER - 12
	SER - 23	The system shall provide the ability to submit other Property Tax-related forms that trigger form-specific workflows		X				Please see comments on SER - 12
Customer Service Tracking								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	SER - 24	The system shall provide the ability to track the methods by which customer service questions/issues are reported, including, but not limited to:		X				
	SER - 25	a. Online self-service form		X				Please see comments on SER - 24
	SER - 26	b. Email		X				Please see comments on SER - 24
	SER - 27	c. Fax-to-email		X				Please see comments on SER - 24
	SER - 28	d. Phone bank or telephone		X				Please see comments on SER - 24
	SER - 29	e. Voicemail		X				Please see comments on SER - 24
	SER - 30	f. Mail		X				Please see comments on SER - 24
	SER - 31	g. In-person request		X				Please see comments on SER - 24
	SER - 32	The system shall have the capability to create tracking workflow items from questions submitted through the online self-service form		X				
	SER - 33	The system shall pre-populate the entry date and authorized user entering the issue into the tracking form		X				
	SER - 34	The system shall prompt the authorized user to enter other information including, but not limited to:		X				
	SER - 35	a. Issue date		X				Please see comments on SER - 34
	SER - 36	b. Taxpayer name		X				Please see comments on SER - 34
	SER - 37	c. Relevant APN(s)		X				Please see comments on SER - 34
	SER - 38	d. Recorded document number		X				Please see comments on SER - 34
	SER - 39	e. Relevant business account number(s)		X				Please see comments on SER - 34
	SER - 40	i. Record types		X				Please see comments on SER - 34
	SER - 41	ii. Form types		X				Please see comments on SER - 34
	SER - 42	f. Issue type (e.g., Ownership/Transfer, Real Property Value, Business Personal Property, Exemptions, Possessory Interest)		X				Please see comments on SER - 34
	SER - 43	g. Question		X				Please see comments on SER - 34
	SER - 44	h. Status (i.e. pending, resolved)		X				Please see comments on SER - 34
	SER - 45	i. Referral, including, but not limited to:		X				Please see comments on SER - 34
	SER - 46	i. Daily appraiser		X				Please see comments on SER - 34
	SER - 47	ii. BPP		X				Please see comments on SER - 34
	SER - 48	iii. TU		X				Please see comments on SER - 34
	SER - 49	iv. Language requirement		X				Please see comments on SER - 34
	SER - 50	v. Controller's Office		X				Please see comments on SER - 34

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	SER - 51	vi. Tax Collector's Office		X				Please see comments on SER - 34
	SER - 52	vii. Recorder		X				Please see comments on SER - 34
	SER - 53	viii. Exemptions		X				Please see comments on SER - 34
	SER - 54	ix. County Clerk		X				Please see comments on SER - 34
	SER - 55	j. Resolution and resolution date, if resolved		X				Please see comments on SER - 34
	SER - 56	k. Attachment(s) if necessary		X				Please see comments on SER - 34
	SER - 57	l. other information, based on general area selected		X				Please see comments on SER - 34
	SER - 58	The system shall provide authorized users with the capability to designate which data fields are mandatory		X				Please see comments on SER - 34
	SER - 59	The system shall prompt the user to complete any missing required fields		X				Please see comments on SER - 34
	SER - 60	The system shall provide authorized users with the capability to save the completed Customer Issue record once all mandatory fields have been completed		X				Please see comments on SER - 34
	SER - 61	The system shall have the capability to trigger pre-configured workflows and/or notices based on Referral selection/change		X				
	SER - 62	The system shall provide the authorized user with the capability to update each Customer issue record with additional information, including, but not limited to:		X				
	SER - 63	a. Resolution and resolution date		X				
	SER - 64	b. Interim activity and contact dates		X				
	SER - 65	The system shall provide authorized users with the capability to reassign a customer question/issue work item to another unit within the department or to another department		X				
	SER - 66	The system shall track the user and date for all updates to the Customer issue		X				
	SER - 67	The system shall track all assignments, reassignments, and referrals with date/time referred to, and closed or referred on		X				
Returned Mail for Bad Addresses								

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	SER - 68	The system shall provide the authorized user with the capability to document returned mail due to bad addresses in the system		X				
	SER - 69	The system shall provide the authorized user with the capability to scan barcoded returned mail		X				
	SER - 70	The system shall associate barcoded returned mail with the appropriate Taxpayer account and document		X				
	SER - 71	The system shall provide the authorized user with the capability to manually enter returned mail information, including, but not limited to:		X				
	SER - 72	a. Type of mail		X				
	SER - 73	b. Date sent		X				
	SER - 74	c. Date returned		X				
	SER - 75	d. Business unit associated with the mail		X				
	SER - 76	The system shall provide the authorized user with the capability to indicate in the system if the returned mail has a forwarding address		X				
	SER - 77	The system shall provide the authorized user with the capability to add a forwarding address to the system		X				
	SER - 78	The system shall provide the authorized user with the capability to save the new address and the date the address was added		X				
	SER - 79	The system shall have the capability to maintain a history of past addresses with associated entry dates		X				
	SER - 80	The system shall prompt the Assessor's Office Staff to select the address type and/or origin from a preconfigured list		X				
	SER - 81	The system shall provide authorized users with the ability to document additional notes indicating how an address should be used		X				
	SER - 82	The system shall provide the authorized user with the capability to select an address from the system and indicate whether to resend the correspondence		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	SER - 83	The system shall have the capability to maintain a record of the number of mailing attempts and addresses used for each document sent		X				
	SER - 84	The system shall have the capability to prepopulate a "Change of official address of record" instruction sheet for the Taxpayer		X				
	SER - 85	The system shall have the capability to prepopulate a "Change of address request form" for the Taxpayer to complete		X				
	SER - 86	The system shall send the correspondence, instruction sheet, and change of address request form to the selected address		X				
Exemptions								
Exemptions								
	EXM - 01	The system web portal shall provide users with the capability to complete an exemption claim form, including, but not limited to:		X				
	EXM - 02	a. Homeowners Exemption		X				
	EXM - 03	b. Disabled Veterans Exemption		X				
	EXM - 04	c. Vessel Exemptions		X				
	EXM - 05	d. Institutional Exemptions		X				
	EXM - 06	The system shall provide authorized users with the capability to update an exemptions claim based on further discussions with the applicant and note the reason for the update		X				
	EXM - 07	The system shall provide authorized users with the capability to indicate approval or denial of an exemption		X				
	EXM - 08	The system shall have the capability to automatically notify an applicant if their claim has been denied		X				
	EXM - 09	The system shall provide authorized users with the capability to complete an exemption claim on behalf of a taxpayer based on receiving a hard copy version of the claim form		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 10	The system shall have the capability to determine that all required data has been provided on an exemptions claim form whether the form has been submitted through the web portal or directly input in to the system by authorized users		X				Please see comments on EXM - 09
	EXM - 11	The system shall provide authorized users with the capability to review an exemption claim including conducting additional research/activities. Additional research/activities may include, but are not limited to:		X				
	EXM - 12	a. Generating an email/letter from a template		X				
	EXM - 13	b. Adding notations to the claim		X				
	EXM - 14	c. Sending notifications for additional information		X				
Homeowners Exemption Filing								
	EXM - 15	The system web portal shall have the capability to require a user to complete preconfigured data fields when completing a Homeowners Exemption claim form. Required data fields include, but are not limited to:		X				
	EXM - 16	a. SSN		X				Please see comments on EXM - 15
	EXM - 17	b. Name		X				Please see comments on EXM - 15
	EXM - 18	c. Owner ID		X				Please see comments on EXM - 15
	EXM - 19	d. Indication of Co-ownership		X				Please see comments on EXM - 15
	EXM - 20	e. Co-owner(s) Name		X				Please see comments on EXM - 15
	EXM - 21	f. Co-owner(s) SSN		X				Please see comments on EXM - 15
	EXM - 22	g. Date application was received		X				Please see comments on EXM - 15
	EXM - 23	h. Date property was occupied		X				Please see comments on EXM - 15
	EXM - 24	i. Other property addresses		X				Please see comments on EXM - 15
	EXM - 25	j. Acquire date		X				Please see comments on EXM - 15
	EXM - 26	k. Supplemental notice receipt date		X				Please see comments on EXM - 15
	EXM - 27	l. APN		X				Please see comments on EXM - 15
	EXM - 28	m. Situs		X				Please see comments on EXM - 15
	EXM - 29	n. Mailing address		X				Please see comments on EXM - 15
	EXM - 30	o. Marital status		X				Please see comments on EXM - 15

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 31	The system shall have the capability to save a Homeowners Exemption claim form completed through the web portal		X				
	EXM - 32	The system shall have the capability to perform initial screening of a Homeowners Exemption claim for issues, using the information completed on the form. Screening may include, but is not limited to:		X				
	EXM - 33	a. Identifying any duplicate Homeowners Exemption claims		X				
	EXM - 34	b. Reviewing mailing versus situs address		X				
	EXM - 35	c. Reviewing for multiple claims		X				
	EXM - 36	d. Conducting an SSN review		X				
	EXM - 37	e. Review of co-ownership (including co-ownership)		X				
	EXM - 38	The system shall have the capability to route a Homeowners Exemption claim completed via the web portal to a preconfigured user with associated information. Associated information may include, but is not limited to:		X				
	EXM - 39	a. Any issues identified in the system's initial screening		X				
	EXM - 40	The system shall calculate the exemption amount including any penalties based on preconfigured rules. Preconfigured rules will be based on a number of conditions, including, but not limited to:		X				
	EXM - 41	a. Filing date relative to deadline		X				
	EXM - 42	b. Conditions at time of filing		X				
	EXM - 43	The system shall have the capability to set a filing deadline on a preconfigured date		X				
	EXM - 44	The system shall have the capability to set a filing deadline a preconfigured number of days after a filing notice has been sent		X				
	EXM - 45	The system shall have the capability to apply an exemption to the appropriate assessment		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 46	The system shall have the capability to note that a Homeowners Exemption claim that an authorized user is inputting does not have all required information		X				
	EXM - 47	The system shall provide authorized users with the capability to create a notification for a taxpayer indicating the missing information on a Homeowner's Exemption claim (e.g. co-owner / spouse SSN#)		X				
	EXM - 48	The system shall remove the homeowners exemption from a property when there is a change in ownership		X				
	EXM - 49	The system shall ensure that a SSN is associated with any homeowners exemptions		X				
Multiple Claims								
	EXM - 50	The system shall have the capability to generate a list of all Homeowners and Disabled Veteran Exemptions in the City on a preconfigured date or run an ad hoc report		X				
	EXM - 51	The system shall have the capability to identify potential multiple claims for further investigation		X				
	EXM - 52	The system shall provide authorized users with the capability to flag multiple claims within the City		X				
	EXM - 53	The system shall provide authorized users with the capability to flag blank/missing SSNs in the Multiple Claims Report for correction		X				
	EXM - 54	The system shall provide authorized users with the capability to upload information from the CD of duplicate exemptions from the BOE. Information includes, but is not limited to:		X				
	EXM - 55	a. SSN		X				
	EXM - 56	b. Case number		X				
	EXM - 57	c. Duplicate County information (including APN)		X				
	EXM - 58	The system shall provide authorized users with the capability to generate a multiple claims notification letter with data including, but not limited to:		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 59	a. Truncated SSN		X				
	EXM - 60	b. Case Number		X				
	EXM - 61	c. Duplicate County information with APN		X				
	EXM - 62	d. Taxpayer identification information		X				
	EXM - 63	e. All Homeowners and Disabled Veterans claims associated with the Tax Payer		X				
	EXM - 64	f. Instructions to respond via the online portal		X				
	EXM - 65	The system web portal shall provide a user with the capability to indicate which County and APN to apply a Homeowners Exemption in		X				
	EXM - 66	The system web portal shall prompt a user that has a co-ownership Homeowners Exemption to indicate any changes. Changes include, but are not limited to:		X				
	EXM - 67	a. Divorce		X				
	EXM - 68	b. Deceased		X				
	EXM - 69	c. Termination of Co-ownership		X				
	EXM - 70	d. Error		X				
	EXM - 71	The system web portal shall prompt a user to attach required documentation if the user indicates a co-ownership change. Required documentation may include, but not be limited to:		X				
	EXM - 72	a. Death Certificate		X				See comments on EXM - 71
	EXM - 73	b. Divorce Decree		X				See comments on EXM - 71
	EXM - 74	c. Marital Settlement Agreement		X				See comments on EXM - 71
	EXM - 75	d. Contract of Sale		X				See comments on EXM - 71
	EXM - 76	The system shall provide authorized users with the capability to update the application of an exemption		X				See comments on EXM - 71
Disabled Veteran								
	EXM - 77	The system web portal shall have the capability to require a user to complete preconfigured data fields when completing a Disabled Veteran Exemption claim form. Required data fields include, but are not limited to:		X				
	EXM - 78	a. SSN		X				Please see comments on EXM - 77
	EXM - 79	b. Claimant's name		X				Please see comments on EXM - 77
	EXM - 80	c. APN		X				Please see comments on EXM - 77

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 81	d. Mailing information		X				Please see comments on EXM - 77
	EXM - 82	e. Property acquisition date		X				Please see comments on EXM - 77
	EXM - 83	f. Entitlement date		X				Please see comments on EXM - 77
	EXM - 84	g. Annual income		X				Please see comments on EXM - 77
	EXM - 85	The system web portal shall prompt a user completing a Disabled Veteran's Exemption to attach required documentation. Required documentation may include, but not be limited to:		X				
	EXM - 86	a. DD214		X				
	EXM - 87	b. Entitlement letter		X				
	EXM - 88	c. Income report form (higher exemption value only)		X				
	EXM - 89	d. Additional supporting documents		X				
	EXM - 90	The system shall have the capability to calculate a Disabled Veterans Claims. Calculations include, but are not limited to:		X				
	EXM - 91	a. Calculating the number of benefit-eligible days		X				
	EXM - 92	b. Prorating the total benefit amount based on filing date and qualification date		X				
	EXM - 93	c. Removal of any Homeowners Exemptions for applicable years		X				
	EXM - 94	d. Application of any necessary late filing penalty		X				
	EXM - 95	e. Determination of exemption level based on income		X				
	EXM - 96	1. Application of the high exemption level, if appropriate		X				
	EXM - 97	2. Application of the low exemption level, if appropriate		X				
	EXM - 98	f. Recalculation of the net assessed value with the Disabled Veterans Exemption		X				
	EXM - 99	g. Manually entered data with notes or other justification for the manual entry		X				
	EXM - 100	The system shall provide authorized user with the capability to adjust/update the final calculation before approval		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 101	The system shall provide authorized users with the capability to accept a new overall allowable exemption value based on the Disabled Veterans Exemption		X				
Vessel Exemptions								
	EXM - 102	The system shall initiate the review and sending of 576-E affidavits to 4% Commercial Fishing Vessel accounts in the system on a preconfigured date		X				
	EXM - 103	The system web portal shall provide users with the capability to upload their 576-E affidavits into the system		X				
	EXM - 104	The system shall have the capability to deny a 4% Commercial Fishing Vessel Exemption if the 576-E affidavit has not been received by a preconfigured date		X				
	EXM - 105	The system shall have the capability to conduct a prequalification check for a 4% Commercial Fishing Vessel Exemption based on preconfigured business rules		X				
	EXM - 106	The system shall have the capability to route new vessel numbers to authorized users		X				
	EXM - 107	The system shall have the capability to calculate a 4% Commercial Fishing Vessel Exemption based on preconfigured business rules		X				
	EXM - 108	The system shall have the capability to apply a 100% exemption to accounts including, but not limited to:		X				
	EXM - 109	a. 50 Tons		X				
	EXM - 110	The system shall provide authorized users with the capability to scan a barcoded vessel affidavit and associate it with the appropriate account		X				
	EXM - 111	The system shall provide authorized users with the capability to enter required information from a vessel affidavit.		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
Institutional Exemptions								
	EXM - 112	The system shall have the capability to initiate the review and sending of annual institutional exemptions claims forms to institutional accounts in the system on a preconfigured date		X				
	EXM - 113	The system web portal shall provide users with the capability to upload their Institutional Exemption Claim into the system		X				
	EXM - 114	The system web portal shall have the capability to prompt an Institutional Exemptions Claims filer to provide required supporting documents based on the exemption type selected. Required supporting documents include, but are not limited to:		X				
	EXM - 115	a. Organizational clearance certificate (OCC)		X				
	EXM - 116	b. Supplemental Exemption Claim, as applicable (i.e. BOE 267 O, etc.)		X				
	EXM - 117	c. Financial statement		X				
	EXM - 118	d. Construction invoices		X				
	EXM - 119	e. SCC for limited partnerships		X				
	EXM - 120	f. Lease agreements		X				
	EXM - 121	g. Occupant information		X				
	EXM - 122	h. Tenants list		X				
	EXM - 123	i. Additional supporting documents		X				
	EXM - 124	The system shall have the capability to send a reminder if an institution has not filed their exemption claim by a preconfigured date		X				
	EXM - 125	The system shall have the capability to add an institution to a list of non-responders if they have not responded by a preconfigured date		X				
	EXM - 126	The system shall provide authorized users with the capability to research an institutional exemptions filer in the system		X				
	EXM - 127	The system shall provide authorized users with the capability to document and review findings. Findings may include, but not be limited to:		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 128	a. Any identified missing information		X				
	EXM - 129	b. Discovery details		X				
	EXM - 130	c. Information affecting eligibility		X				
	EXM - 131	d. Partial exemption if applicable		X				
	EXM - 132	e. Any attachments		X				
	EXM - 133	f. Percentage exempt		X				
	EXM - 134	The System shall have the capability to calculate the percentage exempt if an authorized user provides the square footage exemption		X				
	EXM - 135	The system shall prompt the reviewer to review system applied late filing penalties		X				
	EXM - 136	The system shall have the capability to distinguish between data populated by the system, entered by the tax payer, or adjusted by an authorized system user		X				Please see comments on EXM - 135
	EXM - 137	The system shall provide authorized users with the ability to manually enter a filed date with note for justification of manual entry		X				Please see comments on EXM - 135
	EXM - 138	The system shall provide authorized users with the capability to indicate that an institutional exemption is pending further actions. Further actions include, but are not limited to:		X				
	EXM - 139	a. Unprocessed change in ownership		X				Please see comments on EXM - 138
	EXM - 140	b. Incorrect change of ownership		X				Please see comments on EXM - 138
	EXM - 141	c. Site visit		X				Please see comments on EXM - 138
	EXM - 142	d. Appeals		X				Please see comments on EXM - 138
	EXM - 143	e. Dispute with a claimant		X				Please see comments on EXM - 138
	EXM - 144	f. Reviewing issue finding sheet		X				Please see comments on EXM - 138
	EXM - 145	g. BOE form - met / not met / incomplete		X				Please see comments on EXM - 138
	EXM - 146	h. Missing requirements		X				Please see comments on EXM - 138
	EXM - 147	The system shall have the capability to notify authorized users when the pending action has been completed on an institutional exemption account		X				
	EXM - 148	The system shall have the capability to apply an institutional exemption to an account when approved by authorized users		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	EXM - 149	The system shall have the capability to apply any applicable late filing penalty		X				
	EXM - 150	The system shall have the capability to route an institutional exemption claim to the Controller's Office and/or system if a proration is necessary		X				
	EXM - 151	The system shall provide authorized users with the capability to scan a barcoded Institutional Exemption Claim and associate it with the appropriate account(s)		X				
	EXM - 152	The system shall provide authorized users with the ability to enter required information from an institutional exemption claim		X				
	EXM - 153	The system web portal shall provide users with the capability to upload an institutional exemptions claim for a new institution		X				
	EXM - 154	The system web portal shall have the capability to require a new institutional exemptions claimant to provide additional required information		X				
	EXM - 155	The system shall provide authorized users with the capability to upload an institutional exemptions claim for a new institution		X				
	EXM - 156	The system and system web portal shall have the capability to conduct a submission completeness screening for new institutional exemptions claimants		X				
Ownership & Transfers								
General								
	OWN - 01	The system shall have the capability to identify, retrieve, and route recorded documents and associated indexed information from the Recorder's Office to predetermined Assessor Staff as preconfigured in the system. Indexed information may include, but is not limited to:		X				
	OWN - 02	a. Grantor		X				
	OWN - 03	b. Grantee		X				Please see comments on OWN - 01

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 04	c. Document type		X				Please see comments on OWN - 01
	OWN - 05	d. APN		X				Please see comments on OWN - 01
	OWN - 06	e. Cashiering information		X				Please see comments on OWN - 01
	OWN - 07	1. Transfer tax		X				Please see comments on OWN - 01
	OWN - 08	f. Document date and time		X				Please see comments on OWN - 01
	OWN - 09	g. Mailing address		X				Please see comments on OWN - 01
	OWN - 10	h. OCR from Recorder's system		X				Please see comments on OWN - 01
	OWN - 11	The system shall have the capability to identify, retrieve, and route supplemental documentation and associated indexed information to predetermined Assessor Staff as preconfigured in the system. Supplemental documentation includes, but is not limited to:		X				Please see comments on OWN - 01
	OWN - 12	a. PCOR		X				Please see comments on OWN - 01
	OWN - 13	1. New owner mailing address		X				Please see comments on OWN - 01
	OWN - 14	2. APN		X				Please see comments on OWN - 01
	OWN - 15	3. Transfer information		X				Please see comments on OWN - 01
	OWN - 16	4. Exclusions		X				Please see comments on OWN - 01
	OWN - 17	5. Purchase price		X				Please see comments on OWN - 01
	OWN - 18	6. Broker sale vs. direct from seller		X				Please see comments on OWN - 01
	OWN - 19	7. Operating Agreements		X				Please see comments on OWN - 01
	OWN - 20	8. Trusts		X				Please see comments on OWN - 01
	OWN - 21	b. Tax affidavit		X				Please see comments on OWN - 01
	OWN - 22	c. BOE forms		X				Please see comments on OWN - 01
	OWN - 23	The system shall provide the capability for a user to update the mailing address associated with a owner		X				
Identify and Process Recorded and Unrecorded Documents								
	OWN - 24	The system shall have the capability to organize recorded documents into separate work queues based on indexed information and preconfigured prioritization and sorting criteria, including, but not limited to:		X				Please see comments on OWN - 01
	OWN - 25	a. Property Class		X				Please see comments on OWN - 01
	OWN - 26	b. Sales price compared to current assessed value		X				Please see comments on OWN - 01

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 27	c. Chain of title issues		X				Please see comments on OWN - 01
	OWN - 28	d. Sales transactions		X				Please see comments on OWN - 01
	OWN - 29	e. Sales price		X				Please see comments on OWN - 01
	OWN - 30	f. Document type		X				Please see comments on OWN - 01
	OWN - 31	g. Government Owned Properties		X				Please see comments on OWN - 01
	OWN - 32	The system shall provide the capability for a user to indicate a work item is missing a transaction		X				
	OWN - 33	The system shall have the capability to identify any transactions that have pending actions		X				
	OWN - 34	The system shall hold transactions as pending until pending actions have been resolved by the appropriate department		X				
	OWN - 35	The system shall have the capability to notify appropriate departments of pending actions for resolution		X				
	OWN - 36	The system shall provide the capability for a user to indicate a work item is pending additional action(s) and to document the action(s)		X				
	OWN - 37	The system shall provide the capability for a user to update a Recorder error in the system and notify Recorder staff of the correction needed in the Recorder's system		X				
	OWN - 38	The system shall provide the capability for a user to document a taxpayer entry error by selecting from a preconfigured list of error types including but not limited to:		X				
	OWN - 39	a. Incorrect APN		X				
	OWN - 40	b. Owner Discrepancy		X				
	OWN - 41	c. Ownership Percentage transferred discrepancy		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 42	The system shall provide the capability to use the error type in populating a preconfigured correspondence template		X				
	OWN - 43	The system shall provide the capability for a user to indicate any notices to be sent to the taxpayer, including, but not limited to:		X				
	OWN - 44	a. Relevant exclusion forms		X				
	OWN - 45	b. Informational requests, including, but not limited to:		X				Please see comments on OWN - 44
	OWN - 46	1. Break in chain-of-title		X				Please see comments on OWN - 44
	OWN - 47	2. Incorrect APN		X				Please see comments on OWN - 44
	OWN - 48	3. Owner Discrepancy		X				Please see comments on OWN - 44
	OWN - 49	4. Owner Percentage Discrepancy		X				Please see comments on OWN - 44
	OWN - 50	5. Title Correction Relating to Financing (with co-signature)		X				Please see comments on OWN - 44
	OWN - 51	For splits, the system shall provide the capability for authorized users to document the percentage of land value from the originating parcel		X				
	OWN - 52	For splits, the system shall provide the capability for authorized users to document the percentage of improvement value from the originating parcel		X				
	OWN - 53	For a partial transfer or tenants in common, the system shall provide the capability for authorized users to document the percentage ownership interest in the property and the percentage ownership interest being transferred		X				
	OWN - 54	The system shall provide the capability for a user to indicate the transaction type, including, but not limited to:		X				
	OWN - 55	a. Possessory interest		X				

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 56	b. Co-ops		X				
	OWN - 57	c. Timeshares		X				
	OWN - 58	d. Government sales		X				
	OWN - 59	The system shall have the capability to route a transaction based upon the associated transaction type		X				
	OWN - 60	The system shall have the capability to identify potential direct enrollments based on transaction characteristics and preconfigured criteria		X				
	OWN - 61	The system shall provide authorized users with the ability to view and remove transactions from the pending direct work queue at any point in processing the transaction		X				
Unrecorded Events								
	OWN - 62	The system shall provide authorized users with the capability to document potential transactions based on information from external sources, including, but not limited to:		X				Please see comments on OWN - 01
	OWN - 63	a. Mail (physical or email)		X				Please see comments on OWN - 01
	OWN - 64	b. Documents received in person		X				Please see comments on OWN - 01
	OWN - 65	c. Death certificates		X				Please see comments on OWN - 01
	OWN - 66	d. Probate courts		X				Please see comments on OWN - 01
	OWN - 67	e. News		X				Please see comments on OWN - 01
	OWN - 68	f. Court orders		X				Please see comments on OWN - 01
	OWN - 69	The system shall provide the capability for users to assign information from an external data source to an existing transaction		X				Please see comments on OWN - 01
	OWN - 70	The system shall provide the capability for users to assign information from an external data source to a new unrecorded transaction and document all known information		X				Please see comments on OWN - 01
LEOPs								

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 71	The system shall provide the capability for a user to upload the monthly file from the BOE containing "BOE-100B" forms, including, but not limited to:		X				
	OWN - 72	a. A list of changes from the state		X				
	OWN - 73	b. Any exclusions		X				
	OWN - 74	c. Any entities subject to late filer penalties		X				
	OWN - 75	d. Notice of Findings Report(s)		X				
	OWN - 76	The system shall provide the capability for a user to search the system for unrecorded transactions or transfer tax amounts corresponding to the LEOPs listed in the BOE forms		X				
	OWN - 77	The system shall provide the capability for a user to search the system for transfer taxes corresponding to the LEOPs listed in the BOE forms		X				
	OWN - 78	The system shall provide the capability for a user to associate BOE information with an existing unrecorded transaction		X				Please see comments on OWN - 01
	OWN - 79	The system shall provide the capability for a user to flag an account as requiring a late filer penalty		X				
	OWN - 80	The system shall provide the capability for a user to indicate that the late filer penalty should be billed to someone different than the Assessee		X				
	OWN - 81	The system shall provide the capability to pass a late filer penalty to the Controller system as a unsecured tax bill if the Assessee is different than previously billed		X				
	OWN - 82	The system shall have the capability to compare the late filer with the current Assessee and bill the correct party		X				
	OWN - 83	The system shall have the capability to identify all real property held by a legal entity in San Francisco		X				
	OWN - 84	The system shall have the capability to perform a search of owners with similar or close-relating names to a legal entity		X				

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 85	The system shall provide authorized users with the ability to indicate all reassessable properties owned by the legal entity in San Francisco		X				
	OWN - 86	The system shall have the capability to populate information in a saved LEOP letter template for the Legal Entity including, but not limited to:		X				
	OWN - 87	a. Contact information		X				Please see comments on OWN - 86
	OWN - 88	b. An explanation of taxes (including transfer taxes)		X				Please see comments on OWN - 86
	OWN - 89	c. Penalty		X				Please see comments on OWN - 86
	OWN - 90	d. Interest		X				Please see comments on OWN - 86
	OWN - 91	e. Date of change in ownership		X				Please see comments on OWN - 86
	OWN - 92	f. Date filing is due		X				Please see comments on OWN - 86
	OWN - 93	g. BOE reported filing date		X				Please see comments on OWN - 86
	OWN - 94	h. Timely acknowledgement of any payments made		X				Please see comments on OWN - 86
	OWN - 95	i. Payment options		X				Please see comments on OWN - 86
	OWN - 96	j. Late filing policy if the system calculates that the filing was submitted late		X				Please see comments on OWN - 86
	OWN - 97	k. Legal entity's name		X				Please see comments on OWN - 86
	OWN - 98	The system shall provide the capability to calculate the LEOP values for a new assessment, including, but not limited to:		X				
	OWN - 99	a. Tax		X				Please see comments on OWN - 86
	OWN - 100	b. Penalties		X				Please see comments on OWN - 86
	OWN - 101	c. Balance due		X				Please see comments on OWN - 86
	OWN - 102	The system shall provide the capability to notify the Tax Collector Office of information related to LEOPs, including, but not limited to:		X				Please see comments on OWN - 86
	OWN - 103	a. Payments		X				Please see comments on OWN - 86
	OWN - 104	b. Late filing penalties		X				Please see comments on OWN - 86
	OWN - 105	c. Other fees due		X				Please see comments on OWN - 86
	OWN - 106	d. Transfer taxes		X				Please see comments on OWN - 86
	OWN - 107	The system shall have the capability to notify the Recorder of the transfer tax amount due based on the updated Real Property assessment		X				Please see comments on OWN - 86

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	OWN - 108	The system shall provide the capability for a user to note an account as a Legal Entity Transfer based on information from the Recorder, but hold further action on the account until the "BOE-100B" forms have been received		X				
	OWN - 109	The system shall provide the capability for a user to document a transaction as a LEOP change in ownership and indicate the exclusion from reassessment		X				Please see comments on OWN - 1
Reverse Previously Assessable Events								
	OWN - 110	The system shall have the capability to indicate to a user that a previously assessable event is non-assessable based on data updates in the system, including, but not limited to:		X				
	OWN - 111	a. Exclusion processing		X				
	OWN - 112	b. Appeals		X				
	OWN - 113	c. Prop 58		X				
	OWN - 114	d. Financing		X				
	OWN - 115	e. Prop 193		X				
	OWN - 116	f. Inter-spousal		X				
	OWN - 117	g. Inter-domestic partnership		X				
	OWN - 118	h. Proportional interest exclusion		X				
	OWN - 119	i. Joint tenancy exclusion		X				
	OWN - 120	j. Co-tenancy exclusion		X				
	OWN - 121	k. Fraud		X				
	OWN - 122	The system shall provide the capability for a user to indicate and document that a previously assessable event is non-assessable based on the users additional research		X				
	OWN - 123	The system shall provide the capability for a user to select a reason for an event being categorized as non-assessable from a preconfigured list of reasons		X				
	OWN - 124	The system shall prompt the user to provide any additional supporting documentation when indicating that an event is no longer assessable		X				

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	OWN - 125	The system shall have the capability to reverse a previously assessable transaction from existing records if they have not been passed to the Controller		X				
	OWN - 126	The system shall have the capability to create a roll correction for previously assessable events that have been passed to the Controller before being updated to non-assessable		X				
	OWN - 127	The system shall have capability to track cancelled events		X				
Assessment Value True-up								
	OWN - 128	The system shall have the capability to conduct a comparison between enrolled assessment values and value assessments declared at the time of document recording		X				
	OWN - 129	The system shall have the capability to notify the Recorder's Office or system of enrolled assessment values that differ from declared value assessments		X				
	OWN - 130	The system shall have the capability to generate demand letters based on differences in enrolled and declared value assessments		X				
Real Property Valuation								
Real Property Valuation								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 1	The system shall have the capability to assign work items to work lists and/or individual work queues based on preconfigured transaction and/or parcel characteristics based on data including, but not limited to:		X				The proposed Salesforce solution offers a comprehensive suite of analytics and reporting tools to help the end user view and analyze their work lists and corresponding work item demands, all of which can be predicated on a wide range variable work items, i.e., Property type, Geography, property value [be it new sale or permit cost estimate], preliminary change of ownership and etc. To this end, users can examine their Salesforce data in an almost infinite range of combinations, display it in easy-to-understand formats such as dashboards, while at the same time sharing the resulting insights with others. Moreover, independent activity such as individual work items within a list can be linked and configured to be dependent on other user-defined activities. Additionally, activities can be aged such that appropriate action affected in a timely manner. As a result, users are also capable of selecting individual items to work on from their work queue's. Furthermore, Report data on work performed [or to be performed] can be filtered, grouped, and displayed graphically in formats such as various types of statistical charts. In this instance, reports are stored in folders, which control who has access. Consequently, the proposed Salesforce solution can materially help users monitor their unit or division, via a wide range of standard reports, which are accessible in the standard reports folders on the Reports tab. All proposed Salesforce standard reports are "templates" so they can be used as report starting points from which users can alter fields, criteria, and etc. In those instances where a modified/custom report is created, the user only needs to execute the "Save As" function to easily capture a version more specific to their unique needs. Users can also create new custom reports to access exactly the information they need. Subtotal and limit data to help users analyze trends and get a concise picture of what is happening in your organization
	RPV - 2	a. Property type (class code)		X				Please see comments to RVP-1
	RPV - 3	b. Geography (block/lot)		X				Please see comments to RVP-1

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 4	c. Dollar value (existing assessment or new sale price/permit cost estimate)		X				Please see comments to RVP-1
	RPV - 5	d. Volume		X				Please see comments to RVP-1
	RPV - 6	e. Roll value		X				Please see comments to RVP-1
	RPV - 7	f. Permit value - Estimated cost		X				Please see comments to RVP-1
	RPV - 8	g. Permit value - Revised cost		X				Please see comments to RVP-1
	RPV - 9	h. PCOR value		X				Please see comments to RVP-1
	RPV - 10	i. Value calculated by transfer tax paid		X				Please see comments to RVP-1
	RPV - 11	j. Value relative to Permit value		X				Please see comments to RVP-1
	RPV - 12	k. Economic Unit		X				Please see comments to RVP-1
	RPV - 13	l. Event Date		X				Please see comments to RVP-1
	RPV - 14	The system shall have the capability to identify if multiple parcels were purchased in the same sale		X				The proposed solution will fully comport with this functional request
	RPV - 15	The system shall provide authorized users with the capability to designate a property as an economic unit		X				This requested function may be performed via the User-Defined Coding structures and the Economic Unit attribute on the Property Details view.
Prepare Real Property for Valuation								
	RPV - 16	The system shall have the capability to receive notice of real property requiring valuation, including, but not limited to:		X				All Real property processing that will require human intervention for purposes of valuation will be done so via user-defined work-flow sequence of events, i.e., CIO. Any out of Sequence events that are attempted to be processed / revalued would be set to a status indicating that the request for valuation is out of sequence and that the event will be allowed to be processed once the conflicting activities have been resolved. Moreover, any external interfaced divisions of government, i.e., BOE or Permit Services which create an event that might change the valuation, will in turn trigger an action for valuation or revaluation.
	RPV - 17	a. Residential (four units or less)		X				Please see comments to RVP-16
	RPV - 18	b. Commercial (five units or more)		X				Please see comments to RVP-16
	RPV - 19	c. Condos		X				Please see comments to RVP-16
	RPV - 20	d. Timeshares		X				Please see comments to RVP-16
	RPV - 21	e. Tenants-in-common (TIC)		X				Please see comments to RVP-16
	RPV - 22	f. Co-ops		X				Please see comments to RVP-16
	RPV - 23	g. Land sales		X				Please see comments to RVP-16
	RPV - 24	h. TDRs		X				Please see comments to RVP-16
	RPV - 25	i. Long-term leases		X				Please see comments to RVP-16

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 26	j. Parking spaces		X				Please see comments to RVP-16
	RPV - 27	k. Air space		X				Please see comments to RVP-16
	RPV - 28	The system shall have the capability to identify any commercial properties for valuation		X				Please see comments in RPV - 16. Moreover, this function would be accomplished by the User-Defined Coding Schema of the proposed solution.
	RPV - 29	The system shall provide authorized users with the capability document TU issues in the system, if applicable		X				The proposed system is predicated on user-defined automated 'step processing' where individual process steps are user-defined for all key types of functions that may take place in any of the units/divisions of the CCSF Assessor/Recorder's Office. In this instance, the key automated process steps are devised to track the process step that are necessary for the Transactions Unit (TU). Consequently, key TU obligations such as reviews and determinations of assessiblity in CIO or transfers of property would be key processes to track and document as it relates to these kinds of pertinent Real Property events.
	RPV - 30	The system shall provide authorized users with the capability to indicate for the system to return the work item to TU		X				The user-defined workflows would be sequenced. There any out of Sequence events that are attempted to be processed / revalued would be set to a status indicating that the request for action is out of sequence and the event will be allowed to be processed once the conflicting activities have been resolved.
	RPV - 31	The system shall have the capability to validate that total ownership is equal to 100% on each property after each transfer		X				This function will be available via how the proposed system will handle partial interests.
	RPV - 32	The system shall provide authorized users with the capability to select to send a letter to the Taxpayer requesting additional information if applicable		X				This function will be available via how the proposed system will handle circumstancial work flow.
	RPV - 33	The system shall have the capability to populate a preconfigured template with the information needed from the Taxpayer		X				This requested function is configurable via the proposed solution's Workflow sub-system.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 34	The system shall have the capability to send a barcoded request to the Taxpayer		X				The proposed system can provide various types of special characters like barcodes for an event. The range of special characters can range from OCR to even the current U.S. Postal service's Intelligent Mail Barcode (IMB). However, it is envisioned that this request will require some additional first-hand analysis of what the ultimate aim may be in utiilizing a special character such as a barcode (which in an of itself have various iterations that can correspond to a specific purpose, i.e., code 39, code 128, QR Code and etc.)
	RPV - 35	The system shall have the capability to populate a request for information letter to commercial properties requesting additional information selected based on data including, but not limited to:		X				This is a range of functionality that can currently be performed in the proposed underlying solution which is integrated with the core calendaring and scheduling technology of the proposed system.
	RPV - 36	a. Property type (class code)		X				Please see comments in RPV-35
	RPV - 37	b. Event type, including but not limited to:		X				Please see comments in RPV-35
	RPV - 38	i. Change in ownership		X				Please see comments in RPV-35
	RPV - 39	ii. New construction		X				Please see comments in RPV-35
	RPV - 40	iii. Assessment Appeal		X				Please see comments in RPV-35
	RPV - 41	iv. Lien date construction in progress		X				Please see comments in RPV-35
	RPV - 42	c. Change of ownership type (e.g. LEOP, multi-parcel sale, etc.)		X				Please see comments in RPV-35
Value Real Property								
	RPV - 43	The system shall provide authorized users with the capability to select the desired valuation method		X				The Valuation module is used to hold/import values from diffent valuation method templates [all of which are editable for a given assessable event], which can in turn, is then be drawn into the assessment module.
	RPV - 44	The system shall have the capability to display the preconfigured income calculation template associated with the assessable event and property type to be valued, if authorized users selects the income valuation method		X				Please see comments in RPV-43
	RPV - 45	The system shall have the capability to store multiple income approach templates		X				Please see comments in RPV-43

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 46	The system shall provide authorized users with the capability to edit existing and create new income approach templates		X				Please see comments in RPV-43
	RPV - 47	The system shall have the capability to display the preconfigured income approach template associated with the assessable event and property type to be valued, if authorized users selects the income approach method		X				Please see comments in RPV-43
	RPV - 48	The system shall have the capability to display the preconfigured cost calculation template associated with the assessable event and property type to be valued, if authorized users selects the cost valuation method		X				Please see comments in RPV-43
	RPV - 49	The system shall have the capability to store multiple cost calculation templates		X				Please see comments in RPV-43
	RPV - 50	The system shall provide authorized users with the capability to edit existing and create new cost calculation templates		X				Please see comments in RPV-43
	RPV - 51	The system shall have the capability to prepopulate the income or cost valuation template with any known data, including but not limited to:		X				Please see comments in RPV-43 Morever, it is important to note that this flexible requested valuation function is an intergral component of the proposed Possessory Interest module in which such things as detailed lease information, parcel characteristics, lease/rent start dates and end dates are critical components. Additionally, this module is constructed such that all resultant valuations are store in a multi-year table, therefore making all prior and current year details available to the authorized user.
	RPV - 52	a. Rent information, including but not limited to:		X				Please see comments in RPV-51
	RPV - 53	i. Lease terms		X				Please see comments in RPV-51
	RPV - 54	ii. Sign date		X				Please see comments in RPV-51
	RPV - 55	iii. Start date		X				Please see comments in RPV-51
	RPV - 56	iv. TI allowance		X				Please see comments in RPV-51
	RPV - 57	v. Concessions		X				Please see comments in RPV-51
	RPV - 58	vi. Tenant name		X				Please see comments in RPV-51
	RPV - 59	b. Costs, including but not limited to:		X				Please see comments in RPV-51
	RPV - 60	i. Indirect		X				Please see comments in RPV-51

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 61	ii. Direct		X				Please see comments in RPV-51
	RPV - 62	c. Historical expenses for a minimum of 3 years		X				Please see comments in RPV-51
	RPV - 63	d. Cost guide information		X				Please see comments in RPV-51
	RPV - 64	e. Parcel characteristics		X				Please see comments in RPV-51
	RPV - 65	f. Historical income information for a minimum of 3 years		X				Please see comments in RPV-51
	RPV - 66	The system shall have the capability to identify which cost guide to be used in each particular cost		X				The requested feature will be delivered as a constituent working function of the final delivered system.
	RPV - 67	The system shall have the capability to store and display rent database information as preconfigured in the system		X				Please see comments in RPV-51
	RPV - 68	The system shall provide authorized users with the capability to complete the income or cost valuation template based on other data		X				Please see comments in RPV-43
	RPV - 69	The system shall have the capability to save any information that could be used in future valuations, including but not limited to:		X				Please see comments in RPV-51
	RPV - 70	a. Rent information, including but not limited to:		X				Please see comments in RPV-51
	RPV - 71	i. Lease terms		X				Please see comments in RPV-51
	RPV - 72	ii. Sign date		X				Please see comments in RPV-51
	RPV - 73	iii. Start date		X				Please see comments in RPV-51
	RPV - 74	iv. TI allowance		X				Please see comments in RPV-51
	RPV - 75	v. Concessions		X				Please see comments in RPV-51
	RPV - 76	vi. Tenant name		X				Please see comments in RPV-51
	RPV - 77	b. Costs, including but not limited to:		X				Please see comments in RPV-51
	RPV - 78	i. Indirect		X				Please see comments in RPV-51
	RPV - 79	ii. Direct		X				Please see comments in RPV-51
	RPV - 80	c. Historical expenses for a minimum of 3 years		X				Please see comments in RPV-51
	RPV - 81	d. Cost guide information		X				Please see comments in RPV-51
	RPV - 82	e. Historical income information for a minimum of 3 years		X				Please see comments in RPV-51
	RPV - 83	The system shall provide authorized users with the capability to input comparables criteria, including but not limited to:		X				The requested feature will be delivered as a constituent working function of the final delivered system.
	RPV - 84	a. Property type		X				Please see comments in RPV-83
	RPV - 85	b. Property characteristics, including but not limited to:		X				Please see comments in RPV-83

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 86	i. GBA		X				Please see comments in RPV-83
	RPV - 87	ii. Year built		X				Please see comments in RPV-83
	RPV - 88	c. Sale price		X				Please see comments in RPV-83
	RPV - 89	d. Property location, including:		X				Please see comments in RPV-83
	RPV - 90	i. Neighborhood(s)		X				Please see comments in RPV-83
	RPV - 91	e. Sale date range		X				Please see comments in RPV-83
	RPV - 92	f. Location range		X				Please see comments in RPV-83
	RPV - 93	g. Sale type, including but not limited to:		X				Please see comments in RPV-83
	RPV - 94	i. Foreclosure		X				Please see comments in RPV-83
	RPV - 95	ii. Bank sale		X				Please see comments in RPV-83
	RPV - 96	h. Radius search by either an address indicator or block and lot (APN) indicator		X				These key elements are stored within the database and therefore would be searchable attributes.
	RPV - 97	The system shall have the capability to use any properties saved in the system as comparables		X				This function can be addressed via pre-defined query, which can be used for finding like comparables. Moreover, all queries can be modifed to alter any filter criteria.
	RPV - 98	The system shall provide authorized users with the capability to indicate that specific properties should not be used as comparables (outliers) with notes about why		X				Please see comments in RPV-97. Moreover, individual queries can be identified a recap of the attributes that comprise the query in order to select or modify a query for trapping unique comparables.
	RPV - 99	The system shall provide authorized users with the capability to select to view comparables		X				This requested feature will be delivered as a constituent working function of the final delivered system. However, this request will require additional investigative analysis as it relates to the scope of this request, i.e., will the target property not only trigger a property attributes layer for each comparable, but will each of the comparables also trigger an image around the target property and in what order should the comparables be displayed.
	RPV - 100	The system shall provide authorized users with the capability to rearrange the display of comparables selected and viewed		X				Please see comments in RPV-99
	RPV - 101	The system shall have the capability to export comparables into a template with the ability to indicate order		X				Please see comments in RPV-99

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 102	The system shall provide authorized users with the capability to filter and adjust the criteria for comparables as necessary with viewing options including, but not limited to:		X				Please see comments in RPV-99 Moreover, the underlying Salesforce solution offers a powerful suite of analytics and reporting tools to help the end user view and analyze their data, be it text data or corresponding images that are linked to the data. Moreover, API's to external databases (i.e., GIS) would allow the user to see the results of their query request as it might be viewed from a high level interactive media platform. Ultimately, the end user can examine their Salesforce data in almost infinite array of combinations, display it in easy-to-understand formats, and share the resulting insights with others.
	RPV - 103	a. Filtered list		X				Please see comments in RPV-102
	RPV - 104	b. Map overlay		X				Please see comments in RPV-102
	RPV - 105	The system shall provide authorized users with the capability to add applicable comparables from external data set(s)		X				Please see comments in RPV-102 This request will require some additional consultation in order to determine if the external datasets are from an exportable stand-alone source or if these datasets would be from a complementary database in which the system has an existing API.
	RPV - 106	The system shall provide authorized users with the capability to use the residual technique for their appraisal		X				The proposed system incorporates all industry standard techniques for California real property appraisal.
	RPV - 107	The system shall provide authorized users with the capability to select comparables for portions of a parcel (e.g. land, improvements, etc.) or the parcel as a whole		X				Please see comments in RPV-102
	RPV - 108	The system shall provide authorized users with the capability to appraise the value of a portion of the parcel by subtracting the appraised value of the other portions of the parcel from the appraised value of the entire parcel		X				The requested feature can be delivered as a constituent working function of the final delivered system because property can be appraised by segments.
	RPV - 109	The system shall have the capability to save information as an external reference comparable		X				This requirement could be supported. The design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to meet or exceed client expectations.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 110	The system shall have the capability to display comparables and an estimated valuation range based on the comparables, including but not limited to:		X				The Salesforce solution will meet this expection by utilizing one of the most recognized and reliable instrumentalities of predictive analytics, SPSS. The embedded SPSS sub-system will extend its statistical functions to entrap various types of Descriptive measures. With that said, the design and development team would like to garner more details in the negotiation or discovery period as it relates to this requirement because in some instances Descriptive statistics are just the summary data that may lead to more complex Inferential analysis and this additional information will help devise the statistical models that the client will need for this engagement as it relates to providing statistical analysis that can support the values in the comparable properties that support a target property's valuation.
	RPV - 111	a. Minimum		X				Please see comments in RPV-110
	RPV - 112	b. Maximum		X				Please see comments in RPV-110
	RPV - 113	c. Median		X				Please see comments in RPV-110
	RPV - 114	The system shall provide authorized users with the capability to make adjustments to input fields for comparables to be reflected in updated or adjusted market range		X				This would be a function of the User Authority that would be provided to individual staff and may possibly need to go through an automated 'step processing' approval process via higher levels of authority.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 115	The system shall have the capability to conduct a regression analysis based on property criteria, including but not limited to:		X				The Salesforce solution can support this functional via the embedded predictive analytics that would be provided by the SPSS subsystem. The SPSS subsystem will allow the client to transform either an individual variable or a range of multiple variables in the Assessor's core database into actionable valuation insights that will constructively support the Assessor's decision makers when it comes to the comparative property values that ultimately impacts the Assessor's roll. The SPSS embedded subsystem can extend its statistical functions to entrap individual variables in a regression analysis or it can take the dependent variable and provide a predictive value based on multiple variables acting on a dependent variable (i.e., multiple regression analysis). With that said the design and development team would need to garner more details during the negotiation and discovery phase of this project in order to understand the comprehensive scope of this request, particularly as it relates to both the full range of Descriptive statistics that would be deemed necessary and the inferential statistical models that would need to be available on demand by the client users.
	RPV - 116	a. Date		X				Please see comments in RPV-115
	RPV - 117	b. Square footage		X				Please see comments in RPV-115
	RPV - 118	c. Location		X				Please see comments in RPV-115
	RPV - 119	d. Property age		X				Please see comments in RPV-115
	RPV - 120	e. Year built		X				Please see comments in RPV-115
	RPV - 121	f. Year renovated		X				Please see comments in RPV-115
	RPV - 122	g. Property type		X				Please see comments in RPV-115
	RPV - 123	The system shall have the capability to save the valuation pending review by the designated authorized user		X				Any Descriptive or Inferential data can be saved pending an automated 'step processing' review and approval process by various designated staff
Construction								
	RPV - 124	The system shall have the capability to receive construction information from the DBI system		X				The proposed solution will provide for this via the proposed interfaces, one of which will be the Accela Department of Building Inspections (DBI) System. However, the final design of these interfaces will require more refinement as it relates to the validation of datasets as they are to be sent and received.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 125	The system shall have the capability to import or receive data from the Port of San Francisco database, including but not limited to:		X				Please see comments in RPV-124
	RPV - 126	a. Permit number		X				Please see comments in RPV-124
	RPV - 127	b. Permit status		X				Please see comments in RPV-124
	RPV - 128	c. Permit date		X				Please see comments in RPV-124
	RPV - 129	d. Parcel number		X				Please see comments in RPV-124
	RPV - 130	e. Port location		X				Please see comments in RPV-124
	RPV - 131	f. Inspection status		X				Please see comments in RPV-124
	RPV - 132	g. Permit value		X				Please see comments in RPV-124
	RPV - 133	h. Location / address		X				Please see comments in RPV-124
	RPV - 134	i. Inspector		X				Please see comments in RPV-124
	RPV - 135	j. Inspector contact information		X				Please see comments in RPV-124
	RPV - 136	The system shall have the capability to link/associate and organize permits under a "Primary" permit to effectively monitor construction activity as a cohesive whole, inclusive of all sub-level and incidental permits		X				The proposed solution can import this information for the various permits that would be applicable.
	RPV - 137	The system shall have the ability to associate "Primary" permit(s) to an address as well as APN		X				This functional request is performed via the Permit Workflow Processor in the proposed solution.
	RPV - 138	The system shall provide authorized users with the capability to indicate additional parcel numbers as related to the permit		X				Please see comments in RPV-137
	RPV - 139	The system shall have the capability to associate permits with additional parcel numbers identified as related to permits when the original permit is on a retired parcel		X				The proposed solution has a Permit Screening utility that among other things; allows users to perform this task as well as such other factors as; determining assessability, work description, estimated value, potential calamity, and estimated completion dates.
	RPV - 140	The system shall have the capability to group permits as indicated by an authorized user		X				Please see comments in RPV-139
	RPV - 141	The system shall have the capability to exclude certain property types from receiving request for information letters based on preconfigured business rules including, but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered system.
	RPV - 142	a. Non-Taxable Government agencies		X				Please see comments in RPV-141

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 143	The system shall provide authorized users with the capability to document construction in the system discovered through sources other than permits		X				This request is part of the Permit & New Construction screen process in the proposed solution.
	RPV - 144	The system shall provide public users with the capability to submit construction information through the web portal		X				This comprehensive request will be provided via a standard public web site for public information. The web portal will be leveraged for the authenticated user portal that will provide them with specific forms, actions, and event notices that relate specifically to their property.
Lien Date Construction Review								
	RPV - 145	The system shall have the capability to generate and send a request for information letter based on certain permit characteristics including, but not limited to:		X				The will be addressed by the proposed system's workflow managment design and calendar integration based of the business rules provided by CCSF as well as the underlying use of a 'mail merge' process.
	RPV - 146	a. Status		X				Please see comments in RPV-145
	RPV - 147	b. Form number		X				Please see comments in RPV-145
	RPV - 148	The system shall have the capability to generate and send a request for information letter on a preconfigured date to the owner requesting construction progress and/or information including, but not limited to:		X				Please see comments in RPV-145
	RPV - 149	a. Total cost of construction		X				Please see comments in RPV-145
	RPV - 150	b. Spending-to-date		X				Please see comments in RPV-145
	RPV - 151	c. % complete		X				Please see comments in RPV-145
	RPV - 152	d. Anticipated completion date		X				Please see comments in RPV-145
	RPV - 153	The system shall have the capability to identify property type and send the corresponding request for information letter		X				Please see comments in RPV-145
	RPV - 154	The system shall have the capability to use preconfigured parcel characteristics and permit information to include any required actions in assignments including, but not limited to:		X				This requested function is configurable through the proposed solution's Workflow sub-system.
	RPV - 155	a. Field visits		X				Please see comments in RPV-154

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 156	The system shall provide the authorized user with the capability to route the tenant improvements to BPP for valuation, if the Real Property Appraiser determines if there are any tenant improvements		X				This range of functions is included in in the proposed system's Workflow Subsystem and Assessment Processing design.
	RPV - 157	The system shall provide authorized users with the capability to indicate information related to the status of the construction on the lien date, including but not limited to:		X				The requested functionality will be delivered as a constituent working function of the final delivered System.
	RPV - 158	a. Estimated % complete		X				Please see comments in RPV-157
	RPV - 159	b. value of construction in-progress		X				Please see comments in RPV-157
	RPV - 160	The system shall have the capability to record status on all permits if multiple permits are associated to one project on one APN		X				This request is part of the Permit & New Construction screen process in the proposed solution.
	RPV - 161	The system shall provide authorized users with the capability to mark the construction as not yet begun and indicate that there is no lien date value to be added, if the construction has not started		X				Authorized users may override the chronological processing validations.
	RPV - 162	The system shall provide authorized users with the capability to document the completed construction in the system, if the construction was completed prior to the lien date		X				Please see comments in RPV-161
	RPV - 163	The system shall have the capability to reassign permit to appraiser under Completed new construction workload from appraiser's lien date workload		X				Please see comments in RPV-161
	RPV - 164	The system shall provide authorized users with the capability to review known data, including but not limited to:		X				This requested function is configurable through the proposed solution's Workflow sub-system.
	RPV - 165	a. Information returned from the property owner		X				Please see comments in RPV-164
	RPV - 166	b. Information gained from the field assessment		X				Please see comments in RPV-164
	RPV - 167	c. Information from the DBI inspection status		X				Please see comments in RPV-164
	RPV - 168	The system shall provide authorized users with the capability to complete valuations and providing data including, but not limited to:		X				Please see comments in RPV-164
	RPV - 169	a. Total value of the new construction		X				Please see comments in RPV-164
	RPV - 170	b. % complete		X				Please see comments in RPV-164

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 171	c. Spending-to-date		X				Please see comments in RPV-164
Completed New Construction								
	RPV - 172	The system shall provide authorized users with the capability to mark the construction as not assessable with a reason code from a preconfigured list		X				This would be provided via "Reason" code tables
	RPV - 173	The system shall provide authorized users with the capability to mark the grouped permit status as complete		X				This requested function is configurable through the proposed solution's Workflow sub-system via a status code.
	RPV - 174	The system shall have the capability to include the construction in a review report for a designated user		X				This requested function is configurable through the proposed solution's Workflow sub-system via a user-defined 'step processing' in the Activity/Event Processing module.
	RPV - 175	The system shall have the ability to identify government owned property and allow the authorized users to route to the Possessory Interest work que		X				This function is provided via the Possessory Interest module.
Prop 60/110								
	RPV - 176	The system shall have the capability to receive Prop 60 and Prop 110 applications via the web portal		X				This functionality is provided via the proposed design for the Prop 60/110 tracking module as it relates to the proposed solution as well as the proposed web portal solutioin.
	RPV - 177	The system shall have the capability to prompt the Taxpayer to complete all required fields		X				Please see comments in RPV-176
	RPV - 178	The system shall have the capability to review the application for type and qualifications and reject applications based on preconfigured business logic including, but not limited to:		X				Please see comments in RPV-176
	RPV - 179	a. Applying for Prop 60 and has previously received Prop 60		X				Please see comments in RPV-176
	RPV - 180	b. Applying for Prop 110 and has previously received Prop 110		X				Please see comments in RPV-176
	RPV - 181	c. Applying for Prop 60 has previously received Prop 110		X				Please see comments in RPV-176
	RPV - 182	d. Replacement property is purchased within 2 years of sale of original property and claim is filed within 3 years of the purchase of the replacement property		X				Please see comments in RPV-176

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 183	e. Applying for Prop 60 and does not meet 55+ age qualification		X				Please see comments in RPV-176
	RPV - 184	f. Applying for Prop 110 and disability certification qualification not met (indicated by an authorized user)		X				Please see comments in RPV-176
	RPV - 185	g. Replacement value is higher than acceptable threshold (indicated by an authorized user)		X				Please see comments in RPV-176
	RPV - 186	The system shall have the capability to save the application and notify the Taxpayer of application rejection and reason for the rejection		X				This comprehensive request will be provided via a standard public web site for public information. The web portal will be leveraged for the authenticated user portal that will provide them with specific forms, actions, and event notices that relate specifically to their property.
	RPV - 187	The system shall have the capability to search and confirm previous Prop 60/110 based on Taxpayer SSN		X				This functionality is provided via the proposed design for the Prop 60/110/ tracking module as it relates to the proposed solution.
	RPV - 188	The system shall route applications to designated users for review, approval, and other associated actions		X				Please see comments in RPV-186
	RPV - 189	The system shall provide authorized users with the capability to review the Prop 110 application for disability certification qualification		X				Please see comments in RPV-186
	RPV - 190	The system shall provide authorized users with the capability to document the reason for rejection of an application		X				Please see comments in RPV-186
	RPV - 191	The system shall provide authorized users with the capability to approve the application in the system		X				Activities can be setup for different approval paths reaching out to multiple user roles, security levels, and positions.
	RPV - 192	The system shall provide authorized users with the capability to determine if the property replacement value is higher than preconfigured acceptable thresholds		X				Please see comments in RPV-186
	RPV - 193	The system shall provide authorized users with the capability to enter the base value transfer on a new property		X				Please see comments in RPV-186
	RPV - 194	The system shall have the capability to route a work item to appraiser for valuation if original or replacement property is multi-family residence		X				This range of functions is included in in the proposed system's Workflow Subsystem and Assessment Processing design.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 195	The system shall provide authorized users with the capability to manually enter the information provided on a hard copy of a Prop 60 or Prop 110 application		X				Please see comments in RPV-187
Possessory Interest								
	RPV - 196	The system shall have the capability to prompt authorized users to review possessory interests accounts on the preconfigured lien date		X				This will require some first-hand analysis of the current proposed PI module design. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System
	RPV - 197	The system shall provide authorized users with the capability to select to send the annual possessory interest inquiry notice to Landlords, etc.		X				The proposed system design currently provides for the requested notifications modalities requested, however, some of the requested business rules will require some first-hand analysis. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System.
	RPV - 198	The system shall have the capability to populate and send the possessory interest inquiry emails or letters to Landlords, etc. based on available contact information		X				Please see comments in RPV-197
	RPV - 199	The system shall provide the Landlords, etc. with the capability to log into the web portal and select to update or provide possessory interest information		X				This comprehensive request will be provided via a standard public web site for public information. The web portal will be leveraged for the authenticated user portal that will provide them with specific forms, actions, and event notices that relate specifically to their property.
	RPV - 200	The system shall provide Landlords, etc. with the capability to create a web portal account, if the user does not have an existing account		X				Please see comments in RPV-199
	RPV - 201	The system shall have the capability to display the previous possessory interest information for updating, if the Landlords, etc. previously provided this information		X				Please see comments in RPV-199
	RPV - 202	The system shall have the capability to prompt the Landlords, etc. to complete or upload a document that contains required fields into the web portal, including but not limited to:		X				Please see comments in RPV-199
	RPV - 203	a. Tenant name		X				Please see comments in RPV-199

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 204	b. Address or location of leased / rented property		X				Please see comments in RPV-199
	RPV - 205	c. Tenant mailing address		X				Please see comments in RPV-199
	RPV - 206	d. Lease start date		X				Please see comments in RPV-199
	RPV - 207	e. Lease end date		X				Please see comments in RPV-199
	RPV - 208	f. Rent		X				Please see comments in RPV-199
	RPV - 209	g. Terms		X				Please see comments in RPV-199
	RPV - 210	h. Rent schedule		X				Please see comments in RPV-199
	RPV - 211	i. Landlord name		X				Please see comments in RPV-199
	RPV - 212	j. Contract number		X				Please see comments in RPV-199
	RPV - 213	k. Contact information		X				Please see comments in RPV-199
	RPV - 214	l. Upload of full lease or contract		X				Please see comments in RPV-199
	RPV - 215	m. Assessor parcel number		X				Please see comments in RPV-199
	RPV - 216	n. Business account number		X				Please see comments in RPV-199
	RPV - 217	The system shall have the capability to identify new accounts and changes to existing leases based on data, including but not limited to:		X				This requirement could be supported with current web development technical skill sets. The design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to meet or exceed client expectations.
	RPV - 218	a. PI account number		X				Please see comments in RPV-217
	RPV - 219	b. BPP account number		X				Please see comments in RPV-217
	RPV - 220	c. Tenant name		X				Please see comments in RPV-217
	RPV - 221	d. Contract number		X				Please see comments in RPV-217
	RPV - 222	e. Lease start date		X				Please see comments in RPV-217
	RPV - 223	f. Property characteristics		X				Please see comments in RPV-217
	RPV - 224	The system shall have the capability to assign account numbers pending authorized user approval		X				This requested feature will be delivered as a constituent working function of the final delivered System. Furthermore, as part of the web browser application the authorized assessor's out in the field will also be able to enter this information remotely as well, given a discovery need.
	RPV - 225	The system shall have the capability to remove duplicate account number(s) and select to associate the new information with the previous account, if applicable		X				This function is an integral part of the proposed solution for PI.
	RPV - 226	The system shall provide authorized users with the capability to select to initiate the possessory interest calculation for all accounts		X				Please see comments in RPV-225

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 227	The system shall have the capability to calculate the rent schedule including, but not limited to:		X				This is a current function of the proposed solution design.
	RPV - 228	a. Initial value		X				Please see comments in RPV-227
	RPV - 229	b. Subsequent annual values		X				Please see comments in RPV-227
	RPV - 230	The system shall provide authorized users with the capability to enter or upload and index the possessory interest information into the system		X				Salesforce has a native knowledge base and as such will utilize its native indexing functions.
	RPV - 231	The system shall have the capability to evaluate if the application is complete		X				The Assessor solution does not provide for the business rule solutions in a web portal medium. However, Sapient can demonstrate its development skills by including the business rules in the PI processing function.
	RPV - 232	The system shall have the capability to save the application as pending and generate a barcoded notification for Landlords, etc. of the missing information, if the application is incomplete		X				This request is available in the proposed solution design. However, it is envision this request will require some first-hand analysis of the currently envisioned graphical user interface as it relates to some of the data that will be reflected in this view. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System. Moreover, the proposed system can provide various types of special characters like barcodes for an event. The range of special characters can range from OCR to even the current U.S. Postal service's Intelligent Mail Barcode (IMB). However, it is envisioned that this request will require some additional first-hand analysis of what the ultimate aim may be in utilizing a special character such as a barcode (which in an of itself have various iterations that can correspond to a specific purpose, i.e., code 39, code 128, QR Code and etc.)
	RPV - 233	The system shall have the capability to monitor for Landlords, etc. response by a preconfigured response date		X				This functional request is part of the Workflow Subsystem of the proposed solution design.
	RPV - 234	The system shall have the capability to associate the Landlords, etc. response with the work item, if applicable		X				All PI accountss would be associated via an account key index with any taxpayers correspondence.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 235	The system shall have the capability to identify new accounts and changes to existing leases, if the application is complete		X				This request is available in the proposed solution design. However, it is envision this request will require some first-hand analysis of the currently envisioned graphical user interface as it relates to some of the data that will be reflected in this view. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System.
Urban Agriculture								
	RPV - 236	The system shall provide authorized users with the capability to upload and index the Urban Agriculture application data		X				This function is an integral part of the proposed solution for Ag processing. Moreover, Salesforce has a native knowledge base and as such will utilize its native indexing functions.
	RPV - 237	The system shall have the capability to save the Urban Agriculture application data		X				Please see comments in RPV-236
	RPV - 238	The system shall provide authorized users with the capability to notify the Planning Department that the parcel is not vacant other than agriculture		X				This functional request is part of the Workflow Subsystem of the proposed solution design.
	RPV - 239	The system shall provide authorized users with the capability to document the reason for denial of the application including, but not limited to:		X				This function is an integral part of the proposed solution for Ag processing.
	RPV - 240	a. The parcel is not vacant other than the agriculture		X				Please see comments in RPV-239
	RPV - 241	The system shall have the capability to generate and send a notification to the Planning Department with information about the other property findings		X				This functional request is part of the Workflow Subsystem of the proposed solution design.
	RPV - 242	The system shall provide authorized users with the capability to select to reassess the property value with the preconfigured Urban Agriculture land valuation formula		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RPV - 243	The system shall have the capability to calculate the land value at the preconfigured rate and display the calculated value for confirmation		X				Please see comments in RPV-239
Mills Act Application								

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 244	The system shall provide authorized users with the capability to upload and index the Mills Act application data into the system		X				The proposed solution design allows multiple sets of Land and Improvement, Land, and/or Improvement values that server to establish base year values and assessed values. Additionally, values may be inputted strictly for tracking purposes. Moreover, Mills Act properties with virtually any number of valuations and values are fully supported in the currently proposed design.
	RPV - 245	The system shall provide authorized users with the capability to save the values of a 3-way estimate Excel template into the system, including:			X			Please see comments in RPV-244
	RPV - 246	a. Factored base year			X			Please see comments in RPV-244
	RPV - 247	b. Restricted Mills Act			X			Please see comments in RPV-244
	RPV - 248	c. Market value based on the lien date			X			Please see comments in RPV-244
	RPV - 249	The system shall have the capability to hold the values in the system pending approval		X				This functional request is part of the Workflow Subsystem of the proposed solution design.
	RPV - 250	The system shall provide authorized users with the capability to log into the system and search for pending Mills Act applications		X				This function is an integral part of the proposed solution.
	RPV - 251	The system shall have the capability to display the pending Mills Act applications and associated values		X				All accounts with this exemption would be associated via an account key index with any taxpayers correspondence/applications that may relate to this exemption.
Tenants-in-Common								
	RPV - 252	The system shall provide authorized users with the capability to identify and select a Tenants-in-Common (TIC) for valuation through multiple methods, including but not limited to:		X				This request is part of a solution construct where parcels maybe flagged with multiresidental property types. The value is calc'd based on the percentage of ownership, including common area alottments to individual parcel owners. Multiple Characteristics for Tenants in Common scenarios can be created. The proposed system can also have a unique parcel for the condominium development or HOA to be appraised and billed based on common area property. Moreover, process steps for such things as TU review will be performed via the user-defined 'step processing' in the system's Workflow subsystem.
	RPV - 253	a. TU		X				Please see comments in RPV-252
	RPV - 254	b. PCOR		X				Please see comments in RPV-252

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 255	c. Other document		X				Please see comments in RPV-252
	RPV - 256	d. External source (i.e. MLS)		X				Please see comments in RPV-252
	RPV - 257	e. Appraiser judgment		X				Please see comments in RPV-252
	RPV - 258	f. Tax payer request		X				Please see comments in RPV-252
	RPV - 259	The system shall provide authorized users with the capability to send a TIC questionnaire to the TIC unit and/or all owners of the TIC		X				This functional request is part of the Workflow Subsystem of the proposed solution design.
	RPV - 260	The system shall have the capability to generate a request for a copy of the group's TIC agreement		X				Please see comments in RPV-259
	RPV - 261	The system shall have the capability to send a TIC questionnaire to the Taxpayer		X				Please see comments in RPV-259
Real Property Calamities								
	RPV - 262	The system shall have the capability to notify the preconfigured user of a calamity for pre-screening		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
	RPV - 263	The system shall have the capability to interface with the SFFD to ensure communication to all potentially eligible Taxpayers		X				In the proposed solution design this functional request could be possibly configured to automatically happen given certain criteria are met. However, the design and development team would like to garner more details in the negotiation or discovery period as it relates to this requirement in order to more effectively judge the intended scope of this request. Interfaces are planned for this engagement and the full nature of this request bears more investigative effort.
	RPV - 264	The system shall have the capability to automatically generate a calamity information request letter to send to the indicated Taxpayers		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
	RPV - 265	The system shall have the capability to notify preconfigured users to follow up with the Taxpayer, if requested documents are not received by a preconfigured date		X				Please see comments in RPV-264. Moreover, the preconfiguration function request is an underlying part of the Workflow Subsystem of the proposed solution design.
	RPV - 266	The system shall have the capability to interface with OnBase and trigger the preconfigured process workflow when the assigned document type/name is scanned		X				Please see comments in RPV-265

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 267	The system shall provide public users with the capability to submit calamity information via the web portal		X				This is functionalty would be provided in in the proposed Workflow Subsystem of the overall proposed solution.
	RPV - 268	The system shall have the capability to reject calamity information received through the web portal based on preconfigured criteria including, but not limited to:		X				This is functionalty would be provided in in the proposed Workflow Subsystem of the overall proposed solution.
	RPV - 269	a. Damage reported is less than or equal to a preconfigured value		X				Please see comments in RPV-268
	RPV - 270	b. Timing of calamity vs. filing		X				Please see comments in RPV-268
	RPV - 271	c. If the event date exceeds 1 year		X				Please see comments in RPV-268
	RPV - 272	d. Missing required OnBase information (i.e. APN)		X				Please see comments in RPV-268
	RPV - 273	The system shall provide authorized users with the capability to document the determination of whether a property qualifies for a reduction in value due to calamity		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
	RPV - 274	The system shall have the capability to generate and send a Calamity denial letter to the Taxpayer, if the property does not qualify		X				The proposed solution currently has Calamity correspondence templates, but may need to modify them for the county's requirements. Moreover, the proposed solution currently has Calamity correspondence templates, but may need to modify them for the county's requirements.
	RPV - 275	The system shall provide authorized users with the capability to notate any additional information that is needed from the Taxpayer in the system		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution. Moreover, notes can be attached to individual activities.
	RPV - 276	The system shall have the capability to generate and send a letter to the Taxpayer requesting additional information		X				The proposed solution fully comports with this functional request.
	RPV - 277	The system shall provide authorized users with the capability to scan or enter the additional Taxpayer information into the system		X				This requirement can be supported. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period (i.e., such as a Definition Phase of the Project) in order to better understand the forms / documents to be scanned, the data to be extracted if any, in order to meet or exceed client expectations.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 278	The system shall have the capability to notify the preconfigured user of additional calamity information		X				This requirement could be supported. However, the design and development team would like to garner more details related to this requirement in the negotiation or discovery period in order to better understand the business rules of when a preconfigured user would need to be notified.
	RPV - 279	The system shall provide authorized users with the capability to enter the temporary reduced value, if applicable		X				The proposed solution fully comports with this functional request.
	RPV - 280	The system shall have the capability to generate an event for the following lien year to review the calamity		X				This function is fullfilled via the underlying part of the Worflow and Event Processing modules.
	RPV - 281	The system shall have the capability to prompt authorized user(s) to update characteristics of damaged improvements		X				This is functionalty would be provided in in the proposed Workflow Subsystem of the overall proposed solution.
	RPV - 282	The system shall generate a new event for every subsequent lien date until new construction to repair damage is complete		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
Calamity Lien Date Review and Calamity Restoration								
	RPV - 283	The System shall provide the capability to interface with the Fire Department system to discover calamity events		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RPV - 284	The System shall provide an authorized user the capability to indicate a calamity for an area or set of parcels		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
	RPV - 285	The System shall provide the capability to initiate sending a preconfigured letter to all taxpayers within a calamity area		X				The proposed soluton can provide for the requested preconfigured letter via a 'mail merge' that can be driven via a system query.
	RPV - 286	The system shall provide authorized users with the capability to log information from the review and field check on the annual lien date		X				Situs change history can be retained for an indefinite period of time via an audit log of updates, additions, and removals performed on situs addresses. The audit log also records and links the reason, source, and processing details associated with situs changes. Therefore, the proposed solution can automatically prompt authorized user(s) when comes to meeting this request.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 287	The system shall provide authorized users with the capability to enter the restoration percentage complete		X				The proposed solution addresses this range of functionalty via the Decline and Calamity modules.
	RPV - 288	The system shall have the capability to restore the percentage property value as indicated by an authorized user		X				Please see comments in RPV-286
	RPV - 289	The system shall provide authorized users with the capability to log the restoration into the system		X				This information is available for viewing and updating by authorized users via the observability of the Permit Processing/Logging and Permit Detail Views in the proposed solution which in turn can be used to update the overall status of the target property.
	RPV - 290	The system shall provide authorized users with the capability to determine if a restoration is "like for like"		X				This recharacterization of a property parcel can be affected in the proposed solution. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the supporting business rules of this request, in order to meet or exceed client expectations.
	RPV - 291	The system shall have the capability to prompt authorized user(s) to complete valuation for the portion of new construction that is not considered "like for like"		X				Please see comments in RPV-290
	RPV - 292	The system shall provide authorized users with the capability to update the parcel characteristics, if the property is not "like for like"		X				Please see comments in RPV-290
	RPV - 293	The system shall provide authorized users with the capability to indicate to restore the property value to full value pending appropriate review and approval		X				This functionality is provided via the proposed design for the Decline and Calamity modules.
Prop 8 / Decline in Value								
	RPV - 294	The system shall have the capability to route properties for Prop 8 / decline in value review to the preconfigured user including but not limited to:		X				This functionality is provided via the proposed design for the Decline and Calamity modules.
	RPV - 295	a. Properties that have been granted a reduction in value through the AAB formal review		X				Please see comments in RPV-294
	RPV - 296	b. Properties that have been submitted for review through the web portal by Taxpayers		X				Please see comments in RPV-294

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 297	c. Properties that have received a prior year Prop 8 reduction		X				Please see comments in RPV-294
	RPV - 298	d. Properties that have received a prior year reduction due to informal review		X				Please see comments in RPV-294
	RPV - 299	e. Urban Agriculture properties		X				Please see comments in RPV-294
	RPV - 300	f. Mills Act properties		X				Please see comments in RPV-294
	RPV - 301	g. Properties identified based on criteria selected by authorized users		X				Please see comments in RPV-294
	RPV - 302	h. Applications for informal review requirements		X				Please see comments in RPV-294
	RPV - 303	The system shall provide authorized users with the capability to identify properties for proactive review based on neighborhood characteristics		X				This functionality is provided via the proposed design for the Decline and Calamity modules. Moreover, this function is supported via the User-Defined Coding structures and Data Validation Rules definitions as it relates to neighborhood characterizations.
	RPV - 304	The system shall notify Taxpayers if the property they have submitted for informal review is already being reviewed through the IR project		X				This functional request is part of the underlying Workflow Subsystem of the proposed solution design.
	RPV - 305	The system shall retain an audit trail of all reviews conducted and the dates they were conducted		X				Salesforce has native audit log tracking.
	RPV - 306	The system shall provide authorized users with the capability to document if there has been a decline in value in the system		X				Activities such as 'Decline in Value' may be set to automaticall rollover and thus, creating a Workflow line itme for the next roll year.
	RPV - 307	The system shall have the capability to generate and send a notification to the Taxpayer that there has been no decline in value, if applicable		X				This will require some first-hand analysis of the current Decline in value requirements as it relates to when this notification should be triggered. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System.
	RPV - 308	The system shall provide authorized users with the capability to update the property value as a temporary reduction pending appropriate review and approval		X				This functional request is part of the Decline and Calamity modules as it relates to the overall proposed solution.
	RPV - 309	The system shall have the capability to prompt the authorized user(s) to review the value on the next lien date, if temporary reduction was granted, and each subsequent year until market value has exceeded factored base year value		X				Please see comments in RPV-308

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 310	The system shall have the capability to generate and send a notification to the Taxpayer that there has been a decline in value		X				Please see comments in RPV-308
	RPV - 311	The system shall have the capability to generate and send a notification to the Taxpayer if corrections are made outside of the annual review processes		X				This requirement could be supported. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules or circumstances of when notifications to the taxpayer should be affected when the process takes place outside of the annual review process.
Review and Approve Real Property Valuation								
	RPV - 312	The system shall have the capability to route the valuation to the preconfigured user for review		X				This function is included in in the proposed system's Workflow Subsystem and Assessment Processing design.
	RPV - 313	The system shall have the capability to designate different types of valuations for individual or consolidated review on a weekly report as preconfigured in the system based on department policies		X				This range of functions is included in in the proposed system's Workflow Subsystem and Assessment Processing design, all of which are user-defined.
	RPV - 314	The system shall have the capability to route the work item back to the original processor with notes, if the approver identifies issues		X				Please see comments in RPV-313
	RPV - 315	The system shall have the capability to evaluate if any valuations were for prior years		X				This functional request is all part of the overall proposed solution's Real Property system implementation.
	RPV - 316	The System shall have the capability to determine if a supplemental assessment is needed based on assessment information		X				If we understand the question properly, the it should be noted that the Workflow Processing Utility updates the Permit/New Construction detials indicating an exclusion request has been submitted. Then, when an authorized user is processing the construction event, they will be notified about the exclusion request.
	RPV - 317	The System shall have the capability to calculate a prorated supplemental assessment		X				This function is part of the Real Property system of the proposed overall solution design.
	RPV - 318	The system shall have the capability to generate an escape for each relevant prior year and issue supplemental(s) for event year prescribed by R&T code 73.11, if applicable		X				Please see comments in RPV-317

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RPV - 319	The system shall have the capability to save and enroll the valuations		X				Please see comments in RPV-317
Unsecured Properties								
Business Discovery								
	UNS - 01	The system shall have the capability to receive notification of updated business information through an interface through methods including, but not limited to:		X				This requirement can be supported. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules or circumstances of when notifications should take place as it relates to the prescribed interfaces.
	UNS - 02	a. Tax Collector business license (currently direct data)		X				Please see comments in UNS-01
	UNS - 03	b. New business registration form (currently direct data)		X				Please see comments in UNS-01
	UNS - 04	c. BOE sales tax (currently direct data)		X				Please see comments in UNS-01
	UNS - 05	d. Landlord report (currently an excel file)		X				Please see comments in UNS-01
	UNS - 06	e. Informal discovery		X				Please see comments in UNS-01
	UNS - 07	f. Other County		X				Please see comments in UNS-01
	UNS - 08	g. Leased equipment		X				Please see comments in UNS-01
	UNS - 09	h. Vacant locations		X				Please see comments in UNS-01
	UNS - 10	The system shall have the capability to receive updated business information including, but not limited to:		X				Please see comments in UNS-01
	UNS - 11	a. New business		X				Please see comments in UNS-01
	UNS - 12	b. Updated address		X				Please see comments in UNS-01
	UNS - 13	The system shall have the capability to screen out data that is not relevant to San Francisco		X				This requirement can be supported. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules or circumstances of what data should be screened out as it relates to San Francisco.
	UNS - 14	The system shall have the capability to compare the updated business information with the business account data in the system using data, including but not limited to:		X				This function can be affected via the user defined coding schema as well as a utility or queries that reflect exceptions to the enrolled database.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 15	a. BAN		X				Please see comments in UNS-14
	UNS - 16	b. LIN		X				Please see comments in UNS-14
	UNS - 17	c. Ownership		X				Please see comments in UNS-14
	UNS - 18	d. DBA		X				Please see comments in UNS-14
	UNS - 19	e. Mailing address		X				Please see comments in UNS-14
	UNS - 20	f. Situs address		X				Please see comments in UNS-14
	UNS - 21	The system shall have the capability to determine if the potentially new business data matches an existing business account record in the system		X				Please see comments in UNS-14
	UNS - 22	The system shall have the capability to determine if an existing record is active		X				Please see comments in UNS-14
	UNS - 23	The system shall have the capability to activate an inactive record		X				This is a basic feature of the business personal property assessment process.
	UNS - 24	The system shall have the capability to save the updated business account record, if the existing record is already active or once the record is activated		X				This requested feature will be delivered as a constituent working function of the final delivered System. Furthermore, as part of the web browser application the assessor's out in the field will be able to enter this information remotely.
	UNS - 25	The system shall have the capability to route new business data to authorized users for review if the new business data does not match any business account records in the system		X				Similar to other functional areas the discovery users will have access and utilize the workflow management process built into the proposed system and configured with client specific business rules for this scenario to direct the record through the discovery life cycle, or in other words from craddle to grave... or supplemental roll in this case.
	UNS - 26	The system shall provide authorized users with the capability to search for the business in the system		X				This requested feature will be delivered as a constituent working function of the final delivered System. Furthermore, as part of the web browser application the assessor's out in the field will be able to enter this information remotely.
	UNS - 27	The system shall provide authorized users with the capability to indicate that updated information should be applied to a record identified by the user		X				Please see comments in UNS-26
	UNS - 28	The system shall provide authorized users with the capability to create a new business account record in the system		X				Please see comments in UNS-26
	UNS - 29	The system shall have the capability to generate a new business account number		X				Please see comments in UNS-26

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 30	The system shall have the capability to manually override business account numbers generated by the system		X				Please see comments in UNS-26
	UNS - 31	The system shall provide authorized users with the capability to create a new business account number		X				Please see comments in UNS-26
	UNS - 32	The system shall have the capability to populate the record with the updated information for authorized users to review		X				Please see comments in UNS-26
	UNS - 33	The system shall provide authorized users with the capability to review, edit and accept the business record information, including but not limited to:		X				This function would be accomplished via the proposed solution's currently well developed User-Defined Coding schema.
	UNS - 34	a. Name of legal entity		X				Please see comments in UNS-33
	UNS - 35	b. Location		X				Please see comments in UNS-33
	UNS - 36	c. DBA		X				Please see comments in UNS-33
	UNS - 37	d. Mailing address		X				Please see comments in UNS-33
	UNS - 38	e. Associated APN		X				Please see comments in UNS-33
	UNS - 39	f. BCC code		X				Please see comments in UNS-33
	UNS - 40	g. Contact information if available		X				Please see comments in UNS-33
	UNS - 41	The system shall have the capability to save the new business account record		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 42	The system shall have the capability to notify the Tax Collector's Office or system of the new business account or updated business account information		X				This will be a constituent function of the new system via the Tax Collector's interface.
Prepare for Business Property Statement								
	UNS - 43	The system shall have the capability to prompt the predetermined user to update annual business property statement information on a preconfigured date, including but not limited to:		X				This request will be able to be updated via user defined data sources including the proposed web portal.
	UNS - 44	a. Templates		X				Please see comments in UNS-43
	UNS - 45	b. Criteria		X				Please see comments in UNS-43
	UNS - 46	c. Factor Table		X				Please see comments in UNS-43
	UNS - 47	d. Statements		X				Please see comments in UNS-43

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 48	The system shall have the capability to prompt the predetermined user to send the appropriate "Notice to file BPP statements" notifications as scheduled in the system, including but not limited to:		X				Experience gained by Hamer that will be shared for implementation in the new proposed system includes this request. Therefore, this requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 49	a. 571-L sent to businesses that filed a paper statement last year		X				Please see comments in UNS-48
	UNS - 50	b. 571-L sent to new business account records		X				Please see comments in UNS-48
	UNS - 51	c. 571-L sent to business that filed via e-file last year		X				Please see comments in UNS-48
	UNS - 52	d. 571-R sent to Apartment Business that filed		X				Please see comments in UNS-48
	UNS - 53	e. Direct billing - notification only, not a notice to file		X				Please see comments in UNS-48
	UNS - 54	f. Low value - notification only, not a notice to file		X				Please see comments in UNS-48
	UNS - 55	g. 571-STR (Short term rental)		X				Please see comments in UNS-48
	UNS - 56	h. Notice to file SDR		X				Please see comments in UNS-48
	UNS - 57	The system shall have the capability to identify all business accounts that have not been associated with a filed BPP statement by a preconfigured date		X				This function can be automated via a flag on each business account that has file a satisfactory by a sure-date. Consequently, any follow-up to these accounts can then be easily queried by an automated script for users that have the proper designated authority for receipt of these results. This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 58	The system shall have the capability to prompt the predetermined user to review the identified non-filer business account records		X				Please see comments in UNS-57
	UNS - 59	The system shall have the capability to display the non-filer business account numbers to authorized users		X				Please see comments in UNS-57
	UNS - 60	The system shall provide authorized users with the capability to manually check against the TTX system for duplicates and conduct additional research to determine additional information about the businesses		X				This request will be fundamentally fullfilled via the interface with the TTX system in the Treasurer and Tax Collector's Office and complemented with the User-Defined Coding schema that accompanies the proposed system. Therefore, this requested feature for dealing with duplicate entries will be delivered as a constituent working function of the delivered system.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 61	The system shall provide authorized users with the capability to update the business account status to duplicate and link accounts, if the user identifies the business as a duplicate		X				Please see comments in UNS-60
	UNS - 62	The system shall provide authorized users with the capability to merge accounts and designate what information to keep for duplicate accounts		X				Please see comments in UNS-60
	UNS - 63	The system shall have the capability to apply address updates to location mailing addresses when associated main administrative mailing addresses are updated as approved by authorized users		X				Please see comments in UNS-60. Furthermore, as part of the web browser application the assessor's out in the field will be able to enter/correct/modify this information remotely.
	UNS - 64	The system shall provide authorized users with the capability to update the business account record and send a "Notice to file" to the new address if the user discovers that the business moved within SF		X				Please see comments in UNS-63. Additionally, simalar to other functional areas of the discovery process, users will have access to the utilization of the workflow management process built into the proposed system and as such will be configured with client specific business rules for this scenario to direct the record through the entire discovery life cycle. Moreover, this request will be further supplemented via this vendors SDR Processing Utility design.
	UNS - 65	The system shall provide authorized users with the capability to update the account status to closed if the user discovers that the business moved outside of SF		X				Please see comments in UNS-64
	UNS - 66	The system shall provide authorized users with the capability to indicate that a business has been sold if the user discovers that the business has been sold		X				Please see comments in UNS-64
	UNS - 67	The system shall have the capability to route the business account record to the preconfigured user to research the new owner if the business has been sold		X				Please see comments in UNS-64
	UNS - 68	The system shall provide authorized users with the capability to search the system to determine if there is an existing business account record for a new owner		X				Please see comments in UNS-64

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 69	The system shall provide authorized users with the capability to route the updated business account record to the preconfigured user to send a "Notice to file" to the new address		X				Please see comments in UNS-64. Moreover, as previously stated, this functional request could be configured into the proposed solution's Workflow Subsystem and could also be configured to be user definable.
	UNS - 70	The system shall provide authorized users with the capability to indicate to send a "Notice to file BPP statement" to the business account		X				Please see comments in UNS-69
	UNS - 71	The system shall provide authorized users with the capability to confirm review of the non-filer business account records		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 72	The system shall have the capability to evaluate the previous year valuation of the non-filer business account record		X				Please see comments in UNS-71
	UNS - 73	The system shall have the capability to add a preconfigured non-filer penalty to the business account if the business did not meet the low-value criteria of the previous year and was not direct billed		X				This requested feature will be delivered as a constituent working function of the final delivered System and as such will comport with California's Revenue and Tax Code 463 as it relates to non-filers.
	UNS - 74	The system shall have the capability to evaluate if the assessment value of all locations associated with one business meets the low value criteria		X				The proposed solution design fully comports with this functional request.
	UNS - 75	The system shall have the capability to apply the valuation from the previous year based on preconfigured business rules or as indicated by an authorized user		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 76	The system shall have the capability to save and enroll the assessment		X				Please see comments in UNS-75
Electronic BPP Statement Filing and Processing								
	UNS - 77	The system shall provide the capability for authorized users to log into the web portal		X				The System shall provide authorized users with access to the web portal via this vendor's securely tested and comprehensively designed SDR Processing solution design.
	UNS - 78	The system shall have the capability to prompt the individual requesting the login to identify if they are an Agent		X				Please see comments in UNS-77

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 79	The system shall have the capability to prompt the agent to register and provide required authentication information		X				Please see comments in UNS-77
	UNS - 80	The system shall provide authorized users with the capability to register as an Agent and indicate the Business Owner records to associate with the agent account		X				Please see comments in UNS-77
	UNS - 81	The system shall provide authorized users with the capability to upload authentication documentation		X				Please see comments in UNS-77
	UNS - 82	The system shall have the capability to send a request to the Business owner to confirm the authorized Agent		X				Please see comments in UNS-77 . Moreover, this comprehensive request will be provided within the context of a secure standard public web site for public information. The web portal will be leveraged for the authenticated user portal that will provide them with specific forms, actions, and event notices that relate specifically to their property. With this said, the design and development team would like to also garner additional details related to this requirment in order to meet or exceed client expectations.
	UNS - 83	The system shall have the capability to confirm Agent authorization once the Owner has confirmed authorization		X				Please see comments in UNS-82
	UNS - 84	The system shall have the capability to grant the authorized user a login to the web portal		X				Please see comments in UNS-82
	UNS - 85	The system shall provide Business owners and agents with the capability to enter the BAN/LIN/Account number information into the system		X				Please see comments in UNS-82
	UNS - 86	The system shall have the capability to display the prior year BPP statement		X				Please see comments in UNS-82

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 87	The system shall have the capability to populate the current year statement with prior year adjusted figures		X				The proposed solution design will fully comport with this functional request. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules or circumstances of what additional data beyond the prior year adjusted values should be considered for the current year statement.
	UNS - 88	The system shall provide Business owners and agents with the capability to edit and submit the completed BPP statement		X				This request will be fulfilled via the proposed web portal.
	UNS - 89	The system shall have the capability to ensure that all required fields have been completed by Business owners and agents prior to accepting the online property statement		X				This request will be fulfilled via the proposed web portal. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules for statement/field validation.
	UNS - 90	The system shall have the capability to apply a preconfigured late penalty to all BPP statements received after a preconfigured date		X				This request will be fulfilled via the proposed web portal. However, the design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to better understand the business rules/circumstance for the statement late fee as well as the guidelines for overriding this fee. This investigative research by the design and development team will also embrace other prospective guidelines such as workflow, auto-enrollment and etc.
	UNS - 91	The system shall have the capability to auto-enroll statements without auditor review based on preconfigured business rules		X				Please see comments in UNS-90
	UNS - 92	The system shall have the capability to route BPP statements to assigned users based on preconfigured business rules		X				Please see comments in UNS-90
	UNS - 93	The system shall have the capability to display the BPP statement and relevant current and prior year data as available, including but not limited to:		X				Please see comments in UNS-90
	UNS - 94	a. Prior year cost		X				Please see comments in UNS-90

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 95	b. Prior year adjusted / enrolled cost		X				Please see comments in UNS-90
	UNS - 96	c. Prior year value		X				Please see comments in UNS-90
	UNS - 97	d. Prior year adjusted / enrolled value		X				Please see comments in UNS-90
	UNS - 98	e. Prior year associated factor		X				Please see comments in UNS-90
	UNS - 99	f. Current year filing cost		X				Please see comments in UNS-90
	UNS - 100	g. Current year factor		X				Please see comments in UNS-90
	UNS - 101	h. Mismatch in:		X				Please see comments in UNS-90
	UNS - 102	i. Location of accounting record		X				Please see comments in UNS-90
	UNS - 103	ii. DBA		X				Please see comments in UNS-90
	UNS - 104	iii. Mailing address		X				Please see comments in UNS-90
	UNS - 105	iv. Situs address		X				Please see comments in UNS-90
	UNS - 106	v. Change of ownership (e.g., from Inc. to LLC, secured to unsecured)		X				Please see comments in UNS-90
	UNS - 107	i. Images of previous seven years filing		X				Please see comments in UNS-90
	UNS - 108	The system shall have the capability to display images of the previous seven years filings, if the previous BPP statement was received as a hard copy		X				This request will become functionally compiant with the development of an interface with the Assessor's imaging system, which would then lay the foundation by which to associate these objects with an individual property record.
	UNS - 109	The system shall provide authorized users with the capability to update the account information as necessary, including but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 110	a. Business account status		X				Please see comments in UNS-109
	UNS - 111	b. Business account valuation		X				Please see comments in UNS-109

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 112	c. Address		X				Please see comments in UNS-109
	UNS - 113	d. Change of ownership (e.g., LLC to partnership, secured to unsecured)		X				Please see comments in UNS-109
	UNS - 114	e. Location of records		X				Please see comments in UNS-109
	UNS - 115	The System shall provide the capability for an authorized user to indicate that a business personal property reported line item is a leasehold improvement		X				This may be accomplished via the Workflow Subsystem and as such will be delivered as a constituent working function of the final delivered System.
	UNS - 116	The System shall provide the capability for an authorized user to add explanatory notes to a leasehold improvement item		X				This function is an integral part of the proposed solution.
	UNS - 117	The System shall provide the capability to route a leasehold improvement item with notes to Real Property		X				This comprehensive function is included in the Workflow and Activity Processing modules of the proposed solution design.
	UNS - 118	The System shall provide the capability to appreciate leasehold improvement items		X				Please see comments in UNS-117
	UNS - 119	The system shall have the capability to identify accounts that are eligible for processing as low value assessments based on criteria, including but not limited to:		X				The proposed solution design can comport with this functional request as it relates to low value exemptions. This process is table driven so the end user can easily modify the value threshold as well as the number of years that would trigger the exemption. Furthermore, the proposed design solution is integrated with the Workflow subsystem modules so that these types of circumstance/properties can be routed to other designated users (these users are user-defined via tables so that routing can be controlled by departmental leadership) for their review.
	UNS - 120	a. Unsecured accounts only		X				Please see comments in UNS-119
	UNS - 121	b. Values below a preconfigured value		X				Please see comments in UNS-119
	UNS - 122	c. Single location only		X				Please see comments in UNS-119
	UNS - 123	d. Four years of low value status only		X				Please see comments in UNS-119

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 124	The system shall have the capability to save and track the business value without enrolling the business value for low value accounts		X				Please see comments in UNS-119
	UNS - 125	The system shall have the capability to route the assessment to an authorized user with notes		X				Please see comments in UNS-119
Hard Copy BPP Statement Filing and Processing								
	UNS - 126	The system shall provide authorized users with the capability to scan the BPP statement into the system and enter key associated information, including but not limited to:		X				This function would be fully available in the proposed solution
	UNS - 127	a. BAN/LIN/Account Number		X				Please see comments in UNS-126
	UNS - 128	b. Statement submission date		X				Please see comments in UNS-126
	UNS - 129	The system shall have the capability to associate scanned BPP statements with business accounts in the system		X				Please see comments in UNS-126
	UNS - 130	The system shall have the capability to notify the Tax Collector's Office of the new business account record, if the scanned BPP statement is not associated with an existing business account record		X				Please see comments in UNS-126 Moreover, this will be fullfiled via 'Exception' processing.
	UNS - 131	The system shall have the capability to prompt the authorized user to create a new business account number and to manually enter or update required information		X				This will be fullfiled via 'Exception' processing and as such will be delivered as a constituent working function of the final delivered system.
Leased Equipment Discovery and Processing								
	UNS - 132	The system shall have the capability to prompt the authorized user to send the notice to file a 571-L statement to the lessors		X				This requested feature will be delivered as a constituent working function of the final delivered System. Moreover, this functional request could be augmented in mass via the proposed system where the taxpayer downloads a prepopulated hardcopy.
	UNS - 133	The system shall provide authorized users with the capability to send the notice to file a 571-L statement to any identified lessors		X				Please see comments in UNS-132

