0150-11217-0006

TRANSMITTAL

TO	DATE	COUNCIL FILE NO.
Council	11/22/21	
FROM		**COUNCIL DISTRICT**
The Mayor		Citywide

Request for Authority to Execute Amended and Restated Third Amendment to Contract No. C-131785 with Softech and Associates, Inc. to Provide Software Maintenance and Support Services for the Department of Building and Safety

Transmitted for your consideration. The Council has 60 days from the date of receipt to act, otherwise the contract will be deemed approved pursuant to Administrative Code Section 10.5(a) See the City Administrative Officer report attached.

Richard H Llewellyn Jr.

MAYOR

(Rich Llewellyn for)

MWS:HS:02220056c

CAO 649-d

Report From
OFFICE OF THE CITY ADMINISTRATIVE OFFICER
Analysis of Proposed Contract

($25,000 or Greater and Longer than Three Months)

To: The Mayor	Date: 11-10-21	C.D. No. Citywide	CAO File No.: 0150-11217-0006
Contracting Department/Bureau: Department of Building and Safety		Contact: Christine Wai- (213) 482-6776	
Reference: Request from Department of Building and Safety dated October 19, 2021; Received by the City Administrative Officer on October 25, 2021, additional information received through November 4, 2021.			
Purpose of Contract: To complete Department of Building and Safety Internet Document Imaging System enhancements and functional improvements.			
Type of Contract: ( ) New contract (X) Amendment, Contract No. C-131785	Contract Term Dates: August 27, 2018 through August 26, 2022		
Contract/Amendment Amount: $1,720,550.85 Proposed amount $ 0 + Prior award(s) $ 1,720,550.85 = Total $ 1,720,550.85			
Source of funds: Building and Safety Building Permit Enterprise Fund No. 48R			
Name of Contractor: Softech and Associates, Inc. Address: 1570 Corporate Drive, Suite B, Costa Mesa, CA 92626			

	Yes	No	N/A	Contractor has complied with:	Yes	No	N/A
1. Council has approved the purpose		X		8. Business Inclusion Program	X		
2. Appropriated funds are available	X			9. Equal Benefits & First Source Hiring Ordinances	X		
3. Charter Section 1022 findings completed	X			10. Contractor Responsibility Ordinance	X		
4. Proposals have been requested			X	11. Disclosure Ordinances	X		
5. Risk Management review completed	X			12. Bidder Certification CEC Form 50	X		
6. Standard Provisions for City Contracts included	X			13. Prohibited Contributors (Bidders) CEC Form 55	X		
7. Workforce that resides in the City: 0 %				14. California Iran Contracting Act of 2010	X		

RECOMMENDATION

That the City Council authorize the General Manager of the Department of Building and Safety, or designee, to execute an amended and restated Third Amendment to Contract No. 131785 with Softech and Associates, Inc. for the completion of Internet Document Imaging System application enhancements and functional improvements, in order to extend the term of the Contract by one year for a revised term effective August 27, 2018 through August 26, 2022, subject to the review and approval of the City Attorney.

SUMMARY

The Department of Building and Safety (DBS) requests authority to execute a proposed amended and restated Third Amendment to Contract No. 131785 (Contract) with Softech and Associates, Inc. (Contractor) to extend the term of the Contract by 12 months through August 26, 2022 in order to complete system software upgrades needed for the DBS Internet Document Imaging System (IDIS).

This Office previously reported that the Department would conduct a Request for Proposals (RFP) process to select a contractor to replace or modernize the IDIS for a longer term during the initial one-year contract term of August 27, 2018 through August 26, 2019. The Contractor was unable to

Heather Smith			Yolanda Chavez
HS	Analyst	02220056C	for City Administrative Officer

CAO 661 Rev. 04/2019

complete portions of the scope of work during the initial one-year term and due to the urgent need to update existing systems before operating system security updates render the current programs unusable, the Department determined that the Contractor should complete the IDIS development. The City Attorney concurs that the existing contract was approved on a sole source basis due to the urgent need to restore support services for the IDIS and recognized that the Contractor designed, customized, and specialized the software that supports the IDIS. On July 3, 2019, the DBS executed a First Amendment to extend the term by 12 months, from August 27, 2018 through August 26, 2020, and increase funding by $1,032,141.85, for a total compensation of $1,386,145.85. On October 19, 2020, a First Amended and Restated Agreement extended the contract term by an additional 12 months, through August 26, 2021, and increased funding by $296,205, for a revised total compensation of $1,682,350.85. On July 14, 2021, a Second Amended and Restated Agreement expanded the scope of work to include system software upgrades with an additional funding amount of $38,200, for a total compensation of $1,720,550.85.

The Department stated that it intended to issue an RFP for a long-term contract to replace or modernize the IDIS by the first quarter of Fiscal Year 2019-20. The Department had to reprioritize the RFP process due to procurement priorities and tasks related to the COVID-19 pandemic. The Department released the RFP on December 24, 2020. DBS selected a vendor to provide support services for IDIS and executed a new three-year contract on August 25, 2021. The Personnel Department made a Charter Section 1022 Determination that the work proposed to be contracted could be performed more feasibly by a contractor than by City employees because City employees do not have the expertise to conduct the scope of work. This determination was made on August 17, 2018 for the original contract execution, June 18, 2020 for the amended and restated First Contract Amendment, and March 9, 2021 for the amended and restated Second Contract Amendment. No additional determination is needed for the Contract, as there is no additional labor component, and only extends the contract term.

The Contractor has complied with all applicable City contracting requirements. In accordance with Los Angeles Administrative Code section 10.5(b)(2), Council approval of the proposed amendment is required because the contract term exceeds three years and the annual contract expenditures exceed $169,418.

FISCAL IMPACT STATEMENT

There is no impact to the General Fund. The recommendation of this report complies with the City's Financial Policies in that the proposed Third Contract Amendment is fully funded by the Building and Safety Building Permit Enterprise Fund No. 48R.

FINANCIAL POLICIES STATEMENT

The recommendation in this report complies with the City's Financial Policies in that the proposed Third Contract Amendment will be supported by special funds, which are supported by dedicated funding sources, and spending is to be limited to the mandates of the funding source.

MWS:HS:02220056c

Attachments: Request from the Department of Building and Safety dated October 19, 2021 and Proposed Contract

FORM GEN. 160 (REV. 6-80)

CITY OF LOS ANGELES
INTER-DEPARTMENTAL CORRESPONDENCE

DATE: October 19, 2021

TO: The Honorable Eric Garcetti, Mayor

Attn: Heleen Ramirez, Legislative Coordinator

FROM: Ana Mae Yutan, Chief of Resource Management Bureau
Los Angeles Department of Building and Safety

SUBJECT: **EXECUTIVE DIRECTIVE NO. 3 REVIEW OF THE PROPOSED THIRD AMENDED AND RESTATED AGREEMENT WITH SOFTECH & ASSOCIATES, INC.**

In accordance with the Mayor's Executive Directive No. 3, attached for your review is the proposed Third Amended and Restated Agreement with Softech & Associates, Inc. (Softech). On August 27, 2018, the Los Angeles Department of Building and Safety (LADBS) executed Contract C-131785 (Contract) for software maintenance and support services for the LADBS Internet Document Imaging System (IDIS) in the amount of $354,004 for the term beginning August 27, 2018 through August 26, 2019. On July 3, 2019, LADBS executed a first amendment to increase the funding and extend the term of the Contract to a not-to-exceed amount of $1,386,145.85 through August 26, 2020. On October 19, 2020, LADBS executed a First Amended and Restated Agreement to increase the funding and further extend the term of the Contract to a not-to-exceed amount of $1,682,350.85 through August 26, 2021. On July 14, 2021 LADBS executed a Second Amended and Restated Agreement to increase the funding by $38,200.00 for a not-to-exceed amount of $1,720,550.85 and expand the Scope of Work to cover critical software upgrades. This proposed Third Amended and Restated Agreement is to further extend the term of the Contract by 12 months through August 26, 2022 in order to complete IDIS application enhancements and functional improvements.

The proposed Third Amended and Restated Agreement has been sent to the City Attorney to review as to form.

The following information is provided to assist with your review of the attached proposed Third Amended and Restated Agreement. Should you have questions or need additional information regarding this request, please contact Christine Wai, Senior Management Analyst I, at (213) 482-6776.