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 134	The system shall have the capability to generate and send notices to identified lessors requesting that they file a 571-L statement		X				Please see comments in UNS-132
	UNS - 135	The system shall have the capability to notify the authorized user of 571-L statements filed through the web portal by the Lessor		X				Please see comments in UNS-132
	UNS - 136	The system shall have the capability to hold leased equipment data filed through the web portal in a pending status until approved by the authorized user		X				Please see comments in UNS-132 Furthermore, the proposed design solution is integrated with the Workflow subsystem modules so that these types of electronically filed statements can be held in abeyance until approved by the authorized user.
	UNS - 137	The system shall have the capability to evaluate if the lease is a true lease or a conditional sales lease / lease purchase / rent to own		X				This request would be fulfilled via the proposed solution.
	UNS - 138	The system shall have the capability to route the lease to the assigned user for review or assessment based on the type of lease		X				This function would be included in the proposed solution's Asset Detail Trending/Aging module design and as such is a configurable function that is performed through the proposed solution's Workflow Subsystem.
	UNS - 139	The system shall have the capability to conduct a reconciliation between lessor and lessee leased equipment statements		X				This functionality would be provided via the proposed system's Lease Reconciliation Module design.
	UNS - 140	The system shall have the capability to display the conditional sales lease data, including highlighting any system-identified lessor/lessee discrepancies		X				This request would be fulfilled via the proposed solution.
	UNS - 141	The system shall have the capability to conduct a reconciliation between the current and prior year leased data and highlight any differences in classification		X				Please see comments in UNS-139
	UNS - 142	The system shall have the capability to conduct a reconciliation and highlight discrepancies between data, including but not limited to:		X				Please see comments in UNS-139
	UNS - 143	a. Currently reported leased equipment		X				Please see comments in UNS-139
	UNS - 144	b. Prior year reported leased equipment		X				Please see comments in UNS-139

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 145	c. Terminated lease contracts		X				Please see comments in UNS-139
	UNS - 146	The system shall provide authorized users with the capability to reclassify data as necessary		X				This request would be fulfilled via the proposed solution via defined user authority. Moreover, should the client desire, the property in question could be placed in suspense under a full evaluation of target data is resolved. This would further entail the use of the system's embedded Workflow subsystem so that review of the data could be effectively routed to all appropriate personnel for their review/comments.
	UNS - 147	The system shall have the capability to apply the appropriate factored values based on acquisition year and equipment category to generate the leased equipment assessment		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 148	The system shall provide authorized users with the capability to reconcile Lessor-reported leased equipment with leased equipment discovered through other methods, including but not limited to:		X				Please see comments in UNS-139
	UNS - 149	a. Lessee's annual business filing		X				Please see comments in UNS-139
	UNS - 150	b. Audit findings		X				Please see comments in UNS-139
Marine Property Discovery								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 151	The system shall have the capability to receive Marine Property data from multiple sources including, but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System. Moreover, the proposed system will automatically perform such other functions as; aging of vessels for the next tax year period, Ownership verification processing, Dock walks, Marina profiles can be created for enhanced valuation support, DMV processing and Coast Guard processing. The total System is completely table driven, establishing high confidence data integrity, Unlimited multi-year history, audit history and file maintenance, Complete integrated tracking from Assessor to Auditor to Tax Collector, Direct billing, Penalty billing which is controlled by Assessor, and therefore not controlled or mandated by batch jobs, On demand printing of property statements, Integrated-relational Address Book functionality, User defined step-level processing; i.e., Business statement processing - sent, received, processed, reviewed, approved and billed, Working roll, current year roll and prior year(s) roll can all be worked simultaneously, Swapping/Copying capabilities are highly enhanced for all data, this reduces data entry for new businesses, and improves overall workflow, Items can be billed daily, weekly, monthly or as the client may choose, Lookup of boat data can be by: boat owner name, location, bill number or a variety of field identifiers, Items in Cooperative Mandatory Audit can be tracked, Unlimited notes for APNs, Unlimited notes for auditors.
	UNS - 152	a. Marina Report		X				Please see comments in UNS-151
	UNS - 153	b. Calls from the BOE about vessels in the City		X				Please see comments in UNS-151
	UNS - 154	c. Referrals from other Counties about vessels in the City		X				Please see comments in UNS-151
	UNS - 155	d. DMV		X				Please see comments in UNS-151
	UNS - 156	The system shall have the capability to notify PI to look for an associated slip when a vessel is identified, and vice versa		X				This will require an on-site detailed analysis of the County requirements and the multi-variates as it relates to an implementation of a final solution. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 157	The system shall provide authorized users with the capability to upload or enter Marine Property data, including but not limited to:		X				Please see comments in UNS-151
	UNS - 158	a. Vessel service types		X				Please see comments in UNS-151
	UNS - 159	i. Owned vessels		X				Please see comments in UNS-151
	UNS - 160	ii. 4% commercial fishing vessels		X				Please see comments in UNS-151
	UNS - 161	iii. 50 tons exemption vessel		X				Please see comments in UNS-151
	UNS - 162	iv. Homeowners exempt vessel		X				Please see comments in UNS-151
	UNS - 163	v. Disabled veterans vessel		X				Please see comments in UNS-151
	UNS - 164	vi. Welfare exemption vessel		X				Please see comments in UNS-151
	UNS - 165	vii. Barges		X				Please see comments in UNS-151
	UNS - 166	b. Vessel specifications		X				Please see comments in UNS-151
	UNS - 167	c. Owner information		X				Please see comments in UNS-151
	UNS - 168	d. DMV or Coastguard number		X				Please see comments in UNS-151
	UNS - 169	e. Vessel name		X				Please see comments in UNS-151
	UNS - 170	The system shall have the capability to determine if the Marine Property data is for an existing account		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 171	The system shall have the capability to associate the information with the existing account and save the updated information, if the Marine Property data is for an existing account		X				Please see comments in UNS-170
	UNS - 172	The system shall have the capability to prompt the preconfigured user to create a new account, if the Marine Property data is for a new account		X				Please see comments in UNS-170
	UNS - 173	The system shall provide authorized users with the capability to create a new Marine Property account for the discovered vessel with the provided information		X				Please see comments in UNS-170
Marine Property Annual Statement								
	UNS - 174	The system shall provide authorized users with the capability to send the 576-D Vessel Property Statement to all necessary vessels		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 175	The system shall have the capability to identify the vessels that require a property statement according to preconfigured business rules, including but not limited to:		X				Please see comments in UNS-174
	UNS - 176	a. If the vessel is new, a statement is required		X				Please see comments in UNS-174

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 177	b. If the vessel value is greater than or equal to $100,000, a statement is required		X				Please see comments in UNS-174. Moreover, as we understand the requested function this request would be part of the Vessel Value Calculation utility in the proposed solution design.
	UNS - 178	c. If the vessel value falls between the values identified for direct billing for the current year, the system populates and sends a letter to the vessel owner notifying them that they will be direct billed		X				Please see comments in UNS-174
	UNS - 179	d. If the vessel value is less than $4,000, a statement is unnecessary and notice is unnecessary		X				Please see comments in UNS-174. Moreover, as we understand the requested function this request would be part of the Vessel Value Calculation utility in the proposed solution design.
	UNS - 180	The system shall have the capability to preconfigure the direct billing valuation ranges for each year		X				Please see comments in UNS-174
	UNS - 181	The system shall have the capability to generate a vessel property statement for vessels not identified for direct billing, regardless of whether they have previously been identified for direct billing		X				Please see comments in UNS-174
	UNS - 182	The system shall have the capability to update the vessel account with the updated information, if a vessel update has been provided		X				Please see comments in UNS-174
	UNS - 183	The system shall have the capability to factor monitor or apply the appropriate factor to the previous year's Vessel assessment as preconfigured in the system		X				Please see comments in UNS-174
	UNS - 184	The system shall have the capability to generate and send a barcoded 576-D Vessel Property Statement to the Vessel owner		X				Please see comments in UNS-174
	UNS - 185	The system shall have the capability to monitor for completed 576-D Vessel Property Statements by the preconfigured date		X				The development team would need more information regarding this request before the capability can be confirmed as part of the new system.
	UNS - 186	The system shall have the capability to update the Vessel account with the reported information, if a completed statement has been returned for an existing account		X				This requested feature will be delivered as a constituent working function of the final delivered System.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 187	The system shall have the capability to add R&T Code 463 penalty to the tax bill amount, if a completed statement has not been returned		X				Please see comments in UNS-186
	UNS - 188	The system shall have the capability to identify if the non-filer is a new account		X				Please see comments in UNS-186
	UNS - 189	The system shall provide authorized users with the capability to select to view the account and set parameters for vessel comparables, including but not limited to:		X				Pre-Defined query can be used for finding like comparables. Query can be modified to alter filter criteria.
	UNS - 190	a. Vessel type		X				Please see comments in UNS-189
	UNS - 191	b. Vessel specifications		X				Please see comments in UNS-189
	UNS - 192	c. Vessel year		X				Please see comments in UNS-189
	UNS - 193	d. Vessel length		X				Please see comments in UNS-189
	UNS - 194	The system shall provide authorized users with the capability to select to view comparables		X				Please see comments in UNS-189
	UNS - 195	The system shall have the capability to display an initial set of comparable properties based on the selected comparable parameters		X				Please see comments in UNS-189
	UNS - 196	The system shall provide authorized users with the capability to filter and adjust the criteria for comparables as necessary		X				Please see comments in UNS-189
	UNS - 197	The system shall have the capability to display the expected valuation range based on the selected filters and adjustments		X				Please see comments in UNS-189
	UNS - 198	The system shall have the capability to suggest a valuation based on the selected comparables		X				Pre-Defined query can be used for finding like comparables. Query can be modified to alter filter criteria. However, the function of providing a suggested valuation will require additional information regarding business rule guidelines before the capability could be confirmed to be a part of the new system.
	UNS - 199	The system shall provide authorized users with the capability to adjust the sales price of the comparables		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 200	The system shall provide authorized users with the capability to apply relevant calculations as necessary, including but not limited to:		X				As we understand the requested function this request would be part of the Vessel Value Calculation utility in the proposed solution design.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 201	a. Barge valuation calculations		X				Please see comments in UNS-200
	UNS - 202	b. BOE factor table		X				Please see comments in UNS-200
	UNS - 203	c. Marine Fishing Vessels		X				Please see comments in UNS-200
Audits								
	UNS - 204	The system shall provide authorized users with the capability to update the audit status in the system, including but not limited to:		X				This will be a capability of the proposed new system. Moreover, this functional requirement will be driven by the underlying Workflow sub-system of the overall proposed system.
	UNS - 205	a. Assigned auditor		X				Please see comments in UNS-204
	UNS - 206	b. Unassigned		X				Please see comments in UNS-204
	UNS - 207	c. Contacted Taxpayer / Pending Response		X				Please see comments in UNS-204
	UNS - 208	d. Appointment confirmed		X				Please see comments in UNS-204
	UNS - 209	e. Field work		X				Please see comments in UNS-204
	UNS - 210	f. Sent to other County		X				Please see comments in UNS-204
	UNS - 211	g. Pending other County findings		X				Please see comments in UNS-204
	UNS - 212	h. Pending documents		X				Please see comments in UNS-204
	UNS - 213	i. Submitted		X				Please see comments in UNS-204
	UNS - 214	j. Return for revision		X				Please see comments in UNS-204
	UNS - 215	k. Approved		X				Please see comments in UNS-204
	UNS - 216	l. Sent for billing		X				Please see comments in UNS-204
	UNS - 217	The system shall have the capability to notify preconfigured users if an audit stays in a "pending" or other status for more than a preconfigured number of days for each stage		X				Please see comments in UNS-204
	UNS - 218	The system shall have the capability to preconfigure the number of days that an account may stay in each status before a notification should be sent		X				Please see comments in UNS-204
Business Property Audits								
	UNS - 219	The system shall have the capability to receive notifications from the BOE about the significant number (SNA) of audits to be conducted during the current fiscal year		X				The development team would need more information regarding this request before this capability can be confirmed as part of the new system, particularly as it further relates to the workflow actions that may be necessary following the receipt of such a notification.
	UNS - 220	The system shall provide authorized users with the capability to input hours worked on an individual audit and designate field work and office work		X				Please see comments in UNS-219

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 221	The system shall provide have the capability to generate production reports by auditor, audit, or work type (field or office)		X				Please see comments in UNS-219
	UNS - 222	The system shall have the capability to prompt authorized users to enter hours at a preconfigured audit status		X				Please see comments in UNS-219
	UNS - 223	The system shall have the capability to select accounts for auditing based on preconfigured business rules, including but not limited to:		X				This requirement could be supported. However, the design and development team would need to garner a great deal more comprehensive details as it relates this requirment [and its subornate requirements] in the negotiation or discovery period in order to better understand the business rules or circumstances of what the preconfigured business rules would be in order to select an account for auditing purposes.
	UNS - 224	a. A preconfigured number of the highest value accounts in the system based on a preconfigured rotation to ensure that all high value accounts are audited according to department policy		X				Please see comments in UNS-223
	UNS - 225	b. Any accounts identified for auditing in other processes		X				Please see comments in UNS-223
	UNS - 226	c. Any accounts manually identified for auditing		X				Please see comments in UNS-223
	UNS - 227	d. Any accounts identified for auditing in previous years that should be completed during the current year		X				Please see comments in UNS-223
	UNS - 228	e. Audits randomly chosen from a pool of accounts in the system that have not been audited in recent years according to department policy		X				Please see comments in UNS-223
	UNS - 229	The system shall provide authorized users with the capability to review the list of accounts to be audited and manually make changes as necessary, including but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 230	a. Any inclusions, including but not limited to:		X				Please see comments in UNS-229
	UNS - 231	i. Appeals		X				Please see comments in UNS-229
	UNS - 232	ii. Disagreements		X				Please see comments in UNS-229
	UNS - 233	iii. CCCases for other Counties		X				Please see comments in UNS-229
	UNS - 234	b. Any exclusions		X				Please see comments in UNS-229

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 235	The system shall have the capability to separate high value, low value, and CCCase audits		X				Please see comments in UNS-229
	UNS - 236	The system shall have the capability to provide authorized users with a summary view of audits, including but not limited to:		X				This function would be part of the proposed Audit Utilities design as it relates to the overall proposed solution.
	UNS - 237	a. Assignments		X				Please see comments in UNS-236
	UNS - 238	b. Unassigned high value audits		X				Please see comments in UNS-236
	UNS - 239	c. Unassigned low value audits		X				Please see comments in UNS-236
	UNS - 240	The system shall have the capability to update and save the list of accounts to be audited		X				Please see comments in UNS-236
	UNS - 241	The system shall provide authorized users with the capability to manually indicate any accounts that should be assigned to specific authorized users		X				This requested feature will be delivered such that records can be selected by pre-defined criteria or ad-hoc user defined criteria.
	UNS - 242	The system shall have the capability to generate a general audit work list and individual work lists of accounts to be audited		X				This requested feature can be delivered as a constituent working function of the final delivered System. However, the design and development team would need to garner more details as it relates this requirment [and its subornate requirements] in the negotiation or discovery period in order to better understand the business rules would constitute in order to determine who the authorized user will be defined as well as more details of what specific information should actually be in the audit work lists that would be published and to what extent the list should be able to support annotative comments from the authorized users.
	UNS - 243	The system shall have the capability to notify authorized users that the list of audits has been completed and prompt authorized users to pull audits from the audit work list		X				Please see comments in UNS-242
	UNS - 244	The system shall have the capability to display the audit information for authorized users		X				Please see comments in UNS-242
	UNS - 245	The system shall provide authorized users with the capability to notate identified assignment issues in the system		X				Please see comments in UNS-242
	UNS - 246	The system shall have the capability to update the audit assignment status as pending review by an authorized user		X				Please see comments in UNS-242

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 247	The system shall have the capability to route the reassignment request to the authorized user for review		X				This will be a capability of the proposed new system. Moreover, this functional requirement will be driven by the underlying Workflow sub-system of the overall proposed system.
	UNS - 248	The system shall provide authorized users with the capability to select the documents required from the Taxpayer to conduct the audit from a preset list of documents		X				The proposed solution would have the ability to generate a virtually unlimited number of templates into taxpayer correspondence/forms. The specific requirement the county may require some first-hand analysis as it relates to the final configuration and setup in this request.
	UNS - 249	The system shall have the capability to generate an audit notification email or letter to the Taxpayer with information, including but not limited to:		X				Please see comments in UNS-248. Moreover, this functional requirement will be driven by the underlying Workflow sub-system of the overall proposed system. Finally, there are a variety of mechanisms that enable scheduling and calendaring capabilities within the proposed Salesforce solution.
	UNS - 250	a. Notification that their business is being audited		X				Please see comments in UNS-249
	UNS - 251	b. Request for audit appointment		X				Please see comments in UNS-249
	UNS - 252	c. Documents required for the audit		X				Please see comments in UNS-249
	UNS - 253	d. Link to web portal for document submission		X				Please see comments in UNS-249
	UNS - 254	e. Response submission deadline for documents		X				Please see comments in UNS-249
	UNS - 255	f. Assigned auditor's contact information		X				Please see comments in UNS-249
	UNS - 256	The system shall have the capability to prepopulate an audit workbook template with account information, including but not limited to:		X				This requested feature can be delivered as a constituent working function of the final delivered System. However, the design and development team would need to garner more details as it relates this requirment [and its subornate requirement] in the negotiation or discovery period in order to better understand the business rules that would drive the content of the Workbook.
	UNS - 257	a. 4 years of business account information minimum		X				Please see comments in UNS-256

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 258	The system shall have the capability to display a summary of all audits assigned to an individual auditor along with associated statuses		X				This requested feature can be delivered as a constituent working function of the final delivered System. However, the design and development team would need to garner more details as it relates this requirment in the negotiation or discovery period in order to better understand the business rules that would drive the content of the Workbook as well as how users may annotate the results or interim results of an audit.
	UNS - 259	The system shall provide preconfigured users with the capability to document findings in the audit workbook template		X				Please see comments in UNS-258
	UNS - 260	The system shall have the capability to apply an electronic signature for audit findings packets as approved by an authorized user		X				This will be fulfilled within the proposed business personal property assessment solution, which provides for electronic signature capabilities.
	UNS - 261	The system shall provide authorized users with the capability to generate the audit findings packet for the Taxpayer		X				This requested feature can be delivered as a constituent working function of the final delivered System. However, the design and development team would need to garner more details as it relates this requirment in the negotiation or discovery period in order to better understand the working parameters of what should constitute the findings packet.
	UNS - 262	The system shall provide authorized users with the capability to document Taxpayer responses in the system		X				This information is available for viewing and updating by authorized users via the comprehensive 'Notes' module.
	UNS - 263	The system shall have the capability to upload taxpayer's information to the audit program and prompt the auditor to use the same classification for the same asset number or the same asset description.		X				Similar to other functional areas the Audit users will have access to this uploaded tax payer information and as such can utilize the workflow management process built into the proposed system should there be a need to route the audit results to others.
Business Property Audit Waivers								
	UNS - 264	The system shall have the capability to identify all unfinished audits with no statute waivers on file on a preconfigured date		X				This function would be part of the proposed solution's Workflow Subsystem
	UNS - 265	The system shall have the capability to evaluate the audit status and audit type (high value or low value)		X				The proposed solution's Audit Utilities are flexible, but may require some configuration and/or modification depending on the county specific requirements.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 266	The system shall have the capability to generate an audit waiver letter and associated waiver template for the Taxpayer based on audit status, audit type (high value or low value), and preconfigured business rules including, but not limited to:		X				This functional request would be performed via the underlying use of a 'mail merge' process as well as the proposed solution's Workflow subsystem.
	UNS - 267	a. Waiver letter for any audits that were started		X				Please see comments in UNS-266
	UNS - 268	b. Waiver letter for any high value audits that were not started		X				Please see comments in UNS-266
	UNS - 269	The system shall provide authorized users with the capability to index the waiver expiration date and lien date from the waiver form		X				This requested feature will be delivered as a constituent working function of the final delivered System. An index key will be part of the event history data table.
	UNS - 270	The system shall have the capability to release audits from the work list according to preconfigured business rules and save an audit trail of the audit release		X				Activites can be aged and appropriate action taken when they approach expiration
	UNS - 271	The system shall have the capability to add audits to the audit list for the following year		X				The proposed solution's Audit Utilities are flexible, but may require some configuration and/or modification depending on the county specific requirements.
	UNS - 272	The system shall have the capability to assign any started audits to the same authorized user to continue auditing during the next year		X				Please see comments in UNS-271
	UNS - 273	The system shall have the capability to flag accounts as having a shorter statute		X				This capabilitys can be made available within the proposed solution.
California Counties Cooperative Audit Service Exchange (CCCASE) Audits								
	UNS - 274	The system shall provide authorized users with the capability to input CCCase audits information in the system, including but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 275	a. Audits to be conducted by other Counties		X				Please see comments in UNS-274
	UNS - 276	b. Audits to be conducted for other Counties		X				Please see comments in UNS-274
	UNS - 277	The system shall have the capability to generate an invoice for billing of the other county or payment to the other county for CCCase audits		X				This requirement could be supported. The design and development team would like to garner more details related to this requirment in the negotiation or discovery period in order to meet or exceed client expectations.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 278	The system shall have the capability to route the generated invoice to the predetermined user for completion of billing		X				This request will be satisfied by utilizing the workflow management process built into the proposed system should there be a need to route the audit results and billing data to others for their review.
	UNS - 279	The system shall provide authorized users with the capability to upload or enter audit information from the other County into the CCCase template		X				Similar to other functional areas the Audit users will have access to this uploaded tax payer information and as such can also utilize the workflow management process built into the proposed system should there be a need to route the audit results to others.
	UNS - 280	The system shall provide authorized users with the capability to download system information into the CCCase template for other Counties		X				The proposed system design would be able store various types of external data relating to individual accounts that would require audit processing. However, the design and development team would need to garner more details as it relates this requirment in the negotiation or discovery period in order to better understand the working expectations for the CCCase templates.
	UNS - 281	The system shall have the capability to store CCCase templates		X				Please see comments in UNS-280
	UNS - 282	The system shall provide authorized users with the capability to modify CCCase templates		X				Please see comments in UNS-280
Business Account Management								
	UNS - 283	The system shall have the capability to assign account numbers based on preconfigured business rules		X				This function is an integral part of the proposed solution.
	UNS - 284	The system shall have the capability to maintain business account records with information including, but not limited to:		X				This function is an integral part of the proposed solution.
	UNS - 285	a. BAN		X				Please see comments in UNS-284
	UNS - 286	b. LIN		X				Please see comments in UNS-284
	UNS - 287	c. Vessel number (DMV)		X				Please see comments in UNS-284
	UNS - 288	d. Marine number (Coastguard)		X				Please see comments in UNS-284
	UNS - 289	e. Account number		X				Please see comments in UNS-284
	UNS - 290	f. Ownership name / Legal entity name		X				Please see comments in UNS-284
	UNS - 291	g. DBA		X				Please see comments in UNS-284
	UNS - 292	h. Mailing address		X				Please see comments in UNS-284
	UNS - 293	i. Business address		X				Please see comments in UNS-284
	UNS - 294	j. Agent address		X				Please see comments in UNS-284

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 295	k. Physical address of accounting records		X				Please see comments in UNS-284
	UNS - 296	l. Record type (Active/Inactive)		X				Please see comments in UNS-284
	UNS - 297	m. Associated APN		X				Please see comments in UNS-284
	UNS - 298	n. Business Classification Code / NCIS		X				Please see comments in UNS-284
	UNS - 299	o. Contact information		X				Please see comments in UNS-284
	UNS - 300	p. Ownership type (LLC, partnership)		X				Please see comments in UNS-284
	UNS - 301	q. Secured/unsecured		X				Please see comments in UNS-284
	UNS - 302	r. Account type		X				Please see comments in UNS-284
	UNS - 303	s. Account subtype		X				Please see comments in UNS-284
	UNS - 304	t. Indication of main account (for accounts with multiple locations)		X				Please see comments in UNS-284
	UNS - 305	The system shall have the capability to create new business types and subtypes by authorized users		X				This authority-based is included in in the proposed system via Parcel Management and Activity Processing Utilities. However, this request will require some first-hand analysis of the current proposed Parcel Management design. Nevertheless, this requested feature will be delivered as a constituent working function of the final delivered System.
	UNS - 306	The system shall have the capability to maintain multiple account types and subtypes including, but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System and as such can be configured in the proposed solution.
	UNS - 307	a. Business		X				Please see comments in UNS-306
	UNS - 308	i. Biotech		X				Please see comments in UNS-306
	UNS - 309	ii. Restaurant		X				Please see comments in UNS-306
	UNS - 310	iii. Hotel		X				Please see comments in UNS-306
	UNS - 311	iv. Office		X				Please see comments in UNS-306
	UNS - 312	v. Broadcasting		X				Please see comments in UNS-306
	UNS - 313	vi. Business Types (e.g. Retails, Warehouse, Garage / Parking Lot, Car Rental, Construction, Health Club, etc.)		X				Please see comments in UNS-306
	UNS - 314	b. Government		X				Please see comments in UNS-306
	UNS - 315	i. Presidio		X				Please see comments in UNS-306
	UNS - 316	ii. BOE-assessed		X				Please see comments in UNS-306
	UNS - 317	c. Financial		X				Please see comments in UNS-306
	UNS - 318	d. Insurance		X				Please see comments in UNS-306
	UNS - 319	e. Leasing		X				Please see comments in UNS-306
	UNS - 320	f. Lessee account		X				Please see comments in UNS-306
	UNS - 321	g. Apartment		X				Please see comments in UNS-306

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 322	h. Short term rental		X				Please see comments in UNS-306
	UNS - 323	i. Billboard		X				Please see comments in UNS-306
	UNS - 324	j. Vessel		X				Please see comments in UNS-306
	UNS - 325	The system shall have the capability to main separate valuation tables for each account type and subtype		X				Please see comments in UNS-306. Moreover, it is important to note that the proposed solution design is able to maintain multiple base year values via the Value History tables
	UNS - 326	The system shall have the capability to link sub accounts with main accounts for accounts with multiple locations as indicated by an authorized user		X				This functionality would be provided via the proposed solution's Field Canvasing Utility in the proposed solution
	UNS - 327	The system shall have the capability to use business account record information for use in conducting other work including, but not limited to:		X				This function would be accomplished via the proposed solution's currently well developed User-Defined Coding schema, the user-friendly query functions, as well as the proposed system's underlying workflow subsystem.
	UNS - 328	a. Assigning work		X				Please see comments in UNS-327
	UNS - 329	b. Identifying accounts to be audited		X				Please see comments in UNS-327
	UNS - 330	c. Determining appropriate correspondence type		X				Please see comments in UNS-327
	UNS - 331	d. Determining the appropriate forms		X				Please see comments in UNS-327
	UNS - 332	The system shall provide authorized users with the capability to add/edit/delete account types, subtypes, and associated valuation tables		X				This requested feature will be delivered as a constituent working function of the final delivered System and as such can be configured in the proposed solution.
	UNS - 333	The system shall have the capability to associate account subtypes with account types		X				This requested feature will be delivered as a constituent working function of the final delivered System and as such can be configured in the proposed solution.
	UNS - 334	The system shall provide authorized users with the capability to manage accounts including, but not limited to:		X				Please see comments in UNS-333
	UNS - 335	a. Editing accounts		X				Please see comments in UNS-333
	UNS - 336	b. Creating new accounts		X				Please see comments in UNS-333
	UNS - 337	c. Deleting accounts		X				Please see comments in UNS-333
	UNS - 338	d. Merging accounts		X				Please see comments in UNS-333
	UNS - 339	e. Activating accounts		X				Please see comments in UNS-333
	UNS - 340	f. Deactivating accounts		X				Please see comments in UNS-333
	UNS - 341	The system shall provide authorized users with the capability to indicate what information to keep from each account when merging accounts		X				The proposed solution design fully comports with this functional request.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	UNS - 342	The system shall update associated location mailing addresses with authorized user approval when updates are made to the Physical Address of Accounting Records		X				This requested feature will be delivered as a constituent working function of the final delivered System.
Parcel Management								
Parcel Management								
	PAR - 1	The system shall provide the capability for authorized users to view all recorded documents associated with a parcel		X				This is included in proposed solution's Parcel Management Utility.
	PAR - 2	The system shall provide authorized users with the capability to create and edit parcel records including, but not limited to:		X				Please see comments in PAR-1
	PAR - 3	a. Creating new parcel records		X				Please see comments in PAR-1
	PAR - 4	b. Editing existing parcel record information		X				Please see comments in PAR-1
	PAR - 5	c. Editing existing parcel record status		X				Please see comments in PAR-1
	PAR - 6	d. Splitting parcels		X				Please see comments in PAR-1
	PAR - 7	e. Combining parcels		X				Please see comments in PAR-1
	PAR - 8	The system shall ensure that all APN numbers are unique		X				Please see comments in PAR-1
	PAR - 9	The system shall provide authorized users with the capability to mass enter or update parcel characteristics from an excel spreadsheet or as entered in the system		X				This function can be executed via the import utility or via a simple SQL process, since the database schema is SQL compliant
	PAR - 10	The system shall retain historical versions of parcel records regardless of parcel status including, but not limited to:		X				This function is available via the Parcel Ancestry View of the proposed solution.
	PAR - 11	a. A longitudinal connection of current parcel records and information to historical parcel records and information, including when not in a 1:1 ratio due to parcel changes		X				Please see comments in PAR-10
	PAR - 12	The system shall have the capability to save the scanned map file to individual or multiple file locations as preconfigured in the system or as selected by an authorized user		X				As a complement to the Parcel Management utiliity, this function will be satisfied via the Workflow subsystem of this proposed solution.
Recorded Maps								

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	PAR - 13	The system shall have the capability to generate a new APN using a preconfigured numbering convention, including, but not limited to:		X				This is included in proposed solution's Parcel Management Utility.
	PAR - 14	a. The numeric portion of a block will remain constant		X				Please see comments in PAR-13
	PAR - 15	b. The alpha portion of the block will begin at "A" and only increment up if there are more than 999 lots. This is the only use of the Alpha portion of the block. The Alpha portion is optional and only used if necessary.		X				Please see comments in PAR-13
	PAR - 16	c. Parcel numbers for new projects should infill an existing block unless the block cannot accommodate all parcels needed for the project. Under this circumstance, all of the parcels needed for the project will be assigned to a block that can accommodate all needed parcels		X				Please see comments in PAR-14
	PAR - 17	d. The alpha portion of the lot is for comments		X				Please see comments in PAR-15
	PAR - 18	e. Legal vs. assessment parcel		X				Please see comments in PAR-16
	PAR - 19	f. Parcel type		X				Please see comments in PAR-17
	PAR - 20	The system shall have the capability to hold a newly generated APN in a temporary or pending status until approved by an authorized user		X				This function may be performed via the Workflow Subsystem of the proposed solution.
	PAR - 21	The system shall provide the capability to request one-to-many new APNs for a specific block, or one-to-many new APNs for a new block in a specific volume		X				The proposed solution is able to asssociate multiple situs address with a single APN, which can also include that the "child-parent" parcel relationships as parent parcels are later subdivided. Moreover, there is the ability to flag one APN as the primary situs address, should that need arise. In these instances, the Parent parcel number is recharacterized with an additional character at the end ot the parcel number, this recharacterized account number allows the system to distinguish the parent from the child parcel. Once this process of recharacterizing the parent parcel number is complete, the system will then automatically retire the parent parcel.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	**Description**	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
	PAR - 22	The system shall have the capability to prevent a temporary APN from being assigned to a different parcel		X				This is included in proposed solution's Parcel Management Utility. Once an APN has been used (temporary or not) it is locked such the APN cannot be inadvertently reapplied. This process of APN assignment and approval is further enhanced via the proposed Workflow subsystem such that final approval of an assigned APN can be set up to be reviewed by others.
	PAR - 23	The system shall have the capability to display temporary APN(s) for authorized users		X				These temporary APN's can be identified via special flag therefore, a query of these accounts would be a practical approach. Moreover, these flagged accounts could be further recognized via the use of a summary dash board, which in turn could be drilled down to in detail should the need arise.
	PAR - 24	The system shall provide authorized users with the ability to approve temporary APNs for permanent use		X				This function may be performed via the Workflow Subsystem of the proposed solution.
	PAR - 25	The system shall provide authorized users with the ability to deny a temporary APN, releasing the APN to be used for a different parcel		X				As a complement to the Parcel Management utiliity, this function will be satisfied via the Workflow subsystem of this proposed solution.
	PAR - 26	The system shall have the capability to retrieve and save indexed information from the Recorder's system including, but not limited to:		X				This function may be performed via the Workflow Subsystem of the proposed solution.
	PAR - 27	a. Document type (e.g., map, etc.)		X				Please see comments in PAR-26
	PAR - 28	b. Book and page number		X				Please see comments in PAR-26
	PAR - 29	c. Parent APN(s)		X				Please see comments in PAR-26
	PAR - 30	d. Document number		X				Please see comments in PAR-26
	PAR - 31	f. Integration to Recorder's system for document image		X				Please see comments in PAR-26
	PAR - 32	g. Project ID number		X				Please see comments in PAR-26
	PAR - 33	The system shall have the capability to automatically change the status of a temporary APN upon notification that a required map type has been recorded for a temporary APN that is pending recorded documents		X				This function may be performed via the Workflow Subsystem of the proposed solution. Moreover, if out of Sequence events are attempted to be processed they are set to a status indicating it is out of sequence and the event will be allowed to be processed once the interfering activities have been resolved.
	PAR - 34	The system shall have the capability to hold APNs in a pending status		X				Please see comments in PAR-33

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	PAR - 35	The system shall have the capability to identify all baby APNs associated with recorded map's parent APN		X				The "child-parent" parcel relationship is an underlying component of the parcel ancestry view of the proposed solution. In these instances, the Parent parcel number is recharacterized with an additional character at the end ot the parcel number, this recharacterized account number allows the system to distinguish the parent from the child parcel. Once this process of recharacterizing the parent parcel number is complete, the system will then automatically retire the parent parcel.
	PAR - 36	The system shall have the capability to apply updates made on a parent APN to the associated baby APNs		X				Please see comments in PAR-35
	PAR - 37	The system shall have the capability to prompt authorized users to add details to new APNs including, but not limited to:		X				The proposed system will prompt the user to enter the given property attributes when a new account is created.
	PAR - 38	a. Parcel characteristics		X				Please see comments in PAR-37
	PAR - 39	b. Legal description		X				Please see comments in PAR-38
	PAR - 40	c. Situs address		X				Please see comments in PAR-39
	PAR - 41	d. Property owner		X				Please see comments in PAR-40
	PAR - 42	e. Effective date		X				Please see comments in PAR-41
	PAR - 43	The system shall have the capability to email preconfigured individuals or agencies to confirm when maps have been legally recorded with information including, but not limited to:		X				APN changes on the working roll [or even a future roll] may be extracted or triggered by actional activity for user-defined individuals or agencies. This is an underlying function of the expansive Salesforce Workflow subsystem. This actional activities can be set to automatically email changes to user-designated internal/external sources.
	PAR - 44	a. Assigned book and page		X				Please see comments in PAR-43
	PAR - 45	b. Confirmed APNs		X				Please see comments in PAR-43
Parcel Information Updates								
	PAR - 46	The system shall track required recorded documents associated with parcel management including, but not limited to:		X				The proposed solution addresses this functional request via the creation of user-defined recorded documents that maybe attached [associated] with a record. In these instances any number of documents [or document/image ID's] can be attached to a parcel record for user retrieval.
	PAR - 47	a. Certificate of compliance		X				Please see comments in PAR-46
	PAR - 48	b. Cross deeds		X				Please see comments in PAR-46

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	PAR - 49	c. CC&R		X				Please see comments in PAR-46
	PAR - 50	d. Maps		X				Please see comments in PAR-46
	PAR - 51	The system shall provide authorized users with the capability to indicate required recorded documents associated with a parcel action(s) include, but are not limited to:		X				The proposed solution addresses this functional request via the creation of user-defined recorded documents and the system's Parcel Management Utility. The prescribed request can be controlled for content by entitled authorized users. This content control for a record is augmented with SalesForce's underlying Workflow module, which is used to define a process flow for an activity.
	PAR - 52	a. Real property splits require a certificate of compliance		X				Please see comments in PAR-51
	PAR - 53	b. Condo splits require a deed		X				Please see comments in PAR-52
	PAR - 54	c. Tenants in common require a cross deed per owner		X				Please see comments in PAR-53
	PAR - 55	d. Real property merges require a certificate of compliance		X				Please see comments in PAR-54
	PAR - 56	The system shall have the capability to prevent a parcel action from proceeding if it has not received required recorded documents from the Recorder's system		X				This function may be performed via the Workflow Subsystem of the proposed solution. Moreover, if out of Sequence events are attempted to be processed they are set to a status indicating it is out of sequence and the event will be allowed to be processed once the interfering activities have been resolved.
	PAR - 57	The system shall have the capability to associate documents passed from the Recorder's system with a parcel action based on indexed information		X				This function may be performed via the Workflow Subsystem of the proposed solution.
	PAR - 58	The System shall have the capability to conduct a preconfigured action on any exemptions associated with a parcel when appropriate parcel change occurs. Actions, include, but are not limited to:		X				The underlying workflow solution can utilized in managing preconfigured action. Additionally, in this instance, the Change in Ownership Processor or Recorder Document Procesing/Logging utility has a checkbox that can be automatically pre-selected [for select Activity Codes and Property Use Codes that are configured do so, such as a CIO-SALE on a Single Family Residential Property]. However, the user processing a record may chose to override the system defaulted value by selecting or unselecting this checkbox as required.
	PAR - 59	a. Cancel all exemptions		X				Please see comments in PAR-58
	PAR - 60	b. Send exemption letters to new owner(s)		X				Please see comments in PAR-58

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	PAR - 61	c. Carry over the exemption to the whole parcel or a selected portion of the parcel		X				Please see comments in PAR-58
	PAR - 62	The system shall have the capability to associate documents passed from the Recorder's system with all associated APN(s) based on indexed information		X				This function may be performed via the Workflow Subsystem of the proposed solution.
	PAR - 63	The system shall have the capability to save and use information indexed from the Recorder's system including, but not limited to:		X				Please see comments in PAR-62
	PAR - 64	a. Document type		X				Please see comments in PAR-62
	PAR - 65	b. Affected property(s) by APN		X				Please see comments in PAR-62
	PAR - 66	The system shall have the capability to notify or assign a work item based on receipt of a recorded document		X				Once an automated notification from the Recorder's office is receive for a parcel that a new document has been created for that parcel, the system will create a Workflow line item for authorized/assigned staff to review this new document for approval and subsequent association / attachment to the designated record.
	PAR - 67	The system shall provide authorized users with the ability to review, notate, and route notification of missing documents to the appropriate departments for processing		X				This business rule will be performed in the Workflow management life cycle. Similarly, other business rules can be added to route requests for missing documents to individual team members. For example, disablility exemption for a veteran may be missing documentation for a surviving spouse, a request for a "Disabled Veterans' Tax Exemption Change of Eligibility Report" may be necessary in order to process the surviving spouse request, this request for this document could then be routed to an exemption team member.
	PAR - 68	The system shall provide authorized users the capability to update whether a recorded document does or does not satisfy the document requirement for a parcel action to proceed.		X				This request is driven by the user-defined security. In this instance, if the user has the proper authority, then the underlying Workflow guidelines can be manually overwritten. However, it is important to note that the underlying system is designed to monitor predefined workflow via sequence, therefore, in the conventional sense if out of Sequence events are attempted to be processed they are set to a status indicating it is out of sequence and the event will normally only allow processing to take place once the interfering activities have been resolved.

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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	PAR - 69	The System shall provide an authorized user with the capability to update use and class code when it is discovered that a parcel is assessed at the state level		X				This request is controlled by the proposed system's Workflow subsystem and Assessment Processing design.
Roll Management								
Real Property Roll Change								
	RMT - 01	The system shall provide authorized users with the capability to update a current or prior year real property assessment and note the reason including, but not limited to:		X				This will be addressed by maintaining the 3 rolls, current year secure and unsecure, supplemental roll, and escape roll all in the same DB structure with logic built into the data and intermediary layers of the system. This will help facilitate the crucial integration between these three rolls and the events past or present that lead to modifications in each based off of business rules and California Law. To this extent, Sapient thoroughly understands these symbiotic relationship and that these rolls are the fundamental elements or the heartbeat of the system, as the system beats these rolls are continuously scrutinized for any updates that may be necessary. Consequently, this requested functionality will be delivered as a constituent working function of the final delivered System.
	RMT - 02	a. Prior year unprocessed changes		X				Please see comments in RMT-01
	RMT - 03	b. Appeals		X				Please see comments in RMT-01
	RMT - 04	c. Exemptions		X				Please see comments in RMT-01
	RMT - 05	d. Recorder events		X				Please see comments in RMT-01
	RMT - 06	e. New construction (DBI) information		X				Please see comments in RMT-01
	RMT - 07	f. Unpermitted new construction		X				Please see comments in RMT-01
	RMT - 08	The system shall have the capability to save a new valuation and calculate appraised values for other affected years as appropriate based on preconfigured business rules		X				Please see comments in RMT-01
	RMT - 09	The system shall have the capability to hold roll changes in a pending status while Taxpayers are notified		X				In the proposed system activities can be linked and be configued to be dependant on other activities, such that 'pending' activities can be tracked.
	RMT - 10	The system shall have the capability to notify preconfigured staff when Taxpayer responses are received		X				This requested feature will be delivered as a constituent working function of the final delivered System.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RMT - 11	The system shall have the capability to determine if Taxpayer responses have been scanned and uploaded to the system by the preconfigured due date		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 12	The system shall have the capability to enroll values and associated data if the taxpayer has not responded by a preconfigured date. Enrolled values and associated data include, but are not limited to:		X				The proposed System has the capability to hold the enrolled values, for a predetermined length of time in an authorized user queue or until released to the roll by an authorized user. Moreover, activities can be programmatically aged such that appropriate action will be when the actional activity approaches a user-defined expiration date.
	RMT - 13	a. Previously assessed value		X				Please see comments in RMT-12
	RMT - 14	b. New assessed value(s) and associated year(s)		X				Please see comments in RMT-12
	RMT - 15	c. Ownership information		X				Please see comments in RMT-12
	RMT - 16	The system shall have the ability to flag and pass a roll change to the Controller's Office and/or system		X				All data pertaining to thecontroller can be transmitted/exported to the controller.
	RMT - 17	The system shall provide authorized users with the capability to indicate that a roll change requires reassessment based on Taxpayer responses		X				This function may be performed via the Workflow Subsystem of the proposed solution. For example, in a change of ownership scenario the CIO Workflow processor will contain a Document Status code with an associated Document Status Level, Document Status Date. The Activity Code assigned to CIO documents can trigger the generation of an exclusion letter for the appropriate event and property types, and in turn sets the Document Status Code, Level and Date accordingly. After the tax payer responds or the “Number of Days to Wait” since the Document Status Date was set by the exclusion letter has passed, the CIO Workflow processor could then proceed to the next process step of releasing the document by automatically changing the Status Code to a new value that would trigger the event into the CIO workflow to be processed by an assigned CIO staff member.
	RMT - 18	The system shall provide authorized users with the capability to indicate that a roll change which has received a taxpayer response does not require reassessment and can be enrolled		X				This function may be performed via the Workflow Subsystem of the proposed solution. Please see comments in RMT-17
Business Personal Property Roll Changes								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RMT - 19	The system shall have the capability to identify BPP roll changes based on information from a number of different sources including, but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System. Moreover, The proposed solution would perform this function by tracking the underlying actions that might trigger a BPP roll change. For example, such things as; appeals, CIO, account audit history, any prior year changes, tax payer correspondence and the like will all provide contributing reasons that would support a BPP roll change.
	RMT - 20	a. Prior year change		X				Please see comments in RMT-19
	RMT - 21	b. Tax Payer notification (documentation depreciation schedule)		X				Please see comments in RMT-19
	RMT - 22	c. Cancellation (Tax Payer mail, email)		X				Please see comments in RMT-19
	RMT - 23	d. Other requests as documented in the system by Clerical Support Staff		X				Please see comments in RMT-19
	RMT - 24	e. Audit results		X				Please see comments in RMT-19
	RMT - 25	f. Appeal		X				Please see comments in RMT-19
	RMT - 26	g. CIO		X				Please see comments in RMT-19
	RMT - 27	h. Not filing the prior year		X				Please see comments in RMT-19
	RMT - 28	The system shall have the capability to assign a roll change to BPP auditors based on preconfigured business rules		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 29	The system shall provide authorized users with the capability to select an account and view additional information in the system		X				This requested feature will be delivered as a constituent working function of the final delivered System. However, The design and development team would like to garner more first-hand details during the negotiation and discovery period of this prospective engagement as it particulaly relates the scope of the "additional information" that would need to be provided to an authorized user.
	RMT - 30	The system shall provide authorized users with the capability to update an assessment as necessary including, but not be limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	RMT - 31	a. Updating assessments for multiple years if the discovery process identifies that multiple years are affected by the reassessment		X				Please see comments in RMT-30
	RMT - 32	b. Updated BPP secured or unsecured taxes		X				Please see comments in RMT-30
	RMT - 33	The system shall have the capability to save new valuation(s) and associated year(s)		X				This requested feature will be delivered as a constituent working function of the final delivered System, which will include all supplements, roll correction/escapes.
	RMT - 34	The system shall generate and send a barcoded notification to the Tax Payer of the new valuation		X				The proposed solution has the capability to generate and apply barcodes to any system-generated correspondence/forms. However, the development team will have to know the exact special font (i.e., Code 39, Code 28, QR Code) and location on the templates in which the bar code will be placed. **Note:** there may be a cost for the county to purchase this special font for all users workstations. Also, if the users are working remotely or off of their personal computers or mobile devices there is a high probability that the bar code functions may not work as designed - this deficiency may be nominally ameloriated via the use of a PDF formated correspondence/template.
	RMT - 35	The system shall have the capability to enroll the new value(s) in the system and send them to the Controller's Office and/or system		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem. Moreover, it is important to note that through this user-configurable functon the proposed solution has the capability for the authorized user(s) to put the roll correction/escape on hold anytime prior to it being released to the Controller.
Value transfer between secured and unsecured rolls				X				
	RMT - 36	The system shall provide authorized users with the capability to reclassify a secured assessment as unsecured and annotate the reason for reclassification		X				The proposed System has the capability to identify a secured property parcel that could be transferred to the business personal property records roll via an authorized user.
	RMT - 37	The system shall provide authorized users with the capability to reclassify an unsecured assessment as secured and annotate the reason for reclassification		X				The proposed System has the capability to identify business personal property records that could be transferred to the secured roll via an authorized user.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RMT - 38	The system shall have the capability to hold a reclassification as pending until authorized by a preconfigured user		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem. Moreover, it is important to note that through this user-configurable functon the proposed solution has the capability for the authorized user(s) to put a prospective reclassifed property parcel on hold, via a 'pending' designation until the named record has gone through a prescribed 'step-process' approval review by any and all required authorized personnel.
	RMT - 39	The system shall have the ability to enroll a previously secured assessment as unsecured with a flag indicating the change		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 40	The system shall have the ability to enroll a previously unsecured assessment as secured with a flag indicating the change		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 41	The system shall have the ability to route assessment reclassifications and associated notations to the Controller's Office and/or system		X				The system design has the capability to route any assessment reclassifications, i.e., roll correction/escapes to the Controller's office after a pre-configured waiting period or when an authorized user indicates
Roll Close and Roll Open								
	RMT - 42	The system shall have the capability to track key roll close calendar dates as preconfigured and scheduled by authorized users		X				This would be tracked in the event view
	RMT - 43	The system shall have the capability to tag all assessments received after a preconfigured date as pertaining to the next roll year		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RMT - 44	The system shall have the capability to generate final quality control reports on a preconfigured date, that identify accounts meeting preconfigured criteria including, but not limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RMT - 45	a. Assessments over a preconfigured threshold		X				Please see comments in RMT-44

City & County of San Francisco System Requirements			Response Code					
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General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RMT - 46	b. Assessments with building characteristics and no value		X				Please see comments in RMT-44 Also, please note that the "Recorded Document Processing/Logging utility" automatically defaults to a "Yes" or "No Value" into the Representative Sale Flag field based on the Property Type, Activity Code, District, and Neighborhood values. Additionally, the user may override a "No Value" for any given Sale event. Consequently, when the document is then processed, a Sales History record would then be created and flagged as a valid comparable sale.
	RMT - 47	c. Assessments with land characteristics and no value, etc.		X				Please see comments in RMT-46
	RMT - 48	d. Non-taxable properties with value		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RMT - 49	The system shall have the capability to display working year roll information for authorized user review. Information shall include, but not be limited to:		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RMT - 50	a. Final assessment data		X				Please see comments in RMT-49
	RMT - 51	b. Quality control reports		X				Please see comments in RMT-49
	RMT - 52	The system shall provide authorized users with the capability to update assessment data as necessary after reviewing quality control reports		X				This requested feature will be delivered as a constituent working function of the final delivered System.
	RMT - 53	The system shall provide authorized users with the capability to approve the final assessment data on the working year roll		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 54	The system shall have the capability to close the working year roll based on a preconfigured schedule		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 55	The system shall have the capability to transfer the closed assessment roll to the Controller's Office and/or system based on a preconfigured schedule		X				This is configurable function that is performed through the proposed solution's Workflow Subsystem.
	RMT - 56	The system shall have the capability to open the roll for the new year as scheduled in the system		X				The proposed solution is designed to automatically open a new roll for secured and / or unsecured rolls after a successfully preliminary roll close. This is a configurable function [via an authorized user] that is performed through the system's Workflow subsystem, so this process can be modified as necessary.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	RMT - 57	The system shall have the capability to open the roll for the new year when initiated by an authorized user		X				Please see comments in RMT-56
Analytics and Reporting								
Dashboards								
	REP - 01	The system shall have the capability to display information in dashboards including, but not limited to:		X				
	REP - 02	a. Current workload by characteristic including, but not limited to:		X				
	REP - 03	i. Status (e.g. sent, received, reviewed/completed/approved, enrolled general, enrolled penal)		X				
	REP - 04	ii. Status change		X				
	REP - 05	iii. Date of status change		X				
	REP - 06	iv. Total processing time		X				
	REP - 07	v. Component processing time		X				
	REP - 08	vi. Transaction age		X				
	REP - 09	vii. Property or business type		X				
	REP - 10	viii. Transaction value		X				
	REP - 11	ix. Assigned staff		X				
	REP - 12	x. Assigned work group		X				
	REP - 13	xi. Geographic location (i.e. neighborhood, zip code)		X				
	REP - 14	xii. Item type (i.e. CIO, NC, AAB, etc.)		X				
	REP - 15	xiii. Filing type (i.e. 571 L; 571R; 571STR; DB; LV)		X				
	REP - 16	xiv. Filing format (i.e. e-file, hard copy)		X				
	REP - 17	xv. Roll (i.e. secured, unsecured)		X				
	REP - 18	xvi. Property owner		X				
	REP - 19	b. Completed workload by characteristic including, but not limited to:		X				
	REP - 20	i. Property type		X				
	REP - 21	ii. Transaction value		X				
	REP - 22	iii. Assigned staff		X				
	REP - 23	iv. Status (e.g. sent, received, reviewed/completed/approved, enrolled general, enrolled penal)		X				

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	REP - 24	v. Status change		X				
	REP - 25	vi. Date of status change		X				
	REP - 26	vii. Total processing time		X				
	REP - 27	viii. Component processing time		X				
	REP - 28	ix. Transaction age		X				
	REP - 29	x. Property or business type		X				
	REP - 30	xi. Transaction value		X				
	REP - 31	xii. Assigned staff		X				
	REP - 32	xiii. Assigned work group		X				
	REP - 33	xiv. Geographic location (i.e. neighborhood, zip code)		X				
	REP - 34	xv. Item type (CIO, NC, AAB, etc.)		X				
	REP - 35	xvi. Filing type (i.e. 571 L; 571R; 571STR; DB; LV)		X				
	REP - 36	xvii. Filing format (i.e. e-file, hard copy)		X				
	REP - 37	xviii. Roll (i.e. secured, unsecured)		X				
	REP - 38	xix. Property owner		X				
	REP - 39	c. Outstanding appeals by assigned staff		X				
	REP - 40	d. Highly utilized reports		X				
	REP - 41	e. Unworked and/or unassigned items		X				
	REP - 42	f. 571 L statements at each stage of the business process		X				
	REP - 43	g. Audits		X				
	REP - 44	h. Exemptions annual processes		X				
	REP - 45	i. Customer service inquiries		X				
	REP - 46	The system shall provide authorized users with the ability to preconfigure data for display in dashboards for individual or sets of users including, but not limited to:		X				
	REP - 47	a. Work lists		X				
	REP - 48	b. Work list summaries		X				
	REP - 49	c. Pre-defined reports		X				
	REP - 50	d. Ad hoc reports		X				
	REP - 51	e. Relevant upcoming deadlines as preconfigured for the user title or as selected by the user		X				
	REP - 52	The system shall have the capability to indicate items that have been preconfigured for alerts including, but not limited to:		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	REP - 53	a. Real Properties that are approaching their four year statutory deadline		X				
	REP - 54	b. Appeals that are approaching their two year statutory deadline		X				
	REP - 55	c. Properties that become vacant		X				
	REP - 56	d. Accounts transferred between secured and unsecured		X				
	REP - 57	e. Prop 8 reductions		X				
	REP - 58	The system shall restrict data for display in dashboards according to the permission rights of the user viewing the dashboard		X				
	REP - 59	The system shall provide authorized users with the ability to manipulate dashboard display options including, but not limited to:		X				
	REP - 60	a. Displaying metrics graphically		X				
	REP - 61	b. Displaying metrics numerically		X				
	REP - 62	c. Moving pertinent metrics into more immediate view		X				
	REP - 63	d. Displaying metrics over time (e.g. change week to week)		X				
	REP - 64	The system shall provide the capability for authorized users to drill down into dashboard summary items to see detailed information about the item		X				
Report								
	REP - 65	The system shall provide authorized users with the capability to run reports without specialized programming knowledge		X				
	REP - 66	The system shall have the ability to generate predefined reports as requested by an authorized user		X				
	REP - 67	The system shall have the ability to generate predefined reports as scheduled by an authorized user		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	REP - 68	The system shall have the capability to automatically route or send predefined reports to preconfigured user(s) as preconfigured in the system by an authorized user		X				
	REP - 69	The system shall have the capability to save predefined reports in a designated location as preconfigured in the system by an authorized user		X				
	REP - 70	The system shall have the capability for reports to generate review workflow items		X				
	REP - 71	The system shall have the capability to generate workflow items from the accounts identified within reports		X				
	REP - 72	The system shall provide authorized users with the capability to create and store pre-defined reports including, but not limited to:		X				
	REP - 73	a. Production and pending workload reports for each unit and activity type		X				
	REP - 74	b. State or City mandated reports		X				
	REP - 75	c. Input volume including, but not limited to:		X				
	REP - 76	i. Number of customer service inquiries		X				
	REP - 77	ii. Number of exemptions filed by type		X				
	REP - 78	iii. Number of recorded documents		X				
	REP - 79	iv. LEOPs		X				
	REP - 80	v. Incoming NC permits		X				
	REP - 81	vi. New business accounts		X				
	REP - 82	d. Output volume including, but not limited to:		X				
	REP - 83	i. Number of roll changes		X				
	REP - 84	ii. Number of exemptions granted		X				
	REP - 85	iii. Supplementals / Escapes		X				
	REP - 86	iv. Closed businesses		X				
	REP - 87	e. Business property statements processed		X				
	REP - 88	f. Assessments enrolled by type (direct bill, low value, regular, etc.)		X				
	REP - 89	The system shall provide authorized users with the capability to edit the list of predefined reports including, but not limited to:		X				
	REP - 90	a. Saving new predefined reports		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	REP - 91	b. Editing previously predefined reports		X				
	REP - 92	c. Deleting previously predefined reports		X				
	REP - 93	d. Adjusting permission rights for predefined reports		X				
	REP - 94	The system shall have the capability to present a preconfigured list of predefined reports for an individual user or group of users		X				
	REP - 95	The system shall provide authorized users with the capability to select the time period for which to run preconfigured reports		X				
	REP - 96	The system shall provide authorized users with the capability to interact with reports including, but not limited to:		X				
	REP - 97	a. Viewing reports		X				
	REP - 98	b. Drill down into reports to view additional detail		X				
	REP - 99	c. Printing reports		X				
	REP - 100	d. Exporting reports		X				
	REP - 101	e. Distributing reports to preconfigured recipients including, but not limited to:		X				
	REP - 102	i. Assessor staff		X				
	REP - 103	ii. Controller staff		X				
	REP - 104	iii. Tax Collector staff		X				
	REP - 105	iv. State agencies		X				
	REP - 106	f. Distributing reports to selected recipients		X				
	REP - 107	g. Routing reports to other Assessor staff with notes		X				
	REP - 108	h. Creating dashboard items from reports		X				
	REP - 109	i. Editing the report and saving the edited report as a new, predefined report		X				
	REP - 110	j. Saving the report for future use		X				
	REP - 111	k. Refreshing data used in the report or rerunning the report		X				
	REP - 112	l. Add report format for specific reports		X				
	REP - 113	The system shall provide authorized users with the capability to export raw data		X				
	REP - 114	The system shall have the capability to redact sensitive or confidential data for report downloads		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	<-- Indicates the number of points received for each response
	REP - 115	The system shall have the capability to generate workflow items from predetermined reports		X				
Ad Hoc Query								
	REP - 116	The system shall provide authorized users with the capability to run ad hoc queries without specialized programming knowledge		X				
	REP - 117	The system shall provide authorized users with the capability to generate ad hoc queries about any data fields in the system		X				
	REP - 118	The system shall restrict data for use in ad hoc querying according to the permission rights of the user conducting the query		X				
	REP - 119	The system shall provide authorized users with the capability to generate ad hoc queries to view and study data in the system including, but not limited to:		X				
	REP - 120	a. Month over month/year over year trends overall and by FTE		X				
	REP - 121	b. Frequency of sales price acceptance		X				
	REP - 122	c. Policy/practice studies		X				
	REP - 123	d. Consistency of outcomes across property/appraisal types		X				
	REP - 124	e. Comparison of information across multiple systems/data sources including, but not limited to:		X				
	REP - 125	i. Recorder system		X				
	REP - 126	ii. City time keeping system		X				
	REP - 127	iii. Other department systems (i.e., DBI, Planning, AAB, DPW, etc.)		X				
	REP - 128	f. Property owner demographics over time		X				
	REP - 129	g. Additional properties that could be direct enrolled		X				
	REP - 130	The system shall have the ability to export or import data from a data warehouse / BI system		X				
	REP - 131	The system shall provide authorized users with the capability to define parameters for data to be included in the query including, but not limited to:		X				
	REP - 132	a. Inclusion of data meeting defined criteria		X				
	REP - 133	b. Exclusion of data meeting defined criteria		X				

City & County of San Francisco System Requirements			Response Code					
	Requirement #	**Description**	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
General			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	REP - 134	c. Manual exclusion of data meeting defined criteria		X				
	REP - 135	The system shall provide authorized users with the capability to manipulate the display of query results including, but not limited to:		X				
	REP - 136	a. Displaying results graphically		X				
	REP - 137	b. Displaying results numerically		X				
	REP - 138	The system shall provide authorized users with the capability to interact with ad hoc query results including, but not limited to:		X				
	REP - 139	a. Viewing results		X				
	REP - 140	b. Drill down into reports to view additional detail		X				
	REP - 141	c. Printing results		x				
	REP - 142	d. Exporting results of report data	X					
	REP - 143	e. Exporting raw data	X					
	REP - 144	f. Distributing reports to selected recipients		X				
	REP - 145	g. Routing reports to other Assessor staff with notes		X				
	REP - 146	h. Creating dashboard items from reports	X					
	REP - 147	i. Saving the query as a new, predefined report	X					
	REP - 148	j. Saving the results for future use	X					
	REP - 149	k. Refreshing data used in the query or rerunning the query	X					

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
Usability								
	G1.1	The System will provide a Graphical User Interface (GUI) that will be simple and consistent throughout all areas and functions of the System to help the user navigate to the next logical step in a workflow or freely navigate to other parts of the System.	X					With the Salesforce platform, administrators can customize the user interface for the users on a per profile basis. In addition to this, administrators can enable end-users to customize their own user interface in a variety of ways, including which navigation tabs show up, custom list views showing additional data, custom reports, and more. More on Customizing User Interface: https://help.salesforce.com/htviewhelpdoc?id=customize_ui_settings.htm&siteLang=en_US
	G1.2	The System will speak the users' language, with words, phrases and concepts familiar to the user, rather than System-oriented terms and codes. The System will follow real-world City terminology and conventions, making information appear in a natural and logical order.	X					
	G1.3	The System design will utilize responsive UI rendering of the application in various form factors to provide optimal screen resolution support with full functionality on desktops, tablets and mobile devices utilizing common platforms. The Vendor will provide recommendations for system specifications of supported devices to ensure optimal operations for the end-users.	X					

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G1.4	For browser-based modules, the System will utilize standard web browser-based thin-client technology that supports centralized software distribution and implementation. The System should be designed using modern web standards, such as HTML 5, JavaScript ES6, CSS 3+ and latest client-side JavaScript web frameworks, and connected to data services via lightweight Application Programming Interfaces (APIs) that improve the System responsiveness. The System should be compatible with commonly used browsers such as Google Chrome, Microsoft Internet Explorer/EDGE, Firefox and Safari. The System will maintain compatibility with the most current versions of each supported browser along with previous revisions that are in wide use by the user community.	X					Detailed information on Salesforce Browser support can be found here: https://help.salesforce.com/articleView?id=getstart_browser_overview.htm&type=0
	G1.5	The System will provide personalization options for each user, directly within the System or through the underlying System platform, that once set will be remembered and applied during future System usage sessions. This will including settings such as the following: a. Preferred font size and/or UI zooming level b Granular-level preferences such as remembering the user selected table column order on a specific page, selected visible/hidden column status, custom data sort order, UI split control selected width, customized panel layouts and similar type UI customizable component behaviors c. Selecting a prefered theme/color from a list of alternative. By min. the System, or underlying platform, will ensure a way for providing an inverted color theme and another for high contrast which are needed to support visually challenged users for ADA compliance	X					Page Layouts enable customized views for different user profiles. More on Page Layouts can be found here: https://help.salesforce.com/articleView?id=customize_layout.htm&type=0&language=en_US&release=206.20
	G1.6	The System will be accessible from any City site or field location connected to the internet. Remote access will be provided in compliance with existing City / State / Federal connectivity/security policies.	X					Sapient will work with the city to configure the access to be compliant to security policies.

City & County of San Francisco System Requirements			Response Code					
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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.7	The System will include multi-tasking and multiple data view areas capability, including split screens and / or multiple tabs to allow multiple data sets to be viewed simultaneously. All System view areas will be closed and all sessions will be terminated when a logoff request is triggered or when the user session times out.	X					Salesforce provides ability to support multiple data views/ split screen via the Salesforce Console. Console information can be found here: https://help.salesforce.com/articleView?id=console2_about.htm&type=0
	G1.8	The System will provide templates for data entry with identified mandatory and optional data fields.	X					With the Salesforce platform, custom templates can be used and created by leveraging different Record Types for the different processes you want to support. Record types let you offer different business processes, picklist values, and page layouts (that allow for required and non-required fields) to different users. More on Record Types: https://help.salesforce.com/apex/HTViewHelpDoc?id=customize_recordtype.htm&language=en_US More on Page Layouts: https://help.salesforce.com/apex/HTViewHelpDoc?id=customize_layout.htm&language=en_US
	G1.9	The System will provide the ability to make fields visible / invisible depending on parameters, user rights, consent, and access controls, proving a user with a clutter free view of the data.	X					With the Salesforce platform, system administrators have the ability to configure the accessibility of fields via Profiles, Record Types, and Page Layouts. More information on Salesforce's most recent implementation guide: http://resources.docs.salesforce.com/198/12/en-us/sfdc/pdf/salesforce_mobile_implementation.pdf

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.10	The System will provide rollover / tooltip help and context messages to assist the user in navigating the system. This includes description of data elements, input fields expected data format and business best practices tips specific to a given set of data. This capability can be turn on or off within each user's preferences profile.	X					Salesforce help is provided in context to the screens. Additionally Salesforce enables every field to have custom help configured for it.
	G1.11	The System will provide all user instructions in a visible or easily retrievable location at the right visual context, including field-level, page-level, business process-level and overall system help with search capabilities and embedded links for navigating to related help topics for further details. The help functions will be accessible any system page and will include a productivity tips page designed to support dynamic update to its contents without the need for System code updates. The page contents will reflect best practices and highlights of effective productivity features, especially those observed to be unknown to most users.	X					Salesforce help is provided in context to the screens. Additionally Salesforce enables every field to have custom help configured for it.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G1.12	The System will include fast responding Search capabilities with extensive search criteria to allow retrieval by account number, APN, business account number or others as defined by the City during the Joint Application development (JAD) sessions.	X					With the Salesforce platform, users will be able to search using a powerful search engine across all of the records, fields and data saved in Salesforce. Additionally, Salesforce provides another search/reporting capability called List Views. List views give you quick access to your important records. You can find preconfigured views, such as a list of recently viewed records, for every standard and custom object. Create customized list views to display records that meet your own criteria. For example, you may want to view all records assigned to a specific district or postal code in your municipality. A list view can be configured to return only those records that you want see. More on Search: https://help.salesforce.com/apex/HTViewHelpDoc?id=search_how_search_works.htm&language=en_US More on List Views: https://help.salesforce.com/apex/HTViewHelpDoc?id=listviews_parent.htm&language=en_US
	G1.13	The System will support fuzzy search, using Soundex or other algorithms, and display a match score / rating (e.g., %).	X					Salesforce uses fuzzy matching for finding and managing potential duplicate records. Information on available matching algorithms can be found here: https://help.salesforce.com/articleView?id=matching_rules_matching_algorithms.htm&type=5
	G1.14	The System will express its error messages in plain language, precisely indicate the problem, and constructively suggest a solution. The System will visually present a message to the user for every possible error, including a generic / last resort message when the error cannot be classified and described more precisely.	X					With the Salesforce platform, error messages are constructed to direct the user to what needs to be corrected.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.15	The System will provide field-level validation checks at the time of each field entry as the default mechanism while performing cross-field and other complex validations when saving the page data. The System will highlight and flag required and incomplete data fields and will provide a consolidated list of errors and seamless navigation for the user to cycling through each outstanding field. The same validation rules will also be applied when data in imported into the system either online or through a batch process.	X					With the Salesforce platform, validation rules can be leveraged to enforce data integrity as Salesforce users are entering data into Salesforce. Complex business rules can be implemented using validation rules. For example, you may want to enforce a certain email address format. You can leverage the formula functionality in validation rules to enforce that an email address is accurately formatted. You can also use it to dynamically require fields based on the data people are filling out on the form. More on Validation Rules: https://help.salesforce.com/HTViewHelpDoc?id=fields_about_field_validation.htm
	G1.16	The System will check for know error-prone conditions and present the user with a confirmation option before proceeding to commit to the requested action.	X					
	G1.17	The System will notify the user when a source system is unavailable / inoperable and notify user that any available information about the subject being viewed is as of certain time and date.	X					
	G1.18	The System will support undo and redo or prompt the user for confirmation / acceptance for permanent changes that cannot be "undone".	X					Undo capabilities are able to be facilitated within a specific field leveraging out of the box capabilities. Undo capabilities for an entire transaction involving many data fields and records would require custom functionality. More detail would be required to confirm full capabilities that could be provided to enable this capability.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.19	The System will provide feedback to user on actions they take, for example by displaying a successful save confirmation message after a Save action. The UI design for displaying the message will not require the user to perform an extra click to get rid of it or to perform excess navigation to execute their next action as a result of how the message was placed on the page.	X					
	G1.20	The System will alert the user with information relevant to required next steps.	X					
	G1.21	The System will have the capability to push messages to the intended users without requiring them to specifically inquire for the data.	X					With the Salesforce platform, system administrators have the ability to automate messages (tasks and emails) to authorized users through workflows. Workflows work by establishing a set of business logic that triggers a series of events to occur. For example, you may want to send an email to someone whenever a new Case record is created for their agency or department. This would be accomplished with a workflow. The types of actions that can be taken with a workflow include: Creating Tasks, Sending Emails, Updating Field Values, and Sending Outbound Web Service Calls. More on Workflows: https://help.salesforce.com/htviewhelpdoc?id=customize_wf.htm&siteLang=en_US

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G1.22	The System will provide office automation tools capabilities based on needs of various user role. These include but are not limited to: a. Word processing capabilities including word wrap, backspace, delete, undo, insert, overtype, shortcut keys, cut/copy/paste and spell checking b. Ticklers c. Alerts / notifications d. Calendaring e. Electronic messaging f. System broadcast with ability to limit broadcast audience based on user roles	X					With the Salesforce platform, workflow allows you to automate standard internal procedures and processes to save time across your organization. Workflows work by establishing a set of business logic that triggers a series of events to occur. For example, you may want to send an email to someone whenever a new Case record is created for their agency or department. This would be accomplished with a workflow. The types of actions that can be taken with a workflow include: Creating Tasks, Sending Emails, Updating Field Values, and Sending Outbound Web Service Calls. More on Workflows: https://help.salesforce.com/htviewhelpdoc?id=customize_wf.htm&siteLang=en_US
	G1.23	The System will support uploading and attaching multiple file types to a record. File formats include, but is not limited to: a. jpg b. pdf c. doc d. xls e. csv f. tiff	X					Salesforce supports uploading and attaching all of these file types. More details can be found here: https://help.salesforce.com/articleView?id=collab_files_overview.htm&type=0Salesforce provides robust file management capabilities as well as integration with third-party content systems. Information on Salesforce file management (upload/attachment) support can be found here: https://help.salesforce.com/articleView?id=collab_files_parent.htm&type=5
	G1.24	The system shall provide the ability to associate digital signatures and approvals with documents.		X				The Salesforce AppExchange is the Salesforce store. The AppExchange is where Salesforce customers can download ready-to-install enterprise solutions that let you extend Salesforce with business apps and components including digital signature solutions via providers such as Docusign.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.25	The system shall provide a common transfer method to be used for sending and receiving data and/or images in bulk.	X					
	G1.26	The System will provide quick data entry screens for high volume entries (e.g. spreadsheet mode) while enforcing data validation and security constraints.	X					
	G1.27	The System will provide input masks for fields such as date, time, telephone, currency amounts, SSN, Case ID and other formatted data. The system will not require the users to manually enter edit mask formatting characters such as dashes.	X					
	G1.28	The System will provide the user the option to utilize a popup calendars for date entry that includes expedited navigate through years, month and days with full keyboard-only navigation support.	X					
	G1.29	The System will include strong keyboard support including the ability to both tab and mouse through data fields and System pages. The tabbing Sequence approach will be consistent across all pages and covers navigation through form fields, tables and navigation and action controls. The System will handle situations when a popup dialog is opened then closed to insure that the tabbing sequence resumes from where the user left off.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G1.30	The System will include capabilities to expedite the users system processes whenever possible. Capabilities include, but are not limited to: a. Minimizing the number of mouse clicks / user interaction to complete any action by consistently and strategically positioning UI components on the page, providing context aware quick links/secondary navigation and by utilizing additional techniques that help reduce the strain on the user's motor skills, especially for repetitive tasks b. Navigate to a variety of functions without having to move sequentially through excessive menus and pages. c. Drill down and Look up functionality to minimize time required for access to more detailed information d. Ability to tab and mouse through data fields and pages and to change tab order with a consistent approach across all pages and covers navigation through form fields, tables and navigation and action controls e. Minimize the need for users to memorize by making options visible, eliminating the need for manually inputting reference data codes and linking information areas together visually for expedited navigation between related data sets. f. Cater to both inexperienced and experienced users and will provide accelerators (e.g. short cuts and hot-keys for current page, alternate workflows, etc.) to speed up the interaction for the expert user. The system will include a list describing all common keyboard shortcuts that is accessible from all system pages to increase users' awareness of these productivity impacting accelerators. g. Provide navigation to any applicable root / parent functional component from the client landing page and in between linked data areas to drill down to view further details when needed	X					With the Salesforce platform, users will be able to search using a powerful search engine across all of the records, fields and data saved in Salesforce. Additionally, Salesforce provides another search/reporting capability called List Views. List views give you quick access to your important records. You can find preconfigured views, such as a list of recently viewed records, for every standard and custom object. Create customized list views to display records that meet your own criteria. For example, you may want to view all records assigned to a specific district or postal code in your municipality. A list view can be configured to return only those records that you want see.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G1.31	The System will include capabilities to expedite the user data entry whenever possible. Capabilities include, but are not limited to: a. Providing type ahead auto fill functionality, for example to locate an address with only a few characters typed then auto populating all address input fields. b. Drop down and list boxes for all key entry, and text entry will display available values for selection. c. Point and click selection and check box entry for all relevant data entries to ensure that the user does not have to enter textual data that may already be available to the System. d. Pop-up list boxes for all code fields in all processing screens and allow selection of the entry with use of hot keys e. Automatically position the input cursor in the data entry field in the contents area of the page when it is first opened. f. Have cursor automatically advance to the next logical input field when the maximum allowed numbers of characters have been entered for the keyed field g. Logical transitions between pages and level of detail during navigation h. Not require users to re-enter data due to validation errors if the system can auto-correct based on the entered data, or the user can navigate to the entry error to correct the entry	X					Within Salesforce, you can move portions of a console to different areas of a screen to help you work best. Also, with multi-monitor components, a user can pop out primary tabs and drag them across multiple monitors. Within Salesforce, navigating from field to field using the tab key or mouse is native functionality.
	G1.32	The System will provide a way for the user to view common information such as the System release revision, environment name, logged in user and any other relevant information.	X					
	G1.33	The system will provide a mechanism for communicating new System updates and enhancements using visual aids rather than words whenever possible.	X					More on Search: https://help.salesforce.com/apex/HTViewHelpDoc?id=search_how_search_works.htm&language=en_US
Audit & Compliance Requirements								

City & County of San Francisco System Requirements			Response Code					
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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G2.1	The System will maintain a record (e.g. audit trail) of all views, additions, changes and deletions made to data in the System for auditing purposes. The System will maintain information sufficient for after-the-fact investigation of loss or impropriety and must provide individual user accountability for all security-relevant events. This information should be readily searchable by user ID or client ID and must include, but is not limited to: a. The user ID of the person who made the change b. The date and time of the change c. The physical, software/hardware and network location (IP address) of the person while making the change d. The information that was changed e. The outcome of the event f. The data before and after it was changed, and which screens were accessed and used The system must protect this information from unauthorized access or modification and will retain it for a duration that is based on each Department's specific requirements but typically for 7 years.	X					Information on the related Salesforce feature "Field History Tracking" can be found here: https://help.salesforce.com/articleView?id=tracking_field_history.htm&type=0. An optional component for more robust field auditing (track up to 10 years of changes) is Salesforce Field Audit Trail: https://help.salesforce.com/articleView?id=field_audit_trail.htm&type=0
	G2.2	The System will allow an authorized administrator to set the inclusion or exclusion of auditable events based on organizational policy and operating requirements/limits.	X					Salesforce provides the ability to audit your instance of Salesforce. Auditing features don't secure your organization by themselves; they provide information about usage of the system, which can be critical in diagnosing potential or real security issues. Someone in your organization should do regular audits to detect potential abuse. To verify that your system is actually secure, you should perform audits to monitor for unexpected changes or usage trends. Specific information that auditing is enabled for include Record Modification Fields, Login History, Field History Tracking, and Setup Audit Trail. More on Auditing: https://help.salesforce.com/apex/HTViewHelpDoc?id=security_overview_auditing.htm&language=en

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G2.3	The System will support logging to a common audit engine.	X					Salesforce has robust Audit logging capabilities and also integrates with common 3rd party audit log vendors such as IBM and Splunk
	G2.4	The System will be able to detect security-relevant events (as defined in NIST 800-53 moderate baseline, rev 4) that it mediates and generate audit records for them. At a minimum the events will include, but not be limited to: a. Start/stop b. User login/logout including failed login attempts c. Session timeout d. Account lockout e. Property/Account/Record created/viewed/updated/deleted f. Scheduling g. Query h. Order i. Node-authentication failure j. Signature created/validated k. Personally Identifiable Information (PII) export l. PII import m. Security administration events n. Backup and restore o. Audit Event Types listed in IRS 1075 p. Amendment of user rights q. Archiving procedures events	X					Salesforce implements FedRAMP moderate control requirements from NIST SP 800-53 Rev. 4. Based on the City's response to vendor questions, we understand that FTI data will not be stored and compliance with IRS 1075 is not required for the configured solution.
	G2.5	The System will provide authorized administrators with audit files processing capabilities including: a. Presenting audit records in a manner suitable for the user to interpret the information b. Filtering of audit data based on System date and time ranges c. Exporting data into text format in such a manner as to allow correlation based on time (e.g. Coordinated Universal Time [UTC] synchronization)	X					All customer specific Salesforce Event Logs are viewable in browser and accessible via Salesforce's Events API. More on Event Monitoring can be found here: https://developer.salesforce.com/docs/atlas.en-us.api_rest.meta/api_rest/using_resources_event_log_files.htm

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G2.6	The System will be able to perform time synchronization using NTP/SNTP, and use this synchronized time in all security records of time.	X					Salesforce data center clocks for routers, firewalls and servers are synchronized using NTP, with GPS Clock as source. Salesforce Date/Time fields are full timestamps with a precision of one second. They are transferred in the Coordinated Universal Time (UTC) time zone. In your client application, you might need to translate the timestamp to or from a local time zone.
	G2.7	The System will prohibit all users read access to the audit records, except those users that have been granted explicit read access.	X					Salesforce provides the ability to audit your instance of Salesforce. Auditing features don't secure your organization by themselves; they provide information about usage of the system, which can be critical in diagnosing potential or real security issues. Someone in your organization should do regular audits to detect potential abuse. To verify that your system is actually secure, you should perform audits to monitor for unexpected changes or usage trends. Specific information that auditing is enabled for include Record Modification Fields, Login History, Field History Tracking, and Setup Audit Trail. More on Auditing: https://help.salesforce.com/apex/HTViewHelpDoc?id=security_overview_auditing.htm&language=en
	G2.8	The System will protect the stored audit records from unauthorized deletion.	X					Field history is not able to be deleted by end users. It is only deleteable via API. More on Field History and Audit Trail can be found here: https://developer.salesforce.com/docs/atlas.en-us.206.0.securityImplGuide.meta/securityImplGuide/tracking_field_history.htm

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G2.9	The System will prevent modifications to the audit records.	X					Field history is not able to be deleted by end users. It is only deleteable via API. More on Field History and Audit Trail can be found here: https://developer.salesforce.com/docs/atlas.en-us.206.0.securityImplGuide.meta/securityImplGuide/tracking_field_history.htm
	G2.10	The System will provide configurable logging, reporting and access to errors and exceptions logs.	X					Salesforce provides debug logging and reporting capabilities natively in the system.
	G2.11	The System will support audit trail functions with the ability to log every step in the process and load it to a database for query and reporting purposes.	X					
	G2.12	The System will support the ability to expunge audit data, based on predetermined business rules and/or amendments to City/County/State/Federal regulations.	X					
	G2.13	The System will support the export of audit record for archiving purposes	X					
Performance								

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G3.1	The System will perform in compliance with the Service Level Requirements (SLRs) detailed on the S2. App M&O SLRs worksheet tab of this workbook.	X					Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security. On this site you'll find:Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security. On this site you'll find:• Live and historical data on system performance; • Up-to-the minute information on planned maintenance;• Phishing, malicious software, and social engineering threats;• Best security practices for your organization;• Information on how we safeguard your data. The Trust site includes an API that your organization can use to directly integrate Salesforce availability information into existing monitoring tools or processes. For example, your organization can retrieve the status of a given instance, details on any active availability or performance incidents, transaction performance data, and the upcoming planned maintenance schedule. Details on all available API endpoints can be found here: https://api.status.salesforce.com/v1/docs/. Also see additional information on Trust.salesforce.com at: https://trust.salesforce.com/en/whats-new-trust/ and https://status.salesforce.com/status"
	G3.2	The System will be designed with no single points of failure, having adequate redundancy and utilizing high-availability approaches such as session replication and transparent failover to ensure System availability during single System component failures.	X					
	G3.3	The System will optimize performance for all system users by utilizing advanced load balancing with an optimal algorithm / policy for distributing load received from all sources including both front-end UI related transactions and back-end system / service related transactions.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G3.4	The System will be built to accommodate future load increase demands with a near linear relationship between each additional server added, and the additional load that can be accommodated (load vs. capacity added).	X					Salesforce is a pure multi-tenant, cloud-based web application. Multi-tenancy gives applications elasticity. Salesforce applications can automatically scale from one to tens of thousands of users. Processing more than 4 billion transactions each day, Salesforce is used for large-scale deployments. Any application that runs on the Salesforce Platform is automatically architected to seamlessly scale from 1 user to 100,000+ users without the customer having to do anything differently.
	G3.5	The System will be designed such that the System Administration staffing requirements and workload will be minimally impacted with expanded System usage.	X					
	G3.6	The System will provide the ability to perform archival / incremental backups and the ability to perform open / closed database backups.	X					
	G3.7	The System will have all necessary functionalities to ensure data integrity and provide the ability to recover from data loss due to end user and application errors. This includes transactional processing logging, database back-out capabilities, backup and restore capabilities and transaction log database (point-in-time) restores.	X					
	G3.8	The System will leverage approaches and tools to allow the system to recover within pre-defined Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) from a disaster recovery secondary site.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G3.9	The System must be designed to support all batch processes and back-ups between City Department designated hours with notification and delivery when batch processes complete. Batch runs should not negatively impact online end-user performance.	X					Salesforce's maintenance schedule can be viewed here: https://help.salesforce.com/articleView?id=000176208&type=1 Admins can maintain any maintenance schedule for their own org changes.
	G3.10	The System must be designed so all releases can be performed between between City Department designated hours except for critical releases.	X					Release Maintenance is for upgrading Salesforce services to the latest product version to deliver enhanced features and functionality. There are three different kinds of release maintenance: major releases, patch releases, and daily releases.
	G3.11	The System will be designed to utilize modern performance boosting techniques such as: a. Intelligent caching of static contents and resources on both client and server components with under the hood auto refresh mechanism for updated resources b. In memory data grids and data caches c. Compression of data in flight, using GZIP or similar, and payload reduction techniques such as minifying JS and CSS files for efficient use of network bandwidth and to boost response times d. Any other beneficial techniques at both the infrastructure and application levels that boost system performance that are cost efficient considering both initial and on-going operations cost	X					

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G3.12	The System code will be optimized utilizing relevant code profiling, instrumentation and optimization techniques for System front-end and back-end code and resources including but not limited to the following: a. Method-level code and call stack execution path instrumentation and enhancements b. Optimal configuration of transaction execution threads and connection pool c. Analysis and optimization of memory management for reducing required memory footprint b. Network payload analysis utilizing tools that can identify excessive dropped packets and transmission reattempts that point to network resource and configuration issues that must be addressed e. Analysis of City Printers buffer sizes and acceptable payload formats to confirm compatibility with what the System generates and to ensure smooth performance of printing operations under production heavy load	X					Major Release Maintenance dates and times are posted on status.salesforce.com approximately one year before the release date. To see the schedule for your instance click on https://status.salesforce.com/status and select the relevant instance. On the calendar click the release date to view further information.
	G3.13	The System performance and availability will be gauged by executing both load and stress testing cycles using relevant automated testing tools. Test results will be analyzed and shared with the City along with a corrective action plan for closing the identified gaps to improve performance metrics while utilizing the least possible H/W and S/W footprints.		X				Many third-party vendors supply automated testing tools for Salesforce. There are over 50 different testing tools available from the Salesforce AppExchange where Salesforce customers can download ready-to-install testing solutions. Your implementation partner can also develop scripts to use for testing
Interface List								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	G4.1	The System will integrate with the City Geographic Information System (GIS).	X					Salesforce provides the ability to call out to virtually all common APIs, to enable synchronization, push / pull, and mash-ups with external apps/systems. Salesforce itself is based on web-service based APIs that in turn simplify access to Salesforce data from external systems such as GIS systems including ESRI and Google Maps. API-based integration is heavily leveraged by our customers. The APIs are provided with the Salesforce Platform to build integration interfaces with third party applications or by our integration partners to use in their connectors.
	G4.2	The System will interface with the City Recorder			X			Via Salesforce APIs: https://developer.salesforce.com/page/Integration
	G4.3	The System will have the capability to interface with the City's Identified Print/Mail Vendor(s) as contracted.			X			The Salesforce AppExchange is the Salesforce store. The AppExchange is where Salesforce customers can download ready-to-install enterprise solutions that let you extend Salesforce with business apps and components including print/mail solutions: https://appexchange.salesforce.com/appxSearchKeywordResults?keywords=document%20creation
	G4.4	The System will have the capability to interface with the State Board of Equalization.	X					Via Salesforce APIs: https://developer.salesforce.com/page/Integration
	G4.5	The System will interface with the City's Department of Building Inspections System	X					Via Salesforce APIs: https://developer.salesforce.com/page/Integration

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G4.6	The System will have the capability to interface with the City Assessment Appeals solution.	X					Via Salesforce APIs: https://developer.salesforce.com/page/Integration
	G4.7	The System will have the capability to interface with the City's Board of Supervisors Solution.	X					Via Salesforce APIs: https://developer.salesforce.com/page/Integration
	G4.8	The System will interface with the Assessor-Recorder's Document Management System			X			Salesforce provides native document management capabilities described here: https://help.salesforce.com/articleView?id=collab_salesforce_files_parent.htm&type=0 For third-party document management systems, customers can visit the Salesforce Appexchange to download ready-to-install enterprise solutions that let you extend Salesforce with business apps and components including document management solutions: https://appexchange.salesforce.com/appxSearchKeywordResults?keywords=document%20management
	G4.9	The System will have the capability to use Computer Technology Integration (CTI) infrastructure to interface with the telephony / IVR system to record all calls and associated details including, but not limited to: a. Date and time of contact b. Originating phone number c. Duration of call d. Type of call (based on the Intake disposition) e. Intake Worker who answered the call		X				Salesforce can be configured to integrate with Computer-Telephony Integration systems. Developers create a CTI system with Open CTI and console users access telephony features through a softphone, which is a call-control tool that appears in the footer of a console. More information can be found here: https://developer.salesforce.com/docs/atlas.en-us.208.0.api_console.meta/api_console/sforce_api_console_methods_cti.htm
	G4.10	The System will integrate with the City email system to: a. Send and receive messages, notification b. Calendaring and scheduling notifications c. Confirmed receipts d. Reminders	X					Salesforce offers a variety of methods to integrate with email systems. For example, integration option for Outlook are summarized here: https://help.salesforce.com/articleView?id=000267732&type=1

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G4.11	The System will have the capability to integrate with the US Census Bureau System (to validate census tract).	X					Via Salesforce APIs: https://developer.salesforce.com/page/Integration
	G4.12	The System will have the capability to integrate with the Postal Service System (to validate address) or a vendor provided address verification module (such as pitney bowes).			X			Salesforce integrates with a number of address verification/validation solutions available on the Salesforce Appexchange: https://appexchange.salesforce.com/appxSearchKeywordResults?keywords=address%20validation
	G4.13	The System will interface with the City's Enterprise Address System	X					"The java based open source libraries and frameworks prposed for use within the integration solution have a wide array of capabilities to suit most data and application integration situations. They will be used to establish interface using standard protocols like Web service, File, Database, Messaging etc. This assumes connectivity is present between cloud-hosted integration solution and County's network by necessary firewall / network changes. Also assumes City will perform the requisite work to provide a viable interface mechanism."
	G4.14	The system will send secured property data to the Controller/Tax Collector system (as detailed in Attachment F - Joint System Integration Plan)	X					
	G4.15	The system will send unsecured property data to the Controller/Tax Collector system (as detailed in Attachment F - Joint System Integration Plan)	X					

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	G4.16	The system shall have the capability to integrate with the City's DocuSign system		X				Docusign provides a UI level integration package for installation directly within Salesforce. See more info on this package: https://appexchange.salesforce.com/appxListingDetail?listingId=a0N30000001taX4EAI
Technology Requirements								
Interoperability / Interfaces Requirements								
	T1.1	The System's integration capabilities will enable an Integrated Enterprise where common business data elements are easily shared across organizational units to eliminate redundant data entry while adherence to City, State, and Federal security and privacy restrictions. The integration layer will act as glue, transforming among technology protocols, connecting to databases and linking SOA and non-SOA backplanes. The System will utilize open standards and approaches to minimize vendor and technology lockups to the max possible extent.	X					Salesforce lets you choose integration methods at different layers to optimally align with business requirements, security policies, and master data management guidelines. Salesforce Lightning Platform supports all major development environments and tools, including .NET, Java, PHP, Ruby on Rails, and many more.
	T1.2	The System's components will be committed to an advanced approach to interoperability based on a Service Oriented Architecture (SOA) aligned with the City and industry standards and vision for interoperability. The System will be able to support a wide variety of integration patterns including, but not limited to: a. Data look-up and retrieval b. Data look-up with services provided by other applications c. Bulk data transfer to/from other Systems	X					

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T1.3	The System will be able to support Application to Application (A2A) synchronous and asynchronous messaging using a wide variety of integration patterns including, but not limited to: a. 'WS*' Web Services: Based on core web services standards such as SOAP, WSDL and UDDI as well as support for implementing higher-level standards such as WS-Security and Web Services Interoperability (WS-I) as needed. b. Lightweight Representational State Transfer (RESTfull) APIs: Support for XML and JSON based message processing, HTTP and XHTML.	X					Salesforce integration is through our open APIs (based on industry-standards such as REST and SOAP) that you can use to integrate Salesforce endpoints with external endpoints such as apps or enterprise integration hubs. As an example, you have the Batch and Bulk APIs used in the Data integration patterns or the SOAP and REST APIs used for UI integration patterns.
	T1.4	The System will provide support for any applicable Government 2 Government (G2G) integration transformations such as for PCI, Electronic Data Interchange (EDI), RosettaNet, NIEM, etc.		X				Salesforce is designed to work with all major integration middleware solutions to give you a virtually limitless number of options for integration transformations. For a list of certified integration solutions, check out the Integration category in the AppExchange marketplace (https://appexchange.salesforce.com/category/integration). Here you'll find pre-built connectors and the services of numerous integration technology partners such as Mulesoft, Dell Boomi, Informatica Software and Jitterbit.
	T1.5	The System will avoid Ad Hoc point-to-point application integrations where all internal and external integrations will go through centralized API Gateway and/or Enterprise Service Bus layers. The integration platform(s) provides the features needed to support the reliable operation of services including: a. Online cataloging of services and associated artifacts b. A single point of controlled access for promoting, publishing and searching for services c. A platform for code programs to find, bind to and invoke the execution of a service implementation d. Monitoring and controlling routing of messages, inquire on the status of messages and address exceptions e. Control deployment and versioning of services		X				Salesforce is designed to work with all major integration middleware solutions to support your desired integration pattern. For a list of certified integration solutions, check out the Integration category in the AppExchange marketplace (https://appexchange.salesforce.com/category/integration). Here you'll find pre-built connectors and the services of numerous integration technology partners such as Mulesoft, Dell Boomi, Informatica Software and Jitterbit.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T1.6	The System services will be reviewed, classified, and cataloged prior to use under service categories such as Presentation, Process, Business, Data, Access, or Utility. The System will provide the ability to publish services for use by different types and classes of service consumers.		X				Salesforce is designed to work with all major integration middleware solutions to support your desired integration pattern. For a list of certified integration solutions, check out the Integration category in the AppExchange marketplace (https://appexchange.salesforce.com/category/integration). Here you'll find pre-built connectors and the services of numerous integration technology partners such as Mulesoft, Dell Boomi, Informatica Software and Jitterbit.
	T1.7	The System services repository will include metadata that govern the service utilization such as the service category, owner, version, revision history, availability, volume, max message size, security attributes, SLAs and logging requirements. The service life cycle status will also be specified, for example operational or deprecated.	X					
	T1.8	The System will develop/integrate services using standardized Web Services formats based on logical representations of business objects rather than native application data structures to reduce the number of data transformations required and hence reduce processing time.	X					
	T1.9	The System will provide reliable, once-only delivery of messages (guarantee of reliable and non-repetitive delivery) and perform source to destination integrity checks for exchange of data and alert appropriate parties with issues. The System will provide reliability for integration message flows utilizing capabilities such as: Load balancing, High availability, Fault tolerance, Failover, In-order delivery, Transaction support, Execution prioritization and Message prioritization. The System's design will allow for the overall System to continue to operate despite failure or unavailability of one or more individual integration related solution component.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T1.10	The System's interfaces will secure and protect (encrypt) the data and the associated infrastructure from a confidentiality, integrity and availability perspective. The System will have the capability to work with Web service security policy management software that allows for centrally defined security policies that govern Web services operations (such as access policy, logging policy, and load balancing).	X					
	T1.11	The System will have capability to interact with the underlying database through APIs while also enabling Extract-Transform-Load (ETL) operations to extract data into the City data warehouse or other analysis environments.	X					
	T1.12	The System will provide a mechanism for UI-level integration with all relevant City internal (e.g. Document Management System) and external sites / modules and providing parameters to allow integration sites to trigger its launch in pre-determined states, as will be determined during detailed requirements and design, while honoring the System security and access control provisions.	X					
	T1.13	The System will implement, at a minimum, interfaces (real-time and/or batch) with the applications and data sources listed in the section "G4 Interface List."		X				Data and process integration will be enabled through the robust Salesforce API layer. Salesforce platform integration open APIs (based on industry-standards such as REST and SOAP) allow you to integrate Salesforce endpoints with external endpoints such as apps or enterprise integration hubs. In some cases, third party middleware or Salesforce Appexchange solutions will be used to simplify integration or provide a more native connection.
	T1.14	The Vendor will configure one environment solely dedicated to the testing of the integration with applicable integration points and interfaces (e.g. Document Management System)	X					via Salesforce Sandbox environment
Scalability and Extensibility Requirements								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T2.1	The System will be designed for ease of maintenance and readily allow future functional enhancements. This will be accomplished through use of modern design principles for SOA, applying principles of modularity, interface abstraction, and loose coupling.	X					The Salesforce platform uses a metadata-driven architecture. This means that the basic functionality of an app—that is, the tabs, forms, and links—are defined as metadata in a database rather than being hard-coded in a programming language. When a user accesses an app through the platform, it renders the app's metadata into the interface the user experiences.
	T2.2	The System will be adequately flexible to keep up with ever changing technology and regulatory changes. This will be accomplished by separating underlying capabilities of the application, such as workflow and business rules, into separate components / services.	X					Salesforce delivers amazing product innovation with 3 major releases per year. Each release is packed with new features and functionality across the Salesforce portfolio of products. The Salesforce multitenant architecture means each Salesforce customer runs on the most current set of features in our platform. The Salesforce metadata model allows changes to the underlying code-base without disrupting each customer's specific configurations stored in the Salesforce metadata.
	T2.3	The System will be scalable and adaptable to meet future growth and expansion needs to accommodate changes in user population, transaction volume, throughput and geographical distribution such that the System can be expanded on demand and be able to retain its performance levels when adding additional users, functions, and data.	X					Salesforce is a pure multi-tenant, cloud-based web application. Multi-tenancy gives applications elasticity. Salesforce applications can automatically scale from one to tens of thousands of users. Processing more than 4 billion transactions each day, Salesforce is used for large-scale deployments. Any application that runs on the Salesforce Platform is automatically architected to seamlessly scale from 1 user to 100,000+ users without the customer having to do anything differently.
	T2.4	The System will be capable of making changes to the interface data elements/layouts easily, and to test those changes. This will include ability to reposition and rename field labels, remove or “turn-off” unused fields based on user role and function, and allow addition of custom-defined fields.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T2.5	The System will provide the ability to create and/or modify business rules that determine the correctness/integrity of data.	X					With the Salesforce platform, system administrators have the ability to configure security, objects/tables, fields, workflow rules, validation rules, installed app packages, single sign on, record and field level acess and so much more. The list of configurable features is well beyond anything that could be listed in this response. More information on Salesforce's most recent implementation guide: http://resources.docs.salesforce.com/198/12/en-us/sfdc/pdf/salesforce_mobile_implementation.pdf
	T2.6	The System will provide the ability to create and modify workflow structures to meet on-going changing business needs.	X					With the Salesforce platform, system administrators have the ability to automate messages (tasks and emails) to authorized users through workflows. Workflows work by establishing a set of business logic that triggers a series of events to occur. For example, you may want to send an email to someone whenever a new Case record is created for their agency or department. This would be accomplished with a workflow. The types of actions that can be taken with a workflow include: Creating Tasks, Sending Emails, Updating Field Values, and Sending Outbound Web Service Calls. More on Workflows: https://help.salesforce.com/htviewhelpdoc?id=customize_wf.htm&siteLang=en_US

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T2.7	The System will establish a life-cycle view of each Event/Case (e.g., Sale, Re-Assessment, Appeal, Roll Change, Payment Plan, Bankruptcy, Tax Sale, etc...) and track states for each step in the Event life-cycle (e.g., in process, missing data, pending, complete, approved, disapproved, etc.) and have the ability to report on the status/state of each Event.	X					With the Salesforce platform, you will be able to track and report on all fields in the database, status of Events, and any other combination of data tracked in the system. You can even report on data tracked in external systems using Salesforce's Lightning Data Connect and Salesforce Wave* prodcuts which can pull in data from external related database systems. More on Reports: https://help.salesforce.com/HTViewQuickStarts?id=000113375&language=en_US More on Lightning Data Connect: https://developer.salesforce.com/page/Lightning_Connect *More on Salesforce Wave Analytics Cloud (Additional Cost): http://www.salesforce.com/analytics-cloud/overview/
Regulatory & Security Requirements								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.1	The System will, at a minimum, provide a mechanism to comply with applicable regulations, security and safeguard requirements as defined in the following State / Federal standards and guidelines: a. NIST Risk Management Framework (RMF) and NIST Cyber Security Framework (CSF) of 2014 b. IRS pub 1075 on Tax Information Security Guidelines d. Federal Risk and Authorization Management Program (FedRAMP) Moderate e. American National Standard for Information Technology – Role Based Access Control (ANSI INCITS 359-2004) d. Privacy Act of 1974 f. Personally Identifiable Information (PII) guidelines as defined in NIST Special Publication 800-122 j. The Americans with Disabilities Act (ADA) guidelines for Reasonable Accommodations k. Section 508 of Americans with Disabilities Act (ADA) subpart B – Software Application and Operating System (1194.21) and Web-based Intranet and Internet Information and Applications (1194.22) in addition to guidelines. i. e-Government Act of 2002 including Federal Information Security Management Act (FISMA) Act of 2002 j. California Revenue and Taxation Code	X					Vertiba will work with the project team to accommodate diverse populations of users including those with disabilities and limited English proficiency as defined in section 504 of the Rehabilitation Act of 1973. Salesforce's GovCloud instance will provide the platform for meeting the County's security requirements. Based on our understanding during the due diligence phase, 1075 compliance is no longer a requirement. See here for more detail on GovCloud: https://apps.gov/products/salesforce/. Salesforce is committed to providing on-demand enterprise applications accessible to all individuals. This includes users working with assistive technology, such as speech recognition software and screen readers. To help meet our goal of accessible design, Salesforce follows the internationally recognized best practices in Section 508 of the Rehabilitation Act and the Web Content Accessibility Guidelines (WCAG) 2.0 Level AA. Salesforce introduced the Lightning User Experience, which brings a re-imagined user interface that is modern, efficient, and highly accessible. The Lightning Experience is engineered with Accessible Rich Internet Application (ARIA) features built in that help assistive technology users have the best possible experience with Salesforce. We provide software releases three times a year, ensuring that our customers can easily take advantage of the accessibility features introduced in each release. The Salesforce Lightning Experience Voluntary Product Accessibility Template (http://salesforce.com/company/legal/508_accessibility.jsp) serves as a guide in evaluating conformance to Section 508 of the Rehabilitation Act and WCAG within Salesforce Lightning Experience UI. The accessibility features available within a Salesforce applications are dependent on the application UI configuration and Lightning

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.2	The System will be built with information security from its inception rather than "bolted on" after the System has been implemented. The System will maintain a level of security that is commensurate with the risk and magnitude of the harm that could result from the loss, misuse, disclosure, or modification of information.	X					Salesforce Organization-Wide Default settings for security, when set to private, ensure that users by default do not have access to records unless they are granted. Additionally, we will be implementing Salesforce Shield platform encryption which ensures that all data is encrypted at rest and only San Francisco will have the keys to decrypt that data.
	T3.3	The System will implement accessibility and security controls in accordance with all applicable City, State, and Federal policies and regulations. The System will adhere to all City and Department security policies, legal, statutory, and regulatory requirements, as determined by the City leadership including data access security based on the City's data classifications of Public, Internal use, Sensitive, Protected and Restricted data.	X					As part of the implementation of the Salesforce solution for the City, a Salesforce certified implementation partner would work with your organization to review the applicability of the accessibility and security controls that need to be configured in the context of the SaaS solution delivered by Salesforce. The Salesforce Platform is extensible, enabling your organization with minimal effort to add additional custom fields and create automated workflows that are required to support the City's specific business processes. Salesforce will maintain administrative, physical, and technical safeguards for protection of the security, confidentiality and integrity of Customer Data. Those safeguards will include, but will not be limited to, measures for preventing access, use, modification or disclosure of Customer Data by Salesforce personnel except (a) to provide the Services and prevent or address service or technical problems and as compelled by law.