General Information		
Item	**Information Requested**	**Information Provided**
1	Project Title	Software Maintenance and Support Services
2	Contractors	Softech & Associates, Inc.
3	Address of Contractors	1570 Corporate Drive, Suite B, Costa Mesa, CA 92626
4	Purpose	To provide maintenance and support services to the LADBS Internet Document Imaging System ("IDIS")
5	Term	Extend contract term by 12 months for a total period of four (4) years beginning August 27, 2018 to August 26, 2022
6	Amount of Compensation	Not-to-exceed $1,720,550.85

General Information		
Item	**Information Requested**	**Information Provided**
7	New Contract or Amendment?	Amendment
8	Source of Funds	LADBS Building Permit Enterprise Fund (48R)
9	Council Approval	N/A
10	Appropriated Funds Available?	Yes
11	Names of Proposers/Bidders	Softech & Associates, Inc.
12	RFP Advertisement Date	N/A
13	Funding compliance with City Financial Policies?	Yes
14	Additional information showing necessity to contract with contractor	N/A

Compliance with City Contracting Requirements		
1	Charter Section 1022	1022 Information Form has been sent to Personnel for review on 9/29/2021.
2	Risk Management Insurance Requirements	CAO Risk Management provided the following insurance requirements on 6/28/2018: • General Liability $1,000,000 • Worker's Compensation $1,000,000 • Professional Liability $1,000,000
3	Standard Provisions	Standard Provisions rev 10/17[V.3] is included as Attachment 7
4	Business Inclusion Program	N/A
5	EBO/FSHO Compliance	Verified by the Office of Contract Compliance (OCC)
6	DO Compliance	Submitted to OCC on 4/25/2019
7	CRO Compliance	On file, sent CRO forms to BCA on 8/7/2018
8	City Attorney Review	Sent to Deputy City Attorney, Brent Nichols, for review on 9/29/2021.
9	Percent of Workforce Residing in the City	0%
10	MLO Bidder's Certification Form	On file, sent Form 55s to Ethics Commission on 8/7/2018

c: Matt Szabo, City Administrative Officer
Maryli Orellana-Farias, Office of the City Administrative Officer

Attachments:
Proposed Third Amended and Restated Agreement

AMY:VES:ZD:CW:HZ

CONTRACT NUMBER C-131785

THIRD AMENDED AND RESTATED AGREEMENT

BETWEEN

THE CITY OF LOS ANGELES

AND

SOFTECH & ASSOCIATES, INC.

FOR SOFTWARE MAINTENANCE AND SUPPORT SERVICES

<u>**TABLE OF CONTENTS**</u>

ATTACHMENTS

Attachment 1 – Softech Software Support Services
Attachment 1B – Thick Client Application Update 052319
Attachment 1C – Thick Client IDIS Enhancements
Attachment 1D – IDIS/IBM System Software Version Upgrade from 5.2 to 5.5.6
Attachment 2 – List of Supported Software
Attachment 3 – IBM Software Licenses Support Quote
Attachment 3B – IBM Software Licenses Support Renewal Quote
Attachment 4 – Additional IBM Web Licenses Quote
Attachment 5 – Kofax Software Support Quote
Attachment 5B – Kofax Software Support Renewal Quote
Attachment 6 – Softech Software Support Services Quote
Attachment 6B – Softech Software Support Services Renewal Quote
Attachment 6C – Software Support Services Renewal No.2 Quotes IBM, Softech, Kofax
Attachment 7 – Standard Provisions for City Contracts (Rev. 10/21) [V.4]
Attachment 8 – Insurance Requirements
Attachment 9 – Request and Authorize Additional Services Form

CONTRACT BETWEEN

THE CITY OF LOS ANGELES

AND

SOFTECH & ASSOCIATES, INC.

FOR SOFTWARE MAINTENANCE AND SUPPORT SERVICES

This Contract ("Contract" or "Agreement") is made and entered into by and between the City of Los Angeles, a municipal corporation ("City"), acting by and through the Los Angeles Department of Building and Safety ("Department" or "LADBS"), and Softech & Associates, Inc. ("Contractor" or "Softech"), for the services described herein.