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.4	The System will authenticate users before allowing access to functionality requiring a login. The System will, prior to granting the user access to Protected Taxpayer Information (PTI), display a City-approved configurable warning or login banner (e.g. "The System should only be accessed by authorized users"). In the event that a System does not support pre-login capabilities, the System will display the banner immediately following authorization.	X					Salesforce allows for this. See here more information: https://help.salesforce.com/articleView?id=overview_security.htm&type=0
	T3.5	The System will uniquely identify each Property, Account, Citizen-Taxpayer, Related Persons, and Authorized Representative and only allows a user to access data within the System at the City-defined levels of access based on user role and security privileges.	X					Salesforce allows for this. See here more information: https://help.salesforce.com/articleView?id=overview_security.htm&type=0
	T3.6	The Vendor must work with authorized System Staff to define the roles necessary to perform all required business functions.	X					Sapient with work with the city to define the appropriate roles to perform the required functions.
	T3.7	The System will support security and auditing at the object level (e.g. Table, View, Index, row and column level). Security controls will also be in place to control batch processing, report writing, generation and access, system utilities and other system components.	X					Salesforce's security profiles will be set up to ensure this level of security is applied. See more on security here: https://developer.salesforce.com/page/An_Overview_of_Force.com_Security
	T3.8	The System will provide the ability for concurrent users to simultaneously view the same record, documentation and/or template.	X					Salesforce allows any number of users to view the same record, documentation and/or templates.
	T3.9	The System will provide data integrity during concurrent online user updates and include proper handling of online data updates during batch operations.	X					Salesforce handles instances where one user edits a record while another person is also editing another record by alerting the user that the record was modified while they were modifying the record, allowing them to copy their work and refresh the record.

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.10	The Vendor will ensure that the software used to install and update the System, independent of the mode or method of conveyance, is certified free of malevolent software ("malware") including 'Drive-by' download software. The Vendor may self-certify compliance with this standard through procedures that make use of commercial malware scanning software.	X					Salesforce runs antivirus software on the production systems that store, transmit or process customer information. The Anti-virus scans host filesystems (not customer data). The antivirus software checks for virus definition updates daily. Other controls are also used to address malware such as hardening the Operating System of our servers, firewall configuration to ensure only required ports are open and all others denied, and use of intrusion detection systems. Access to these systems is restricted to authorized personnel and all these systems, as well as the host platforms, are monitored in real time through a security monitoring system. The application only accepts http and https traffic, but Salesforce does not restrict the file types users can upload. Salesforce does not modify or clean any customer data; the system stores the information provided in an encoded format within the database. It is recommended that customers run updated antivirus and antimalware solutions to help mitigate these threats. The production system receives inbound mail as part of the workflow functionality, but this does not pose any threat to our network, application, or users. No code in the email can be executed or transferred, eliminating the malicious software risk. Email sent from the Salesforce system is not currently scanned for viruses.
	T3.11	The System will be configurable to prevent corruption or loss of data already accepted into the System in the event of a any System component failure (e.g. using Redundant array of independent disks (RAID) storage and similar approaches)	X					Salesforce supports this. More details can be found at http://trust.salesforce.com Additionally, we will be enabling backup and restoration services in our solution leveraging a third party tool called OwnBackup

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.12	The System will support protection of confidentiality of all PTI in-transit delivered over the Internet or other known open networks via encryption using current standards of protocols such as Advanced Encryption Standard (AES), Transport Layer Security (TLS), Internet Protocol Security (IPsec), XML encryptions and Secure/Multipurpose Internet Mail Extensions(S/MIME) or their successors. This System will be subject to external Audit checks.	X					To maintain compliance with FedRAMP, Salesforce conducts continuous monitoring. Continuous monitoring includes ongoing technical vulnerability detection and remediation, remediation of open compliance related findings, and at least annual independent assessment of a selection of security controls by a third party assessment organization (3PAO). As part of our FedRAMP annual assessment, Salesforce is now aligned with NIST 800-53, Rev. 4 control. Under NDA, government customers can be provided our FedRAMP ATO package, which contains security assessment documentation. Federal customers have the option of downloading Salesforce's FedRAMP ATO package upon filling out this form on the FedRAMP PMO website: https://s3.amazonaws.com/sitesusa/wp-content/uploads/sites/482/2017/02/FedRAMP-Package-Request-Form_V5_03012017.pdf Data In Motion All transmissions between the user and the Salesforce Services are TLS encrypted with a 2048-bit Public Key. The Services use International/Global Step Up TLS certificates, with AES 256-bit encryption by default.
	T3.13	The System will comply with the City branding standards as defined by the City, utilize Extended Validation TLS and other end-user friendly visually noticeable indicators that increase users trust in the state of the system's integrity.	X					Salesforce supports AES, TLS, SSL, IPsec, XML encryptions S/MIME and many other advanced security mechanisms to ensure your data is secure.
	T3.14	The System will, when storing PTI on any device intended to be portable/removable (e.g. Smartphones, portable computers, portable storage devices), support use of a standards based data-at-rest encrypted format using 3DES, AES or their successors.	X					Salesforce supports AES, TLS, SSL, IPsec, XML encryptions S/MIME and many other advanced security mechanisms to ensure your data is secure.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.15	The Vendor will adhere to the principle of "Fail Safe" to ensure that a system in a failed state does not reveal any sensitive information or leave any access controls open for attacks.	X					Redundant boundary protection devices are employed within the production network to allow for failover capabilities in the event that a device becomes inoperable. If a boundary protection devices fails, devices fail securely (closed).
	T3.16	The System will not transmit or store any Personally Identifiable Information (PII) using publically available storage over the Internet or any wireless communication device, unless encrypted in accordance with applicable law as required by policies and procedures established by the City Information Security Officer. Data would be protected at-rest using native database encryption or other encryption methods.	X					The Salesforce service has been designed to provide customers with 100% trusted privacy with the highest levels of performance, reliability, and security. Salesforce has built, and continues to invest in, a comprehensive security infrastructure, including firewalls, intrusion detection systems, and encryption for transmissions over the Internet, which Salesforce monitors and tests on a regular basis. Salesforce built and maintains a multi-tenant application architecture that has been designed to enable the Salesforce service to scale securely, reliably and cost-effectively. The Salesforce multi-tenant application architecture maintains the integrity and separation of customer data while still permitting all customers to use the same application functionality simultaneously. With multi-tenancy, all Salesforce customers run their applications on a common infrastructure. This means that every customer is always on the latest release of Salesforce applications and has access to the latest technology. Multi-tenancy makes it is easier to scale new users and applications. With multi-tenancy, customers don't have to worry about managing infrastructure.
	T3.17	The System will not communicate any confidential information via email but rather provide in the email body a means for the user to be redirected to properly authentication with the System before providing access to the detailed information being communicated.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.18	The System will force the UI, including browsers, to not cache and remember any manually entered data unless for specific data elements requested by the City as part of the detailed requirements.	X					The City can disable browser cache.
	T3.19	The System architecture and design must accommodate Single Sign-On (SSO) and identity federation functionality, supporting the possibility that identity might be provided by an identity management system external to PATS, so that at a maximum the end-user is only required to login once to access all related application components and services.			X			With the Salesforce platform, your administrator or development team can configure single sign on to work with your identify provider. Salesforce supports federated authentication, delegated authentication, or authentication providers. SAML, LDAP, OpenID and OAuth are all supported depending on what use case you want to support. More on Single Sign On: https://help.salesforce.com/apex/HTViewHelpDoc?id=sso_about.htm&language=en_US
	T3.20	The System will include the same security provisions for the development, system test, acceptance test and training environment as those used in the production environment.	X					All of Saleforces development, test, sandbox environments are hosted in the same cloud, in different nodes, as your production environment and leverage the same security model.
	T3.21	The System and its operational processes will support identity and access governance needs such as identity audit, access certification, dashboards and reporting to support compliance regulations.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.22	The System will conform to the sub-parts of Section 508 of the Americans with Disabilities Act (ADA), requirements for Reasonable Accommodations and adhere to the accessibility standard as outlined in the web guidelines based on the W3C level 2 accessibility guidelines (http://www.w3.org/TR/WCAG10/full-checklist.html) and any other appropriate State or Federal disability legislation. This will include but not limited to: a. Full System navigation using only the Keyboard including a Skip Navigation capability to directly navigate to the data entry area of the page b. Screen reader support for full navigation of the System, if not by default then through an option that causes the System to enter page reader-friendly mode c. Compatibility with voice activation / command S/W such as Dragon d. Making conscious selections of how to use color and contrasts to enhance the user experience while never relying purely on color to convey meaning e. Accommodate diverse populations of citizen-facing users including those with visual and hearing impairments, persons with low and moderate educational levels, and the elderly The system must be independently verified to be compliant with these regulations using formal compliance tools, such as the WAVE or Quail browser plugins, and reports that show details on the level of compliance, gaps and corrective actions.	X					Salesforce is committed to providing on-demand enterprise applications accessible to all individuals. This includes users working with assistive technology, such as speech recognition software and screen readers. To help meet our goal of accessible design, Salesforce follows the internationally recognized best practices in Section 508 of the Rehabilitation Act and the Web Content Accessibility Guidelines (WCAG) 2.0 Level AA. Salesforce introduced the Lightning User Experience, which brings a re-imagined user interface that is modern, efficient, and highly accessible. The Lightning Experience is engineered with Accessible Rich Internet Application (ARIA) features built in that help assistive technology users have the best possible experience with Salesforce. We provide software releases three times a year, ensuring that our customers can easily take advantage of the accessibility features introduced in each release. The Salesforce Lightning Experience Voluntary Product Accessibility Template (http://salesforce.com/company/legal/508_accessibility.jsp) serves as a guide in evaluating conformance to Section 508 of the Rehabilitation Act and WCAG within Salesforce Lightning Experience UI. The accessibility features available within a Salesforce applications are dependent on the application UI configuration and Lightning component usage. For this reason, adherence to accessibility requirements should be evaluated throughout the design and final testing of the Salesforce application and not merely on a specific VPAT. The VPATs are encompassing of the features and functions of Salesforce products and provide an explanation of supporting features. If required, Salesforce will make itself available to review the VPAT and features with your organization's Accessibility team to determine the requirements and our ability to ensure accessibility. Copies of VPATs are available on the Salesforce website

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	Identity and Access Management							
	T3.23	The System will provide a form of user authentication that supports the 4 A's of identity management - Authentication, Authorization, Administration and Auditing.	X					With the Salesforce platform, there is robust security that allows the system administrator to define the maximum invalid login attempts along with the lockout effective period. More on Password Policies: https://help.salesforce.com/articleView?id=admin_password.htm&type=0
	T3.24	The System will allow the Security Administrator to configure password rules for all system users including the minimum number of characters for the user account and password, password rules such required combination of characters, defining exclusion passwords, preventing the use of the same password within a given duration and other password security best practices.	X					Salesforce password management should be able to follow the city/agency defined policy as it works for enterprises around the world. We will work with staff to define password maangement policies.
	T3.25	The System will enable the Security Administrator to set account security rules for a specific user including the frequency of password expirations, the number of grace password attempts allowed, and the account invalidation date.	X					Salesforce password policies can be configured at an organization level and at profile level.
	T3.26	The System will enforce a limit of (configurable) consecutive invalid access attempts by a user. The System will protect against further, possibly malicious, user authentication attempts using an appropriate mechanism (e.g. locks the account/node until released by an administrator, locks the account/node for a configurable time period, or delays the next login prompt according to a configurable delay algorithm).	X					With the Salesforce platform, there is robust security that allows the system administrator to define the maximum invalid login attempts along with the lockout effective period. More on Password Policies: https://help.salesforce.com/articleView?id=admin_password.htm&type=0
	T3.27	The System will, upon detection of inactivity of an interactive session, prevent further viewing and access to the System by that session by terminating the session, or by initiating a session lock that remains in effect until the user reestablishes access using appropriate identification and authentication procedures. The inactivity timeout will be configurable.	X					With the Salesforce platform, session time-out is configurable on a profile basis. This enables an administrator to adjust how long sessions can last before requiring users to re-login. More on Session Timeout: https://help.salesforce.com/apex/HTViewHelpDoc?id=users_profiles_session.htm&language=en_US

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	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.28	The System will provide the capability to prevent database administrators from seeing the data in databases they maintain unless authorized.	X					Salesforce administrators will have access to all data in the system. Should there be a desire to better control access for certain users, a delegated administrator or custom profile can be be created for that DBA.
	T3.29	The System will be capable of operating within an Role Based Access Control (RBAC) infrastructure conforming to ANSI INCITS 359-2004, American National Standard for Information Technology RBAC.	X					Salesforce enables administrators to manage roles and relationships between roles from within the application, in a single easy to read page depicting the role hierarchy. The defined role hierarchy can be displayed in Tree View, Sorted List view or List View. All users and application-level security are defined and maintained by the organization administrator, and not by Salesforce. The organization administrator is appointed by the customer. An organization's sharing model sets the default access that users have to each other's data.
	T3.30	The System will support grouping users by roles, functional departments or other organization to simplify security maintenance.	X					With the Salesforce platform, your system administrators have the ability to grant system access to both internal users as well as external public users using a combination of profile and role-based security. More on Role-based security: https://help.salesforce.com/HTViewHelpDoc?id=admin_roles.htm&language=en_US More on Profiles: https://help.salesforce.com/HTViewHelpDoc?id=admin_userprofiles.htm

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.31	The System will be able to associate permissions with a user to restrict their access to the minimum necessary create, read, update, execute, and/or delete access privileges required for them to perform thier job duties using a combination of the following access controls: a. RBAC — Users are grouped by role and access rights assigned to these groups with access predefined for only a subset of System functions, reports, pages, tabs, fields and action buttons factoring in applicable Separation of Duties (SoD) b. Context-based — Role-based with additional access rights assigned to allow the user to execute extra or restricted business functions and based on the context of the transaction such as time-of-day, workstation-location, emergency-mode, etc. c. Caseload rights assignment and data-level access rights based on the department, unit and office the user belongs to d. User-based — Access rights assigned based on client consent, workload rules, authority to access records marked as confidential, sensitive or as closed among other business specific rules e. Detailed access profile, when assigned to the user, controlling access mode to specific pages, fields and allowed actions on the page	X					Salesforce security enables adminstrative users to lock down system capability leveraging Org-Wide Security defaults, Profiles, Roles, Permission Sets and Public Groups. These security mechanisms will enable you to lock down any combination of data and access in the system. Context-based security may require custom security mechanisms using APEX-sharing rules to be developed, but it is a capability of the system.
	T3.32	The System will ensure that security is applies to search results table data including filtering out rows and columns that the user does not have privilege to view.	X					Salesforce security enables adminstrative users to lock down data at the field level.
	T3.33	The System will provide the ability to identify certain information as confidential (e.g. PII, etc.) and only make that accessible by appropriately authorized users.	X					Salesforce security enables adminstrative users to lock down data at the field level.
	T3.34	The System will provide the ability to maintain a directory of all personnel who currently use or access the System.	X					The county can view and manage the users they have granted access to within the county's Salesforce Org (environment).

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.35	The System will restrict access to summarized information according to organizational policy, scope of practice, and jurisdictional law.	X					Salesforce security enables adminstrative users to lock down data at the field level. Additionally, confidential informaiton such as SSN's can be masked to ensure that users only see the last 4 digits, or no digits if that's what you prefer.
	T3.36	The System will provide the ability to prevent specified user(s) or groups from accessing confidential information such as a client's Social Security Number (SSN) and other confidential data.	X					Salesforce security enables adminstrative users to lock down data at the field level. Additionally, confidential informaiton such as SSN's can be masked to ensure that users only see the last 4 digits, or no digits if that's what you prefer.
	T3.37	The System will provide the ability to limit access of given users to certain information that is considered confidential to them such as access to user's own property assessment records and other conflict of interest type access.	X					Salesforce security enables adminstrative users to lock down data at the field level. Additionally, confidential informaiton such as SSN's can be masked to ensure that users only see the last 4 digits, or no digits if that's what you prefer.
	T3.38	The System will, when access to authorized administrative user's account is restricted, provide a means for appropriately authorized users to "break the glass" and obtain access for emergency situations, as defined by the City policy.	X					Each Admin user can be assigned to the same profile, or to a seperate customized profile that provides the privileges required or desired for that user. Granular controls can be implemented on a per user basis leveraging permission sets increasing access for an individual user.
	T3.39	The System will notify authorized administrative users (and provide an audit trail for this access) when access to client's confidential data is restricted but the "break the glass" has occurred.	X					Each Admin user can be assigned to the same profile, or to a seperate customized profile that provides the privileges required or desired for that user. Granular controls can be implemented on a per user basis leveraging permission sets increasing access for an individual user.
	T3.40	The System will enforce the most restrictive set of rights/privileges or accesses needed by users/groups or processes acting on behalf of users, for the performance of specified tasks.	X					By design Salesforce enforces a Organization-Wide Defaults, or OWDs, are the baseline security you for your Salesforce instance. Organizational Wide Defaults are used to restrict access. Once the intial level is set by the OWD, access can be granted specifically through other means such as sharing rules, Role Hierarchy, Sales Teams and Account teams, manual sharing, etc.

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Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T3.41	The System will provide the ability for authorized administrators to assign restrictions or privileges to users or groups.	X					The baseline of restrictions are established via the Organization-Wide Defaults, or OWDs. Once this is established access can be granted as needed to users or groups of users.
	T3.42	The System will support removal of a user's privileges without deleting the user from the System to ensure history of user's identity and actions.	X					Salesforce users cannot be deleted from the system. They can only be de-activated so as to ensure data integrity on records.
	T3.43	The System will provide the ability to perform System administration functions including, but not limited to reference table maintenance and activate or deactivate users from the System.	X					With the Salesforce platform, system administrators have the ability to configure security, objects/tables, fields, workflow rules, validation rules, installed app packages, single sign on, record and field level acess and so much more. The list of configurable features is well beyond anything that could be listed in this response. More information on Salesforce's most recent implementation guide: http://resources.docs.salesforce.com/198/12/en-us/sfdc/pdf/salesforce_mobile_implementation.pdf
	T3.44	The System will support the capability for users access based on their roles irrespective of their geographical location. For public facing modules that require the user to logon to the System, the System will employ advanced security techniques such as security questions, device signature and two-factor authentication for unrecognized/new devices.	X					Salesforce provides very robust security capabilities. For a comprehensive view, go here: https://help.salesforce.com/articleView?id=security_overview_infrastructure.htm&language=en_US&type=0 All security capabilities are able to be implemented at an individual user level, or more broadly applied to a group of people. More on Security: https://help.salesforce.com/apex/HTViewHelpDoc?id=overview_security.htm&language=en
	T3.45	The System will provide the capability to create temporary and emergency accounts and terminate access through those accounts automatically after a user defined period of time.	X					Scheduled processes can be set up to automatically deactivate users after a certain period of time.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.46	The System will provide the capability to override a role to further restrict access to information by users or groups of users.	X					The baseline of restrictions are established via the Organization-Wide Defaults, or OWDs. Once this is established access can be granted as needed to users or groups of users.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.47	The System will support feeding events to System monitor software to enable detecting security attacks, including denial of service attacks, and provide identification and reporting on unauthorized access and use of the System based on user defined criteria.	X					• Salesforce is a hosted service and runs on Salesforce cloud-based infrastructure. The Salesforce service is a pure multi-tenant web application. All that is needed by the County is a standard Web browser or mobile device to access the service. No other hardware or software is required. • Salesforce provides network monitoring, security controls and monitoring as part of the subscription service. The County will not have direct access to the Salesforce network. • Salesforce's Computer Security Incident Response Team (CSIRT) uses a security event logging and management system to manage the security alerts and logs generated by devices on the Salesforce network. Access to these systems is restricted to authorized personnel and all these systems, as well as the host platforms, are monitored in real-time through a security event monitoring system. • To maintain compliance with FedRAMP, Salesforce conducts continuous monitoring. Continuous monitoring includes ongoing technical vulnerability detection and remediation, remediation of open compliance related findings, and at least annual independent assessment of a selection of security controls by a third party assessment organization (3PAO). Upon request, the County can be provided with Salesforce's FedRAMP package, which includes Plan of Action & Milestones (POA&M) and contains vulnerability remediation information. However, Salesforce does not provide its customers ability to conduct scans behind its firewall. • Salesforce has comprehensive privacy and security assessments and certifications performed by multiple third parties, including ISO 27001, SSAE 16 SOC 1, SOC 2, SOC 3, PCI-DSS, and FedRAMP. Third party auditors test the effectiveness of Salesforce's security controls as it

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	T3.48	The System will allow User to change his or her password at any time.	X					Salesforce allows for online password reset self service.
	T3.49	The System will allow for password reset self-service utilizing techniques such as security questions, new user device verification process with two-factor authentication, including soft tokens, and other techniques to ensure the identify of the user is not being compromised. The security questions will also be utilized to authorize other security senstive user account change requests.	X					Salesforce allows for online password reset self service. User identification is verified upon access from a new device/method is encountered. Two-factor anthentication are utilized as are security questions for password reset.
	Security and Controls							
	T3.50	The System will provide the capability for the system administrator to generate a status report detailing the values of all configurable security parameters.	X					
	T3.51	The System Administrator will provide access and restrictions based on individual user roles throughout the system. At a minimum, the System will provide the following controls: a. Transaction access b. Process access c. Transaction approval process d. Workstation location access e. Workstation time restriction f. Restriction of user access to operating system, system files and utilities g. Restriction of user access to security files and resources h. Prevention of users from elevating their privileges or managing their own access to resources i. Restriction of access by role	X					
	T3.52	The Vendor must populate security repositories and associated them and their roles into the system using an appropriate security administration tool, and provide written affirmation certifying that it has done so prior to any User Testing or production activities.	X					

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.53	The System will display the user name, the date and time of the last access upon a successful authorization of the login user name and password. Passwords must never be printing or displaying.	X					Date and time of last access is available for all users. We can create a custom component to surface that information on the home page as required.
	T3.54	The System must not allow simultaneous logins with the same user credentials.	X					
	T3.55	The System will automatically log out the User if they do not logoff and remain idle for more than the System Administrator defined idle time (the maximum idle time value must be a parameter modifiable by the system administrator).	X					With the Salesforce platform, session time-out is configurable on a profile basis. This enables an administrator to adjust how long sessions can last before requiring users to re-login. More on Session Timeout: https://help.salesforce.com/apex/HTViewHelpDoc?id=users_profiles_session.htm&language=en_US
	T3.56	The System must provide a warning notification prior to a time out.	X					With the Salesforce platform, before session time-out a warning is issued to the user. More on Session Timeout: https://help.salesforce.com/apex/HTViewHelpDoc?id=users_profiles_session.htm&language=en_US

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T3.57	The System must provide tools for the system administrator to monitor the activities of specific users terminals or network addresses in real time.					X	Core Auditing Capabilities Within Salesforce, the creator and last updater, as well as timestamps, are recorded for every record. Additionally, the Salesforce Platform and Salesforce Applications have a multitude of history tracking and auditing features that provide valuable information about the use of an organization's applications and data, which in turn can be a critical tool in diagnosing potential or real security issues. Auditing features include: Record Modification Fields - All objects include fields to store the name of the user who created the record and who last modified the record. This provides some basic auditing information. Login History - You can review a list of successful and failed login attempts to your organization for the past six months within Salesforce. Your organization can also track the geographic location of the IP addresses of your logins in your personal settings. You can track the geographic location of the login IP addresses for any of your users in the user's detail page. To get more detailed geographic information, such as city and postal code, you can download the login history. Due to the nature of geolocation technology, the accuracy of geolocation fields (for example, country, city, postal code) can vary. Field History Tracking - You can also enable auditing for individual fields (up to 20 fields per object), which will automatically track any changes in the values of selected fields. Although auditing is available for all custom objects, only some standard objects allow field-level auditing. Setup Audit Trail - Administrators can also view a Setup Audit Trail for the past six months within Salesforce, which logs when modifications are made to your organization's configuration. This trail can be downloaded into Excel or as a csv file.

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	T3.58	The System will provide the ability for the system administrator to force a specific logged in suspicious user out of the System and to inactivate/suspend the user when needed.					X	
	T3.59	The System will include a reporting mechanism that allows security administrator(s) the ability to report the current security access for any individual or group of individuals by role for an on-going (annual) security review or on demand. A Security Administrator shall be able to select an individual or a group of individuals, by name, role, organizational unit, or privilege to generate such a report.	X					List Views of users security access are available in the Setup area of Salesforce. Custom views can be created to filter, and report on security access by user.
	T3.60	The System will include application data entry security management functionality including: a. Restricting free form text data entry whenever possible by utilizing graphical user interface controls that force a finite list of data choices such as drop down list boxes, lists, checkboxes, radio buttons, calendars...etc.	X					The Salesforce platform facilitates the ability for users to enter data to existing values and codes via drop-down or pop-up lists boxes and providing for selection via point-and-click selection, hot key selection, and system-based auto-fill as confirmed by a user
Solution Administration Requirements								

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
		The Vendor will establish relevant SDLC and ITIL processes required to support all phases of the project up to go-live related activities including the relevant sub-set detailed on the Infrastructure, Hosting Services and/or Data Center and the Software M&O worksheets of this workbook.	X					Salesforce is not ITIL certified. Customer support operations adhere to a defined set of procedures and processes and use our industry-leading Service Cloud application to provide customers a consistent experience across multiple channels. Incident Management processes are one of the control objectives in Salesforce's SOC 1 (SSAE 16) and SOC 2 Type II audits. Operational effectiveness and adherence to these controls are independently assessed every 6 months by Salesforce's independent external auditor. SDLC Salesforce has built its security program around ten guiding security principles, adapted from the OWASP Secure Coding Principles. These principles lead out technologists to make the best security decisions possible for our customer base to ensure customer trust. All Salesforce developer and QA staff are trained on security best practices. New hires are required to be trained within their first month of employment. The training covers the basics of application security - such as the OWASP Top 10. Additionally, in depth training and labs are available to employees. Threat assessments are performed on all high-risk features during the design. These assessments help identify potential security issues early on in the development process and also help the QA team perform focused security testing during the release. Secure Coding During development of features, developers utilize the valuable techniques identified during training to build security into their features. Secure coding patterns and anti-patterns exist that cover standard vulnerability types such as the OWASP Top 10 and CWE 25 have been written and are updated frequently to cover standard and sometimes obscure vulnerabilities types. Several static code analysis tools are run through the release process. HP Fortify, Checkmarx, FindBugs and several proprietary code analysis tools are used to identify

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	T4.2	The System will maintain an archival process so that accumulated historical business data and System log files do not consume large amounts of disk space with an ability to manually trigger an archive or purge process when needed. The process will include the ability to produce a report on data eligible for archival or purge without actually archiving data. Data eligible for permanent destruction / purge would only be deleted after meeting the Department's data retention and delete permission policy. Authorized changes to the archival process and schedule must be tracked to support auditing activities.	X					
	T4.3	The System business data archiving capabilities will be based on City, State, and Federal archiving rules, including, but not limited to: a. Business use case needs, inactive and closed accounts, data states and types b. Legal compliance requirements for data retention c. On-line vs. off-line data availability needs and on-site vs. off-site storage d. Users should have the ability to flag certain records for exclusion from automatic archival processes so they remain online e. Authorized users should have the ability to recover certain archived data		X				SDLC
	T4.4	The System will auto archive log files to prevent uncontrolled growth of the System log files using administrator-set parameters.	X					Salesforce has built its security program around ten guiding security principles, adapted from the OWASP Secure Coding Principles. These principles lead out technologists to make the best security decisions possible for our customer base to ensure customer trust.

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Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T4.5	The System will provide logging and reporting to allow analysis of System generated errors and exceptions with ability to configure the required level of logging detail while the system is live to aid in analyzing and tracing reported production issues and defects.	X					All Salesforce developer and QA staff are trained on security best practices. New hires are required to be trained within their first month of employment. The training covers the basics of application security - such as the OWASP Top 10. Additionally, in depth training and labs are available to employees.
	T4.6	The Vendor will provide version control capabilities to ensure the integrity of all software releases.	X					All upgrades, patches, and other system maintenance are provided as part of the subscription service with no additional cost to your organization. In addition, Salesforce releases 3 complimentary upgrades each year, in Winter, Spring, and Summer versions. All Salesforce users are always on the latest version of our platform because everyone gets instant upgrades (typically in an opt-in basis). Each time Salesforce releases a new version of the application and the platform, the entire community can take advantage of the latest innovations from our product development team. Because of our multi-tenant architecture, Salesforce is able to provide all of our customers with a service based on a single version of our application. We are able to upgrade all of our customers at the same time with each release. As a result, we do not have to maintain multiple versions of our application. Each release will be delivered automatically in a transparent manner, and will not break your configurations.
	T4.7	All System communications will be protected by at least 128-bit encryption with public key / private key encryption Transport Layer Security (TLS) certificates issued by mainstream certificate authorities.	X					

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T4.8	The System will use firewalls and Demilitarized Zones (DMZs) for external access and remote access.	X					Salesforce's internet accessible servers reside behind a perimeter router, external firewall and IDS. A logical network diagram can be shared under a NDA.
	T4.9	The System will allow System administrators to perform the following User management functions: a. Create and manage user roles with assigned permissions including authority to manage workflows b. Create user accounts and assign them to a particular local office, unit and supervisor c. Assign a user to specific user role(s) d. Change mass user access rights quickly e. Track a user who enters, changes, and/or views information.	X					During development of features, developers utilize the valuable techniques identified during training to build security into their features. Secure coding patterns and anti-patterns exist that cover standard vulnerability types such as the OWASP Top 10 and CWE 25 have been written and are updated frequently to cover standard and sometimes obscure vulnerabilities types.
	T4.10	The System will monitor and provide reports on any unauthorized access.	X					Application level event logs are viewable in browser and accessible via Salesforce's Events API. More on Event Monitoring can be found here: https://developer.salesforce.com/docs/atlas.en-us.api_rest.meta/api_rest/using_resources_event_log_files.htm
	T4.11	The Vendor will establish an automated maintenance routine that will, at a minimum: a. Backup the user IDs and password data b. Identify expired IDs and related data	X					Certain potential dangerous function calls within Salesforce are not approved for use. Specifically, those that pull user input from query strings, forms, or other areas must use Salesforce's approves method for doing so which requires the developer to use an approved validation pattern to assure the data is of the correct type, length, and format. The tools above are used to catch cases where this is not done correctly.
	T4.12	The System will provide a console for System administrators to execute administration functions including managing users, running reports and batch jobs.	X					
Solution Management Requirements								

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T5.1	The Vendor will establish SDLC and ITIL processes required to support all phases of the project up to go-live related activities including the relevant sub-set detailed on the Infrastructure, Data Center and Hosting Services and the Software M&O worksheets of this workbook.	X					
	T5.2	The Vendor will propose, implement and manage one or more monitoring tool(s) to proactively monitor the performance of the key infrastructure components of the System that are delivered by the vendor and generate administrative alerts and warnings when statistics indicate an impact or potential limits on System component performance and availability.	X					Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security. On this site you'll find: • Live and historical data on system performance • Up-to-the minute information on planned maintenance • Phishing, malicious software, and social engineering threats • Best security practices for your organization • Information on how we safeguard your data The Trust site includes an API that your organization can use to directly integrate Salesforce availability information into existing monitoring tools or processes. For example, your organization can retrieve the status of a given instance, details on any active availability or performance incidents, transaction performance data, and the upcoming planned maintenance schedule. Details on all available API endpoints can be found here: https://api.status.salesforce.com/v1/docs/ Also see additional information on Trust.salesforce.com at: https://trust.salesforce.com/en/whats-new-trust/ and https://status.salesforce.com/status

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	<-- Indicates the number of points received for each response
	T5.3	The System will allow for all changes/updates to the distributed components to be administered and completed centrally and available immediately to all source systems and sites.	X					Salesforce changes/updates will be made for all users within the production system. Change Sets and Deployment capabilities enable rapid deployment of changes/updates from DEV to TEST to PROD environments.
	T5.4	The System will be instrumented and have tools to measure end-to-end transaction response time and have the capability to monitor and report on all Service Level Agreements (SLAs) per the Service Level Requirements (SLRs) detailed on the S2. App M&O SLRs worksheet tab of this workbook.	X					Trust.salesforce.com is the Salesforce community's home for real-time information on system performance and security. On this site you'll find: • Live and historical data on system performance • Up-to-the minute information on planned maintenance • Phishing, malicious software, and social engineering threats • Best security practices for your organization • Information on how we safeguard your data The Trust site includes an API that your organization can use to directly integrate Salesforce availability information into existing monitoring tools or processes. For example, your organization can retrieve the status of a given instance, details on any active availability or performance incidents, transaction performance data, and the upcoming planned maintenance schedule. Details on all available API endpoints can be found here: https://api.status.salesforce.com/v1/docs/ Also see additional information on Trust.salesforce.com at: https://trust.salesforce.com/en/whats-new-trust/ and https://status.salesforce.com/status

City & County of San Francisco System Requirements			Response Code					
	Requirement #	**Description**	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T5.5	The System will provide event monitoring and management functionality according to the latest Information Technology Infrastructure Library (ITIL) revision or equivalent best practices, covering processes such as transaction tracking and log consolidation capabilities across all tiers of the application and component root cause analysis.	X					We are proposing Splunk as a Event log management application. Within Salesforce itself application level event logs are viewable in browser and accessible via Salesforce's Events API. More on Event Monitoring can be found here: https://developer.salesforce.com/docs/atlas.en-us.api_rest.meta/api_rest/using_resources_event_log_files.htm.
City/Department Technology Alignment Requirements								
	T6.1	For Enterprise Content Management (including Document Management, Document Imaging and Image Capture, Records Management and Web Content Management) the Assessor's office has a strong preference requirement to use / integrate with Hyland OnBase		X				
	T6.2	For network infrastructure security, the Assessor's office has a strong preference to use both FireEye and Palo Alto security appliances as standards. The Assessor's office will consider Systems using alternative products only when the Vendor provides a compelling justification to do so.	X					Based on Q&A from the City, we understand that the City will consider all alternatives to FireEyeand Palo Alto. Salesforce understands that the confidentiality, integrity, and availability of our customers' information are vital to their business operations and Salesforce's own success. Salesforce uses a multi-layered approach to protect that key information, constantly monitoring and improving our application, systems, and processes to meet the growing demands and challenges of security.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T6.3	For end point protection, the Assessor's office has a strong preference to use Sophos as a standard. The Assessor's office will consider Systems using alternative products only when the Vendor provides a compelling justification to do so.		X				Salesforce runs antivirus software on the production systems that store, transmit or process customer information. The Anti-virus scans host filesystems (not customer data). The antivirus software checks for virus definition updates daily. Other controls are also used to address malware such as hardening the Operating System of our servers, firewall configuration to ensure only required ports are open and all others denied, and use of intrusion detection systems. Access to these systems is restricted to authorized personnel and all these systems, as well as the host platforms, are monitored in real time through a security monitoring system.

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T6.4	For vulnerability management, the Assessor's office has a strong preference to use Tenable Nessus as a standard. The Assessor's office will consider Systems using alternative products only when the Vendor provides a compelling justification to do so.	X					Based on Q&A from the City, we understand that the City will consider alternatives to Tenable Nessus. To maintain compliance with FedRAMP, Salesforce conducts continuous monitoring. Continuous monitoring includes ongoing technical vulnerability detection and remediation, remediation of open compliance related findings, and at least annual independent assessment of a selection of security controls by a third party assessment organization (3PAO). Upon request, the City can be provided with Salesforce's FedRAMP package, which includes Plan of Action & Milestones (POA&M) and contains vulnerability remediation information. However, Salesforce does not provide its customers ability to conduct scans behind our firewall. Salesforce SLAs and the FedRAMP requirements are to remediate high vulnerabilities in 30 days and moderate risk vulnerabilities in 90 days. There is no specific SLA timeframe for low risk vulnerabilities. However, Salesforce has committed to a timeframe of 'as resources allow' and within two years on the Plan of Actions and Milestones (POA&M).

City & County of San Francisco System Requirements			Response Code					
	Requirement #	Description	COTS Configuration	Third Party App	Customization	Proposed Future Version	Will Not Meet	Responder Comments
Generalized System Behavior Requirements			5	4	3	1	0	**<-- Indicates the number of points received for each response**
	T6.5	For security patching management, the Assessor's office has a strong preference to use Microsoft System Center Configuration Manager (SCCM) as a standard. The Assessor's office will consider Systems using alternative products only when the Vendor provides a compelling justification to do so.		X				Please refer to our response in requirement T6.4 above. While Salesforce makes every effort to remedy security vulnerabilities as quickly as possible, due to the unpredictability of security attacks, Salesforce cannot guarantee all vulnerabilities will be resolved in 60 days. Salesforce's timeframes for patch releases are as follows: Critical fixes occur within 7 days, high severity fixes occur within 30 days, moderate severity fixes occur within 90 days and low severity fixes occur within 365 days.
	T6.6	For Security Event and Incident Management (SIEM), the Assessor's office has a strong preference to use Splunk as a standard. The Assessor's office will consider Systems using alternative products only when the Vendor provides a compelling justification to do so.	X					Based on Q&A from the City, we understand that the City will consider all alternatives to Splunk. If negotiated into a final contract, Salesforce will promptly notify Customer in the event Salesforce becomes aware of an actual or reasonably suspected unauthorized disclosure of Customer Data in the Salesforce Services caused by Salesforce or its contractors. Notification may include phone contact by Salesforce support and email to customer's administrator and Security Contact (if submitted by customer). If customer maintains an email address for a Security Contact in the Service then Salesforce will notify such Security Contact promptly of becoming aware of such an unauthorized disclosure. Customer is responsible for maintaining the accuracy and currency of the Security Contact information. Salesforce maintains an Incident Response Plan and has an established Security Incident Response Process. During a security incident, the process guides Salesforce personnel in management, communication, and resolution activities.

Exhibit 7 – Software and Hardware Components

The following is an inventory of the software and hardware components required for the implementation (will be revisited by Contractor and ASR during definition/implementation) and will be procured and provided by ASR and/or downloaded (for Open Source tools):

Software

1. Smart Correspond
2. OwnBackup
3. Government Cloud Premier+ Success Plan
4. Customer Community
5. Salesforce Shield.
6. Lightning Service Cloud
7. Splunk Enterprise
8. Splunk Enterprise Security
9. Splunk Enterprise - Enterprise Support.
10. Splunk Enterprise Security - Enterprise Support.
11. Talend Open Studio
12. Java
13. Apache Nifi
14. Spring Framework
15. Apache POI
16. Apache PDFBox
17. PostgresSQL
18. Jenkins CI
19. Tomcat Server
20. Angular
21. Selenium
22. Confluence/JIRA or Other
23. Bitbucket
24. Gearset
25. Sharepoint/Other
26. Data Obfuscation Tool

Draft | Initial Estimate - CCSF Assessor's Office PAS Integration Hardware

Machine Purpose**	Environment	Quantity	CPU*	Memory*		Storage*		Comments
				Standard	High Probable	Standard	High Probable	
VM - Integration application - Build / Artifact Repository	All	1	4 CPU	16 GB	32 GB	500 GB	1 TB	Configuration subject to change if number of environment increases
VM - Scheduler	Non Production	1	4 CPU	8 GB	16 GB	256 GB	256 GB	
VM - Integration application server	Dev Integration	1	4 CPU	16 GB	32 GB	500 GB	1 TB	
VM - Database	Dev Integration	1	4 CPU	16 GB	32 GB	256 GB	512 GB	Configuration subject to change depending upon volumetric analysis
VM - Integration application server	Test Environment	1	4 CPU	32 GB	64 GB	500 GB	1 TB	
VM - Database	Test Environment	1	4 CPU	32 GB	64 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Talend Execution Server	Dev/Test	1	8 CPU	32 GB	64 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Talend Admin Server	Dev/Test	1	4 CPU	32 GB	64 GB	500 GB	1 TB	
VM - Integration application server	UAT	2	8 CPU	32 GB	64 GB	500 GB	1 TB	
VM - Database	UAT	2	8 CPU	32 GB	64 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Talend Execution Server	UAT/Prod	1	8 CPU	32 GB	128 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Talend Admin Server	UAT/Prod	1	4 CPU	16 GB	32 GB	500 GB	1 TB	
VM - Integration application server	Performance	2	8 CPU	32 GB	64 GB	500 GB	1 TB	
VM - Database	Performance	2	8 CPU	32 GB	64 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Integration application - Production (App+DB)	Production	2	8 CPU	32 GB	64 GB	500 GB	1 TB	
VM - Database	Production	2	8 CPU	32 GB	64 GB	500 GB	1 TB	Configuration subject to change depending upon volumetric analysis
VM - Integration application - Scheduler	Production	1	4 CPU	8 GB	16 GB	256 GB	256 GB	

* CPU/Memory requirement subject to change depending upon data volume analysis

** Above estimates are given for DI, Test, UAT, Performance and Production environments. Additional hardware may be needed if more environments are required

Exhibit 8 – Requirements Traceability Matrix Example

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Sapient Sample Template | Requirements Traceability Matrix

Client – Project Name

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
004NF	Pre-configuration of UI	143121	Pre-Configuration of UI	As a System Administrator, I can pre-configure the layout of the interface components, such as task lists, record detail pages, custom interface pages and their components and search results lists, so that the *PROJECT NAME* users have logical and clear interfaces to interact with.
0051NF	User Configured UI Layout	143160	User Configured UI Layout	As a *PROJECT NAME* user, I can configure the layout of certain system components, such as search results lists, list views, and my homepage layout, so I can tailor *PROJECT NAME* to my own preferences and work style.
0052NF	Profile Based UI Layout	143120	Profile-Based UI Layout	As a System Administrator, I can control visibility of the screens and fields within *PROJECT NAME*, so that only the appropriate users can see and/or edit the data that they should have access to in order to perform their work.
		143090	Restrict Case Record Access	As an Service Manager, I can restrict access to my active cases and their associated files, so that only users with the appropriate permissions can see high profile or sensitive cases.
		143222	Restrict Case Record Access - Case Product	As an Service Manager, I can control and delegate access to my case Product so that I can protect a high profile or sensitive case.
0057NF	API	143200	0057NF API	As a *PROJECT NAME* user I have need for data coming from the sales and service system.
		143201	0057NF Save Bond	As a *PROJECT NAME* user I have need for data coming from the sales and service system's interface.
		143202	0057NF Save Case and Sentence	As a *PROJECT NAME* user I have need for data coming from the sales and service system's Case interface.
		143203	0057NF Save Disposition	As a *PROJECT NAME* user I have need for data coming from the sales and service system's Save disposition interface.
		143204	0057NF Save Event	As a *PROJECT NAME* user I have need for data coming from the sales and service system's Save Event interface.
		143205	0057NF save meeting minutes and CTS	As a *PROJECT NAME* user I have need for data coming from the sales and service system's save meeting minutes and CTS interface.
		143207	0057NF MLS	As a *PROJECT NAME* user I have need for data coming from the sales and service system's MLS interface.
		143208	0057NF MLS	As a *PROJECT NAME* user I have need for data coming from the sales and service system's MLS interface.
0060NF	SOA	143209	0060NF SOA	As a *PROJECT NAME* admin I have the need to extend Salesforce functionality with web services.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
019NF	User Based Restrictions	143090	Restrict Case Record Access	As a Sales Manager, I can restrict access to my active cases and their associated files, so that only users with the appropriate permissions can see high profile or sensitive cases.
		143222	Restrict Case Record Access - Case Product	As a Sales Manager, I can control and delegate access to my case Product so that I can protect a high profile or sensitive case.
		143011	Case File Security -	As a *PROJECT NAME* user, I am only able to see and edit cases in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143029	Case File Security - General	As a *PROJECT NAME* user, I am only able to see and edit cases in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143032	Case File Security - Special Campaign Cases	As a *PROJECT NAME* user, I am only able to see and edit special circumstance cases in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143132	User Based Restrictions	As a System Administrator, I can control the level of Create, Read, Edit and Delete access I grant to users for object records, fields and documents in *PROJECT NAME*, so that users can perform only the functions that are permitted by their role or profile.
		143030	Case File Security - Partner	As a *PROJECT NAME* user, I am only able to see and edit partner cases in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143094	Case File Security	As a *PROJECT NAME* user, I am only able to see and edit referrals in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143165	Security	As a *PROJECT NAME* user, I am only able to see and edit records and fields in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143048	Sealing a Partner Case	As a Partner Team member, I need to be able to 'seal' a partner case away from all other internal users and the public, so that I can keep my customer's file confidential.
		143049	Sealed Partner Case Message	As a *PROJECT NAME* user attempting to access a sealed partner case, I should see a prominent message indicating the case's sealed status, so that I am reminded to adhere to the legal requirements of sealed cases.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
079F	Separation of Scanned Documents	143233	Separation of Scanned Documents	As a *PROJECT NAME* user with the required permissions, I will be able to select a template divider to segment documents I scan, so that each document is stored individually.
080F	Distributed Scanning	143235	Distributed Scanning	As a *PROJECT NAME* user with the required permissions, I will be able to scan documents from multiple office locations, so that they can easily be added to *PROJECT NAME*.
081F	Scanning and Indexing	143236	Scanning and Indexing	As a *PROJECT NAME* user with the required permissions, I will be able to scan new documents as well as access documents scanned before *PROJECT NAME* go-live so that I can find all documents in *PROJECT NAME*.
082F	Images & Indexes	143237	Images & Indexes	As a *PROJECT NAME* user, I need to be able to add information to a document after scanning, so that it can be automatically filed to the correct case folder.
083F	Auto-Create Folder Structure	143250	Auto-Create Folder Structure	As a *PROJECT NAME* user, *PROJECT NAME* will automatically create the case folder structure based on the case type so that documents can be added quickly and efficiently.
		142939	Case Details - Product Documents	As *PROJECT NAME* user, I need to associate relevant documentation to the case file. This can be scanned documents received from the sales and service, evidence, or any other relevant artifacts so that I can easily access the complete case file on my device. *PROJECT NAME* should automatically set up a folder structure based on case type and should allow users to add additional folders.
084F	Add Documents	143248	Add Documents	As a *PROJECT NAME* user with the required permissions, I can upload or scan documents directly into my case and / or contact file in *PROJECT NAME* so that I can use them in my case preparation.
		142939	Case Details - Product Documents	As *PROJECT NAME* user, I need to associate relevant documentation to the case file. This can be scanned documents received from the sales and service, evidence, or any other relevant artifacts so that I can easily access the complete case file on my device. *PROJECT NAME* should automatically set up a folder structure based on case type and should allow users to add additional folders.
		142992	Annual Review of Customers	As as a Sales Manager, I need to track Annual Reviews of my SVP customers, so that I have a complete history of my customer's reviews.
085F	Document Placement	143228	Document Placement	As a *PROJECT NAME* user with the required permission, I can upload documents into *PROJECT NAME* and supply enough data so that the *PROJECT NAME* will identify the appropriate location for placement.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
086F	Audit Document Activity	143229	Audit Document Activity	As a *PROJECT NAME* Administrator with the required permissions, I can view a historical audit log of any document uploaded to *PROJECT NAME*, so that I can trace all uploads and modifications to case Product.
087F	Document Number	143230	Document Number	As a *PROJECT NAME* user with the required permission, I want the *PROJECT NAME* to assign a unique number to each document as I upload it into the system, so that each document has a unique identifier associated with it.
088F	Document Placement Exceptions	143231	Document Placement Exceptions	As a *PROJECT NAME* user with the required permission, documents I upload that cannot be placed in the correct locations automatically will be sent to an exception queue so that they can be manually placed in the appropriate location.
089F	Electronic Receipts	143247	Electronic Receipts	As a *PROJECT NAME* user with the required permissions, I can request an electronic receipt after I upload a document to *PROJECT NAME*, so that I have confirmation that the document was received.
090F	Staff Defined Sub-folders	143223	Staff Defined Subfolders	As a *PROJECT NAME* user with the required permissions, I can define sub-folders within the *PROJECT NAME* so that I can logically organize case or contact documents that do not belong in the default set of automatically created case document folders.
091F	Case Type Based Access Restriction	143090	Restrict Case Record Access	As as a Sales Manager, I can restrict access to my active cases and their associated files, so that only users with the appropriate permissions can see high profile or sensitive cases.
		143222	Restrict Case Record Access - Case Product	As as a Sales Manager, I can control and delegate access to my case Product so that I can protect a high profile or sensitive case.
		143243	Case Type Based Access Restriction	As a *PROJECT NAME* user, I should be granted appropriate access to case Product depending on case type, so that case Product privacy is maintained.
092F	Folder Display Restrictions	143244	Folder Display Restrictions	As a *PROJECT NAME* user, I can access subfolders and display content only if I have the appropriate permissions to that folder so that folder display restrictions are enforced for case Product.
093F	Action Based Restrictions	143222	Restrict Case Record Access - Case Product	As as a Sales Manager, I can control and delegate access to my case Product so that I can protect a high profile or sensitive case.
		143245	Action Based Restrictions	As a *PROJECT NAME* user with the required permissions, I can be assigned different levels of security access to folders and documents, so that I can only perform permitted actions within case folders and their contents.
094F	Final Version Restrictions	143246	Final Version Restrictions	As a *PROJECT NAME* user with the required permissions, I can create a finalized version of a given document, so that version of the document will not be modified in the future.

***Client* Req Number**	***Client* Requirement Name**	**Req Id**	***PROJECT NAME* Requirement**	***PROJECT NAME* User Story**
095F	Redaction of Shared Documents	143251	Redaction of Shared Documents	As a *PROJECT NAME* user with the required permissions, I can create a redacted version of a document so that I can use and share the redacted document.
		143091	Share Portions of Case with External Experts	As as a Sales Manager, I need to give external experts access to specific parts of a case, so that they can perform their analysis and I can track their response as part of my case preparation work.
		143195	Duplicate Case Details for Outside Sales Managers	As a *PROJECT NAME* user, I can duplicate a case file for an external Sales Manager, so that external Sales Managers who assume representation of a customer due to conflicts or other reasons can utilize the case information collected by *Client*.
		143196	Duplicate Case Details for Customers	As a *PROJECT NAME* user, I can duplicate a case file for a customer, so that I can provide a copy of the case file to the customer with necessary redactions and exclusions.
		143218	Provide Documents to Appointed Expert(s)	As a *PROJECT NAME* user with appropriate permissions, I need to Consult an Expert, give them access to specific parts of the Case document content, so that I can track their response as part of my preparation during prelim and post prelim.
		143221	Share Case Details and Files with Outside Sales Managers	As a *PROJECT NAME* user, I can share case associated documents with an outside Sales Manager, so that outside Sales Managers who represent customers that are conflicted out at a later stage in the case can utilize the case information collected by the team.
		142942	Product Tagging	As a *PROJECT NAME* user with required permissions, I need to be able to redact and add multiple tags to portions of my case Product so that I can begin organizing my file for conference. I should be able to search and filter my Product by assigned tags.
097F	Compare data from other sources	143188	Compare Data From Other Sources	As a *PROJECT NAME* user, I need to be able to compare my inactive case data side by side against Odyssey, so that I can ensure accuracy of data in *PROJECT NAME*.
098F	Audited Corrections	143170	Data Retention	As a System Administrator, I want to be able to maintain an archive of field history data, so that I can retain it for longer than the standard eighteen month period.
099F	Broad Search	142941	Document Searching	As a *PROJECT NAME* user, I need to be able to search across our entire document database for particular documents created by individuals without going to another system, so that I can perform further analysis.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143000	Data Migration	As a *PROJECT NAME* user with appropriate permissions, I want to be able to see the data that currently resides in our database within *PROJECT NAME*, so that I can identify prior product issues.
		143106	Expert Testimony Tracking	As as a Sales Manager or *PROJECT NAME* user, I can indicate whether an expert referrals in a preliminary meeting or conference and which expert it was, so that *Client* can track prosecution experts and also measure the effectiveness of the experts called by *Client* Associate to testify.
		143022	Broad Search	As a *PROJECT NAME* user, I can search case and people records in *PROJECT NAME* in a broad fashion, such as with the first three to four letters of a name, so that I can locate records I'm authorized to view that contain all or a portion of the search criteria.
		142976	Case Ownership Check	As an *PROJECT NAME* user, I need to check if the originating case that has a Notice of Appeal is being handled by *Client*, so that I can determine if the request should be accepted or rejected.
100F	Phonetic Search	142941	Document Searching	As a *PROJECT NAME* user, I need to be able to search across our entire document database for particular documents created by individuals without going to another system, so that I can perform further analysis.
		143106	Expert Testimony Tracking	As as a Sales Manager or *PROJECT NAME* user, I can indicate whether an expert reviewed in a preliminary meeting or conference and which expert it was, so that *Client* can track prosecution experts and also measure the effectiveness of the experts called by *Client* Associate to testify.
		143038	Phonetic Search	As a *PROJECT NAME* user, I can search for people using phonetic search, so that if I don't know the exact spelling of a person's name, I can enter what it sounds like and see a list of prospective matching records that I have permission to view.
		142976	Case Ownership Check	As an *PROJECT NAME* user, I need to check if the originating case that has a Notice of Appeal is being handled by *Client*, so that I can determine if the request should be accepted or rejected.
101F	Select from Search Results	142941	Document Searching	As a *PROJECT NAME* user, I need to be able to search across our entire document database for particular documents created by individuals without going to another system, so that I can perform further analysis.
		143000	Data Migration	As a *PROJECT NAME* user with appropriate permissions, I want to be able to see the data that currently resides in our database within *PROJECT NAME*, so that I can identify products with prior issues.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143106	Expert Testimony Tracking	As as a Sales Manager or *PROJECT NAME* user, I can indicate whether an expert reviewed in a preliminary meeting or conference and which expert it was, so that *Client* can track prosecution experts and also measure the effectiveness of the experts called by *Client* Associate to testify.
		143022	Broad Search	As a *PROJECT NAME* user, I can search case and people records in *PROJECT NAME* in a broad fashion, such as with the first three to four letters of a name, so that I can locate records I'm authorized to view that contain all or a portion of the search criteria.
		143039	Select From Search Results	As a *PROJECT NAME* user, I can search for people and cases using various inputs (such as a person's name or a case number) and then open the corresponding record(s) from the list of records returned in the search, so that I can view the corresponding records and their details.
		143046	Conflict Check: Search Results Detail	As a *PROJECT NAME* user, I want to see a list of people and their related cases following a Conflict Check search, so that I can perform an analysis of this information in order to make a conflict determination.
		142976	Case Ownership Check	As an *PROJECT NAME* user, I need to check if the originating case that has a Notice of Appeal is being handled by *Client*, so that I can determine if the request should be accepted or rejected.
102F	Multi-Document View	143009	Multi-Document View	As a *PROJECT NAME* user, I can retrieve and review multiple documents/files from multiple cases and view them in separate windows at the same time in order to perform case research.
103F	Case Switching	143043	Case Switching and Multiple Window Viewing	As a *PROJECT NAME* user, I can open or switch between multiple cases or other *PROJECT NAME* records simultaneously in separate windows, so that I can review more than one case or other record at a time.
105F	Save search	143040	Save Search	As a *PROJECT NAME* user, I can save a finite number of searches performed against *PROJECT NAME* data, so that I do not have to re-create the search criteria to repeat a search at a later time.
		143086	Conflict Check: Conflict Approval Process	As a *PROJECT NAME* user, I can submit a Conflict record for review by both the Sales Manager and the Executive or DIC as applicable, so that any approved conflicts can be officially declared and *Client* will not be appointed on the case.
112F	User Characteristics	142951	Staff Attributes	As an Administrative Assistant, I need to track attributes of Sales Managers, such as years in current team/grade, assigned sales and service or residence location, so that I can aggregate these statistics in reporting and leverage them for staff allocation and reassignment.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142957	Sales Manager Preference Submission	As as a Sales Manager, I need to submit my preferences for location and team assignment annually, so that the Administrative Assistants and Division Chiefs can reference this information during the staff reassignment process.
		142972	Areas of Expertise	As an Sales Manager, I need to list my subject matter expertise for a specific law or practice, so that my expertise is searchable for any individuals who are seeking training sessions or advice.
		143001	Sales Manager Preference History	As an Administrative Assistant, I need to see a list of current and previous assignment preferences for any Sales Manager at a given time, so that I can fairly and accurately perform personnel reassignment.
		143004	Sales Manager Assignment History	As an Administrative Assistant, I need to see a list of current and previous Sales Manager assignments in *PROJECT NAME*, so that I can consider that information during the reassignment process.
		143078	Sales Manager Expertise	As an Executive, I need to be able to track any specializations, expertise, or unique skill sets that *Client* Associate employees may have, so that I can reference that information during case assignment.
		143002	Sales Manager Branch Assignment	As an Executive, I need to see and manage which sales and services the Sales Managers in my division are assigned to, so that I can utilize this information in task and case assignment.
113F	Profile Maintenance	143119	Profile Maintenance	As a System Administrator, I can update or revise the profiles and/or user records of *PROJECT NAME* users as directed by management, so that I can ensure that users have the appropriate permissions needed to perform their work.
		143165	Security	As a *PROJECT NAME* user, I am only able to see and edit records and fields in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143164	Branch Profiles	As a System Administrator, I can specify the characteristics of each sales and service and relate sales and service records to case and people records (vendors, partners, competitors), so that the proper sales and service information can be associated to and visible on the appropriate records in the system.
114F	Characteristic-Based Assignments	143189	Characteristic Based Assignment	As an Executive, I want incoming cases from Odyssey for my division to be routed to me for review and assignment based on the case type, so that I can fairly and efficiently delegate work to my Sales Managers or send the case to another division that is better suited to manage the case.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142965	Sales Manager Assignment	As an Intern reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143103	Special Campaign Sales Manager Case Assignment	As a Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Sales Managers and Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Sales Managers and Product Specialists.
		143104	Special Campaign Product Specialist Case Assignment	As the Supervising Product Specialist in consultation with the Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Product Specialists.
		143180	National Account Assignment	As the Insurance Executive in charge of scheduling, I need a way to view current Sales Manager preliminary meeting schedules, so that I can assign upcoming Insurance cases according to preliminary meeting workloads and Sales Manager availability.
		143183	Branch Queue	As as a Sales Manager assigned to a Division, I can see a queue of cases, so that I can represent a customer in sales and service.
		143185	Sales Manager Case Assignment	As an Executive reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142989	*Client* Sales Manager Case Assignment	As an Executive/DIC for *Client* reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143035	Partner Case Assignment	As a Service Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143069	Case Assignment	As the Engineering Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
				their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
115F	Case Types	142992	Annual Review of Customers	As as a Sales Manager, I need to track Annual Reviews of my SVP customers, so that I have a complete history of my customer's reviews.
		143033	Partner Petition Detail and Case Association	As a Partner staff member, I need to associate various petitions to the same partner case in *PROJECT NAME*, so that I can see the complete case and petition history for a given customer.
		143150	Certificate of Training: Eligibility Assessment	As a Product Specialist, I need to be able to fill out an "Eligibility Initial Assessment" form equivalent in *PROJECT NAME* as a part of the intake process, so that I can either refer the customer's case to the Certificates of Training department, if applicable.
		142938	Case Details	As a *PROJECT NAME* user with the correct permissions to view and edit case records, I can enter and edit the required details as defined by the case type, so that I can maintain an accurate digital case record.
117F	Case Weight	142983	Charge Weight Value	As an Executive, I need a way to assign a "weight" value to a case, so that I can measure the complexity of that case.
118F	Refreshed Value	142937	Refreshed Value	As as a Sales Manager, I need to see the most up-to-date case weight on a given case, so that it reflects the anticipated workload of that case.
120F	Sales Manager Case Assignment	142965	Sales Manager Assignment	As a Intern reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143103	Special Campaign Sales Manager Case Assignment	As a Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Sales Managers and Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Sales Managers and Product Specialists.
		143104	Special Campaign Product Specialist Case Assignment	As the Supervising Product Specialist in consultation with the Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Product Specialists.
		143180	National Account Assignment	As the Insurance Executive in charge of scheduling, I need a way to view current Sales Manager preliminary meeting schedules, so that I can assign

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
				upcoming Insurance cases according to preliminary meeting workloads and Sales Manager availability.
		143185	Sales Manager Case Assignment	As an Executive reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142989	*Client* Sales Manager Case Assignment	As an Executive/DIC for *Client* reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143035	Partner Case Assignment	As a Service Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143069	Case Assignment	As the Engineering Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142975	Case Review	As an Executive, I need to review incoming consultation requests made to the team in *PROJECT NAME*, so that I can assign valid referrals to Sales Managers.
121F	Workload Consideration	142965	Sales Manager Assignment	As an Intern reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143103	Special Campaign Sales Manager Case Assignment	As a Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Sales Managers and Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Sales Managers and Product Specialists.
		143104	Special Campaign Product Specialist Case Assignment	As the Supervising Product Specialist in consultation with the Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Product Specialists.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143180	National Account Assignment	As the Insurance Executive in charge of scheduling, I need a way to view current Sales Manager preliminary meeting schedules, so that I can assign upcoming Insurance cases according to preliminary meeting workloads and Sales Manager availability.
		143183	Branch Queue	As as a Sales Manager assigned to a Division, I can see a queue of cases, so that I can represent a customer in sales and service.
		143185	Sales Manager Case Assignment	As an Executive reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142989	*Client* Sales Manager Case Assignment	As an Executive/DIC for *Client* reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143035	Partner Case Assignment	As a Service Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143069	Case Assignment	As the Engineering Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
123F	Route to Assignee	142965	Sales Manager Assignment	As an Intern reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143103	Special Campaign Sales Manager Case Assignment	As a Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Sales Managers and Product Specialists within my team along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Sales Managers and Product Specialists.
		143104	Special Campaign Product Specialist Case Assignment	As the Supervising Product Specialist in consultation with the Special Campaign Coordinator reviewing incoming cases for assignment, I need to see a list of all Product Specialists within my team along with their relevant

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
				workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Product Specialists.
		143180	National Account Assignment	As the Insurance Executive in charge of scheduling, I need a way to view current Sales Manager preliminary meeting schedules, so that I can assign upcoming Insurance cases according to preliminary meeting workloads and Sales Manager availability.
		143183	Branch Queue	As as a Sales Manager assigned to a Division, I can see a queue of cases, so that I can represent a customer in sales and service.
		143185	Sales Manager Case Assignment	As an Executive reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142989	*Client* Sales Manager Case Assignment	As an Executive for *Client* reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143035	Partner Case Assignment	As a Service Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143069	Case Assignment	As the Engineering Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
124F	Workflows	143167	Workflows	As a System Administrator, I want to be able to create workflows in *PROJECT NAME* to automate functions, such as routing items for approval (conflict reports, work requests), creating tasks, or sending email alerts to users, so that I can ensure that the system supports *Client* Associate team's evolving business needs.
		143037	Finance Manager Overtime Approval	As a Supervising Finance Manager, I need to be able to review requests by Finance Managers to perform overtime work, so that I have oversight into any overtime hours before they are worked by the Finance Manager.
		143084	Travel Request Expense Claims	As a *PROJECT NAME* user, I need to submit a Travel Expense Claims form for approval by my supervisor no later than two weeks after the completion of my trip, so that it can be routed to Accounts Payable for reimbursement.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
125F	Workflow Override	143168	Workflow Override	As a *PROJECT NAME* user with the appropriate profile permissions, I can override or augment certain process steps that are set by automated workflows, such as adding additional work request tasks, so that I can capture the full scope of work that has been requested of me.
		143028	Finance Manager Overtime Submission	As an Finance Manager, I need to be able to submit a request for overtime approval to my Supervisor for any work to be performed outside of business hours, so that I have authorization to work overtime.
129F	Word Templates	143157	Petition Tracking	As a Sales Manager, I need to be able to track the status of any petitions or applications for open cases, so that there is visibility into workload and progress on any open petitions.
		143010	Generate Finance Report Template	As an Finance Manager, I need to be able to generate an Finance Report template directly from *PROJECT NAME*, so that I complete my report and submit it for approval.
		143062	Generate Request Expert: Order, Document/Application, and Declaration	As as a Sales Manager, I can generate a Document, Order and Declaration for an Expert Form template in *PROJECT NAME*, so that an expert can be appointed to my case.
		143063	Generate Order and Request Access to Customer	As a *PROJECT NAME* user, I can generate a Document, Order and Declaration for Access to Customer/Evidence template in *PROJECT NAME*, so that an expert can access my Customer and relevant case information.
		142978	Generate Document Preparation Templates	As an Sales Manager, I need to be able to generate documents and upload them to the case in *PROJECT NAME*, so that I can fulfill Referral requests, including writs, briefs, documents, and Amicus Curiae.
		143082	Generate Advanced Payment Form	As a *PROJECT NAME* user, I can generate an Advanced Payment Form template in *PROJECT NAME*, so that I can secure any funds needed to travel to meet with customers prior to the trip.
		143095	Generate Pitchess Document	As a *PROJECT NAME* user, I need to be able to generate a Pitchess Document directly from *PROJECT NAME*, so that I can streamline Pitchess Document creation.
		143108	Document Tracking	As as a Sales Manager, *PROJECT NAME* user or Product Specialist, I need to track all documents filed against a case in *PROJECT NAME*, so that I have a complete record of all documents that were filed and their associated outcomes.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143109	Document Generation	As a *PROJECT NAME* user, I need to be able to generate Document templates in *PROJECT NAME* that are pre-populated with relevant case and customer data, so that I can tailor the Document to fit my strategy.
		143179	Generate Future Event Document	As a Product Specialist, I need to be able to generate and print a Future Event Document populated with the appropriate information from *PROJECT NAME* for my customers, so that they are aware of next steps and upcoming sales and service dates.
		143153	Certificate of Training Case Type	As a Product Specialist working in the Training Department, I need to be able to create a Certificate of Training case within *PROJECT NAME*, so that I can track my work related to obtaining the certificate.
130F	Branch Profiles	143002	Sales Manager Branch Assignment	As an Executive, I need to see and manage which sales and services the Sales Managers in my division are assigned to, so that I can utilize this information in task and case assignment.
		143164	Branch Profiles	As a System Administrator, I can specify the characteristics of each sales and service and relate sales and service records to case and people records (vendors, partners, competitors), so that the proper sales and service information can be associated to and visible on the appropriate records in the system.
132F	Multiple Windows	143043	Case Switching and Multiple Window Viewing	As a *PROJECT NAME* user, I can open or switch between multiple cases or other *PROJECT NAME* records simultaneously in separate windows, so that I can review more than one case or other record at a time.
134F	Add Portal Based Documents	142939	Case Details - Documents	As *PROJECT NAME* user, I need to associate relevant documentation to the case file. This can be scanned documents received from the sales and service, evidence, or any other relevant artifacts so that I can easily access the complete case file on my device. *PROJECT NAME* should automatically set up a folder structure based on case type and should allow users to add additional folders.
		143249	Add Portal Based Documents	*PROJECT NAME* will receive documents via EFILE and store them in the appropriate folders on the relevant case within *PROJECT NAME*.
135F	Work Request Status	143145	Work Request Reporting	As a Supervisor, I can report on the status of Work Requests assigned to my staff, so that I can measure the workload of my team.
136F	Alerts	142934	Notification of ICE Detainer	As as a Sales Manager, I want to be notified via email if one of my customers has been flagged for detainment by ICE, so that I can take the appropriate action(s) to prevent the customer from being deported.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142935	Notification of New Case for Current Customer	As as a Sales Manager, I want to be notified if a new case comes into *PROJECT NAME* for an existing customer with an active case, so that I am aware of all other information related to my customer.
		142936	Notification of Status Change on Another Case for Current Customer	As as a Sales Manager, I want to be notified via email when the stage of another active case for one of my customers changes, so that I am aware of what is happening with other cases related to my customer.
		142993	Reminder to Request Hospital Records	As a Product Specialist, I need *PROJECT NAME* to remind me to request updated hospital records for my customer every 6 months, so that I always have the most up to date information for the case file.
		143097	Pitchess Meeting Date Validation	As as a Sales Manager, I want to be prevented from creating a Pitchess Document in *PROJECT NAME* if the Service Date I enter is less than sixteen days before the meeting date, so that the Document can be served within the proper time frame.
		143098	Notification to Update Pitchess Meeting Outcome	As as a Sales Manager, I want *PROJECT NAME* to notify myself and my manager if I do not update a Pitchess Meeting event with the meeting outcome within a day of the meeting date, so that I or the Team may act on time-sensitive next steps in my case.
		143099	Pitchess Document Case Deactivation Reminders	As as a Sales Manager deactivating a case with a granted Pitchess Document, I need *PROJECT NAME* to prompt me to update the records of any referrals who reviewed in sales and service, so that the Auditor's Contact record can be accessed by other *PROJECT NAME* users.
		143105	Notification for Sales Manager to Meet with Special Campaign Prior to Preliminary Meeting	As as a Sales Manager with a Special Campaign case, I should receive a notification reminding me to meet with Special Campaign 60 days before the Preliminary Meeting date, so that the Special Campaign team can review my case and I can begin preparing the Document to continue my Preliminary Meeting.
		143137	Trade Show Date Warning Notification	As the Lead Sales Manager or Second Sales Manager, I want to be warned if conference dates overlap with specific dates that are meaningful.
		143138	Notification to Re-File Pre-Trade Show Documents	As as a Sales Manager working on a special circumstances case, I want to be notified to refile any appropriate pre-conference documents when the case enters the conference phase, so that I can ensure that they are valid during the conference as well.
		143139	Notification to Request Documentation	As as a Sales Manager working on a special circumstances case, I want to be notified to obtain copies of any relevant exhibits from the prosecution when

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
				the case enters the conference phase, so that I can strategize about which materials I should request to have admitted as evidence.
		143142	Notification to Sales Manager to Correct the Record	As as a Sales Manager working on a special circumstances case, I should receive a notification reminding me to correct the record, so that it is an accurate transcription of the record for purposes of appeal.
		143220	Case File Upload Notification	As a *PROJECT NAME* user with the required permissions, I receive an email alert when new files are uploaded to my cases or contact so that I know I have new documentation to review or have received documents I have requested.
		143036	Partner Transfer to Branch (Insurance Team Referral)	As a Partner Sales Manager, I can refer Partner Transfer Cases to the appropriate Insurance location, so that these cases can be reviewed by the Insurance Executive and assigned to an Insurance Sales Manager for representation.
139F	Support Staff Work Requests	143006	Finance Work Request Team Queue (Branches/Area Offices)	As a Supervising Finance Manager, I need to be able to see all new finance work requests assigned to my branch in one place, so that I know what is in the pipeline awaiting assignment.
		143007	Finance Work Request Assists	As a Supervising Finance Manager or the lead Finance Manager on a work request, I need the ability to request assistance from other Finance Managers on one or more tasks, so that I can complete the work required on that task.
		142991	Display Total Levels on Finance Work Request	As a Supervising Finance Manager, I want to see the total number of levels for a given finance work request, so that the levels can be considered during work request assignment.
		142984	New Work Requests - Finance Managers	As a *PROJECT NAME* user, I can create work requests for Finance Managers, so that I can obtain specific information that I need to provide the optimal representation for my customer.
		143023	Supplemental Work Requests - Finance Managers	As as a Sales Manager or *PROJECT NAME* user, I can submit Supplemental Finance Requests that are related to the original request if I have additional needs for the open Finance Request, so that the Finance Manager can perform the additional work.
		143024	Duty Work Request - Finance Managers	As as a Sales Manager or *PROJECT NAME* user, I need to be able to submit high priority Finance Requests as 'Duty Requests', so that the request can be handled immediately.
		143045	New Work Requests - *PROJECT NAME* user	As as a Sales Manager, I can create Work Requests for *PROJECT NAME* users, so that I request their support in order to provide the optimal representation for my customer.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143047	New Work Requests - Interns	As a *PROJECT NAME* user, I need to be able to create work requests for Interns, so that I can receive their assistance as part of my case preparation.
		143051	New Work Requests - Product Specialists	As a *PROJECT NAME* user, I can create Work Requests for Product Specialists, so that I can obtain more assistance on a case in order to provide the optimal representation for my customer.
		143055	New Work Requests - Interpreter	As a *PROJECT NAME* user, I can create Work Requests for Interpreters, so that I request their help on my case.
141F	Re-Open Work Request	143025	Re-Op Work Requests - Finance Managers	As a Sales Manager or *PROJECT NAME* user, I can create a Re-Op Finance Work Request, so that I can add new tasks for a previously completed work request.
143F	Notes	142943	Case Notes	As as a Sales Manager, I can create notes against my case, so that I can document important information and/or customer interactions related to my case.
		142945	Case Activities - General	As a *PROJECT NAME* user, I need to create activity records to document interactions with all individuals related to the case, so that I can track and report on all engagement or interactions on my cases.
		142966	Ad Hoc Consultations	As an Sales Manager, I can track ad hoc phone calls I receive, so that I can leverage *PROJECT NAME* to report on all statistics.
146F	Ad-Hoc Reports	143106	Expert Testimony Tracking	As as a Sales Manager or *PROJECT NAME* user, I can indicate whether an expert reviewed in a preliminary meeting or conference and which expert it was, so that *Client* can track prosecution experts and also measure the effectiveness of the experts called by *Client* Associate to testify.
		143145	Work Request Reporting	As a Supervisor, I can report on the status of Work Requests assigned to my staff, so that I can measure the workload of my team.
		143199	Filed Pitchess Document Report	As a team member, I can view a report of newly filed Pitchess Documents in *PROJECT NAME*, so that the team is aware of potential cases.
		143147	Reporting: Product Specialist Metrics	As an Executive, I can run a monthly report of Product Specialist Metrics, so I can track the workload of the team's Product Specialists.
		143152	Reporting: Sales Manager Metrics	As an Executive, I want to be able to run a monthly report of Sales Manager Metrics, so I can track and measure the workload of the team's Sales Managers.
		143163	Reporting: Intern Metrics	As an Executive, I want to be able to run a monthly report of Intern Metrics, so I can track and measure the workload of the team's Interns.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143172	Reporting: Sales Manager Metrics	As the Team Executive, I want to be able to run a monthly report of Sales Manager metrics within my team, so I can track and measure the workload of the Team's Sales Managers.
		142998	Ad Hoc Reports and Graphical Representations	As a *PROJECT NAME* user, I can create ad hoc reports on data in *PROJECT NAME* that I have permission to see and can apply charts and graphs to those reports, so that I can analyze and view reported data in the most logical method for the subject matter.
151F	Reassignment	142994	Admin Finance Manager Work Request Queue	As the Admin Supervising Finance Manager, I need to be able to see all new Finance Requests in one place, so that I can assign requests to the appropriate Finance Team Queue for assignment to an individual Finance Manager.
		143114	Case Reassignment	As an Executive, or their delegate, I need to be able to quickly reassign a case to another Sales Manager, so that the new Sales Manager can have access to the case and all relevant information.
		143116	Case Dismissal and Refiling	As as a Sales Manager, I can associate a dismissed case with a newly re-filed case for the same customer, so that I can utilize the case details and documentation from the prior case in my strategy for the new case.
152F	Extract portions of a document	143091	Share Portions of Case with External Experts	As as a Sales Manager, I need to give external experts access to specific parts of a case, so that they can perform their analysis and I can track their response as part of my case preparation work.
		143195	Duplicate Case Details for Outside Sales Managers	As a *PROJECT NAME* user, I can duplicate a case file for an external Sales Manager, so that external Sales Managers who assume representation of a *Client* customer due to conflicts or other reasons can utilize the case information collected by *Client*.
		143196	Duplicate Case Details for Customers	As a *PROJECT NAME* user, I can duplicate a case file for a customer, so that I can provide a copy of the case file to the customer with necessary redactions and exclusions.
		143218	Provide Documents to Appointed Expert(s)	As a *PROJECT NAME* user with appropriate permissions, I need to Consult an Expert, give them access to specific parts of the Case document content, so that I can track their response as part of my preparation during prelim and post prelim.
		143221	Share Case Details and Files with Outside Sales Managers	As a *PROJECT NAME* user, I can share case associated documents with an outside Sales Manager, so that outside Sales Managers who represent *Client* customers that are conflicted out at a later stage in the case can utilize the case information collected by *Client*.

***Client* Req Number**	***Client* Requirement Name**	**Req Id**	***PROJECT NAME* Requirement**	***PROJECT NAME* User Story**
		143238	Extract portions of a document	As a *PROJECT NAME* user with the required permissions, I can open documents and select portions into another document so that it can be shared by various methods.
		142942	Product Tagging	As a *PROJECT NAME* user with required permissions, I need to be able to redact and add multiple tags to portions of my case products so that I can begin organizing my file for conference. I should be able to search and filter my Product by assigned tags.
161F	Outlook	143194	Outlook	As a *PROJECT NAME* user, I can synchronize emails and calendar events between Outlook and *PROJECT NAME*, so that I have all correspondence related to a case in *PROJECT NAME* and can see my updated schedule in either calendar at any given time.
		143192	Calendar by User	As a *PROJECT NAME* user, I need to be able to manage and access my work calendar in *PROJECT NAME*, so that I have better visibility of upcoming sales and service dates and other significant events.
		143193	Calendar by Role	As a supervisor, I need to be able to see a calendar for a specific role, so that I have better visibility into and management of my staff's workload and upcoming sales and service dates.
162F	Calendaring	143192	Calendar by User	As a *PROJECT NAME* user, I need to be able to manage and access my work calendar in *PROJECT NAME*, so that I have better visibility of upcoming sales and service dates and other significant events.
		143193	Calendar by Role	As a supervisor, I need to be able to see a calendar for a specific role, so that I have better visibility into and management of my staff's workload and upcoming sales and service dates.
		143190	Branch Event Information	As a *PROJECT NAME* user with access to a case, I need to see a history of the case's sales and service events, so I can better understand the overall case history, current case status, and identify future sales and service dates.
165F	Scheduling Conflicts	143191	Scheduling Conflicts	As a *PROJECT NAME* user, I need to be alerted when I schedule a new event that conflicts with an existing event, so that I can make changes to my schedule to accommodate important events related to my case.
170F	Check-out case folders	143239	Check-out case folders	As a *PROJECT NAME* user with the required permissions, I can check out and download the contents of a case to my laptop, so that I can access them while I'm not connected to *PROJECT NAME*.
		143186	Offline Case Access	As a *PROJECT NAME* user, I need the ability to access a case when I do not have an internet connection, so that I can make any necessary updates to it when I am working remotely.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143187	Mobile Capabilities	As a *PROJECT NAME* user, I need to be able to perform the same *PROJECT NAME* tasks I perform on my computer on my mobile device, so that I can leverage my mobile device in a remote setting.
		143219	Offline Case File Access	As a *PROJECT NAME* user I need the ability to access and update case Product contents even if I do not have an internet connection. I need to be able to access attachments as well as upload new ones I may receive so that I can keep the case file up to date.
171F	Check-in case folders	143186	Offline Case Access	As a *PROJECT NAME* user, I need the ability to access a case when I do not have an internet connection, so that I can make any necessary updates to it when I am working remotely.
		143187	Mobile Capabilities	As a *PROJECT NAME* user, I need to be able to perform the same *PROJECT NAME* tasks I perform on my computer on my mobile device, so that I can leverage my mobile device in a remote setting.
		143219	Offline Case File Access	As a *PROJECT NAME* user I need the ability to access and update case Product contents even if I do not have an internet connection. I need to be able to access attachments as well as upload new ones I may receive so that I can keep the case file up to date.
		143240	Check-in case folders	As a *PROJECT NAME* user with the required permissions, I can upload the changed contents of a case from my device to *PROJECT NAME* so that all content is current.
173F	Case Disposition	142996	Collaborative Branch - Program/Treatment Tracking	As a Collaborative Branch Sales Manager, I can track which program and service provider my customer has been enrolled in, so that I can stay informed on their status and take additional action at the completion of their sentence.
		143041	Referral to Partner Specialty Courts	As as a Sales Manager, I can refer a case to a Partner Specialty Branch for customers who are good candidates for a post-adjudication specialty sales and service, so that the customer can receive the appropriate treatment as part of their disposition, if eligible.
		143042	Automatically Close Partner Case	As a Partner Sales Manager, I need *PROJECT NAME* to automatically set my case to 'Inactive' when certain criteria has been met, so that I don't have to manually deactivate cases that meet the criteria.
		143129	Capture Case Resolution/Disposition Details	As a *PROJECT NAME* user, I need to view the disposition outcome of a resolved case and add additional details as needed, so that *Client* can measure and report on case outcomes.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143048	Confidential Partner Case	As a Partner Team member, I need to be able to 'seal' a partner case away from all other internal users and the public, so that I can keep my customer's file confidential.
		143131	Deactivate Case	As as a Sales Manager, I need to be able to set a case status to Inactive, so that I can indicate there are no future sales and service dates.
179F	Reopen deactivated case	143134	Reopen Deactivated Case	As a *PROJECT NAME* user, I need the ability to change a case status from "Inactive" to 'Active", so that I can resume my work on that case.
		143116	Case Dismissal and Refiling	As as a Sales Manager, I can associate a dismissed case with a newly re-filed case for the same customer, so that I can utilize the case details and documentation from the prior case in my strategy for the new case.
180F	Access to Cases	143077	Personnel Reporting	As an Administrative Assistant, I need to generate specific personnel reports in *PROJECT NAME*, so that I can utilize them during the Sales Manager reassignment and allocation process.
		143101	Branch Disparity Reporting	As an Administrative Assistant, I need to compare statistics between branch locations and sales and servicehouses, so that I can perform additional analysis on dispositions.
		143102	Sales Manager Impact Report	As an Administrative Assistant, I need to understand the impact my Sales Managers have on case dispositions, so I can measure the effectiveness of the Sales Managers in my division.
		143174	Reporting: Finance Work Request Metrics	As a Supervising Finance Manager, I need to be able to run reports on Finance work requests, so that I can track and measure Finance Manager workload.
		143079	Personnel Allocation Reporting and Dashboard - Snapshots	As an Executive, I need to save and archive the Personnel Allocation Reporting and Dashboards that are sent bi-monthly, so that I can perform historical trend analysis at a later point in time.
183F	On-demand Reports	143147	Reporting: Product Specialist Metrics	As an Executive, I can run a monthly report of Product Specialist Metrics, so I can track the workload of the team's Product Specialists.
		143152	Reporting: Sales Manager Metrics	As an Executive, I want to be able to run a monthly report of Sales Manager Metrics, so I can track and measure the workload of the team's Sales Managers.
		143163	Reporting: Intern Metrics	As an Executive, I want to be able to run a monthly report of Intern Metrics, so I can track and measure the workload of the team's Interns.
		143172	Reporting: Sales Manager Metrics	As the Team Executive, I want to be able to run a monthly report of Sales Manager metrics within my team, so I can track and measure the workload of the Team's Sales Managers.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143077	Personnel Reporting	As an Administrative Assistant, I need to generate specific personnel reports in *PROJECT NAME*, so that I can utilize them during the Sales Manager reassignment and allocation process.
		143101	Branch Disparity Reporting	As an Administrative Assistant, I need to compare statistics between branch locations and sales and service, so that I can perform additional analysis on dispositions.
		143102	Sales Manager Impact Report	As an Administrative Assistant, I need to understand the impact my Sales Managers have on case dispositions, so I can measure the effectiveness of the Sales Managers in my division.
		143174	Reporting: Finance Work Request Metrics	As a Supervising Finance Manager, I need to be able to run reports on Finance work requests, so that I can track and measure Finance Manager workload.
		143079	Personnel Allocation Reporting and Dashboard - Snapshots	As an Executive, I need to save and archive the Personnel Allocation Reporting and Dashboards that are sent bi-monthly, so that I can perform historical trend analysis at a later point in time.
		143124	Monthly Update to Special Campaign Report	As a member of the Special Campaign team, I need to review a report detailing the activities taken in the past month on my team's cases, so that I can track the progress of each case.
		143127	Restorative Services Reporting	As an Administrative Assistant, I need to track the post-case statuses and progression of my customers after *Client* Associate representation, so that I can get a holistic view of my customers.
		143159	Product Specialist Skill Set Report	As a Supervising Product Specialist, I need to be able to run a report of all Product Specialists within my location and division and their skill sets, so that I can utilize this information to assign case work.
		143176	Special Campaign Case Report	As a Special Campaign Coordinator, I want to be able to run a report that displays all active Special Campaign cases for that month, so I can review key information on these cases regularly.
		143173	Reporting: Interpreter Metrics	As a Supervising Product Specialist that manages Interpreters, I want to be able to run a monthly report on Interpreter work requests, so that I can track and measure the interpreters' workload.
		143161	Workload Metrics for Resource Allocation	As an Administrative Assistant, I need the ability to compare workload across different teams and locations, so that I can allocate or reassign resources based on the most immediate needs.
		143026	General Time Tracking - Sales Managers	As as a Sales Manager, I can log my daily time for each case that I'm working on, so that management can have an accurate picture of how much time Sales Managers are spending on each case.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143027	General Time Tracking - Support Staff	As a *PROJECT NAME* user, I can log my daily time for each task that I'm working on, so that I can account for the hours that I work each day.
184F	Threshold Data	143100	Cases In Need of Review	As an Executive, I need visibility on cases that have abnormal statistics, so that I am aware of any cases that may need additional assistance.
185F	Specific Reports	143147	Reporting: Product Specialist Metrics	As an Executive, I can run a monthly report of Product Specialist Metrics, so I can track the workload of the team's Product Specialists.
		143152	Reporting: Sales Manager Metrics	As an Executive, I want to be able to run a monthly report of Sales Manager Metrics, so I can track and measure the workload of the team's Sales Managers.
		143163	Reporting: Intern Metrics	As an Executive, I want to be able to run a monthly report of Intern Metrics, so I can track and measure the workload of the team's Interns.
		143172	Reporting: Sales Manager Metrics	As the Team Executive, I want to be able to run a monthly report of Sales Manager metrics within my team, so I can track and measure the workload of the Team's Sales Managers.
		143174	Reporting: Finance Work Request Metrics	As a Supervising Finance Manager, I need to be able to run reports on Finance work requests, so that I can track and measure Finance Manager workload.
		143173	Reporting: Interpreter Metrics	As a Supervising Product Specialist that manages Interpreters, I want to be able to run a monthly report on Interpreter work requests, so that I can track and measure the interpreters' workload.
		142997	Specific Reports	As a *PROJECT NAME* user with the appropriate profile permissions, I can view, create and/or edit reports that I need to monitor/report on my own work and the work of others, so that I can see key performance indicators and metrics that are important to me on a regular basis.
		143175	Product Specialist Work Requests Reports	As an Administrative Assistant, I need visibility into the statistics around Product Specialist Work Requests, so that I can properly allocate resources and personnel.
186F	External Document Sources	143214	Data Migration from DMS	As a *PROJECT NAME* user, I need the ability to view my existing case data from DMS in *PROJECT NAME*, so that I can effectively perform my job
		143215	Data Migration from JAI	As a *PROJECT NAME* user, I need the ability to view my existing case data from JAI in *PROJECT NAME*, so that I can effectively perform my job
		143216	Data Migration from FileMaker Pro	As a *PROJECT NAME* user, I need the ability to view my existing case data from FileMaker Pro Databases in *PROJECT NAME*, so that I can effectively perform my job

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
190F	Import from Multiple Media Types	143227	Import from Multiple Media Types	As a *PROJECT NAME* user with the required permission, I can upload documents into a defined sub-folder of type 'media' on my case, so that these documents may be stored and retrieved from *PROJECT NAME*.
191F	Work Request Assignment	143005	Finance Manager Work Request Assignment (Central)	As an Finance Team Supervisor in Central, I need to see all Finance Requests for my team in one place, so that I can fairly and accurately delegate requests.
		143052	Product Specialist Work Request Approval	As a Supervising Product Specialist, I can review new Product Specialist Work Requests and reject them if necessary, so that Product Specialists do not take on requests that should be handled elsewhere.
		142981	Case Tasks - Utilize Sales Manager Trainees	As as a Sales Manager, I need the ability to assign case tasks to a Head Trainer, so that they can then assign these tasks to Interns as a part of their learning process.
		143055	New Work Requests - Interpreter	As a *PROJECT NAME* user, I can create Work Requests for Interpreters, so that I request their help on my case.
192F	Create Work Requests	143025	Re-Op Work Requests - Finance Managers	As as a Sales Manager or *PROJECT NAME* user, I can create a Re-Op Finance Work Request, so that I can add new tasks for a previously completed work request.
		142979	Major Fraud Referral	As a Lead Sales Manager, I need the ability to refer my case to the Major Fraud team, so that they can provide assistance with my case.
		142947	Case Referral	As a Lead Sales Manager, I need the ability to refer my case to another division or team, so that they can provide assistance with my case.
		142960	Collaborative Branch Referral	As as a Sales Manager, I need to refer my case to a Collaborative Branch Sales Manager if a customer meets the basic criteria of a Collaborative Branch and the Corporate agrees on that course of action, so that the customer can receive the appropriate services.
		142967	Marketing Specialist Team Referral	As a Lead Sales Manager, I need the ability to refer my case to the Team, so that they can provide assistance with my case.
		142971	Sales Manager Consultations (Referral)	As as a Sales Manager, I need to be able to request a consultation from an Sales Manager in *PROJECT NAME*, so that an Sales Manager can be assigned to the request and the work can be managed in *PROJECT NAME*.
		143015	Instrument Team Referral	As as a Sales Manager, I can refer a case to the Instrument Team, so that I can consult with an expert regarding potential instrument issues related to my customer's case.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143031	Referral	As as a Sales Manager on a case, I need the ability to refer my case to the Team, so that a determination of competency can be made in the sales and service.
		143093	Referral	As a Lead Sales Manager, I need the ability to refer my case to the team, so that they can provide support on potential referrals related to my case.
		143096	Auto-Generate Finance Work Request to Serve Pitchess Document	As as a Sales Manager, I need *PROJECT NAME* to create an Finance Work Request, so that I do not have to create the Finance Work Request manually.
		142984	New Work Requests - Finance Managers	As a *PROJECT NAME* user, I can create work requests for Finance Managers, so that I can obtain specific information that I need to provide the optimal representation for my customer.
		143023	Supplemental Work Requests - Finance Managers	As as a Sales Manager or *PROJECT NAME* user, I can submit Supplemental Finance Requests that are related to the original request if I have additional needs for the open Finance Request, so that the Finance Manager can perform the additional work.
		143024	Duty Work Request - Finance Managers	As as a Sales Manager or *PROJECT NAME* user, I need to be able to submit high priority Finance Requests as 'Duty Requests', so that the request can be handled immediately.
		143045	New Work Requests	As as a Sales Manager, I can create Work Requests, so that I request their support in order to provide the optimal representation for my customer.
		143047	New Work Requests	As a *PROJECT NAME* user, I need to be able to create work requests for Interns, so that I can receive their assistance as part of my case preparation.
		143051	New Work Requests	As a *PROJECT NAME* user, I can create Work Requests for Product Specialists, so that I can obtain more assistance on a case in order to provide the optimal representation for my customer.
		143055	New Work Requests	As a *PROJECT NAME* user, I can create Work Requests for Interpreters, so that I request their help on my case.
		142987	Work Request Tasks	As a *PROJECT NAME* user who received the work request, I need to be able to create and update tasks that are part of a Work Request, so that I can manage my work in the system.
195F	Track Time Spent on Case	143034	Finances Daily Log	As an Finance Manager, I need *PROJECT NAME* to assist me in generating a daily log of my activities, so that my supervisor has visibility of my daily activity.

Client **Req Number**	***Client*** **Requirement Name**	**Req Id**	***PROJECT NAME*** **Requirement**	***PROJECT NAME*** **User Story**
		143028	Finance Manager Overtime Submission	As an Finance Manager, I need to be able to submit a request for overtime approval to my Supervisor for any work to be performed outside of business hours, so that I have authorization to work overtime.
		143026	General Time Tracking - Sales Managers	As as a Sales Manager, I can log my daily time for each case that I'm working on, so that management can have an accurate picture of how much time Sales Managers are spending on each case.
		143027	General Time Tracking - Support Staff	As a *PROJECT NAME* user, I can log my daily time for each task that I'm working on, so that I can account for the hours that I work each day.
196F	Track Case Expenses	143064	Internal Approvals	As a *PROJECT NAME* user, I can submit items to my supervisor that require approval in *PROJECT NAME*, so that I can track approvals that are required to perform work or obtain services.
		143083	Track Case Expenses	As a *PROJECT NAME* user, I can track expenses that I incur against a case, so that case expense metrics can be collected and measured in reporting.
		143081	Travel Requests	As a *PROJECT NAME* user, I need to submit a Travel Request form for approval at least ten days prior to my departure date (if possible) for a given trip, so that my travel can be approved and booked by the travel coordinator.
		143084	Travel Request Expense Claims	As a *PROJECT NAME* user, I need to submit a Travel Expense Claims form for approval by my supervisor no later than two weeks after the completion of my trip, so that it can be routed to Accounts Payable for reimbursement.
198F	Multiple output formats	143079	Personnel Allocation Reporting and Dashboard - Snapshots	As an Executive, I need to save and archive the Personnel Allocation Reporting and Dashboards that are sent bi-monthly, so that I can perform historical trend analysis at a later point in time.
		143173	Reporting: Interpreter Metrics	As a Supervising Product Specialist that manages Interpreters, I want to be able to run a monthly report on Interpreter work requests, so that I can track and measure the interpreters' workload.
		143161	Workload Metrics for Resource Allocation	As an Administrative Assistant, I need the ability to compare workload across different teams and locations, so that I can allocate or reassign resources based on the most immediate needs.
		142997	Specific Reports	As a *PROJECT NAME* user with the appropriate profile permissions, I can view, create and/or edit reports that I need to monitor/report on my own work and the work of others, so that I can see key performance indicators and metrics that are important to me on a regular basis.
		143175	Product Specialist Work Requests Reports	As an Administrative Assistant, I need visibility into the statistics around Product Specialist Work Requests, so that I can properly allocate resources and personnel.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142999	Multiple Report Output Formats	As a *PROJECT NAME* user, I need to export *PROJECT NAME* reports into multiple formats, so that I can perform additional analysis on the data and distribute the information outside of *PROJECT NAME* as needed.
199F	Create Case	142930	Create Case	As a *PROJECT NAME* user, I need the sales and service system to send case records and related information directly to the *PROJECT NAME*, so that I can track all of *Client* Associate's case information in a centralized location.
		142977	Special Action Case Type	As an Sales Manager, I can create a Special Action Case in *PROJECT NAME*, so that I can track any work that I perform on contempt or sanction issues brought against *Client* Associate Sales Managers.
		143217	Case Cloning	As an authorized *PROJECT NAME* user, I need the ability to clone a case and all of its related Product items and folder structure so that I can begin working a new, related active case.
		143153	Certificate of Training Case Type	As a Product Specialist working in the Training Department, I need to be able to create a Certificate of Training case within *PROJECT NAME*, so that I can track my work related to obtaining the certificate.
Dep200F	Work Request Scoring	143058	Work Request Scoring	As a Supervisor, I can see the "score" or value of each task for a given Work Request, so that I can track the workload of my direct reports.
201F	Work Request Completion	142987	Work Request Tasks	As a *PROJECT NAME* user who received the work request, I need to be able to create and update tasks that are part of a Work Request, so that I can manage my work in the system.
		142988	Work Request/Task Cancellation	As a Support Staff user, I need *PROJECT NAME* to update the status of my Work Request and any open Tasks automatically if the case status changes before I complete the tasks, so that I am aware of any key updates to the case.
207F	Case Type List	142938	Case Details	As a *PROJECT NAME* user with the correct permissions to view and edit case records, I can enter and edit the required details as defined by the case type, so that I can maintain an accurate digital case record.
		143166	Case Type List	As a System Administrator, I can manage the list of case types (also known as case 'record types') within *PROJECT NAME*, so that I can maintain the system as *Client* Associate's case types change over time.
208F	Flexible Document Placement Rules	142970	Flexible Document Placement Rules	As a *PROJECT NAME* administrator, I can configure rules that will control how files and documents are categorized and placed into folders as they relate to a case so that document folders and files can be organized in a logical manner.

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212F	Physical File and Document Tracking	143232	Physical File and Document Tracking	As a *PROJECT NAME* user with the required permission, I can view information associated with a scanned document that provides the location of the original paper document so that it can be located when needed.
213F	Track Physical Evidence	143085	Track Physical Evidence	As a *PROJECT NAME* user, I can track the physical location of case-related evidence, so that it is easy to locate artifacts related to the case that are stored off-site.
214F	Document Versioning	143226	Document Versioning	As a *PROJECT NAME* user with the required permission, I can upload and maintain multiple versions of the same document, so that I can use the same document in different ways per my case strategy.
215F	Unknown Document Formats	143224	Unknown Document Format	As a *PROJECT NAME* user with the required permissions, I can upload unconverted and unknown file type or file format into a defined sub-folders within *PROJECT NAME*, so that the integrity of the original content is retained and regardless of whether the content may be viewable or not.
216F	Request Document Viewer/Player	143225	Request Document Viewer/Player	As a *PROJECT NAME* user with the required permissions, I will be notified when that content I added to *PROJECT NAME* is of an unknown type. A notification will be sent to IT to create a work request to make appropriate viewers available so that content can be viewed.
217F	Organize Documents	143219	Offline Case File Access	As a *PROJECT NAME* user I need the ability to access and update case Product contents even if I do not have an internet connection. I need to be able to access attachments as well as upload new ones I may receive so that I can keep the case file up to date.
		143241	Organize Documents	As a *PROJECT NAME* user with the required permissions, I can add information to a document, so that I have the ability to organize the documents as I see fit.
218F	Annotate Case Documents	143242	Annotate Case Documents	As a *PROJECT NAME* user with the required permissions, I can annotate or markup documents to highlight important pieces of information so that I can prepare documentation as it relates to my case strategy.
220F	Other Administer Cases	143094	Case File Security	As a *PROJECT NAME* user, I am only able to see and edit referrals in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.
		143131	Deactivate Case	As as a Sales Manager, I need to be able to set a case status to Inactive, so that I can indicate there are no future sales and service dates.
		142931	Case Team	As a *PROJECT NAME* user, I need to be able to see which *Client* Associate employees are working on a case, including the line Sales Manager and support staff, so that I know who to collaborate with on that case.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142976	Case Ownership Check	As an *PROJECT NAME* user, I need to check if the originating case that has a Notice of Appeal is being handled by *Client*, so that I can determine if the request should be accepted or rejected.
221F	Record Interview with Customer	143107	Insurance Customer Intake (Yellow Sheet)	As a Product Specialist, I need to be able to fill out a 'Yellow Sheet' equivalent for any non-conflicting Insurance cases for the assigned Sales Manager to review, so that the Sales Manager has basic information about the customer and the case.
		143115	Insurance Customer Intake (Half Blue Sheet)	As a *PROJECT NAME* user, I need to be able to fill out a 'Half Blue Sheet' equivalent in *PROJECT NAME*, so that I can track any Strike Priors that my customer may have.
		142963	Customer Financial Qualification	As a *PROJECT NAME* user, I need to fill out a Financial Qualification form, so that I can determine if a customer qualifies for *Client* Associate's services.
		142964	Customer Intake (Green Sheet)	As as a Sales Manager or *PROJECT NAME* user, I need to be able to fill out a 'Green Sheet' equivalent in *PROJECT NAME*, so that I can begin the intake process for a non-conflicting case.
		142995	Civil Case Intake	As a Civil Team Sales Manager, I need to be able to fill out an intake equivalent for any non-conflicting Civil cases, so that I can gather basic information about the customer and the case.
		143014	Gather Instrument Data During Customer Intake	As as a Sales Manager, I want to be able to gather information related to a customer's Instrument status as part of the intake process in *PROJECT NAME*, so that members of the Instrument Team can leverage the information when advising me on my case.
		143148	Commteamy Outreach Event Intake	As a *PROJECT NAME* user working at a commteamy outreach event, I need an intake form to collect information on my potential customers, so that we can provide or refer them to the appropriate services.
222F	Register of *PROJECT NAME* Actions	143170	Data Retention	As a System Administrator, I want to be able to maintain an archive of field history data, so that I can retain it for longer than the standard eighteen month period.
223F	Calendaring View	143180	National Account Assignment	As the Insurance Executive in charge of scheduling, I need a way to view current Sales Manager preliminary meeting schedules, so that I can assign upcoming Insurance cases according to preliminary meeting workloads and Sales Manager availability.
		143183	Branch Queue	As as a Sales Manager assigned to a Division, I can see a queue of cases, so that I can represent a customer in sales and service.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		143185	Sales Manager Case Assignment	As an Executive reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		142989	Sales Manager Case Assignment	As an Executive/DIC for *Client* reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143035	Partner Case Assignment	As a Service Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143069	Case Assignment	As the Engineering Manager reviewing incoming cases for assignment, I need to see a list of all Sales Managers within my location and division along with their relevant workload, skill set, and sales and service assignment statistics, so that I can make an informed decision when assigning new cases.
		143192	Calendar by User	As a *PROJECT NAME* user, I need to be able to manage and access my work calendar in *PROJECT NAME*, so that I have better visibility of upcoming sales and service dates and other significant events.
		143193	Calendar by Role	As a supervisor, I need to be able to see a calendar for a specific role, so that I have better visibility into and management of my staff's workload and upcoming sales and service dates.
224F	Title Sheet for Scanned Cases	143234	Title Sheet for Scanned Cases	As a *PROJECT NAME* user with the required permissions, I will be able to select a template document to be inserted into the scanned version of the document, so that I can use it as the title sheet for each scanned document.
225F	Manage Case File Structure	142969	Manage Case File Structure	As a *PROJECT NAME* user, I can add new case file folders to the case file folder structure, so that I can store case file documentation in a logical order.
226F	Graphic Representation of Values	142998	Ad Hoc Reports and Graphical Representations	As a *PROJECT NAME* user, I can create ad hoc reports on data in *PROJECT NAME* that I have permission to see and can apply charts and graphs to those reports, so that I can analyze and view reported data in the most logical method for the subject matter.
227F	Work Request Workflow	143003	Work Request Review and Approval	As a Supervisor, I can review new work requests and reject them if necessary, so that my team does not take on requests that should be handled elsewhere.
		143169	Work Request Workflow	As a System Administrator, I can configure Work Request Workflows in *PROJECT NAME* to provide automation supporting the work request process,

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
				so that users have a more seamless experience in requesting, reviewing, assigning and completing work requests.
		143013	Finance Report Approval Process	As an Finance Manager, I must submit my completed finance report to my supervisor for review before providing it to the requesting Sales Manager, so that there is a quality assurance process that takes place before the report is released.
228F	Custom Extensions	143162	Custom Extensions	As a System Administrator, I need the ability to extend the functionality of the system by customizing screens, creating workflows, and modifying existing logic, so that I can ensure that the system meets the evolving needs of my users.
230F	Person Centric Interaction	142938	Case Details	As a *PROJECT NAME* user with the correct permissions to view and edit case records, I can enter and edit the required details as defined by the case type, so that I can maintain an accurate digital case record.
		143107	Insurance Customer Intake (Yellow Sheet)	As a Product Specialist, I need to be able to fill out a 'Yellow Sheet' equivalent for any non-conflicting Insurance cases for the assigned Sales Manager to review, so that the Sales Manager has basic information about the customer and the case.
		143115	Insurance Customer Intake (Half Blue Sheet)	As a *PROJECT NAME* user, I need to be able to fill out a 'Half Blue Sheet' equivalent in *PROJECT NAME*, so that I can track any Strike Priors that my customer may have.
		142963	Customer Financial Qualification	As a *PROJECT NAME* user, I need to fill out a Financial Qualification form, so that I can determine if a customer qualifies for *Client* Associate's services.
		142964	Customer Intake (Green Sheet)	As as a Sales Manager or *PROJECT NAME* user, I need to be able to fill out a 'Green Sheet' equivalent in *PROJECT NAME*, so that I can begin the intake process for a non-conflicting case.
		142995	Case Intake	As a Team Sales Manager, I need to be able to fill out an intake equivalent for any non-conflicting Civil cases, so that I can gather basic information about the customer and the case.
		143014	Gather Instrument Data During Customer Intake	As as a Sales Manager, I want to be able to gather information related to a customer's Instrument status as part of the intake process in *PROJECT NAME*, so that members of the Instrument Team can leverage the information when advising me on my case.
		143148	Commteamy Outreach Event Intake	As a *PROJECT NAME* user working at a commteamy outreach event , I need an intake form to collect information on my potential customers, so that we can provide or refer them to the appropriate services.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142940	Referral Tracking	As a *PROJECT NAME* user, I need to easily capture any referrals related to a case, so that this data can be leveraged in product development.
		142946	Customer Details (Contact)	As a *PROJECT NAME* user, I need a way to track individual people and ultimately associate them to cases, so that I can store relevant information about those individuals and see which cases they are associated with.
		143080	History Flag on a Contact	As a *PROJECT NAME* user, I need *PROJECT NAME* to flag referrals on my case that have had prior history, so that I can take that into consideration as part of my case strategy.
		143118	Customer Employment History	As a *PROJECT NAME* user, I need to be able to add multiple jobs for a given customer in *PROJECT NAME*, so that I can build a complete employment history for my customer.
		143122	Customer Additional Addresses	As a *PROJECT NAME* user, I need to be able to add multiple residence addresses to my customer, so that I can build a complete housing history for my customer.
		143178	Household Accounts	As a *PROJECT NAME* user, I want to be able to track individuals living at the same address, so that I can identify members of the same household as my customer as needed for my case strategy.
		143071	Customer Case Worker	As a *PROJECT NAME* user, I need to be able to track external Interns who are working with or have worked with my customer, so that I have a holistic view of those individuals affecting my customer's status.
		143087	Expert Database	As as a Sales Manager, I need to be able to search for an expert in *PROJECT NAME* and relate that expert to my case, so that I can track all experts that I utilized as part of my conference preparation.
		143144	Customer Relationships	As a *PROJECT NAME* user, I want to be able to track relationships between my customer and other relevant individuals in *PROJECT NAME*, so that I can identify any relationships my customer has that are relevant to my case strategy.
		143036	Partner Transfer to Branch (Insurance Team Referral)	As a Partner Sales Manager, I can refer Partner Transfer Cases to the appropriate Insurance location, so that these cases can be reviewed by the Insurance Executive and assigned to an Insurance Sales Manager for representation.
231F	Case Centric Interaction	143094	Case File Security	As a *PROJECT NAME* user, I am only able to see and edit referrals in *PROJECT NAME* for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in *Client*.

Client Req Number	*Client* Requirement Name	Req Id	*PROJECT NAME* Requirement	*PROJECT NAME* User Story
		142938	Case Details	As a *PROJECT NAME* user with the correct permissions to view and edit case records, I can enter and edit the required details as defined by the case type, so that I can maintain an accurate digital case record.
		142932	Customer Case History	As as a Sales Manager, I need a view to see a customer's history of cases, so that I can perform any necessary analysis or research on those cases as needed to represent my customer.
		142980	Charge Tracking	As a *PROJECT NAME* user, I can see the original and final charges on my case, so that I can measure the progress that was made on that case as a result of *Client* Associate's representation of the customer.
		143049	Sealed Partner Case Message	As a *PROJECT NAME* user attempting to access a sealed partner case, I should see a prominent message indicating the case's sealed status, so that I am reminded to adhere to the legal requirements of sealed cases.
		143036	Partner Transfer to Branch (Insurance Team Referral)	As a Partner Sales Manager, I can refer Partner Transfer Cases to the appropriate Insurance location, so that these cases can be reviewed by the Insurance Executive and assigned to an Insurance Sales Manager for representation.
232F	Send Requests to External Agencies	143012	Send Requests to External Agencies	As a *PROJECT NAME* user, I want to be able to request documentation from a contact at an external agency, so that I can review it and potentially utilize it as part of my case strategy.

Following is a list of requirements related to Data Migration, Integrations and gaps that were identified but not traceable back to an *Client* requirement.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		146917	DM: *Client* Review of Test Data Load	*Client* will review the test data load in the Full Test Sandbox. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved
		143198	Salesforce Session Timeout	As a *PROJECT NAME* user, after I log into *PROJECT NAME*, I should stay logged in for as long as the system will allow, so that I will not be asked for my credentials again unless I log out.
		143210	Active Directory integration	As a *PROJECT NAME* user I should be able to use my credentials for access to Salesforce
		143212	PDARTS integration	As a *PROJECT NAME* user, if Odyssey go live is delayed, I need data integration with DMS for EC2 to function properly for new cases.
		143213	Odyssey to *PROJECT NAME* to PDARTS integration (release 1)	As a *PROJECT NAME* user, I need PDARTS to receive Case Setup data from Odyssey through *PROJECT NAME*.
		146913	DM: Setup EC2 Environment	Setting up EC2 Environment - SQL Setup, Scribe Agent Install
		146914	DM: Extraction of Test Legacy Data into EC	Test Data will be loaded into the staging database *Client* will be notified of any errors that occur at this stage Data Manipulation will occur at this point in time to prepare for import _
		146915	DM: Initial Data Map	Field mappings from legacy systems will be created and mapped in Scribe for the new objects/fields in *PROJECT NAME* _
		146916	DM: Test Data Load	Approximately 50,000 records will be loaded by P.S, as a initial test data load. These records will be loaded into a Full Test Sandbox _
		146918	DM: *Client* Review of Test Data Load	*Client* will review the test data load in the Full Test Sandbox. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved
		146919	DM: Review of Generated Test Data Errors	P.S will provide *Client* the generated error logs from Scribe Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved _

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		146920	DM: Revised Data Map Creation	After the initial test data load, it is likely that revisions to the data map will need to occur. P.S will revise the existing mapping to address any issues that occurred, and sign off will be requested from *Client* on the updated data maps
		146921	DM: Extraction of Legacy Data into EC2	Assuming a cutoff date of October 31, 2018, *Client* will extract legacy data and load the extracted files on the EC2 server. This will allow for sufficient time for records to be loaded before go-live, and provide enough lead time for review from *Client* Data Manipulation will occur at this point in time to prepare for import _
		146922	DM: *PROJECT NAME* Data Load - Initial	From the extracted records that sit in the staging database, P.S will load the records into the *PROJECT NAME* Production Org via Scribe
		146923	DM: *Client* Review of *PROJECT NAME* Data Load - Initial	*Client* will review the initial data load in *PROJECT NAME*. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved _
		146924	DM: Review of Generated *PROJECT NAME* Data Errors	P.S will provide *Client* the generated error logs from Scribe. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved.
		146925	DM: Address Outstanding Issues	With the initial data load into *PROJECT NAME* completed, this will give P.S time to address potential code inefficiencies or automation changes that are required before go-live _
		146926	DM: Extraction of Remaining Legacy Data	With the initial data load into *PROJECT NAME* completed, this will give P.S time to address potential code inefficiencies or automation changes that are required before go-live
		146927	DM: *PROJECT NAME* Data Load - Remaining Records	With the initial data load into *PROJECT NAME* completed, this will give P.S time to address potential code inefficiencies or automation changes that are required before go-live
		146928	DM: *Client* Review of *PROJECT NAME* Data Load - Remaining Records	*Client* will review the secondary data load of remaining records in *PROJECT NAME*. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved.
		146929	DMS to *PROJECT NAME* Gap Integration	

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		146930	DM: Review of Generated *PROJECT NAME* Data Errors	P.S will provide *Client* the generated error logs from Scribe. Any issues, problems, abnormalities, questions, etc., will be provided to P.S in writing to be addressed and resolved.
		146931	DM: *Client* Final Sign-off on Data Migration	At the conclusion of this process, P.S will request sign-off from *Client* that the records were accurately imported from their legacy system into *PROJECT NAME*
		142944	Voice Dictation to Text	As as a Sales Manager, I need to dictate voice notes in *PROJECT NAME*, so that those notes can be automatically converted into text on my case record.
		142948	Potential Collaborative Branch Customer Report	As a line Sales Manager or Collaborative Branch Sales Manager, I need to see a list of customers who are potential candidates for collaborative sales and services, so that those customers can be further assessed for eligibility and suitability in the right Collaborative sales and service.
		142949	Product Customer Intake (Green Sheet)	As a Product Specialist, I need to be able to fill out a 'Green Sheet' equivalent in *PROJECT NAME*, so that I can begin the intake process for an Product case.
		142950	Product Customer Intake (Blue Sheet)	As an *PROJECT NAME* user, I need to be able to fill out a 'Blue Sheet' equivalent in *PROJECT NAME*, so that I can begin the process for an Product case.
		142959	Map	As as a Sales Manager, I can see a geographical map of an area with *PROJECT NAME* case data, so that I can perform a geographical analysis on my cases.
		142973	Web to Case Consultation	As an Sales Manager, I can receive inquiries submitted via Associate website in *PROJECT NAME*, so that I can track and respond to them accordingly.
		142974	Email to Case Consultation	As an Sales Manager, I can receive inquiries submitted via email to the team, so that I can track and respond to them accordingly.
		142985	Knowledge Base	As an Sales Manager, I need a searchable knowledge base of work performed by the Team (not including exceptions called out in acceptance criteria), so that my colleagues can access and review the work.
		142990	Product Specialist Case Assignment	As a Supervising Product Specialist for *Client* reviewing incoming cases for assignment, I need to see a list of all Product Specialists within my location and division along with their relevant workload and skill set, so that I can make an informed decision when assigning new cases.
		143008	Finance Manager Interview Schedule	As an Finance Manager working on an interview task, I can see any other future interviews are scheduled for, so that interviews can be coordinated for minimal disruption to the auditor.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143016	Repository of Instrument Materials	As an Instrument Expert, I need to be able to store any non-case specific, immigration-related work product that I've created in a repository in *PROJECT NAME*, so that my colleagues can search for and reference that information.
		143018	Instrument Reference Library	As a Instrument Expert, I want to be able to look up information in an Instrument reference library within *PROJECT NAME*, so that I can reference specific library records in my Referral responses.
		143019	Instrument Consequences of Charges	As as a Sales Manager, I need to see the potential instrument consequence for each charge on my customer's case in *PROJECT NAME*, so that I can consider this information as part of my case strategy.
		143053	Refused Product Specialist Work Requests Report	As a Supervising Product Specialist, I need a report to show all of the Product Specialist Work Requests that were refused due to a lack of resources, so that I can help justify Product Specialist staffing needs.
		143056	Payment Tracking	As as a Sales Manager, I need to track the progress of payments, so that I know when the customer has satisfied their payment order.
		143057	TUR Training Request	As a Training Coordinator, I need to submit my TUR Request Form to the TUR Coordinator for review, so that it meets TUR certification standards.
		143059	TUR Attendance (Manual)	As a *PROJECT NAME* user, I need to input contents of the paper attendance sheet for TUR Training Events into *PROJECT NAME*, so that attending individuals may receive participatory credit.
		143060	TUR Attendance (Digital)	As a Training Coordinator or *PROJECT NAME* user, I need to be able to take attendance at TUR Training Events via a computer/tablet, so that attending individuals may receive participatory credit.
		143061	TUR Credit Tracking (Internal)	As a *Client* Product Specialist or Sales Manager, I need to be able to see how many TUR credits I've acquired with , so that I can ensure that I meet TUR standards every three years.
		143066	TUR Credit Tracking (External)	As a *PROJECT NAME* user, I need to export the accumulated TUR credits for non-*Client* individuals, so that those individuals can verify their credits for a Bar audit.
		143067	TUR Event Reporting	As the TUR Coordinator, I can generate statistical information on the TUR trainings that Associate has provided, so that I can provide this information to management as needed.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143068	TUR Attendance Form	As the TUR Coordinator, I need to generate an TUR Attendance Form from an approved TUR Request, so that the form can be used during manual attendance documentation.
		143072	Evaluations	As a Sales Manager, I need to track the evaluations performed on my customer, so that I can take the appropriate next steps to best represent my customer based on that information.
		143073	Field Product Specialist Route Mapping	As a field Product Specialist, I can map my daily route of field visits in *PROJECT NAME*, so that I can plan the most efficient route for my day.
		143075	Customer Treatment Tracking	As a *PROJECT NAME* user, I need to track my customer's participation in treatment services and the associated outcomes, so that I can develop the history of a customer's Training.
		143076	Estate Accounting Log	As an Accounting Sales Manager, I need to be able to log accounting information received on a case where Associate has been assigned, so that I can track the funds withdrawn from my customer's estate by parties in the matter.
		143092	Document Log	As as a Sales Manager, I need to log all documents that I share with external parties, so that I can track what has been shared, when it has been shared and with whom.
		143110	Trade Show Notebook Creation	As as a Sales Manager, I need the *PROJECT NAME* to assist me in generating my Trade Show Notebook based on tagged sections of my Product. I need an initial folder to house my Trade Show Notebook. Within the folder I need a sub-folder per Auditor and per Issue. The Auditor and Issues generated should be based on the tags I've inserted into my Product. The sub-folders should contain the respective tagged, select portions of Product or provide a direct link to them.
		143111	Trade Show Notebook Search	As a *PROJECT NAME* user with the required permissions, I need to be able to search my Trade Show Notebook for keywords to quickly pull up Product I may need during my conference. *PROJECT NAME* should return the source document with the search text highlighted and some context around it.
		143112	Trade Show Notebook Cloning	As a *PROJECT NAME* user with the required permissions, I need to be able to clone a Trade Show Notebook in its entirety so that a new version can be updated and leveraged in sales and service. I may need to perform this action if a case is dismissed and then refiled.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143113	Document Communication Group	As as a Sales Manager, I need a way to ask other Sales Managers about documents they have previously written, so that I can leverage those templates in my case as well.
		143123	Operations Instruction Selector and Generation	As as a Sales Manager, I need *PROJECT NAME* to assist me in generating Operations Instructions from a list of predefined selections, so that I can generate an Operations Instruction document that can be reviewed and agreed upon by the Corporate.
		143125	Generate Operations Questionnaire	As as a Sales Manager, I need *PROJECT NAME* to help me build and store Operations Questionnaires, so that I can reuse previous operations questions as needed and tailor the questionnaire to be appropriate for my case.
		143128	Selected Operations Detail Tracking	As as a Sales Manager, I need the ability to track the operations members that have been chosen for my case, so that I can reference this information during my conference preparation.
		143133	Report of Cases Missing Monthly Status Updates	As a Special Campaign Coordinator, I need to be able to run a report that displays which cases did not create a Monthly Status Update, so that I can follow up with the line Sales Manager as appropriate.
		143146	Field Product Specialist Daily Log	As a Field Product Specialist in the Team, I need to be able to record all planned facility visits daily, so that the Executive and the Supervising Product Specialist are aware of this information.
		143149	Initiative/Outreach Tracking	As a *PROJECT NAME* user, I can track which type of Outreach event or Initiative I was at when a customer made their application, so Associate can measure the effectiveness of such events.
		143155	Create Notice Packet	As a Product Specialist working in the Training Department, I want to be able to generate a notice packet in *PROJECT NAME*, so that I can send that information to the customer, the governor, and the Corporate.
		143158	Sales Manager Driving Distance to Location	As an Administrative Assistant, I need *PROJECT NAME* to calculate as a Sales Manager's driving distance from their home to any given branch/sales and location, so that I can optimize staff reassignment by travel time.
		143171	Product Case Alert	As an Product Sales Manager, I want to be notified if my customer is in another active case, so that the Product case can be terminated.
		143177	Search Logging	As the Marketing Specialist, I need to be able to see how often as a Sales Manager searches *PROJECT NAME* for a particular product, so that I have visibility into potential cases.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143181	Notification of Case Termination to Sales Manager	As a Sales Manager, I want to notify the Sales Manager that the case in the Branch has been terminated, so that he or she can take the appropriate steps in the sales and service on the original case.
		143252	Table of Contents	As a *PROJECT NAME* user with the required permissions, I can view an outline of the Case or contact contents so that I can quickly locate the documents I need.
		143254	xECM for Salesforce Enabler Install	As the Salesforce administrator with the required permissions, I will download the installation package for the xECM Salesforce enabler and install. I will configure the installation and provide permissions to the appropriate Salesforce xECM technical resources.
		143255	xECM for Salesforce Solution Accelerator install	As the Salesforce administrator with the required permissions, I will download the solution accelerator package for the xECM Salesforce enabler and install. I will configure the installation and provide permissions to the appropriate Salesforce xECM technical resources.
		143256	xECM for Salesforce Enabler Configuration	As the Salesforce xECM technical resource with the required permissions, I will configure the installation package for the xECM Salesforce enabler.
		143257	xECM for Salesforce Solution Accelerator Configuration	As the Salesforce xECM technical resource with the required permissions, I will configure the solution accelerator package for the xECM Salesforce enabler.
		143258	xECM for Salesforce Content Server Configuration	As the Content Server xECM technical resource with the required permissions, I will configure the Content Server xECM for Salesforce integration.
		143259	xECM for Salesforce Content Server User Synchronization	As the Content Server xECM technical resource with the required permissions, I will configure the Content Server xECM for Salesforce integration user synchronization with Salesforce leading application
		143260	Enterprise Scan for Content Server	As the Content Server technical resource with the required permissions, I will configure Content Server Enterprise Scan
		143261	Report Receipt	As the Content Server technical resource with the required permissions, I will create an integration to allow the receipt of reports and to store them in the correct location.
		143262	Odyssey system	As the Content Server technical resource with the required permissions, I will create an integration with the Odyssey System to allow the receipt of sales and service reports and to store them in the correct location.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143264	Source Platform and Environment	OS: Windows 2003 Repository DB: Oracle 10 Media Types: Sentra (DELL/EMC; Sentra Gen-4)
		143266	Case(Folder) structure creation	For Case(Folder) structure creation It might be a mix of the 2 approaches. 1. Cases creation is triggered by leading application (Salesforce) and OTIC populate it with docs (and/or other objects). 2. Base on case template _?? on CS OTIC creates case structure and populates it with docs (and/or other objects.) Now migrated structure should be registered in xxx application
		143267	Object types and volumes	xx Million Records within xx million Cases. Total Storage Space: 8.9 TB According to Content Migration Questionnaire only Adobe PDF will be migrated Physical Object migration - TBD
		143268	Metadata (Categories/Attributes)	Currently Identified One _??Case_?? (Folder) category with 11 simple type attributes (text, numeric) and One _??Document_?? category with 13 simple type attributes (text, numeric)
		143269	Permissions	permissions be applied on folder (it might be different within the case) and document level
		143270	Records management	According SOW - RM classifications will be inherited from the root ingestion folder and is not part of migration routine
		143271	Digital Asset Management (OpenText Content Server) Implementation	As a *PROJECT NAME* user with the required permissions, I should be able to access the Digital Asset Management (Content Server) and consume from and contribute to the Digital Asset Management (Content Server).
		143272	OpenText Directory Services Implementation	As a *PROJECT NAME* user with the required permissions, I should be able to authenticate against OpenText Directory Services when logged in from Salesforce and accessing content from Content Server.
		143273	OpenText Archive Center Implementation	All the unstructured data i.e. documents, should be stored in Archive Center.
		143274	OpenText Brava! Implementation	As a *PROJECT NAME* user with the required permission, I can annotate, redact and publish the document.
		143275	OpenText xECM for Salesforce Implementation	As a *PROJECT NAME* user with the required permission, should be able to access content within the Content Server via Salesforce.

Client Req Number	*Client* Req Name	*PROJECT NAME* Req Id	*PROJECT NAME* Req Name	*PROJECT NAME* user Story
		143277	Digital Signature	As a *PROJECT NAME* user, I can sign documents generated out of *PROJECT NAME* with a digital signature, so that I don't have to print and add a wet signature to documents.

Exhibit 9 – User Story Example

Sapient Sample Template - User Story

Name	Functional Description	Technical Specifications	Acceptance Criteria	Priority	Status	Source	Process	Type	Client Requirement Reference	Scope	Iteration	SalesForceID
Lead creation	As a prospective home buyer/seller I want to be able to request that a realtor contact me so that they can guide me through the home buying process and send me listings	Web to lead form, form tool, configure lead object	Prospective buyer is able to navigate to the company website and submit a form requesting that they be contacted by a realtor.	High	New	Functional Document x.1	Lead Creation	Config		In Scope		
Buyer profile	As a prospective home buyer I want to be able to create a profile with my home buying criteria such as budget, desired location, size etc so that I can customize my search for a home	VF/Lightning page that allows prospective buyer to create their own profile that populates their contact record in Salesforce	Prospective buyer is able to create their own custom "Buyer's Profile" from the website so that they can customize their home buying process	High	New	Functional Document x.2	Sales Process	Code		In Scope		
Share listings	As a prospective buyer I want to be able to share listings that my realtor has sent me with spouses, significant others etc so that I can collaborate with others involved in the home buying process	Client to customize their website to allows buyers to share listings from site over email or social media	Buyer can share listings using email or social media	Medium	New	Functional Document x.3	Sales Process	Code		In Scope		
Buying process questionnaire	As a prospective home buyer I want to be able to fill out a brief questionnaire so that I can find out where I am at in the home buying process and determine what my next steps are	Form tool form customized to allow buyer to determine where they are in the buying process	Buyer can complete form and determine where they are in the process	High	New	Functional Document x.4	Sales Process	Config		In Scope		
Document Repository	As a prospective home buyer I want a document repository so that I can upload or create all of the documents needed during the home buying process and collaborate on them with my realtor	Create 6 templates that buyers can use to generate and customize the documents as outlined in the SOW	Buyer can customize and generate documents using 6 separate templates and associate them with their record.	Medium	New	Functional Document x.5	Buying process	Other		In Scope		
Notification customization	As a prospective home buyer I want to be able to customize my notification settings so that I can control the quantity and frequency of listing updates that are sent to me	Allow client users to edit their own notification settings	Prospective buyer is able to customize the notification settings for listings	Medium	New	Functional Document x.6	Buying process	Config		In Scope		
Offer generator	As a prospective home buyer I want the system to capture offer details so that my realtor and I can submit offers on multiple homes quickly and easily	Custom offer object and template that allows the realtor to generate and customize offers for each property associated with a buyer	Realtor is able to customize and generate offers using template and document generation tool (TBD)	High	New	Functional Document x.7	Closing Process	Config		In Scope		
Tour scheduling	As a prospective home buyer I want to be able to easily request tours of listings using an interactive scheduler and mapping tool so that I can tour multiple properties in one day based on timing and proximity	Install InstaTour Listing App from appExchange	Buyers are able to request tours of multiple properties based off of available times, upcoming showings and proximity	High	New	Functional Document x.8	Buying process	Other		In Scope		
Guided path to close (buyer)	As a prospective home buyer I want to be guided through the closing process so that I can keep track of dates, events and paperwork required to close on a house	Customize client facing sales path for closing steps using stages	Buyer is guided through each step of the closing process and informed of what they need to complete in order to move on to the next stage.	High	New	Functional Document x.9	Closing Process	Config		In Scope		
Offer status tracking	As a prospective home buyer I want to be able to view the status of offers that I have submitted so that I can visually track my offers	Customize offer status field and open up visibility to the client profile	Buyer can log in to their profile and view the status for each offer that they have submitted	High	New	Functional Document x.10	Closing Process	Config		In Scope		
Interactive map	As a prospective home buyer I want to be able to view an interactive map that allows me to distinguish between properties that I have viewed, properties that I am interested in and properties that have recently sold so that I can visually sort listings	Turn on visit tracker feature on InstaTour Listing App.	Buyer can easily see which properties they have already visited or scheduled visits for	Medium	New	Functional Document x.11	Buying process	Config		In Scope		
Lead Assignment	As a manager I want the system to be able to assign clients to realtors based on location, budget, and realtor availability so that I can ensure that all prospective clients are followed up with as quickly as possible	Build two lead assignment rules, one for buyers and one for sellers so that they can be routed to the correct teams.	Incoming leads are assigned based on record type, location, budget and realtor availability	High	New	Functional Document x.12	Lead gen	Config		In Scope		
Pipeline view	As a realtor I want to be able to view all of my clients and the properties that they are interested in so that I can keep track of my pipeline	Build 2 custom reports for realtors with dashboard displays so that they can view their buy and sell pipelines separately	Realtor can view their buy and sell pipelines separately with dashboard displays	Medium	New	Functional Document x.13	Sales Process	Report		In Scope		
Property flag	As a realtor I want to be able to flag properties that my client has made an offer on so that other clients of my agency are not bidding against eachother	Custom "Reserved" field on property record to indicate that other realtors cannot share that specific listing	Custom "Reserved" field exists on property record	Low	New	Functional Document x.14	Sales Process	Config		In Scope		
Guided path to close (realtor)	As a realtor I want to be able to view where my client is in the home buying process and the steps that they need to complete so that I can manage the process and ensure that they can close on a house	Custom report that displays all open opportunity and client next steps	Realtor can view all open client opportunities and the next steps for each client	Medium	New	Functional Document x.15	Sales Process	Report		In Scope		
Property ranking	As a realtor I want the system to provide me with a ranked list of properties based on how well they match my clients criteria	Install PropertyMatch app from appExchange	Realtor can see ranked list of properties based on client criteria	High	New	Functional Document x.16	Sales Process	Other		In Scope		
Listing collaboration	As a realtor I want to be able to collaborate on listings with other realtors within my firm so that I can get help with showings or potential referrals	Customize opportunity teams to allow realtors to co-sell. Customize the realtor profile to allow realtors to change to the ownership of property records that they own. Customize the realtor profile to allow realtors to share property records with other	Realtors can share property records that they own with other realtors and control the level of access to the property record. Realtors can add other realtors to an opportunity team. Realtors cannot delete property records	High	New	Functional Document x.17	Sales Process	Config		In Scope		
Price comparison tool	As a realtor I want to be able to run a report on properties within a specific zip code that compares the list price versus the sale price so that I can view trends and manage client expectations	Dynamic report that displays property records by zipcode and the most recent list and purchase price of each property. Report also should calculate the average variance for all selected properties within the selected time period	Realtor can run a report on sold properties by zip code that displays the variance between the list price and the actual purchase price	High	New	Functional Document x.18	Reporting	Report		Out of Scope		
Client value	As a realtor I want to track the properties that are sold to specific clients over time so that I can view the total value of current and repeat buyers	Roll up summary field that displays the total value of all won opportunities for a client	Total lifetime value amount is visible on client record	Medium	New	Functional Document x.19	Reporting	Report		In Scope		
Suggest sell	As a realtor I want to be able to track market trends in specific zip codes so that I can contact former clients and notify them when its a good time for them to sell	Dynamic report that displays property records by zipcode and the list and purchase price of each property within the selected time period	Realtor is able to perform historical trend reporting by zip code	Medium	New	Functional Document x.20	Reporting	Report		Out of Scope		
Marketing automation tool integration	As a realtor I want to be able to add contacts or leads to a targeted marketing initiative using our marketing automation tool so that I can reach out and request to be their listing agent and track their interest/ responses	Integration with clients marketing automation tool, client does not want to use salesforce campaigns	Realtors are able to select new or existing leads or contacts from within salesforce and automatically add them to a targeted marketing initiative using their marketing automation tool without having to data load	Low	New	Functional Document x.21	Marketing	Integration		Out of Scope		
Buyer criteria notifications to realtors	As a realtor I want to receive a notification whenever one of my clients updates their property criteria so that I can stay in touch with my clients needs	Workflow (or PB) fires when client updates their home buying criteria and sends an email alert to realtor using email template.	Email is received by realtor when client updates search criteria	Low	New	Functional Document x.22	Sales Process	Workflow		In Scope		
Referral tracking on lead	As a realtor I want to a prospective client to be able to indicate if they are a referral from previous/ current client when a lead is created so that I can track and report on referral value	Custom field on the lead object to capture referral information	Prospective client can enter a name on the lead to indicate who referred them	High	New	Functional Document x.23	Lead gen	Config		In Scope		

Referral tracking on contact from lead conversion	As a realtor I want the system to carry over the referral value from the lead record to the contact record upon lead conversion and create a look up relationship to the referral contact if the contact exists so that I dont have to manually associate contacts for referral purposes	Customize field mappings for lead conversion from lead to contact and opportunity so that referral information carrys over during conversion process.	The name of the referral is carried over to the contact and opportunity record during lead conversion	Medium	New	Functional Document x.24	Lead conversion	Config		Out of Scope		
Lead record types	As a realtor I want to be able to distinguish between leads that represent new prospective buyers looking to purchase a house and leads that represent clients that want to list their property with us so that I can ensure that the different types of leads are handled with the appropriate process	Create two lead record types, one for prospective buyers and one for prospective sellers. Create new fields on the Lead object and associate them to the prospective seller record type that allows prospects to submit property details upon lead submission	a record type for prospective sellers and a record type for prospective buyers exists on the lead object and allows additional property data to be captured on prospective seller leads.	High	New	Functional Document x.25	Lead gen	Config		In Scope		

Exhibit 10 – Functional Design Document Sample

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Sapient Sample Template | Functional Design/ Detailed Requirements Document

Client – Project Name

Requirement Details

Following is a breakdown of each user story (requirement) grouped by Process Area including the Requirement Name, Functional Description, Acceptance Criteria, and Initech Requirement Reference that is linked back to the Statement of Work.

Product and services

Requirement Details

Requirement the Customer Product Owner and Customer Service Representative Assignment

Functional Description:
As a Training Customer Service Representative reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives within my location and division along with their relevant workload, skill set, and department assignment statistics, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. Training Customer Service Representatives can see a list of Customer Service Representatives by location and division, along with the CSRs' case, workload, client, and user attributes.
2. Attributes displayed on the page will differ depending on the case type.
3. Training Customer Service Representatives can assign a Customer Service Representative to take the case from the same screen.
4.Customer Service Representatives assigned to cases are notified of the assignment via email.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSRs name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Service Teams

Requirement Details

Requirement the Customer Areas of Expertise

Functional Description:
As a Customer Service Representative, I need to list my subject matter expertise for a specific opportunity, so that my expertise is searchable for any individuals who are seeking training sessions or advice.

Acceptance Criteria:
1. Customer Service Representatives can list their own subject matter expertise as characteristics/attributes on their user record in CMS.
2. Users seeking consultations can perform a search to find out which Customer Service Representatives may be helpful, based upon the characteristics/attributes listed on the Customer Service Representative's user record.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

Requirement the Customer Service Manager Case Review

Functional Description:
As a Service Manager, I need to review incoming consultation requests made in CMS, so that I can assign valid referrals to Customer Service Representatives.

Acceptance Criteria:
1.Service Manager can see a queue of incoming referrals and their related cases.
2.Service Manager can set the status of the referral to accepted or rejected.
3.Service Manager can assign a Customer Service Representative to handle the referral if accepted.
4. Requesting Customer Service Representative is notified via email if the referral is rejected.
5. Assignment of Customer Service Representative to a referral will automatically add them to the related case's Case Team.

Initech Requirement(s) Reference: Initech120F

Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Requirement the Customer Case Ownership Check

Functional Description:
As an Intern, I need to check if the originating case that has a Notice of Appeal is being handled by Initech Corporate office, so that I can determine if the request should be accepted or rejected.

Acceptance Criteria:
1. Interns can search for an Appeal's related case by case number or client name in CMS.
2. Interns can select and open the case record by returned matches on name or case number in CMS.
3. Interns can review the case to see if it was handled by Initech Corporate office in CMS.

Initech Requirement(s) Reference: Initech220F Initech099F Initech100F Initech101F

Initech220F: Must allow users to administer cases not their own, including modifying calendars.

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech100F: Must search for names with a phonetic style of searches that is equal to or greater than Soundex to retrieve similar spellings of names and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Requirement the Customer Written Request Referral

Functional Description:
As an Intern, I can create a Referral for a Written Request, so that a Customer Service Representative can be assigned to work the case.

Acceptance Criteria:
1. Interns can create an Appellate Referral and relate it to an existing case.
2. The Service Manager will review and assign the Referral to a Customer Service Representative.
3. CMS will automatically associate the Customer Service Representative to the originating case's Case Team in CMS.

Initech Requirement(s) Reference: Initech199F Initech192F

Initech199F: Must create a new case in CMS and assign it a unique case number.

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Resource Customer Service Representatives

Campaign Member

Requirement Details

Requirement the Customer Create Case

Functional Description:
As a CMS user, I need the department system to send case records and related information directly to the CMS, so that I can track all the Initech's case information in a centralized location.

Acceptance Criteria:
1. CMS can create a new case record and populate case data supplied by Odyssey, including the case number as assigned by the department.
2. CMS will receive all Initech cases from Odyssey, including those that are not being represented by Initech Corporate office.
3. CMS will determine the specific case type based on the data from Odyssey and populate the appropriate case type for each case.

Initech Requirement(s) Reference: Initech199F

Must create a new case in CMS and assign it a unique case number.

Requirement the Customer Case Team

Functional Description:
As a CMS user, I need to be able to see which Public Defender employees are working on a case, including the line Customer Service Representative and support staff, so that I know who to collaborate with on that case.

Acceptance Criteria:
1. Users can add or remove case team members associated to a case.
2. Users will be notified via email as they are added to the case as a case team member.
3. CMS will populate the Assignment Start Date of the case team member record automatically.
4. Case team members will be granted read only or edit permissions to the case, depending on their role on the case team.

Initech Requirement(s) Reference: Initech220F

Must allow users to administer cases not their own, including modifying calendars.

Requirement the Customer Client Case History

Functional Description:
As a Customer Service Representative, I need a view to see a client's history of cases, so that I can perform any necessary analysis or research on those cases as needed to represent my client.

Acceptance Criteria:
1.Customer Service Representatives can see a client's entire case history from the client's contact record in one place.
2.Customer Service Representatives can click into any case to see the details of that case.
3. For restrictions on case file access, see Security & Confidentiality policy.

Initech Requirement(s) Reference: Initech231F

Must provide access to all case and case-related people using case identifiers.

Requirement the Customer Custody Tracking

Functional Description:
As a Customer Service Representative, I need to track how many days the client spent in custody for a given case, so that I can reference that information during my case preparation.

Acceptance Criteria:
1.Customer Service Representatives can see the total number of days a client spent in custody in a field on the case.
2. The case should include discreet fields for local custody/county Cobra, state hospital and state travel.

Initech Requirement(s) Reference: Initech115F

Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Refreshed Value

Functional Description:
As a Customer Service Representative, I need to see the most up-to-date case weight on a given case, so that it reflects the anticipated workload of that case.

Acceptance Criteria:
1.Customer Service Representatives will always see the most up-to-date case weight on case records.
2. Supervisors can overwrite the case weight value if necessary.

Initech Requirement(s) Reference: Initech118F

Must update case value as assessed by the CSRs in real-time.

Requirement the Customer Case Details

Functional Description:
As a CMS user with the correct permissions to view and edit case records, I can enter and edit the required details as defined by the case type, so that I can maintain an accurate digital case record.

Acceptance Criteria:
1. Users with appropriate permissions can only see fields on the case that are relevant to the case type.
2. Users with appropriate permissions can edit fields (and information related to the case) that are available to them when viewing a case.
3. CMS automatically assigns a case type based upon data received from Odyssey when creating a case automatically via integration.
4. The case will include all relevant fields that need to be tracked by Initech.
5. Screens for different case types will display only the fields that are appropriate for that case type (e.g. prospect case fields may vary from Operations case fields).
6. Access to case records also grants view access (at minimum) to case-related person records.

Initech Requirement(s) Reference: Initech115F Initech207F Initech231F Initech230F

Initech115F: Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Initech207F: Must provide a list of case types that can be maintained by the system administrator.

Initech231F: Must provide access to all case and case-related people using case identifiers.

Initech230F: Must provide the ability to access all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Customer Tracking

Functional Description:
As a CMS user, I need to easily capture all contacts related to a case, so that this data can be leveraged in conflicts checking and case strategy development.

Acceptance Criteria:
1. Users can create a Contact record for the contact (or contacts) and populate any relevant fields on the Contact.
2. Users can relate Customer Contact records to one or more cases and designate the role as 'Customer" in CMS.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Client Details (Contact)

Functional Description:
As a CMS user, I need a way to track individual people and ultimately associate them to cases, so that I can store relevant information about those individuals and see which cases they are associated with.

Acceptance Criteria:
1. Users can create contact records for each person that they need to track in CMS.
2. Users can view or edit the fields, except for any data that is populated by Odyssey. 2a. Users can populate supplementing fields with data with a similar field name value as what came from Odyssey. Ex. Correct assigned CSR to Case record.
3. Users can view and edit fields for client classifications on the client Contact records. 4. Contacts can be linked to Cases as appropriate. 5. Users can identify a contact's role on a given case when linking that individual to the case.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a persona€™s identification identifier such as Name or other unique qualifiers.

Requirement the Customer Major Fraud Referral

Functional Description:
As a Lead Customer Service Representative, I need the ability to refer my case to the Major Accounts, so that they can provide assistance with my case.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral to the Major Accounts team.
2. Major Fraud Service Manager can review the referral and accept or reject.
3. If accepted, the assigned division/Customer Service Representative is added to the case team.
4. The referring Customer Service Representative is notified on the outcome of the referral.

Initech Requirement(s) Reference: Initech192F

Requirement the Customer Discount Tracking

Functional Description:
As a CMS user, I can see the original and final discounts on my case, so that I can measure the progress that was made on that case as a result of the Initech's representation of the client.

Acceptance Criteria:
1. Discounts will be tracked individually and related to a specific case in CMS.
2. Discounts will be sent to CMS from Odyssey.
3. Discounts will have a status reflecting whether they are an original discount or a final discount.
4. Users will be able to compare the discounts at disposition with those at case origination.

5. Users can add additional discounts to a case as required. 6. Users can view a history of changes to discount records in CMS.

Initech Requirement(s) Reference: Initech231F

Must provide access to all case and case-related people using case identifiers.

Requirement the Customer Discount Weight Value

Functional Description:
As Service Manager, I need a way to assign a "weight" value to a case, so that I can measure the complexity of that case.

Acceptance Criteria:
1. Cases will have a "Discount Weight" number field that represents the complexity of the case.
2. Discounts on Campaign Member and Product and service cases will have a "Discount Weight" number field representing the seriousness of the discount.
3. For Campaign Member and Product and service cases, the Discount Weight field will be automatically populated with the value (on a 1-10 scale) of the most serious discount on the case.
4. Only Service Managers can edit the Discount Weight value field on a case record.
5. Using the discount weight is one factor; the Case Weight can be determined by factoring additional values.

Initech Requirement(s) Reference: Initech117F

Must assign a weight to each case based upon the characteristics of a case (e.g. product and service, prospect, Operations, Productivity , In-office advice, number and type of discounts, department location, number of activities and department events required for that case type, etc.).

Requirement the Customer New Work Requests - Engineers

Functional Description:
As a CMS user, I can create work requests for Engineers, so that I can obtain specific information that I need to provide the optimal representation for my client.

Acceptance Criteria:
1. Users can create Work Requests for Engineers.
2. Marketing Collateral Work Requests can include one or more Marketing Collateral Tasks as defined by the requestor.
3.Customer Service Representatives can set a desired Due Date on the Work Request.
4. Marketing Collateral Work Requests can be related to both a Case and Contact record.
5. Marketing Collateral Work Requests associated with a Case are visible in list form from the Case record.
6. Marketing Collateral Work Requests associated with a person are visible in list form from the person's Contact record.
7. Requestors are notified when their work request is assigned, completed, or rejected.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Work Request Tasks

Functional Description:
As a CMS user who received the work request, I need to be able to create and update tasks that are part of a Work Request, so that I can manage my work in the system.

Acceptance Criteria:
1. CMS will generate a specific set of Tasks for each work request automatically based on work requested.
2. The user who receives the work request can create additional Tasks and associate them to the original Work Request as needed.
3. The user who receives the work request can set a Planned Completion Date of each Task.

4. The user who receives the work request will not be able to set a Planned Completion Date later than the Work Request Due Date.
5. The user who receives the work request can update the Status of each Task as it is completed.
6. If the user who receives the work request adds additional tasks to the work request they can indicate that the requestor be notified via email.
7. The user who receives the work request can indicate that they will not proceed with the task unless it is approved by the Lead Customer Service Representative.

Initech Requirement(s) Reference: Initech192F Initech201F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech201F: Must close work requests based on:
Completion of the assignment.
Closure of the case before completion of the assignment.
Change of case status (for example: no longer special circumstances).

Requirement the Customer Admin Investigator Work Request Queue (Central)

Functional Description:
As the Admin Supervising Investigator in Central, I need to be able to see all new Marketing Collateral Requests in one place, so that I can assign requests to the appropriate Marketing Collateral Team Queue for assignment to an individual investigator.

Acceptance Criteria:
1. Admin Supervisor (or their delegate) can see a list of new Marketing Collateral Requests for Central in a queue.
2. Admin Supervisor (or their delegate) can assign requests to the appropriate Marketing Collateral Team Queue.
3. Team Supervisors (or their delegates) can see their Requests in a queue and assign them to the appropriate Engineers.

Initech Requirement(s) Reference: Initech151F

Must allow users to reassign tasks to other individuals or the case to other CSRs. Must allow reassignment of single case or batches of cases.

Requirement the Customer Work Request Review and Approval

Functional Description:
As a Supervisor, I can review new work requests and reject them if necessary, so that my team does not take on requests that should be handled elsewhere.

Acceptance Criteria:
1. Supervisors (or their delegate) will review all requests in their queues.
2. Supervisors (or their delegate) can assign or reject the Marketing Collateral request.
3. Supervisors (or their delegate) should populate a "Rejection Reason" field with the reason for rejecting the request.
4. If a request is rejected, an email notification should go to the requestor and the line CSR that includes the "Rejection Reason".

Initech Requirement(s) Reference: Initech227F

Work requests must be subject to a configurable workflow.

Requirement the Customer Investigator Work Request Assignment (Central)

Functional Description:
As a Marketing Collateral Team Supervisor in Central, I need to see all Marketing Collateral Requests for my team in one place, so that I can fairly and accurately delegate requests.

Acceptance Criteria:
1. Team Supervisors can see a list of new Marketing Collateral Requests for their teams in a queue.
2. Team Supervisors can assign new requests to each Investigator using field: - Assigned Investigator.
3. Team Supervisors can reassign Marketing Collateral requests to other Engineers as needed.
4. Supervisors can identify work requests that require approval.

Initech Requirement(s) Reference: Initech191F

Must support assigning work requests to the appropriate Initech staff based on user characteristics and, if appropriate, the work request value. Must allow the Training Manager to override the assignment.

Requirement the Customer Marketing Collateral Work Request Team Queue (Branches/Area Offices)

Functional Description:
As a Supervising Investigator, I need to be able to see all new Marketing Collateral work requests assigned to my branch in one place, so that I know what is in the pipeline awaiting assignment.

Acceptance Criteria:
1. Supervising Engineers can see a list of new Marketing Collateral work requests for their location/branch in a queue.
2. Supervising Engineers can monitor high priority (duty) requests in a duty queue.
3. Supervising Engineers can see the type of Marketing Collateral requests in the queue.
4. Supervising Engineers can assign requests to specific Engineers from the queue.
5. Supervisors can identify work requests that require approval.

Initech Requirement(s) Reference: Initech139F

Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Marketing Collateral Work Request Assists

Functional Description:
As a Supervising Investigator or the lead investigator on a work request, I need the ability to request assistance from other Engineers on one or more tasks, so that I can complete the work required on that task.

Acceptance Criteria:
1. Supervising Engineers can assign another investigator to assist the lead Investigator on any task.
2. Lead Engineers can also assign another investigator to a task to assist with the work.
3. An email notification should be sent to the assisting investigator and their supervisor when they are assigned to a task.
4. When an assisting investigator is assigned to a task, a case team member record granting them read/write access to the case should be automatically created for that individual.

Initech Requirement(s) Reference: Initech139F

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Generate Marketing Collateral Report Template

Functional Description:
As an Investigator, I need to be able to generate a Marketing Collateral Report template directly from CMS, so that I complete my report and submit it for approval.

Acceptance Criteria:
1. Users can generate a Marketing Collateral report template for additional edits.
2. Related case and contact data can be populated into the report.
3. Documents can be output into MS Word or Initech format.
4. Engineers attach completed reports to the Task and submit the Task for approval.
5. The template can include a section labeled as "For Customer Service Representative Eyes Only", which indicates it as private.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Generate Order Request

Functional Description:
As a CMS user, I need to be able to generate an order letter directly from CMS, so that I can streamline order creation.

Acceptance Criteria:
1. Users can generate an order letter template that includes data from the relevant case.
2. Documents can be output into MS Word or Initech format.
3. Users can make any modifications on the order letter that are necessary.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Generate Order Ad Testificandum

Functional Description:
As a CMS user, I can generate an Order Ad Testificandum directly from the case, so that I can obtain the appropriate contact testimonies that I need to best represent my client.

Acceptance Criteria:
1. Users can generate an Order Ad Testificandum template in CMS that is populated with data from the Case.
2. The document can be output as a MS Word/Initech document.
3. Users can save an electronic copy to the appropriate case file folder.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Generate Order Duces Tecum

Functional Description:
As a CMS user, I can generate an Order Duces Tecum directly from the case in CMS, so that I can request specific documentation that I need to represent my client.

Acceptance Criteria:
1. Users can generate an Order Duces Tecum template in CMS that is populated with data from the Case.
2. The document can be output as a MS Word/Initech document.
3. Users can save an electronic copy to the appropriate case file folder.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Broad Search

Functional Description:
As a CMS user, I can search case and people records in CMS in a broad fashion, such as with the first three to four letters of a name, so that I can locate records I'm authorized to view that contain all or a portion of the search criteria.

Acceptance Criteria:
1. Users input search criteria into a custom search screen.
2. Custom search returns partial and complete matches against the Case and Contact record fields identified in the custom search.
3. Users can select and view the records returned by the search based upon their profile permissions and case team membership.

Initech Requirement(s) Reference: Initech099F Initech101F

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Requirement the Customer Supplemental Work Requests - Engineers

Functional Description:
As a Customer Service Representative or Intern, I can submit Supplemental Marketing Collateral Requests that are related to the original request if I have additional needs for the open Marketing Collateral Request, so that the investigator can perform the additional work.

Acceptance Criteria:
1. Users can create a new Supplemental Marketing Collateral Work Request directly from the Original Work Request, and CMS will automatically link the two requests together.
2. Users can set a desired due date on the Supplemental Work Request.
3. Users can include one or more Marketing Collateral Tasks on the Supplemental Work Request.
4. CMS can automatically assign the supplemental request to the same investigator that is assigned to the original request.
5. Supplemental Marketing Collateral Work Requests are sent to the Supervisor's queue for visibility and to override the assignment, if necessary.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Duty Work Request - Engineers

Functional Description:
As a Customer Service Representative or Intern, I need to be able to submit high priority Marketing Collateral Requests as 'Duty Requests', so that the request can be handled immediately.

Acceptance Criteria:
1. Users can create a new Marketing Collateral work request and flag them as Duty Requests.
2. Duty Requests should be assigned to a queue for the supervisor or their delegate, so that they can be assigned immediately.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Re-Op Work Requests - Engineers

Functional Description:
As a Customer Service Representative or Intern, I can create a Re-Op Marketing Collateral Work Request, so that I can add new tasks for a previously completed work request.

Acceptance Criteria:
1. Users can create a "Re-Op" Marketing Collateral Work Request directly from the Original Work Request, and CMS will automatically link the two requests together.
2. Users can set a desired due date on the Re-Op Work Request.
3. Users can include one or more Marketing Collateral Tasks on the Re-Op Work Request.
4. CMS can automatically assign the re-opened requests to the same investigator that is assigned to the original request.
5. Re-Op Marketing Collateral Work Requests are sent to the Supervisor's queue for visibility and to override the assignment, if necessary.
6. Requestors are notified when their Re-Op work request is assigned, completed, and/or rejected.
7. Engineers who have been assigned to requests should be notified via email.

Initech Requirement(s) Reference: Initech141F Initech192F

Initech141F: Must allow users to reopen a Work Request; must send an alert to the original Support Staff.

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer General Time Tracking -Customer Service Representatives

Functional Description:
As a Customer Service Representative, I can log my daily time for each case that I'm working on, so that management can have an accurate picture of how much time Customer Service Representatives are spending on each case.

Acceptance Criteria:
1.Customer Service Representatives can track time against cases by entering a start and end time or number of hours (in appropriate increments) and a specific category.
2. The duration is automatically calculated based on start and end times.
3. Total time logged against a case will be summarized on the case.
4. Supervisors can generate reports on time logged against all cases by day, week, month and year.
5. Time can be tracked against any case type.

Initech Requirement(s) Reference: Initech195F Initech183F

Initech195F: Must allow users to indicate the amount of time spent managing the case.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer General Time Tracking - Support Staff

Functional Description:
As a CMS User, I can log my daily time for each task that I'm working on, so that I can account for the hours that I work each day.

Acceptance Criteria:
1. Users can track time against tasks or cases by entering a start and end time or specific amount of time and a specific category.
2. The duration is automatically calculated based on start and end times.
3. Total time logged against tasks for a specific work request is summarized on that Work Request.
4. Total time logged against Work Requests for a specific case is summarized on that case, including a breakdown by role.
5. Supervisors can generate reports on time logged against all tasks by day, week, month and year.
6. Time can be tracked against any case type, sub-type or specified attributes of a case.

Initech Requirement(s) Reference: Initech195F Initech183F

Initech195F: Must allow users to indicate the amount of time spent managing the case.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Marketing Collaterals Daily Log

Functional Description:
As an Investigator, I need CMS to assist me in generating a daily log of my activities, so that my supervisor has visibility of my daily activity.

Acceptance Criteria:
1. Engineers can view a daily activity log report that is comprised of all time entries across any task they've worked on today.
2. Engineers can change the date on the report to view different activity logs for different days.
3. Supervising Engineers have visibility of all Investigator daily logs.

Initech Requirement(s) Reference: Initech195F

Must allow users to indicate the amount of time spent managing the case.

Requirement the Customer Phonetic Search

Functional Description:
As a CMS user, I can search for people using phonetic search, so that if I don't know the exact spelling of a person's name, I can enter what it sounds like and see a list of prospective matching records that I have permission to view.

Acceptance Criteria:
1. Users input search criteria into a custom search page, such as what the user believes a name sounds like.
2. Users can view search results with exact or partial matches based on the name entered.
3. Users can select and view the records returned by the search based upon their profile permissions.

Initech Requirement(s) Reference: Initech100F

Must search for names with a phonetic style of searches that is equal to or greater than Soundex to retrieve similar spellings of names and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Requirement the Customer Select from Search Results

Functional Description:
As a CMS user, I can search for people and cases using various inputs (such as a person's name or a case number) and then open the corresponding record(s) from the list of records returned in the search, so that I can view the corresponding records and their details.

Acceptance Criteria:
1. Users can input data such as a person's name or case number and view a list of potentially matching records.
2. Users can open and view a record directly from the list of returned search results.

Initech Requirement(s) Reference: Initech101F

For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Requirement the Customer Case Switching and Multiple Window Viewing

Functional Description:
As a CMS user, I can open or switch between multiple cases or other CMS records simultaneously in separate windows, so that I can review more than one case or other record at a time.

Acceptance Criteria:
1. Users can open multiple cases in different browser tabs at the same time.
2. Users can switch tabs to view different case or contact (or other CMS) records.

Initech Requirement(s) Reference: Initech103F Initech132F

Initech103F: Must allow users to switch from one case or case document to another.

Initech132F: Must allow users to retrieve and view multiple documents from multiple cases to be retrieved and viewed in separate windows at the same time. (i.e., a split screen) and switch easily from one document to another.

Requirement the Customer Conflict Check: Search

Functional Description:
As a CMS user, I need to perform a conflict check on an incoming case in CMS, so that I can determine if representing a potential client or a related person named in the case would create a conflict for Initech.

Acceptance Criteria:
1. Users see a list of new cases in a queue for each case type for which they need to perform a conflict check.
2. Users can sort cases in the queue awaiting conflict check by 'detained/non-detained' or 'next department date' fields.
3. Users can perform a search against one or more of the following attributes of a Contact (person) record: Name, AKA(s), Address, Phone Number, Social Security Number, Booking Number, case Number, CII Number, Date of Birth, Partner identification, Driver's License/State ID Number, License Plate Numbers, Arrest Report Number(s), Engagement Number, Post-Release Supervision Number or Contract Number.
4. Name searches utilize Phonetic Search logic to locate potential person matches where the names may have been spelled differently in prior entries.
5. CMS returns a list of potential Contact and case matches, sorted by 1) Active Cases; 2) Initech Cases.
6. Users can click on any Contact or Case records from the list of potential matches and open those records in new windows for further review.

Initech Requirement(s) Reference: Initech106F

Must have the capability to save conflicts to a conflict report with all the relevant detail e.g. case number, name, discounts, client, contact, CSR, conflict reason and system name from where the match was found.

Requirement the Customer New Work Requests - Intern

Functional Description:
As a Customer Service Representative, I can create Work Requests for Interns, so that I request their support in order to provide the optimal representation for my client.

Acceptance Criteria:
1.Customer Service Representatives can create a work request for Intern assistance
2. Intern Work Requests can include one or more Intern Tasks as defined by the requestor.
3.Customer Service Representatives can set a desired Due Date on the Work Request.
4. Intern Work Requests can be related to both a Case and Contact record.
5. Intern Work Requests associated with a Case are visible in list form from the Case record.
6. Intern Work Requests associated with a person are visible in list form from the person's Contact record.
7. Requestors are notified when their work request is assigned, completed, or rejected.
8. Interns should be assigned to a list of Customer Service Representatives that they support.
9. Interns are assigned Work Requests based upon the CSR assignment.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Conflict Check: Search Results Detail

Functional Description:
As a CMS user, I want to see a list of people and their related cases following a Conflict Check search, so that I can perform an analysis of this information in order to make a conflict determination.

Acceptance Criteria:
1. Users are presented with a list of potential matches that contains field values for name, date of birth, case number, status, future department date, contract, lead CSR name, and prior conflicts declared. 1a. Search results can be pre-sorted by pending cases, Initech cases, case type, etc.
2. In the search results window, users can see the status of each case (active or inactive) and whether or not Initech team handled the case.
3. Users can click the client's Name or the Case Number from the search results list to navigate directly to those records in a new tab or window.
4. Users can open multiple records in different windows to perform conflict check analysis as needed.
5. If no conflict is found, users can indicate that in a field on the case, which moves the case into the queue for assignment by Service Manager.

Initech Requirement(s) Reference: Initech106F Initech101F

Initech106F: Must have the capability to save conflicts to a conflict report with all the relevant detail e.g. case number, name, discounts, client, contact, CSR, conflict reason and system name from where the match was found.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information

Requirement the Customer New Work Requests - Marketing Team associates

Functional Description:
As a CMS user, I need to be able to create work requests for Marketing Team associates, so that I can receive their assistance as part of my case preparation.

Acceptance Criteria:
1.Customer Service Representatives can create Work Requests for Marketing Team associates.
2. Marketing Team associate Work Requests can include one or more Tasks as defined by the requestor.
3.Customer Service Representatives can set a desired Due Date on the Work Request.
4. Marketing Team associate Work Requests can be related to both a Case and Contact record.
5. Marketing Team associate Work Requests associated with a Case are visible in list form from the Case record.
6. Marketing Team associate Work Requests associated with a person are visible in list form from the person's Contact record.
7. Requestors are notified when their work request is assigned, completed, or rejected.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Conflict Check: Create Presumptive Conflict

Functional Description:
As a CMS user, I want the CMS to create a conflict record automatically for any predefined scenarios in which there is a presumptive conflict, so that I can confirm the conflict and submit it to management for approval.

Acceptance Criteria:
1. Users perform conflict check search.
2. If any of the following presumptive conflict logic is met, a Conflict of Interest record is created automatically: - Multiple Contacts with same case number (clients) - Customer/Prospect is an Initech Client in an active case. - Client with different case number - Person was subject to a conflict on another active Initech case - Conflict on prospect if arrested with an (Initech will take the case unless the Initech currently represents the prospect on an active case)
3. The Conflict of Interest record should be pre-populated with the Contact, Case, and Conflict Condition.
4. Users will be able to add more information about the nature of the conflict onto the Conflict record.

Initech Requirement(s) Reference: Initech106F Initech107F

Initech106F: Must have the capability to save conflicts to a conflict report with all the relevant detail e.g. case number, name, discounts, client, contact, CSR, conflict reason and system name from where the match was found.

Initech107F: Must have the ability to add data to the conflict report after subsequent searches.

Requirement the Customer New Work Requests - Administrative Assistant

Functional Description:
As a CMS user, I can create Work Requests for Administrative Assistant, so that I can obtain more assistance on a case in order to provide the optimal representation for my client.

Acceptance Criteria:
1.Customer Service Representatives can create Work Requests for Administrative Assistant.
2. Administrative Assistant Work Requests can include one or more Administrative Assistant Tasks as defined by the requestor.
3.Customer Service Representatives can set a desired Due Date on the Work Request.
4. Administrative Assistant Work Requests can be related to both a Case and Contact record.
5. Administrative Assistant Work Requests associated with a Case are visible in list form from the Case record.
6. Administrative Assistant Work Requests associated with a person are visible in list form from the person's Contact record.
7. Requestors are notified when their work request is assigned, completed, and/or rejected. 8. If the case is designated as a high priority case or any other in which an Administrative Assistant has already been assigned, all future Administrative Assistant Work Requests on that case should automatically be assigned to the Administrative Assistant that is already on the case team.

Initech Requirement(s) Reference: Initech192F Initech139F

Initech192F: Must create work requests for staff, including: Engineers Administrative Assistant Interns Marketing Team Associates Resource Customer Service Representatives Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Administrative Assistant Work Request Approval

Functional Description:
As a Supervising Administrative Assistant, I can review new Administrative Assistant Work Requests and reject them if necessary, so that Administrative Assistant do not take on requests that should be handled elsewhere.

Acceptance Criteria:
1. Supervising Administrative Assistant (or their delegate) can review all work requests on cases for which an Administrative Assistant is not already assigned in a queue.
2. Supervising Administrative Assistant (or their delegate) can assign or reject each work request or reassign it to another supervisor or as required.
3. Supervising Administrative Assistant will populate a "Rejection Reason" field with the reason for rejecting the request.
4. If a work request is rejected, an email notification will go to the requestor that includes the rejection reason.

Initech Requirement(s) Reference: Initech191F

Must support assigning work requests to the appropriate Initech staff based on user characteristics and, if appropriate, the work request value. Must allow the Training Manager to override the assignment.

Requirement the Customer Conflict Check: Manual Conflict Creation

Functional Description:
As a CMS user, I can create a Conflict record in CMS when I believe that a conflict has been found or is known to exist, so that the Initech will not represent a person that creates a conflict with existing Initech clients or other persons where Initech representation could harm another Initech client.

Acceptance Criteria:
1. Users can manually create a Conflict record detailing the nature of the conflict, which includes the name of the person, case number(s), discount(s), whether the person was/is a contact or client, related case(s) CSR(s) and any additional notes.
2. Users can associate conflict records to Case and Contact records.
3. Users can add additional notes to existing Conflict records as new information becomes available.
4. The Conflict record is automatically populated with the relevant fields of data from the conflicting Contact and Case records.

Initech Requirement(s) Reference: Initech106F Initech107F

Initech106F: Must have the capability to save conflicts to a conflict report with all the relevant detail e.g. case number, name, discounts, client, contact, CSR, conflict reason and system name from where the match was found.

Initech107F: Must have the ability to add data to the conflict report after subsequent searches.

Requirement the Customer New Work Requests - Interpreter

Functional Description:
As a CMS user, I can create Work Requests for Interpreters, so that I request their help on my case.

Acceptance Criteria:
1. Users can create a Work Request for Interpreter assistance.
2. Interpreter Work Requests can include one or more Interpreter Tasks as defined by the requestor.
3. Users can set a desired Due Date on the Work Request.
4. Interpreter Work Requests can be related to both a Case and Contact record.
5. Interpreter Work Requests associated with a Case are visible in list form from the Case record.
6. Interpreter Work Requests associated with a person are visible in list form from the person's Contact record.
7. Requestors are notified when their work request is assigned, completed, or rejected.

Initech Requirement(s) Reference: Initech192F Initech139F Initech191F

Initech192F: Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Initech139F: Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Initech191F: Must support assigning work requests to the appropriate Initech staff based on user characteristics and, if appropriate, the work request value. Must allow the Training Manager to override the assignment.

Requirement the Customer Work Request Scoring

Functional Description:
As a Supervisor, I can see the "score" or value of each task for a given Work Request, so that I can track the workload of my direct reports.

Acceptance Criteria:
1. Work Request tasks have a predetermined value set by task type.
2. Supervisors can override the value in the task as may be required to accurately reflect the work involved in the task.
3. Supervisors can utilize the value of tasks in assigned Work Requests to aid in work request assignment.

Initech Requirement(s) Reference: Initech200F

Requirement the Customer Generate Request Expert: Order, Contract/Application, and Declaration

Functional Description:
As a Customer Service Representative, I can generate a Contract, Order and Declaration for an Expert Form template in CMS, so that an expert can be appointed to my case.

Acceptance Criteria:
1.Customer Service Representatives can create a Request Expert: Order, Contract, and Declaration form template in CMS.
2. Documents can be pre-populated with fields from the case and client record.
3. Documents can be output in MS Word or Initech format.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Generate Order and Request Access to Client and/or Product sample

Functional Description:
As a CMS user, I can generate a Contract, Order and Declaration for Access to Client/Product sample template in CMS, so that an expert can access my Client and relevant product sample.

Acceptance Criteria:
1. Users can create a Request Access to client/Product sample Form template in CMS as a MS Word/Initech document.
2. The document can be pre-populated with fields from the case and client record.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Internal Approvals

Functional Description:
As a CMS user, I can submit items to my supervisor that require approval in CMS, so that I can track approvals that are required to perform work or obtain services.

Acceptance Criteria:
1. Users can submit items for approval to their supervisor in CMS.
2. The submitter receives a notification of the approval or rejection of the request.
3. Internal approval requests can be related to a case.

Initech Requirement(s) Reference: Initech196F

Must allow users to track expenditures related to the case. Examples:
Product Owners
Customer expense
Travel

Requirement the Customer Conflict Check: Anticipated Conflict (Avoidance List)

Functional Description:
As a CMS user who was tipped off by an external source on an incoming person who will conflict with the Initech, I need to be able to create a Conflict record against this person before the case intake process occurs, so that I can ensure that Initech Corporate office is not appointed to that individual's case.

Acceptance Criteria:
1. User searches for the person in CMS and create a Contact record if the person does not exist
2. User creates a Conflict record and relates it to the individual's Contact record.
3. Subsequent searches of that Contact on the Conflict Check screen would display an indicator that a Conflict already exists for that individual.

Initech Requirement(s) Reference: Initech106F Initech107F

Initech106F: Must have the capability to save conflicts to a report with all the relevant detail e.g. case number, name, discounts, client, contact, CSR, conflict reason and system name from where the match was found.

Initech107F: Must have the ability to add data to the conflict report after subsequent searches.

Requirement the Customer Track Case Expenses

Functional Description:
As a CMS user, I can track expenses that I incur against a case, so that case expense metrics can be collected and measured in reporting.

Acceptance Criteria:
1. Users will be able to track expenditures relating to a case, including the following attributes: expense date, category, reason, amount, and notes related to the expenditure.
2. Users will be able to upload an image of receipts to justify the expenditure.
3. The total expenses related to a case should appear on the case.

Initech Requirement(s) Reference: Initech196F

Must allow users to track expenditures related to the case.
Examples:
Product Owners
Customer expense

Travel
Requirement the Customer Conflict Check: Conflict Approval Process **Functional Description:** As a CMS user, I can submit a Conflict record for review by both the Customer Service Representative and the Service Manager or C-level Executive as applicable, so that any approved conflicts can be officially declared and the Initech will not be appointed on the case. **Acceptance Criteria:** 1. Once users have populated all relevant information on the conflict records, they can submit those conflict records for approval by the CSR (if applicable) and then the Service Manager or C-level Executive. 2. Once conflicts are submitted for approval, they are locked and cannot be edited by the submitter. 3. Once submitted, conflicts will be routed to the appropriate approver by a configurable approval routing process. 4. Conflict records are placed in a queue where they can be reviewed by the appropriate reviewer. 5. Reviewers receive an email alert containing the details of the Conflict record and a link to it in CMS. 6. Conflicts can be reviewed and approved or rejected from the email notification itself or the source Conflict record. 7. Conflicts can be reviewed and approved or rejected from either laptops or mobile devices. 8. Reviewers can add a rejection reason if they are rejecting the conflict. 9. All conflict records (whether approved or rejected) are associated with the case and the Contact. 10. Approved conflict records trigger an email alert to the Case Team on all related active cases notifying them of the declared conflict. 11. Rejected conflict records create a notification to the Conflict record creator. **Initech Requirement(s) Reference:** Initech109F Initech110F Initech109F: Must be able to route the case folder to the Service Manager (or whoever needs to approve the conflict) and the case will appear in the Service Manager's Conflict Check Inbox and an alert (by email or CMS message) will be sent to the Service Manager.

Initech110F: Must allow the Service Manager or other designated staff person the option of rejecting or accepting the conflict and routing it back to the practicing CSR to either continue with the case or bring it up in department for appointment of an alternate.

Requirement the Customer Campaign Member Client Intake (Yellow Sheet)

Functional Description:
As an Administrative Assistant, I need to be able to fill out a 'Yellow Sheet' equivalent for any non-conflicting cases for the assigned Customer Service Representative to review, so that the Customer Service Representative has basic information about the client and the case.

Acceptance Criteria:
1. Users can populate the "yellow sheet" equivalent on an intake screen in CMS.
2. Any client or case data that comes in from Odyssey (department system) will be pre-populated on the intake screen.
3. Any applicable client information from the financial qualification form will be pre-populated on the intake screen.
4. Clicking save on the intake screen will update the corresponding client and case records in CMS.
5. Any data that came from Odyssey cannot be updated or modified by the user in CMS.
6. Two sets of fields may be required in order to capture key data that may not yet be available for the Odyssey data fields at the time of client intake.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client. Initech230F: Must provide the ability to access any and all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Case Reassignment

Functional Description:
As Service Manager, Deputy in Discount or their delegate, I need to be able to quickly reassign a case to another Customer Service Representative, so that the new Customer Service Representative can have access to the case and all relevant information.

Acceptance Criteria:
1. Service Managers and Deputies in Discount (or their delegates) can transfer/reassign a case to another Customer Service Representative.
2. Case Team records should be modified automatically to reflect the new assignment.
3. Security should automatically be updated based on case team membership.
4. History tracking should capture the Case Team membership on the case.
5. CMS should send an email notification to the existing case team members alerting them of the reassignment.

Initech Requirement(s) Reference: Initech151F

Must allow users to reassign tasks to other individuals or the case to other CSRs. Must allow reassignment of single case or batches of cases.

Requirement the Customer Campaign Member Client Intake (Half Blue Sheet)

Functional Description:
As a CMS user, I need to be able to fill out a 'Half Blue Sheet' equivalent in CMS, so that I can track any Strike Priors that my client may have.

Acceptance Criteria:
1. Users can view and populate the "half blue sheet" equivalent on an intake screen in CMS.
2. Prior offenses (discounts) and prior offense dates for crimes committed within Initech will be in the CMS.
3. Users should be able to enter strike prior offenses and strike prior offense dates for any strike priors that occurred outside of Initech.
4. Any client or case data that came in from Odyssey (department system) will be pre-populated on the intake screen.
5. Clicking save on the intake screen will update the corresponding records in CMS.
6. Any data that came from Odyssey cannot be updated or modified by the user in CMS.
7. Users will be able to see the total number of prior strikes for a client on the client's Contact record.
8. Users will be able to find any Initech cases that have strike priors on them for a given client.
9. Any Initech cases with strikes on them will be flagged accordingly.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview form to collect information from the CSR interview with the client.

Initech230F: Must provide interview form to collect information from the CSR interview with the client.

Requirement the Customer Client Employment History

Functional Description:
As a CMS user, I need to be able to add multiple jobs for a given client in CMS, so that I can build a complete employment history for my client.

Acceptance Criteria:
1. Users can add one or more employment history records related to a client.
2. The Primary employment record information is bubbled up to the client's work information fields.
3. Case records related to a person are viewable (at minimum) to those users with access to person records.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Client Additional Addresses

Functional Description:
As a CMS user, I need to be able to add multiple residence addresses to my client, so that I can build a complete housing history for my client.

Acceptance Criteria:
1. Users can add one or more address records related to a client
2. The Primary address record information is bubbled up to the client's home information fields
3. Case records related to a person are viewable (at minimum) to those users with access to person records.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Multiple AKAs and Dates of Birth

Functional Description:
As a CMS user, I need to relate multiple names (AKAs) and dates of birth to a single person, so that I can search for and find a client record in the system using one of these attributes.

Acceptance Criteria:
1. Users can add one or more AKAs (First and Last Names) to a client Contact record.
2. Users can add one or more Dates of Birth to a client Contact record.
3. Users can perform a search during the conflict check process using any of the AKAs or Dates of Birth.

Initech Requirement(s) Reference: Initech230F Initech099F

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Requirement the Customer Household Accounts

Functional Description:
As a CMS user, I want to be able to track individuals living at the same address, so that I can identify members of the same household as my client as needed for my case strategy.

Acceptance Criteria:
1. Users can link multiple contacts as members of the same Household (Account) in the system.
2. Users can identify a specific contact as the Head of Household.
3. The Primary Address field of a contact that is newly added to a Household Account is automatically populated with the address of the Household Account.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Office Assignment

Functional Description:
As the Service District Manager of scheduling, I need a way to view current Customer Service Representative preliminary meeting schedules, so that I can assign upcoming cases according to preliminary meeting workloads and Customer Service Representative availability.

Acceptance Criteria:
1. System Administrator can set dates when a specific department is not in session within CMS for each month.
2.Service Manager can see a list of preliminary meeting departments and the Customer Service Representatives assigned to them.
3.Service Manager can see the days that each prelim department is scheduled for, for each month.
4.Service Manager can see a list of Customer Service Representatives in the division along with the days each CSR is scheduled to work each month, per their A or B schedule and including vacation days.
5.Service Manager can assign CSRs to the prelim department that aligns with the Customer Service Representative's A or B and vacation schedule.
6.Service Manager can see Customer Service Representative workload metrics, such as number of open cases and murder cases.
7.Customer Service Representatives receive an email notification with their department assignments.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSR's name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Initech223F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Requirement the Customer Office Queue

Functional Description:
As a Customer Service Representative assigned to an Office, I can see a queue of cases, so that I can represent a client in department.

Acceptance Criteria:
1.Customer Service Representatives can see list of cases ready for interview.
2.Customer Service Representatives can see a list of cases that are ready for appearance.
3.Customer Service Representatives can take ownership of a case that is ready for department appearance.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSR's name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Initech223F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Requirement the Customer Service Representative Case Assignment

Functional Description:
As Service Manager reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives within my location and division along with their relevant workload, skill set, and department assignment statistics, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. Service Managers can see the Customer Service Representative who are scheduled for assignment of new cases for that day.
2. Service Managers can see a list of Customer Service Representatives by location and division, along with the Customer Service Representatives' case, workload, client, and user attributes.
3. Attributes displayed on the page will differ depending on the case type.
4. Service Managers can assign a Customer Service Representative to take the case from the same screen.
5.Customer Service Representatives assigned to cases are notified of the assignment via email.
6.Customer Service Representatives can see a dashboard that displays new and existing cases they have been assigned.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

"Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSR's name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Initech223F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.
"

Requirement the Customer Characteristic Based Assignment

Functional Description:
As Service Manager, I want incoming cases from Odyssey for my division to be routed to me for review and assignment based on the case type, so that I can fairly and efficiently delegate work to my Customer Service Representatives or send the case to another division that is better suited to manage the case.

Acceptance Criteria:
1. Service Managers can see a queue of all incoming cases for their division.
2. If the case has the incorrect case type (from Odyssey), Service Managers can reassign that case to the Service Manager of another division.
3. Service Managers can assign a Customer Service Representative to take the case.
4. Service Managers can delegate the ability to assign cases to another individual in their absence as needed.
5. Special handling cases can be flagged for assignment in CMS.

Initech Requirement(s) Reference: Initech114F

Requirement the Customer Office Event Information

Functional Description:
As a CMS user with access to a case, I need to see a history of the case's department events, so I can better understand the overall case history, current case status, and identify future department dates.

Acceptance Criteria:
1. Office System (Odyssey) will push new events, event updates and deletions through to CMS.
2. Office events will be associated with and displayed on the related case.
3. Users can also view the department event history for a given case and client.
4. Users will not be able to update any department event information that originates in Odyssey.
5. Users can track the outcome of the department event on the event in CMS.
6. Users can create department events in CMS when the department events do not come through Odyssey.

Initech Requirement(s) Reference: Initech163F

Integrations/Data

Requirement Details

Requirement the Customer Active Directory integration

Functional Description:
As a CMS user I should be able to use my Initech credentials for access to Salesforce

Acceptance Criteria:
Must provide SSO connection between Salesforce and Initech hosted ADFS system.

Initech Requirement(s) Reference:

Requirement the Customer Data Migration from DMS

Functional Description:
As a CMS User, I need the ability to view my existing case data from DMS in CMS, so that I can effectively perform my job

Acceptance Criteria:
1. Users can review and view legacy case data from DMS in CMS

Initech Requirement(s) Reference: Initech186F

Requirement the Customer Initech0057NF API

Functional Description:
As a CMS user I have need for data coming from the department system.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Bond

Functional Description:
As a CMS user I have need for data coming from the department system's Save Bond interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Case and Resolution

Functional Description:
As a CMS user I have need for data coming from the department system's Save Case and Resolution interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Disposition

Functional Description:
As a CMS user I have need for data coming from the department system's Save disposition interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Event

Functional Description:
As a CMS user I have need for data coming from the department system's Save Event interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Executive briefing Minutes and CTS

Functional Description:
As a CMS user I have need for data coming from the department system's Save Executive briefing Minutes and CTS interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Party

Functional Description:
As a CMS user I have need for data coming from the department system's Save Party interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Agreement

Functional Description:
As a CMS user I have need for data coming from the department system's Save Agreement interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0057NF Save Warrant

Functional Description:
As a CMS user I have need for data coming from the department system's Save Warrant interface.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0057NF

Requirement the Customer Initech0060NF SOA

Functional Description:
As a CMS admin I have the need to extend Salesforce functionality with web services.

Acceptance Criteria:
Must provide an API library for customization and integration with other systems.

Initech Requirement(s) Reference: Initech0060NF

Requirement the Customer Odyssey to CMS to Initech integration (release 1)

Functional Description:
As a CMS user, I need Initech to receive Case Setup data from Odyssey through CMS.

Acceptance Criteria:
Must provide integration to Initech for Initech to function properly.

Initech Requirement(s) Reference:

Requirement the Customer Initech integration

Functional Description:
As a CMS user, if Odyssey go live is delayed, I need data integration with DMS for Initech to function properly for new cases.

Acceptance Criteria:
Must provide integration to DMS for case data for Initech functionality.

Initech Requirement(s) Reference:

Contract Administrators

Requirement Details

Requirement the Customer Misconduct History Flag on a Contact

Functional Description:
As a CMS user, I need CMS to flag contacts on my case that have had prior misconduct history, so that I can take that into consideration as part of my case strategy.

Acceptance Criteria:
1. Users can associate a Contact to a case as a contact.
2. A flag/indicator is visible to the User if the Contact has a prior misconduct history.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Reporting

Requirement Details

Requirement the Customer Specific Reports

Functional Description:
As a CMS user with the appropriate profile permissions, I can view, create and/or edit reports that I need to monitor/report on my own work and the work of others, so that I can see key performance indicators and metrics that are important to me on a regular basis.

Acceptance Criteria:

1. Reports must support both work-in-process and historical information.
2. Access to create, edit and view reports will be set by profile/permission set and can be changed by a system administrator as required and directed by management.
3. Users with appropriate access and permissions should be able to generate any of the following reports: Customer Service Representative Work Load Work Work Load Summary Work Work Load by Period Office Work Load Summary Office Work Load by Period Case types by Customer Service Representative over period Case types by work over period Case types by volume over period for an CSR Case types by volume over period for a work Case Status over period by CSR Case Status over period by Work Case Aging over period by Customer Service Representative Case Aging over period by Work Case Aging over period for entire Public Defenders Office Sum of Marketing Collateral case weights by investigator by period Volume and aging of Marketing Collaterals by investigator by period Sum of Administrative Assistant work requests weights by Administrative Assistant by period Volume of aging of Administrative Assistant work requests by Administrative Assistant by period Status of cases that have special designations such as high priority case over period 4. Reports can be output into CSV and Excel.

Initech Requirement(s) Reference: Initech185F Initech198F

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Initech198F: Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV
Excel
Selectable delimiters

Requirement the Customer Ad Hoc Reports and Graphical Representations

Functional Description:
As a CMS user, I can create ad hoc reports on data in CMS that I have permission to see and can apply charts and graphs to those reports, so that I can analyze and view reported data in the most logical method for the subject matter.

Acceptance Criteria:
1. Users with the appropriate permissions can create reports on CMS data without the assistance of IT.
2. Users can apply charts and graphs to reports.

Initech Requirement(s) Reference: Initech226F Initech146F

Initech226F: Must be able to provide graphical representation of values in a report. For example, pie charts for percentages, line or bar charts for volumes or counts.

Initech146F: Must provide the ability to generate ad-hoc reports.

Requirement the Customer Multiple Report Output Formats

Functional Description:
As a CMS User, I need to export CMS reports into multiple formats, so that I can perform additional analysis on the data and distribute the information outside of CMS as needed.

Acceptance Criteria:
1. Users can export any reports in CMS and save them to their own computers.
2. Users can export reports in Excel and CSV formats.

Initech Requirement(s) Reference: Initech198F

Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV
Excel
Selectable delimiters

Requirement the Customer Personnel Reporting

Functional Description:
As an Assistant Service Manager or Supervisor, I need to generate specific personnel reports in CMS, so that I can utilize them during the Customer Service Representative reassignment and allocation process.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can generate the equivalent reporting for the following current personnel reports (and any other reporting that is currently being used), with the ability to filter by division and location as needed: a. Reassignment Proposal Sheet b. Product and service Training: Trainee Contact Movement Chart c. Rotation within a division and location Customer Service Representative and location preferences Customer Service Representative assignment history f. Multipurpose list of CSRs g. Employees on leave h. Special Circumstance Cases by Customer Service Representative i.e. Campaign Member readiness report j. Accommodations Report (HR Input)
2. Assistant Service Managers and Supervisors can view caseload and case weight information by Customer Service Representative, location, and division in a graphical format.
3. Assistant Service Managers and Supervisors can also create and run additional reports ad hoc as needed.

Initech Requirement(s) Reference: Initech180F Initech183F

Initech180F: Must provide the ability to access individual case weights and workload reports (including case aging data) on each CSR, each office and the department.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Service Representative Expertise

Functional Description:
As Service Manager, I need to be able to track any specializations, expertise, or unique skill sets that Public Defender employees may have, so that I can reference that information during case assignment.

Acceptance Criteria:
1. Service Managers can track specialized skill sets or expertise for each Customer Service Representative on his or her User record in CMS.
2. Service Managers can report on these characteristics as necessary.
3. Service Managers can see these user attributes during case assignment.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

Requirement the Customer Work Request Reporting

Functional Description:
As a Supervisor, I can report on the status of Work Requests assigned to my staff, so that I can measure the workload of my team.

Acceptance Criteria:
1. Supervisors can run scheduled and ad-hoc Work Request Status Reports in CMS.
2. Status reports can be configured to provide visibility to: Active Requests; Past Due Requests; Requests Due in "X" Days; Aging Requests - 30, 60, 90 days; Number of Open Requests by Case Type, etc.
3. Work Request Status Reports can be filtered to display data by Initech, Branch/Location, Creator and Assignee.

Initech Requirement(s) Reference: Initech135F Initech146F

Initech135F: Must provide work request status, including:
Requests without due date
Active requests
Past due requests
Requests due in X days
Number of assigned requests over 30 60 90 days
Number of open special circumstances cases

Initech146F: Must provide the ability to generate ad-hoc reports.

Requirement the Customer Reporting: Marketing Collateral Work Request Metrics

Functional Description:
As a Supervising Investigator, I need to be able to run reports on Marketing Collateral work requests, so that I can track and measure Investigator workload.

Acceptance Criteria:
1. Supervising Engineers can access real-time metrics reports on an ad hoc basis
2. Supervising Engineers can filter, change time frame, and group the data as necessary
3. Users can change the date to view different data for a specified timeframe.
4. Supervising Engineers can export any reports into Excel for further analysis. Reports: 1. Time records input for a given investigator for a given day 2. Number of Cases per Investigator by status and by case type across the Initech 3. Number of Cases per Investigator by status and by case type across area 4. Number of Cases per Investigator by status and by case type across branch
5. Hours spent per Investigator by case type

Initech Requirement(s) Reference: Initech180F Initech183F Initech185F

Initech180F: Must provide the ability to access individual case weights and workload reports (including case aging data) on each CSR, each office and the department. Initech183F: Must be able to run reports as needed or automatically scheduled. Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Requirement the Customer Administrative Assistant Work Requests Reports

Functional Description:
As an Assistant Service Manager or Supervisor, I need visibility into the statistics around Administrative Assistant Work Requests, so that I can properly allocate resources and personnel.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can create reports and filter by Administrative Assistant, Requesting Customer Service Representative and Administrative Assistant Request Type.
2. Assistant Service Managers and Supervisors can pull Administrative Assistant requests and perform analysis per Administrative Assistant, Customer Service Representative, Branch, or.
3. Reports can be output into CSV and Excel.

Initech Requirement(s) Reference: Initech185F Initech198F

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Initech198F: Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV
Excel
Selectable delimiters

Security

Requirement Details

Requirement the Customer Case File Security - Operations

Functional Description:
As a CMS user, I am only able to see and edit Operations cases in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:
1. Operations members have full view/edit access to both case detail and marketing on all Operations cases.
2. Case Team Members assigned to a case have full view and edit access to case detail and marketing.
3. Temporary staff or student workers should be limited to the following clerical case data points only: Case Name, Number, Client Name, Assigned Customer Service Representative, and Next Office Date.
4. Non-Operations Initech Employees who are not assigned to the case should not have any view or edit access to case numbers starting with ZW (all Operations cases).
5. Engineers and other non-Operations staff can be granted access if they are assigned to the case by the Operations.

Initech Requirement(s) Reference: Initech019NF

Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer Security

Functional Description:
As a CMS user, I am only able to see and edit records and fields in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:
1. Users can see records and fields that they have been given permission to view.
2. Users can edit fields within records for which they have been given permission to edit.
3. Security settings can be maintained by a User with the System Administrator profile.

Initech Requirement(s) Reference: Initech113F Initech019NF

Initech113F: Must allow users to update, revise or inactivate user or department characteristics at any time.

Initech019NF: Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer Case File Security - General

Functional Description:
As a CMS user, I am only able to see and edit cases in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:

1. Supervising Customer Service Representatives, Service Managers, Executives, Trainers, and Appellate have full view/edit access to both case detail and marketing on all general cases.
2. Case Team Members assigned to case have full view and edit rights to case details and marketing.
3. The Lead Customer Service Representative can create private case notes or private marketing folders and grant access to team members at their discretion.
4. Non-Case Team Initech Employees have full view access but no edit access to case details and marketing.

Initech Requirement(s) Reference: Initech019NF

Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer Restrict Case Record Access

Functional Description:
As a Customer Service Representative, I can restrict access to my active cases and their associated files, so that only users with the appropriate permissions can see high profile or sensitive cases.

Acceptance Criteria:
1. Record owner or higher in the role hierarchy can make the case record not visible to users not defined as a case team member, excluding those roles above the CSR in the role hierarchy (C-level Executive, Service or Sales Manager, Supervisor, Initech).
2. Read-only access is restored to the case record and its associated files when the case status is set to "inactive".
3. Case team members will have the CRUD (create, read, update, delete) permission to the case file per their profile permissions.

Initech Requirement(s) Reference: Initech0052NF Initech019NF Initech091F

Initech0052NF: Should provide the ability for the layout of the interface components to be automatically determined by the user's profile or role.

Initech019NF: Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Initech091F: Must be able to limit user access to folders by case type by sub-folder and by document within sub-folder.

Special Circumstances

Requirement Details

Requirement the Customer Case File Security - Special Circumstances Cases

Functional Description:
As a CMS user, I am only able to see and edit special circumstance cases in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:

1. The Assistant Service Manager who supervises the Special Circumstances Coordinator, the Special Circumstances Coordinator and the Assistant Special Circumstances Coordinator have view access to both case detail and marketing on all Special Circumstances cases.

2. Lead Customer Service Representative/Second Customer Service Representative have full view and edit access to both case detail and marketing.
3. Lead/Second Customer Service Representatives or Service Manager can be granted view access at their discretion.
4. Case Team members assigned to the case have full view and edit rights to case details and marketing. 4a. Exception: The Lead and Second Customer Service Representative can create private case notes or a private marketing folder(s) and can grant access to team members at their discretion.
5. Role Exceptions: 5a. Intern and Marketing Team associate start with baseline clerical data point access: Case Name, Number, Client Name, Assigned Customer Service Representative, and Next Office Date. 5b. Can be granted additional data points per Lead/Second Customer Service Representative discretion.
6. Non-Case Team Initech employees have limited view access, but no edit access to case details and marketing.
7. Conflicts check search grants limited clerical access to the following case fields: Neutral field set and Customer List.
8. Conflicts check requestor must communicate with Lead/Second Customer Service Representative on any potential matches for further analysis and discussion.

Initech Requirement(s) Reference: Initech019NF

Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer Special Circumstances Customer Service Representative Case Assignment

Functional Description:
As a Special Circumstances Coordinator reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives and Administrative Assistant within my along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Customer Service Representatives and Administrative Assistant.