WITNESSETH

Whereas, the Department requires the services of Contractor to provide software maintenance and support services to the Department's Internet Document Imaging System ("IDIS");

Whereas, these software maintenance and support services for IDIS were urgently needed at the time Contractor was engaged for these services;

Whereas, the Department must ensure the proper maintenance support of IDIS due to the mission critical systems that will be impacted should a loss of service occur, with LADBS digitizing over 5.8 million vital Department documents in the past three years, including, but not limited to, certificates of occupancy and building permits;

Whereas, Contractor has provided these services for the Department in the past and is therefore well qualified to provide these urgent services;

Whereas, it is more economical, advantageous, and feasible to use Contractor than City employees to provide the Department with software maintenance and support services;

Whereas, due to the urgent need for, and technical nature of, the services to be provided, and given that the services are temporary and occasional in character, competitive bidding is neither practical, nor advantageous, nor consistent with City's interests;

Whereas, given Contractor's great familiarity with the particularities of the system to be serviced, LADBS has determined that the continued use of Contractor's services is the most efficient and least costly option for City at this time, and, therefore, in the City's best interests;

Whereas, pursuant to Los Angeles City Charter §1022, the Personnel Department has determined that City employees do not have the expertise to perform the desired services;

Whereas, LADBS and Contractor entered into contract C-131785 on August 27, 2018;

Whereas, on or about July 2, 2019, LADBS and Contractor entered into a First Amendment to modify the scope of services;

Whereas, on or about October 19, 2020, LADBS and Contractor entered into a First Amended and Restated Agreement to extend the contract term for an additional twelve months through August 27, 2021, and provide additional funding in the amount of $296,205;

Whereas, on or about July 14, 2021, LADBS and Contractor entered into a Second Amended and Restated Agreement to provide additional funding in the amount of $38,200.00, for a total not to exceed amount of $1,720,550.85;

Whereas, the continued use of Contractor's services is necessary to avoid a lapse in the mission critical services needed from IDIS;

Whereas, Section 7.7 of this Contract, and PSC-5 of the Standard Provisions for City Contracts (Rev. 10/21)[V.4] (Attachment 7), provide for amendments to this Contract; and

Whereas, LADBS desires to add twelve (12) months to the contract term to in order to complete IDIS application enhancements and functional improvements.

Now, Therefore, in consideration of the mutual promises, covenants and agreements hereinafter set forth, the parties hereby promise, covenant and agree as follows:

SECTION 1. AUTHORIZED REPRESENTATIVES AND PERSONNEL

The following representative individuals and addresses shall serve as the place to which notices and other correspondence between the parties shall be sent.

1.1. CITY'S REPRESENTATIVES

The City hereby appoints Osama Younan, General Manager, of LADBS, or his designee, to represent the City on all matters related to this Contract.

All correspondence regarding this agreement shall be directed to:

Osama Younan
General Manager
Los Angeles Department of Building and Safety
201 North Figueroa Street, Suite 760B
Los Angeles, CA 90012

With copies to:

Administrative Services Division
Los Angeles Department of Building and Safety
Attention: Contract Administrator
201 North Figueroa Street, Suite 760B
Los Angeles, CA 90012
(213) 482-6776
LADBS.ASD@lacity.org

1.2. CONTRACTOR'S REPRESENTATIVES

Contractor's representative shall be:

Corey Meitchik
Chief Executive Officer
Softech & Associates, Inc.
1570 Corporate Drive, Suite B
Costa Mesa, CA 92626
(908) 612-2192
cmeitchik@softechis.com

SECTION 2. SCOPE OF WORK

The scope of work shall be based on Attachment 1 – Softech Software Support Services, Attachment 2 – List of Supported Software, Appendix 1B – Thick Client Application Update, and Attachment 1C – Thick Client IDIS Enhancements, and Attachment 1D – IDIS/IBM System Software Version Upgrade from 5.2 to 5.5.6, which are incorporated by reference and made a part of this Agreement.

The IDIS Thick and Thin client software solutions shall be collectively referred to in this Contract as the "IDIS Programs". All other software supported pursuant to this Contract, including IBM FileNet products listed in Attachments 2 – 6 and Attachments 3B, 5B, 6B, and 6C shall be collectively referred to as the "Supported Programs."

SECTION 3. PERIOD OF PERFORMANCE

The term of the Contract shall be for a period of four (4) years beginning on August 27, 2018 and expiring on August 26, 2022, unless terminated earlier as set forth in PSC-9, Termination, Standard Provisions (Rev. 10/21)[V.4] of this Contract or any other provisions of this Contract.