Acceptance Criteria:
1. Special Circumstances Coordinator can see a list of Customer Service Representatives and Administrative Assistant, along with caseload, workload, and Customer Service Representative/Administrative Assistant attributes.
2. Special Circumstances Coordinator and relevant Service Managers, assign a Customer Service Representative to take the case from the same screen.
3. Once the Customer Service Representative assignment has been discussed and confirmed, the assigned Customer Service Representative is notified of the assignment via email.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Staffing

Requirement Details

Requirement the Customer Staff Attributes

Functional Description:
As an Assistant Service Manager, Supervisor, or Service Manager, I need to track attributes of Customer Service Representatives, such as years in current /grade, assigned department or residence location, so that I can aggregate these statistics in reporting and leverage them for staff allocation and reassignment.

Acceptance Criteria:
1. Assistant Service Managers, Supervisors, and Service Managers have visibility to Customer Service Representatives' staff attributes.
2. Assistant Service Managers, Supervisors, and Service Managers can easily create and run ad hoc staff reports with visibility of multiple Customer Service Representative attributes.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

Requirement the Customer Service Representative Preference Submission

Functional Description:
As a Customer Service Representative, I need to submit my preferences for location and assignment annually, so that the Assistant Service Managers and Supervisors can reference this information during the staff reassignment process.

Acceptance Criteria:
1.Customer Service Representatives can update their preferences at will.
2. Upon updating the preference, Customer Service Representatives receive a reminder to update their address, if needed.
3. Preferences are stored and related to the Customer Service Representative's staff record.
4. Preferences are only visible to Assistant Service Managers, Supervisors and Service Managers.
5.Customer Service Representatives receive an annual reminder via email to update their preferences in CMS.
6.Customer Service Representatives cannot enter the same choice more than once in a given submission.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location

Requirement the Customer Service Representative Office Assignment

Functional Description:
As Service Manager, or Training Customer Service Representative, I need to see and manage which departments the Customer Service Representatives in my division are assigned to, so that I can utilize this information in task and case assignment.

Acceptance Criteria:
1. Service Managers and Deputies in Discount can assign CSRs to departments in CMS.
2.Customer Service Representatives can be assigned to one or more departments.
3. Supervisors can see which department(s) each CSR is assigned to.

Initech Requirement(s) Reference: Initech130F Initech112F

Initech130F: Must allow users to specify characteristics of each department (e.g. name, location, number of conference rooms, types of cases, accessibility features).

Initech112F: Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

Requirement the Customer Service Representative Preference History

Functional Description:
As an Assistant Service Manager, Supervisor or Service Manager, I need to see a list of current and previous assignment preferences for any Customer Service Representative at a given time, so that I can fairly and accurately perform personnel reassignment.

Acceptance Criteria:
1. Assistant Service Managers, Supervisors and Service Managers can view the historical preferences per Customer Service Representative in a list format grouped by individual.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

Requirement the Customer Service Representative Assignment History

Functional Description:
As an Assistant Service Manager, Supervisor or Service Manager, I need to see a list of current and previous Customer Service Representative assignments in CMS, so that I can consider that information during the reassignment process.

Acceptance Criteria:
1. Assistant Service Managers, Supervisors and Service Managers can view the history of a Customer Service Representative's assignments with start dates, end dates, and duration of each assignment in a list format.
2. Assistant Service Managers, Supervisors and Service Managers can run a report of CSR assignments by division and location for any desired timeframe.

Initech Requirement(s) Reference: Initech112F

Characteristics of individual CSRs and staff allow the CMS to make case and task assignments based on, for example, an individual's expertise, overall assignment and location.

System Administration

Requirement Details

Requirement the Customer Profile Maintenance

Functional Description:
As a System Administrator, I can update or revise the profiles and/or user records of CMS users as directed by management, so that I can ensure that users have the appropriate permissions needed to perform their work.

Acceptance Criteria:
1. System Administrators can modify or revise profiles and user accounts as required to maintain the accuracy of users and their attributes.

Initech Requirement(s) Reference: Initech113F

Must allow users to update, revise or inactivate user or department characteristics at any time.

Requirement the Customer Profile-Based UI Layout

Functional Description:
As a System Administrator, I can control visibility of the screens and fields within CMS, so that only the appropriate users can see and/or edit the data that they should have access to in order to perform their work.

Acceptance Criteria:
1. Users can only view the records, record types, and fields on those records that their profile allows.
2. Visibility settings can be managed by System Administrators.

Initech Requirement(s) Reference: Initech0052NF

Should provide the ability for the layout of the interface components to be automatically determined by the user's profile or role.

Requirement the Customer Pre-Configuration of UI

Functional Description:
As a System Administrator, I can pre-configure the layout of the interface components, such as task lists, record detail pages, custom interface pages and their components and search results lists, so that the CMS users have logical and clear interfaces to interact with.

Acceptance Criteria:
1. System Administrators can configure standard and custom object page layouts.
2. System Administrators can configure custom interface page layouts and the placement of components within those pages.
3. System Administrators can configure search results lists to show the desired fields of data from the related object records.

Initech Requirement(s) Reference: Initech004NF

Should provide the ability for administrators to preconfigure the layout of the interface components (such as inboxes task lists search and-retrieval functions and image display).

Requirement the Customer User Based Restrictions

Functional Description:
As a System Administrator, I can control the level of Create, Read, Edit and Delete access I grant to users for object records, fields and documents in CMS, so that users can perform only the functions that are permitted by their role or profile.

Acceptance Criteria:
1. Users can create, read, update, and delete (CRUD) the records and fields within those records for which their profile allows.
2. System Administrators can manage CRUD settings.

Initech Requirement(s) Reference: Initech019NF

Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer User Configured UI Layout

Functional Description:
As a CMS user, I can configure the layout of certain system components, such as search results lists, list views, and my homepage layout, so I can tailor CMS to my own preferences and work style.

Acceptance Criteria:
1. Users can create new list views.
2. Users can modify search result view pages.
3. Users can modify homepage components.

Initech Requirement(s) Reference: Initech0051NF

Should provide the ability for users to configure the layout of the interface components (such as inboxes task lists search-and retrieval functions and image display) based on their security profile.

Requirement the Customer Custom Extensions

Functional Description:
As a System Administrator, I need the ability to extend the functionality of the system by customizing screens, creating workflows, and modifying existing logic, so that I can ensure that the system meets the evolving needs of my users.

Acceptance Criteria:
1. System Administrators can edit page layouts.
2. System Administrators can create new page layouts.
3. System Administrators can create new business workflows and modify existing ones.

Initech Requirement(s) Reference: Initech228F

Must provide the ability for Initech to extend the functionality of the system by augmenting it with custom screens and custom transactions. For existing transaction screen flows, must provide a means for Initech to insert custom screens and have full access to transaction data.

Requirement the Customer Office Profiles

Functional Description:
As a System Administrator, I can specify the characteristics of each department and relate department records to case and people records (judges, DAs, assigned Customer Service Representatives), so that the proper department information can be associated to and visible on the appropriate records in the system.

Acceptance Criteria:
1. CMS will track specific attributes of each department.
2. Users, Cases, and Office Events will be linked to Office records in CMS.
3. Access to edit Office data is restricted to users with the System Administrator profile.

Initech Requirement(s) Reference: Initech130F Initech113F

Initech130F: Must allow users to specify characteristics of each department (e.g. name, location, number of conference rooms, types of cases, accessibility features).

Initech113F: Must allow users to update, revise or inactivate user or department characteristics at any time.

Requirement the Customer Case Type List

Functional Description:
As a System Administrator, I can manage the list of case types (also known as case 'record types') within CMS, so that I can maintain the system as the Initech's case types change over time.

Acceptance Criteria:
1. System Administrators can view, create and update case types.

Initech Requirement(s) Reference: Initech207F

Must provide a list of case types that can be maintained by the system administrator.

Requirement the Customer Workflows

Functional Description:
As a System Administrator, I want to be able to create workflows in CMS to automate functions, such as routing items for approval (conflict reports, work requests), creating tasks, or sending email alerts to users, so that I can ensure that the system supports Initech team's evolving business needs.

Acceptance Criteria:
1. System Administrators can configure workflow rules, approval processes and email alerts via standard SFDC functionality.

Initech Requirement(s) Reference: Initech124F

Must provide flexibility of a workflow tool to control processes such as case tasks, work requests, conflict checking, etc.

Requirement the Customer Workflow Override

Functional Description:
As a CMS user with the appropriate profile permissions, I can override or augment certain process steps that are set by automated workflows, such as adding additional work request tasks, so that I can capture the full scope of work that has been requested of me.

Acceptance Criteria:
1. CMS Users with the appropriate permissions can override certain process steps set by automated workflows.

Initech Requirement(s) Reference: Initech125F

Must allow users to over-ride case-specific process steps if required (e.g. a Marketing Collateral that is usually only done in cases is required in a complex product and service case). Managers can override any case, CSRs and other
users can override their own cases.

Requirement the Customer Work Request Workflow

Functional Description:
As a System Administrator, I can configure Work Request Workflows in CMS to provide automation supporting the work request process, so that users have a more seamless experience in requesting, reviewing, assigning and completing work requests.

Acceptance Criteria:
1. System Administrators can configure workflows to route work requests to a queue for review and assignment.
2. System Administrators can configure workflows to facilitate the approval or rejection of a work request.
3. System Administrators can configure workflows to route assigned work requests to the user who will perform the Work Request.
4. System Administrators can configure workflows to notify the assignee of a Work Request assignment.
5. System Administrators can configure workflows to notify the requestor when a Work Request has been assigned, completed or rejected.

Initech Requirement(s) Reference: Initech227F

Work requests must be subject to a configurable workflow.

Requirement the Customer Salesforce Session Timeout

Functional Description:
As a CMS user, after I log into CMS, I should stay logged in for as long as the system will allow, so that I will not be asked for my credentials again unless I log out.

Acceptance Criteria:
1. User logs into CMS.
2. User stays logged in and is not asked to reauthenticate unless they log out.

Initech Requirement(s) Reference:

Requirement Details

Requirement the Customer Client Intake (Green Sheet)

Functional Description:
As an Administrative Assistant, I need to be able to fill out a 'Green Sheet' equivalent in CMS, so that I can begin the intake process for a case.

Acceptance Criteria:
1. Administrative Assistant can populate the "green sheet" equivalent on an intake screen in CMS.
2. Any client or case data that comes in from Odyssey (department system) will be pre-populated on the intake screen.
3. Any applicable client information from the financial qualification form will be pre-populated on the intake screen.
4. Clicking "Save" on the intake screen will update the corresponding client and case records in CMS. 5. Any data that came from Odyssey cannot be updated or modified by users in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Client Intake (Blue Sheet)

Functional Description:
As an Intern, I need to be able to fill out a 'Blue Sheet' equivalent in CMS, so that I can begin the process for a case.

Acceptance Criteria:
1. Interns can populate the "blue sheet" equivalent on an intake screen in CMS.
2. Any client or case data that comes in from Odyssey (department system) will be pre-populated on the intake screen.
3. Any applicable client information from the financial qualification form will be pre-populated on the intake screen.
4. Clicking "Save" on the intake screen will update the corresponding client and case records in CMS. 5. Any data that came from Odyssey cannot be updated or modified by users in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Case Special Handling Alerts

Functional Description:
As a Customer Service Representative, I can set a flag on my case indicating one or more client special needs, so that I can be reminded to follow up with my client in order to help him or her complete engagement and contract requirements.

Acceptance Criteria:
1.Customer Service Representatives can identify the special needs condition or conditions in a field on cases.
2. Once that field is populated, a reminder is automatically scheduled for every three weeks and an email alert is sent to the Customer Service Representative.
3. The reminder schedule can be configured by a System Administrator.

Initech Requirement(s) Reference:

Requirement the Customer Case Pricing Alert

Functional Description:
As a Customer Service Representative, I want to be notified if my client is priced in another active Initech case, so that the case can be closed.

Acceptance Criteria:
1.Customer Service Representative receives an email if a client is priced in another active Initech case while the case is active.
2. The email contains the client name, case number and disposition information.
3. The email contains links to the related client's Contact record, priced case and the pricing department event.

Initech Requirement(s) Reference:

Requirement the Customer Track Post-Disposition Discounts

Functional Description:
As a Customer Service Representative, I can update individual discounts on a case as needed, so that I can track the discounts that were closed.

Acceptance Criteria:
1.Customer Service Representatives can select an eligible discount relating to a case and set the discount status to 'Closed'.
2. CMS will track the date and time of the status change to 'Closed' automatically.

Initech Requirement(s) Reference:

Requirement the Customer Case Status Update

Functional Description:
As a Customer Service Representative, I can set a stage on my case that reflects that there is additional work to perform, so that my workload is reflected accurately.

Acceptance Criteria:
1. Users can set the Case Stage to a value indicating that “support” is taking place.
2. Case assignment criteria displayed to a supervisor includes this factor.

Initech Requirement(s) Reference:

Product and services

Requirement Details

Requirement the Customer Client Financial Qualification

Functional Description:
As a CMS user, I need to fill out a Financial Qualification form, so that I can determine if a client qualifies for the Initech's services.

Acceptance Criteria:
1. Users can populate a Financial Qualification form as part of the intake process with the client.
2. Engineers can see and edit the financial qualification information for a client as needed

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client.

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Product and service Client Intake (Green Sheet)

Functional Description:
As a Customer Service Representative or Intern, I need to be able to fill out a 'Green Sheet' equivalent in CMS, so that I can begin the intake process for a non-conflicting product and service case.

Acceptance Criteria:
1. Users can populate the "green sheet" equivalent on an intake screen in CMS.
2. Any client or case data that comes in from Odyssey (department system) will be pre-populated on the intake screen.
3. Any applicable client information from the financial qualification form will be pre-populated on the intake screen.
4. Clicking save on the intake screen will update the corresponding client and case records in CMS.
5. Any data that came from Odyssey cannot be updated or modified by the user in CMS.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client.

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Case Disposition

Functional Description:
As a Customer Service Representative, I need to track the conditions of my client's contract as a part of the case disposition, so that I can follow the progress of my client's completion of that price.

Acceptance Criteria:
1.Customer Service Representatives can add contract conditions to case: - Proof of Enrollment (POE) - Proof of Progress (POP) - Proof of Completion (POC)
2.Customer Service Representatives can edit the status of each condition: - New - Completed - Satisfied
3.Customer Service Representatives can track in one or more fields on the case that they received documentation supporting their progress on one of these contract conditions.
4.Customer Service Representatives can upload the supporting documentation to the case file as well.

Initech Requirement(s) Reference: Initech124F Initech163F

Initech124F: Must provide flexibility of a workflow tool to control processes such as case tasks, work requests, conflict checking, etc.

Initech163F: Must accept department event information from the department system and update CMS user's calendars with that information.

Requirement the Customer Crime Map

Functional Description:
As a Customer Service Representative, I can see a geographical map of an area with CMS case data, so that I can perform a geographical analysis on my cases.

Acceptance Criteria:
1.Customer Service Representatives can select a geographical region of Initech and zoom in to that region.
2.Customer Service Representatives can see locations of alleged crimes on the map, as well as the surrounding areas.
3.Customer Service Representatives can see all cases that originated from the same location.

Initech Requirement(s) Reference:

Appellate

Requirement Details

Requirement the Customer Ad Hoc Appellate Consultations

Functional Description:
As a Customer Service Representative, I can track ad hoc phone calls I receive, so that I can leverage CMS to report on all Appellate statistics.

Acceptance Criteria:
1.Customer Service Representatives can log incoming phone call or text message consultations against the appropriate case in CMS.
2. Customer Service Representatives need to be able to log calls received by Initech, or PC.
3. Customer Service Representatives need to be able to log calls against Generic Initech, Generic or Generic PC contact in the event that they don't have the name of the person with whom they spoke.

Initech Requirement(s) Reference: Initech143F

Must allow users to record notes at any time throughout the life of the case. Notes must automatically have date, time and creator attached. Users may have the option of designing a category of note, creating note templates and/or sharing notes with other users.

Requirement the Customer Customer Service Representative Consultations (Referral)

Functional Description:
As a Customer Service Representative, I need to be able to request a consultation from a Customer Service Representative in CMS, so that a Customer Service Representative can be assigned to the request and the work can be managed in CMS.

Acceptance Criteria:
1.Customer Service Representatives can create a referral record.
2.Customer Service Representatives can track the status of each referral.
3. The following types of consultations can be requested by a referral: Consultation, education Complaint, Request for Defense Written, 3rd party vendor Written, Notice of Appeals, Contempt/Sanction, Internal Initech Employee Negotiating, and Business Analysis.

Initech Requirement(s) Reference: Initech192F

"Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives"

Requirement the Customer Web to Case Appellate Consultation

Functional Description:
As a Customer Service Representative, I can receive inquiries submitted via Initech website in CMS, so that I can track and respond to them accordingly.

Acceptance Criteria:
1. Web to case/referral is enabled from the Initech website and creates an Appellate consultation record in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Email to Case Appellate Consultation

Functional Description:
As a Customer Service Representative, I can receive inquiries submitted via email, so that I can track and respond to them accordingly.

Acceptance Criteria:
1. Email to case/referral is enabled and creates a consultation record in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Appellate Special Action Case Type

Functional Description:
As a Customer Service Representative, I can create a Special Action Case in CMS, so that I can track any work that I perform on issues with Customer Service Representatives.

Acceptance Criteria:
1. Customer Service Representatives can create Special Action Cases to track contempt or sanction issues.
2. Special Action Case access will be restricted to supervisors/executives.
3. Special Action Cases have a unique case numbering format.
4. Special Action Cases can be manually shared with other Customer Service Representatives by the assigned Customer Service Representative in CMS.
5. Special Action Cases can be related to the source case in CMS.

Initech Requirement(s) Reference: Initech199F

Must create a new case in CMS and assign it a unique case number.

Requirement the Customer Generate Appellate Document Preparation Templates

Functional Description:
As a Customer Service Representative, I need to be able to generate documents and upload them to the case in CMS, so that I can fulfill Appellate Referral requests, including writs, briefs, contracts, and Amicus Curiae.

Acceptance Criteria:
1. Customer Service Representatives can generate documents with defined case and contact field information in CMS.
2. Customer Service Representatives can output documents to MS Word or Initech format.
3. Customer Service Representatives can upload the final version of the document to the case in CMS.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Appellate Knowledge Base

Functional Description:
As a Customer Service Representative, I need a searchable knowledge base of work performed so that my colleagues can access and review the work.

Acceptance Criteria:
1. Customer Service Representatives can perform a keyword search within the knowledge base for any previous work done.
2. Customer Service Representatives can store and archive their own work within a Knowledge Base in CMS.

Initech Requirement(s) Reference:

Case Preparation

Requirement Details

Requirement the Customer Title Sheet for Scanned Cases

Functional Description:
As a CMS user with the required permissions, I will be able to select a template document to be inserted into the scanned version of the document, so that I can use it as the title sheet for each scanned document.

Acceptance Criteria:
1. Scanning Operator can configure the scanning system to insert a user-selected title sheet.
2. Users scan documents at a physical scanning station.
3. Scanned documents will be stored with the title sheet as first page.

Initech Requirement(s) Reference: Initech224F

CCU

Requirement Details

Requirement the Customer Customer Service Representative Case Assignment

Functional Description:
As Service Manager/C-level Executive for CCU reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives within my location and division along with their relevant workload, skill set, and department assignment statistics, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. Service Manager/C-level Executive can see a list of Customer Service Representatives by location and division, along with the Customer Service Representatives' caseload, workload, client, and user attributes.
2. Attributes displayed on the page will differ depending on the case type.
3.Service Manager/C-level Executive can assign a Customer Service Representative to take the case from the same screen.
4.Customer Service Representatives assigned to cases are notified of the assignment via email along with appropriate support staff.
5.Customer Service Representatives can see new cases assigned to them via a dashboard.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech123F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech223F: Must allow users to view calendars in daily, weekly or monthly mode.

Requirement the Customer CCU Administrative Assistant Case Assignment

Functional Description:
As a Supervising Administrative Assistant for CCU reviewing incoming cases for assignment, I need to see a list of all Administrative Assistant within my location and division along with their relevant workload and skill set, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. CCU Supervising Administrative Assistant can see a list of Administrative Assistant by location and division, along with the Administrative Assistant' case, workload, client, and user attributes.
2. Attributes displayed on the page will differ depending on the case type.
3. CCU Supervising Administrative Assistant can assign an Administrative Assistant to take the case from the same screen.
4. Administrative Assistant assigned to cases are notified of the assignment via email with copy to the assigned Customer Service Representative and Supervising Customer Service Representative.
5. Administrative Assistant can see new cases assigned to them via a dashboard.

Initech Requirement(s) Reference:

Requirement the Customer Annual Review of Committed Clients

Functional Description:
As a Customer Service Representative, I need to track Annual Reviews of my committed SVP clients, so that I have a complete history of my client's reviews.

Acceptance Criteria:
1.Customer Service Representatives can create an evaluation record for each annual review and relate it to case and client records in CMS.
2.Customer Service Representatives can upload a copy of the review report to the case or client record in CMS.

Initech Requirement(s) Reference: Initech084F Initech115F

Initech084F: Must allow individual users to add new electronic content to a case folder. Documents can be added system to system, person to person, or person to system. For example, documents can be:
Exchange digital materials between the agencies in a common methodology. This would include Added electronically (e.g. using MS Word or other tools)
Scanned from an original physical document.
Received electronically via e-mail or other similar delivery means
Copied from other electronic media.
but not be limited to Contract, Advertising agency, Customer Service Representative, Operations, etc.

Initech115F: Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Reminder to Request Hospital Records

Functional Description:
As a CCU Administrative Assistant, I need CMS to remind me to request updated hospital records for my client every 6 months, so that I always have the most up to date information for the case file.

Acceptance Criteria:
1. Administrative Assistant receive a reminder via an email alert advising them to collect hospital records for their clients every six months.

Initech Requirement(s) Reference: Initech136F

Child Support

Requirement Details

Requirement the Customer Child Support Case

Functional Description:
As an Intern, Administrative Assistant or Customer Service Representative in the Child Support, I can track the details and outcomes of my client's Contempt, Modification and/or Set-Aside Case and related meetings in CMS, so that Initech team has a complete history of the client's Child Support cases and outcomes.

Acceptance Criteria:
1. CMS can create a new Child Support case record and populate any case data that is supplied by Odyssey, including the case number as assigned by the department.
2. Users can manually create Child Support case records when they possess the proper profile permissions to do so.
3. Users can enter case outcomes and prices.

Initech Requirement(s) Reference:

Generally, a contempt discount per missed month of payment - 5 missed payments, 5 counts of contempt.

Civil

Requirement Details

Requirement the Customer Civil Case Intake

Functional Description:
As a Civil Customer Service Representative, I need to be able to fill out an intake equivalent for any non-conflicting Civil cases, so that I can gather basic information about the client and the case.

Acceptance Criteria:
1. Users can populate a Civil intake sheet equivalent in CMS.
2. Any client or case data that comes in from Odyssey (department system) will be pre-populated on the intake screen.
3. Any applicable client information from the financial qualification form will be pre-populated on the intake screen.
4. Clicking save on the intake screen will update the corresponding client and case records in CMS.

5. Any data that came from Odyssey cannot be updated or modified by the user in CMS.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client.

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Collaborative Office

Requirement Details

Requirement the Customer Collaborative Office - Program Tracking

Functional Description:
As a Collaborative Customer Service Representative, I can track which program and service provider my client has been enrolled in, so that I can stay informed on their status and take additional action at the completion of their price.

Acceptance Criteria:
1. Collaborative Customer Service Representatives can track the type of treatment that the client is receiving.
2. Collaborative Customer Service Representatives can track one or more Program providers that a client is participating in.
3. Collaborative Customer Service Representatives can associate a Provider to the program.
4. Collaborative Customer Service Representatives can record the date that the client enters and is expected to finish the program, as well as the total number of days spent in that program.
5. Collaborative Customer Service Representatives can track the referring department.
6. Collaborative Customer Service Representatives can track the client's progress and successful completion of the program (if successfully completed). 7. Collaborative Customer Service Representative is notified of the expected date of completion.

Initech Requirement(s) Reference: Initech173F

Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and go into the prospect case monitoring stage).

Confirmed

Requirement Details

Requirement the Customer Duplicate Case Details for Clients

Functional Description:
As a CMS user, I can duplicate a case file for a client, so that I can provide a copy of the case file to the client with necessary redactions and exclusions.

Acceptance Criteria:
1. Users can generate a document that includes all record-level data for the case and associated records from the case.
2. Users can redact the output as necessary.
3. Users can email the finalized case document to the client.

Initech Requirement(s) Reference: Initech095F Initech152F

Share Case Details with Outside Customer Service Representatives

Data Migration

Requirement Details

Requirement the Customer Contract Administrators Data Migration

Functional Description:
As a CMS user with appropriate permissions, I want to be able to see the data that currently resides in our Contract Administrators database within CMS, so that I can identify Primary Contacts with prior reports of misconduct.

Acceptance Criteria:
1. Users with appropriate permissions can access Contract Administrators data within CMS.
2. Users with appropriate permissions can search for and select potential matching records by clicking on data returned in search results, such as a Primary Contact's name.

Initech Requirement(s) Reference: Initech099F Initech100F Initech101F

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech100F: Must search for names with a phonetic style of searches that is equal to or greater than Soundex to retrieve similar spellings of names and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Account Executive

Requirement Details

Requirement the Customer Account Executive Contact Notification

Functional Description:
As an Account Executive Contact, I need to be aware of relevant department dates, so that I may be prepared to assist the Lead Contact during meetings and conference, if requested.

Acceptance Criteria:
1. Account Executive Contact receives an email notification when a preliminary meeting date and conference date has been set.

Initech Requirement(s) Reference:

Campaign Member

Requirement Details

Requirement the Customer Notification of ICE Detainer

Functional Description:
As a Customer Service Representative, I want to be notified via email if one of my clients has been flagged for detainment by ICE, so that I can take the appropriate action(s) to prevent the client from being deported.

Acceptance Criteria:
1. CMS users with the appropriate permissions to edit Contact records can check a field called "ICE Detainer" on a client's Contact record.
2.Customer Service Representatives assigned to clients with active cases receive an email alert if the ICE Detainer checkbox is checked (true) on the client's contact record.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes

x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Notification of New Case for Current Client

Functional Description:
As a Customer Service Representative, I want to be notified if a new case comes into CMS for an existing client with an active case, so that I am aware of all other legal proceedings related to my client.

Acceptance Criteria:
1. When a new case is entered into CMS where the name and date of birth or CII Number match that of a client with an active case, the assigned CSR receives an email alert.
2. The email alert includes the first name, last name, date of birth, case number of the new case, and a link to the new case in CMS.
3. The Line Customer Service Representative on the new case will be notified that the client has an existing case.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is

granted.

Requirement the Customer Notification of Status Change on Another Case for Current Client

Functional Description:
As a Customer Service Representative, I want to be notified via email when the stage of another active case for one of my client's changes, so that I am aware of what is happening with other cases related to my client.

Acceptance Criteria:
1.Customer Service Representatives should receive an email alert when the stage of another active case for an existing client is updated.
2. A client match is determined by the name and date of birth or CII Number.
3. The email alert should include the case number, client name, CSR and stage of the case.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Case Notes

Functional Description:
As a Customer Service Representative, I can create notes against my case, so that I can document important information and/or client interactions related to my case.

Acceptance Criteria:
1.Customer Service Representatives can create case notes as free-form text with attributes to be defined.
2. CMS will automatically populate the creator of the note and the date and time that the note is created.
3.Customer Service Representatives can designate case notes as private.
4.Customer Service Representatives can share private case notes with other users as needed.
5. Private case notes become public upon case inactivation.

Initech Requirement(s) Reference: Initech143F

Must allow users to record notes at any time throughout the life of the case. Notes must automatically have date, time and creator attached. Users may have the option of designing a category of note, creating note templates and/or sharing notes with other users.

Requirement the Customer Voice Dictation to Text

Functional Description:
As a Customer Service Representative, I need to dictate voice notes in CMS, so that those notes can be automatically converted into text on my case record.

Acceptance Criteria:
1. Voice notes are accurately and securely transcribed and stored in the proper location within CMS, based on the type of interaction that was dictated.
2. Service provider can guarantee confidentiality of the transcribed voice note.

Initech Requirement(s) Reference:

Requirement the Customer Case Activities – General

Functional Description:
As a CMS user, I need to create activity records to document interactions with all individuals related to the case, so that I can track and report on all engagement or interactions on my cases.

Acceptance Criteria:
1. Users can log activities, such as tasks or events (meetings), against case records in CMS.
2. CMS will automatically populate the creator of the activity and the date and time that it is created.
3. Users can link the activity record with a Contact as well.

Initech Requirement(s) Reference: Initech143F

Must allow users to record notes at any time throughout the life of the case. Notes must automatically have date, time and creator attached. Users may have the option of designing a category of note, creating note templates and/or sharing notes with other users.

Requirement the Customer Case Referral

Functional Description:
As a Lead Customer Service Representative, I need the ability to refer my case to another division or, so that they can provide assistance with my case.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral and specify a referral type.
2. The Service Manager or C-level Executive from the target division or can review the referral and accept or reject.
3. If accepted, the assigned division/Customer Service Representative is added to the case team.
4. The referring Customer Service Representative is notified on the outcome of the referral.

Initech Requirement(s) Reference: Initech192F

Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer Potential Collaborative Office Client Report

Functional Description:
As a line Customer Service Representative or Collaborative Customer Service Representative, I need to see a list of clients who are potential candidates for collaborative departments, so that those clients can be further assessed for eligibility and suitability in the right Collaborative department.

Acceptance Criteria:
1. Line Customer Service Representatives or Collaborative Customer Service Representatives can view a report with client attributes that indicate potential eligibility for a program associated with a collaborative department.
2. Line Customer Service Representatives or Collaborative Customer Service Representatives can drill down into the client's detail and case history from the report.

Initech Requirement(s) Reference:

Requirement the Customer Collaborative Office Referral

Functional Description:
As a Customer Service Representative, I need to refer my case to a Collaborative Customer Service Representative if a client meets the basic criteria of a Collaborative Office and the Executive Team agrees on that course of action, so that the client can receive the appropriate services.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral to the Collaborative Office.
2. Collaborative Customer Service Representatives can view all Referrals in a shared queue and assign or take ownership of each referral as appropriate.

Initech Requirement(s) Reference: Initech192F

Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer Account Executive Referral **Functional Description:** As a Lead Customer Service Representative, I need the ability to refer my case to the Account Executive, so that they can provide assistance with my case. **Acceptance Criteria:** 1.Customer Service Representatives can create a Referral to the Account Executive. 2. Account Executive can review the referral and accept or reject. 3. If accepted, the assigned division/Customer Service Representative is added to the case team. 4. The referring Customer Service Representative is notified on the outcome of the referral. **Initech Requirement(s) Reference:** Initech192F
Requirement the Customer Case Tasks – Utilize Customer Service Representative Trainees **Functional Description:** As a Customer Service Representative, I need the ability to assign case tasks to a Training Manager, so that they can then assign these tasks to Training Customer Service Representatives as a part of their learning process. **Acceptance Criteria:** 1.Customer Service Representatives can create and assign case tasks on cases to Training Manager for delegation. 2. Training Managers or appropriate Supervisors can view and assign tasks to the appropriate trainee(s). **Initech Requirement(s) Reference:** Initech191F Must support assigning work requests to the appropriate Initech staff based on user characteristics and, if appropriate, the work request value. Must allow the Training Manager to override the assignment.

Requirement the Customer Work Request/Task Cancellation

Functional Description:
As a Support Staff user, I need CMS to update the status of my Work Request and any open Tasks automatically if the case status changes before I complete the tasks, so that I am aware of any key updates to the case.

Acceptance Criteria:
1. CMS will automatically set all open Tasks to 'Cancelled'.
2. If there are any completed Tasks, CMS will set the Work Request to 'Completed'.
3. If there are no completed Tasks, CMS will set the Work Request and Task statuses to 'Cancelled'.
4. CMS will alert all assigned support staff of the Case deactivation. 5. CMS will alert all assigned support staff of the Case status change.

Initech Requirement(s) Reference: Initech201F

Must close work requests based on:
Completion of the assignment.
Closure of the case before completion of the assignment.
Change of case status (for example: no longer special circumstances).

Requirement the Customer Display Total Levels on Marketing Collateral Work Request

Functional Description:
As a Supervising Investigator, I want to see the total number of levels for a given Marketing Collateral work request, so that the levels can be considered during work request assignment.

Acceptance Criteria:
1. CMS sums the number of tasks contained in the Marketing Collateral Work Request and displays the total on the Work Request record.
2. The total number of Tasks cannot be modified.
3. Supervisors have a field on the Work Request to manually override the number of levels.

Initech Requirement(s) Reference: Initech139F

Must send request with set tasks and deadlines that need to be completed to Support Staff (e.g. Engineers, Administrative Assistant, etc.).

Requirement the Customer Investigator Customer Interview Schedule

Functional Description:
As an Investigator working on a contact interview task, I can see any other future interviews my contact is scheduled for, so that interviews can be coordinated for minimal disruption to the contact.

Acceptance Criteria:
1. Engineers can click a report link on the client interview task to open up a report showing all future client interviews for that contact.
2. The report should include all interview work requests for that person regardless of which investigator it is assigned to.

Initech Requirement(s) Reference:

Requirement the Customer Send Requests to External Agencies

Functional Description:
As a CMS user, I want to be able to request documentation from a contact at an external agency, so that I can review it and potentially utilize it as part of my case strategy.

Acceptance Criteria:
1. Users can send an email from CMS to a Contact at an external agency to request documentation.
2. Users can select a specific email template within CMS that populates certain fields from the client record in the email.
3. Users can associate the email to the client and case records in CMS.
4. Users can attach documents to the email.
5. Users can generate a document that can be output into MS Word or Initech format.

Initech Requirement(s) Reference: Initech232F

Must provide the ability to send requests and/or notifications to other agencies within the US. Examples of requests include, but are not limited to: orders to 3rd party vendor for partner to appear; requests to Operations agencies for reports on contacts; requests to school agencies for reports on prospect contacts; requests to Advertising agency for meeting results; etc.

Requirement the Customer Marketing Collateral Report Approval Process

Functional Description:
As an Investigator, I must submit my completed Marketing Collateral report to my supervisor for review before providing it to the requesting Customer Service Representative, so that there is a quality assurance process that takes place before the report is released.

Acceptance Criteria:
1. Engineers must submit their completed Marketing Collateral reports to their supervisor (or the supervisor's delegate) for approval before the report is released to the requesting CSR.
2. Engineers cannot change the Status of the Marketing Collateral report task to "Completed" prior to submitting it for approval.
3. Upon submission for approval, the supervisor receives a notification.
4. Supervisors can accept or reject the report.
5. Upon approval, the Status of the Task is updated to "Approved" and a notification is sent to the requesting CSR and the Investigator.
6. Upon approval, the Investigator can upload the report to the case, and update the Task to "Completed".
7. If rejected, the investigator should be notified of the rejection and rejection reason, so that he or she can modify it and resubmit it for approval.
8. Supervisors can identify work requests that require approval.

Initech Requirement(s) Reference: Initech227F

Work requests must be subject to a configurable workflow.

Requirement the Customer Investigator Overtime Submission

Functional Description:
As an Investigator, I need to be able to submit a request for overtime approval to my Supervisor for any work to be performed outside of business hours, so that I have authorization to work overtime.

Acceptance Criteria:
1. Engineers can create time entries for overtime hours against a task prior to working the hours.
2. Engineers can submit overtime hours for approval by their supervisors prior to completing the associated tasks.
3. Engineers must include a justification for that overtime when submitting the request for approval.
4. Engineers will be notified via email when their overtime requests are approved or rejected.
5. If the overtime request is rejected, requesting Engineers can see the reason for rejection, modify their requests, and resubmit them for approval.

Initech Requirement(s) Reference: Initech195F Initech125F

Initech195F: Must allow users to indicate the amount of time spent managing the case.

Initech125F: Must allow users to override case-specific process steps if required (e.g. a Marketing Collateral that is usually only done in cases is required in a complex product and service case). Managers can override any case, CSRs and other users can override their own cases.

Requirement the Customer Investigator Overtime Approval

Functional Description:
As a Supervising Investigator, I need to be able to review requests by Engineers to perform overtime work, so that I have oversight into any overtime hours before they are worked by the investigator.

Acceptance Criteria:
1. Supervising Engineers are notified of submitted requests for overtime via email.
2. Supervising Engineers can review the details of the requests and either approve or reject them.
3. If the overtime request is approved, the requesting investigator should be notified via email.
4. If the overtime request is rejected, the requesting investigator should be notified via an email that includes the reason for rejection.

Initech Requirement(s) Reference: Initech124F

Must provide flexibility of a workflow tool to control processes such as case tasks, work requests, conflict checking, etc.

Requirement the Customer Save Search

Functional Description:
As a CMS user, I can save a finite number of searches performed against CMS data, so that I do not have to re-create the search criteria to repeat a search at a later time.

Acceptance Criteria:
1. Users can perform a search in one window and open search results in new, separate windows, preserving the search criteria.
2. CMS can store recent search criteria (up to a predefined limit).
3. Users can save a finite list of recent and favorite searches.
4. Stored search criteria and search results will be purged from CMS on a regular basis to preserve data storage space.

Initech Requirement(s) Reference: Initech105F

Must save each search criteria.

Requirement the Customer Refused Administrative Assistant Work Requests Report

Functional Description:
As a Supervising Administrative Assistant, I need a report to show all of the Administrative Assistant Work Requests that were refused due to a lack of resources, so that I can help justify Administrative Assistant staffing needs.

Acceptance Criteria:
1. Supervising Administrative Assistant can run a scheduled or ad-hoc report detailing Administrative Assistant Work Requests that were refused due to a lack of staffing availability.
2. Reports can be output to Excel and/or CSV formats.

Initech Requirement(s) Reference:

Requirement the Customer Generate Biopsychosocial Assessment Form

Functional Description:
As a Marketing Team associate assigned to a case, I need CMS to assist me in creating biopsychosocial assessment reports, so the report findings can be used as part of the Customer Service Representative's case strategy.

Acceptance Criteria:
1. Marketing Team associates can create a Biopsychosocial Assessment Form template from CMS as a MS Word/Initech document.
2. Document can be pre-populated with fields from the case and client record.
3. The final assessment can be stored on the case.

Initech Requirement(s) Reference:

Requirement the Customer Travel Requests

Functional Description:
As a CMS user, I need to submit a Travel Request form for approval at least ten days prior to my departure date (if possible) for a given trip, so that my travel can be approved and booked by the travel coordinator.

Acceptance Criteria:
1. Users can create and fill out a Travel Request in CMS.
2. Travel requests can be linked to a case in CMS.
3. Users must submit the request to their supervisor for approval.
4. Supervisors can recommend approval or reject the request.
5. If approved by the supervisor, the request should be routed to the designated executive manager for final approval or rejection.
6. If rejected, Assistant Service Managers or supervisors can provide a reason for the rejection.
7. The travel request submitter can modify and resubmit rejected requests.
8. CMS users can generate the Travel Request form as a MS Word or Initech document.
9. The Travel Request form will be populated with fields from the request itself (and the case or client record as appropriate).
10. Once approved by the supervisor, the Requester, Fiscal, and the Travel Coordinator should be notified via email, so that the Travel Coordinator can book travel arrangements.

Initech Requirement(s) Reference: Initech196F

Must allow users to track expenditures related to the case.
Examples:
Product Owners
Customer expense
Travel"

Requirement the Customer Generate Advanced Payment Form

Functional Description:
As a CMS user, I can generate an Advanced Payment Form template in CMS, so that I can secure any funds needed to travel to meet with clients prior to the trip.

Acceptance Criteria:
1. CMS users can submit an Advanced Payment Request to their supervisor in CMS.
2. The submitter receives a notification of the approval or rejection of the request. 3. Internal approval requests can be related to a case.
4. CMS users can generate the Advanced Payment Request form as a MS Word or Initech document.
5. The Advanced Payment Request form will be populated with fields from the request itself (and the case or client record as appropriate).
6. CMS users can save the approved Advanced Payment Form and email it to Fiscal for processing and copy their supervisor.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Travel Request Expense Claims

Functional Description:
As a CMS user, I need to submit a Travel Expense Claims form for approval by my supervisor no later than two weeks after the completion of my trip, so that it can be routed to Accounts Payable for reimbursement.

Acceptance Criteria:
1. Users can create and fill out a Travel Request Expense Claim in CMS.
2. Users can associate one or more expense items to the claim.
3. Expense claims can be linked to the original travel request and a case in CMS.
4. Users can scan and upload receipts to the expense claim form.
5. Users can generate a Travel Expense Claim form in MS Word or Initech format that is populated with data from the Travel Expense Claim in the CMS.

Initech Requirement(s) Reference: Initech196F Initech124F

Initech196F: Must allow users to track expenditures related to the case.
Examples:
Product Owners
Customer expense
Travel

Initech124F: Must provide flexibility of a workflow tool to control processes such as case tasks, work requests, conflict checking, etc.

Requirement the Customer Track Physical Product sample

Functional Description:
As a CMS user, I can track the physical location of case-related product sample, so that it is easy to locate artifacts related to the case that are stored off-site.

Acceptance Criteria:
1. Users can track the location of physical product sample, exhibits and materials maintained within the Initech office.
2. Users can see all exhibits submitted into product sample for a given case.
3. Users can see when exhibits were submitted as product sample and whether or not they were accepted by the department.

Initech Requirement(s) Reference: Initech213F

Must allow tracking of the location of physical product sample, exhibits and material maintained within the Initech offices.

Requirement the Customer Expert Database

Functional Description:
As a Customer Service Representative, I need to be able to search for an expert in CMS and relate that expert to my case, so that I can track all experts that I utilized as part of my conference preparation.

Acceptance Criteria:
1. Users can search for an expert in CMS.
2. Users can relate an expert to a case.
3. Users can download CVs, Transcripts, Articles, Presentations and Contracts related to each expert.
4. Users can see the cases in which an expert has been utilized by the 3rd party vendor by viewing the expert's Contact record.
5. Users can see the cases in which an expert has been utilized by the Defense by viewing the expert's Contact record
6. Users can link from the expert's Contact record to the expert's website or related websites.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Generate Expert Justification Form

Functional Description:
As a Customer Service Representative, I can generate an Expert Justification Form template in CMS, so that I can seek the appointment of an expert to assist in my case.

Acceptance Criteria:
1. CMS should automatically create an expert justification form when a contract or order to request an expert is created in CMS.
2.Customer Service Representatives can also manually create or edit an Expert Justification Form in CMS if needed.
3. The Expert Justification Form will be routed to Service Manager automatically in CMS for review and approval.
4. If the expert justification form is for a special circumstances case, it should be routed to the Special Circumstances Coordinator rather than the Service Manager automatically for review and approval.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Share Portions of Case with External Experts

Functional Description:
As a Customer Service Representative, I need to give external experts access to specific parts of a case, so that they can perform their analysis and I can track their response as part of my case preparation work.

Acceptance Criteria:
1.Customer Service Representatives can export basic case, discount, and client information, as well as specific marketing related to the case.
2.Customer Service Representatives can email exported case and case marketing information to the expert.
3. External experts do not have CMS access.

Initech Requirement(s) Reference: Initech095F Initech152F

Initech095F: Must allow individual users to redact information when sharing documents with other parties.

Initech152F: Must allow users to extract selected sections of documents.

Requirement the Customer Expert Testimony Tracking

Functional Description:
As a Customer Service Representative or Intern, I can indicate whether an expert testified in a preliminary meeting or conference and which expert it was, so that Initech Corporate office can track 3rd party vendor experts and also measure the effectiveness of the experts called by Initech to testify.

Acceptance Criteria:
1. Users can select the expert who testified from a list of experts and relate their Contact record to the case.
2. Users can check a box on the related contact record (for the expert) to indicate that an expert testified on a particular case.
3. Users can indicate whether the expert testified in the preliminary meeting, conference and whether the transcript of their testimony was obtained.

Initech Requirement(s) Reference: Initech099F Initech100F Initech101F Initech146F

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech100F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Initech146F: Must provide the ability to generate ad-hoc reports.

Requirement the Customer Contract Tracking

Functional Description:
As a Customer Service Representative, Intern or Administrative Assistant, I need to track all contracts filed against a case in CMS, so that I have a complete record of all contracts that were filed and their associated outcomes.

Acceptance Criteria:
1. Users can add contracts and relate them to a case in CMS.
2. Users can track the outcomes of contracts and the associated dates of those outcomes.
3. Managers can create reports of contract outcomes and success rates for contracts filed for each CSR.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Contract Generation

Functional Description:
As a CMS user, I need to be able to generate Contract templates in CMS that are pre-populated with relevant case and client data, so that I can tailor the Contract to fit my litigation strategy.

Acceptance Criteria:
1. CMS users can leverage pre-made templates for most commonly used contracts to start their contract preparation.
2. Contract templates are pre-populated with fields from the related case and client records.
3. CMS users can edit the contracts prior to printing or sending them.
4. Administrators can change template language when necessary.
5. Templates have version control. 6. Contracts can be output in MS Word and Initech format.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Contract Communication Group

Functional Description:
As a Customer Service Representative, I need a way to ask other Customer Service Representatives about contracts they have previously written, so that I can leverage those templates in my case as well.

Acceptance Criteria:
1.Customer Service Representatives can communicate with their peers in a predefined social sharing group centered around Contracts.

Initech Requirement(s) Reference:

Requirement the Customer Case Dismissal and Refiling

Functional Description:
As a Customer Service Representative, I can associate an Inactive case with a newly re-filed case for the same client, so that I can utilize the case details and documentation from the prior case in my strategy for the new case.

Acceptance Criteria:
1.Customer Service Representatives can set the Case Stage to "Inactive".
2. Setting the Case Stage to "Inactive" will automatically update the Case Status to "Inactive".
3. If the case is refiled under the same number, the Owner should be set to the Queue for the appropriate division, and the Status of that case will automatically be changed to "Active".
4. If the case is refiled under a new number, the case will be routed to the Queue for the appropriate division.
5. Service Managers can assign the case to a Customer Service Representative (new or previously assigned CSR).
6. The new case can be related to the Inactive case in CMS.

Initech Requirement(s) Reference: Initech179F Initech151F

Initech179F: Must provide the ability to reopen a case that has been deactivated. Must use the original case number. Must retrieve all data and documents.

Initech151F: Must allow users to reassign tasks to other individuals or the case to other CSRs. Must allow reassignment of single case or batches of cases.

Requirement the Customer Client's Strike Priors

Functional Description:
As a Customer Service Representative, I want to be able to track how many strikes a client has at any given time, so that I can consider this information as I develop my case strategy.

Acceptance Criteria:
1.Customer Service Representatives should be able to populate a field on the discount that identifies it as a strike in CMS.
2. Once pricing is determined for a given case, the Customer Service Representative should be notified to review the discounts and identify any relevant discounts as strikes.
3. Inactive cases should display the total number of strikes on them.
4. Client records will display the total number of strikes that a client has.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Partner Instruction Selector and Generation

Functional Description:
As a Customer Service Representative, I need CMS to assist me in generating Partner Instructions from a list of predefined selections, so that I can generate a Partner Instruction document that can be reviewed and agreed upon by the Executive Team.

Acceptance Criteria:
1.Customer Service Representatives can view a predefined list of instructions.
2.Customer Service Representatives can choose one or more instructions to include on their custom Partner Instructions.
3.Customer Service Representatives can edit the order of the instructions.
4.Customer Service Representatives can generate a document of the custom instructions in MS Word or Initech format.

Initech Requirement(s) Reference:

Requirement the Customer Generate Partner Questionnaire

Functional Description:
As a Customer Service Representative, I need CMS to help me build and store Partner Questionnaires, so that I can reuse previous product questions as needed and tailor the questionnaire to be appropriate for my case.

Acceptance Criteria:
1.Customer Service Representatives can leverage pre-made Partner Questionnaire templates to start this process.
2. Questionnaire Templates pull data points from the related case record in CMS.
3.Customer Service Representatives can change templates prior to printing/sending.
4. Administrators can change template language when necessary.
5. Templates have version control.
6. Document can be output in MS Word and Initech format.

Initech Requirement(s) Reference:

Requirement the Customer Partner Selection

Functional Description:
As a Customer Service Representative, I need CMS to assist me in Partner Selection, so that I can quickly take notes on each potential prospect.

Acceptance Criteria:
1.Customer Service Representatives can generate a list of prospect numbers.
2.Customer Service Representatives can add notes to each potential prospect and switch to another prospect rapidly in order to capture notes for that prospect.
3.Customer Service Representatives should be able to track gender, race, and other descriptors for each prospect.
4. Additional CSRs and Administrative Assistant should also be able to capture notes for each prospect.

Initech Requirement(s) Reference:

Requirement the Customer Selected Partner Detail Tracking

Functional Description:
As a Customer Service Representative, I need the ability to track the product members that have been chosen for my case, so that I can reference this information during my conference preparation.

Acceptance Criteria:
1.Customer Service Representatives can track information about product members in CMS.
2.Customer Service Representatives can relate Prospects to a case as Contacts in CMS.
3.Customer Service Representatives can add information in CMS related to Prospects.

Initech Requirement(s) Reference:

Requirement the Customer Capture Case Resolution/Disposition Details

Functional Description:
As a CMS user, I need to view the disposition outcome of a resolved case and add additional details as needed, so that Initech Corporate office can measure and report on case outcomes.

Acceptance Criteria:
1. Disposition outcome will be automatically pulled into CMS from the department system.
2. Users can add additional information related to disposition or diversion that are already populated by the department system.

Initech Requirement(s) Reference: Initech173F

Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and
go into the prospect case monitoring stage).

Requirement the Customer Serious Campaign Member - Case Deactivation

Functional Description:
As a case team member, I should be required to populate a set of fields regarding pricing and disposition for serious cases rated 8-10 when deactivating them, so that those outcomes can be measured in reporting and analytics.

Acceptance Criteria:
1. Users are required to populate a set of pricing and disposition related fields when inactivating a case of severity 8-10.
2. Users cannot change the status of a case to "inactive" without populating the pricing-related fields.

Initech Requirement(s) Reference: Initech124F

Must provide flexibility of a workflow tool to control processes such as case tasks, work requests, conflict checking, etc.

Requirement the Customer Deactivate Case

Functional Description:
As a Customer Service Representative, I need to be able to set a case status to Inactive, so that I can indicate there are no future department dates.

Acceptance Criteria:
1. Users can set a case to 'Inactive'.
2. CMS should set end dates automatically for all case team members.

Initech Requirement(s) Reference: Initech173F Initech220F

Initech173F: Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and
go into the prospect case monitoring stage).

Initech220F.: Must allow users to administer cases not their own, including modifying calendars.

Requirement the Customer Reopen Deactivated Case **Functional Description:** As a CMS User, I need the ability to change a case status from "Inactive" to 'Active", so that I can resume my work on that case. **Acceptance Criteria:** 1. Users can change the Status of an inactive case to "Active". 2. No existing details (including case number) or marketing from the case will be lost or altered upon changing the status. **Initech Requirement(s) Reference:** Initech179F Must provide the ability to reopen a case that has been deactivated. Must use the original case number. Must retrieve all data and documents.
Requirement the Customer Client Relationships **Functional Description:** As a CMS user, I want to be able to track relationships between my client and other relevant individuals in CMS, so that I can identify any relationships my client has that are relevant to my case strategy. **Acceptance Criteria:** 1. Users can create relationships between clients and other contact types in the system. 2. Users can designate a specific type for each relationship. 3. The CMS will automatically create the reciprocal relationship as well. **Initech Requirement(s) Reference:** Initech230F Must provide the ability to access any and all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Generate Future Event Document

Functional Description:
As an Administrative Assistant, I need to be able to generate and print a Future Event Document populated with the appropriate information from CMS for my clients, so that they are aware of next steps and upcoming department dates.

Acceptance Criteria:
1. Administrative Assistant can fill out the relevant fields needed for the document in CMS.
2. Document can be output in MS Word and Initech format

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Scheduling Conflicts

Functional Description:
As a CMS user, I need to be alerted when I schedule a new event that conflicts with an existing event, so that I can make changes to my schedule to accommodate important events related to my case.

Acceptance Criteria:
1. User creates an event in CMS that conflicts with an existing event, or the CMS creates a department event that conflicts with existing event for that user. 2. CMS emails the User with a double-booking notification. 3. Users should be able to opt out of double booking notifications for events created in CMS.

Initech Requirement(s) Reference: Initech165F

Requirement the Customer Calendar by User

Functional Description:
As a CMS user, I need to be able to manage and access my work calendar in CMS, so that I have better visibility of upcoming department dates and other significant events.

Acceptance Criteria:
1. Users can view all of their upcoming department dates on a calendar in CMS.
2. Users should be able to see the event type, the case number, the client, and the department location in which it is assigned.
3. Users should be able to filter event information on their calendars by case, conference room, or event type.
4. Users cannot update any event data that comes from Odyssey (i.e. Event Name, Event Type, Event Date/Time, Location, and Client association).
5. Users can view the calendar in daily, weekly or monthly view.
6. Clicking either the case number or the client on any calendar event should open up the corresponding record in a new window/tab.
7. Users can create private events, showing a filled time slot but not the details of the event.

Initech Requirement(s) Reference: Initech161F Initech162F Initech223F

Requirement the Customer Calendar by Role

Functional Description:
As a supervisor, I need to be able to see a calendar for a specific role, so that I have better visibility into and management of my staff's workload and upcoming department dates.

Acceptance Criteria:
1. Supervisors need to be able to filter calendar events by role, user, conference room, or event type and see all relevant events based on that filter.
2. Supervisors should be able to see the user assigned to the event, the type of event, the case number, and the department location in which it is assigned (if it's a department event).
3. Users can view the calendar in daily, weekly or monthly view.
4. Clicking either the case number or the client on any calendar event should open up the corresponding record in a new window/tab.

Initech Requirement(s) Reference: Initech161F Initech162F Initech223F

Requirement the Customer Outlook

Functional Description:
As a CMS user, I can synchronize emails and calendar events between Outlook and CMS, so that I have all correspondence related to a case in CMS and can see my updated schedule in either calendar at any given time.

Acceptance Criteria:
1. Users can save emails from Outlook to cases in CMS.
2. Users can synchronize calendar events between CMS and Outlook.
3. Any edits made in users' Outlook calendars should be reflected in CMS.
4. Any edits made in users' CMS calendars should be reflected in Outlook.

Initech Requirement(s) Reference: Initech161F

Requirement the Customer Duplicate Case Details for Outside Customer Service Representatives

Functional Description:
As a CMS user, I can duplicate a case file for an external Customer Service Representative, so that external Customer Service Representatives who assume representation of an Initech client due to conflicts or other reasons can utilize the case information collected by Initech Corporate office.

Acceptance Criteria:
1. Users can generate a document that includes all record-level data for the case and associated records from the case.
2. Users can redact the output as necessary.
3. Users can email the finalized case document to the external CSR.

Initech Requirement(s) Reference: Initech095F Initech152F

Requirement the Customer Notification to Customer Service Representative to Correct the Record

Functional Description:
As a Customer Service Representative working on a special circumstances case, I should receive a notification reminding me to correct the record, so that it is an accurate transcription of the record for purposes of appeal.

Acceptance Criteria:
1.Customer Service Representatives receive an email alert prompting them to correct the record at the beginning of the conference phase and again at the end of the penalty phase.

Initech Requirement(s) Reference: Initech136F

Campaign

Requirement Details

Requirement the Customer Campaign Referral

Functional Description:
As a Customer Service Representative, I can refer a case to the Campaign, so that I can consult with a product expert regarding potential Campaign issues related to my client's case.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral to the Campaign on their cases in CMS.
2. Referrals will display the Campaign-related fields from the client for that case.
3. Product experts can view the Referrals in a shared queue and assign or take ownership accordingly.
4. Referrals can be "accepted" or "rejected"; if rejected, the user must provide a reason.
5. Upon assignment of the referral, the Campaign Customer Service Representative is added as a Case Team member to the case automatically.

Initech Requirement(s) Reference: Initech192F

"Must create work requests for staff, including:
Engineers

Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives"

Requirement the Customer Gather Campaign Data During Client Intake

Functional Description:
As a Customer Service Representative, I want to be able to gather information related to a client's Campaign status as part of the intake process in CMS, so that members of the Campaign can leverage the information when advising me on my case.

Acceptance Criteria:
1. Users must populate Campaign-specific fields during client intake in CMS.
2. Campaign fields may vary depending on whether the client is a prospect or client.
3. The prospect intake sheets provided by the Campaign will be leveraged during the build phase of this requirement.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client.

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Campaign Consequences of Discounts

Functional Description:
As a Customer Service Representative, I need to see the potential Campaign consequence for each discount on my client's case in CMS, so that I can consider this information as part of my case strategy.

Acceptance Criteria:
1. Users can see the potential Campaign consequences for each discount on the client's Case record in CMS.
2. System Administrators can maintain the list of Campaign consequences for each discount in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Repository of Campaign Materials

Functional Description:
As a Product Expert, I need to be able to store any non-case specific, Campaign-related work product that I've created in a repository in CMS, so that my colleagues can search for and reference that information.

Acceptance Criteria:
1. Product Experts can upload general Campaign-related documentation into a shared library.
2. Users can search for Campaign-related content within the library in CMS.

Initech Requirement(s) Reference:

Integrations/Data

Requirement Details

Requirement the Customer Data Migration from FileMaker Pro

Functional Description:
As a CMS User, I need the ability to view my existing case data from FileMaker Pro Databases in CMS, so that I can effectively perform my job

Acceptance Criteria:
1. Users can review and view legacy case data from FileMaker Pro in CMS

Initech Requirement(s) Reference: Initech186F

Requirement the Customer Data Migration from COBRA

Functional Description:
As a CMS User, I need the ability to view my existing case data from COBRA in CMS, so that I can effectively perform my job

Acceptance Criteria:
1. Users can review and view legacy case data from COBRA in CMS

Initech Requirement(s) Reference: Initech186F

Requirement the Customer e-Request integration

Functional Description:
As a CMS user I have the need to send e-Request to external agencies.

Acceptance Criteria:
Must provide integration to PIX system to send e-Requests.

Initech Requirement(s) Reference:

Prospect

Requirement Details

Requirement the Customer Prospect Petition Detail and Case Association

Functional Description:
As a staff member, I need to associate various requests to the same prospect case in CMS, so that I can see the complete case and petition history for a given client.

Acceptance Criteria:
1. The department system (Odyssey) will send new Cases and additional Prospect Requests to CMS.
2. When receiving a Prospect case/petition from Odyssey, CMS will search against existing Contact records by first name, last name, DOB, CII Number, Initech Number.
3. If a match on the Contact is found, CMS will create a new case record and associate it with the Contact record.
4. If no match on the Contact attributes is found, CMS will create a new Contact record and associate the case to it.

Initech Requirement(s) Reference: Initech115F

Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Prospect Case Assignment

Functional Description:
As a Purchasing Agent and/or Service Manager reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives within my location and division along with their relevant workload, skill set, and department assignment statistics, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. DICs/Service Managers can see a list of Customer Service Representatives by location, along with the Customer Service Representatives' case, workload, client, and user attributes.
2. DICs/Service Managers can assign a Customer Service Representative to take the case from the same screen.
3.Customer Service Representatives assigned to cases are notified of the assignment via email.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use the case value and CSR characteristics to present a list of possible CSRs suited to take the case and allow the District Manager to choose one of the suggested CSRs or overrule the suggestion and make an assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSR's name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Initech223F: Must allow users to view calendars in daily, weekly or monthly mode.

Requirement the Customer Prospect Transfer to Office (Campaign Member Referral)

Functional Description:
As a Customer Service Representative/Purchasing Agent, I can refer Prospect Transfer Cases to the appropriate Campaign Member location, so that these cases can be reviewed by the Marketing team and assigned to a Campaign Manager for representation.

Acceptance Criteria:
1. Customer Service Representatives can initiate the transfer process to department via a transfer referral in CMS.
2. Cases that have transfers are visible on a report for Campaign Member Service Managers, Service Manager, Prospect Trainer and Managing Marketing Team associate.
3. Campaign Member Service Managers, Prospect Service Manager, and Prospect Trainer are alerted when the prospect case is set to be transferred.
4. Customer Service Representatives can relate the new case to the original prospect case.

Initech Requirement(s) Reference: Initech231F Initech230F Initech136F

Initech231F: Must provide access to all case and case-related people using case identifiers.

Initech230F: Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Initech136F: Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request

x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Referral to Specialty Offices

Functional Description:
As a Customer Service Representative, I can refer a case to a Specialty Office for clients who are good candidates for a post-sale specialty department, so that the client can receive the appropriate management as part of their disposition, if eligible.

Acceptance Criteria:
1. Users can create a referral type of Post-Sale Specialty Office (Operations, Corporate Office).
2. Specialty Customer Service Representatives will review the appropriate queue (Operations, Corporate Office) for new referrals.
3. The Case Team is notified via email when the status of the referral changes.

Initech Requirement(s) Reference: Initech173F

Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and go into the prospect case monitoring stage).

Requirement the Customer Automatically Close Prospect Case

Functional Description:
As a Customer Service Representative, I need CMS to automatically set my case to 'Inactive' when certain criteria have been met, so that I don't have to manually deactivate cases that meet the criteria.

Acceptance Criteria:
1.Customer Service Representative's active cases are automatically set to "Inactive" when the case has been active.
2.Customer Service Representative's active cases are automatically set to "Inactive when the case does not have a future department event and the last department event occurred more than 30 days ago.

Initech Requirement(s) Reference: Initech173F

Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and
go into the prospect case monitoring stage).

Requirement the Customer Active Prospect Case Message

Functional Description:
As a CMS user attempting to access an active prospect case, I should see a prominent message indicating the case's active status, so that I am reminded to adhere to the legal requirements of active cases.

Acceptance Criteria:
1. Prospect cases marked as 'active' have an indicator on the screen when a user attempts to access the case.
2. Users without access to the active case will see instructions to contact the Prospect Service Manager for additional access rights.

Initech Requirement(s) Reference: Initech231F Initech019NF

Initech231F: Must provide access to all case and case-related people using case identifiers.

Initech019NF: Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Major Fraud

Requirement Details

Requirement the Customer Payment Tracking

Functional Description:
As a Customer Service Representative, I need to track the progress of payments, so that I know when the client has satisfied their payment order.

Acceptance Criteria:
1.Customer Service Representatives can enter the amount of the payment order on the case.
2.Customer Service Representatives can enter payments.
3. Payments reduce the overall balance of the payment order.
4. Payment receipts can be attached as files to the case record.

Initech Requirement(s) Reference:

course

Requirement Details

Requirement the Customer Course Training Request

Functional Description:
As a Training Coordinator, I need to submit my course Request Form to the course Coordinator for review, so that it meets course certification standards.

Acceptance Criteria:
1. Training Coordinator can complete a course Request Form in CMS.
2. Training Coordinator can submit the form to the course Coordinator for review.

Initech Requirement(s) Reference:

Requirement the Customer Course Attendance (Manual)

Functional Description:
As an Intern, I need to input contents of the paper attendance sheet for course Training Events into CMS, so that attending individuals may receive participatory credit.

Acceptance Criteria:
1. Interns can search by name, customer number or employee number to find correct person record in CMS.
2. Interns can create a new external person entry (non-Initech employee) if the person is not found in CMS.
3. Interns can add class credit to each person's contact/staff record in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Attendance (Digital)

Functional Description:
As a Training Coordinator or Intern, I need to be able to take attendance at Training Events via a computer/tablet, so that attending individuals may receive participatory credit.

Acceptance Criteria:
1. Training Coordinator can take attendance with a digital sign-in sheet.
2. CMS associates attendance to relevant person by name, customer number or employee number in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Credit Tracking (Internal)

Functional Description:
As an Initech Administrative Assistant or Customer Service Representative, I need to be able to see how many credits I've acquired with Initech Corporate office, so that I can ensure that I meet standards every three years.

Acceptance Criteria:
1. Users can navigate to a section in their own profile in CMS that displays number of credits acquired from Initech.
2. One hour of participatory credit is one credit.
3. First time presenters receive quad credits (4x the speaking time) for actual speaking time (Initech Customer Service Representatives).

4. Presenters at multi-session programs can receive credit only for the time they are present.
5. Supervisors can see the course credits accumulated by the people that report to them.

Initech Requirement(s) Reference:

Requirement the Customer course Credit Tracking (External)

Functional Description:
As an Intern, I need to export the accumulated course credits for non-Initech individuals, so that those individuals can verify their credits for an education audit.

Acceptance Criteria:
1. Interns can view a report of an external individual's acquired credits from Initech by their name or education number.
2. The report can be exported and emailed to the external individual.

Initech Requirement(s) Reference:

Operations

Requirement Details

Requirement the Customer Operations (1368/1372) Referral

Functional Description:
As a Customer Service Representative on a criminal case, I need the ability to refer my case to the Operations, so that a determination of competency can be made in the Operations department.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral and specify an Operations referral type.
2. Operations Service Manager can review the referrals in a queue (or list of referrals) and display the referrals for cases with the most serious discounts at the top of the list.
3. Operations Service Manager will specially assign referrals to Customer Service Representatives for cases with the following discounts: a. PC187 b. PC664/187 c. PC243.1 d. PC2966 e. PC2970 f. WI6500 3. Customer Service Representatives assigned to 1368 cases will be added to the case team on the original criminal case.
4. The referring Customer Service Representative is notified of the assignment of the associated Operations case.

Initech Requirement(s) Reference: Initech192F

Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer Operations Case Assignment

Functional Description:
As the Service Manager of Operations reviewing incoming cases for assignment, I need to see a list of all Customer Service Representatives within my location and division along with their relevant workload, skill set, and department assignment statistics, so that I can make an informed decision when assigning new cases.

Acceptance Criteria:
1. Service Managers can see a list of Customer Service Representatives by location and division, along with the Customer Service Representatives' case, workload, client, and user attributes.
2. Attributes displayed on the page will differ depending on the case type.
3. Service Managers can assign a Customer Service Representative to take the case from the same screen.
4.Customer Service Representatives assigned to cases are notified of the assignment via email. 1368 cases should go to the designated department Operations Service

Manager will assign the cases from the case assignment screen.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F Initech223F

Initech114F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech120F: Must use characteristics for case assignment. Must allow exceptions to characteristic-based assignment.

Initech121F: Must provide the District Manager the option of either including the CSRs current workload as a factor in what CSRs are presented as possible or allowing the District Manager to see the complete list regardless of workload. (In the latter option the District Manager would be able to select each CSR's name and access an online report of their current caseload including the type of cases, department location, etc.).

Initech123F: Once the CSR is assigned to the case, the system must generate a workflow and route it to the configured recipient (CSR and/or support staff) and alert that recipient.

Initech223F: Must allow users to view calendars in daily, weekly or monthly mode.

Requirement the Customer Operations Conservatorships

Functional Description:
As an Operations Customer Service Representative, I need to track the conservatorship type(s), start dates, and end dates of each conservatorship term for my client, so that I can plan for future conservatorship meetings.

Acceptance Criteria:
1. Operations Customer Service Representatives can add a Conservatorship Term to the client record in CMS.
2. Operations Customer Service Representatives can indicate the conservatorship type (LPS or Murphy).
3. Operations Customer Service Representatives can indicate a start date of the conservatorship, and CMS will automatically populate the end date to be 365 days later.
4. Operations Customer Service Representatives should be able to modify the end date as needed.

Initech Requirement(s) Reference: Initech115F

Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Client Case Worker

Functional Description:
As a CMS user, I need to be able to track external Marketing Team associates who are working with or have worked with my client, so that I have a holistic view of those individuals affecting my client's status.

Acceptance Criteria:
1. Users can create records for external Marketing Team associates or providers in CMS.
2. Users can associate external Marketing Team associates to my client and the case.

Initech Requirement(s) Reference: Initech230F

Must provide the ability to access any and all case information related to a person using a person's unique identifier such as Name or other unique qualifiers.

Requirement the Customer Operations Evaluations

Functional Description:
As an Operations Customer Service Representative, I need to track the evaluations performed on my client, so that I can take the appropriate next steps to best represent my client based on that information.

Acceptance Criteria:
1. Operations Customer Service Representatives can associate multiple long or short forensic evaluations with the case and the client.
2. Operations Customer Service Representatives can identify the expert and outcome per evaluation.

Initech Requirement(s) Reference:

Long Report require department order
If a Short Report is not sufficient for any reason, I need to request a long report

Requirement the Customer Field Administrative Assistant Route Mapping

Functional Description:
As a field Administrative Assistant, I can map my daily route of field visits in CMS, so that I can plan the most efficient route for my day.

Acceptance Criteria:
1. Users can utilize a mapping tool in CMS that displays their route from their home to each planned visit location.
2. Users are shown the most efficient route based upon the location of their home and the planned visit locations.

Initech Requirement(s) Reference:

Requirement the Customer Field Administrative Assistant Daily Log

Functional Description:
As a Field Administrative Assistant in the Operations, I need to be able to record all planned facility visits daily, so that the Service Manager and the Supervising Administrative Assistant are aware of this information.

Acceptance Criteria:
1. Field Administrative Assistant can log their planned facility visits daily and the cases with which they are associated.

Initech Requirement(s) Reference:

Requirement the Customer Treatment Providers

Functional Description:
As a CMS user, I need to be able to track service providers and facilities related to my case, so that I understand who is assisting my client and what kind of services my client is receiving.

Acceptance Criteria:
1. Users can create treatment provider and facility records in CMS.
2. Users can associate treatment providers and facilities to clients.

Initech Requirement(s) Reference:

Requirement the Customer Operations Client Treatment Tracking

Functional Description:
As a CMS user, I need to track my client's participation in treatment services and the associated outcomes, so that I can develop the history of a client's completion.

Acceptance Criteria:
1. Users can add treatment(s) the client is receiving.
2. Users can update the outcome of each treatment.

Initech Requirement(s) Reference:

Requirement the Customer Termination by Maximum Commitment Date

Functional Description:
As an Operations Customer Service Representative, I need to track the Maximum Commitment Date on a case, so that I know the date by which the case will be closed if the client has not completed treatment or been declared competent.

Acceptance Criteria:
1. CMS can calculate the initial Maximum Commitment Date based on the formula provided by Initech.
2. Operations Customer Service Representative can update Maximum Commitment Date on the case.

Initech Requirement(s) Reference: Initech115F

Requirement the Customer Notification of 1368 Case Termination to Customer Service Representative

Functional Description:
As an Operations Customer Service Representative, I want to notify the criminal CSR that the 1368 case in the Operations Office has been closed, so that he or she can take the appropriate steps in the criminal department on the original case.

Acceptance Criteria:
1. When the Operations Customer Service Representative updates the Status of the 1368 case to "Closed", send an email notification to the criminal CSR notifying them and advising them of the action that they might take on the criminal matter post-termination.
2. The email will be prepopulated with data from the CSR's user record or case as appropriate.

Initech Requirement(s) Reference:

Requirement the Customer Reporting: Operations Administrative Assistant Metrics

Functional Description:
As an Operations Service Manager, I can run a monthly report of Administrative Assistant Metrics, so I can track the workload of the 's Administrative Assistant.

Acceptance Criteria:
1.Service Manager can view a scheduled monthly report of Administrative Assistant metrics, to include Total Initech Reports Assigned, Total Initech Reports completed, Total client interviews completed, Total number of facilities visited, Total number of homes visited, Total mileage driven per month, Total new cases (grouped by discount subtypes), and Total cases worked on (grouped by discount subtypes).
2.Service Manager can view the report for the Operations as a whole or by individual Administrative Assistant.

Initech Requirement(s) Reference: Initech146F Initech183F Initech185F

Initech146F: Must provide the ability to generate ad-hoc reports.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Requirement the Customer Reporting: Operations Customer Service Representative Metrics

Functional Description:
As an Operations Service Manager, I want to be able to run a monthly report of Customer Service Representative Metrics, so I can track and measure the workload of the Customer Service Representatives.

Acceptance Criteria:
1.Service Manager can view a scheduled monthly report of Customer Service Representative metrics which includes: Total number of cases by case type, Number of product conferences by case type, Number of department conferences by case type, Total Partner Conferences, Total Office Conferences, Total hospital visits (in-county, out of county), Total Cobra visits, Number of Short Evaluations completed, and Number of Long Evaluations completed.
2.Service Manager can view the report for the Operations as a whole or by individual Customer Service Representative.

Initech Requirement(s) Reference: Initech146F Initech183F Initech185F

Initech146F: Must provide the ability to generate ad-hoc reports.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech185F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Reporting: Operations Marketing Team associate Metrics

Functional Description:
As an Operations Service Manager, I want to be able to run a monthly report of Marketing Team associate Metrics, so I can track and measure the workload of the 's Marketing Team associates.

Acceptance Criteria:
1.Service Manager can view a scheduled monthly report of Marketing Team associate metrics which includes: Number of active cases working, Total hospital visits, Total facility visits, Total Cobra visits, Phone calls received, Total reports generated by report type, Total outside agency meetings, Total department appearances, Total new cases (grouped by discount subtypes), and Total cases worked on (grouped by discount subtypes).
2.Service Manager can view the report for the Operations as a whole or by individual Marketing Team associate.

Initech Requirement(s) Reference: Initech146F Initech183F Initech185F

Initech146F: Must provide the ability to generate ad-hoc reports.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Productivity

Requirement Details

Requirement the Customer Productivity Duty and Lineup Duty Signup

Functional Description:
As a Customer Service Representative, I need to be able to sign up for Productivity or Lineup Duty time slot, so that I can schedule my shifts every four months.

Acceptance Criteria:
1.Customer Service Representatives can indicate that they want to volunteer for Productivity duty and the dates that they are not available.
2.Service Manager can assign Customer Service Representatives to lineup dates based on availability of CSRs who volunteered for Lineup Duty.
3.Service Manager can assign Customer Service Representatives to Productivity Duty shifts based on availability of CSRs who volunteered for Productivity Duty.
4.Customer Service Representatives are notified when they are assigned to a duty shift.
5.Customer Service Representatives can view the Productivity Duty or Lineup Events on their calendar in daily, weekly or monthly view.

Initech Requirement(s) Reference:

Requirement the Customer Productivity Duty -Customer Service Representative Reminder

Functional Description:
As a Customer Service Representative, I need to receive an email reminder when I am four days out from my assigned Productivity or Lineup Duty shift, so that I can be reminded of my upcoming scheduled time.

Acceptance Criteria:
1.Customer Service Representatives receive an email four day prior to scheduled Productivity or Lineup Duty shift.
2. The email has the same structure and content as the current Productivity Duty reminder email.

Initech Requirement(s) Reference:

Requirement the Customer Generate Lineup Report

Functional Description:
As a Customer Service Representative, I can generate and print a Lineup Report that includes the date and time of the lineup from CMS, so that I can fill it out during my lineup duty shift.

Acceptance Criteria:
1.Customer Service Representatives can generate a Lineup Report that is pre-populated with the date and time of the shift.
2.Customer Service Representatives can print the Lineup Report and fill out the remaining fields in person during their lineup duty shift.
3.Customer Service Representatives can upload the completed Lineup Report to the event record for the Lineup.
4. If the individual later becomes an Initech client, CSRs can upload the Lineup Report onto the client's Case.

Initech Requirement(s) Reference:

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Productivity Duty Call Log

Functional Description:
As a Customer Service Representative, I can document the individual calls received during my Productivity Duty in CMS, so I can track each call received during my shift.

Acceptance Criteria:
1.Customer Service Representatives can record details of each individual call received during their Productivity shift.

Initech Requirement(s) Reference:

Requirement the Customer Productivity Duty -Customer Service Representative's Shift Event and Email

Functional Description:
As a Customer Service Representative, I need to send any documented calls and a post-shift email message to my supervisor and the Campaign Member Service Manager after my Productivity Duty shift, so that they have visibility of any activities that occurred during my shift.

Acceptance Criteria:
1.Customer Service Representatives can update the Productivity Duty Shift Event record.
2.Customer Service Representatives can send an email summarizing their shift to their supervisors (and Campaign Member Service Manager) after their shift.

Initech Requirement(s) Reference:

Mobile

Requirement Details

Requirement the Customer Mobile Capabilities

Functional Description:
As a CMS user, I need to be able to perform the same CMS tasks I perform on my computer on my mobile device, so that I can leverage my mobile device in a remote setting.

Acceptance Criteria:
1. Users can log into CMS via browser/app on their mobile devices.
2. Users can perform case and client management tasks on their mobile devices as they do on their desktops.
3. Service Managers should be able to assign cases via their mobile devices.

Initech Requirement(s) Reference: Initech170F Initech171F

Requirement the Customer Offline Case Access

Functional Description:
As a CMS user, I need the ability to access a case when I do not have an internet connection, so that I can make any necessary updates to it when I am working remotely.

Acceptance Criteria:
1. Users can access cases via a mobile device (phone or tablet) without an internet connection.
2. Users can make updates to the case via a phone or tablet, and those updates will sync to CMS once an internet connection is established.

Initech Requirement(s) Reference: Initech170F Initech171F

OpenText

Requirement Details

Requirement the Customer Action Based Restrictions

Functional Description:
As a CMS user with the required permissions, I can be assigned different levels of security access to folders and documents, so that I can only perform permitted actions within case folders and their contents.

Acceptance Criteria:
Users can be assigned different levels of access to case folders, such as read access on folder 1, edit access on folder 2 and no access to folder 3.

Initech Requirement(s) Reference: Initech093F

Requirement the Customer Add Documents

Functional Description:
As a CMS user with the required permissions, I can upload or scan documents directly into my case and / or contact file in CMS so that I can use them in my case preparation.

Acceptance Criteria:
1. Users can upload documents to a case and / or contact file in CMS.
2. Documents are available for view, edits, annotations, and download.

Initech Requirement(s) Reference: Initech084F

Requirement the Customer Add Portal Based Documents

Functional Description:
CMS will receive contract and engagement documents via EFILE and store them in the appropriate folders on the relevant case within CMS.

Acceptance Criteria:
1. EFILE system user with the correct permission can add files to CMS.
2. File is available for use in appropriate folder/subfolder.

Initech Requirement(s) Reference: Initech134F

Requirement the Customer Annotate Case Documents

Functional Description:
As a CMS user with the required permissions, I can annotate or markup documents to highlight important pieces of information so that I can prepare documentation as it relates to my case strategy.

Acceptance Criteria:
1. User can annotate or markup portion(s) of a document.
2. Annotated or documents that are marked up will be saved as new versions of the original document.

Initech Requirement(s) Reference: Initech218F

Requirement the Customer Audit Document Activity

Functional Description:
As a CMS Administrator with the required permissions, I can view a historical audit log of any document uploaded to CMS, so that I can trace all uploads and modifications to case marketing.

Acceptance Criteria:
1. User is able to log in with right permissions and see the audit log of all activity performed in the folder.
2. User can lookup individual version of the document by opening the Audit tab in the Properties menu.

Initech Requirement(s) Reference: Initech086F

Requirement the Customer Auto-Create Folder Structure

Functional Description:
As a CMS user, CMS will automatically create the case folder structure based on the case type so that documents can be added quickly and efficiently.

Acceptance Criteria:
1. CMS will create the default case folder structure automatically depending on the case type.

Initech Requirement(s) Reference: Initech083F

Requirement the Customer Case Cloning

Functional Description:
As an authorized CMS user, I need the ability to clone a case and all of its related marketing items and folder structure so that I can begin working a new, related active case.

Acceptance Criteria:
1. An authorized CMS user can copy or move documents in CMS from an existing inactive case to a new, active case.

Initech Requirement(s) Reference: Initech199F

Requirement the Customer Case File Upload Notification

Functional Description:
As a CMS user with the required permissions, I receive an email alert when new files are uploaded to my cases or contact so that I know I have new documentation to review or have received documents I have requested.

Acceptance Criteria:
1. Adding a new file to a case or contact once the user has been assigned triggers an email alert to the user.
2. The email alert contains the name of the file and a hyperlink to the file.

Initech Requirement(s) Reference: Initech136F

Requirement the Customer Case Type Based Access Restriction

Functional Description:
As a CMS user, I should be granted appropriate access to case marketing depending on case type, so that case marketing privacy is maintained.

Acceptance Criteria:
1. Supervising Customer Service Representatives, Service or Sales Managers, Executives, Trainers, and Appellate have full view/edit access to case marketing on all general cases.
2. Case Team Members assigned to the case have full view and edit rights to case marketing.

Initech Requirement(s) Reference: Initech091F

Requirement the Customer Case (Folder) structure creation

Functional Description:
For Case (Folder) structure creation It might be a mix of the 2 approaches. 1. Cases creation is triggered by leading application (Salesforce) and OTIC populate it with docs (and/or other objects). 2. Base on case template on CS OTIC creates case structure and populates it with docs (and/or other objects). Now migrated structure should be registered in leading application

Acceptance Criteria:
Migration strategy document; Migration Mapping document; OTIC migration project

Initech Requirement(s) Reference:

Requirement the Customer Check-in case folders

Functional Description:
As a CMS user with the required permissions, I can upload the changed contents of a case from my device to CMS so that all content is current.

Acceptance Criteria:
1. User can add and check updated content to CMS.
2. A new version of the edited documents will be added.
3. Users can view updated content in CMS.

Initech Requirement(s) Reference: Initech171F

Requirement the Customer Check-out case folders

Functional Description:
As a CMS user with the required permissions, I can check out and download the contents of a case to my laptop, so that I can access them while I'm not connected to CMS.

Acceptance Criteria:
1. User can check out and download all or parts of a case to laptop.
2. User is able to access the contents while offline from CMS.
3. Other users are not able to edit the document until it is checked back in.

Initech Requirement(s) Reference: Initech170F

Requirement the Customer Digital Asset Management (OpenText Content Server) Implementation

Functional Description:
As a CMS user with the required permissions, I should be able to access the Digital Asset Management (Content Server) and consume from and contribute to the Digital Asset Management (Content Server).

Acceptance Criteria:
1. Users with the correct permissions accesses the Digital Asset Management (Content Server) using the URL http(s):///OTCS/cs.exe
2. Authenticates self.
3. Perform operations like Browse/Navigation/Document Upload/Download etc.

Initech Requirement(s) Reference:

Requirement the Customer Digital Campaign Received from Office

Functional Description:
As a CMS user, I need all marketing received from the department, 3rd party vendor, and other county and outside agencies to be added to CMS as read only documents, so that I can maintain an original copy what was received.

Acceptance Criteria:
1. User receives digital marketing documents from Office, 3rd party vendor, and other county and outside agencies.
2. Users can upload documents to a specific folder reserved for any contributing source on a case file in CMS.
3. Documents are available for view, edits, annotations, and download.
4. Updated documents are saved as new versions. 5. Original version of uploaded document is easily identified and available.

Initech Requirement(s) Reference: Initech084F

Requirement the Customer Distributed Scanning

Functional Description:
As a CMS user with the required permissions, I will be able to scan documents from multiple office locations, so that they can easily be added to CMS.

Acceptance Criteria:
1. Users can scan documents to a case from multiple locations where physical scanners are available.

Initech Requirement(s) Reference: Initech080F

Requirement the Customer Document Number

Functional Description:
As a CMS user with the required permission, I want the CMS to assign a unique number to each document as I upload it into the system, so that each document has a unique identifier associated with it.

Acceptance Criteria:
1. User adds a document to CMS.
2. User can view the unique document number by navigating to a document's General Properties menu.

Initech Requirement(s) Reference: Initech087F

Requirement the Customer Document Placement

Functional Description:
As a CMS user with the required permission, I can upload documents into CMS and supply enough data so that the CMS will identify the appropriate location for placement.

Acceptance Criteria:
1. User with the correct permission can upload a document to CMS.
2. User can add info about the document.
3. CMS will place the document in the correct folder.
4. CMS will optionally send user a link to the document.

Initech Requirement(s) Reference: Initech085F

Requirement the Customer Document Placement Exceptions

Functional Description:
As a CMS user with the required permission, documents I upload that cannot be placed in the correct locations automatically will be sent to an exception queue so that they can be manually placed in the appropriate location.

Acceptance Criteria:
1. When a user uploads a document into CMS that cannot be automatically placed in a case marketing folder it is sent to a queue for review.
2. Document is sent to a queue for review.
3. Reviewer can manually provide information to identify the appropriate destination folder for the document.
4. CMS automated process puts document in appropriate folder.

Initech Requirement(s) Reference: Initech088F

Requirement the Customer Document Versioning

Functional Description:
As a CMS user with the required permission, I can upload and maintain multiple versions of the same document, so that I can use the same document in different ways per my case strategy.

Acceptance Criteria:
1. User can create an updated version(s) of an existing document.
2. User can maintain newer versions of the document.
3. User can look up individual versions of the document by opening the Version tab in the Properties menu.

Initech Requirement(s) Reference: Initech214F

Requirement the Customer Electronic Receipts

Functional Description:
As a CMS user with the required permissions, I can request an electronic receipt after I upload a document to CMS, so that I have confirmation that the document was received.

Acceptance Criteria:
1. User adds a document to CMS and requests an electronic receipt.
2. User receives an email generated by CMS that provides a link to the location of the document.
3. User is able to view document.

Initech Requirement(s) Reference: Initech089F

Requirement the Customer Enterprise Scan for Content Server

Functional Description:
As the Content Server technical resource with the required permissions, I will configure Content Server Enterprise Scan

Acceptance Criteria:
1. Content Server Enterprise Scan is configured
2. Documents are scanned in to appropriate locations with appropriate metadata

Initech Requirement(s) Reference:

Requirement the Customer Extract portions of a document

Functional Description:
As a CMS user with the required permissions, I can open documents and select portions into another document so that it can be shared by various methods.

Acceptance Criteria:
1. User is able to read a document.
2. User can copy or print to Initech selected sections of the document.
3. User can save the selections to their PC, laptop or to CMS. 4. User can save the selections to a new document in CMS. 5. User can share documents by various methods not exclusive to email, ftp, media, CMS.

Initech Requirement(s) Reference: Initech152F

Requirement the Customer Extraction method

Functional Description:
It might be 2 approaches for data extraction: 1. Engage SME subcontractor to extract data from empower source system in the form of files, with csv listing of metadata (case#, folder, doctype) 2. Use Output transformation (OT proprietary licensed software) to extract documents from Centera and OTIC extract corresponding metadata and index data

Acceptance Criteria:
Migration strategy document

Initech Requirement(s) Reference:

Requirement the Customer Final Version Restrictions

Functional Description:
As a CMS user with the required permissions, I can create a finalized version of a given document, so that version of the document will not be modified in the future.

Acceptance Criteria:
1. Users with the correct permissions can create a "generation" as a final version of a document.
2. Final version of the document is available as a read only document.

Initech Requirement(s) Reference: Initech094F

Requirement the Customer Folder Display Restrictions

Functional Description:
As a CMS user, I can access subfolders and display content only if I have the appropriate permissions to that folder so that folder display restrictions are enforced for case marketing.

Acceptance Criteria:
1. User can see folder if they have permission.
2. User can browse folder and read contents if they have permission.
3. User can edit contents of folder if they have permission.
4. User can annotate contents of folder if they have permission.

Initech Requirement(s) Reference: Initech092F

Requirement the Customer Images & Indexes

Functional Description:
As a CMS user, I need to be able to add information to a document after scanning, so that it can be automatically filed to the correct case folder.

Acceptance Criteria:
1. Users scan documents at a physical scanning station.
2. Users are able to view scanned documents with data provided during scanning process.
3. Users provide information about the document so that it can be stored in the appropriate place within CMS.

Initech Requirement(s) Reference: Initech082F

Requirement the Customer Import from Multiple Media Types

Functional Description:
As a CMS user with the required permission, I can upload documents into a defined sub-folder of type 'media' on my case, so that these documents may be stored and retrieved from CMS.

Acceptance Criteria:
1. User with the correct permission can import digital assets into the appropriate folder type in CMS.

Initech Requirement(s) Reference: Initech190F

Requirement the Customer Metadata (Categories/Attributes)

Functional Description:
Currently Identified One Case (Folder) category with 11 simple type attributes (text, numeric) and One Document category with 13 simple type attributes (text, numeric)

Acceptance Criteria:
Migration Mapping document; OTIC migration project

Initech Requirement(s) Reference:

Requirement the Customer Multi-Document View

Functional Description:
As a CMS user, I can retrieve and review multiple documents/files from multiple cases and view them in separate windows at the same time in order to perform case research.

Acceptance Criteria:
1.Users with the required permissions to view case records and their associated files can open from multiple cases.
2. Users can view files from those cases in individual browser windows at the same time.

Initech Requirement(s) Reference: Initech102F

Must allow users to retrieve and view multiple documents from multiple cases in separate windows at the same time.

Requirement the Customer Object types and volumes

Functional Description:
4.6 Million Records within 2.1 million Cases. Total Storage Space: 8.9 TB According to Content Migration Questionnaire only Adobe Initech will be migrated Physical Object migration - TBD

Acceptance Criteria:
Migration strategy document; Migration Mapping document; OTIC migration project

Initech Requirement(s) Reference:

Requirement the Customer Odyssey system

Functional Description:
As the Content Server technical resource with the required permissions, I will create an integration with the Odyssey System to allow the receipt of department reports and to store them in the correct location.

Acceptance Criteria:
1. Integration with Odyssey System is implemented
2. Office reports can be sent from Odyssey System to CMS
3. Reports are stored in correct location
4. Notification is sent to Case workers that reports have been received
5. CMS users can access reports.

Initech Requirement(s) Reference:

Requirement the Customer Offline Case File Access

Functional Description:
As a CMS user I need the ability to access and update case marketing contents even if I do not have an internet connection. I need to be able to access attachments as well as upload new ones I may receive so that I can keep the case file up to date.

Acceptance Criteria:
1. User can access case marketing content w/o internet connection.
2. User can view/update documents.
3. User can add new documents.
4. User can sync changes to CMS once internet connection is established.

Initech Requirement(s) Reference: Initech170F Initech171F Initech217F

Requirement the Customer OpenText Archive Center Implementation

Functional Description:
All the unstructured data i.e. documents, should be stored in Archive Center.

Acceptance Criteria:
1. Add the document in Content Server. 2. Go to the recently added document > Properties > Version. Make sure it is stored under Enterprise Archive.

Initech Requirement(s) Reference:

Requirement the Customer OpenText Brava! Implementation

Functional Description:
As a CMS user with the required permission, I can annotate, redact and publish the document.

Acceptance Criteria:
1. Open any document within the Content Server.
2. Use Annotate, Redact and Publish functionality within the document.

Initech Requirement(s) Reference:

Requirement the Customer OpenText Directory Services Implementation

Functional Description:
As a CMS user with the required permissions, I should be able to authenticate against OpenText Directory Services when logged in from Salesforce and accessing content from Content Server.

Acceptance Criteria:
1. Users with the correct permission should be able to access Content Server by first authenticating against OTDS.
2. The Authentication should have SSO enabled.
3. There should be a time-out session set for the users on Salesforce end and synched with Content Suite.

Initech Requirement(s) Reference:

Requirement the Customer OpenText xECM for Salesforce Implementation

Functional Description:
As a CMS user with the required permission, should be able to access content within the Content Server via Salesforce.

Acceptance Criteria:
1. User with the correct permission can consume from and contribute to Content Server via Salesforce.

Initech Requirement(s) Reference:

Requirement the Customer Organize Documents

Functional Description:
As a CMS user with the required permissions, I can add information to a document, so that I have the ability to organize the documents as I see fit.

Acceptance Criteria:
1.User can browse to a folder in a Case where he is given permissions to add information to the document.
2. CMS will organize the documents based on the provided information.
3. Users can drag and drop documents from folder to folder.
4. Users can sort documents based on associated information stored with document.

Initech Requirement(s) Reference: Initech217F

Requirement the Customer Permissions

Functional Description:
permissions be applied on folder (it might be different within the case) and document level

Acceptance Criteria:
Migration Mapping document; OTIC migration project

Initech Requirement(s) Reference:

Requirement the Customer Physical File and Document Tracking

Functional Description:
As a CMS user with the required permission, I can view information associated with a scanned document that provides the location of the original paper document so that it can be located when needed.

Acceptance Criteria:
1. Users in CMS with the correct permission can view/update information in Category tab from Properties menu with the document's physical location.

Initech Requirement(s) Reference: Initech212F

Requirement the Customer Contract Report Receipt

Functional Description:
As the Content Server technical resource with the required permissions, I will create an integration with the Contract System to allow the receipt of reports and to store them in the correct location.

Acceptance Criteria:
1. Integration with Contract System is implemented
2. Reports can be sent from Contract System to CMS
3. Reports are stored in correct location
4. Notification is sent to Case workers that reports have been received
5. CMS users can access reports.

Initech Requirement(s) Reference:

Requirement the Customer Provide Documents to Appointed Expert(s)

Functional Description:
As a CMS user with appropriate permissions, I need to Consult an Expert, give them access to specific parts of the Case document content, so that I can track their response as part of my preparation during prelim and post prelim.

Acceptance Criteria:
1. Users can export specific marketing related to the case to their device.
2. Users can email or share through other means an exported case and case marketing information to the expert.
3. External experts do not have CMS access.

Initech Requirement(s) Reference: Initech095F Initech152F

Requirement the Customer Records management

Functional Description:
According SOW - RM classifications will be inherited from the root ingestion folder and is not part of migration routine

Acceptance Criteria:
Migration Mapping document; OTIC migration project

Initech Requirement(s) Reference:

Requirement the Customer Redaction of Shared Documents

Functional Description:
As a CMS user with the required permissions, I can create a redacted version of a document so that I can use and share the redacted document.

Acceptance Criteria:
1. In a Case, User can browse to a document where he can open it.
2. User can select the menu option for redaction.
3. User can save the redacted document without affecting the original version.

Initech Requirement(s) Reference: Initech095F

Requirement the Customer Request Document Viewer/Player

Functional Description:
As a CMS user with the required permissions, I will be notified when that content I added to CMS is of an unknown type. A notification will be sent to IT to create a work request to make appropriate viewers available so that content can be viewed.

Acceptance Criteria:
1. CMS will generate notification and deliver to creator of file that file type is not recognized.
2. Notification will be created/sent to IT to remediate viewer issue.

Initech Requirement(s) Reference: Initech216F

Requirement the Customer Restrict Case Record Access - Case Campaign

Functional Description:
As a Customer Service Representative, I can control and delegate access to my case marketing so that I can protect a high profile or sensitive case.

Acceptance Criteria:
1. Record owner or higher in the role hierarchy can restrict the case marketing content to users not defined as a case team member, excluding those roles above the Customer Service Representative in the role hierarchy (C-level Executive, Service or Sales Manager, Supervisor, Initech) by going to the Records Detail tab on the Properties menu and checking "Mark Official".
2. Folder's contents are only visible to the Customer Service Representative.
3.Customer Service Representative can grant view or edit rights to case team members.
4. When the selection for "Mark Official" is removed, users will have the original permission restored to the case marketing contents per their profile permissions.

Initech Requirement(s) Reference: Initech0052NF Initech019NF Initech091F Initech093F

Requirement the Customer Scanning and Indexing

Functional Description:
As a CMS user with the required permissions, I will be able to scan new documents as well as access documents scanned before CMS go-live so that I can find all documents in CMS.

Acceptance Criteria:
1. User can scan new documents at physical scan stations into CMS.
2. Documents from legacy systems are migrated to CMS.
3. User can access new and legacy documents in CMS.

Initech Requirement(s) Reference: Initech081F

Requirement the Customer Separation of Scanned Documents

Functional Description:
As a CMS user with the required permissions, I will be able to select a template divider to segment documents I scan, so that each document is stored individually.

Acceptance Criteria:
1. Scanning Operator can configure the scanning system to detect and then insert a user selected divider.
2. Users scan documents at a physical scan station.
3. Documents separated by dividers will be stored as individual files in CMS.

Initech Requirement(s) Reference: Initech079F

Requirement the Customer Share Case Details and Files with Outside Customer Service Representatives

Functional Description:
As a CMS user, I can share case associated documents with an outside Customer Service Representative, so that outside Customer Service Representatives who represent Initech clients that are conflicted out at a later stage in the case can utilize the case information collected by the Initech.

Acceptance Criteria:
1. Authorized users can create a set of redacted documents (as may be required) and share those documents to an outside party electronically.
2. Record-level data can be formatted into a document and shared with the redacted documents.
3. Portions of documents can be extracted and placed into new documents.
4. Documents can be downloaded to PC/laptop and shared with outside Customer Service Representatives via email.

Initech Requirement(s) Reference: Initech095F Initech152F

Requirement the Customer Source Platform and Environment

Functional Description:
OS: Windows 2003 Repository DB: Oracle 10 Media Types: Centera (DELL/EMC; Centera Gen-4)

Acceptance Criteria:
Migration strategy document

Initech Requirement(s) Reference:

Requirement the Customer Source Vendor/Version

Functional Description:

Initech RS system - emVision360 a part of the Global360 suite empower is metadata and objects migration TBD

Acceptance Criteria:
Migration strategy document

Initech Requirement(s) Reference:

Requirement the Customer Staff Defined Subfolders

Functional Description:
As a CMS user with the required permissions, I can define sub-folders within the CMS so that I can logically organize case or contact documents that do not belong in the default set of automatically created case document folders.

Acceptance Criteria:
1. Users with the correct permissions can create sub-folders within the automatically created folders in the CMS.

Initech Requirement(s) Reference: Initech090F

Requirement the Customer Table of Contents

Functional Description:
As a CMS user with the required permissions, I can view an outline of the Case or contact contents so that I can quickly locate the documents I need.

Acceptance Criteria:
1. User browses Case or contact. 2. User views outline of case or contact contents.

Initech Requirement(s) Reference:

Requirement the Customer Unknown Document Format

Functional Description:
As a CMS user with the required permissions, I can upload unconverted and unknown file type or file format into a defined sub-folder within CMS, so that the integrity of the original content is retained and regardless of whether the content may be viewable or not.

Acceptance Criteria:
1. Users with the correct permission can import any document format into CMS.
2. Imported document may or may not be viewable in client browser.
3. Unknown File type or format will be detected by CMS.

Initech Requirement(s) Reference: Initech215F

Requirement the Customer xECM for Salesforce Content Server Configuration

Functional Description:
As the Content Server xECM technical resource with the required permissions, I will configure the Content Server xECM for Salesforce integration.

Acceptance Criteria:
1. Content Server xECM for Salesforce integration is configured
2. Diagnostic reports run without errors.
3. Case creation is automated
4. Case metadata sync is automated
5. Case permissions are set appropriately

Initech Requirement(s) Reference:

Requirement the Customer xECM for Salesforce Content Server User Synchronization

Functional Description:
As the Content Server xECM technical resource with the required permissions, I will configure the Content Server xECM for Salesforce integration user synchronization with Salesforce leading application

Acceptance Criteria:
1. Content Server xECM for Salesforce integration user synchronization with Salesforce leading application is configured
2. User provisioned in each system

Initech Requirement(s) Reference:

Requirement the Customer xECM for Salesforce Enabler Configuration

Functional Description:
As the Salesforce xECM technical resource with the required permissions, I will configure the installation package for the xECM Salesforce enabler.

Acceptance Criteria:
1. xECM for Salesforce Solution Accelerator is configured
2. Diagnostic reports run without errors.
3. xECM for Content Server can access Salesforce via the xECM for Salesforce enabler

Initech Requirement(s) Reference:

Requirement the Customer xECM for Salesforce Enabler Install

Functional Description:
As the Salesforce administrator with the required permissions, I will download the installation package for the xECM Salesforce enabler and install. I will configure the installation and provide permissions to the appropriate Salesforce xECM technical resources.

Acceptance Criteria:
1. xECM for Salesforce Enabler is installed.
2. Diagnostic reports run without errors.
3. Salesforce xECM Technical resources can access and update the configuration for the solution

Initech Requirement(s) Reference:

Requirement the Customer xECM for Salesforce Solution Accelerator Configuration

Functional Description:
As the Salesforce xECM technical resource with the required permissions, I will configure the solution accelerator package for the xECM Salesforce enabler.

Acceptance Criteria:
1. xECM for Salesforce Solution Accelerator is configured
2. Diagnostic reports run without errors.
3. xECM for Content Server can access Salesforce via the xECM for Salesforce enabler

Initech Requirement(s) Reference:

Requirement the Customer xECM for Salesforce Solution Accelerator install

Functional Description:
As the Salesforce administrator with the required permissions, I will download the solution accelerator package for the xECM Salesforce enabler and install. I will configure the installation and provide permissions to the appropriate Salesforce xECM technical resources.

Acceptance Criteria:
1. xECM for Salesforce Solution Accelerator is installed.
2. Diagnostic reports run without errors.
3. Salesforce xECM Technical resources can access and update the configuration for the solution accelerator

Initech Requirement(s) Reference:

Requirement the Customer Manage Case File Structure

Functional Description:
As a CMS user, I can add new case file folders to the case file folder structure, so that I can store case file documentation in a logical order.

Acceptance Criteria:
1. CMS creates a default file folder structure based upon case record type. 2. Users with the correct permissions can add additional folders to the structure.

Initech Requirement(s) Reference: Initech225F

Must allow users to augment an existing case file structure by adding new folders.

Requirement the Customer Case Details - Campaign Documents

Functional Description:
As CMS user, I need to associate relevant documentation to the case file. This can be scanned documents received from the department, product sample, or any other relevant artifacts so that I can easily access the complete case file on my device. CMS should automatically set up a folder structure based on case type and should allow users to add additional folders.

Acceptance Criteria:
1. Documents can be added via system to system or person to system.
2. User can add documents to a case file.

3. User can access documents in CMS in a standard method for the case type.

Initech Requirement(s) Reference: Initech084F Initech083F Initech134F

Initech084F: Must allow individual users to add new electronic content to a case folder. Documents can be added system to system, person to person, or person to system. For example, documents can be:
Exchange digital materials between the agencies in a common methodology. This would include Added electronically (e.g. using MS Word or other tools)
Scanned from an original physical document.
Received electronically via e-mail or other similar delivery means
Copied from other electronic media.
but not be limited to Contract, Advertising agency, District Customer Service Representative, Operations, etc.

Initech083F: Must be able to automatically create the proper case folder structure for new cases based on case type.

Initech134F: Must allow any document to be added to the case file under the appropriate sub-folder heading (e.g. Customer Reports, product instructions and contracts).

Requirement the Customer Flexible Document Placement Rules

Functional Description:
As a CMS administrator, I can configure rules that will control how files and documents are categorized and placed into folders as they relate to a case so that document folders and files can be organized in a logical manner.

Acceptance Criteria:
1. CMS System Administrator can configure document placement rules to meet Initech requirements.
2. User adds new documents and folders based on updated rules.
3. User views documents with new category or folder placement.

Initech Requirement(s) Reference: Initech208F

Must allow users to configure the rules for where case documents are placed or categorized.

Requirement the Customer Document Searching

Functional Description:
As a CMS user, I need to be able to search across our entire document database for particular documents created by individuals without going to another system, so that I can perform further analysis.

Acceptance Criteria:
1. Users can search for documents by information associated with the document without navigating out of CMS or logging into another system.
2. Users can use filters to refine results.
3. Users can select and open documents from search results.

Initech Requirement(s) Reference: Initech099F Initech100F Initech101F

Initech099F: Must allow for a broad search (e.g. the first three to four letters of a name) that should include but not be limited to name, case number, date of birth, new status, open discount, discount location and branch, and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech100F: Must search for names with a phonetic style of searches that is equal to or greater than Soundex to retrieve similar spellings of names and/or integrate with a third-party system such as Initech SSA Names Software or other software.

Initech101F: For hits on cases in progress in CMS or closed cases in the Archival System, must allow the user to select the name or case number for more detailed information.

Requirement the Customer Campaign Tagging

Functional Description:
As a CMS user with required permissions, I need to be able to redact and add multiple tags to portions of my case marketing so that I can begin organizing my file for conference. I should be able to search and filter my marketing by assigned tags.

Acceptance Criteria:
1. User with required permissions can redact, highlight, or crop portions of any piece of marketing.
2. User with required permissions can add one or more text tags to the portion.
3. User with required permissions can filter by tag to return all tagged items.

Initech Requirement(s) Reference: Initech152F Initech095F

Initech152F: Must allow users to extract selected sections of documents.

Initech095F: Must allow individual users to redact information when sharing documents with other parties.

Requirement the Customer Conference Notebook Creation

Functional Description:
As a Customer Service Representative, I need the CMS to assist me in generating my Conference Notebook based on tagged sections of my marketing. I need an initial folder to house my Conference Notebook. Within the folder I need a sub-folder per Customer and per Issue. The Customer and Issues generated should be based on the tags I've inserted into my marketing. The sub-folders should contain the respective tagged, select portions of marketing or provide a direct link to them.

Acceptance Criteria:
1.Customer Service Representative can create a basic Conference Notebook by invoking the system.
2. A new folder and a set of sub-folders are created in CMS.
3. Each folder is defined by tags the Customer Service Representative has placed on redacted marketing throughout the case file.
4. Each folder contains a redacted version of the tagged marketing items and / or a direct link to the tagged portion of the marketing items.
5.Customer Service Representative can move folder structure and folder contents at will.

Initech Requirement(s) Reference:

Requirement the Customer Conference Notebook Search

Functional Description:
As a CMS user with the required permissions, I need to be able to search my Conference Notebook for keywords to quickly pull up marketing I may need during my conference. CMS should return the source document with the search text highlighted and some context around it.

Acceptance Criteria:
1. User can perform a text search within a Conference Notebook.
2. Returns all instances of query text, the source file, and some surrounding text as context.

Initech Requirement(s) Reference:

Requirement the Customer Conference Notebook Cloning

Functional Description:
As a CMS user with the required permissions, I need to be able to clone a Conference Notebook in its entirety so that a new version can be updated and leveraged in department. I may need to perform this action if a case is Inactive and then refiled.

Acceptance Criteria:
1. User can copy a Conference Notebook, creating a new version of the original that is related to the same case.
2. There is some naming convention to distinguish between the original and the clone.

Initech Requirement(s) Reference:

Contract Administrators

Requirement Details

Requirement the Customer Issues Questions on Cases

Functional Description:
As a Customer Service Representative, I must answer questions regarding observed issues on my case during case resolution/deactivation, so that the Contract Administrators can be alerted to a case that needs their attention.

Acceptance Criteria:
1.Customer Service Representatives must answer misconduct-related questions on the case record before they can change the status of a case to 'Inactive".
2. If questions that indicate possible misconduct are answered affirmatively, CMS prompts the user to submit a referral to the Contract Administrators. **Ideally, this should be applicable on all cases (not just, as the criteria indicates), but that would be need a policy decision within Initech Corporate office.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Contract Administrators Referral

Functional Description:
As a Lead Customer Service Representative, I need the ability to refer my case to the Contract Administrators, so that they can provide support on potential issues related to my case.

Acceptance Criteria:
1.Customer Service Representatives can create a Referral for IDIN referrals to their chain of command and then the Contract Administrators.
2.Customer Service Representatives can create a Referral for other incidences of misconduct to the Contract Administrators.
3. Contract Administrators can review the referral and accept or reject.

4. If accepted, the assigned Customer Service Representative is added to the case team.
5. The referring Customer Service Representative is notified on the outcome of the referral.

Initech Requirement(s) Reference: Initech192F

Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer Generate Trade Show Contract

Functional Description:
As a CMS user, I need to be able to generate a Trade Show Contract directly from CMS, so that I can streamline Trade Show Contract creation.

Acceptance Criteria:
1. Users can generate a Contract template that includes data from the relevant case.
2. Users can make any modifications on the Trade Show Contract that are necessary.
3. Documents can be output into MS Word or Initech format.
4. Users can save the final version of the Trade Show Contract to the appropriate folder on the case.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Auto-Generate Marketing Collateral Work Request to Serve Trade Show Contract

Functional Description:
As a Customer Service Representative, I need CMS to create a Marketing Collateral Work Request to serve the arresting agency with a Trade Show Contract, so that I do not have to create the Marketing Collateral Work Request manually.

Acceptance Criteria:
1.Customer Service Representatives can create a Trade Show Contract record in CMS and specify that it requires manual service.
2. If the User specifies "Manual Service" on the Trade Show Contract record in CMS, CMS creates a Marketing Collateral Work Request and a Work Request Task to serve the Trade Show Contract.
3.Customer Service Representative must attach the Trade Show Contract file to the Marketing Collateral Work Request Task, so the Investigator can print and serve the document.

Initech Requirement(s) Reference: Initech192F

Must create work requests for staff, including:
Engineers
Administrative Assistant
Interns
Marketing Team associates
Resource Customer Service Representatives

Requirement the Customer Trade Show Date Validation

Functional Description:
As a Customer Service Representative, I want to be prevented from creating a Trade Show Contract in CMS if the Service Date I enter is less than sixteen days before the meeting date, so that the contract can be served within the proper time frame.

Acceptance Criteria:
1.Customer Service Representatives can create a Trade Show Contract record in CMS and specify the Service Date.
2. CMS can compare the Service Date against the Executive briefing Date and calculate the number of department business days between the two dates.
3. CMS can prevent the Customer Service Representative from saving the Trade Show Contract record if the calculated number of department business days is less than 16.
4. CMS can display a message advising the Customer Service Representative that the Service Date is less than 16 department business days from the Service Date and to seek an Order to Shorten Time.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Notification to Update Trade Show Outcome

Functional Description:
As a Customer Service Representative, I want CMS to notify myself and my manager if I do not update a Trade Show event with the meeting outcome within a day of the meeting date, so that I may act on time-sensitive next steps in my case.

Acceptance Criteria:
1. CMS creates a Task for the Customer Service Representative to input a Trade Show outcome into the Trade Show event record in CMS if the outcome is blank for more than one day after the meeting date.
2. CMS sends an email to the Customer Service Representative and their supervisor with text to remind the Customer Service Representative to update the Trade Show event record with the meeting outcome.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive

x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Trade Show Contract Case Deactivation Reminders

Functional Description:
As a Customer Service Representative deactivating a case with a granted Trade Show Contract, I need CMS to prompt me to update the records of any contacts who testified in department, so that the Customer's Contact record can be accessed by other CMS users.

Acceptance Criteria:
1.Customer Service Representatives should set the case status to "Inactive" on their case in CMS.
2. When a Customer Service Representative sets the case status to "Inactive" on a case where there is a Trade Show Contract record with an outcome of "Granted", a message is displayed reminding the user to update the "Testified" field on any Customer contact records related to the case and to complete/update any other information on the Trade Show Contract record.
3.Customer Service Representatives should check the "Testified" checkbox field in the Customer Contact record related to the case.
4. When a Customer Service Representative checks the "Testified" checkbox field in the Customer Contact record, this opens up access to that Contact record in CMS for other CMS users to see, in order to facilitate Conflict Checking.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x An alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators

x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Filed Trade Show Contract Report

Functional Description:
As a Contract Administrator, I can view a report of newly filed Trade Show Contracts in CMS, so that the is aware of potential misconduct cases.

Acceptance Criteria:
1.Customer Service Representatives must set the status of the Trade Show Contract record to "Filed" in CMS when they file their contract with the department.
2. Contract Customer Service Representatives can run a report showing all newly filed Trade Show Contracts by branch/location, Customer Service Representative and on an ad-hoc or scheduled basis.

Initech Requirement(s) Reference: Initech146F

Requirement the Customer Contract Administrators Search Logging

Functional Description:
As the Contract Administrators, I need to be able to see how often a Customer Service Representative searches CMS for a particular partner's name, so that I have visibility into potential Contract Administrators cases.

Acceptance Criteria:
1. Contract Administrators can run a report on the frequency of a name search in CMS where the Contact type = "Primary Contact".

Initech Requirement(s) Reference:

Reporting

Requirement Details

Requirement the Customer Branch Disparity Reporting

Functional Description:
As an Assistant Service Manager or Supervisor, I need to compare statistics between branch locations and departments, so that I can perform additional analysis on dispositions.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can run reports of dispositions, events and outcomes by branch location, departments, and discount.
2. Assistant Service Managers and Supervisors can compare dispositions, events and outcomes by branch locations and departments as needed.

Initech Requirement(s) Reference: Initech180F Initech183F

Initech180F: Must provide the ability to access individual case weights and workload reports (including case aging data) on each CSR, each office and the department.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Service Representative Impact Report

Functional Description:
As an Assistant Service Manager or Supervisor, I need to understand the impact my Customer Service Representatives have on case dispositions and pricing, so I can measure the effectiveness of the Customer Service Representatives in my division.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can run reports that display pricing information alongside actual outcomes by Customer Service Representative by case.

Initech Requirement(s) Reference: Initech180F Initech183F

Initech180F: Must provide the ability to access individual case weights and workload reports (including case aging data) on each CSR, each office and the department.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Restorative Services Reporting

Functional Description:
As an Assistant Service Manager or Supervisor, I need to track the post-case statuses and progression of my clients after Public Defender representation, so that I can get a holistic view of my clients.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can create and run reports in CMS based upon available case and client data.
2. Assistant Service Managers and Supervisors can perform analysis based upon selection criteria, such as: cases and case types per client over time (recidivism), discounts (count, severity), dispositions/prices (contract, Cobra, travel), to determine patterns in behavior and the potential impact.
3. Reports can be output into Excel and CSV.

Initech Requirement(s) Reference: Initech183F

Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Cases In Need of Review

Functional Description:
As Service Manager, I need visibility on cases that have abnormal statistics, so that I am aware of any cases that may need additional assistance.

Acceptance Criteria:
1. Service Managers can access a report counting the total events from Odyssey, including the total number of continuances, appearances, transfers, case statuses and total time active for the cases in their location.
2. Service Managers can sort the report on any of the above counts or totals.
3. Cases that have met configured thresholds can be highlighted for greater visibility.

Initech Requirement(s) Reference: Initech184F

Should be able to emphasize data that has reached or exceeded a configured threshold.

Requirement the Customer Reporting: Customer Service Representative Metrics

Functional Description:
As the Service Manager, I want to be able to run a monthly report of Customer Service Representative metrics, so I can track and measure the workload of the Customer Service Representatives.

Acceptance Criteria:
1.Service Manager can view a scheduled monthly report of Customer Service Representative metrics, to include: Total phone calls taken, Number of emails handled (Consultations).
2.Service Manager can view the report by Customer Service Representative.

Initech Requirement(s) Reference: Initech146F Initech183F Initech185F

Initech146F: Must provide the ability to generate ad-hoc reports.

Initech183F: Must provide the ability to generate ad-hoc reports.

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Requirement the Customer Special Circumstances Case Report

Functional Description:
As a Special Circumstances Coordinator, I want to be able to run a report that displays all active Special Circumstances cases for that month, so I can review key information on these cases regularly.

Acceptance Criteria:
1. Special Circumstances Coordinator can run a report of all active cases on demand.
2. The report can be exported in Excel or CSV format. 3. The report should include the Case Status and Case Stage, as well as the number of client visits and work requests generated for these cases as well.

Initech Requirement(s) Reference: Initech183F

Requirement the Customer Reporting: Interpreter Metrics

Functional Description:
As a Supervising Administrative Assistant that manages Interpreters, I want to be able to run a monthly report on Interpreter work requests, so that I can track and measure the interpreters' workload.

Acceptance Criteria:
1. Supervising Administrative Assistant generates a monthly report detailing the time spent on each task for each interpreter.
2. The Interpreter Task Summary Report displays number of tasks by type.

Initech Requirement(s) Reference: Initech183F Initech185F Initech198F

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech185F: Must include a minimum set of reports as specified in the following diagram. Reports must support both work-in-process and historical information. Dynamic Dashboards will be developed in a different scope line item.

Initech198F: Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV
Excel
Selectable delimiters

Security

Requirement Details

Requirement the Customer Case File Security - Contract Administrators

Functional Description:
As a CMS user, I am only able to see and edit Contract Administrators referrals in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:
1. Contract Administrators members have full view/edit access to both case detail and marketing on all Contract Administrators cases.
2. Case Team Members assigned to the case have full view and edit access to case detail and marketing.
3. Non-Contract Administrators Initech Employees who are not assigned to the case should not have any view or edit access to Contract Administrators referrals.
4. Engineers and other non-Contract Administrators staff can be granted access if they are added to the case team by the Contract Administrators Customer Service Representative.

Initech Requirement(s) Reference: Initech019NF Initech220F Initech231F

Initech019NF: Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Initech220F: Must allow users to administer cases not their own, including modifying calendars.

Initech231F: Must provide access to all case and case-related people using case identifiers.

Requirement the Customer Case File Security - Prospect

Functional Description:
As a CMS user, I am only able to see and edit prospect cases in CMS for which I have been granted permission, so that I can perform the work within the system that is appropriate to my role in Initech Corporate office.

Acceptance Criteria:

1. Supervising Customer Service Representatives, Service or Sales Managers, Executives, Prospect Trainers, and service team have full view/edit access to both case detail and marketing on all prospect inactive cases. 1a. Service or Sales Manager and above can view active cases 1ai. All Initech employees can know of the existence of an active case but do not have view access. 1aii. Service or Sales Manager can delegate view access to active cases upon formal request.
2. Case Team Members assigned to a case where the client is a prospect and has prior, inactive prospect case(s). 2a. Customer Service Representative/Intern have full view/edit access to the case details and marketing. 2b. Support Staff have full view access but can only edit case details and defense work product relevant to their tasks and limited view/edit access to marketing. 2bi. Exception: The Lead Customer Service Representative's private case notes/marketing folders that are released at their

discretion. 2c. Case Team has full view access to details and marketing for inactive cases. 2ci. Private notes and marketing is now open to the case team. 2d. Case Team can know active case exists but cannot access without Service or Sales Manager approval.
3.Customer Service Representative/Intern assigned to a prospect or case, there is a contact on the case who has a prior, unrelated prospect case. 3a. The Customer Service Representative can know the contact has prior prospect case(s) but cannot view any case detail or marketing - true for both inactive and active cases.
4. Other Non-Case Team Initech Employees can know a prospect case exists (both active and inactive) but cannot view the case details or marketing until assigned to the case team, in which case they will follow the rules above. 4a. Inactive/active can both exist, but there are two distinct approval processes to gain view access. 4b. Conflicts Check matches to pending open prospect cases system will show Clerical Data Points: Client or Client or Customer, Representation (which owns the case), Case Name, Number, Client Name, Assigned Customer Service Representative, Next Office Date, and Office Event Type (to determine in department or not).

Initech Requirement(s) Reference: Initech019NF

Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Requirement the Customer Closing a Prospect Case

Functional Description:
As a Prospect, I need to be able to 'seal' a prospect case away from all other internal users and the public, so that I can keep my client's file confidential.

Acceptance Criteria:
1. Prospect users can set a case to 'active'.
2. Case details are inaccessible unless user requests access from Prospect Service Manager.
3. Conflicts Check matches to active cases will display client/contact name, case name, case number, assigned organization, assigned Customer Service Representative, next department date, and next department date event type.

Initech Requirement(s) Reference: Initech173F Initech019NF

Initech173F: Must update case disposition from external systems or authorized users. Based on the established workflow, the disposition selected will determine the next process step (e.g. in prospect cases the case would remain active and
go into the prospect case monitoring stage).

Initech019NF: Must support limiting access to documents or functions (such as editing) by user profile identified by the department.

Special Circumstances

Requirement Details

Requirement the Customer Special Circumstances Administrative Assistant Case Assignment

Functional Description:
As the Supervising Administrative Assistant in consultation with the Special Circumstances Coordinator reviewing incoming cases for assignment, I need to see a list of all Administrative Assistant within my along with their relevant workload, skill set and other attributes, so that I can make an informed decision when assigning new cases to Administrative Assistant.

Acceptance Criteria:
1. The Supervising Administrative Assistant and Special Circumstances Coordinator can see a list of Administrative Assistant, along with caseload, workload, and Administrative Assistant attributes.
2. Supervising Administrative Assistant, in consultation with the Special Circumstances Coordinator, assigns an Administrative Assistant to take the case from the same screen.
3. Once the Administrative Assistant assignment has been discussed and confirmed, the assigned Administrative Assistant is notified of the assignment via email.

Initech Requirement(s) Reference: Initech114F Initech120F Initech121F Initech123F

Special Circumstances Customer Service Representative and Administrative Assistant Case Assignment

Requirement the Customer Notification for Customer Service Representative to Meet with Special Circumstances Prior to Preliminary Executive briefing

Functional Description:
As a Customer Service Representative with a Special Circumstances case, I should receive a notification reminding me to meet with Special Circumstances 60 days before the Preliminary Executive briefing date, so that the Special Circumstances team can review my case and I can begin preparing the Contract to continue my Preliminary Executive briefing.

Acceptance Criteria:
1.Customer Service Representative receives an email reminding them to set up a meeting with the Special Circumstances 60 days before the Preliminary Executive briefing department event date.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example: x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request x Marketing Collateral completed x Case closed x Case status changes x Special circumstances Inactive x Monthly status report generation sent to the high priority case coordinators x Seven days before a report on a case is due x Overdue reports CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.
Requirement the Customer Monthly Update to Special Circumstances Report **Functional Description:** As a member of the Special Circumstances, I need to review a report detailing the activities taken in the past month on my 's cases, so that I can track the progress of each case. **Acceptance Criteria:** 1. Service Managers can run a scheduled or ad-hoc report on Special Circumstances cases detailing case activities, such as: visits, work requests created and completed, notes and other activities recorded against the case and client records in CMS. 2. Reports can be exported to MS Excel or CSV format. **Initech Requirement(s) Reference:** Initech183F Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Report of Special Circs Cases Missing Monthly Status Updates **Functional Description:** As a Special Circumstances Coordinator, I need to be able to run a report that displays which cases did not create a Monthly Status Update, so that I can follow up with the Customer Service Representative as appropriate. **Acceptance Criteria:** 1. Special Circumstances Coordinator can run a report of cases without a monthly status update on demand. 2. The report can be output into CSV or Excel. **Initech Requirement(s) Reference:**
Requirement the Customer Default Case Status **Functional Description:** As a Customer Service Representative assigned to a Special Circumstances case, I need to be able to record that the default is no longer a possibility on my case, so that I can take the appropriate next steps in my case. **Acceptance Criteria:** 1.Customer Service Representatives can attach the Life Letter to the case. 2.Customer Service Representatives can update a field on the case indicating the default no longer remains a possibility. 3. If the default is no longer a possibility, CMS should automatically update the case to no longer be classified as a Special Circumstances case. **Initech Requirement(s) Reference:** Initech115F Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Conference Date Notification

Functional Description:
As the Lead Customer Service Representative or Second Customer Service Representative, I want to be alerted if conference dates overlap with specific dates that are meaningful to the crime or new client (such as the anniversary of the date of the crime or the new client's birthdate), so that I can take the appropriate actions to delay or modify the dates as needed.

Acceptance Criteria:
1. If a conference date for a high priority case falls on the anniversary of the date of the alleged crime or the new client's birthday, the Lead Customer Service Representative and Second Customer Service Representative should receive an email notification alerting them to this fact.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Notification to Re-File Conference Contracts

Functional Description:
As a Customer Service Representative working on a special circumstances case, I want to be notified to refile any appropriate conference contracts when the case enters the conference phase, so that I can ensure that they are valid during the conference as well.

Acceptance Criteria:
1.Customer Service Representatives receive an email alert notifying them to refile any relevant contracts when the Case Stage is set to "Conference".
2. The email should include pertinent fields from the Case and a link to the Case in CMS.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Notification to Request Documentation from Executive Team

Functional Description:
As a Customer Service Representative working on a special circumstances case, I want to be notified to obtain copies of any relevant exhibits from the 3rd party vendor when the case enters the conference phase, so that I can strategize about which materials I should request to have admitted as product sample.

Acceptance Criteria:
1.Customer Service Representatives receive an email alert to obtain copies of relevant exhibits from the 3rd party vendor when the Case Stage is set to "Conference".

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is

granted.

Requirement the Customer Notification to File Notice of Appeal for Cases with Default Verdict

Functional Description:
As a Customer Service Representative working on a special circumstances case where a product has returned a verdict of death, I should receive a notification prompting me to file a notice of appeal, a contract for new conference, a 13th prospect contract and other relevant post-conference contracts, so that I can proceed with effective representation for the client.

Acceptance Criteria:
1.Customer Service Representatives receive an email alert prompting them to file a notice of appeal, a contract for new conference, a 13th prospect contract and other relevant post-conference contracts when the Case Stage is set to a value that equates to the case being at the pricing phase of the conference.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x an alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Notification to File Notice of Appeal for Cases with LWOP or Less Verdict

Functional Description:
As a Customer Service Representative working on a special circumstances case where a product has returned a life without the possibility of engagement, I should receive a notification prompting me to file a notice of appeal, so that I can file a notice of appeal within the statutory time requirements.

Acceptance Criteria:
1.Customer Service Representatives receive an email alert prompting them to file a notice of appeal when the Case Stage is set to a value that equates to the case being at the pricing phase of the conference.

Initech Requirement(s) Reference: Initech136F

Notification to File Notice of Appeal for Cases with Default Verdict

Requirement the Customer Ensuring the Case File is Complete

Functional Description:
As a Customer Service Representative working on a case where a death verdict was returned, I should receive a notification prompting me to obtain the clerk's transcript and ensure that the file is complete and organized for successor counsel, so that successor counsel may effectively represent the client.

Acceptance Criteria:
1.Customer Service Representative should receive an email reminding them to obtain the clerk's transcript and ensure that the file is complete and organized after pricing.

Initech Requirement(s) Reference:

Special

Requirement Details

Requirement the Customer Certificate of Intake: Eligibility Assessment

Functional Description:
As an Administrative Assistant, I need to be able to fill out an "Eligibility Initial Assessment" form equivalent in CMS as a part of the intake process, so that I can either refer the client's case to the Certificates of Intake or another relief, if applicable.

Acceptance Criteria:
1. Administrative Assistant can populate the "Eligibility Intake Assessment" form equivalent on an intake screen in CMS.
2. Any client data that already exists in CMS will be pre-populated on the intake screen.
3. Clicking "Save" on the intake screen will update the corresponding client records in CMS.
4. Any data that originated in Odyssey cannot be updated or modified by the user in CMS.
5. Administrative Assistant can review the data and determine eligibility for a Certificate of Intake.

Initech Requirement(s) Reference: Initech115F

Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Requirement the Customer Outreach Event Intake

Functional Description:
As a CMS user working at an outreach event for the special, I need an intake form to collect information on my potential clients, so that we can provide or refer them to the appropriate services.

Acceptance Criteria:
1. Users can use a standard intake form for potential clients at outreach events that can be leveraged to identify which services Initech can provide to these individuals.
2. Saving the intake form can update client or case record as appropriate.

Initech Requirement(s) Reference: Initech221F Initech230F

Initech221F: Must provide interview forms to collect information from the CSR interview with the client.

Initech230F: Must provide the ability to access any and all case information related to a person using a person’s unique identifier such as Name or other unique qualifiers.

Requirement the Customer Certificate of Intake Case Type

Functional Description:
As an Administrative Assistant working in the Special Team Special, I need to be able to create a Certificate of Intake case within CMS, so that I can track my work related to obtaining the certificate.

Acceptance Criteria:
1. Administrative Assistant can create a Special - Certificate of Intake case and relate it to a client record in CMS.
2. Administrative Assistant can associate all related documentation to the case.
3. Administrative Assistant can generate a Certificate of Intake that is populated with relevant fields from the case and client record in CMS.
4. The document can be output as an MS Word or Initech file.
5. Administrative Assistant can save an electronic copy to the appropriate case folder.

Initech Requirement(s) Reference: Initech199F Initech129F

Initech199F: Must create a new case in CMS and assign it a unique case number.

Initech129F: Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Notification of Eligibility for Prop 47 Reduction

Functional Description:
As a Customer Service Representative or Administrative Assistant researching an incoming Prop 47 case, I want to notify my client when we've determined their eligibility for a reduction on their case, so that the client is aware of whether or not we can proceed with litigation on their behalf.

Acceptance Criteria:
1. The client should receive an email alert when the Customer Service Representative has confirmed the client's eligibility.
2. The email alert should include the case number, client name, Customer Service Representative and eligibility status.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x An alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request

x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Initiative/Outreach Tracking

Functional Description:
As a CMS user, I can track which type of Outreach event or Initiative I was at when a client made their application, so the Coordinator can measure the effectiveness of such events.

Acceptance Criteria:
1. Users can create Outreach records and relate them to a case in CMS.
2. Users can track data such as the event type, date, disqualifying convictions, eligibility, date petition filed, proof of service, meeting date, outcome in CMS.

Initech Requirement(s) Reference:

Requirement the Customer Create Notice Packet

Functional Description:
As an Administrative Assistant working in the Special Team, I want to be able to generate a notice packet in CMS, so that I can send that information to the client, and the Executive Team.

Acceptance Criteria:
1. Administrative Assistant can generate a notice packet template that is populated with key fields from the client and case record.
2. The packet can also include other documents that were uploaded to the case and/or standard boilerplate forms that must be included in the packet.
3. The document can be output as an MS Word or Initech file.
4. Administrative Assistant can save an electronic copy to the appropriate case folder.

Initech Requirement(s) Reference:

Requirement the Customer Generate Request for Record Transcript Form

Functional Description:
As an Administrative Assistant working in the Special Team, I need to be able to generate a Request for Record Transcript form template in CMS, so that I can send it to the Operations Department in order to obtain all records for my client.

Acceptance Criteria:
1. Administrative Assistant can generate a Request for Record Transcript form template that is populated with relevant fields from the case and client record in CMS.
2. The document can be output as an MS Word or Initech file.
3. Administrative Assistant can save an electronic copy to the appropriate case folder.

Initech Requirement(s) Reference: Initech129F

Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Notification to Send Filing Packet of Notice

Functional Description:
As an Administrative Assistant working in the Special Team, I want to be notified to send the Filing Packet of Notice to my client six weeks prior to the meeting date for that client's completion case, so that the client can prepare for the meeting.

Acceptance Criteria:
1. CMS automatically creates a task for the appropriate Administrative Assistant to send the Filing Packet of Notice to the Client six weeks prior to the department meeting date per each open Certificate of Intake case.
2. The task identify the case and client and include a due date of 7 days from the task creation date.

Initech Requirement(s) Reference: Initech136F

Must provide alerts for any event defined by the system administrator. For example:
x An alert will be sent to the investigator when a case is closed on a pending Marketing Collateral request
x Marketing Collateral completed
x Case closed
x Case status changes
x Special circumstances Inactive
x Monthly status report generation sent to the high priority case coordinators
x Seven days before a report on a case is due
x Overdue reports
CMS will automatically discontinue such alerts if the case is closed or a default case options letter is granted.

Requirement the Customer Petition Tracking

Functional Description:
As a Special Customer Service Representative, I need to be able to track the status of any requests or applications for open Special s cases, so that there is visibility into workload and progress on any open requests.

Acceptance Criteria:
1.Customer Service Representatives should be able to track the status of any requests or applications that were filed on behalf of the client or any certificates of completion.
2.Customer Service Representatives can link requests or applications to the relevant case in CMS.

3.Customer Service Representatives can generate a document with relevant fields from the requests or applications.
4. The document can be output as a MS Word or Initech document. 3.Customer Service Representatives can save an electronic copy to the appropriate case file folder.

Initech Requirement(s) Reference: Initech115F Initech129F

Initech115F: Must suggest the case type for cases that are electronically received. Must allow user to override and/or supplement the suggested case type. Should maintain an audit log of any such overrides. Cases with multiple types must be counted only once in overall filing statistics.

Initech129F: Must provide standard forms in Word template format that can be retrieved and reused (including: case-specific data, contracts, standard contracts, request for experts, Marketing Collateral requests, sales-based forms, Cobra CSR forms, marketing forms, product instructions, communication to experts to do specific things, requests for other partners).

Requirement the Customer Notification of Prop 47 Executive briefing Outcome

Functional Description:
As a Customer Service Representative or Administrative Assistant working on a Prop 47 case, I want to notify my client when a decision is reached on our prop 47 petition or application, so that the client is updated on the outcome as early as possible.

Acceptance Criteria:
1. The client should receive an email alert when the outcome of the meeting is updated on the case.
2. The email alert should include the case number, client name, CSR and meeting outcome.
3. If the client has an active case, the line CSR should be copied on this notification as well.

Initech Requirement(s) Reference: Initech136F

Staffing

Requirement Details

Requirement the Customer Personnel Allocation Reporting and Dashboard - Snapshots

Functional Description:
As Service Manager, I need to save and archive the Personnel Allocation Reporting and Dashboards that are sent bi-monthly, so that I can perform historical trend analysis at a later point in time.

Acceptance Criteria:
1. CMS stores snapshots of bi-monthly Personnel reports and dashboards.
2. The report can be exported to Excel or CSV format.

Initech Requirement(s) Reference: Initech180F Initech183F Initech198F

Initech180F: Must provide the ability to access individual case weights and workload reports (including case aging data) on each CSR, each office and the department.

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech198F: Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV
Excel
Selectable delimiters

Requirement the Customer Service Representative Driving Distance to Location

Functional Description:
As an Assistant Service Manager or Supervisor, I need CMS to calculate a Customer Service Representative's driving distance from their home to any given branch/department location, so that I can optimize staff reassignment by travel time.

Acceptance Criteria:
1. Assistant Service Managers and Supervisors can select a branch location.
2. CMS returns a list of Customer Service Representatives sorted by distance ascending.

Initech Requirement(s) Reference:

Requirement the Customer Administrative Assistant Skill Set Report

Functional Description:
As a Supervising Administrative Assistant, I need to be able to run a report of all Administrative Assistant within my location and division and their skill sets, so that I can utilize this information to assign case work.

Acceptance Criteria:
1. Supervising Administrative Assistant can run a report of Administrative Assistant within a specific location and division/ and their skill sets.
2. The report can be exported to Excel or CSV format.

Initech Requirement(s) Reference: Initech183F

Must be able to run reports as needed or automatically scheduled.

Requirement the Customer Workload Metrics for Resource Allocation

Functional Description:
As an Assistant Service Manager or Supervisor, I need the ability to compare workload across different s and locations, so that I can allocate or reassign resources based on the most immediate needs.

Acceptance Criteria:
1. The CMS will calculate workload across different locations by using a set of formulas that incorporate existing case, client, and department factors. The formulas are still being determined and confirmed by Initech team at this time.
2. Executive Management will be able to generate reporting that compares the output of these formulas by location and division/.
3. Reports can be output as Excel or CSV files.

Initech Requirement(s) Reference: Initech183F Initech198F

Initech183F: Must be able to run reports as needed or automatically scheduled.

Initech198F: Must be able to generate reports in any of the following formats:
On-screen
Initech
CSV

Excel
Selectable delimiters

System Administration

Requirement Details

Requirement the Customer Data Retention

Functional Description:
As a System Administrator, I want to be able to maintain an archive of field history data, so that I can retain it for longer than the standard eighteen-month period.

Acceptance Criteria:
1. System Administrators can define a history retention policy on any objects with field history tracking enabled.
2. Users can see field level history up to 10 years in a custom archive object.

Initech Requirement(s) Reference: Initech098F Initech222F

Initech098F: Should allow incorrect data to be corrected with an audit trail of the updated data record. Audit trail should include, but not be limited to, date and time change is made, and who made the change.

Initech222F: Must allow users to view audit information, e.g., data entered, data deleted, appointments scheduled, documents imported, and include date of activity and name of CSR or staff who made the entry or whether entry was automatic.

Requirement the Customer Compare Data from Other Sources

Functional Description:
As a CMS user, I need to be able to compare my inactive case data side by side against Odyssey, so that I can ensure accuracy of data in CMS.

Acceptance Criteria:
1. Users cannot modify any Odyssey data points in CMS.
2. Users must notify department for any errors found in Odyssey data.
3. System Administrators can generate a report on case data in CMS and the corresponding report in Odyssey for comparison purposes.

Initech Requirement(s) Reference: Initech097F

Requirement the Customer Digital Signature

Functional Description:
As a CMS User, I can sign documents generated out of CMS with a digital signature, so that I don't have to print and add a wet signature to documents.

Acceptance Criteria:
1. Users can generate documents in CMS and add a digital signature where required.

Initech Requirement(s) Reference:

Exhibit 11 – Technical Design Document Sample

PUBLICIS.SAPIENT

Sapient Sample Template | Technical Design Document

Client – Project Name

Table of Contents

Introduction

Document Purpose

This document provides a comprehensive architectural overview of the system. It is intended to capture and convey the significant architectural decisions which have been made on the system.

Overview

The intention of this project is to provide functionality to fulfill the needs of Initech as related to a Customer Management System(CMS). This includes integrating with Initech's finance system (Cobra > Cloverleaf > CMS) and other systems.

Definitions, Acronyms, and Abbreviations

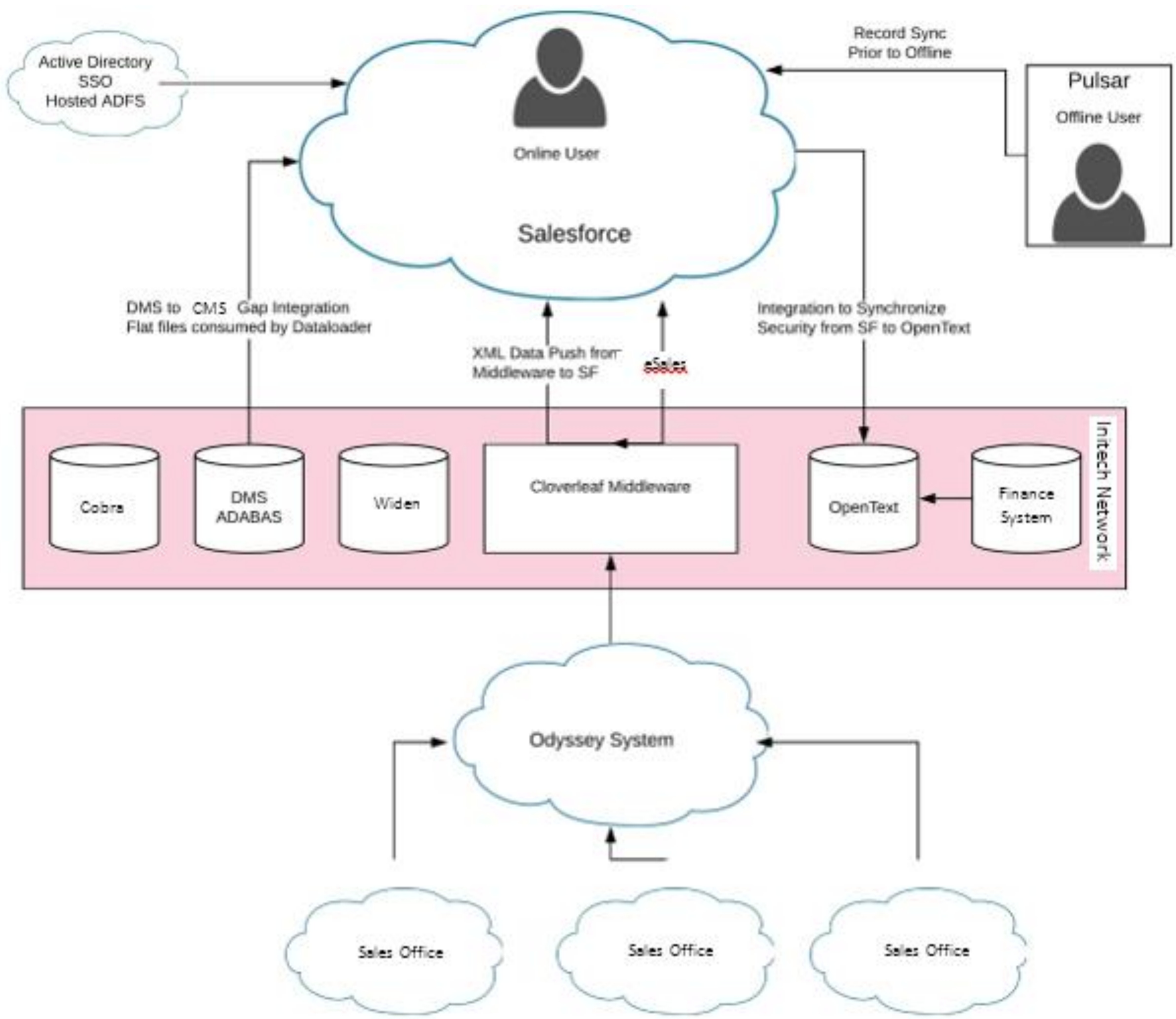
Term	Definition
Client	Customer
IT	Information Technology
Pulsar (by Luminix)	Complete end-to-end offline solution for the Salesforce platform (https://luminixinc.com/)
Infor Cloverleaf	Initech midSReware system. (https://www.infor.com/solutions/)
Active Directory	Active Directory authenticates and authorizes all users and computers in a Windows domain type network—assigning and enforcing security policies for all computers and installing or updating software.
Active Directory Federation Services(ADFS)	Active Directory Federation Services (ADFS), a software component developed by Microsoft, can run on Windows Server operating systems to provide users with single sign-on access to systems and applications located across organizational boundaries.

Salesforce Sites	Force.com Sites lets you create public web applications and web sites that run natively on Force.com - under your own domain.
Salesforce DataLoader	Data Loader is a client application for the bulk import or export of data. Use it to insert, update, delete, or export Salesforce records. When importing data, Data Loader reads, extracts, and loads data from comma-separated values (CSV) files.
Salesforce APEX	Apex is a strongly-typed, object-oriented programming language that lets you centralize and execute flow and transaction control statements on Force.com.
SoundEx	A phonetic coding system intended to suppress spelling variations, used especially to encode surnames for the linkage of medical and other records.
Single Sign On	Single sign-on (SSO) is a property of access control of multiple related, yet independent, software systems. With this property, a user logs in with a single ID and password to gain access to a connected system or systems without using different usernames or passwords.
ADABAS	A contraction of “adaptable database system", is a database package that was developed by Software AG to run on IBM mainframes. Launched in 1971 as a non-relational software package, earnings reports for the package's vendor were already being followed by The New York Times in the early 1980s.
OpenText	OpenText Corporation is a company that develops and sells enterprise information management (EIM) software
XML	Extensible Markup Language (XML) is a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable.

Architectural Overview

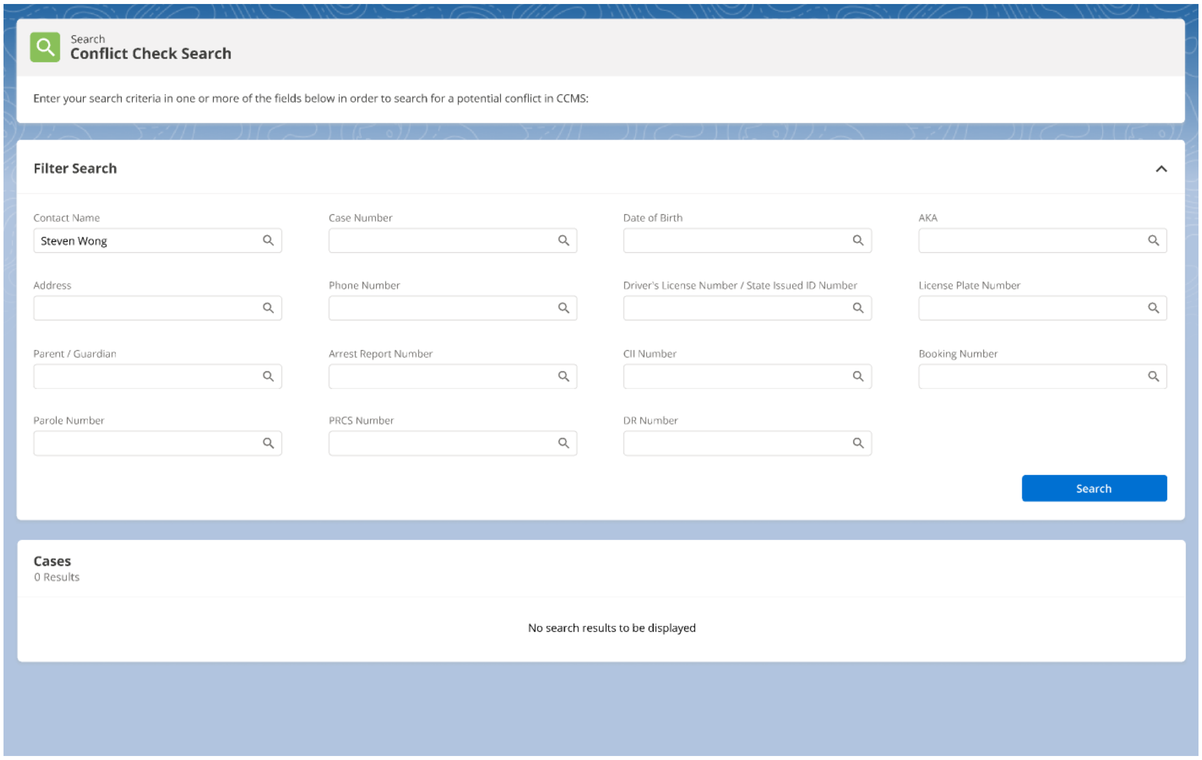
Initech uses Infor Cloverleaf systems midSReware for data exchanges between partners and external systems. The desire by the Initech is to only have connections from Cloverleaf to external systems, regarSRess of the actual direction of data flow. For situations where data is to flow from CMS to the Initech, CMS will expose endpoints that Cloverleaf will poll for data.

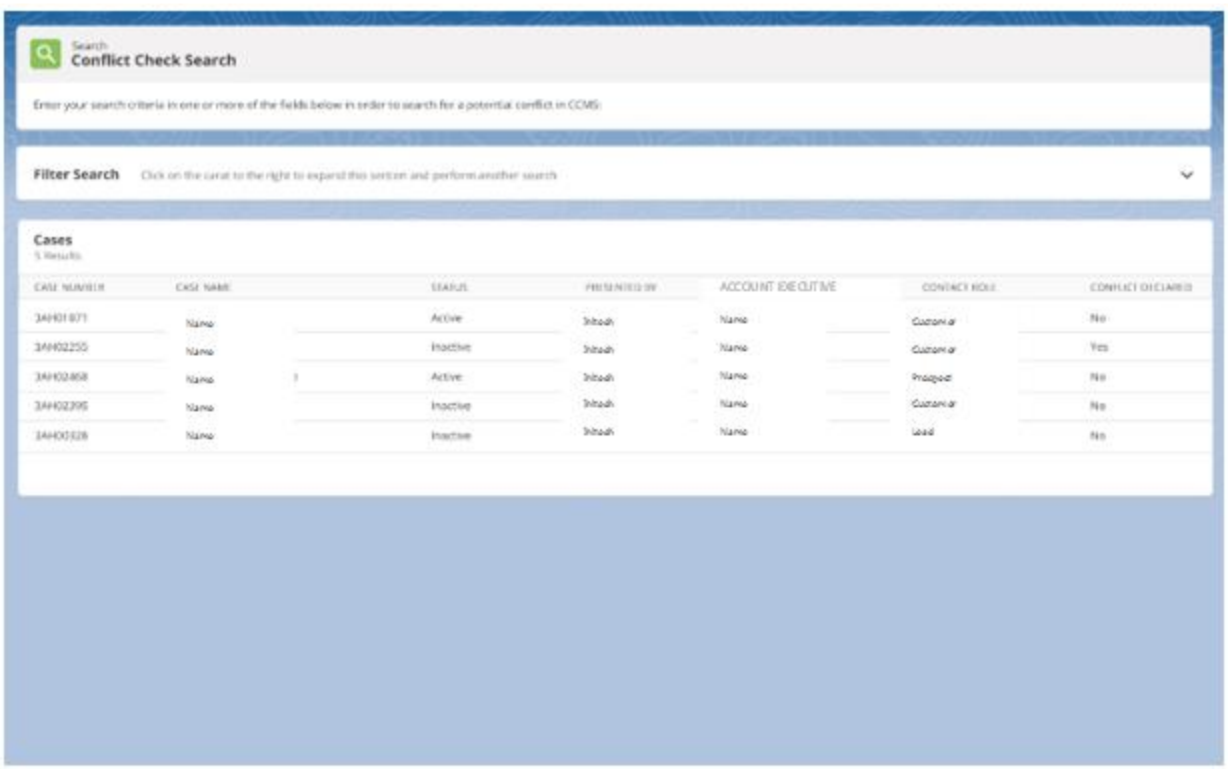
Architectural Overview Diagram

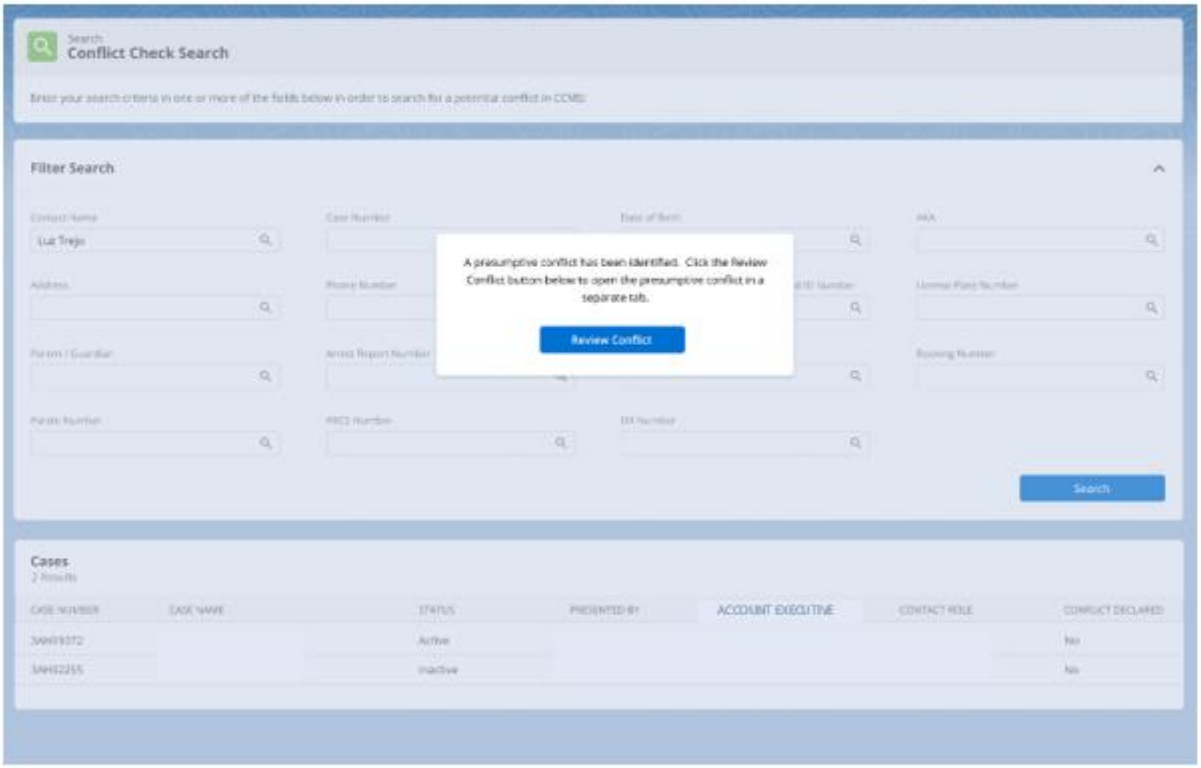


Conflict Check Custom User Interface

To allow for conflict checking, a custom lightning page will be created. Conflict check user interface usage is described in detail in the solution design document.





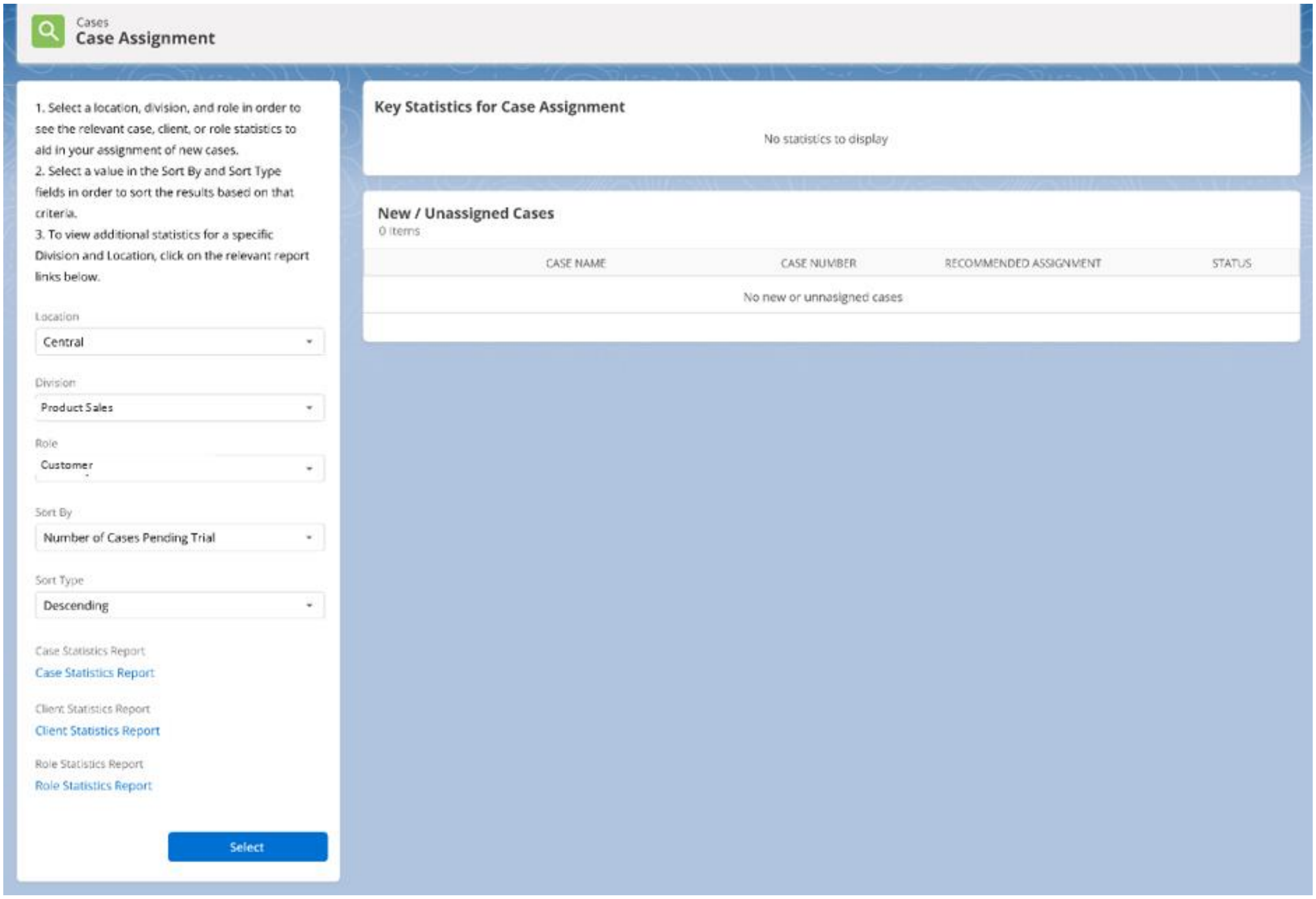


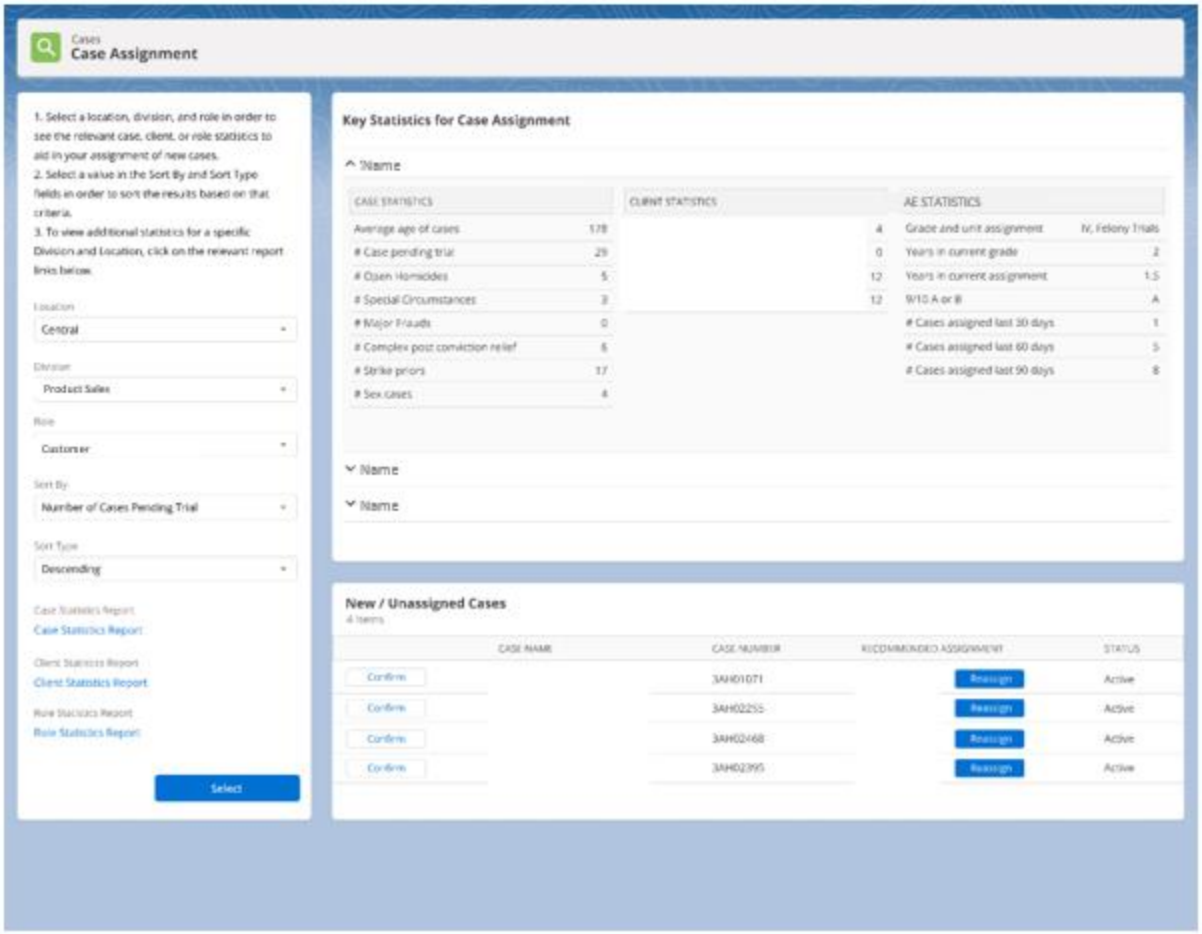
SoundEx

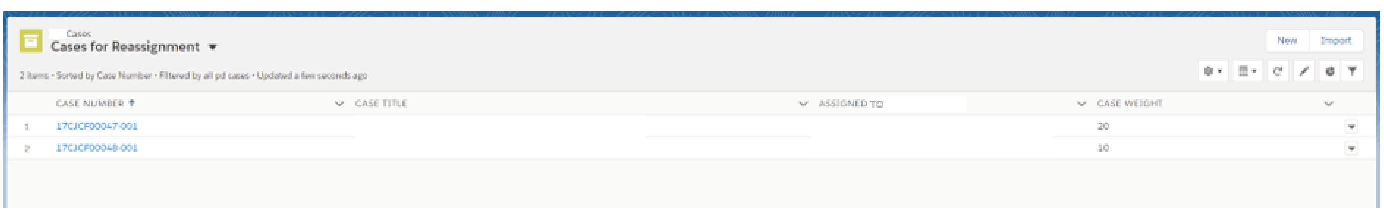
To assist in identifying contacts that may be listed under names that are similar to what is searched for, but spelled differently, SoundEx will be utilized to find matches that are similar in sound but do not match exact character patterns. A field with the SoundEX pattern will be added to the contact object to hold the SoundEx pattern for a given contact. Searching for SoundEx will return matches and percentage probability match to the searched name. A field will be added for both first name and last name. For performance purposes, indexing on the SoundEx fields may need to be requested from Salesforce.

Case Assignment Custom User Interface

To allow for assigning of cases, a custom lightning page will be created to perform case assignment. Case assignment usage is described in detail in the Solution Design document.







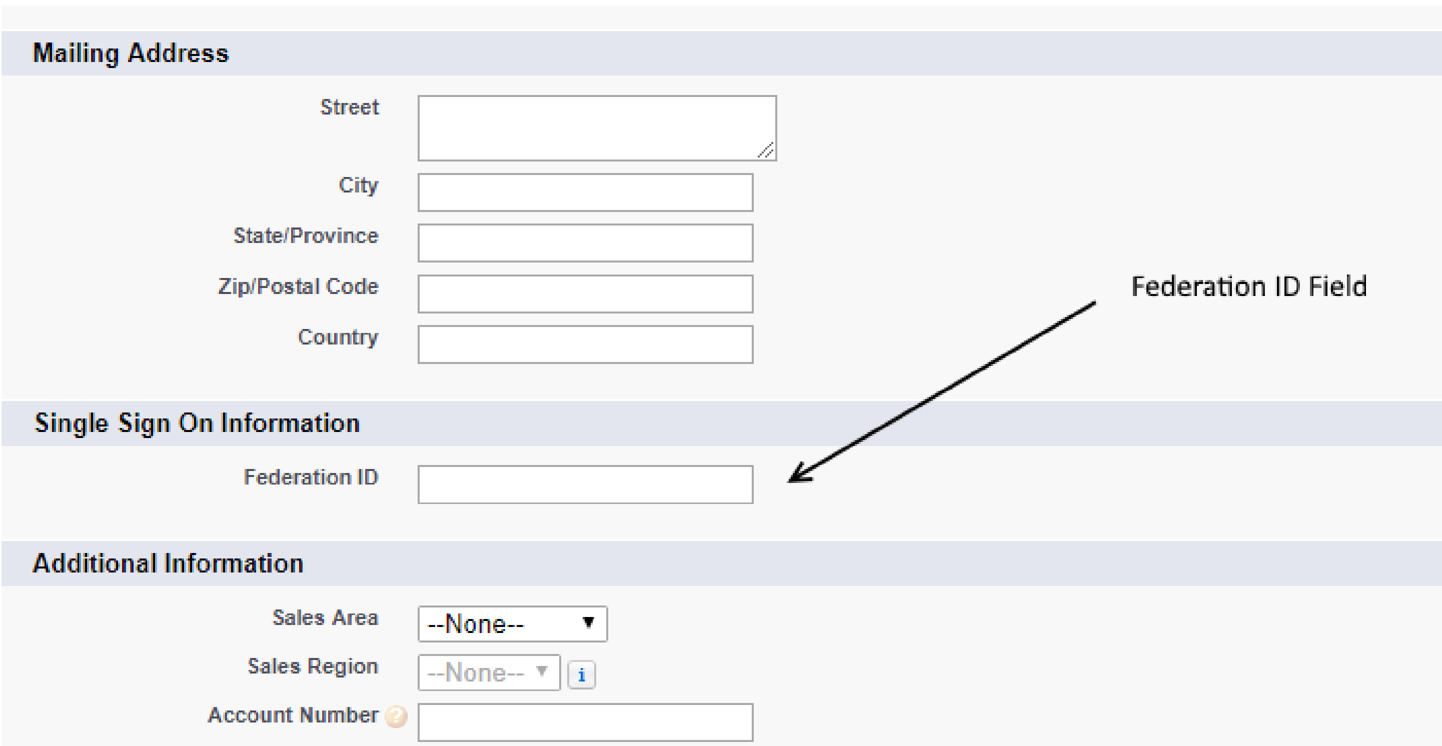
Offline Access (Pulsar)

Custom user interfaces will be available in Pulsar when online by windowing from Pulsar to SalesForce custom user interface. This will allow for leveraging custom user interface in the offline app when the user is online. Some areas that this will be used is the Conflict Check user interface and the Attorney assignment (Case Assignment) user interface. When offline, the custom user interface will not be displayed and a graphic indicating it is not available due to lack of network connectivity will be displayed.

Single Sign On

Integration between Initech Hosted Microsoft Active Directory Federation Services and Salesforce to provide the ability to use Initech Resources to login to CMS.

Federation ID on the User record within Salesforce will have to be populated with the correct ID coming from the Active Directory Federation services.



Single Sign Setup requires receiving Metadata URL or Metadata file plus Certificate to setup Salesforce. Once this is received, data is returned to Initech for inclusion in to Active Directory setup.

Salesforce Single Sign On implementation guide:

[Implementation Guide]

Integrations

Salesforce to OpenText for Custom Security

Option 1

Integration between Salesforce and OpenText to support enhanced security model. Rest service hosted by OpenText on Premise to allow for information sent from CMS to OpenText to specify security.

Option 2

Utilize OpenText feature to set custom security on electronic documents. Feature requires integrating with an OpenText plugin. A trigger would be created to interface with plugin each time the case team is changed. This is the preferred option if the OpenText feature is added prior to the CMS go live.

SDIS to DMS to CMS Integration

To provide office data to CMS prior to Odyssey go live, an integration is necessary to provide data from SDIS to CMS via DMS. Consume flat files that are created by Cloverleaf and push to Salesforce using the Salesforce DataLoader.

These fields listed in these files closely resemble fields in DMS. The method used for actual data migration will be able to be partially re-used for this temporary integration.

The Salesforce DataLoader allows for command line usage. Dataloader will need to be configured with mapping files (.sSR) that link fields in the flat file to Salesforce fields. Additionally job files per file that is to be consumed will have to be created. Job files can be added to a batch file which can be called from a scheduled job on a computer that resides inside the Initech network.

Once Odyssey has gone live, the scheduled job can be removed and the integration can be deprecated.

Odyssey to CMS to Cobra Integration

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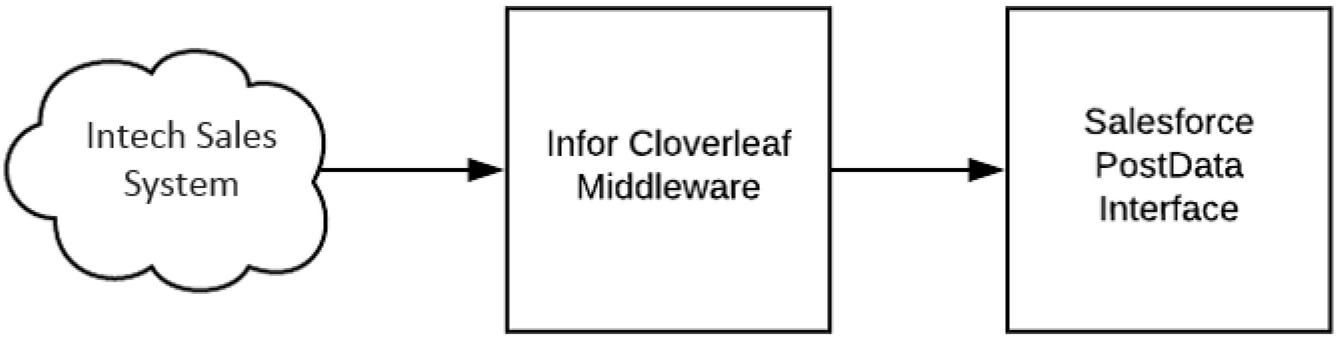
Possibly not in scope and will be a full Cobra replacement.

CloverLeaf Office Data Integration (Odyssey)

Cloverleaf to be integration flow diagram

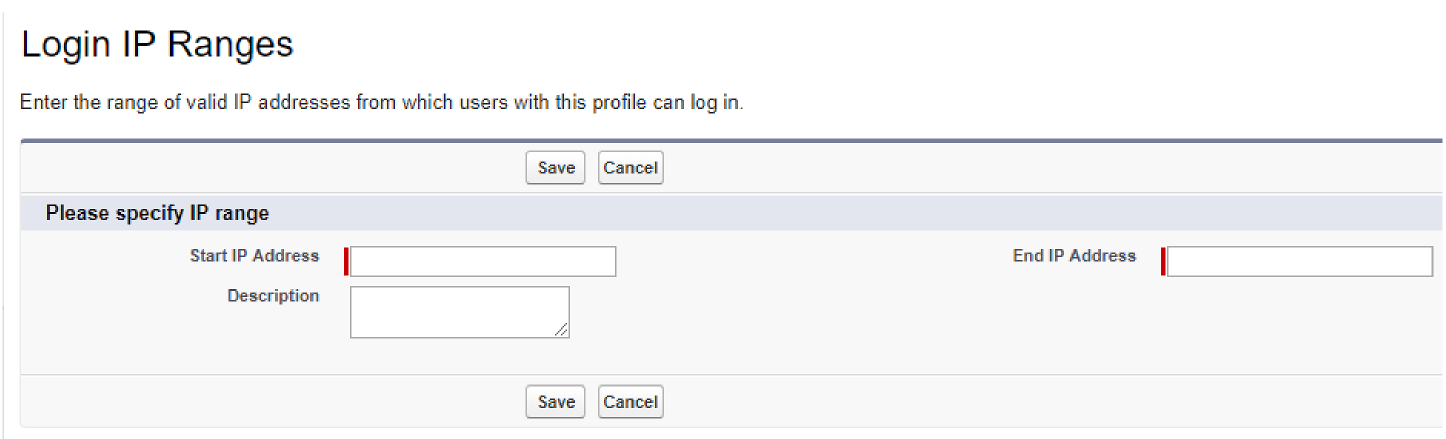


Integration for system data will be a one way integration from Cloverleaf to Salesforce. This includes any data flow from Salesforce to Cloverleaf. In the case of data flow from Salesforce to Cloverleaf, Cloverleaf will periodically poll Salesforce for data.

Integration will use a common interface (PostData) for all data transfers from CloverLeaf. PostData interface will deserialize XML to find “Control Point” node to determine what type of data is being sent (i.e. CR_SaveFee, CR_SaveCaseAndTradeShow etc.).

The PostData interface will be hosted in a Salesforce Site. The username and password are included as URL params. The username and password are stored in Salesforce in MetaData settings for use in code to verify against incoming requests. The desire by Initech was to not have a typical OAuth flow and to use URL parameters instead.

For security purposes, Salesforce PostData interface should be IP restricted to only IP Addresses originating from the Cloverleaf MidSReware network. This can be controlled on the Salesforce side in the configuration of the Site.



For sandbox usage this should be turned off to allow for testing manually with applications such as PostMan etc.

The interface is intended for single payload packages and not intended to receive multiple payloads per call.

Error HanSRing

If an error occurs during processing of integration data, original data is stored in a custom object for review. Workflow rules can be created to notify when records are added to the custom object. If a control point can be found in the XML, it will be included for easier review of errors. Multiple workflow rules can be defined to notify different users depending on which control point caused the error.

Integration Data Custom Object

Field Type	Field Name	Field Description
Text Long	API Data	String value to contain a copy of the original data.
Text Long	Interface	If the interface (control point) can be parsed out of the incoming data, it will added to this field.
Text Long	API Error	String value to contain the exception encountered during processing.
DateTime	CreatedDate	Standard field indicating when the error occured.

APEX Class Generation process

To create APEX class files to deserialize incomgin XML data to APEX objects, the following process should be followed when adding new interface types.

Copy XSD to:

http://xsd2xml.com/

Copy generated XML to:
http://www.utilities-online.info/xmltojson/#.Wvi8S5ch200
Takes resulting JSON data and copy to:
https://json2apex.herokuapp.com/

Add control point definition to InforIntegration class file
Example:

```
switch on ControlPoint
{
  when 'SAVE-CR-CASE'
     InforIntegration_SAVE_CR_CASE.Process(doc);
  when else
     System.debug('default');
}
```

Any Salesforce APEX reserved words will be converted to [reservedword]_z. Apply string replace to change incoming XML reserved words to conform to APEX class definitions prior to deserializing. This primarily applies to the word case, but could apply to others as well.

Interface variants

1. CR_SaveFee
2. CR_SaveCaseAndTradeShow
3. CR_SaveDispositions
4. CR_SaveEvent
5. CR_SaveHearingMinutesANDCTS
6. CR_SaveParty
7. CR_SaveAgreement
8. CR_SaveContract

XML and XSD Odyssey Payloads

CR_SaveFee

XSD


```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified"
attributeFormDefault="unqualified" version="1.11">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Case" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="xs:string"/>
<xs:element name="FiledDate" type="xs:string"/>
</xs:sequence>
<xs:attribute name="InternalID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Fee">
<xs:complexType>
<xs:sequence>
```

```
<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="Number" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="CurrentFeeStatus" type="Typ_StrWithOpAttr"/>
<xs:element name="Payor" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="PostedDate" type="Typ_StrWithOpAttr"/>
<xs:element name="Amount" type="Typ_DecWithOpAttr" minOccurs="0"/>
<xs:element name="Surety" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="FeeCompany" type="Typ_StrWithOpAttr"/>
<xs:element name="FeeInsuranceCompany" type="Typ_StrWithOpAttr"/>
<xs:element name="Feesman" type="Typ_StrWithOpAttr"/>
<xs:element name="Amount" type="Typ_StrWithOpAttr"/>
<xs:element name="PowerNumber" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="Status" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Date" type="Typ_StrWithOpAttr"/>
<xs:element name="StatusType" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Current" type="xs:boolean" use="optional"/>
<xs:attribute name="Word" type="xs:boolean" use="optional"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="Activity" maxOccurs="unbounded">
<xs:complexType>
```

```
<xs:sequence>
<xs:element name="ActivityTrackNumber" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalActivityID" type="xs:string" use="required"/>
<xs:attribute name="InternalPartyID" type="xs:string" use="required"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="InternalID" type="xs:integer" use="required"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="PackageID" type="xs:string" use="required"/>
<xs:attribute name="MessageID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:complexType name="Typ_StrWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="ID" type="xs:string" use="optional"/>
<xs:attribute name="PayorID" type="xs:integer" use="optional"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Word" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_DecWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:decimal">
```

<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:schema>

XML

<Integration PackageID="CR_SaveFee" MessageID="13721">
<ControlPoint Timestamp="">SAVE-FEE</ControlPoint>
<Case InternalID="3091894">
<CaseNumber>17CJCF00047-001</CaseNumber>
<FiledDate>10/02/2017</FiledDate>
</Case><Fee Op="A" InternalID="26">
<Type Op="A" Word="CASH">Cash Bail</Type>
<Number Op="A">b123</Number>
<CurrentFeeStatus Op="A" Word="POST">Posted</CurrentFeeStatus>
<Payor Op="A" PayorID="9714899">dummy_last, dummy_first</Payor>
<PostedDate Op="A">10/02/2017</PostedDate>
<Amount Op="A">5000</Amount>
<Status Op="A" Current="true">
<Date Op="A">10/02/2017</Date>
<StatusType Op="A" Word="POST">Posted</StatusType>
</Status>
<Activity Op="E" InternalActivityID="443" InternalPartyID="9714899">
<ActivityTrackNumber>001</ActivityTrackNumber></Activity>
<Activity Op="E" InternalActivityID="444" InternalPartyID="9714899">
<ActivityTrackNumber>002</ActivityTrackNumber>
</Activity>
</Fee>

</Integration>

CR_SaveCaseAndTradeShow

XSD


```
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified"
attributeFormDefault="unqualified" version="1.12">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Case">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="xs:string"/>
<xs:element name="FiledDate" type="Typ_StrWithOpAttr"/>
<xs:element name="CaseCategory" type="Typ_StrWithOpAttr"/>
<xs:element name="CaseType" type="Typ_StrWithOpAttr"/>
<xs:element name="BaseCaseType" type="Typ_StrWithOpAttr"/>
<xs:element name="CaseTitle" type="Typ_StrWithOpAttr"/>
<xs:element name="Active" type="Typ_StrWithOpAttr"/>
<xs:element name="Deleted" type="Typ_StrWithOpAttr"/>
```

```
<xs:element name="Office" type="Typ_Office"/>
<xs:element name="CaseStatus" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseStatusType" type="Typ_StrWithOpAttr"/>
<xs:element name="Date" type="Typ_StrWithOpAttr"/>
<!--
<xs:element name="TimestampCreate" type="Typ_StrWithOpAttr"/>
<xs:element name="TimestampChange" type="Typ_StrWithOpAttr" minOccurs="0"/>
-->
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="Assignment" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Office" type="Typ_Office"/>
<xs:element name="CaseNumber" type="Typ_StrWithOpAttr"/>
<xs:element name="SalesManager" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AssignmentDate" type="Typ_StrWithOpAttr"/>
<!--
<xs:element name="TimestampCreate" type="Typ_StrWithOpAttr"/>
<xs:element name="TimestampChange" type="Typ_StrWithOpAttr" minOccurs="0"/>
-->
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Current" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="CaseCrossReference" minOccurs="0" maxOccurs="unbounded">
```



```
<xs:complexType>
<xs:sequence>
<xs:element name="CaseCrossReferenceType" type="Typ_StrWithOpAttr"/>
<xs:element name="CrossCaseNumber" type="Typ_StrWithOpAttr"/>
</xs:sequence>
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<xs:attribute name="ID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Attorney" type="Typ_PtyNameAndConn" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="CaseParty" type="Typ_PtyNameAndConn" maxOccurs="unbounded"/>
<xs:element name="Activity" maxOccurs="unbounded">
<xs:complexType>
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<xs:element name="BookingAgency" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="Agency" type="Typ_StrWithOpAttr" minOccurs="0"/>
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</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="ReportingAgency" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlNumber" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Agency" type="Typ_StrWithOpAttr" minOccurs="0"/>
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</xs:complexType>
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```

<xs:element name="ActivityHistory" maxOccurs="unbounded">
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<xs:element name="ActivityNumber" type="Typ_IntWithOpAttr"/>
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<xs:element name="ActivityMeetingDate" type="Typ_StrWithOpAttr"/>
<xs:element name="ActivityFilingDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="FineAmount" type="Typ_DecWithOpAttr" minOccurs="0"/>
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<xs:sequence>
<xs:element name="ProductNumber" type="Typ_StrWithOpAttr"/>
<xs:element name="ProductDescription" type="Typ_StrWithOpAttr"/>
<xs:element name="ProductCode" type="Typ_StrWithOpAttr"/>
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</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="AmendedDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AmendedReason" type="Typ_StrWithOpAttr" minOccurs="0"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Stage" type="xs:string" use="required"/>
<xs:attribute name="FilingSequence" type="xs:unsignedByte" use="optional"/>
<xs:attribute name="ActivitySequence" type="xs:unsignedByte" use="optional"/>
<xs:attribute name="CurrentActivity" type="xs:boolean" use="optional"/>
<xs:attribute name="InternalMeetingHistoryID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>

```
&lt;xs:attribute name="InternalActivityID" type="xs:string" use="required"/&gt;
&lt;xs:attribute name="InternalPartyID" type="xs:string" use="required"/&gt;
&lt;/xs:complexType&gt;
&lt;/xs:element&gt;
&lt;xs:element name="TradeShowEvent" minOccurs="0" maxOccurs="unbounded"&gt;
&lt;xs:complexType&gt;
&lt;xs:sequence&gt;
&lt;xs:element name="TradeShowType" type="Typ_StrWithOpAttr"/&gt;
&lt;xs:element name="TradeShowDate" type="Typ_StrWithOpAttr"/&gt;
&lt;xs:element name="SalesManager" type="Typ_StrWithOpAttr" minOccurs="0"/&gt;
<xs:element name="TradeShowAmendmentReason" type="Typ_StrWithOpAttr" minOccurs="0"
maxOccurs="unbounded"/>
&lt;xs:element name="TradeShow"&gt;
&lt;xs:complexType&gt;
&lt;xs:sequence&gt;
&lt;xs:element name="TradeShowActivity"&gt;
&lt;xs:complexType&gt;
&lt;xs:sequence&gt;
&lt;xs:element name="ActivityID" maxOccurs="unbounded"&gt;
&lt;xs:complexType&gt;
&lt;xs:simpleContent&gt;
&lt;xs:extension base="xs:string"&gt;
&lt;xs:attribute name="InternalActivityID" type="xs:integer" use="required"/&gt;
&lt;/xs:extension&gt;
&lt;/xs:simpleContent&gt;
&lt;/xs:complexType&gt;
&lt;/xs:element&gt;
&lt;xs:element name="ActivityHistoryID" maxOccurs="unbounded"&gt;
&lt;xs:complexType&gt;
&lt;xs:simpleContent&gt;
&lt;xs:extension base="xs:string"&gt;
```

```
<xs:attribute name="InternalMeetingHistoryID" type="Typ_IntOrEmp" use="required"/>
</xs:extension>
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</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
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<xs:complexType>
<xs:sequence>
<xs:element name="CAReportComponent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
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<xs:element name="Facility" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="ConsecutiveWith" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="ConsecutiveWithOption" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Term" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="TermType" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="TermDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="Contract" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="ContractAmount" type="Typ_DecWithOpAttr" minOccurs="0"/>
<xs:element name="Life" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="Priority" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="SuspendedDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="InformationDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="CreditDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="TradeShowDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
```

<xs:element name="AdditionalCreditDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="PostTradeShowCreditDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="MandatorySupervisedReleaseCreditDuration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="FineAmount" type="Typ_BooWithOpAttr" minOccurs="0"/>
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<xs:element name="FineLength" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="PayFine" type="Typ_DecOrEmpWithOpAttri" minOccurs="0"/>
<xs:element name="PayFinePer" type="Typ_StrWithOpAttr" minOccurs="0"/>
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</xs:element>
<xs:element name="CAProgramsComponent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
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<xs:sequence>
<xs:element name="Program">
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<xs:element name="InLieuOf" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="EnrollByDate" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="Duration" type="Typ_TradeShowDuration" minOccurs="0" maxOccurs="unbounded"/>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>

</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="CASRConditions" minOccurs="0" maxOccurs="unbounded">
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<xs:sequence>
<xs:element name="Type" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Term" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="BACLevel" type="Typ_IntOrEmpWithOpAttri" minOccurs="0"/>
<xs:element name="DispositionExemptionAndRestrictionCollections" minOccurs="0">
<xs:complexType>
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<xs:element name="DispositionExemptionAndRestrictionCollection" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="SRConditionType" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="StatusID" type="Typ_StrWithOpAttr" minOccurs="0"/>
</xs:sequence>
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</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="ConditionComponent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Condition" maxOccurs="unbounded">

```
<xs:complexType>
<xs:sequence>
<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="EffectiveDate" type="Typ_StrWithOpAttr"/>
<xs:element name="Comment" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Amount" type="Typ_DecWithOpAttr" minOccurs="0"/>
<xs:element name="Duration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="Status">
<xs:complexType>
<xs:sequence>
<xs:element name="StatusType" type="Typ_StrWithOpAttr"/>
<xs:element name="StatusDate" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="CAProbationComponent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
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<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="StartDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="EndDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Term" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="DispositionStatusCollections" minOccurs="0">
```

```
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<xs:sequence>
<xs:element name="DispositionStatusCollection" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="StatusCollectionID" type="Typ_StrWithOpAttr"/>
<xs:element name="StatusID" type="Typ_StrWithOpAttr"/>
<xs:element name="Date" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="Conditions" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="Condition" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="Comment" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Duration" type="Typ_TradeShowDuration" minOccurs="0"/>
<xs:element name="ConditionEffectiveDate" type="Typ_StrWithOpAttr"/>
<xs:element name="Amount" type="Typ_DecWithOpAttr" minOccurs="0"/>
<xs:element name="ConditionEndDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="ConditionStatuses">
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<xs:sequence>
<xs:element name="ConditionStatus">
```

```
<xs:complexType>
<xs:sequence>
<xs:element name="Status" type="Typ_StrWithOpAttr"/>
<xs:element name="StatusDate" type="Typ_StrWithOpAttr"/>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="CommentComponent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Comment" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="InternalComponentInstanceID" type="xs:string"/>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
```

```
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalTradeShowID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalTradeShowEventID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Party" maxOccurs="unbounded">
<xs:complexType>
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<xs:element name="Address" minOccurs="0" maxOccurs="unbounded">
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<xs:sequence>
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<xs:element name="AddressLine3" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AddressLine4" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Block" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="PreDir" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Street" type="Typ_StrWithOpAttr" minOccurs="0"/>
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XML

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<CaseNumber>17CJCF00047-001</CaseNumber>
<FiledDate>10/02/2017</FiledDate>
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<CaseType Word="CRFEL">ServiceCall</CaseType>
<BaseCaseType>Adult</BaseCaseType>
<CaseTitle>The People of the State of California
vs.
dummy_last, dummy_first</CaseTitle>
<Active>true</Active>
<Deleted>false</Deleted>
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<OfficeName>AERegion</OfficeName>
</Office>
<CaseStatus>
<CaseStatusType Word="OPE">Open</CaseStatusType>
<Date>10/02/2017</Date>
</CaseStatus>
<Assignment>
<Office>

<NodeID>150300</NodeID>
<OfficeName> </OfficeName>
</Office>
<CaseNumber>17CJCF00047-001</CaseNumber>
<AssignmentDate>10/02/2017</AssignmentDate>
</Assignment>
<CaseParty InternalCasePartyID="10012279" InternalPartyID="9714899">
<CasePartyName Current="true" InternalNameID="10895043">
<NameType>Standard</NameType><NameFirst>dummy_first</NameFirst>
<NameLast>dummy_last</NameLast>
<FormattedName>dummy_last, dummy_first</FormattedName>
</CasePartyName><Connection Word="DEF" BaseConnection="DF"
InternalCasePartyConnectionID="10030034">
<Description>Customer</Description></Connection></CaseParty><
Activity InternalActivityID="443" InternalPartyID="9714899"><BookingAgency>
<ActivityDate>09/26/2017</ActivityDate></BookingAgency>
<ReportingAgency><ControlNumber>C123</ControlNumber>
<Agency Word="7478">ABC USD</Agency></ReportingAgency>
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<FineAmount>100000</FineAmount><Product><ProductNumber>207</ProductNumber>
<ProductDescription>PC207-F Adjustment</ProductDescription>
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<Degree Word="F">ServiceCall</Degree></Product></ActivityHistory>
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<ActivityFilingDate>10/02/2017</ActivityFilingDate><FineAmount>750</FineAmount>
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<ProductDescription>PC21310-M Carry Concealed Dirk/Dagger</ProductDescription>
<ProductCode Word="PC21310" InternalCodeID="18544"></ProductCode>
<Degree Word="M">Service</Degree></Product><AmendedDate>10/02/2017</AmendedDate>
<AmendedReason Word="CRTM">Motion by Office</AmendedReason></ActivityHistory>
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<ProductDescription>PC502.7(D)-F Fraudulent Use Of Telecommunications Services</ProductDescription>
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<ProductCode Word="PC21310" InternalCodeID="18544"></ProductCode>
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<ReportingAgency><ControlNumber>c456</ControlNumber><Agency Word="7478">ABC USD</Agency></ReportingAgency>
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<Location Word="WH">Whittier</Location>
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<FineAmount>5000</FineAmount>
<Product>
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<ProductDescription>PC20310-M Mfg/Poss/Etc Air Gauge Knife</ProductDescription>
<ProductCode Word="PC20310" InternalCodeID="18487"></ProductCode>
<Degree Word="M">Service</Degree></Product></ActivityHistory>
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<Degree Word="M">Service</Degree></Product></ActivityHistory>
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<TradeShowType Op="A" Word="MS">Mandatory Supervision</TradeShowType>
<TradeShowDate Op="A">10/02/2017</TradeShowDate><TradeShow Op="A" InternalTradeShowID="217">
<TradeShowActivity Op="A"><ActivityID InternalActivityID="443" />
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<Additional>
<CAProgramsComponent>
<Programs><Program>
<ProgramType Op="A" Word="DUI18">18 Month DUI Alcohol Program</ProgramType>
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<Weeks Op="A">1</Weeks>
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<Hours Op="A">1</Hours>
</Duration></Program></Programs>
</CAProgramsComponent></Additional></TradeShow></TradeShowEvent></Case>
<Party InternalPartyID="9714899"><Gender Word="M ">Male</Gender>
<Race Word="B">Black</Race><Number>5</Number>
<Number>10</Number>
<WeightPounds>130</WeightPounds>
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Word="CA">California</StateIDState></StateID>
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</PersonID></Party></Integration>

CR_SaveDispositions

XSD

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XML

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<FiledDate>10/02/2017</FiledDate>
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<DispositionEventDate Op="A">10/02/2017</DispositionEventDate>
<Disposition Op="A" InternalActivityID="443" InternalMeetingHistoryID="1216"><DispositionType Op="A" Word="CON">Conviction After Agreement</DispositionType>
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</DispositionEvent>
</Case>
</Integration>

CR_SaveEvent

XSD

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<xs:element name="EventType" type="Typ_StrWithOpAttr"/>
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</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_BooWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:boolean">
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>

</xs:schema>

XML

<Integration PackageID="CR_SaveEvent" MessageID="13711">
<ControlPoint Timestamp="10/2/2017 3:12:10 PM">SAVE-CR-EVENT</ControlPoint>
<Case InternalID="3091894">
<CaseNumber>17CJCF00047-001</CaseNumber>
<FiledDate Op="A">10/02/2017</FiledDate>
<CaseEvent InternalEventID="47019463" Op="A">
<EventDate Op="A">10/02/2017</EventDate>
<Deleted Op="A">false</Deleted>
<EventType Op="A" Word="8000">Complaint is filed.</EventType>
</CaseEvent>
</Case>
</Integration>

CR_SaveHearingMuntesANDCTS

XSD

<?xml version="1.0" encoding="utf-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" attributeFormDefault="unqualified" version="1.11">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="optional"/>
</xs:extension>

```
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Case">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="Typ_StrWithOpAttr"/>
<xs:element name="FiledDate" type="Typ_StrWithOpAttr"/>
<xs:element name="Hearing">
<xs:complexType>
<xs:sequence>
<xs:element name="HearingType" type="Typ_StrWithOpAttr"/>
<xs:element name="ParentEvents" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="ParentEvent" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="Office" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="NodeID" type="xs:integer"/>
<xs:element name="OfficeName" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="Setting" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
```

```
<xs:element name="Cancelled" type="xs:string" minOccurs="0"/>
<xs:element name="HearingDate" type="Typ_StrWithOpAttr"/>
<xs:element name="OfficeSessionName" type="Typ_StrWithOpAttr"/>
<xs:element name="OfficeSessionID" type="Typ_StrWithOpAttr"/>
<xs:element name="Calendar" type="Typ_StrWithOpAttr"/>
<xs:element name="OfficeResource" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="ResourceType" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Code" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="OfficeSessionBlock">
<xs:complexType>
<xs:sequence>
<xs:element name="StartTime" type="Typ_StrWithOpAttr"/>
<xs:element name="EndTime" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="OfficeroomMinutes" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="HearingResult" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="ActualOfficeResource" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
```

```
<xs:element name="Type" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="Code" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="InterpreterNeeded" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="Interpreter" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="Language" type="Typ_StrWithOpAttr"/>
<xs:element name="Code" type="Typ_StrWithOpAttr"/>
<xs:element name="Qualification" type="Typ_StrWithOpAttr" minOccurs="0"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="InternalSettingID" type="xs:integer" use="optional"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="InternalHearingEventID" type="xs:integer" use="optional"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
```

```xml
</xs:sequence>
<xs:attribute name="InternalID" type="xs:integer" use="optional"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="PackageID" type="xs:string" use="optional"/>
<xs:attribute name="MessageID" type="xs:integer" use="optional"/>
</xs:complexType>
</xs:element>
<xs:complexType name="Typ_BooWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:boolean">
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_StrWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Word" type="xs:string" use="optional"/>
<xs:attribute name="Type" type="xs:string" use="optional"/>
<xs:attribute name="Code" type="xs:string" use="optional"/>
<xs:attribute name="InternalOfficeSessionID" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:schema>
```

XML

<Integration PackageID="CR_SaveHearingMinutesAndCTS" MessageID="13712">
<ControlPoint Timestamp="10/2/2017 3:14:17 PM">SAVE-CR-HEARING</ControlPoint>
<Case InternalID="3091894">
<CaseNumber>17CJCF00047-001</CaseNumber>
<FiledDate>10/02/2017</FiledDate>
<Hearing InternalHearingEventID="47019464" Op="A">
<HearingType Op="A" Word="8021CR">Arraignment</HearingType>
<Office>
<NodeID>150300</NodeID>
<OfficeName Op="A">AERegion</OfficeName>
</Office>
<Setting InternalSettingID="5371411" Op="A">
<HearingDate Op="A">10/02/2017</HearingDate>
<OfficeSessionName>CJC Dept 31</OfficeSessionName>
<OfficeSessionID Op="A" InternalOfficeSessionID="1107663" />
<Calendar Op="A" Word="CRCJ31">Clara Shortridge Foltz Dept. - 31</Calendar>
<OfficeResource>
<Type Word="LOC">Location</Type>
<ResourceType Word="HL">Hearing Location</ResourceType>
<Code Word="CJ31">AERegion Dept. - 31</Code>
</OfficeResource>
<OfficeSessionBlock><StartTime Op="A">8:30 AM</StartTime>
<EndTime Op="A">8:30 AM</EndTime>
</OfficeSessionBlock>
<InterpreterNeeded Op="A">false</InterpreterNeeded>
</Setting>
</Hearing>
</Case>
</Integration>

CR_SaveParty

XSD


```
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified"
attributeFormDefault="unqualified" version="1.11">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Party">
<xs:complexType>
<xs:sequence>
<xs:element name="Address" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="AddressLine1" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AddressLine2" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AddressLine3" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AddressLine4" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Block" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="PreDir" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Street" type="Typ_StrWithOpAttr" minOccurs="0"/>
```