Contractor and the City understand and agree that in the event the City has required the performance of Contractor's services prior to execution of this Contract and such performance has been approved by LADBS in accordance with the terms and conditions of this Contract, those services are hereby ratified.

SECTION 4. LICENSE, TRANSFER, AND SALE OF IDIS PROGRAMS

4.1. LICENSE OF THE IDIS PROGRAMS

Contractor hereby grants to the City a perpetual, irrevocable, nonexclusive, right, and license to use the IDIS Programs, any enhancements, modifications, and configurations to the IDIS Programs, and any documentation in connection with the City's business.

To the extent, if any, that this Section 4 does not provide City with full ownership, right, title, and interest in and to the IDIS Programs, Contractor hereby grants City a perpetual, irrevocable, fully paid, royalty-free, worldwide license to reproduce, create derivative works from, distribute, publicly display, publicly perform, use, make, have made, offer for sale, sell or otherwise dispose of, and import the IDIS Programs – and any enhancements, modifications, and configurations to the IDIS Programs, with the right to sublicense each and every such right.

4.2. TRANSFER OF SOURCE CODE

Upon receipt of final payment for all services rendered by Contractor under this Contract, Contractor shall:

4.2.1. Transfer to the City a machine readable copy of the source code for the IDIS Programs and all related modifications, enhancements, configurations, and documentation in connection with the City's business.

4.2.2. Convey to the City good and marketable title to the IDIS Programs, and all related modifications, enhancements, configurations, and documentation, free and clear of all liens, claims, and encumbrances.

4.3. COMPETITION

Nothing in this Contract shall be construed to preclude Contractor from developing, using, or marketing software that is competitive with that prepared for the City hereunder, irrespective of whether such software is similar in functionality, design, or is otherwise related to the IDIS Programs.

4.4. STAFF TRANSFER

Contractor shall ensure that all its employees and contractors in any way involved in creating the IDIS Programs are subject to written agreements with Contractor that, on or before the effective date of the grant or assignment to City in this Section 4, grant or assign to Contractor all such employees' or contractors' ownership and other rights in and to the IDIS Programs.

4.5. SURVIVAL

The rights and obligations of this Section 4 will survive any termination or expiration of this Agreement.

SECTION 5. REPRESENTATION AND WARRANTIES

5.1. WARRANTY OF TITLE AND INDEMNIFICATION

Contractor warrants that the IDIS Programs developed pursuant to this Contract will, prior to its transfer to the City, be the sole and exclusive property of Contractor.

5.2. WARRANTY OF AUTHORITY; NO CONFLICT

Each party hereby warrants to the other that it is authorized to enter into this Contract and that its performance thereof will not conflict with any other agreement.

5.3. WARRANTY OF PERFORMANCE

Contractor hereby warrants that when fully implemented, the IDIS Programs developed and provided under this Contract shall perform in accordance with the design specifications.

5.4. POST IMPLEMENTATION WARRANTY

Realizing that the City may discover issues or problems after project deliverables are accepted and approved by City, Contractor shall provide a 90 calendar day post-implementation warranty period ("Post-Implementation Warranty Period") at no additional cost to the City. If issues are identified during the Post-Implementation Warranty Period, Contractor will work with LADBS to investigate, support, and correct these issues. However, this warranty excludes issues caused by changes outside the scope of the agreed upon deliverable and any additional feature or functionality not identified in the scope of the deliverable upon submission to User Acceptance Testing.

SECTION 6. PAYMENT INFORMATION

6.1. COST OF WORK

6.1.1. This Contract shall not exceed One Million Seven Hundred Twenty Thousand Five Hundred Fifty Dollars and Eighty-five cents ($1,720,550.85) for the full performance of the services stipulated herein. Of this amount, Forty-eight Thousand Five Hundred Dollars ($48,500.00) has been set aside as contingency money (Contingency Cost) to pay for unforeseen costs (price changes, unplanned expenses, remediation work, etc.). The Contingency Cost is not part of the base price of the work described herein. Use of this funding must be authorized by the City in writing to Contractor prior to incurring any Contingency Cost as described in Section 7.7. Contractor understands and agrees that execution of this Contract does not guarantee that any or all funds will be expended.