<xs:element name="AddrSfxKy" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="PostDir" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="UnitKy" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="UnitNum" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="City" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="State" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Zip" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Foreign" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="TimestampCreate" type="xs:string" minOccurs="0"/>
<xs:element name="TimestampChange" type="xs:string" minOccurs="0"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="PartyCorrespondence" type="xs:string" use="optional"/>
<xs:attribute name="PartyCurrent" type="xs:string" use="optional"/>
<xs:attribute name="Type" type="xs:string" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Gender" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Race" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Number" type="Typ_IntWithOpAttr" minOccurs="0"/>
<xs:element name="Number" type="Typ_IntWithOpAttr" minOccurs="0"/>
<xs:element name="WeightPounds" type="Typ_IntWithOpAttr" minOccurs="0"/>
<xs:element name="Number" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Number" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="DateOfBirth" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="DriversLicense" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="DriversLicenseNumber" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="DriversLicenseState" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="DriversLicenseType" type="Typ_StrWithOpAttr" minOccurs="0"/>

```
<xs:element name="DriversLicenseExpirationDate" type="Typ_StrWithOpAttr" minOccurs="0"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Current" type="xs:boolean" use="optional"/>
<xs:attribute name="InternalSRID" type="xs:integer" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="SONumber" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="StateID" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="StateIDNumber" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="StateIDState" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Current" type="xs:boolean" use="optional"/>
</xs:complexType>
</xs:element>
<xs:element name="Accountnumber" type="Typ_StrWithOpAttr" minOccurs="0" maxOccurs="unbounded"/>
<xs:element name="NeedsInterpreter" type="Typ_BooWithOpAttr" minOccurs="0"/>
<xs:element name="Language" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Word" type="xs:string" use="required"/>
<xs:attribute name="PrimaryLanguage" type="xs:boolean" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
```

```xml
<xs:element name="PersonID">
<xs:complexType>
<xs:sequence>
<xs:element name="PersonIDNumber" type="Typ_StrWithOpAttr"/>
<xs:element name="PersonIDGroup" type="xs:string"/>
</xs:sequence>
</xs:complexType>
</xs:element>
<!--following elements in CR_SaveCaseAndTradeShow are under case node-->
<xs:element name="Number" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="PartyName" maxOccurs="3">
<xs:complexType>
<xs:sequence>
<xs:element name="NameType" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="NameTitle" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="NameFirst" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="NameMidSRe" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="NameLast" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="NameSuffix" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="FormattedName" type="Typ_StrWithOpAttr" minOccurs="0"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Current" type="xs:boolean" use="optional"/>
<xs:attribute name="InternalNameID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Connection" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="Description" type="xs:string"/>
<xs:element name="DateAdded">
```

<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="TimestampCreate">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="required"/>
<xs:attribute name="Word" type="xs:string" use="required"/>
<xs:attribute name="BaseConnection" type="xs:string" use="required"/>
<xs:attribute name="InternalCasePartyConnectionID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="CaseLink" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="xs:string"/>
<xs:element name="Office">
<xs:complexType>
<xs:sequence>

<xs:element name="NodeID" type="xs:integer"/>
<xs:element name="OfficeName" type="xs:string"/>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="CaseType" type="Typ_StrWithOpAttr"/>
<xs:element name="BaseCaseType" type="xs:string"/>
<xs:element name="CaseCategory" type="xs:string"/>
<xs:element name="SecurityGroup" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="Active" type="xs:unsignedByte"/>
<xs:element name="CaseStatusType" type="Typ_StrWithOpAttr"/>
<xs:element name="Connection" maxOccurs="unbounded">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Word" type="xs:string" use="required"/>
<xs:attribute name="BaseConnection" type="xs:string" use="required"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="InternalPartyID" type="xs:integer" use="required"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="PackageID" type="xs:string" use="required"/>

```
<xs:attribute name="MessageID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:complexType name="Typ_StrWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Word" type="xs:string" use="optional"/>
<xs:attribute name="deprecated" type="xs:string" use="optional"/>
<xs:attribute name="Current" type="xs:string" use="optional"/>
<xs:attribute name="Code" type="xs:string" use="optional"/>
<xs:attribute name="InternalCodeID" type="xs:string" use="optional"/>
<xs:attribute name="ID" type="xs:integer" use="optional"/>
<xs:attribute name="InternalDOBID" type="xs:integer" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_IntWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:integer">
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_BooWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:boolean">
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
```

</xs:schema>

XML

<Integration PackageID="CR_SaveParty" MessageID="13728">
<ControlPoint Timestamp="10/2/2017 4:14:15 PM">SAVE-PARTY</ControlPoint>
<Party Op="E" InternalPartyID="9714899">
<Gender Word="M ">Male</Gender>
<Number Op="E">6</Number>
<Number Op="E">4</Number>
<DateOfBirth Current="true" InternalDOBID="1926639">01/01/1951</DateOfBirth>
<DriversLicense Current="true" InternalSRID="977">
<DriversLicenseNumber>SR123</DriversLicenseNumber>
<DriversLicenseState Word="CA">California</DriversLicenseState>
</DriversLicense>
<StateID Current="true">
<StateIDNumber>SI123</StateIDNumber>
<StateIDState deprecated="true">CA</StateIDState>
<StateIDState Word="CA">California</StateIDState>
</StateID>
<Accountnumber Current="true">FN123</Accountnumber>
<NeedsInterpreter>false</NeedsInterpreter>
<PersonID>
<PersonIDNumber ID="1699215" />
<PersonIDGroup>Person ID</PersonIDGroup>
</PersonID>
<PartyName Current="true" InternalNameID="10895043">
<NameType>Standard</NameType>
<NameFirst>dummy_first</NameFirst>
<NameLast>dummy_last</NameLast>

<FormattedName>dummy_last, dummy_first</FormattedName>
</PartyName>
<CaseLink>
<CaseNumber>17CJCF00047-001</CaseNumber>
<Office>
<NodeID>150300</NodeID>
<OfficeName>AERegion</OfficeName>
</Office>
<CaseType Word="CRFEL">ServiceCall</CaseType>
<CaseCategory>CR</CaseCategory>
<Active>1</Active>
<CaseStatusType Word="OPE">Open</CaseStatusType>
<Connection Word="DEF" BaseConnection="DF">Customer</Connection>
</CaseLink>
</Party>
</Integration>

CR_SaveAgreement

XSD

<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" attributeFormDefault="unqualified" version="1.12">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="required"/>

```
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Case">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="xs:string"/>
<xs:element name="FiledDate" type="xs:string"/>
<xs:element name="AgreementEvent" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="AgreementEventDate" type="Typ_StrWithOpAttr"/>
<xs:element name="SalesManager" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AgreementAmendmentReason" type="Typ_StrWithOpAttr" minOccurs="0"
maxOccurs="unbounded"/>
<xs:element name="Agreement" type="Typ_Agreement" maxOccurs="unbounded"/>
<xs:element name="AgreementEvent" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>
<xs:sequence>
<xs:element name="AgreementEventDate" type="Typ_StrWithOpAttr"/>
<xs:element name="SalesManager" type="Typ_StrWithOpAttr" minOccurs="0"/>
<xs:element name="AgreementAmendmentReason" type="Typ_StrWithOpAttr" minOccurs="0"
maxOccurs="unbounded"/>
<xs:element name="Agreement" type="Typ_Agreement" maxOccurs="unbounded"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalAgreementEventID" type="xs:integer" use="required"/>
<xs:attribute name="Date" type="xs:string" use="required"/>
</xs:complexType>
</xs:element>
```

```
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalAgreementEventID" type="xs:integer" use="required"/>
<xs:attribute name="Date" type="xs:string" use="required"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="InternalID" type="xs:integer" use="required"/>
<xs:attribute name="Op" type="xs:string" use="optional"/>
</xs:complexType>
</xs:element>
</xs:sequence>
<xs:attribute name="PackageID" type="xs:string" use="required"/>
<xs:attribute name="MessageID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:complexType name="Typ_StrWithOpAttr">
<xs:simpleContent>
<xs:extension base="xs:string">
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="Word" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
<xs:complexType name="Typ_Agreement">
<xs:sequence>
<xs:element name="AgreementType" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="Op" type="xs:string" use="optional"/>
<xs:attribute name="InternalActivityID" type="xs:integer" use="required"/>
<xs:attribute name="InternalMeetingHistoryID" type="xs:integer" use="required"/>
```

</xs:complexType>
</xs:schema>

XML

<Integration PackageID="CR_SaveAgreement" MessageID="13719">
<ControlPoint Timestamp="10/2/2017 3:46:52 PM">SAVE-CR-DISPOSITION</ControlPoint>
<Case InternalID="3091894">
<CaseNumber>17CJCF00047-001</CaseNumber>
<FiledDate>10/02/2017</FiledDate>
<AgreementEvent Op="A" InternalAgreementEventID="47019466" Date="10/02/2017">
<AgreementEventDate Op="A">10/02/2017</AgreementEventDate>
<SalesManager Op="A" Word="Z0014">Ziskrout, David</SalesManager>
<Agreement Op="A" InternalActivityID="443" InternalMeetingHistoryID="1215">
<AgreementType Op="A" Word="PG">Agreements Available</AgreementType>
</Agreement>
</AgreementEvent>
</Case>
</Integration>

CR_SaveContract

XSD

<?xml version="1.0" encoding="utf-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" attributeFormDefault="unqualified" version="1.12">
<xs:element name="Integration">
<xs:complexType>
<xs:sequence>
<xs:element name="ControlPoint">
<xs:complexType>
<xs:simpleContent>

```
<xs:extension base="xs:string">
<xs:attribute name="Timestamp" type="xs:string" use="optional"/>
</xs:extension>
</xs:simpleContent>
</xs:complexType>
</xs:element>
<xs:element name="Case">
<xs:complexType>
<xs:sequence>
<xs:element name="CaseNumber" type="Typ_StrWithOpAttr"/>
<xs:element name="FiledDate" type="Typ_StrWithOpAttr"/>
</xs:sequence>
<xs:attribute name="InternalID" type="xs:integer" use="required"/>
</xs:complexType>
</xs:element>
<xs:element name="Contract">
<xs:complexType>
<xs:sequence>
<xs:element name="Number" type="Typ_StrWithOpAttr"/>
<xs:element name="Type" type="Typ_StrWithOpAttr"/>
<xs:element name="CurrentContractStatus" type="Typ_StrWithOpAttr"/>
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XML