6.1.2. Contractor shall invoice the City in accordance with the following payment schedule for the noted tasks and deliverables:

#	Task	Contract Reference	Payment
1.	IBM Software Licenses Support	Attachment 3	$ 133,713.00
2.	Additional IBM Web Licenses	Attachment 4	$ 56,320.00
3.	Kofax Software Support	Attachment 5	$ 28,971.00
4.	Softech Software Support Services	Attachment 6	$ 135,000.00
5.	Thick Client Application Update - Stage 1 (see Attachment 1B for breakdown by deliverable)	Attachment 1B	$ 362,000.00
6.	Thick Client Application Update - Stage 2 (see Attachment 1B for breakdown by deliverable)	Attachment 1B	$ 295,000.00
7	IDIS/IBM System Software Version Upgrade from 5.2 to 5.5.6	Attachment 1 D	$34,700.00
8.	IBM Software Licenses Support Renewal	Attachment 3B	$ 144,346.53
9.	Kofax Software Support Renewal	Attachment 5B	$ 30,420.32
10.	Softech Software Support Services Renewal	Attachment 6B	$ 165,375.00
11	IBM Software Licenses Support Renewal No. 2	Attachment 6C	$115,705.00
12	Kofax Software Support Renewal No. 2	Attachment 6C	$28,750.00
13	Softech Software Support Services Renewal No. 2	Attachment 6C	$141,750.00
Subtotal for Maintenance and Support (#1-4, #8-13)			*$1,015,050.85*
Subtotal for Development (#5 & #6)			*$657,000.00*
Contingency Cost			*$48,500.00*
Total Cost of this Contract			**$1,720,550.85**

Contractor shall reference specific part numbers and quantities from the noted Attachments in any request for payment for these deliverables.

6.2. INVOICES

Upon completion of the Work designated by the Contract or Work Order, Contractor may request full payment for the Work. After acceptance of the Work by the General Manager, or designee, and upon receipt of invoice for the Work performed from Contractor, and a completed Certificate of Compliance, the City shall make a lump-sum payment for the completion of each task set forth in section 6.1.

The making of any payment to Contractor under the Contract shall not relieve Contractor of Contractor's obligations to complete the Contract in its entirety at the time or times specified. Contractor shall submit all invoices to the City for payment at the following address:

Los Angeles Department of Building and Safety
Attention: Contract Administrator
201 North Figueroa Street, Suite 760B
Los Angeles, CA 90012
LADBS.ASD@lacity.org

Billing & Invoicing Requirement

Contractor is required to submit invoices that conform to City standards and include, at a minimum, the following information:

1. Name and address of Contractor;
2. Date of the invoice and the period covered;
3. Reference to the Contract number;
4. Description of the services performed and the amount due for the services;
5. Name(s) of all Contractor’s personnel performing the services for the City, the number of hours worked for each person, and the hourly rate for each person;
6. Payment terms, total due, and due date;
7. Certification by a duly authorized officer;
8. Remittance Address (if different than Contractor’s address);
9. Contractor’s City of Los Angeles Business Tax Registration Certificate Number.

All invoices shall be submitted on Contractor’s letterhead, contain Contractor’s official logo, or other unique and identifying information such as the name and address of Contractor. Evidence that tasks have been completed, in the form of a report, brochure, attendance sign-in rosters, or photographs, shall be attached to all invoices. Invoices shall be submitted within 30 days of service, or monthly, and shall be payable to Contractor no later than 30 days after acknowledged receipt of an acceptable invoice. Invoices are considered acceptable when appropriate documentation or services provided are signed off as satisfactory by the General Manager, or designee. Notwithstanding the foregoing, City shall not be responsible for, and Contractor waives the right to seek, any late fees, late charges, interest or penalties.

Invoices and supporting documentation shall be prepared at the sole expense and responsibility of Contractor. The City will not compensate Contractor for costs incurred for invoice preparation. The City may request, in writing, changes to the content and format of the invoice and supporting documentation at any time. The City reserves the right to request additional supporting documentation to substantiate costs at any time. Within 10 days of reaching 80 percent of the not to exceed amount of this Agreement, Contractor shall provide City with written notification that such threshold has been reached.