```
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<ControlPoint Timestamp="10/2/2017 3:29:03 PM">SAVE-CR-CONTRACT</ControlPoint>
```

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<FiledDate>10/02/2017</FiledDate>
</Case>
<Contract InternalID="38" Op="A">
<Number Op="A">17CJCF00047-001 - 1</Number>
<Type Op="A" Word="BW">Bench Contract</Type>
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<CustomerParty Op="A" InternalCustomerID="9714899" />
<Owner Op="A">
<SalesManager Op="A" Word="M0293"> </SalesManager>
</Owner>
<Status Op="A" Current="true">
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<Time Op="A">3:27 PM</Time>
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<Office Op="A">
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</Office>
</Status>
<Activity Op="E" InternalActivityID="443" InternalPartyID="9714899">
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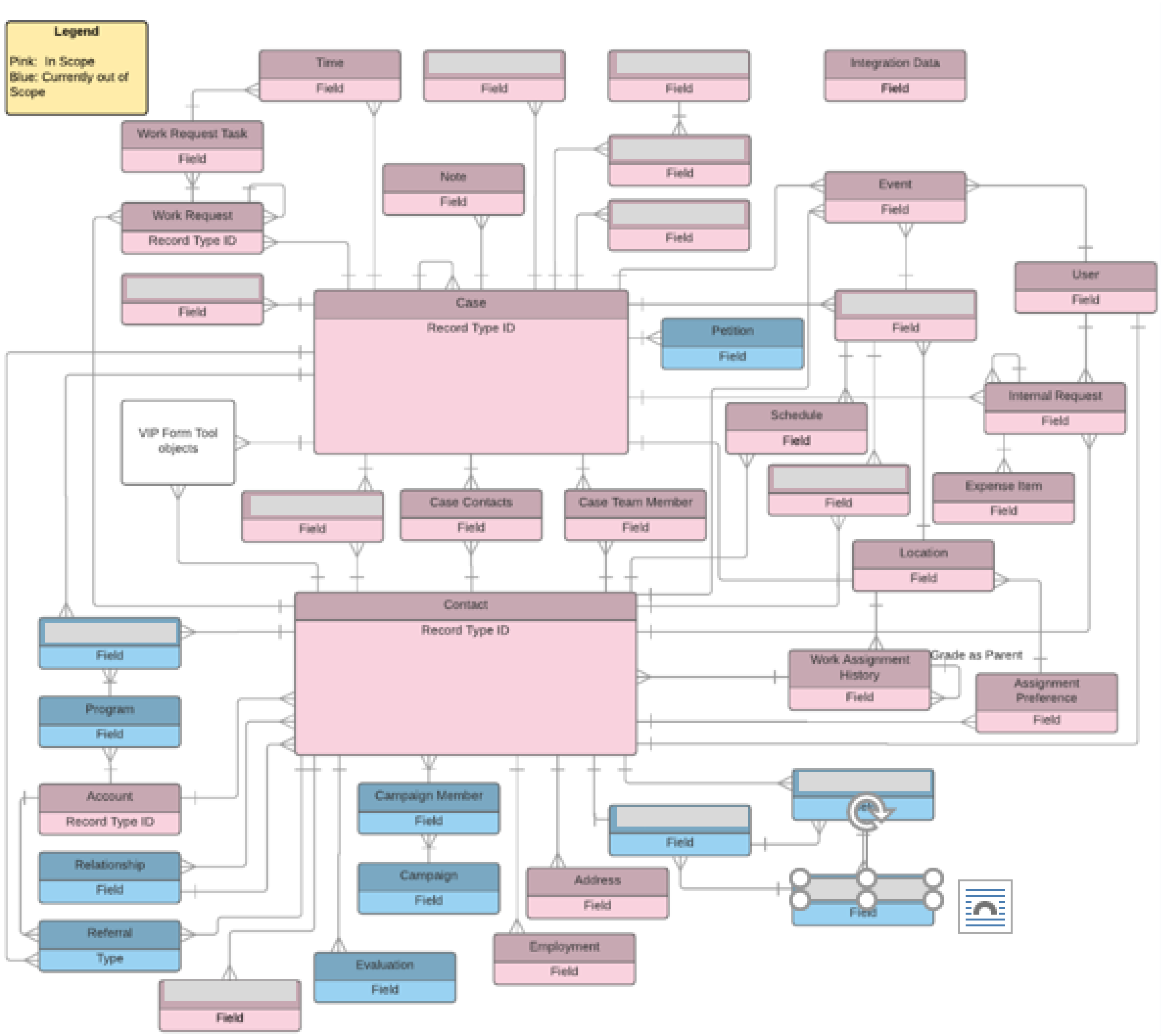
</Contract>
</Integration>

Data View

Salesforce Data Model



Data Migration

Data migration is described in the data migration document.

Security

TLS/SSL - HTTPS protocol will be used for all web service communications between Salesforce and external systems.

IP Whitelists - Due to the cloud nature of the Salesforce solution, integration often involves requests initiating outside a customer's on-premise infrastructure. Customers can mitigate the threat of unsolicited requests through the use of a firewall for on-premise applications by restricting requests that only have originated from a specific range of IP addresses. The most recent set of IP ranges leveraged by the Salesforce platform can be referenced here:

https://help.salesforce.com/apex/HTViewSolution?id=000003652

The solution will leverage standard Salesforce security functionality to deliver security requirements.

Sign-Off

Signature below confirms acceptance of this as specified in the Statement of Work.

Initech CMS Release 1

____

Signature

____

Title

____

Date

Exhibit 12 – Data Mapping Sample

Sapient Sample Template - Data Mapping | Data Reconciliation Report (Cover Page)

<Project Name> Data Migration/Conversion Report

Summary

This document will be used to
a. Provide a summary of Data Conversion Report

Other related documents :

This document will refer to
a. Current state architecture
b. Physical data model
c. Source analysis & Structures
d. Data dictionary for field definitions
e. Requirements

Sapient Sample Template - Data Mapping | Data Reconciliation Report (Data Migration Status)

Round	<Data Category >	Start Dt	End Dt	Status	# Input Records Loaded	Success Count	Failure Count	# Exception Category			Comments
								# Data Issues	Validation	Script Issues	
Round 1	Data #1			Completed							
	Data #2			Blocked							
	Data #3			Not Started							
Round 2	Data #1			Not Started							
	Data #2			Not Started							
	Data #3			Not Started							

Sapient Sample Template - Data Mapping | Data Reconciliation Report (Exception List)

Exception Scenario

#	Data Category	Failure Reason	No. of Records impacted	Comment	Resolution	Status	Owner
1						Open	
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							

Create multiple copies of this worksheet, by Source/Data Category

Sapient Sample Template - Data Mapping | Data Reconciliation Report (Version History)

Version History

CHANGE LOG

Version	Date	Changed By	Summary

Review Log

Version	Date	Reviewed By	Summary

Sapient Sample Template - Data Mapping |Source Details (Cover Page)

<Project Name> Source Details Document

Summary

This document will be used to
a. Provide a view of the source systems & their purposes
b. Provide a view of the data sets that are relevant for migration / analysis

Sign Offs -

Version	Date	Signatory	Signature
		<Name> <Role and Position>	
		<Name> <Role and Position>	
		<Name> <Role and Position>	
		<Name> <Role and Position>	

Other related documents :

This document will refer to
a. Current state architecture
b. Physical data model
c. Source analysis & Structures
d. Data dictionary for field definitions
e. Requirements

Sapient Sample Template - Data Mapping | Source Details

Source System Details

#	Source System Type	Source System Name	Is relevant for migration?	Purpose	Source system owner	Number of tables / files	Additional Info (Connection details)	Connection details
1	Flat file		Yes / No					
2	RDBMS - Oracle		Yes / No					
3	RDBMS - SQL Server		Yes / No					
4	XML files		Yes / No					
5	Mainframe COBOL files		Yes / No					

Sapient Sample Template - Data Mapping | Source Details (Table Mapping by Source)

Analysis of <Source System Name>

#	Owner	Source Table / File Name	Relevant for Migration?	# of Columns	Mapped to target table	Purpose	Relationships	# of Rows	Growth %	Category of dat	Services impac	Reports impacted?
1	Who owns th	Name of the table / file /	Yes / No		Which table in the	Purpose of this	Does this table depend or drive other tables?			Master	List of services/ features that are dependent on or write into this table	List of reports that depend on this table
2										Link		
3										Transactional		
4										Summary		
5										History		
6										Detail		
7										Seed data		
8										Audit		
9										Log		
10												
11												
12												
13												
14												
15												
16												
17												
18												
19												
20												

Create multiple copies of this worksheet, by source

Sapient Sample Template - Data Mapping | Source Details (Version History)

Version History

CHANGE LOG

Version	Date	Changed By	Summary

Review Log

Version	Date	Reviewed By	Summary

Sapient Sample Template - Data Mapping | Source Target Atrribute Mapping (Cover Page)

Mapping Document : <Source Name> -< Target Name> Attribute Mapping

Summary

This document will be used to
a. Provide a view of the source to target relationships.
b. Provide a view of the business & transformation rules that are required.

Sign Offs -

Version	Date	Signatory	Signature
		<Name> <Role and Position>	
		<Name> <Role and Position>	
		<Name> <Role and Position>	
		<Name> <Role and Position>	

Other related documents :

This document will refer to
a. Requirements and data elements sheets
b. Physical data model
c. Source analysis & Structures
d. Data dictionary for field definitions

Sapient Sample Template - Data Mapping | Source Target Mapping

Data Transformation & Mapping Rules

#	Source System	Source Table / File / Works	Source Field	Target System	Target Table / File	Target Field	Transformation	Notes
1							Not required	
2							Straight pull	
3							Set fixed value	
4							Apply logic	
5							Encrypt / decrypt	
6							Based in this field set x, y, z	
7							Based on field 'a' set this to …	
8							Use this field to look up to table T1 and pull field F1	
9							Use this field to look up to table T1 and compute using the formula…	

Sapient Sample Template - Data Mapping | Source Target (Version history)

Version History

CHANGE LOG

Version	Date	Changed By	Summary

Review Log

Version	Date	Reviewed By	Summary

Exhibit 13 – Schedule (high-level timelines with milestones)

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
1			**PAS Program**	**1111 days**	**Mon 11/12/18**	**Mon 2/13/23**	
2			**PAS Definition Phase**	**132 days**	**Mon 11/12/18**	**Tue 5/14/19**	
3			**Project Initiation & Planning**	**16 days**	**Mon 11/12/18**	**Mon 12/3/18**	
4			**Plan**	**16 days**	**Mon 11/12/18**	**Mon 12/3/18**	
5			Kick Off Meeting	1 day	Mon 11/12/18	Mon 11/12/18	
6			Define Vision	1 day	Mon 11/12/18	Mon 11/12/18	
7			Establish Working Plan	15 days	Tue 11/13/18	Mon 12/3/18	6
8			**Analysis**	**131 days**	**Tue 11/13/18**	**Tue 5/14/19**	
9			**Secured and Unsecured**	**131 days**	**Tue 11/13/18**	**Tue 5/14/19**	
10			**7 Modules (Bus Pers. Prop, Real Prp (Residential/Commer/Indust), Roll Mgmt, Audits, Exemptions, Transactions)**	**131 days**	**Tue 11/13/18**	**Tue 5/14/19**	
11			Business Process Reviews	10 days	Tue 11/13/18	Mon 11/26/18	6
12			User roles and responsibilities	10 days	Tue 11/27/18	Mon 12/10/18	11
13			Requirement Gathering - Functional, Non- Functional, Technical	55 days	Tue 12/11/18	Mon 2/25/19	12
14			Approve requirements	2 days	Tue 2/26/19	Wed 2/27/19	13

Project: San Mateo Work Plan -
Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
15			Business Rules	11 days	Thu 2/28/19	Thu 3/14/19	14
16			Personas & User Journeys	5 days	Fri 3/15/19	Thu 3/21/19	15
17			User Stories	12 days	Fri 3/22/19	Mon 4/8/19	16
18			Conduct design workshops	11 days	Tue 4/9/19	Tue 4/23/19	17
19			Document functional design	5 days	Wed 4/24/19	Tue 4/30/19	18
20			Document technical design	5 days	Wed 5/1/19	Tue 5/7/19	19
21			Review design with County	3 days	Wed 5/8/19	Fri 5/10/19	20
22			Approval of functional & technical design	2 days	Mon 5/13/19	Tue 5/14/19	21
23			**2 Modules (Appeals, Web Portal)**	80 days	**Wed 1/16/19**	**Tue 5/7/19**	
24			Business Process Reviews	5 days	Wed 1/16/19	Tue 1/22/19	13SS+26 days
25			User roles and responsibilities	5 days	Wed 1/23/19	Tue 1/29/19	24
26			Requirement Gathering - Functional, Non- Functional, Technical	30 days	Wed 1/30/19	Tue 3/12/19	25
27			Approve requirements	2 days	Wed 3/13/19	Thu 3/14/19	26
28			Business Rules	8 days	Fri 3/15/19	Tue 3/26/19	27
29			Personas & User Journeys	4 days	Wed 3/27/19	Mon 4/1/19	28

Project: San Mateo Work Plan - Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
30			User Stories	7 days	Tue 4/2/19	Wed 4/10/19	29
31			Conduct design workshops	6 days	Thu 4/11/19	Thu 4/18/19	30
32			Document functional design	4 days	Fri 4/19/19	Wed 4/24/19	31
33			Document technical design	4 days	Thu 4/25/19	Tue 4/30/19	32
34			Review design with County	3 days	Wed 5/1/19	Fri 5/3/19	33
35			Approval of functional & technical design	2 days	Mon 5/6/19	Tue 5/7/19	34
36			**Analysis of Interfaces**	**90 days**	**Tue 12/4/18**	**Mon 4/8/19**	
37			Analysis of all Interfaces for phase 1 -3 (protocols, formats, process flow, exception handling))	90 days	Tue 12/4/18	Mon 4/8/19	7
38			**Prototype**	**43 days**	**Tue 2/26/19**	**Thu 4/25/19**	
39			Salesforce environment Set Up for Prototype	5 days	Tue 2/26/19	Mon 3/4/19	13
40			Prototype - Visual in Salesforce	30 days	Wed 3/13/19	Tue 4/23/19	13,26
41			Prototype Demo	1 day	Wed 4/24/19	Wed 4/24/19	40
42			Approval	1 day	Thu 4/25/19	Thu 4/25/19	41
43			**High Level Conceptual Design**	**34 days**	**Wed 3/13/19**	**Mon 4/29/19**	
44			Data Modeling	15 days	Wed 3/13/19	Tue 4/2/19	13,26
45			Architecture	15 days	Tue 4/9/19	Mon 4/29/19	37

Project: San Mateo Work Plan -
Date: Fri 9/7/18

Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
46			QA Strategy	15 days	Wed 3/13/19	Tue 4/2/19	13,26
47			Data Migration Strategy	15 days	Wed 3/13/19	Tue 4/2/19	13,26
48			Support Strategy	8 days	Wed 3/13/19	Fri 3/22/19	13,26
49			**Governance**	**131 days**	**Tue 11/13/18**	**Tue 5/14/19**	
50			Define Governance	10 days	Tue 11/13/18	Mon 11/26/18	6
51			Define Metrics/Measures	6 days	Tue 11/13/18	Tue 11/20/18	6
52			Approval of metrics/measures	2 days	Wed 11/21/18	Thu 11/22/18	51
53			Monitor/Report	131 days	Tue 11/13/18	Tue 5/14/19	6
54			**Risk Strategy**	**129 days**	**Tue 11/13/18**	**Fri 5/10/19**	
55			Document risks and dependencies (modules 5)	120 days	Tue 11/13/18	Mon 4/29/19	6
56			Document risks and dependencies (modules 6)	120 days	Tue 11/13/18	Mon 4/29/19	6
57			Document risks and dependencies (modules 2)	77 days	Wed 1/16/19	Thu 5/2/19	23SS
58			Review Risk Plan	4 days	Fri 5/3/19	Wed 5/8/19	57

Project: San Mateo Work Plan - Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
59			Approval	2 days	Thu 5/9/19	Fri 5/10/19	58
60			**Definition Phase Acceptance**	**116 days**	**Tue 12/4/18**	**Tue 5/14/19**	
61			**Project Plan Update**	**116 days**	**Tue 12/4/18**	**Tue 5/14/19**	
62			Update - Cost, Resource, Comm. Plan, etc.	112 days	Tue 12/4/18	Wed 5/8/19	7
63			Approval	3 days	Thu 5/9/19	Mon 5/13/19	62
64			Project Plan Baseline Upload to collaborative tool	1 day	Tue 5/14/19	Tue 5/14/19	63
65			Revalidate estimates and plan for implementation	5 days	Tue 5/7/19	Mon 5/13/19	64FS-6 days
66			**Implementation Team Onboarding**	**23 days**	**Thu 4/11/19**	**Mon 5/13/19**	
67			Team Onboarding, ramp up and training for Sprint 1	23 days	Thu 4/11/19	Mon 5/13/19	
68			**PAS Phase 1**	**262 days**	**Tue 5/14/19**	**Wed 5/13/20**	
69			**Implementational Kickoff/ Foundational Components**	**69 days**	**Tue 5/14/19**	**Fri 8/16/19**	
70			**Setup (Salesforce)**	**69 days**	**Tue 5/14/19**	**Fri 8/16/19**	
71			Salesforce Solution Architecture Design	6 days	Tue 5/14/19	Tue 5/21/19	
72			Setup Salesforce Environments (Non Prc	6 days	Tue 5/21/19	Tue 5/28/19	
73			Setup User Security Roles Profiles and U	6 days	Tue 5/28/19	Tue 6/4/19	
74			Setup Service Cloud Console & Field Ser	11 days	Tue 5/28/19	Tue 6/11/19	73SS
75			Setup SmartCommunications (SmartCOI	6 days	Tue 6/11/19	Tue 6/18/19	
76			Setup OpenText Brava Application	6 days	Tue 6/18/19	Tue 6/25/19	
77			Setup Docusign	3 days	Tue 6/25/19	Thu 6/27/19	

Project: San Mateo Work Plan - Date: Fri 9/7/18

Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

ID	Indicators	Task Mode	Task Name	Duration	Start	Finish	Predecessors
78			Setup OwnBackup	3 days	Thu 6/27/19	Mon 7/1/19	
79			Setup Data Model	16 days	Mon 7/1/19	Mon 7/22/19	
80			Setup Mobile	4 days	Mon 7/22/19	Thu 7/25/19	
81			Setup Communities	4 days	Thu 7/25/19	Tue 7/30/19	
82			Setup Email Integration	3 days	Tue 7/30/19	Thu 8/1/19	
83			Setup Search Configuration	10 days	Thu 8/1/19	Wed 8/14/19	
84			Setup Constituent Relationship Integrity	3 days	Wed 8/14/19	Fri 8/16/19	
85			**Setup (Integration)**	**64 days**	**Tue 5/14/19**	**Fri 8/9/19**	
86			Integration project, repository and Dev environment setup	9 days	Tue 5/14/19	Fri 5/24/19	
87			Integration - Deployment option selection (Cloud)	12 days	Mon 5/27/19	Tue 6/11/19	86
88			Integration non-production environment setup (Cloud)	20 days	Wed 6/12/19	Tue 7/9/19	87
89			Integration build, release and deployment (CI) set up	10 days	Wed 7/10/19	Tue 7/23/19	88
90			Integration - Inbound batch framework design	10 days	Mon 5/27/19	Fri 6/7/19	86
91			Integration - Inbound batch framework - Review design with County	2 days	Mon 6/10/19	Tue 6/11/19	90
92			Integration - Inbound batch framework	16 days	Wed 6/12/19	Wed 7/3/19	91
93			Integration - Outbound batch framework design	10 days	Thu 7/4/19	Wed 7/17/19	92
94			Integration - Outbound batch framework - Review design with	2 days	Thu 7/18/19	Fri 7/19/19	93

Project: San Mateo Work Plan -
Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
95			Integration - Outbound batch framewor	15 days	Mon 7/22/19	Fri 8/9/19	94
96			Integration - General Framework design	10 days	Mon 5/27/19	Fri 6/7/19	86
97			Integration - General Framework design - Review design with County	2 days	Mon 6/10/19	Tue 6/11/19	96
98			Integration - General Framework impler	15 days	Wed 6/12/19	Tue 7/2/19	97
99			Integration - Monitoring UI framework c	10 days	Wed 7/3/19	Tue 7/16/19	98
100			Integration - Monitoring UI framework - Review design with County	2 days	Wed 7/17/19	Thu 7/18/19	99
101			Integration - Monitoring UI framework	13 days	Fri 7/19/19	Tue 8/6/19	100
102			**Setup (Data Migration)**	**64 days**	**Tue 5/14/19**	**Fri 8/9/19**	
103			Draft physical data model for Staging layer	10 days	Tue 5/14/19	Mon 5/27/19	
104			ETL - Logging & error handling framework with database design	21 days	Tue 5/28/19	Tue 6/25/19	103
105			Draft data mapping & data load sequence document	5 days	Wed 6/26/19	Tue 7/2/19	104
106			Source system analysis, data extract & cleansing support	21 days	Wed 7/3/19	Wed 7/31/19	105
107			Operational report design	5 days	Thu 8/1/19	Wed 8/7/19	106
108			Review design with County	2 days	Thu 8/8/19	Fri 8/9/19	107
109			**Plan and Confirm User Stories**	**19 days**	**Wed 5/15/19**	**Mon 6/10/19**	
110			Incorporate plans from definition phase into work plan	4 days	Wed 5/15/19	Mon 5/20/19	2
111			Review work plan and assignments with Sa	4 days	Tue 5/21/19	Fri 5/24/19	110

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
112			Review work plan with County	4 days	Mon 5/27/19	Thu 5/30/19	111
113			Prioritize User Stories	3 days	Fri 5/31/19	Tue 6/4/19	112
114			Confirm work plan and County assignments	4 days	Wed 6/5/19	Mon 6/10/19	113
115			**Sprint 1**	**20 days**	**Tue 6/11/19**	**Mon 7/8/19**	
116			**Sprint Planning**	**4 days**	**Tue 6/11/19**	**Fri 6/14/19**	
117			Review Upcoming Work	2 days	Tue 6/11/19	Wed 6/12/19	114
118			Determine client dependencies	2 days	Thu 6/13/19	Fri 6/14/19	117
119			**Sprint Grooming**	**5 days**	**Wed 6/12/19**	**Tue 6/18/19**	
120			Detailed Design	1 day	Wed 6/12/19	Wed 6/12/19	117SS+1 day
121			Estimate work efforts	1 day	Thu 6/13/19	Thu 6/13/19	120
122			Assign to BA/Devs	1 day	Fri 6/14/19	Fri 6/14/19	121
123			Write tech specs	2 days	Mon 6/17/19	Tue 6/18/19	122
124			**Development**	**5 days**	**Wed 6/19/19**	**Tue 6/25/19**	
125			Configuration & code	3 days	Wed 6/19/19	Fri 6/21/19	123
126			Test completed requirements	2 days	Mon 6/24/19	Tue 6/25/19	125
127			**Sprint Review**	**4 days**	**Wed 6/26/19**	**Mon 7/1/19**	
128			Demo progress in Dev Sandbox	1 day	Wed 6/26/19	Wed 6/26/19	126
129			Evaluate velocity	1 day	Thu 6/27/19	Thu 6/27/19	128
130			Evaluate backlog & adjust	1 day	Fri 6/28/19	Fri 6/28/19	129
131			Solicit customer feedback	1 day	Mon 7/1/19	Mon 7/1/19	130

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
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Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
132			**Testing**	**5 days**	**Tue 7/2/19**	**Mon 7/8/19**	
133			Team demos by Committee Members	1 day	Tue 7/2/19	Tue 7/2/19	131
134			Complete development	1 day	Wed 7/3/19	Wed 7/3/19	133
135			Handle bug fixes	1 day	Thu 7/4/19	Thu 7/4/19	134
136			Write test classes	1 day	Fri 7/5/19	Fri 7/5/19	135
137			Submit completed capability to system test	1 day	Mon 7/8/19	Mon 7/8/19	136
138			**Sprint 2**	**20 days**	**Tue 7/9/19**	**Mon 8/5/19**	
161			**Sprint 3**	**20 days**	**Tue 8/6/19**	**Mon 9/2/19**	
184			**Sprint 4**	**20 days**	**Tue 9/3/19**	**Mon 9/30/19**	
207			**Sprint 5**	**20 days**	**Tue 10/1/19**	**Mon 10/28/19**	
230			**Sprint 6**	**20 days**	**Tue 10/29/19**	**Mon 11/25/19**	
253			**Sprint 7**	**20 days**	**Tue 11/26/19**	**Mon 12/23/19**	
276			**System Test**	**25 days**	**Tue 12/24/19**	**Mon 1/27/20**	
277			Create system test plan	5 days	Tue 12/24/19	Mon 12/30/19	275
278			Create system test scripts	5 days	Tue 12/31/19	Mon 1/6/20	277
279			Complete system test scripts	5 days	Tue 1/7/20	Mon 1/13/20	278
280			Address feedback from system tests	5 days	Tue 1/14/20	Mon 1/20/20	279
281			Submit completed capability to UAT	5 days	Tue 1/21/20	Mon 1/27/20	280
282			Build Complete - Core Solution	0 days	Mon 1/27/20	Mon 1/27/20	281
283			**User Acceptance Test**	**25 days**	**Tue 1/28/20**	**Mon 3/2/20**	
284			Create UAT plan	5 days	Tue 1/28/20	Mon 2/3/20	282

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
285			Create UAT test scripts	5 days	Tue 2/4/20	Mon 2/10/20	284
286			Complete UAT test scripts	5 days	Tue 2/11/20	Mon 2/17/20	285
287			Address feedback from UAT tests	5 days	Tue 2/18/20	Mon 2/24/20	286
288			Approve completion of UAT	5 days	Tue 2/25/20	Mon 3/2/20	287
289			UAT Complete - Core Solution	0 days	Mon 3/2/20	Mon 3/2/20	288
290			Delivery of End User Documentation	0 days	Mon 3/2/20	Mon 3/2/20	289
291			**Train**	**34 days**	**Tue 3/3/20**	**Fri 4/17/20**	
292			Training/Change Management Workshop	4 days	Tue 3/3/20	Fri 3/6/20	288
293			Stakeholder Interviews	3 days	Mon 3/9/20	Wed 3/11/20	292
294			Develop Training Plan	4 days	Thu 3/12/20	Tue 3/17/20	293
295			Schedule Training	2 days	Wed 3/18/20	Thu 3/19/20	294
296			Develop Change Management Plan	5 days	Fri 3/20/20	Thu 3/26/20	295
297			Develop Communications Plan	5 days	Fri 3/27/20	Thu 4/2/20	296
298			Train-The-Trainer	5 days	Fri 4/3/20	Thu 4/9/20	297
299			Fulfill Training Sessions	6 days	Fri 4/10/20	Fri 4/17/20	298
300			**Deploy**	**18 days**	**Mon 4/20/20**	**Wed 5/13/20**	
301			**Develop cutover plan**	**8 days**	**Mon 4/20/20**	**Wed 4/29/20**	
302			Identify the detailed steps, durations	4 days	Mon 4/20/20	Thu 4/23/20	299
303			Identify roles	2 days	Fri 4/24/20	Mon 4/27/20	302
304			Confirm timing	2 days	Tue 4/28/20	Wed 4/29/20	303

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
305			Code Migration	6 days	Thu 4/30/20	Thu 5/7/20	304
306			Acceptance of Phase 1 Completion	4 days	Fri 5/8/20	Wed 5/13/20	305
307			Phase 1 Go Live	0 days	Wed 5/13/20	Wed 5/13/20	306
308			**Project Phase 1 Acceptance**	**262 days**	**Tue 5/14/19**	**Wed 5/13/20**	
309			Complete and Finalize all project artifacts	22 days	Tue 4/14/20	Wed 5/13/20	
310			**Integration**	**123 days**	**Tue 5/14/19**	**Thu 10/31/19**	
311			**EZ-Access data (temp interface)**	**25 days**	**Tue 5/14/19**	**Mon 6/17/19**	
312			**Analysis & Design**	**6 days**	**Tue 5/14/19**	**Tue 5/21/19**	**85SS**
313			Document requirements	2 days	Tue 5/14/19	Wed 5/15/19	
314			Review requirements with County	1 day	Thu 5/16/19	Thu 5/16/19	313
315			Document technical design	2 days	Fri 5/17/19	Mon 5/20/19	314
316			Review design with County	1 day	Tue 5/21/19	Tue 5/21/19	315
317			**Build**	**14 days**	**Wed 5/22/19**	**Mon 6/10/19**	**312**
318			Review requirements & design	1 day	Wed 5/22/19	Wed 5/22/19	
319			Implement workflow and review	10 days	Thu 5/23/19	Wed 6/5/19	318
320			End to end testing, integrate with I	2 days	Thu 6/6/19	Fri 6/7/19	319
321			Deploy and update documentation	1 day	Mon 6/10/19	Mon 6/10/19	320
322			**QA**	**22 days**	**Fri 5/17/19**	**Mon 6/17/19**	**314**

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
323			Create test plan	1 day	Fri 5/17/19	Fri 5/17/19	
324			Create test scripts	3 days	Mon 5/20/19	Wed 5/22/19	323
325			Review test scripts	1 day	Thu 5/23/19	Thu 5/23/19	324
326			Execute test cycles	5 days	Tue 6/11/19	Mon 6/17/19	321,325
327			**External systems inbound data - eSDR/SDR, DMV, USPS, LEOP, Tax Collector**	**79 days**	**Wed 5/22/19**	**Mon 9/9/19**	
328			**Analysis & Design**	**36 days**	**Wed 5/22/19**	**Wed 7/10/19**	**312**
329			Document requirements	15 days	Wed 5/22/19	Tue 6/11/19	
330			Review requirements with County	5 days	Wed 6/12/19	Tue 6/18/19	329
331			Document technical design	12 days	Wed 6/19/19	Thu 7/4/19	330
332			Review design with County	4 days	Fri 7/5/19	Wed 7/10/19	331
333			**Build**	**38 days**	**Thu 6/20/19**	**Mon 8/12/19**	**328FS-15 days**
334			Review requirements & design	5 days	Thu 6/20/19	Wed 6/26/19	
335			Implement workflow and review	25 days	Thu 6/27/19	Wed 7/31/19	334
336			End to end testing, integrate with I	5 days	Thu 8/1/19	Wed 8/7/19	335
337			Deploy and update documentation	3 days	Thu 8/8/19	Mon 8/12/19	336
338			**QA**	**59 days**	**Wed 6/19/19**	**Mon 9/9/19**	**330**
339			Create test plan	5 days	Wed 6/19/19	Tue 6/25/19	
340			Create test scripts	12 days	Wed 6/26/19	Thu 7/11/19	339
341			Review test scripts	3 days	Fri 7/12/19	Tue 7/16/19	340
342			Execute test cycles	20 days	Tue 8/13/19	Mon 9/9/19	337,341

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
343			**External systems outbound data - Print/Mailing, Multiple Claims Listing, Collector**	**48 days**	**Thu 7/11/19**	**Mon 9/16/19**	
344			**Analysis & Design**	**24 days**	**Thu 7/11/19**	**Tue 8/13/19**	**328**
345			Document requirements	8 days	Thu 7/11/19	Mon 7/22/19	
346			Review requirements with County	4 days	Tue 7/23/19	Fri 7/26/19	345
347			Document technical design	8 days	Mon 7/29/19	Wed 8/7/19	346
348			Review design with County	4 days	Thu 8/8/19	Tue 8/13/19	347
349			**Build**	**29 days**	**Wed 7/24/19**	**Mon 9/2/19**	**317,344FS-15 c**
350			Review requirements & design	3 days	Wed 7/24/19	Fri 7/26/19	
351			Implement workflow and review	20 days	Mon 7/29/19	Fri 8/23/19	350
352			End to end testing, integrate with I	4 days	Mon 8/26/19	Thu 8/29/19	351
353			Deploy and update documentation	2 days	Fri 8/30/19	Mon 9/2/19	352
354			**QA**	**36 days**	**Mon 7/29/19**	**Mon 9/16/19**	**346**
355			Create test plan	2 days	Mon 7/29/19	Tue 7/30/19	
356			Create test scripts	6 days	Wed 7/31/19	Wed 8/7/19	355
357			Review test scripts	2 days	Thu 8/8/19	Fri 8/9/19	356
358			Execute test cycles	10 days	Tue 9/3/19	Mon 9/16/19	353,357
359			**External files - Aircraft, Coast Guard, FAA, NADA, BOE, BUC, Marinas, Airports**	**81 days**	**Thu 7/11/19**	**Thu 10/31/19**	
360			**Analysis & Design**	**36 days**	**Thu 7/11/19**	**Thu 8/29/19**	**328**
361			Document requirements	15 days	Thu 7/11/19	Wed 7/31/19	

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Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
362			Review requirements with County	5 days	Thu 8/1/19	Wed 8/7/19	361
363			Document technical design	12 days	Thu 8/8/19	Fri 8/23/19	362
364			Review design with County	4 days	Mon 8/26/19	Thu 8/29/19	363
365			**Build**	**38 days**	**Tue 8/13/19**	**Thu 10/3/19**	**333**
366			Review requirements & design	5 days	Tue 8/13/19	Mon 8/19/19	
367			Implement workflow and review	25 days	Tue 8/20/19	Mon 9/23/19	366
368			End to end testing, integrate with	5 days	Tue 9/24/19	Mon 9/30/19	367
369			Deploy and update documentatior	3 days	Tue 10/1/19	Thu 10/3/19	368
370			**QA**	**61 days**	**Thu 8/8/19**	**Thu 10/31/19**	**362**
371			Create test plan	5 days	Thu 8/8/19	Wed 8/14/19	
372			Create test scripts	12 days	Thu 8/15/19	Fri 8/30/19	371
373			Review test scripts	3 days	Mon 9/2/19	Wed 9/4/19	372
374			Execute test cycles	20 days	Fri 10/4/19	Thu 10/31/19	373,369
375			**External interface - Valuation, FileNet**	**65 days**	**Mon 7/1/19**	**Fri 9/27/19**	
376			**Analysis & Design**	**6 days**	**Mon 7/1/19**	**Mon 7/8/19**	
377			Document requirements	2 days	Mon 7/1/19	Tue 7/2/19	
378			Review requirements with County	1 day	Wed 7/3/19	Wed 7/3/19	377
379			Document technical design	2 days	Thu 7/4/19	Fri 7/5/19	378
380			Review design with County	1 day	Mon 7/8/19	Mon 7/8/19	379
381			**Build**	**14 days**	**Tue 9/3/19**	**Fri 9/20/19**	**349,376**
382			Review requirements & design	1 day	Tue 9/3/19	Tue 9/3/19	
383			Implement workflow and review	10 days	Wed 9/4/19	Tue 9/17/19	382

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
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Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
384			End to end testing, integrate with Monitoring UI	2 days	Wed 9/18/19	Thu 9/19/19	383
385			Deploy and update documentation	1 day	Fri 9/20/19	Fri 9/20/19	384
386			**QA**	**62 days**	**Thu 7/4/19**	**Fri 9/27/19**	**378**
387			Create test plan	1 day	Thu 7/4/19	Thu 7/4/19	
388			Create test scripts	3 days	Fri 7/5/19	Tue 7/9/19	387
389			Review test scripts	1 day	Wed 7/10/19	Wed 7/10/19	388
390			Execute test cycles	5 days	Mon 9/23/19	Fri 9/27/19	385,389
391			**System Test**	**20 days**	**Tue 5/14/19**	**Mon 6/10/19**	
392			Create system test plan	5 days	Tue 5/14/19	Mon 5/20/19	
393			Create system test scripts	5 days	Tue 5/21/19	Mon 5/27/19	392
394			Review system test scripts	5 days	Tue 5/28/19	Mon 6/3/19	393
395			Execute system test cycle	5 days	Tue 6/4/19	Mon 6/10/19	394
396			Build Complete - Integration	0 days	Mon 6/10/19	Mon 6/10/19	395
397			**User Acceptance Test**	**20 days**	**Tue 6/11/19**	**Mon 7/8/19**	**396**
398			Create UAT plan	5 days	Tue 6/11/19	Mon 6/17/19	
399			Create UAT test scripts	5 days	Tue 6/18/19	Mon 6/24/19	398
400			Review UAT test scripts	5 days	Tue 6/25/19	Mon 7/1/19	399
401			Execute UAT cycle	5 days	Tue 7/2/19	Mon 7/8/19	400
402			UAT Complete - Integration	0 days	Mon 7/8/19	Mon 7/8/19	401
403			**Data Migration**	**44 days**	**Tue 5/14/19**	**Fri 7/12/19**	
404			**Setup**	**15 days**	**Tue 5/14/19**	**Mon 6/3/19**	

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Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
405			Proof of concept - Data Extraction fro	5 days	Tue 5/14/19	Mon 5/20/19	
406			Proof of concept - SF Data Loader anc	10 days	Tue 5/21/19	Mon 6/3/19	405
407			**Data Migration strategy - EZ-Access dat**	**30 days**	**Mon 6/3/19**	**Fri 7/12/19**	
408			Document strategy	5 days	Mon 6/3/19	Fri 6/7/19	406
409			Review strategy with County	2 days	Fri 6/7/19	Mon 6/10/19	
410			Data Migration execution (runs & rec	24 days	Tue 6/11/19	Fri 7/12/19	
411			**PAS Phase 2**	**261 days**	**Thu 5/14/20**	**Thu 5/13/21**	**68**
412			**Setup**	**10 days**	**Thu 5/14/20**	**Wed 5/27/20**	
413			Establish additional environ. to support de	5 days	Thu 5/14/20	Wed 5/20/20	
414			Set up additional security roles	5 days	Thu 5/21/20	Wed 5/27/20	413
415			**Plan and Confirm User Stories**	**16 days**	**Thu 5/14/20**	**Thu 6/4/20**	
416			Incorporate plans from definition phase into work plan	3 days	Thu 5/14/20	Mon 5/18/20	309
417			Review work plan and assignments with Sa	3 days	Tue 5/19/20	Thu 5/21/20	416
418			Review work plan with County	3 days	Fri 5/22/20	Tue 5/26/20	417
419			Prioritize User Stories	4 days	Wed 5/27/20	Mon 6/1/20	418
420			Confirm work plan and County assignments	3 days	Tue 6/2/20	Thu 6/4/20	419
421			**Sprint 1**	**20 days**	**Fri 6/5/20**	**Thu 7/2/20**	
444			**Sprint 2**	**20 days**	**Fri 7/3/20**	**Thu 7/30/20**	
467			**Sprint 3**	**20 days**	**Fri 7/31/20**	**Thu 8/27/20**	
490			**Sprint 4**	**20 days**	**Fri 8/28/20**	**Thu 9/24/20**	

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Task	Inactive Summary	External Tasks
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Milestone	Duration-only	Deadline
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Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
513			**Sprint 5**	**20 days**	**Fri 9/25/20**	**Thu 10/22/20**	
536			**Sprint 6**	**20 days**	**Fri 10/23/20**	**Thu 11/19/20**	
559			**Sprint 7**	**20 days**	**Fri 11/20/20**	**Thu 12/17/20**	
582			**System Test**	**25 days**	**Fri 12/18/20**	**Thu 1/21/21**	
583			Create system test plan	5 days	Fri 12/18/20	Thu 12/24/20	581
584			Create system test scripts	5 days	Fri 12/25/20	Thu 12/31/20	583
585			Complete system test scripts	5 days	Fri 1/1/21	Thu 1/7/21	584
586			Address feedback from system tests	5 days	Fri 1/8/21	Thu 1/14/21	585
587			Submit completed capability to UAT	5 days	Fri 1/15/21	Thu 1/21/21	586
588			Build Complete - Core Solution	0 days	Thu 1/21/21	Thu 1/21/21	587
589			**User Acceptance Test**	**25 days**	**Fri 1/22/21**	**Thu 2/25/21**	
590			Create UAT plan	5 days	Fri 1/22/21	Thu 1/28/21	588
591			Create UAT test scripts	5 days	Fri 1/29/21	Thu 2/4/21	590
592			Complete UAT test scripts	5 days	Fri 2/5/21	Thu 2/11/21	591
593			Address feedback from UAT tests	5 days	Fri 2/12/21	Thu 2/18/21	592
594			Approve completion of UAT	5 days	Fri 2/19/21	Thu 2/25/21	593
595			UAT Complete - Core Solution	0 days	Thu 2/25/21	Thu 2/25/21	594
596			Delivery of End User Documentation	0 days	Thu 2/25/21	Thu 2/25/21	595
597			**Train**	**37 days**	**Fri 2/26/21**	**Mon 4/19/21**	

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Task	Inactive Summary	External Tasks
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Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
598			Training/Change Management Workshop	4 days	Fri 2/26/21	Wed 3/3/21	595
599			Stakeholder Interviews	4 days	Thu 3/4/21	Tue 3/9/21	598
600			Develop Training Plan	4 days	Wed 3/10/21	Mon 3/15/21	599
601			Schedule Training	2 days	Tue 3/16/21	Wed 3/17/21	600
602			Develop Change Management Plan	5 days	Thu 3/18/21	Wed 3/24/21	601
603			Develop Communications Plan	5 days	Thu 3/25/21	Wed 3/31/21	602
604			Train-The-Trainer	6 days	Thu 4/1/21	Thu 4/8/21	603
605			Fulfill Training Sessions	7 days	Fri 4/9/21	Mon 4/19/21	604
606			**Deploy**	**18 days**	**Tue 4/20/21**	**Thu 5/13/21**	
607			**Develop cutover plan**	**8 days**	**Tue 4/20/21**	**Thu 4/29/21**	
608			Identify the detailed steps, durations	4 days	Tue 4/20/21	Fri 4/23/21	605
609			Identify roles	2 days	Mon 4/26/21	Tue 4/27/21	608
610			Confirm timing	2 days	Wed 4/28/21	Thu 4/29/21	609
611			Code Migration	6 days	Fri 4/30/21	Fri 5/7/21	610
612			Acceptance of Phase 2 Completion	4 days	Mon 5/10/21	Thu 5/13/21	611
613			Phase 2 Go Live	0 days	Thu 5/13/21	Thu 5/13/21	612
614			**Project Phase 2 Acceptance**	**22 days**	**Thu 10/1/20**	**Fri 10/30/20**	

Project: San Mateo Work Plan -
Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
615			Complete and Finalize all project artifacts	22 days	Thu 10/1/20	Fri 10/30/20	
616			**Integration**	**147 days**	**Thu 5/14/20**	**Fri 12/4/20**	**391**
617			**External systems inbound data - Recorder/Clerk system, Building permit**	**43 days**	**Thu 5/14/20**	**Mon 7/13/20**	
618			**Analysis & Design**	**24 days**	**Thu 5/14/20**	**Tue 6/16/20**	
619			Document requirements	8 days	Thu 5/14/20	Mon 5/25/20	338
620			Review requirements with County	4 days	Tue 5/26/20	Fri 5/29/20	619
621			Document technical design	8 days	Mon 6/1/20	Wed 6/10/20	620
622			Review design with County	4 days	Thu 6/11/20	Tue 6/16/20	621
623			**Build**	**29 days**	**Wed 6/3/20**	**Mon 7/13/20**	**618FS-10 days**
624			Review requirements & design	3 days	Wed 6/3/20	Fri 6/5/20	
625			Implement workflow and review	20 days	Mon 6/8/20	Fri 7/3/20	624
626			End to end testing, integrate with Monitoring UI	4 days	Mon 7/6/20	Thu 7/9/20	625

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Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
627			Deploy and update documentation	2 days	Fri 7/10/20	Mon 7/13/20	626
628			**QA**	**20 days**	**Mon 6/1/20**	**Fri 6/26/20**	**620**
629			Create test plan	2 days	Mon 6/1/20	Tue 6/2/20	
630			Create test scripts	6 days	Wed 6/3/20	Wed 6/10/20	629
631			Review test scripts	2 days	Thu 6/11/20	Fri 6/12/20	630
632			Execute test cycles	10 days	Mon 6/15/20	Fri 6/26/20	631
633			**External systems outbound data - ParcelQuest, GIS**	**43 days**	**Wed 6/17/20**	**Fri 8/14/20**	
634			**Design**	**24 days**	**Wed 6/17/20**	**Mon 7/20/20**	**618**
635			Document requirements	8 days	Wed 6/17/20	Fri 6/26/20	
636			Review requirements with County	4 days	Mon 6/29/20	Thu 7/2/20	635
637			Document technical design	8 days	Fri 7/3/20	Tue 7/14/20	636
638			Review design with County	4 days	Wed 7/15/20	Mon 7/20/20	637
639			**Build**	**29 days**	**Tue 7/7/20**	**Fri 8/14/20**	**634FS-10 days**
640			Review requirements & design	3 days	Tue 7/7/20	Thu 7/9/20	
641			Implement workflow and review	20 days	Fri 7/10/20	Thu 8/6/20	640
642			End to end testing, integrate with Monitoring UI	4 days	Fri 8/7/20	Wed 8/12/20	641
643			Deploy and update documentation	2 days	Thu 8/13/20	Fri 8/14/20	642

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
644			**QA**	**20 days**	**Fri 7/3/20**	**Thu 7/30/20**	**636**
645			Create test plan	2 days	Fri 7/3/20	Mon 7/6/20	
646			Create test scripts	6 days	Tue 7/7/20	Tue 7/14/20	645
647			Review test scripts	2 days	Wed 7/15/20	Thu 7/16/20	646
648			Execute test cycles	10 days	Fri 7/17/20	Thu 7/30/20	647
649			**External files - CoStar, IREM, KORPAZ, MLS, M&S**	**79 days**	**Tue 7/21/20**	**Fri 11/6/20**	
650			**Analysis & Design**	**36 days**	**Tue 7/21/20**	**Tue 9/8/20**	**634**
651			Document requirements	15 days	Tue 7/21/20	Mon 8/10/20	
652			Review requirements with County	5 days	Tue 8/11/20	Mon 8/17/20	651
653			Document technical design	12 days	Tue 8/18/20	Wed 9/2/20	652
654			Review design with County	4 days	Thu 9/3/20	Tue 9/8/20	653
655			**Build**	**38 days**	**Wed 8/19/20**	**Fri 10/9/20**	**650FS-15 days**
656			Review requirements & design	5 days	Wed 8/19/20	Tue 8/25/20	
657			Implement workflow and review	25 days	Wed 8/26/20	Tue 9/29/20	656
658			End to end testing, integrate with Monitoring UI	5 days	Wed 9/30/20	Tue 10/6/20	657
659			Deploy and update documentation	3 days	Wed 10/7/20	Fri 10/9/20	658
660			**QA**	**59 days**	**Tue 8/18/20**	**Fri 11/6/20**	**652**

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
661			Create test plan	5 days	Tue 8/18/20	Mon 8/24/20	
662			Create test scripts	12 days	Tue 8/25/20	Wed 9/9/20	661
663			Review test scripts	3 days	Thu 9/10/20	Mon 9/14/20	662
664			Execute test cycles	20 days	Mon 10/12/20	Fri 11/6/20	659,663
665			**System Test**	**20 days**	**Fri 11/6/20**	**Fri 12/4/20**	**633,649**
666			Build Complete - Integration	0 days	Fri 11/6/20	Fri 11/6/20	
667			User Acceptance Test	20 days	Mon 11/9/20	Fri 12/4/20	
668			UAT Complete - Integration	0 days	Fri 12/4/20	Fri 12/4/20	667
669			**Data Migration**	**32 days**	**Mon 6/8/20**	**Tue 7/21/20**	
670			**Data Migration strategy - EZ-Access data f**	**32 days**	**Mon 6/8/20**	**Tue 7/21/20**	
671			Document strategy	5 days	Mon 6/8/20	Fri 6/12/20	
672			Review strategy with County	2 days	Mon 6/15/20	Tue 6/16/20	
673			Data Migration execution (runs & recon) - EZ-Access data for Phase 2	25 days	Wed 6/17/20	Tue 7/21/20	
674			**PAS Phase 3**	**130 days**	**Fri 5/14/21**	**Thu 11/11/21**	
675			**Setup**	**10 days**	**Fri 5/14/21**	**Thu 5/27/21**	
676			Establish additional environ. to support de	5 days	Fri 5/14/21	Thu 5/20/21	
677			Set up additional security roles	5 days	Fri 5/21/21	Thu 5/27/21	676
678			**Plan and Confirm User Stories**	**16 days**	**Fri 5/14/21**	**Fri 6/4/21**	
679			Incorporate plans from definition phase into work plan	3 days	Fri 5/14/21	Tue 5/18/21	613
680			Review work plan and assignments with Sa	3 days	Wed 5/19/21	Fri 5/21/21	679
681			Review work plan with County	3 days	Mon 5/24/21	Wed 5/26/21	680

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
682			Prioritize User Stories	4 days	Thu 5/27/21	Tue 6/1/21	681
683			Confirm work plan and County assignments	3 days	Wed 6/2/21	Fri 6/4/21	682
684			**Sprint 1**	**20 days**	**Mon 6/7/21**	**Fri 7/2/21**	
685			**Sprint Planning**	**4 days**	**Mon 6/7/21**	**Thu 6/10/21**	
686			Review Upcoming Work	2 days	Mon 6/7/21	Tue 6/8/21	683
687			Determine client dependencies	2 days	Wed 6/9/21	Thu 6/10/21	686
688			**Sprint Grooming**	**5 days**	**Tue 6/8/21**	**Mon 6/14/21**	
689			Detailed Design	1 day	Tue 6/8/21	Tue 6/8/21	686SS+1 day
690			Estimate work efforts	1 day	Wed 6/9/21	Wed 6/9/21	689
691			Assign to BA/Devs	1 day	Thu 6/10/21	Thu 6/10/21	690
692			Write tech specs	2 days	Fri 6/11/21	Mon 6/14/21	691
693			**Development**	**5 days**	**Tue 6/15/21**	**Mon 6/21/21**	
694			Configuration & code	3 days	Tue 6/15/21	Thu 6/17/21	692
695			Test completed requirements	2 days	Fri 6/18/21	Mon 6/21/21	694
696			**Sprint Review**	**4 days**	**Tue 6/22/21**	**Fri 6/25/21**	
697			Demo progress in Dev Sandbox	1 day	Tue 6/22/21	Tue 6/22/21	695
698			Evaluate velocity	1 day	Wed 6/23/21	Wed 6/23/21	697
699			Evaluate backlog & adjust	1 day	Thu 6/24/21	Thu 6/24/21	698
700			Solicit customer feedback	1 day	Fri 6/25/21	Fri 6/25/21	699
701			**Testing**	**5 days**	**Mon 6/28/21**	**Fri 7/2/21**	
702			Team demos by Committee Members	1 day	Mon 6/28/21	Mon 6/28/21	700
703			Complete development	1 day	Tue 6/29/21	Tue 6/29/21	702

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
704			Handle bug fixes	1 day	Wed 6/30/21	Wed 6/30/21	703
705			Write test classes	1 day	Thu 7/1/21	Thu 7/1/21	704
706			Submit completed capability to system test	1 day	Fri 7/2/21	Fri 7/2/21	705
707			**Sprint 2**	**20 days**	**Mon 7/5/21**	**Fri 7/30/21**	
730			**System Test**	**25 days**	**Mon 8/2/21**	**Fri 9/3/21**	
731			Create system test plan	5 days	Mon 8/2/21	Fri 8/6/21	729
732			Create system test scripts	5 days	Mon 8/9/21	Fri 8/13/21	731
733			Complete system test scripts	5 days	Mon 8/16/21	Fri 8/20/21	732
734			Address feedback from system tests	5 days	Mon 8/23/21	Fri 8/27/21	733
735			Submit completed capability to UAT	5 days	Mon 8/30/21	Fri 9/3/21	734
736			Build Complete - Core Solution	0 days	Fri 9/3/21	Fri 9/3/21	735
737			**User Acceptance Test**	**22 days**	**Mon 9/6/21**	**Tue 10/5/21**	
738			Create UAT plan	5 days	Mon 9/6/21	Fri 9/10/21	735
739			Create UAT test scripts	5 days	Mon 9/13/21	Fri 9/17/21	738
740			Complete UAT test scripts	4 days	Mon 9/20/21	Thu 9/23/21	739
741			Address feedback from UAT tests	4 days	Fri 9/24/21	Wed 9/29/21	740
742			Approve completion of UAT	4 days	Thu 9/30/21	Tue 10/5/21	741
743			UAT Complete - Core Solution	0 days	Tue 10/5/21	Tue 10/5/21	742
744			Delivery of End User Documentation	0 days	Tue 10/5/21	Tue 10/5/21	742
745			**Train**	**13 days**	**Wed 10/6/21**	**Fri 10/22/21**	

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
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Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
746			Training/Change Management Workshop	3 days	Wed 10/6/21	Fri 10/8/21	742
747			Stakeholder Interviews	2 days	Mon 10/11/21	Tue 10/12/21	746
748			Develop Training Plan	3 days	Mon 10/11/21	Wed 10/13/21	747SS
749			Schedule Training	3 days	Mon 10/11/21	Wed 10/13/21	747SS
750			Develop Change Management Plan	2 days	Mon 10/11/21	Tue 10/12/21	747SS
751			Develop Communications Plan	2 days	Mon 10/11/21	Tue 10/12/21	747SS
752			Train-The-Trainer	4 days	Wed 10/13/21	Mon 10/18/21	751
753			Fulfill Training Sessions	4 days	Tue 10/19/21	Fri 10/22/21	752
754			**Deploy**	**14 days**	**Mon 10/25/21**	**Thu 11/11/21**	
755			**Develop cutover plan**	**6 days**	**Mon 10/25/21**	**Mon 11/1/21**	
756			Identify the detailed steps, durations	2 days	Mon 10/25/21	Tue 10/26/21	753
757			Identify roles	2 days	Wed 10/27/21	Thu 10/28/21	756
758			Confirm timing	2 days	Fri 10/29/21	Mon 11/1/21	757
759			Code Migration	5 days	Tue 11/2/21	Mon 11/8/21	758
760			Acceptance of Phase 3 Completion	3 days	Tue 11/9/21	Thu 11/11/21	759
761			Phase 3 Go Live	0 days	Thu 11/11/21	Thu 11/11/21	754
762			**Project Phase 3 Acceptance**	**22 days**	**Wed 10/13/21**	**Thu 11/11/21**	

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
763			Complete and Finalize all project artifacts	22 days	Wed 10/13/21	Thu 11/11/21	
764			**Integration**	**59 days**	**Mon 6/7/21**	**Thu 8/26/21**	**665**
765			**External systems inbound data - Assessment Appeals**	**25 days**	**Mon 6/7/21**	**Fri 7/9/21**	
766			**Analysis & Design**	**6 days**	**Mon 6/7/21**	**Mon 6/14/21**	
767			Document requirements	2 days	Mon 6/7/21	Tue 6/8/21	683
768			Review requirements with County	1 day	Wed 6/9/21	Wed 6/9/21	767
769			Document technical design	2 days	Thu 6/10/21	Fri 6/11/21	768
770			Review design with County	1 day	Mon 6/14/21	Mon 6/14/21	769
771			**Build**	**14 days**	**Tue 6/15/21**	**Fri 7/2/21**	**766**
772			Review requirements & design	1 day	Tue 6/15/21	Tue 6/15/21	
773			Implement workflow and review	10 days	Wed 6/16/21	Tue 6/29/21	772
774			End to end testing, integrate with Monitoring UI	2 days	Wed 6/30/21	Thu 7/1/21	773

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Task		Inactive Summary		External Tasks	
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Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
775			Deploy and update documentation	1 day	Fri 7/2/21	Fri 7/2/21	774
776			**QA**	**22 days**	**Thu 6/10/21**	**Fri 7/9/21**	**768**
777			Create test plan	1 day	Thu 6/10/21	Thu 6/10/21	
778			Create test scripts	3 days	Fri 6/11/21	Tue 6/15/21	777
779			Review test scripts	1 day	Wed 6/16/21	Wed 6/16/21	778
780			Execute test cycles	5 days	Mon 7/5/21	Fri 7/9/21	775,779
781			**External systems outbound data - Election's office**	**33 days**	**Tue 6/15/21**	**Thu 7/29/21**	
782			**Analysis & Design**	**6 days**	**Tue 6/15/21**	**Tue 6/22/21**	**766**
783			Document requirements	2 days	Tue 6/15/21	Wed 6/16/21	
784			Review requirements with County	1 day	Thu 6/17/21	Thu 6/17/21	783
785			Document technical design	2 days	Fri 6/18/21	Mon 6/21/21	784
786			Review design with County	1 day	Tue 6/22/21	Tue 6/22/21	785
787			**Build**	**14 days**	**Mon 7/5/21**	**Thu 7/22/21**	**771,782**
788			Review requirements & design	1 day	Mon 7/5/21	Mon 7/5/21	
789			Implement workflow and review	10 days	Tue 7/6/21	Mon 7/19/21	788
790			End to end testing, integrate with Monitoring UI	2 days	Tue 7/20/21	Wed 7/21/21	789

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Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
791			Deploy and update documentation	1 day	Thu 7/22/21	Thu 7/22/21	790
792			**QA**	**14 days**	**Mon 7/12/21**	**Thu 7/29/21**	**776,784**
793			Create test plan	1 day	Mon 7/12/21	Mon 7/12/21	
794			Create test scripts	3 days	Tue 7/13/21	Thu 7/15/21	793
795			Review test scripts	1 day	Fri 7/16/21	Fri 7/16/21	794
796			Execute test cycles	5 days	Fri 7/23/21	Thu 7/29/21	791,795
797			**System Test**	**20 days**	**Thu 7/29/21**	**Thu 8/26/21**	**781**
798			Build Complete - Integration	0 days	Thu 7/29/21	Thu 7/29/21	
799			User Acceptance Test	20 days	Fri 7/30/21	Thu 8/26/21	
800			UAT Complete - Integration	0 days	Thu 7/29/21	Thu 7/29/21	
801			**Support**	**652 days**	**Fri 8/14/20**	**Mon 2/13/23**	
802			Support - Phase 1	261 days	Fri 8/14/20	Fri 8/13/21	
803			Support - Phase 1 & 2	131 days	Sat 8/14/21	Fri 2/11/22	

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Split	Manual Task	External Milestone
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Inactive Task	Start-only	
Inactive Milestone	Finish-only	

ID		Task Mode	Task Name	Duration	Start	Finish	Predecessors
804			Support - On going after Phase 3	262 days	Sat 2/12/22	Mon 2/13/23	
805			**Warranty**	**457 days**	**Thu 5/14/20**	**Fri 2/11/22**	
806			Phase 1 Warranty	66 days	Thu 5/14/20	Thu 8/13/20	
807			Phase 2 Warranty	66 days	Fri 5/14/21	Fri 8/13/21	
808			Phase 3 Warranty	66 days	Fri 11/12/21	Fri 2/11/22	

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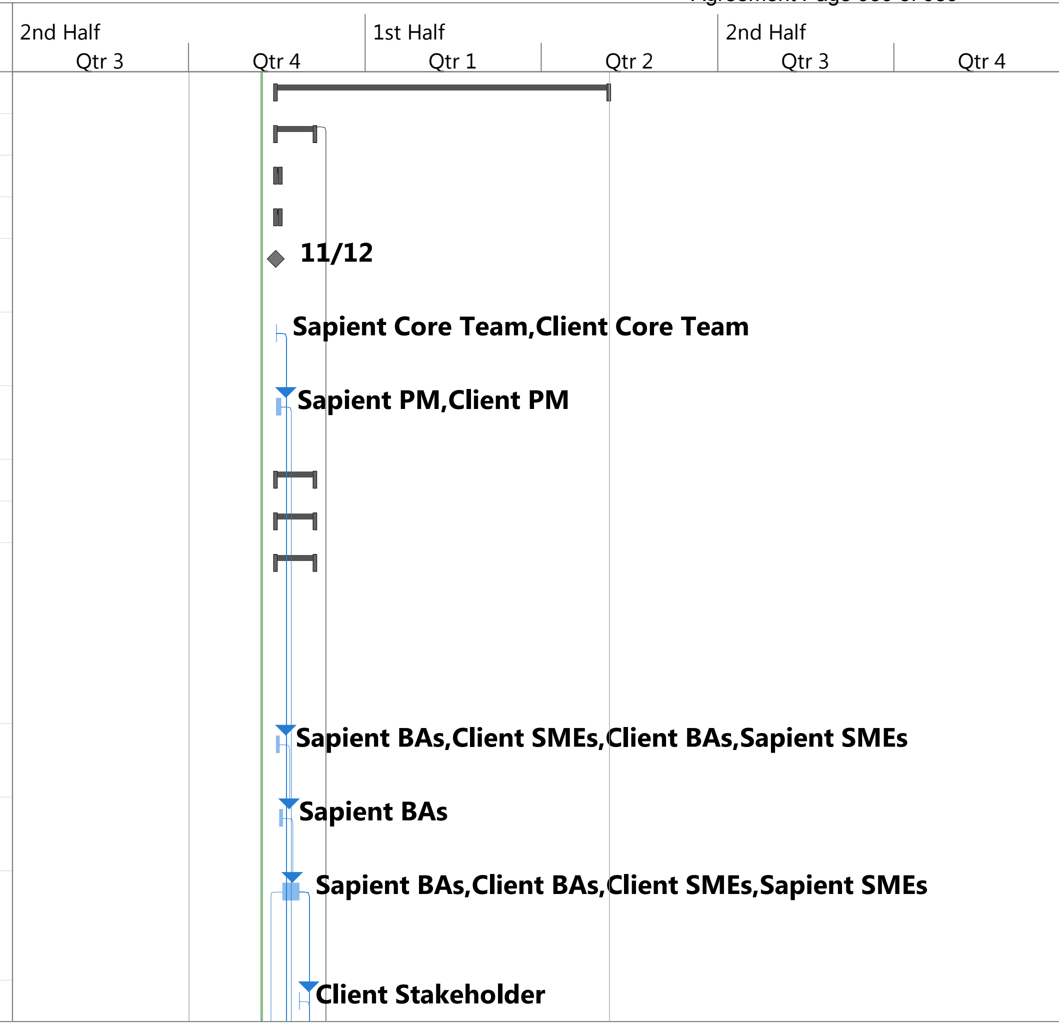
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Core Team,Client Core Team	
Sapient Core Team,Client Core Team	
Sapient PM,Client PM	Project Mgt Rpt, Regular Reporting Status
Sapient BAs,Client SMEs,Client BAs,Sapient SMEs	Business Process Flows
Sapient BAs	
Sapient BAs,Client BAs,Client SMEs,Sapient SMEs	Requirements Tracability, Business Requirements
Client Stakeholder	



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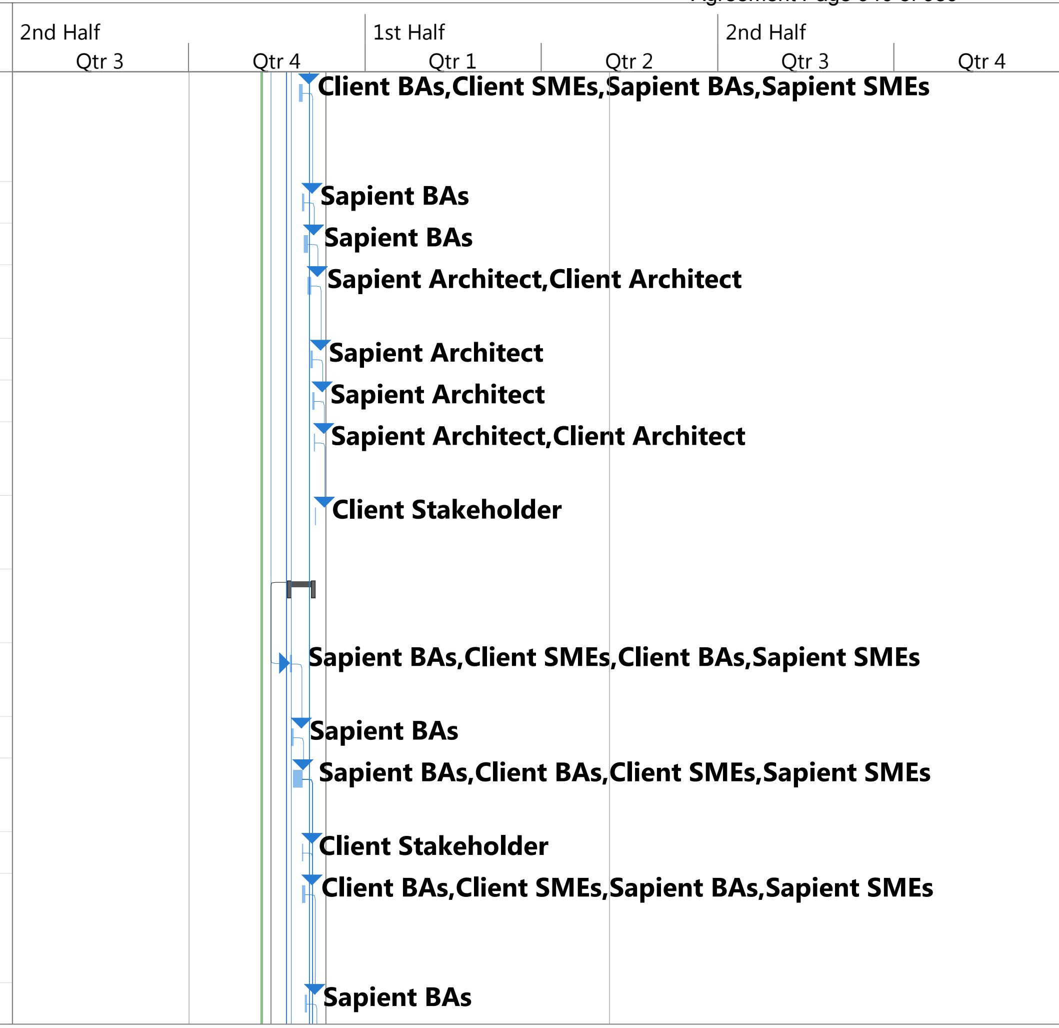
Resource Names	Deliverable
Client BAs,Client SMEs,Sapient BAs,Sapient SMEs	Business Rules Specification, Software Requirements Specifications (SRS)
Sapient BAs	
Sapient BAs	
Sapient Architect,Client Architect	System Design and Development Strategy
Sapient Architect	Functional Design
Sapient Architect	Technical Design
Sapient Architect,Client Architect	
Client Stakeholder	
Sapient BAs,Client SMEs,Client BAs,Sapient SMEs	Business Process Flows
Sapient BAs	
Sapient BAs,Client BAs,Client SMEs,Sapient SMEs	Requirements Tracability, Business Requirements
Client Stakeholder	
Client BAs,Client SMEs,Sapient BAs,Sapient SMEs	Business Rules Specification, Software Requirements Specifications (SRS)
Sapient BAs	



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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
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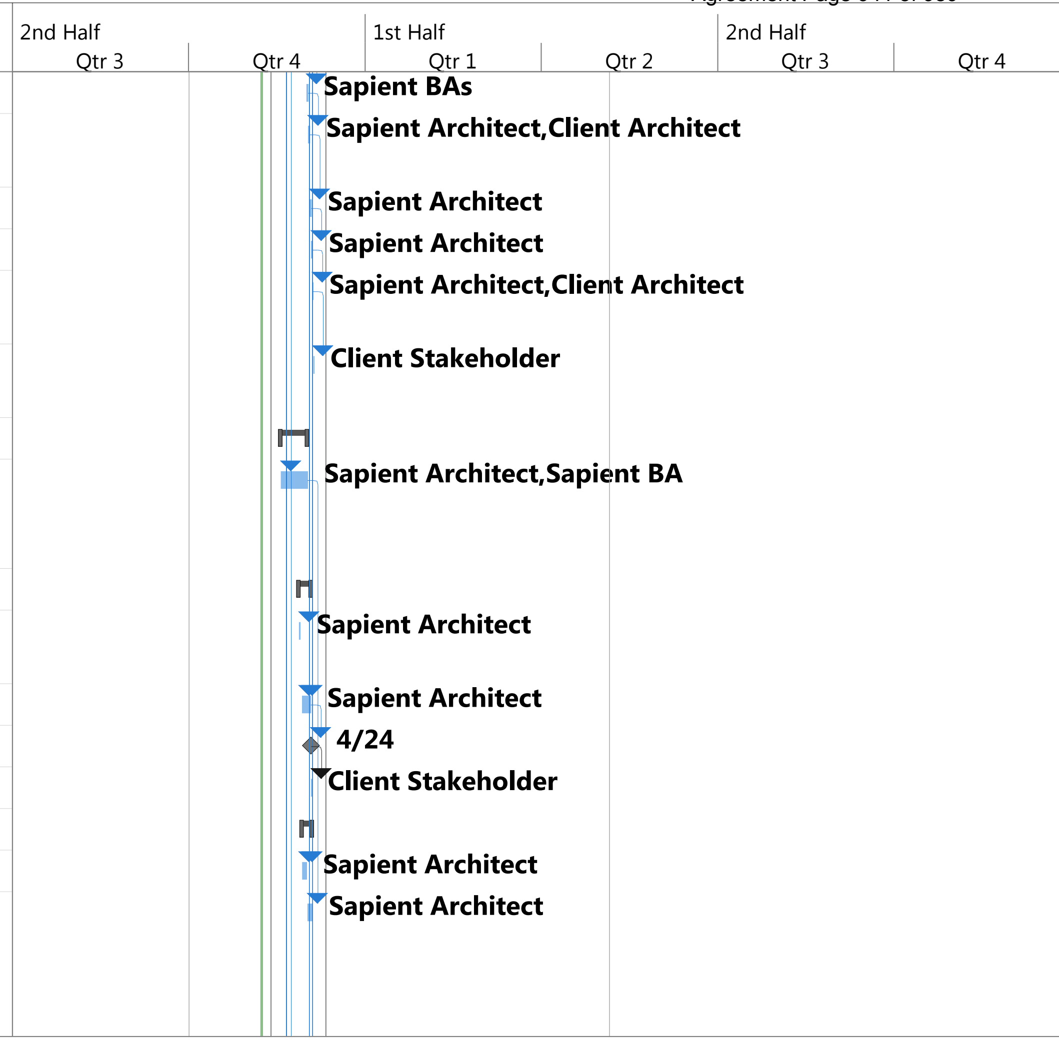
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient BAs	
Sapient Architect,Client Architect	System Design and Development Strategy
Sapient Architect	Functional Design
Sapient Architect	Technical Design
Sapient Architect,Client Architect	
Client Stakeholder	
Sapient Architect,Sapient BA	Interface Specification and Design Doc
	Prototype (in Salesforce)
Sapient Architect	
Sapient Architect	
Sapient BAs	
Client Stakeholder	
	High Level Design Doc
Sapient Architect	Data Model
Sapient Architect	Technology Architecture Specification, Application and Data Architecture, Final Architecture, Environment Specification Doc



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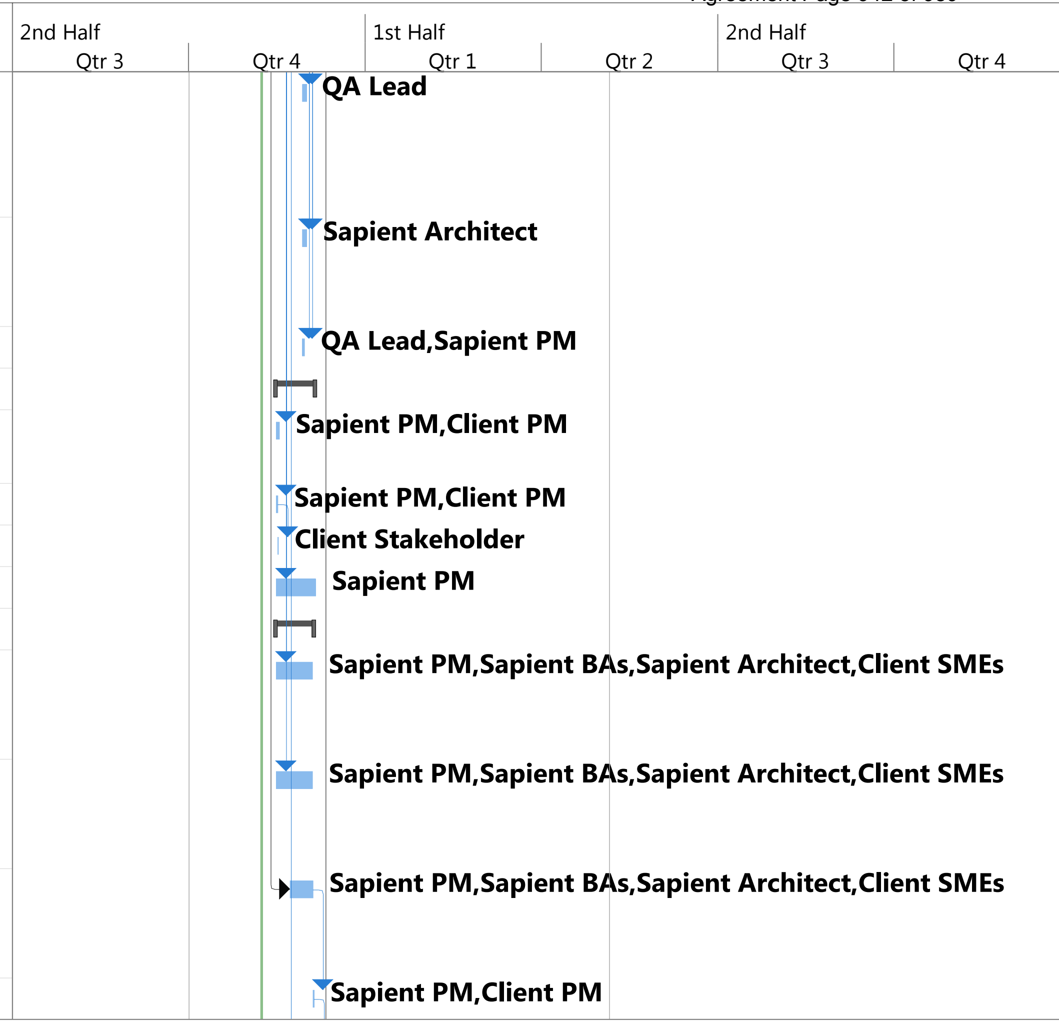
Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

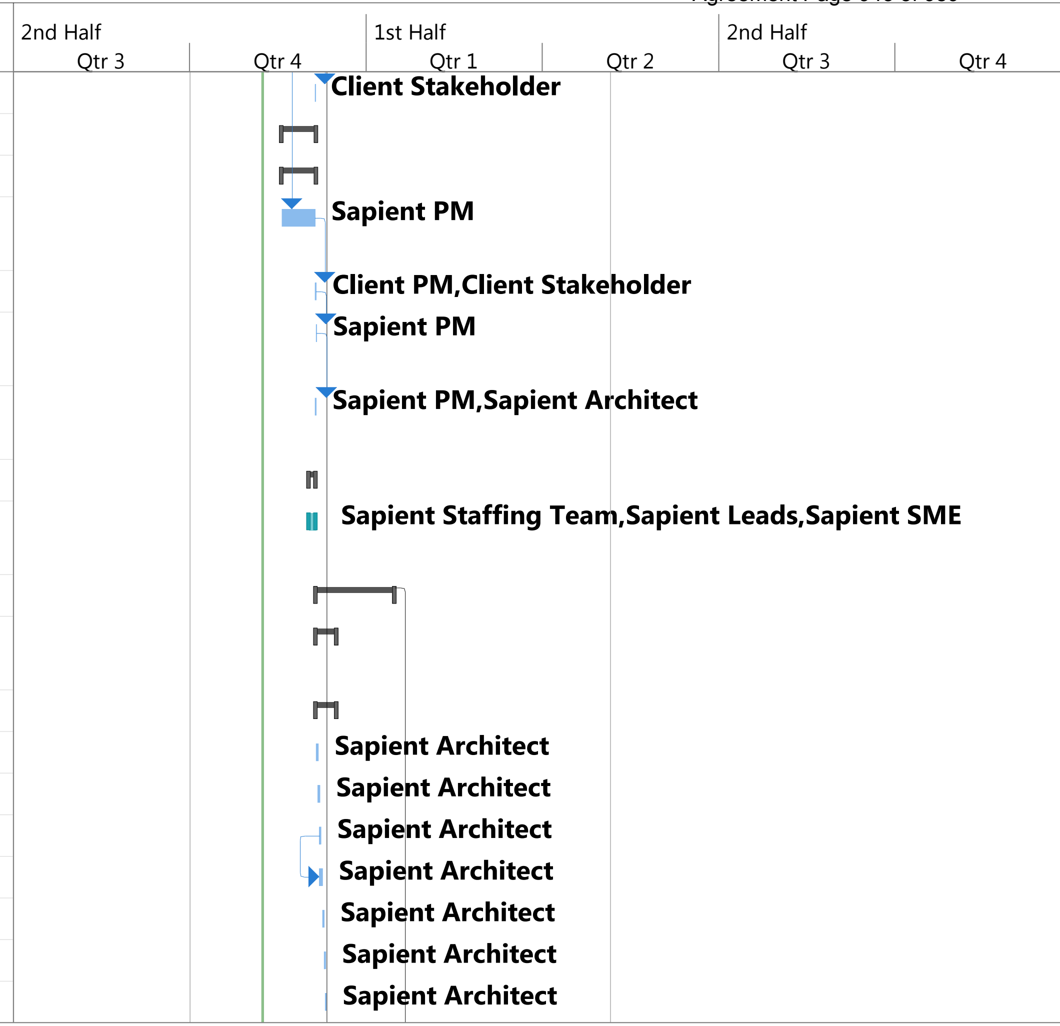
Resource Names	Deliverable
QA Lead	Master Testing Strategy (Test Test strategy, UAT, Unit testing, regression, progression), System Implementation plan
Sapient Architect	Data Migration Strategy Doc, Data Transformation and Load Strategy, Environment Specification Doc
QA Lead,Sapient PM	Maintenance and Operations Plan
Sapient PM,Client PM	Goverance Doc - process, approval structure,
Sapient PM,Client PM	
Client Stakeholder	
Sapient PM	Monthly status report
Sapient PM,Sapient BAs,Sapient Architect,Client SMEs	
Sapient PM,Sapient BAs,Sapient Architect,Client SMEs	
Sapient PM,Sapient BAs,Sapient Architect,Client SMEs	
Sapient PM,Client PM	Risk Plan



Project: San Mateo Work Plan - Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Client Stakeholder	
Sapient PM	Project Plan
Client PM,Client Stakeholder	
Sapient PM	
Sapient PM,Sapient Architect	
Sapient Staffing Team,Sapient Leads,Sapient SME	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	



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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable	2nd Half: Qtr 3, Qtr 4 / 1st Half: Qtr 1, Qtr 2 / 2nd Half: Qtr 3, Qtr 4
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect		Sapient Architect
Sapient Architect	Environment Specification Doc	Sapient Architect
Client Architect,Sapient Data Architect	Environment Specification Doc	Client Architect,Sapient Data Architect
Sapient Architect	Environment Specification Doc	Sapient Architect
Sapient Architect	Environment Specification Doc	Sapient Architect
Sapient Architect	Inbound Batch Framework design	Sapient Architect
Client Architect,Sapient Data Architect		Client Architect,Sapient Data Architect
Sapient Architect		Sapient Architect
Sapient Architect	Outbound Batch Framework design	Sapient Architect
Client Architect,Sapient Data Architect		Client Architect,Sapient Data Architect

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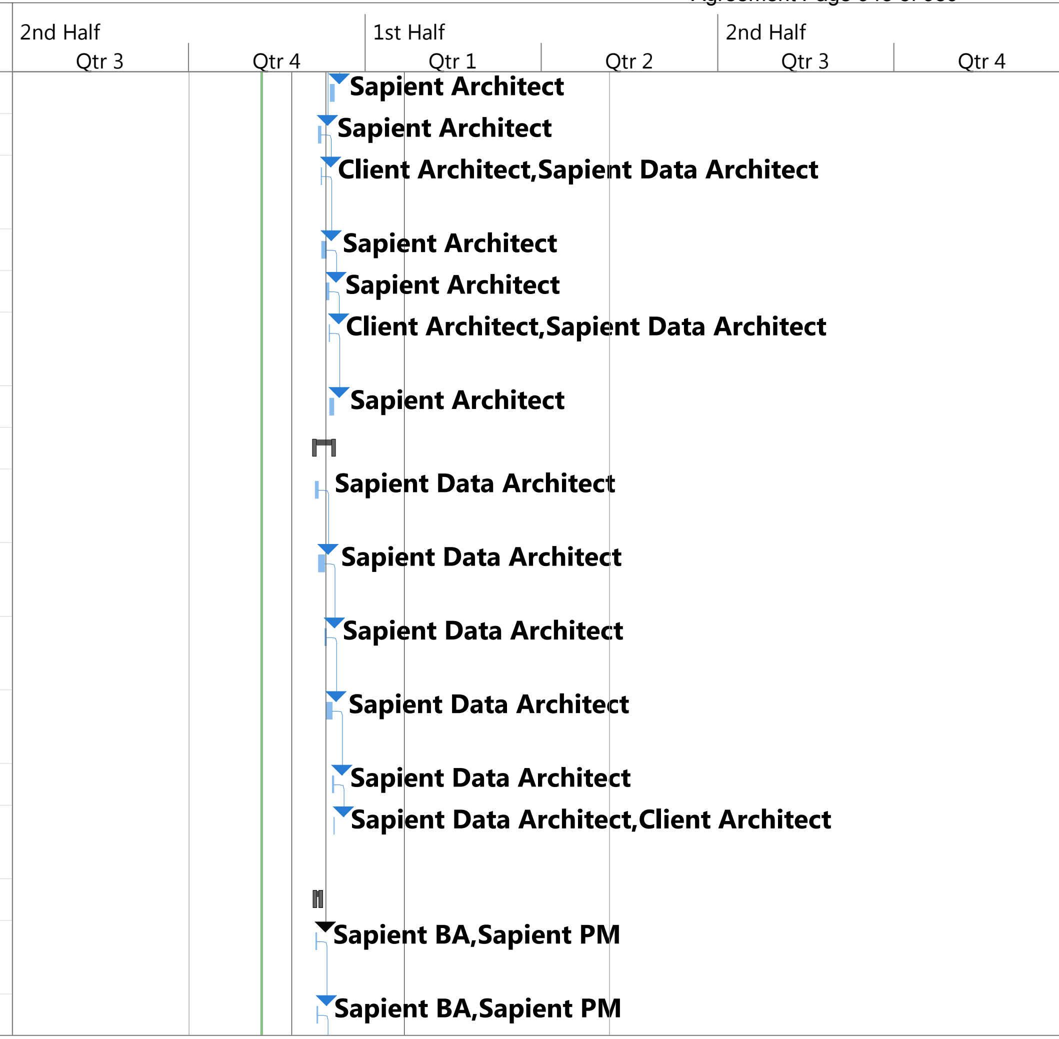
Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Architect	
Sapient Architect	
Client Architect,Sapient Data Architect	
Sapient Architect	
Sapient Architect	
Client Architect,Sapient Data Architect	
Sapient Architect	
Sapient Data Architect	Data Model
Sapient Data Architect	Design Doc
Sapient Data Architect	Data Flow Diagram
Sapient Data Architect	Data Transformation & Load, Synchronization
Sapient Data Architect	Operations Report
Sapient Data Architect,Client Architect	
Sapient BA,Sapient PM	System Development Plan
Sapient BA,Sapient PM	



Project: San Mateo Work Plan - Date: Fri 9/7/18

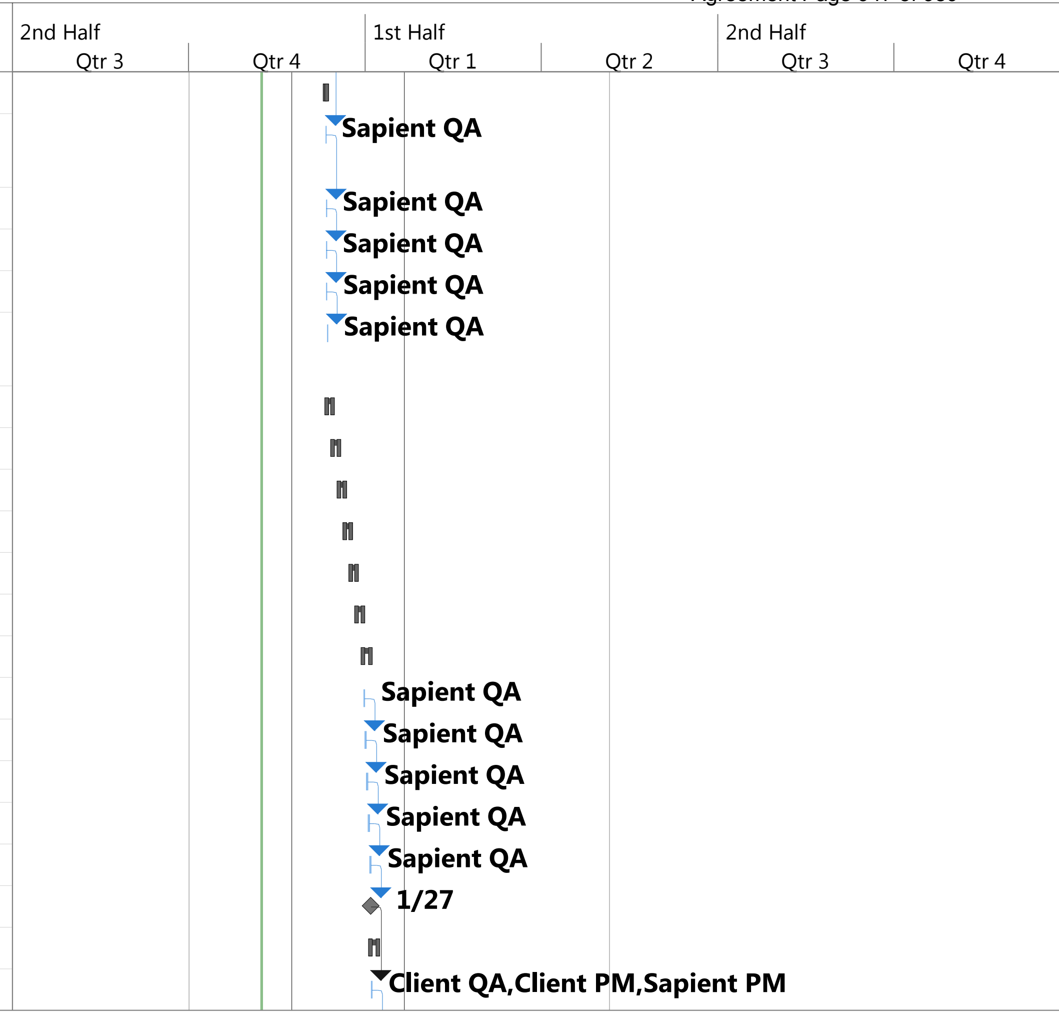
Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable	2nd Half: Qtr 3, Qtr 4; 1st Half: Qtr 1, Qtr 2; 2nd Half: Qtr 3, Qtr 4
Sapient BA,Sapient PM,Client PM		Sapient BA,Sapient PM,Client PM
Sapient BA,Client Product Owner		Sapient BA,Client Product Owner
Client PM	Phase 1 Work Plan	Client PM
	***Sprint 2- 7 Task repeats**	
Sapient Developers,Sapient PM		Sapient Developers,Sapient PM
Sapient Developers		Sapient Developers
	Completed user stories	
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient PM,Client PM,Sapient Developers,Client Product Owner		Sapient PM,Client PM,Sapient Developers,Client Product O
Sapient PM,Client PM,Sapient Dev		Sapient PM,Client PM,Sapient Developers
Sapient Developers		Sapient Developers
Sapient PM,Sapient Developers,Cli		Sapient PM,Sapient Developers,Client PM,Client Product O

Project: San Mateo Work Plan - Date: Fri 9/7/18

Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

Resource Names	Deliverable
Sapient QA	
Sapient QA	
Sapient QA	
Sapient QA	
Sapient QA	
Sapient QA	Completed iteration
Sapient QA	System Test Plan
Sapient QA	System Test Scripts
Sapient QA	System Test Results
Sapient QA	
Sapient QA	
Sapient Integration Architect	
Client QA,Client PM,Sapient PM	UAT Plan



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Split	Manual Task	External Milestone
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Project Summary	Manual Summary	Manual Progress
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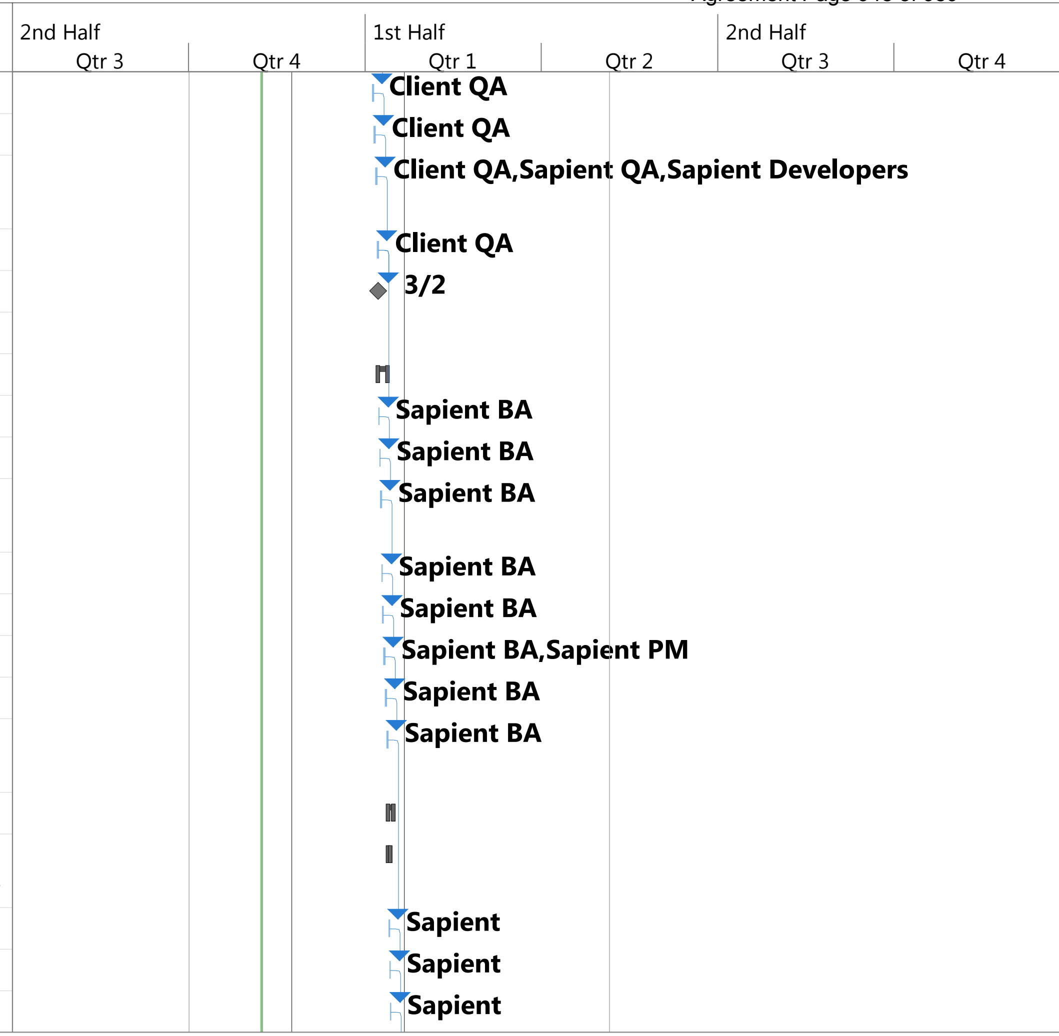
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Client QA	UAT Test Scripts
Client QA	
Client QA,Sapient QA,Sapient Developers	System Defect Resolution Reports
Client QA	
Client PM	
Sapient QA	
Sapient BA	
Sapient BA	
Sapient BA	Training Plan, Training Guides, Manuals, Materials
Sapient BA	Training Schedule
Sapient BA	Change Mgmt Plan
Sapient BA,Sapient PM	Communications Plan
Sapient BA	Train-The-Trainer Presentation
Sapient BA	Documented Evidence of Successful End-User Training
	Deployment Plan, Release Readiness Evaluations and Reports
Sapient	
Sapient	
Sapient	



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Split	Manual Task	External Milestone
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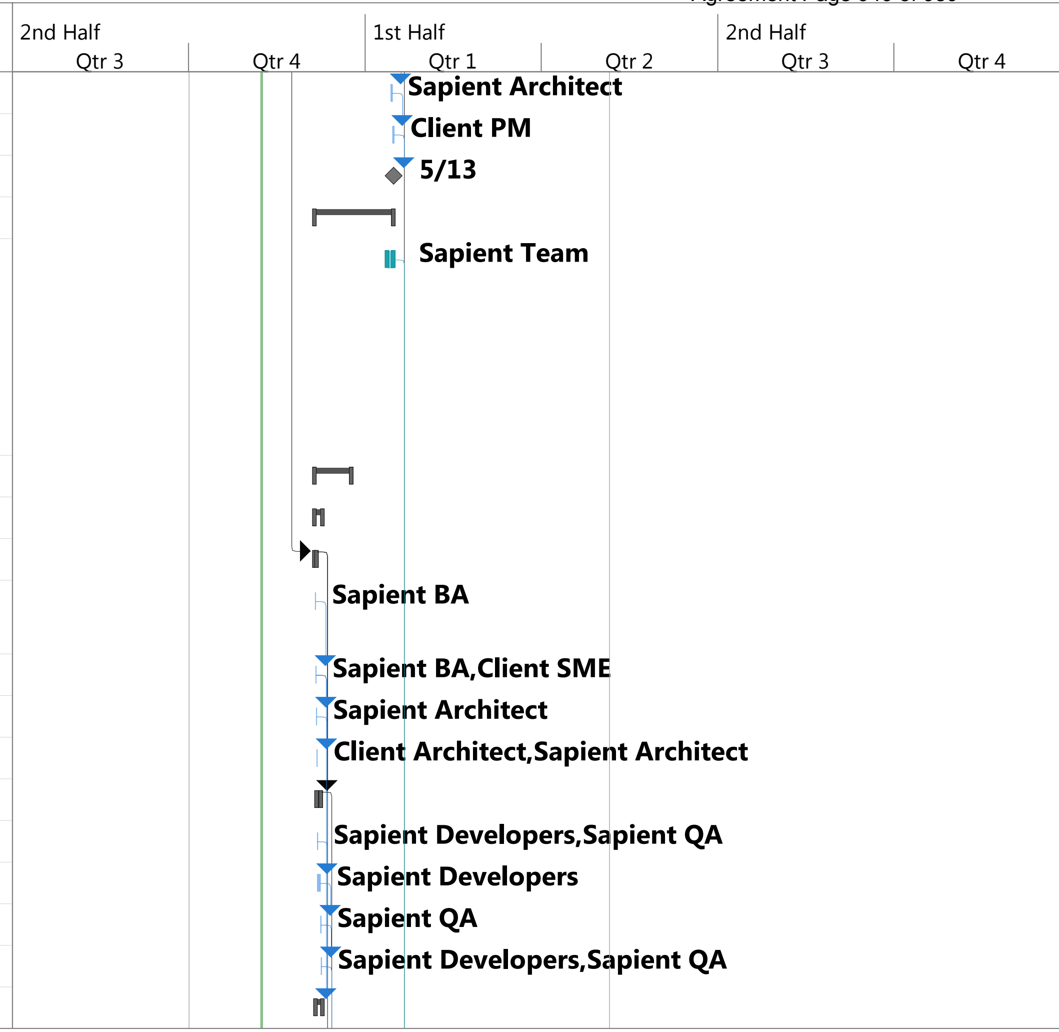
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Architect	
Client PM	
Sapient Team	Project Artifacts, Documented Implementation Project Closeout, System Source Code and Documentation, System Maintenance, Support and Transition Plan
Sapient BA	Requirements Tracability, Business Requirements
Sapient BA,Client SME	
Sapient Architect	
Client Architect,Sapient Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	



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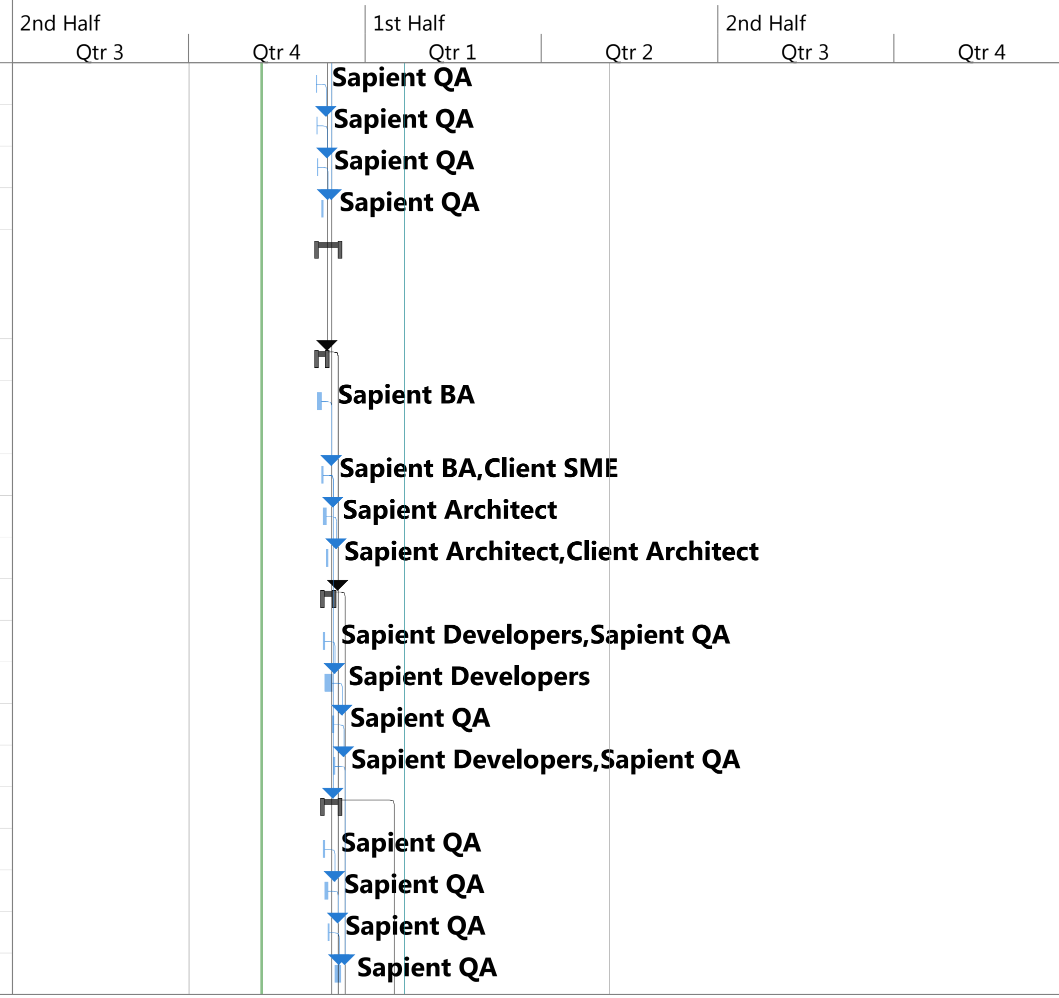
Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

Resource Names	Deliverable
Sapient QA	UAT Plan
Sapient QA	UAT Test Scripts
Sapient QA	Defect Resolution Reports
Sapient QA	
Sapient BA	Requirements Tracability, Business Requirements
Sapient BA,Client SME	
Sapient Architect	
Sapient Architect,Client Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	
Sapient QA	UAT Plan
Sapient QA	UAT Test Scripts
Sapient QA	Defect Resolution Reports
Sapient QA	



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Task
Split
Milestone
Summary
Project Summary
Inactive Task
Inactive Milestone
Inactive Summary
Manual Task
Duration-only
Manual Summary Rollup
Manual Summary
Start-only
Finish-only
External Tasks
External Milestone
Deadline
Progress
Manual Progress

Resource Names	Deliverable
Sapient BA	Requirements Tracability, Business Requirements
Sapient BA,Client SME	
Sapient Architect	
Sapient Architect,Client Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	
Sapient QA	
Sapient QA	
Sapient QA	Defect Resolution Reports
Sapient QA	
Sapient BA	

Project: San Mateo Work Plan - Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient BA,Client SME	
Sapient Architect	
Sapient Architect,Client Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	
Sapient QA	UAT Plan
Sapient QA	UAT Test Scripts
Sapient QA	Defect Resolution Reports
Sapient QA	
Sapient BA	
Sapient BA,Client SME	
Sapient Architect	
Sapient Architect,Client Architect	
Sapient Developers,Sapient QA	
Sapient Developers	

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Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
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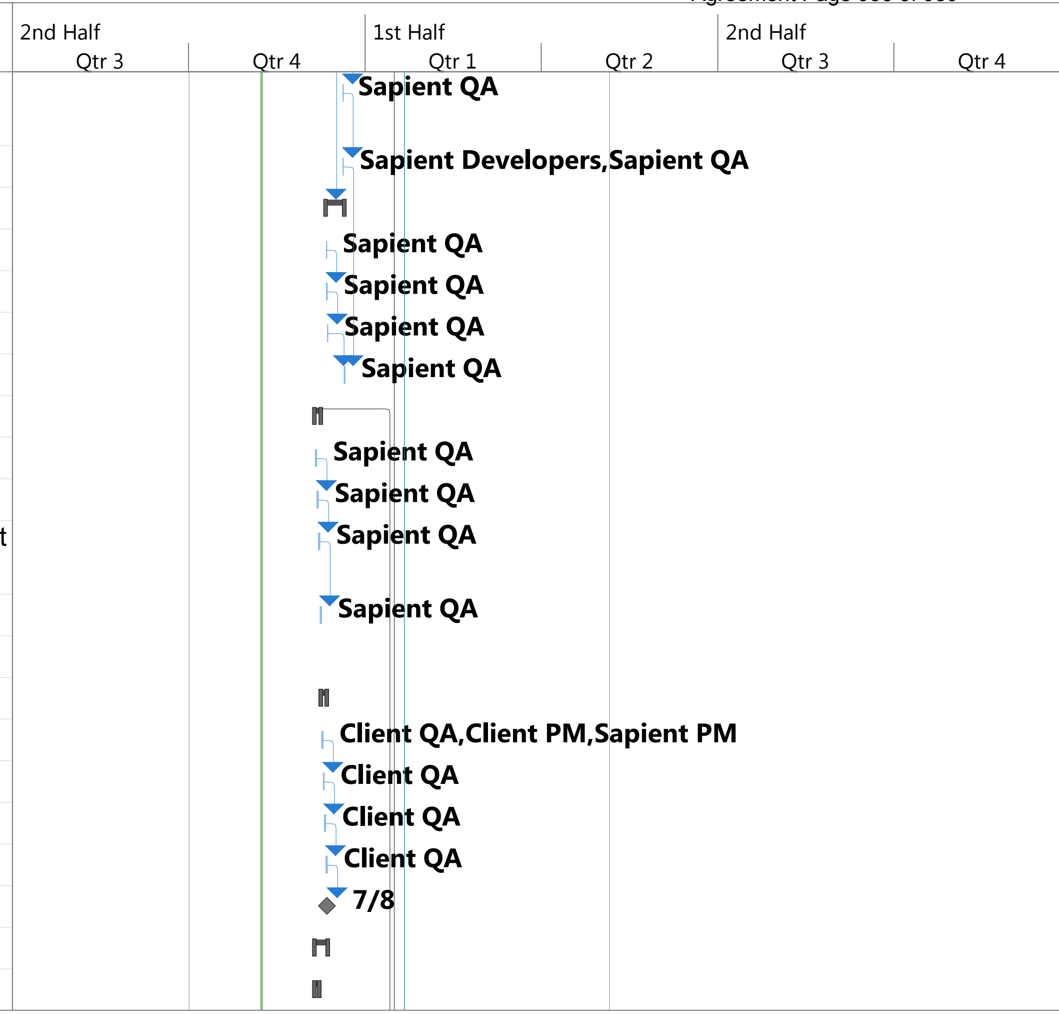
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient QA	
Sapient Developers,Sapient QA	
Sapient QA	UAT Plan
Sapient QA	UAT Test Scripts
Sapient QA	Defect Resolution Reports
Sapient QA	
Sapient QA	System Test Plan
Sapient QA	System Test Scripts
Sapient QA	System Test Results, System Defect Resolution Reports
Sapient QA	
Sapient Integration Architect	
Client QA,Client PM,Sapient PM	UAT Plan
Client QA	UAT Test Scripts
Client QA	Defect Resolution Reports
Client QA	
Client PM	



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Split	Manual Task	External Milestone
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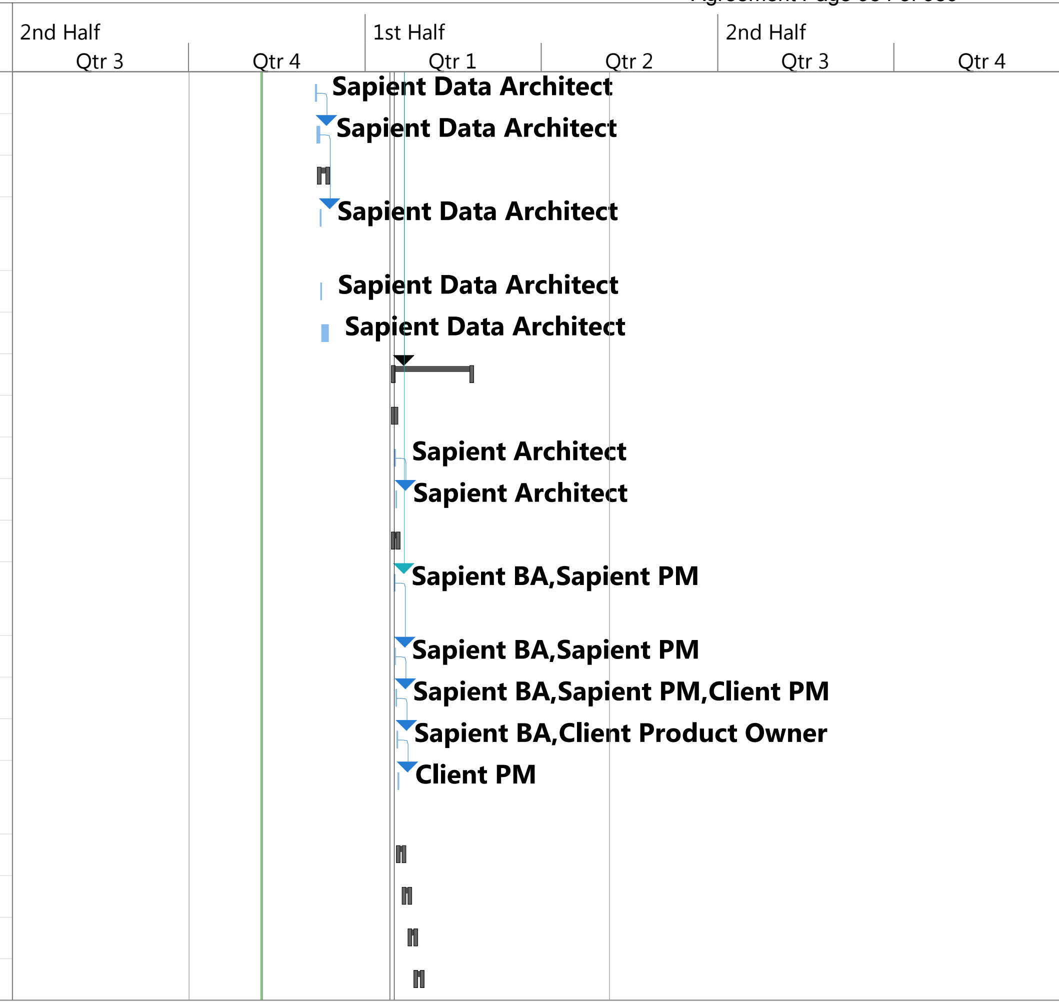
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Data Architect	
Sapient Data Architect	
Sapient Data Architect	Data Transformation and Load Strategy
Sapient Data Architect	
Sapient Data Architect	
Sapient Architect	
Sapient Architect	
Sapient BA,Sapient PM	System Development Plan
Sapient BA,Sapient PM	
Sapient BA,Sapient PM,Client PM	
Sapient BA,Client Product Owner	
Client PM	Phase 2 Work Plan
	*Sprint 2- 7 Task repeats



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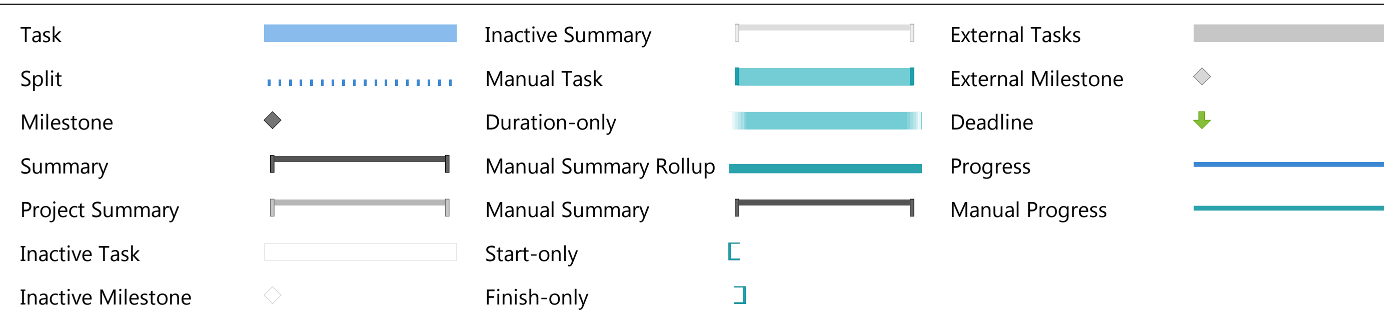

Resource Names	Deliverable
Sapient QA	System Test Plan
Sapient QA	System Test Scripts
Sapient QA	
Sapient QA	System Defect Resolution Reports
Sapient QA	
Sapient Integration Architect	
Client QA,Client PM,Sapient PM	UAT Plan
Client QA	UAT Test Scripts
Client QA	
Client QA,Sapient QA,Sapient Developers	System Defect Resolution Reports
Client QA	
Client PM	
Sapient QA	

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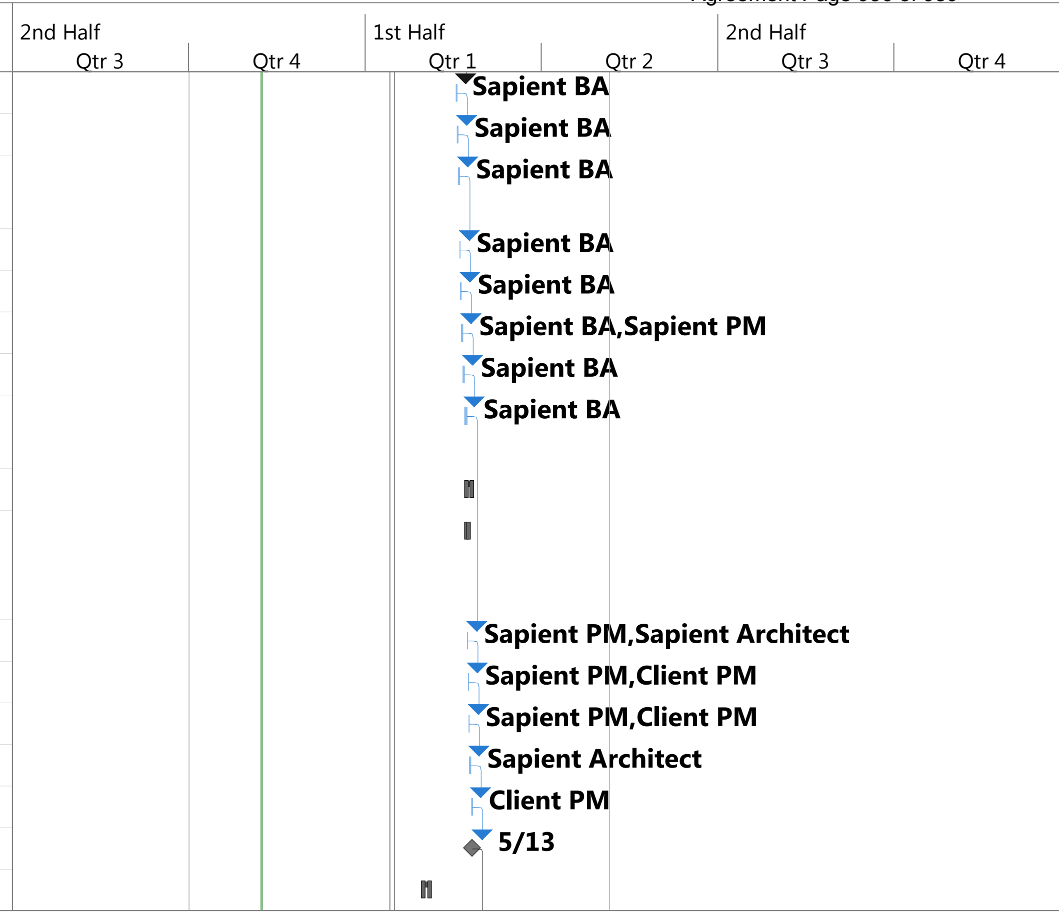
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient BA	
Sapient BA	
Sapient BA	Training Plan, Training Guides, Manuals, Materials
Sapient BA	Training Schedule
Sapient BA	Change Mgmt Plan
Sapient BA,Sapient PM	Communications Plan
Sapient BA	Train-The-Trainer Presentation
Sapient BA	Documented Evidence of Successful End-User Training
	Deployment Plan, Release Readiness Evaluations and Reports
Sapient PM,Sapient Architect	
Sapient PM,Client PM	
Sapient PM,Client PM	
Sapient Architect	
Client PM	



Project: San Mateo Work Plan -
Date: Fri 9/7/18

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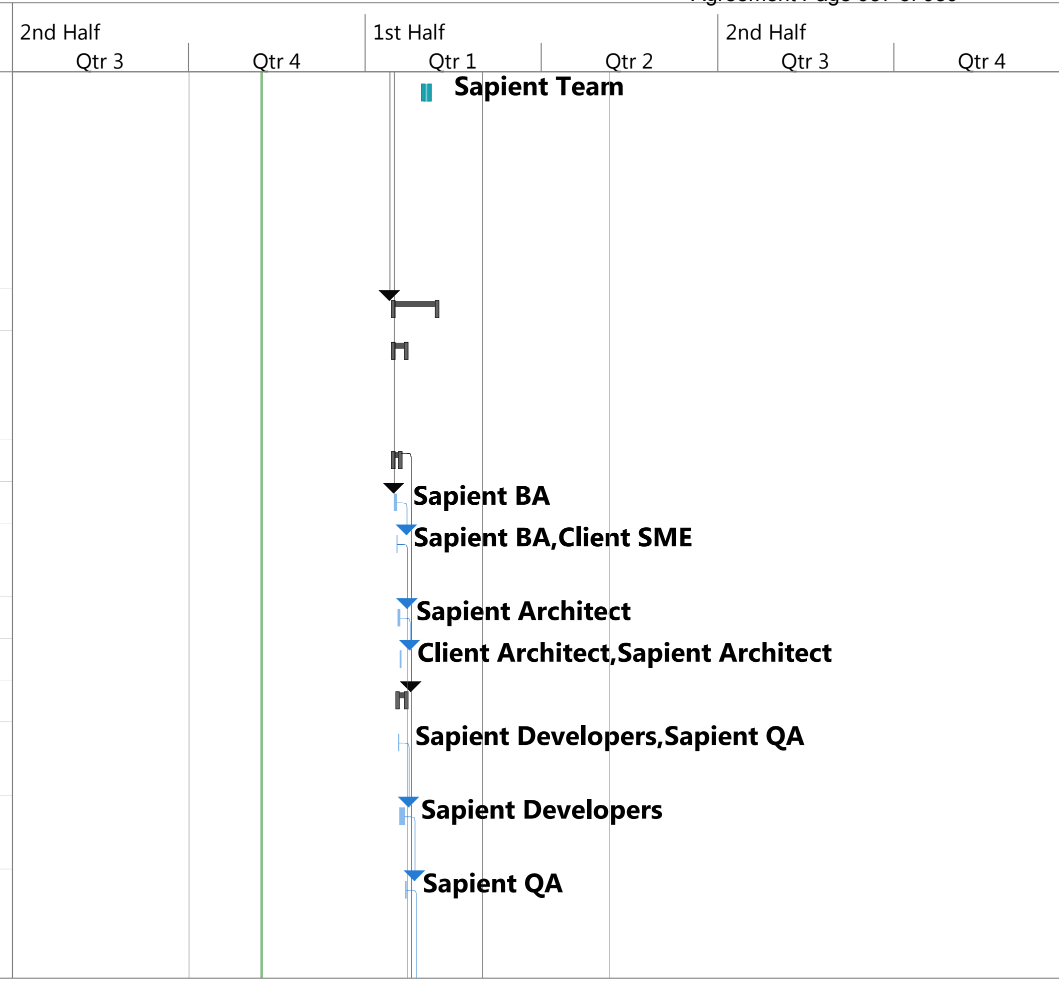
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

Resource Names	Deliverable
Sapient Team	Project Artifacts, Documented Implementation Project Closeout, System Source Code and Documentation, System Maintenance, Support and Transition Plan
Sapient BA	
Sapient BA,Client SME	
Sapient Architect	
Client Architect,Sapient Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	



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Project Summary	Manual Summary	Manual Progress
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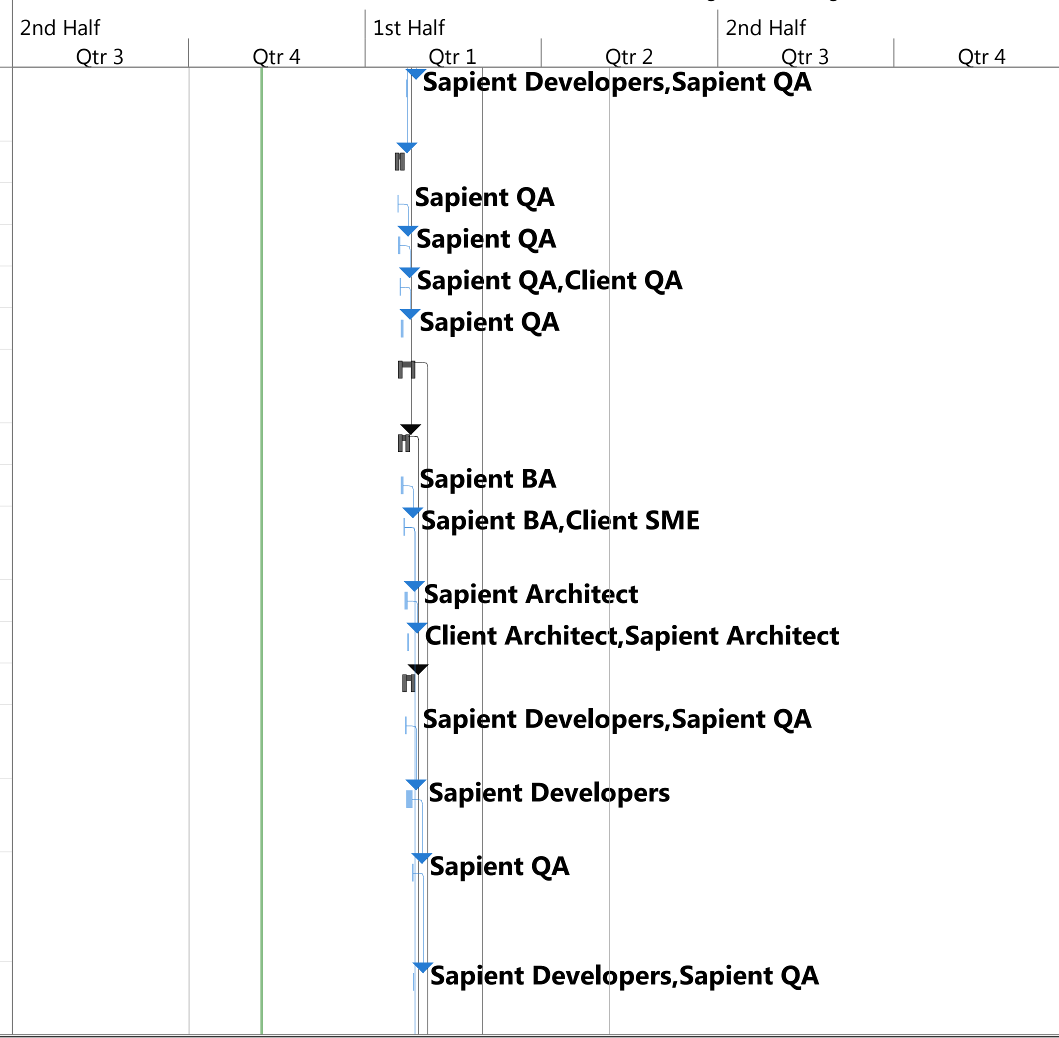
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Developers,Sapient QA	
Sapient QA	Unit Test Plan
Sapient QA	Unit Test Scripts
Sapient QA,Client QA	Defect Resolution Reports
Sapient QA	
Sapient BA	
Sapient BA,Client SME	
Sapient Architect	
Client Architect,Sapient Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	



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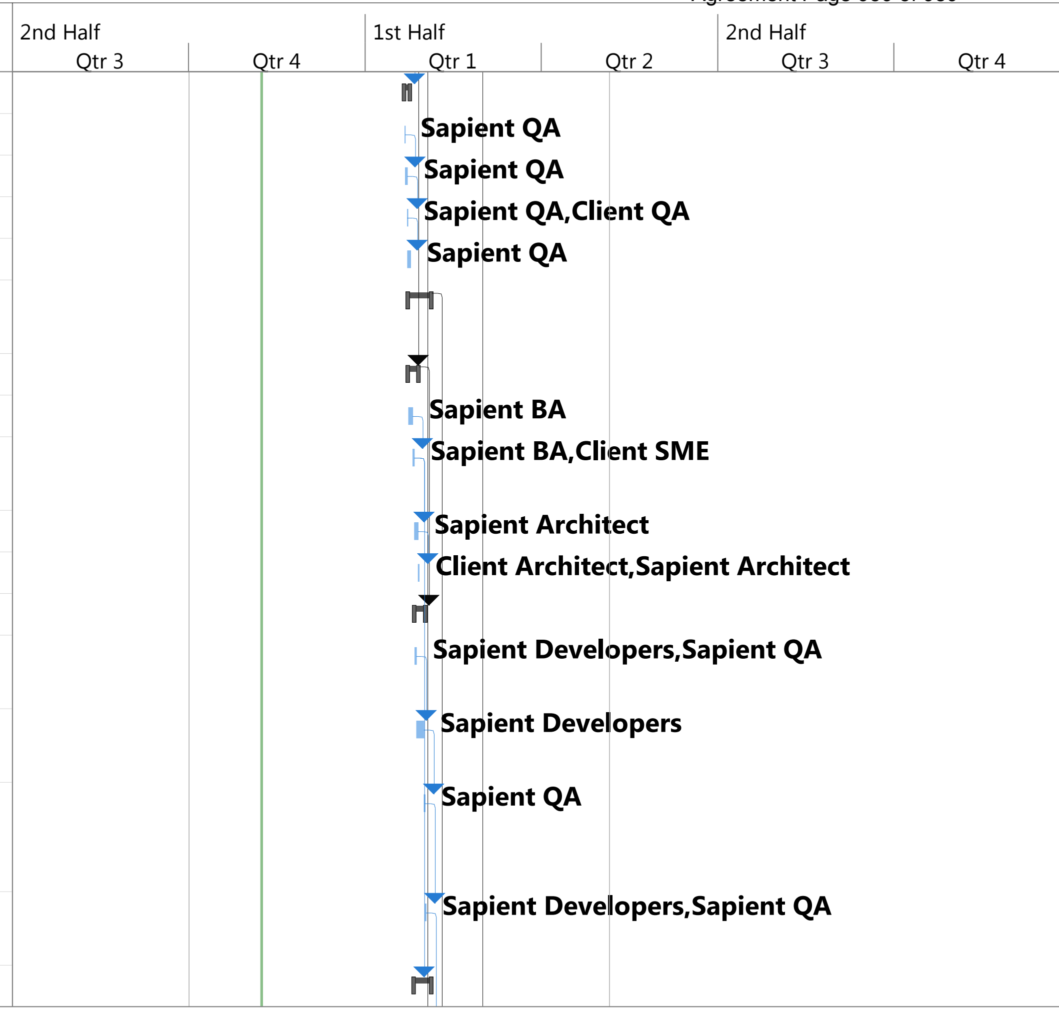
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

Resource Names	Deliverable
Sapient QA	Unit Test Plan
Sapient QA	Unit Test Scripts
Sapient QA,Client QA	Defect Resolution Reports
Sapient QA	
Sapient BA	
Sapient BA,Client SME	
Sapient Architect	
Client Architect,Sapient Architect	
Sapient Developers,Sapient QA	
Sapient Developers	
Sapient QA	
Sapient Developers,Sapient QA	



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Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
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Project Summary	Manual Summary	Manual Progress
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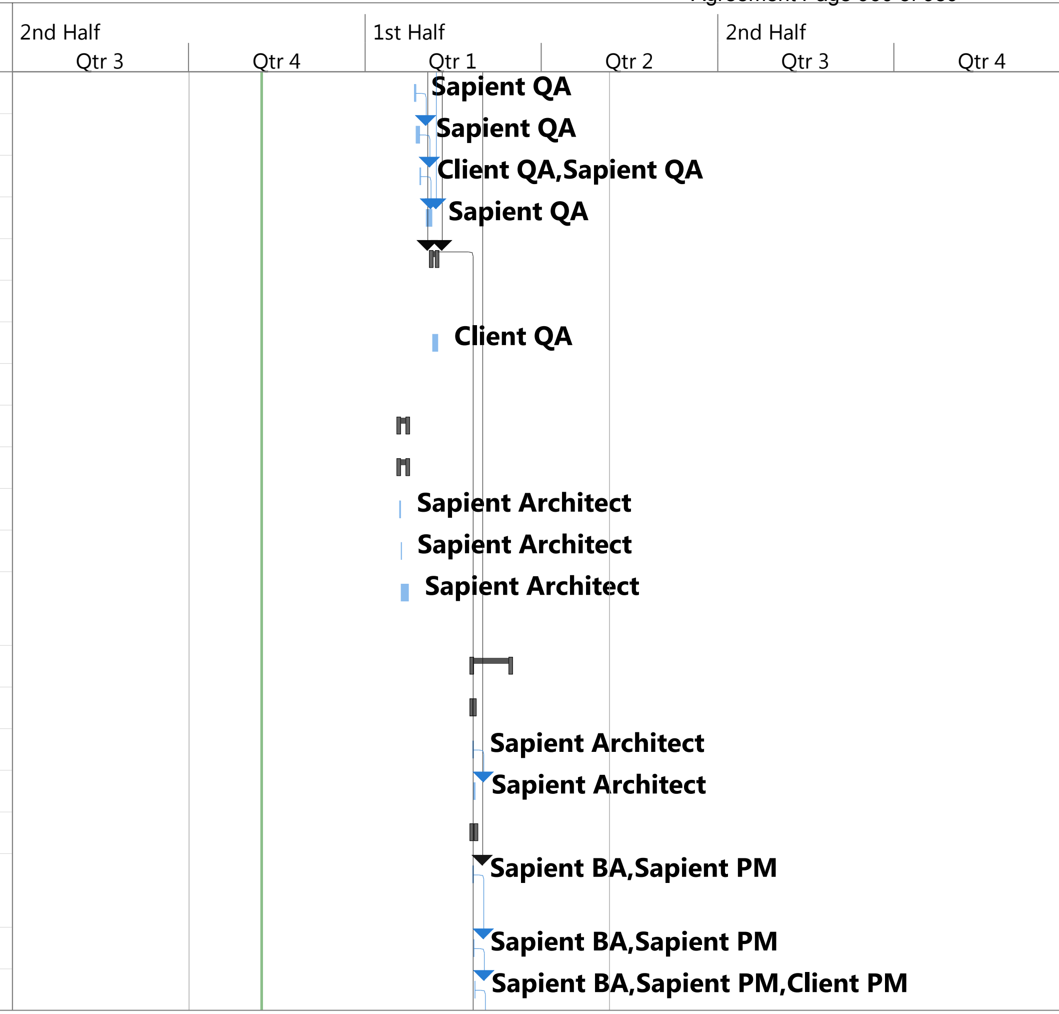
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient QA	Unit Test Plan
Sapient QA	Unit Test Scripts
Client QA,Sapient QA	Defect Resolution Reports
Sapient QA	
Sapient Architect	
Client QA	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient Architect	
Sapient BA,Sapient PM	System Development Plan
Sapient BA,Sapient PM	
Sapient BA,Sapient PM,Client PM	



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Task	Inactive Summary	External Tasks
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Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable	2nd Half: Qtr 3, Qtr 4; 1st Half: Qtr 1, Qtr 2; 2nd Half: Qtr 3, Qtr 4
Sapient BA,Client Product Owner		Sapient BA,Client Product Owner
Client PM	Phase 3 Work Plan	Client PM
	*Sprint 2 Task repeats	
Sapient Developers,Sapient PM		Sapient Developers,Sapient PM
Sapient Developers		Sapient Developers
	Completed user stories	
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient Developers		Sapient Developers
Sapient PM,Client PM,Sapient Deve		Sapient PM,Client PM,Sapient Developers,Clie
Sapient PM,Client PM,Sapient Deve		Sapient PM,Client PM,Sapient Developers
Sapient Developers		Sapient Developers
Sapient PM,Sapient Developers,Cli		Sapient PM,Sapient Developers,Client PM,Clie
Sapient QA		
Sapient QA		Sapient QA
Sapient QA		Sapient QA

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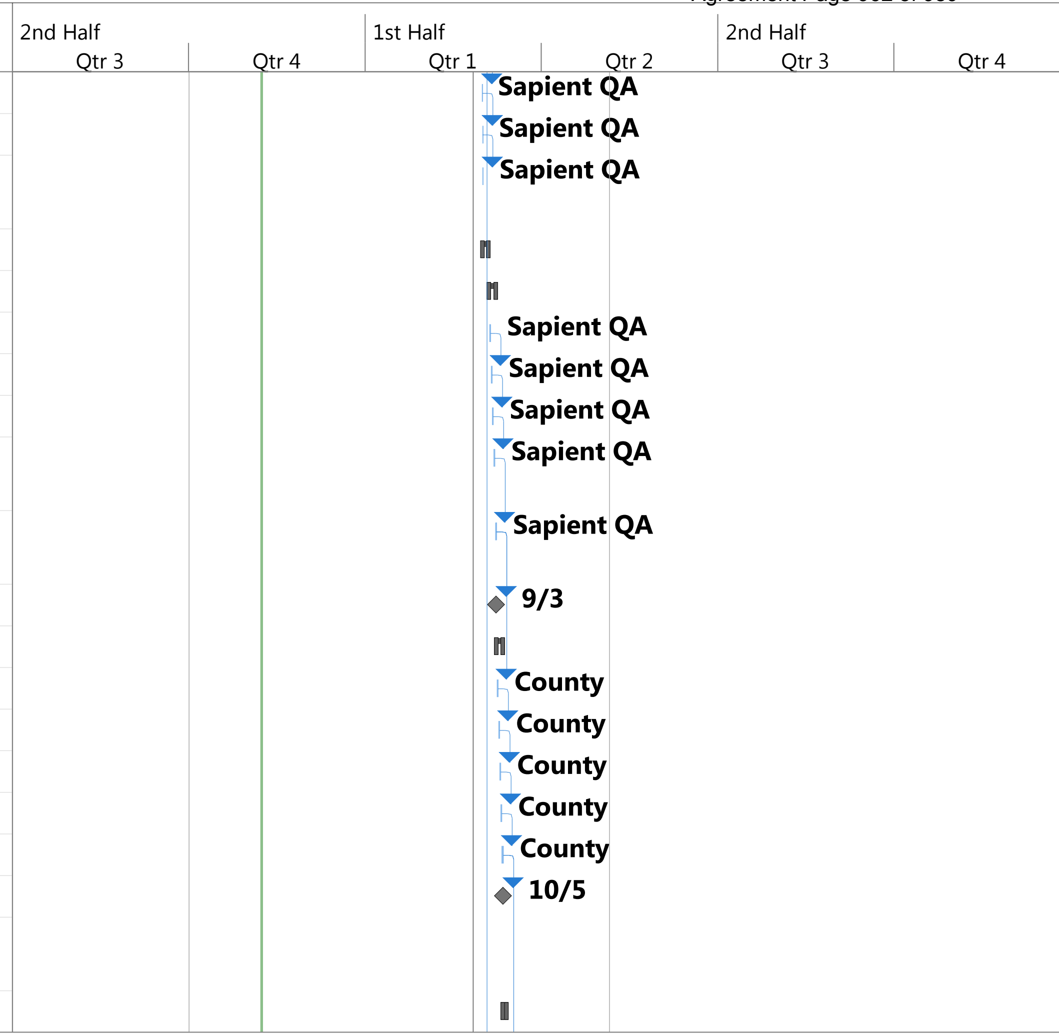
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient QA	
Sapient QA	
Sapient QA	Completed iteration
Sapient QA	System Test Plan
Sapient QA	System Test Scripts
Sapient QA	System test results
Sapient QA	
Sapient QA	
Sapient Integration Architect	
County	UAT Plan
County	UAT Test Scripts
County	
County	
County	
Client PM	
Sapient QA	



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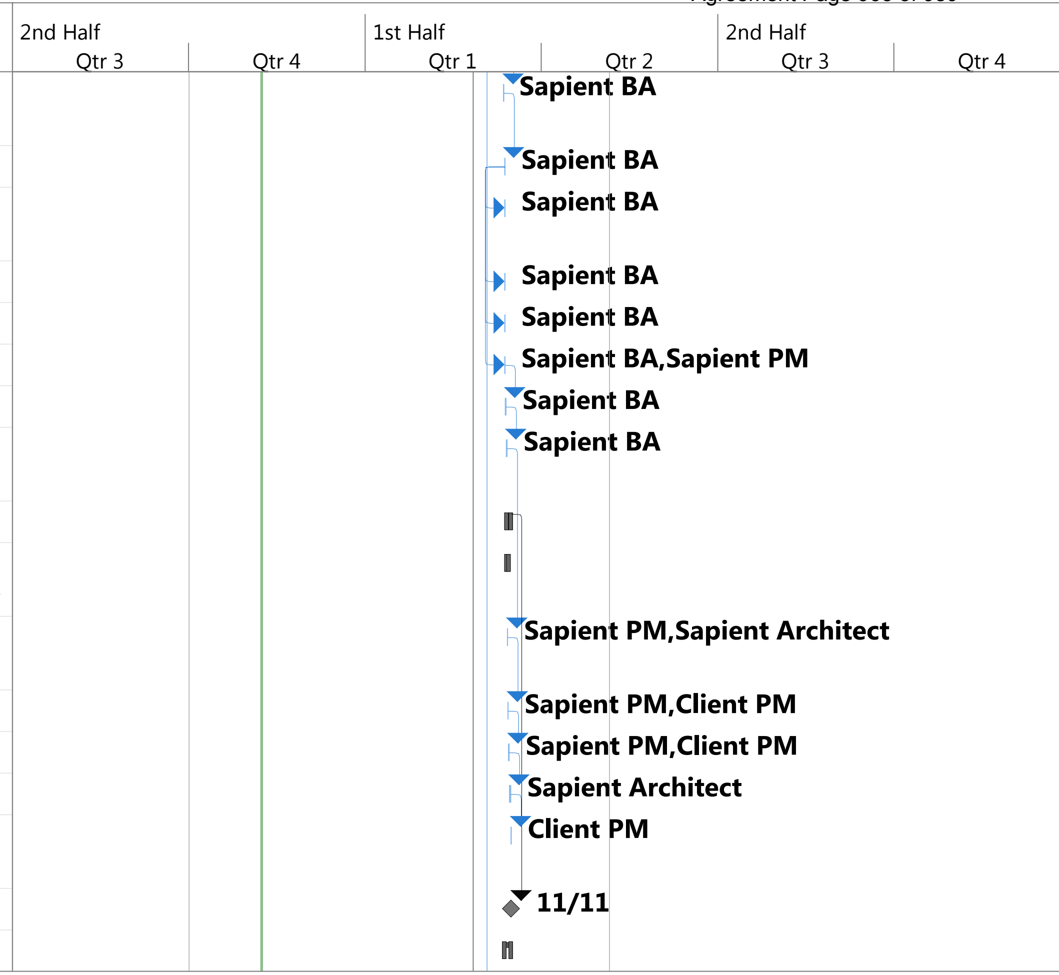
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient BA	
Sapient BA	
Sapient BA	Training Plan, Training Guides, Manuals, Materials
Sapient BA	Training Schedule
Sapient BA	Change Mgmt Plan
Sapient BA,Sapient PM	Communications Plan
Sapient BA	Train-The-Trainer Presentation
Sapient BA	Documented Evidence of Successful End-User Training
	Deployment Plan, Release Readiness Evaluations and Reports
Sapient PM,Sapient Architect	
Sapient PM,Client PM	
Sapient PM,Client PM	
Sapient Architect	
Client PM	



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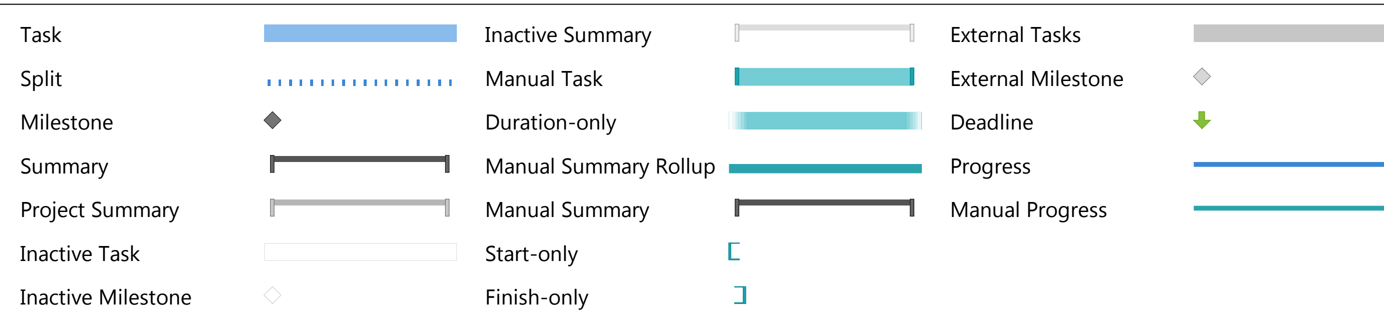
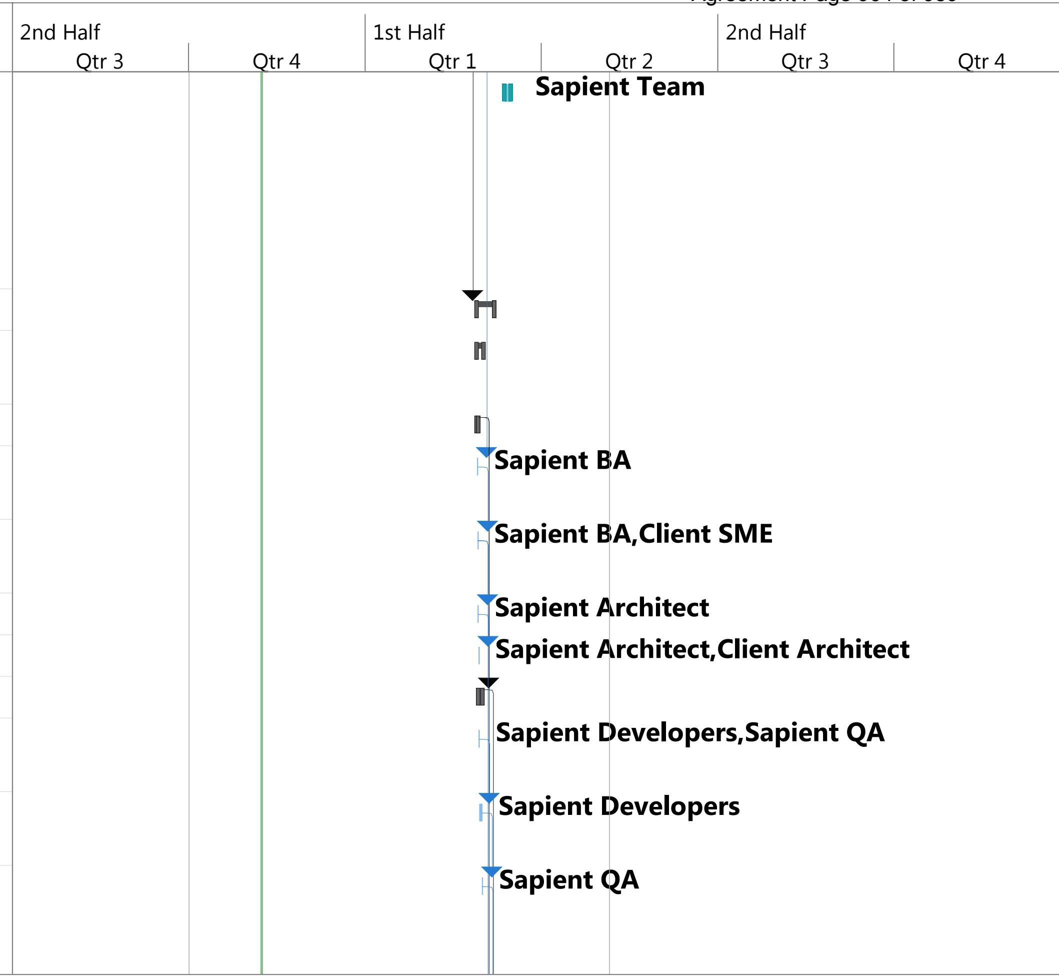


Resource Names	Deliverable
Sapient Team	Project Artifacts, Documented Implementation Project Closeout, System Source Code and Documentation, System Maintenance, Support and Transition Plan
Sapient BA	Requirements Tracability, Business Requirements
Sapient BA,Client SME	
Sapient Architect	
Sapient Architect,Client Architect	
Sapient Developers,Sapient QA	Requirements Tracability, Business Requirements
Sapient Developers	
Sapient QA	



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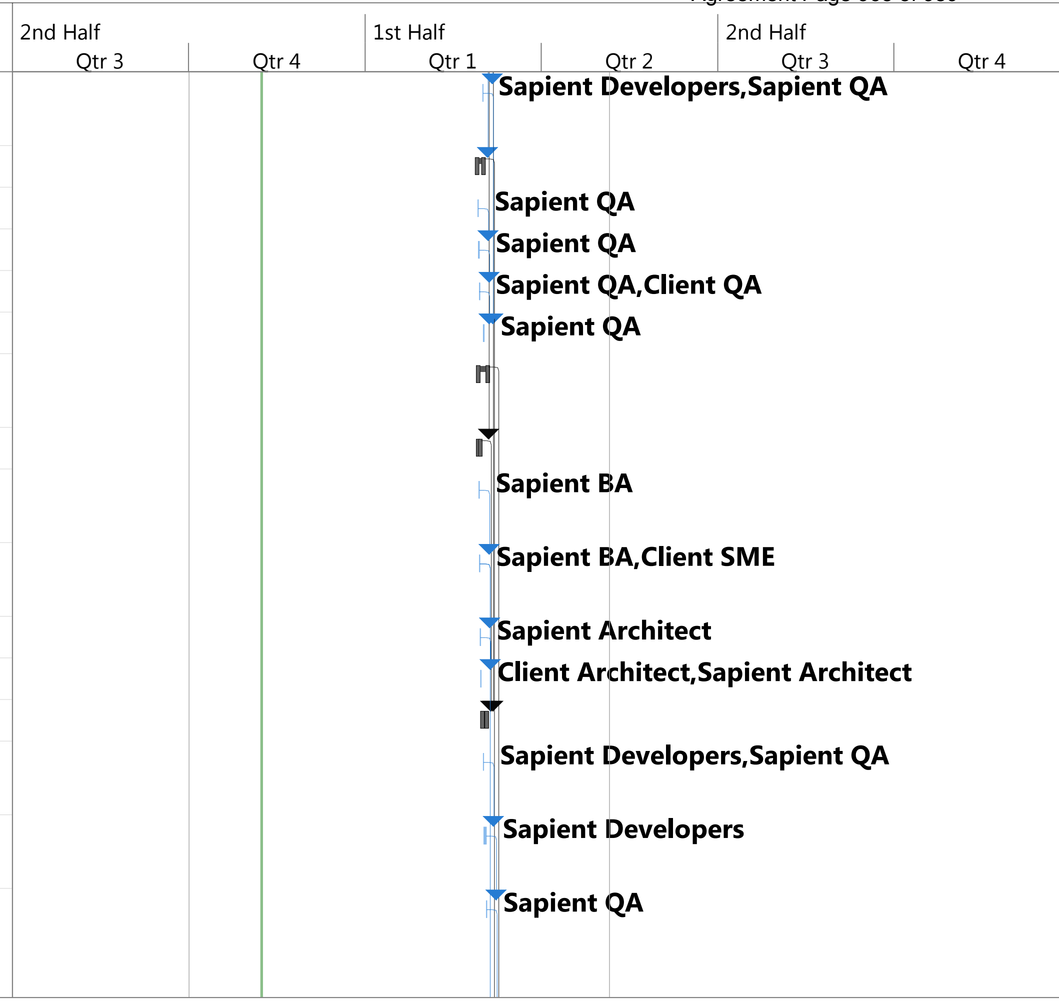
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

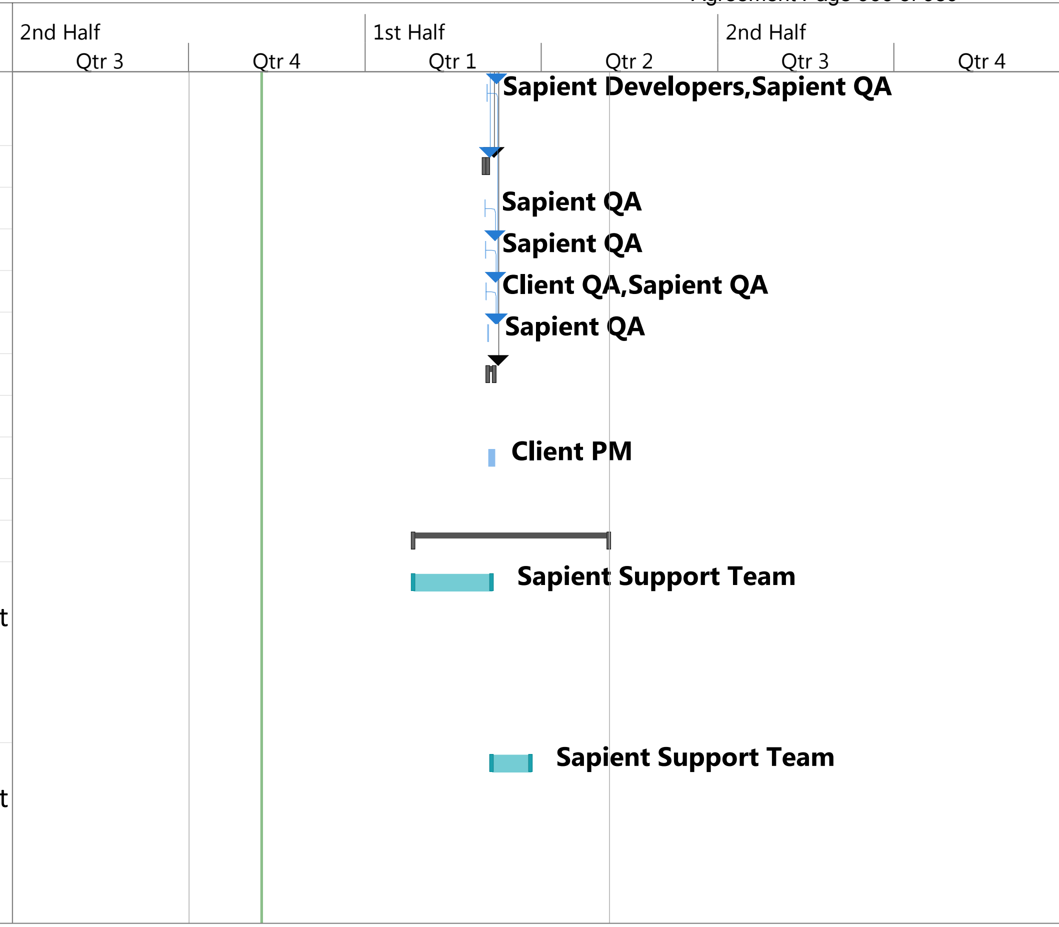
Resource Names	Deliverable
Sapient Developers,Sapient QA	
Sapient QA	Unit Test Plan
Sapient QA	Unit Test Scripts
Sapient QA,Client QA	System Defect Resolution Reports
Sapient QA	
Sapient BA	Requirements Tracability, Business Requirements
Sapient BA,Client SME	
Sapient Architect	Technical Design
Client Architect,Sapient Architect	
Sapient Developers,Sapient QA	Requirements Tracability, Business Requirements
Sapient Developers	
Sapient QA	



Project: San Mateo Work Plan - Date: Fri 9/7/18

Task		Inactive Summary		External Tasks	
Split		Manual Task		External Milestone	
Milestone		Duration-only		Deadline	
Summary		Manual Summary Rollup		Progress	
Project Summary		Manual Summary		Manual Progress	
Inactive Task		Start-only			
Inactive Milestone		Finish-only			

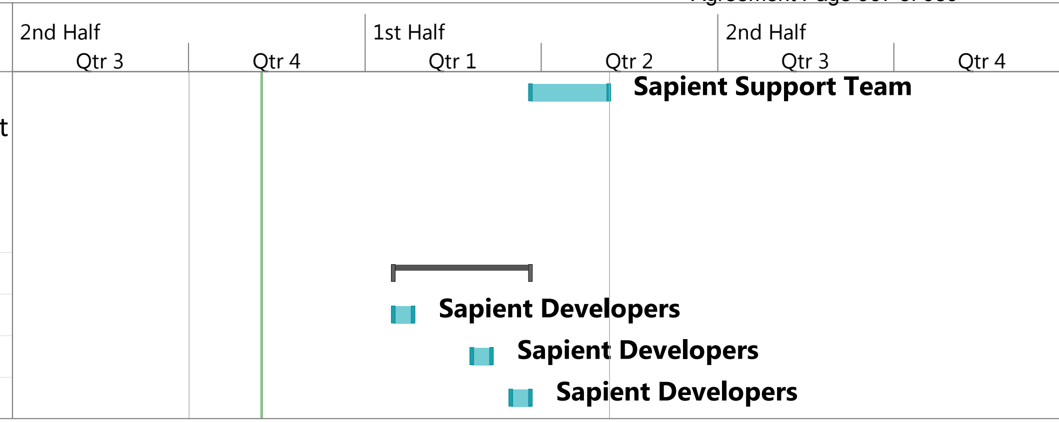
Resource Names	Deliverable
Sapient Developers,Sapient QA	
Sapient QA	Unit Test Plan
Sapient QA	Unit Test Scripts
Client QA,Sapient QA	System Defect Resolution Reports
Sapient QA	
Sapient QA	System Test results
Client PM	
Sapient Integration Architect	
Sapient Support Team	System Incidents Reports, Adaptive Maintenance Reports, Enhancement Reports, System Maintenance, Support and Transition Plan
Sapient Support Team	System Incidents Reports, Adaptive Maintenance Reports, Enhancement Reports, System Maintenance, Support and Transition Plan



Project: San Mateo Work Plan - Date: Fri 9/7/18

Task	Inactive Summary	External Tasks
Split	Manual Task	External Milestone
Milestone	Duration-only	Deadline
Summary	Manual Summary Rollup	Progress
Project Summary	Manual Summary	Manual Progress
Inactive Task	Start-only	
Inactive Milestone	Finish-only	

Resource Names	Deliverable
Sapient Support Team	System Incidents Reports, Adaptive Maintenance Reports, Enhancement Reports, System Maintenance, Support and Transition Plan
Sapient Developers	3 month Warranty Services
Sapient Developers	3 month Warranty Services
Sapient Developers	3 month Warranty Services



Project: San Mateo Work Plan - Date: Fri 9/7/18

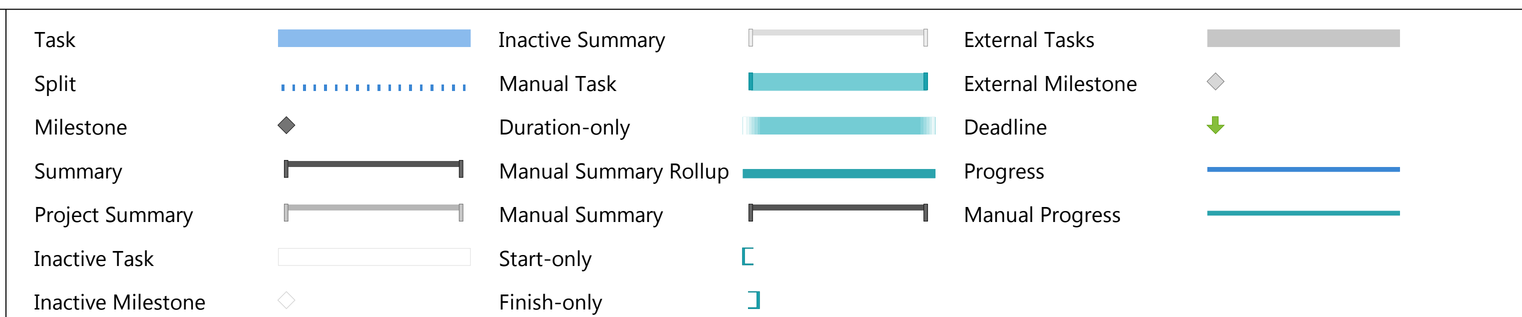
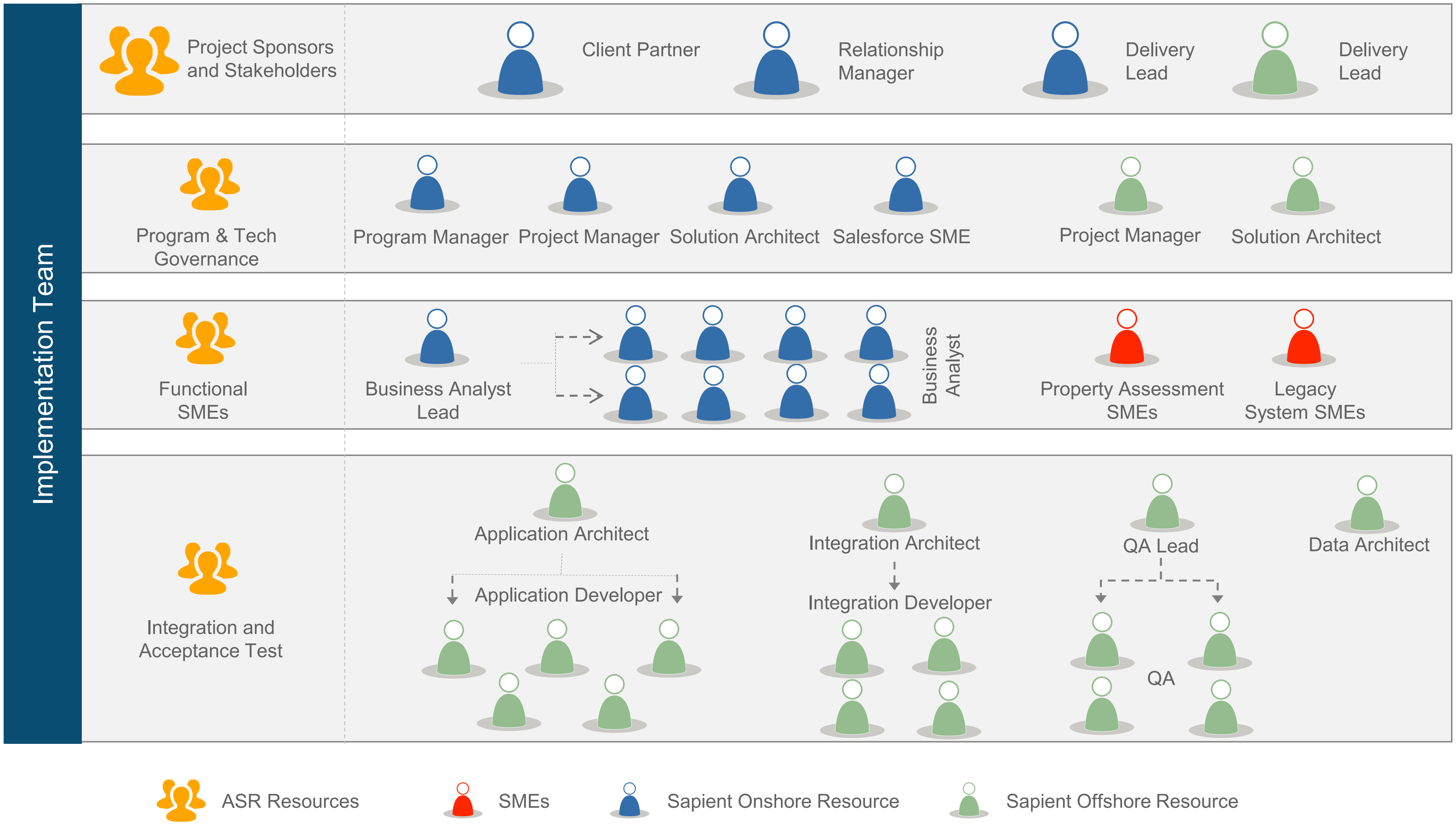


Exhibit 14 – Organization Chart

Organization Chart



Appendix A-2
Maintenance Statement of Work

APPENDIX A2 – MAINTENANCE STATEMENT OF WORK

APPENDIX A2 - MAINTENANANCE STATEMENT OF WORK
Property Assessment Solution

Table of Contents

1.0 Hosted Environment Upgrades

After City has obtained access to the Hosted Services, the Contractor will complete Software version upgrades, revisions and patches working with the Product Vendor(s) and ASR on the following schedule:

a. **Major version upgrade** (3 times per year for Salesforce. Per the release schedule of additional software vendors)

b. **Minor version revisions** (per an agreed-to schedule between ASR and Contractor based on hot fixes and/or desired changes to the solution)

c. **Support Packs / Patches** – Monthly / weekly as needed, on Thursday night during maintenance window

d. **Interface Hosting upgrade - As needed**

Contractor will perform regression testing on all software upgrades to ensure any upgrades will not adversely impact the application. Contractor will document regression test results and provide the results to the City before the City commences testing.

Contractor will establish criteria and plan for coordinating environment software upgrades.

Work products will be created explaining the related approach, activities, procedures, tools, and

templates. These work products include:

1. Configuration migration procedures
2. Object/code migration procedures
3. Methodology for developing and applying software patches and fixes

Contractor will apply fixes, patches and bundles as needed (except for Major releases), when available from Salesforce and in consultation and coordination with the City. and with the approval from the ASR Project Manager

1. Roles and Responsibilities

Topic	Contractor	ASR
Environment Software Upgrades	1. Contractor will provide an Environment Software Upgrade Plan	· ASR Project Manager will review and approve.

Unless as otherwise agreed to by City on a case-by-case basis, for non-emergency maintenance, City and Contractor shall have a mutually agreed upon test period ("Test Period") to test any maintenance changes prior to Contractor introducing such maintenance changes into production. Prior to the start of the Major or Minor Version Test Period the Contractor will provide associated Release Notes. At the end of the Test Period, Contractor and ASR will elect if the maintenance changes will be implemented or not (except for Major Releases from Salesforce that are mandatory).

Contractor will assist with questions and provide technical assistance regarding Release Notes, new functionality and new application workflows. Contractor will provide documentation on new features.

Contractor will provide standard training on the Vendor's standard upgrade tools to the support team.

Contractor will lead the testing process for each interface for upgrades and when changes are made. Contractor will perform initial regression testing for Vendor code updates. Also perform testing of new features introduced in Vendor upgrades and release notes that are mutually agreed-to between ASR and Contractor.

2.0 Open Source Software Upgrades

Contractor will ensure all Open Source Software patches/upgrades are applied as needed. Contractor will perform regression testing to ensure all Open Source Software patches/upgrades does not adversely impact the Property Assessment Solution. After the Contractor performs the regression testing, they will provide City the opportunity to test the upgrade.

Unless as otherwise agreed to by City on a case-by-case basis, for non-emergency maintenance, Contractor and City shall have a mutually agreed upon test period ("Test Period") to test any Open Source Software patches/upgrades changes prior to Contractor introducing such maintenance changes into production. Contractor will provide associated Release Notes. At the end of the Test Period, Contractor and City elect if the maintenance changes will be implemented or not.

3.0 Support.

Contractor will:

a. provide Critical Severity priority resolution;

b. provide Technical Experts trained and familiar with the City's production environment;

c. schedule quarterly defects trend analysis between ASR and Contractor;

d. provide support for the current Version of all software vendor products. Patches for critical issues will only be applied to the final release of a supported Version.

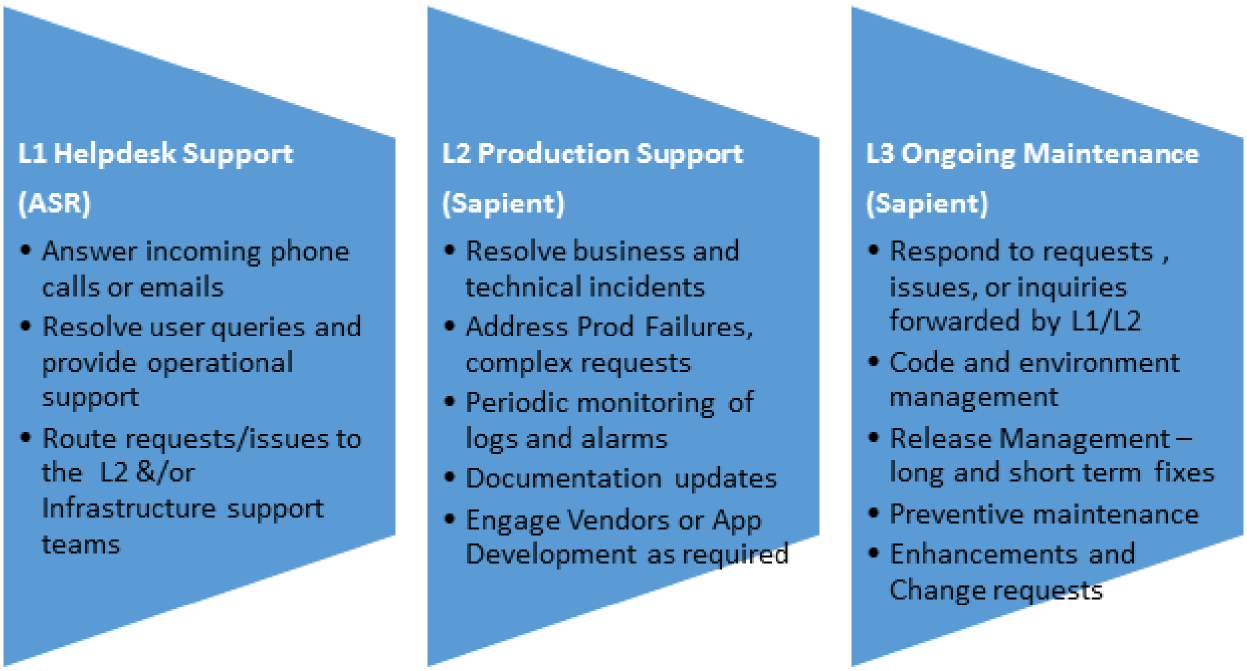
e. Manage and oversee support for all third-party software supplied by City or Contractor as part of this application..

f. Provide support for interfaces (working with ASR)

g. Manage and oversee the City on-going relationship with Hosting Provider (or internal hosting services) vendor to ensure services are performed according to contract.

h.

The support model for this engagement along with the coverage and ownership is depicted below:



3.1 Support Scope L1 (Helpdesk)

ASR will be responsible for level 1 support that comprises of the Helpdesk (HD) to answer user queries and provide operational support to the users of the system. ASR will setup the Help Desk in the form of a mailbox, a hotline number etc. to perform the following activities:

- User query (phone calls/emails) resolution
- User Provisioning and account management
  - New user requests
  - Modify access/roles for existing users
  - Reset passwords
  - Terminate user access
- Logging, routing and escalating complex incidents to L2/L3 team and follow-ups
- Communicating and liaising with users raising the incident
- Maintenance and update of knowledge articles, standard operating procedures.
- System monitoring of Scheduled jobs and communicating the failure and delays to respective team (auxiliary system owner POCs or L2 team as applicable) - US Hours

- Liaising with auxiliary system owner POC for incident resolution such as data correction, Replay of messages (as applicable)

Contractor will be responsible for enabling ASR Helpdesk by providing documentation and system user manuals for resolving common user queries.

3.1.1 Roles and Responsibilities

Topic	Contractor	ASR
Helpdesk	1. Contractor will be responsible for enabling ASR Helpdesk to resolve queries around System Operations and Administration, User Provisioning and account management by providing training and documentation to the ASR Helpdesk team.	1. ASR will be responsible for resolving user queries and providing operational support based on documentation and standard operating procedures 2. ASR will be responsible for incident logging, documenting details about incident and testing the solutions suggested by Contractor support team. 3. ASR and Contractor will be responsible for System monitoring (See L1 and L2 sections)

3.2 Support Scope L2 (Production Support)

Contractor will be responsible for providing level 2 production support which includes technical Help Desk that would provide problem resolutions to Incidents being tracked. The various activities to be taken care under this level of support would be:

a) Resolving complex business and technical queries assigned by Level-1 Helpdesk team
b) Performing a root cause analysis of the issues and acting on the remediation steps if in the responsibility of the L2 support team
c) Communication of remediation steps which are outside scope of L2 support team to business team
d) Problem re-Prioritization based on root cause analysis

e) Proposing alternate solutions for issues with no known solution for business continuity
f) Documentation on known solutions for business users and L1 Helpdesk team
g) Handling and managing crisis and major incidents as per the Crisis Management Procedures
h) Escalating product issues to vendor and follow up on solutions
i) Escalating complex issues to L3 Support Team and resolution coordination
j) Handling user requests for ad-hoc activities/process runs on the application
k) Certification of feature requests (if any) raised by L2 Team for L3 Team
l) Periodic monitoring of logs & alarms
m) System monitoring of Scheduled jobs and communicating the failure and delays to respective team (auxiliary system owner POCs or L2 team as applicable) - India Hours

3.2.1 Roles and Responsibilities

Topic	Contractor	ASR
Production Support	1. Contractor will be responsible for managing incident lifecycle including identifying, triaging, classifying, prioritizing, resolving. tracking and reporting. 2. Contractor will be responsible for System monitoring of Scheduled jobs and communicating the failure and delays to respective team (auxiliary system owner POCs or L2 team as applicable) - India Hours	1. ASR will be responsible for incident logging, documenting details about incident and testing the solutions suggested by Contractor support team. 2. ASR will be responsible for assigning and escalating complex business and technical queries to the Contractor

3.3 Support Scope L3 (Ongoing Maintenance)

Contractor will be responsible for providing L3 support which includes defect fixes & enhancements and will work in a Software Development Life Cycle (SDLC) approach to plan for the release of the fixes/enhancements. The various activities to be taken care under this level of support would be:

- Prioritization of Enhancements/change requests
- Implement fixes, both long & short term
- Provide preventive maintenance
- Performance tuning
- Release Planning for upgrades, patches, fixes. In addition perform regression testing to ensure updates, patches and fixes will not adversely impact the application. Contractor will run test scripts and provide test results to ASR.
- Quality Management, Training and Documentation
- Coordinating with third-party vendors for technical assistance

3.4 Support Coverage

As part of this support engagement Contractor will provide support coverage as per below timeline:

- Non critical incidents:
  - Business Hours: Weekdays - 8:00 AM PST to 5:00 PM PST
- Critical Incidents
  - Business Hours: Weekdays - 8:00 AM PST to 5:00 PM PST
  - Non Business Hours: On call support

3.5 Reporting

Contractor will develop reports and dashboards per agreed-to scope at pre-agreed frequency that will allow ASR to view the summary of support incidents handled by the support team. Some example reports are listed below:

- Incident Status Summary - Reported, resolved, open, work in progress
- Incident summary by application area
- Incident response and resolution time charts
- Incident Ageing report

3.6 Assumptions

- For L2 support: Average Per Day Volume of incidents that will be managed by support personnel will be determined based on the data gathered in the initial 2 months of maintenance post completion of each implementation phase.
- For L3 support: Enhancements requests are estimated at approximately 20% (approx. 1800 person hours per year) of the total available support capacity from year-4 onwards. The capacity allocation towards enhancements is expected to be lower during year-2 to year-3 of the engagement.
- ASR will identify and provide on-demand access to subject matter experts to the contractor for resolution of queries during enhancements implementation and bug fixes.

4.0 Assigned Resources

4.1 Account Relationship Manager.

Contractor will provide an assigned Account Relationship Manager to City. The Account Relationship Manager: will have responsibility for the City relationship including overall City satisfaction**.**

4.2 Dedicated Support Case Manager.

The Dedicated Support Case Manager (from Contractor) oversees all Support case activity for their assigned account(s) and works across teams to drive case resolutions. The Dedicated Support Case Manager will partner with key customer contacts to ensure the most effective support and solutions for Customer.

5.0 Live Incident Handling and Case Handling

The following incident handling, time frames and support are applicable for Support only to City's live-production environment.

6.0 Response Definition and Expectation Table

Step 1: This column represents Contractor's acknowledgement of a problem and the time by which Contractor will begin the information gathering and the trouble shooting processes.

Step 2: This column represents the timeframe in which Contractor will work with ASR and Product Vendor(s) including Salesforce to address the problems and provide a fix or workaround to restore the Systems to operate in accordance with the service specifications. The goal is to provide a fix or a workaround for a problem as soon as possible. Contractor shall work on critical issues continually until a satisfactory problem resolution can be reached.

Step 3: This column indicates the time by when Contractor will work with ASR and Product Vendor(s) including Salesforce to provide a solution. This may be in the form of a tested application fix, completely new coding, or patch from ASR/Salesforce/Other Product Vendor depending on the problem requirements and timetable.

Severity/Urgency	**Step 1 - Confirmation**	**Step 2 – Assignment and Resolution**	**Step 3 – Long-Term Fix**

Critical Severity Issues (Priority 1): Supported Service is non-functional or seriously affected and there is no reasonable workaround available (e.g. business is halted).	Confirmation of receipt within one (1) business hour	Work starts immediately upon acknowledgement and continues until resolved. Contractor will put forth commercially reasonable efforts with ASR and product vendors up to and including 24 hour days, 7 days a week, through holidays and weekends until a fix or workaround is provided to restore Service to production state.	A long-term fix provided in a scheduled release mutually agreed upon by Contractor and ASR
High Severity Issues (Priority 2): Supported Service is affected and there is no workaround available or the workaround is impractical. E.g. System response is very slow, day to day operations continue but are impacted by the work around.	Confirmation of receipt within two (2) business hours.	Work starts immediately upon acknowledgement and continues until resolved. Contractor will put forth commercially reasonable efforts with ASR and product vendors to provide a workaround or long-term fix or estimated completion date within five (5) business days after the problem has been diagnosed and replicated	A long-term fix provided in a scheduled release mutually agreed upon by Contractor and ASR
Medium Severity Issues (Priority 3): Supported Service is non-	Confirmation of receipt within four (4) business hours.	Contractor will work with ASR and product vendors to prioritize and resolve the issue within a mutually agreed upon timeline	As appropriate

functional however a known workaround exists, E.g. Non-critical feature is unavailable or requires additional user intervention.			
Low Severity Issue (Priority 4): System or application feature works, but there is a minor problem. E.g. Incorrect label, or cosmetic defect.	Confirmation of receipt within eight (8) business hours	Resolution for the issue may be released as a patch set or be incorporated into future scheduled release of Supported Service.	As Appropriate

1. System Defect Resolution Reports

All within scope defect resolution requests must be documented and communicated with ASR within a reasonable, agreed upon time frame. The Defect Resolution Report must contain the description of the maintenance request, resolution status, and the proposed course of action for remedying all open defect resolution requests.

All changes and fixes will be implemented based on a mutually agreed upon schedule. Changes will go through all phases of testing by the Contractor and ASR. The Contractor shall document the test results and provide them to ASR for approval before a decision is made to put a new release into production. At the conclusion of any Property Assessment System changes, the Contractor shall update all required system documentation as appropriate and provide it to ASR.

The Contractor shall provide System Incident and Defect Resolution Reports to ASR that include the elements described above.

2. Roles and Responsibilities

Topic	Contractor	ASR
Project Team Availability	1. Contractor's project team will be . available during deployment activities.	1. ASR Project Manager will review and approve.
System Incident and Corrective Action Reports	2. Contractor shall document all incidents and defects that occur during System Deployment.	2. ASR Project Manager will review and approve.
System Defect Resolution Reports	3. Contractor will provide a System Defect Resolution Reports.	3. ASR Project Manager will review and approve.

7.0 Performance Service Credits

Should the City determine, based upon an objective commercially reasonable standard, that Contractor is not meeting its performance obligations, the following service credits shall apply. Any dispute regarding response time performance may be submitted to Dispute Resolution under Section 11.5 of the Agreement. If submitted, no service credits may be assessed until the conclusion of the Dispute Resolution process. For clarity, service credits apply only to issues that a root cause analysis shows are solely attributable to Contractor, unless otherwise agreed by the parties.

Performance Category	Missed SLA Occurrences (monthly)	Service Credit (monthly)
Step 1 – Confirmation	95% of total incidents AND	10%

	95% of Priority 1 incidents	
Step 2 – Assignment and Resolution	95% of total incidents AND 95% of Priority 1 incidents	10%
Step 3 – Long Term Fix	95% of total incidents AND 95% of Priority 1 incidents	5%

The service credits payable each month shall be capped at twenty five (25) percent of the monthly fee (Calculated: Annual Fee/12). A sum representing the service credit shall be credited by Contractor to City as a non-transferable credit (not convertible to cash) that may be applied forward to any additional Work performed under the Implementation Statement of Work or this Maintenance Statement of Work (for clarity, service credits, if any, shall be deducted from/credited against future sums billed by and owed to Contractor). The service credits set forth in this Section shall be the exclusive remedy of the City for any failure by Contractor to meet its performance obligations. Service credits shall not apply to performance problems that are not solely attributable to Contractor. For clarity, service credits shall not apply to performance problems or defects caused by the City or its personnel, third party delays, or a force majeure event.

8.0 Upgrade/Downgrade of Severity Level.

If, during the Support Request process the issue either warrants assignment of a higher severity level than currently assigned or no longer warrants the severity level currently assigned based on its current impact on the production operation of the System, then the severity level will be upgraded or downgraded accordingly to the severity level that most appropriately reflects its current impact as mutually agreed by the Parties.

9.0 Escalation.

If Contractor does not respond within the time frames set forth above, City may use the escalation procedures as provided in this paragraph. As a first stage, party subject matter experts will seek to resolve the issue. If that attempt is unsuccessful, either party may escalate the issue per the table below. The goal of the escalation procedures will be to (i) resolve the specific problem as quickly as possible; and (ii) ensure that future delays in service response times are prevented. At each stage of this process, the individuals occupying the positions listed below, or their functional equivalents, if the titles within the organizations have changed, will confer and attempt to resolve the relevant issues. Each party understands that depending on the circumstances, it may be impossible to reach one or more of the individuals set forth below. These discussions may occur by telephone, videoconference or in person. Escalation at each step of this process will occur based on City determination that the existing level of involvement is not satisfactorily resolving the problem.

The parties will exchange mutual peer escalation lists (including lead application) as the point persons for issue resolution. This will ensure that the parties have peer to peer subject matter experts to work on issue resolution. On City's side, the issue leads will be maintained at the City service desk.

The focus of this process is to resolve the problem as quickly as possible. The escalation path will be:

Contractor	City
Assigned Support Resource	**Service Desk**
Support Case Manager	**Property Assessment Support Manager**
Contractor Executive	**ASR Deputy Director Finance and Administration**

10.0 Help Desk Issue Management Software Tool.

The Contractor will use a help desk issue management software tool (e.g. JIRA) to collect and track all issues submitted to the Contractor for production support. The Contractor will additionally provide ASR with an export (in excel or other format specified) of the contents of the help desk issue management software suite used by the Contractor's Production Support staff to import into ASR's Help Desk software tool (If a decision is made to use a Contractor proprietary tool and not the ASR provided Tool like JIRA) .

Contractor will participate in regular issue calls with the City's team. Review care concerns and assist with mitigation.

11.0 Environments

The following functions/activities will be supported within an agreed-to number of environments for the Property Assessment Solution and related integrations.

a. Development (for Developers)
b. Test (for Sapient)
c. Test (for ASR)
d. Training (for ASR)
e. Staging – An environment available to the City to test new Contractor application releases against their production configuration.
f. Production – The environment used by the City to submit, tract and manage live transactions and associated data.

This list of environments will be supported by the agreed-to licensing between ASR and Contractor.

The environments will be refreshed with configuration, code and data on a schedule that is mutually agreed to by ASR and Contractor. The schedule will ensure that activities including testing and deployment are properly supported and completed successfully. Refreshes may occur on a quarterly basis or on an as needed basis as mutually agreed to by ASR and Contractor.

12.0 Ongoing Training.

Contractor will provide training/demo on new features and enhancements to city designated key end-user personnel. Contractor will also provide documentation, configuration guides (if needed) and operating procedures documentation to ASR's L1 Helpdesk Team to enable them to perform post release maintenance and provide support.

13.0 Upgrades and Enhancements.

Contractor will provide City with notice of the availability of all Upgrades and Enhancements.

Appendix B
Calculation of Charges

Appendix B - Calculation of Charges

#	Description of Parent Deliverables	Planned Invoice Date	Total
	Implementation Services		
1	Definition Phase - Establish Baseline Project Work Plan and Schedule	December 15, 2018	$229,836
2	Definition Phase - Document System Implementation Strategy	January 15, 2019	$229,836
3	Definition Phase - Document Master Testing Strategy	February 15, 2019	$229,836
4	Definition Phase - Develop Requirements Traceability Matrix	March 15, 2019	$229,836
5	Definition Phase - Develop Data Migration Plan and Document Integration Strategy	April 15, 2019	$229,836
6	Definition Phase - Develop Technical Design Document and Security Design Document (which includes security profiles)	May 15, 2019	$229,641
7	Phase 1 - Confirm User Stories	June 15, 2019	$419,055
8	Phase 1 - Sprint #1 Complete and Sprint #2 Complete	July 15, 2019	$838,110
9	Phase 1 - Sprint #3 Complete and Sprint #4 Complete	September 15, 2019	$838,110
10	Phase 1 - Sprint #5 Complete and Sprint #6 Complete	November 15, 2019	$838,110
11	Phase 1 - Sprint #7 Complete	January 15, 2020	$419,055
12	Phase 1 - Complete System (QA) Testing and Document System Test Results	February 15, 2020	$419,055
13	Phase 1 - Complete User Acceptance Testing (UAT)	March 15, 2020	$209,530
14	Phase 1 - Complete Project Training and Training Manuals, Guides, and Materials	April 15, 2020	$209,530
15	Phase 1 - Acceptance of all Phase 1 Unsecured Implementation Deliverables	May 15, 2020	$618,372
16	Phase 2 - Confirm User Stories	June 15, 2020	$358,126
17	Phase 2 - Sprint #1 Complete and Sprint #2 Complete	July 15, 2020	$716,252
18	Phase 2 - Sprint #3 Complete and Sprint #4 Complete	September 15, 2020	$716,252
19	Phase 2 - Sprint #5 Complete and Sprint #6 Complete	November 15, 2020	$716,252
20	Phase 2 - Sprint #7 Complete	January 15, 2021	$358,126
21	Phase 2 - Complete System (QA) Testing and Document System Test Results	February 15, 2021	$358,126
22	Phase 2 - Complete User Acceptance Testing (UAT)	March 15, 2021	$358,126
23	Phase 2 - Complete Project Training and Training Manuals, Guides, and Materials	April 15, 2021	$179,063
24	Phase 2 - Acceptance of all Phase 2 Secured Implementation Deliverables	May 15, 2021	$479,063
25	Phase 3 - Confirm User Stories	June 15, 2021	$228,995
26	Phase 3 - Sprint #1 Complete	July 15, 2021	$228,995
27	Phase 3 - Sprint #2 Complete	August 15, 2021	$228,995
28	Phase 3 - Complete System (QA) Testing and Document System Test Results	September 15, 2021	$228,995
29	Phase 3 - Complete UAT, Training and Training Manuals, Guides, and Materials	October 15, 2021	$228,995
30	Phase 3 - Acceptance of all Phase 3 Appeals, Web Portal, Customer Service Implementation Deliverables	November 15, 2021	$228,999
		Total Implementation	**$11,801,108**

#	Description of Parent Deliverables	Planned Invoice Date	Total
	Maintenance During Implementation		
31	Phase I Maintenance (after Phase I go-live) - 1 Year Duration	May 15, 2020	$533,033
31	Phase II Maintenance (after Phase II go-live) - 6 Months Duration	May 15, 2021	$228,443
			$761,475

#	Description of Parent Deliverables	Planned Invoice Date	Total
	Maintenance After Phase III Go-Live		
33	Year 1 Maintenance (after Phase III go-live)	November 15, 2021	$587,000
34	Year 2 Maintenance	November 15, 2022	$587,000
35	Year 3 Maintenance	November 15, 2023	$587,000
36	Year 4 Maintenance	November 15, 2024	$587,000

37	Year 5 Maintenance	November 15, 2025	$587,000
38	Year 6 Maintenance	November 15, 2026	$587,000
39	Year 7 Maintenance	November 15, 2027	$587,000
40	Year 8 Maintenance	November 15, 2028	$587,000
41	Year 9 Maintenance	November 15, 2029	$587,000
	Total Maintenance After Phase III Go-Live		**$5,283,000**
	Office of the Assessor-Recorder Contingency		**$3,569,117**
	TOTAL NOT TO EXCEED AMOUNT		**$21,414,700**

This Rate Sheet applies solely to use of Office of the Assessor-Recorder Contingency Funds.

Sapient Rate Sheet

#	Role	Offshore Rate/Hour	Onshore Rate/Hour (including travel)
1	Project Manager	$50	$188
2	Senior Project Manager	$75	$217
3	Senior Business Analyst	$55	$176
4	Lead Business Analyst	$75	$234
5	Junior Programmer - Core Technologies	$28	$153
6	Senior Programmer - Core Technologies	$40	$164
7	Architect - Core Technologies	$55	$205
8	Architect - Salesforce	N/A	$264
9	Data Architect	$55	$211
10	Senior Architect - Core Technologies	$75	$234
11	Tester	$30	$147
12	Senior/Lead Tester	$45	$158
13	Junior Configurator - Salesforce	$70	$188
14	Senior Configurator - Salesforce	$85	$224
15	Senior Developer - Salesforce	$85	$230
16	Technology Director	$110	$252

On January 1, 2022 and on each subsequent annual anniversary thereafter, the rates set forth in the rate card above shall automatically increase by an amount equal to 3.5% of the then current applicable rate.

PUBLICIS.SAPIENT

October 11, 2018

City & County of San Francisco
Office of the Assessor-Recorder
Rachel Cukierman
Deputy Director of Administration & Finance
1 Carlton B Goodlett Pl Suite 190
San Francisco, CA 94102

Rachel,

I am writing to confirm that Sapient consultants, assigned to work on the Property Assessment System (PAS) project, will not be using automobiles to perform services.

Respectfully,

John Meyer,
Vice President Government Services, Sapient Salesforce Practice

Based on the information presented in this letter, a waiver is granted for the Auto Liability Insurance provisions in this contract.

10/11/18

Peter Goldstein, Deputy Director, Risk Mgmt Division, Office of the City Administrator

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Boston, MA 02116, USA

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Fax +1 617 621 1300

publicis.sapient.com