Failure to adhere to these policies may result in nonpayment or non-approval of demands, pursuant to Charter Section 262(a), which requires the Controller to inspect the quality, quantity, and condition of services, labor, materials, supplies, or equipment received by any City office or department, and approve demands before they are drawn on the Treasury.

6.3. DELIVERABLES AND SYSTEM USER TESTING

6.3.1. Deliverables/Work Product

The Department shall have the right to review each Deliverable/Work Product provided by Contractor under this Contract, as set forth below Upon written notification by Contractor to LADBS that the Deliverable/Work Product is ready for review, LADBS shall have the right to either accept or reject such Deliverable/Work Product. Payment for any Deliverable(s) will be made, as specified in Section 6.2

6.3.2. User Acceptance Testing

Contractor understands and agrees to the following User Acceptance Testing terms

6.3.2.1. Upon Contractor's notification to LADBS that a deliverable is ready for user acceptance testing, LADBS will begin testing the deliverable in a non-production environment using such standards and procedures as are mutually agreed upon in writing. The testing shall determine whether the deliverable meets all applicable specifications and acceptance criteria set forth in the Scope of Work. The User Acceptance Period shall be thirty (30) business days. During the User Acceptance Period, LADBS will promptly notify Contractor of any deficiencies in the deliverable.

6.3.2.2. After LADBS has completed User Acceptance Testing, LADBS will either notify Contractor in writing of its "Final Acceptance" of the deliverable, or if LADBS determines (as a result of the foregoing testing or in any other manner) that the deliverable has remaining deficiencies, then LADBS will deliver to Contractor a report describing the deficiencies remaining at the end of the User Acceptance Period ("Outstanding Deficiency Notice"). Contractor shall correct each such deficiency within ten (10) business days after receiving such notice, or if any Deficiency is one that is not capable of being corrected within the 10-day period, then within such longer period of time as mutually agreed to by the parties, and thereafter LADBS may re-test the deliverable in accordance with Section 6.3.4, “Failure of User Acceptance Testing”.

6.3.2.3. If LADBS fails to provide written notice of Final Acceptance or an Outstanding Deficiency Notice for a given deliverable within the requisite User Acceptance Period or any Retest Period (as defined in Section 6.3.4.2), as the case may be, Contractor will provide LADBS with a notice reminding LADBS that the User Acceptance Period or Retest Period, has expired ("Reminder Notice") and LADBS shall then have three (3) additional business days to provide the required notice, failing which, a "Provisional Acceptance" will be deemed to have occurred. In the event of any Provisional Acceptance, Contractor shall be entitled to consider the Deliverable Conditionally Accepted solely for the purpose of invoicing LADBS for completed Deliverables/Work Products. The Post Implementation Warranty period as described in Section 5.4 shall commence upon Provisional Acceptance.

6.3.2.4. If LADBS subsequently rejects a Deliverable Conditionally Accepted: (i) during the Post Implementation Warranty Period, Contractor shall be required to correct the identified deficiencies pursuant to Section 6.3.4; or, (ii) after the Post Implementation Warranty Period, Contractor may, within ten (10) business days after Contractor's receipt of LADBS' written notice of rejection, prepare and submit a written proposal for a Change Order as described in Section 7.7 to account for any impact on the cost or schedule that has resulted from LADBS' delayed rejection of the subject deliverable.

6.3.3. Failure of User Acceptance Testing

6.3.3.1. If the deliverable has not successfully completed User Acceptance Testing, LADBS' Project Manager (or designee) will notify Contractor of such failure, specifying the manner in which the deliverable failed to pass such testing. Contractor shall immediately commence and diligently proceed to correct as quickly as possible the identified deficiencies and to permit the deliverable to be ready for retesting. In any event, such corrections shall be completed within ten (10) business days of notification of the failure by City, except where the corrections are not capable of being made within such 10-day period, in which case Contractor will develop and submit, as promptly as possible but in any event within such 10-day period, for LADBS' written approval, a plan for correction. Such plan shall include a deadline for completing the corrections, and LADBS' approval of such plan will not be unreasonably withheld.

6.3.3.2. In the event that a correction cannot be made within ten (10) business days of notification of the failure by City and in the event that LADBS approves Contractor's plan, Contractor shall diligently proceed with corrections in accordance with the approved plan and shall complete such corrections by the deadline specified therein. Contractor shall promptly notify LADBS' Project Manager, in writing, when such corrections, repairs, and modifications have been completed, and the applicable testing shall begin again, provided that in the event any such retesting is to be performed LADBS shall have the right to modify or supplement such testing as it deems appropriate to ensure that any deficiencies in the deliverable have in fact been corrected, both for the failed scenario and for use in scenarios beyond any presented in the previously failed testing. The amount of time during which LADBS may retest the deliverable (the "Retest Period") shall be mutually determined by the parties based on the nature of the deficiencies that were to have been corrected, the possibility that the corrections may have affected other functionality or performance of the deliverable or IDIS and similar considerations, but in any event will not exceed the initial testing period.

6.3.3.3. If, after such retesting (including any such modifications or supplements) has been completed for a second time, LADBS' Project Manager makes a good faith determination that the deliverable again fails to pass the subject testing, LADBS' Project Manager (or designee) will notify Contractor, specifying the manner in which the deliverable failed to pass the retesting. Such procedure shall continue for a reasonable period of time, subject to LADBS' rights under Attachment 7, Standard Provisions for City Contracts (Rev. 10/21)[V.4], PSC-9 Termination, until such time as LADBS notifies Contractor in writing either: (i) of the successful completion of such testing; or (ii) that LADBS has concluded in its sole and reasonable judgment that satisfactory progress toward correction of outstanding deficiencies in the deliverable is not being made, in which latter event LADBS shall have the right to make a determination that a material default has occurred and to terminate this Contract in accordance with Attachment 7, Standard Provisions for City Contracts (Rev. 10/21)[V.4], PSC-9 Termination on the basis of such default. Such a termination by LADBS may be, in LADBS' sole judgment, either: (i) a termination with respect to one or more deliverables or (ii) if LADBS believes that the failure to pass the applicable testing affects the functionality, performance or desirability to LADBS of IDIS as a whole, the entire Contract. These rights are in addition to City’s rights to terminate the Contract for convenience under PSC-9 of the Standard Provisions for City Contracts (Rev. 10/21)[V.4].

SECTION 7. CONTRACT PROVISIONS AND CERTIFICATIONS

7.1. CITY’S STANDARD PROVISIONS FOR CITY CONTRACTS

Contractor shall comply with the Standard Provisions for City Contracts (Rev. 10/21) [V.4] (Attachment 7), which are incorporated into and made a part of this Contract by reference.

Notwithstanding PSC-19, Intellectual Property Indemnification, Contractor has no obligation to indemnify the City for causes of action brought by a third party against the City for: (i) intentional interference with prospective economic relations, or (ii) intentional interference with contractual relations, or both, provided, however, that the factual patterns giving rise to such causes of actions have occurred prior to September 1, 2018.

7.2. INSURANCE REQUIREMENTS

Electronic submission is the required method of submitting Contractor’s insurance documents. Contractor shall register with the City’s online insurance compliance system KwikComply at https://kwikcomply.org/ and submit the appropriate proof of insurance (Attachment 8).

7.3. DISCLOSURE OF BORDER WALL CONTRACTING ORDINANCE (DBWCO)

Contractor shall comply with Los Angeles Administrative Code (LAAC) Section 10.50 et seq., “Disclosure of Border Wall Contracting.” City may terminate this Contract at any time if City determines that Contractor failed to fully and accurately complete the required affidavit and disclose all Border Wall Bids and Border Wall Contracts, as defined in LAAC Section 10.50.1.

7.4. CONDITIONS PRECEDENT TO EXECUTION OF THIS AGREEMENT

This Agreement shall not become effective unless and until Contractor provides the following in accordance with City requirements:

7.4.1. Proof of insurance as required by the City in accordance with Section 7.2 of this Agreement and attached hereto as Attachment 8 and made a part hereof.

7.4.2. A Combined Equal Benefits Ordinance and First Source Hiring Ordinance Compliance Affidavit through the Los Angeles Business Assistance Virtual Network (LABAVN), https://www.labavn.org/.

7.4.3. A Disclosure Ordinances Affidavit addressing requirements of the City's Slavery Disclosure Ordinance (SDO) and Disclosure of Border Wall Contracting Ordinance (DBWCO) through LABAVN, https://www.labavn.org/.

7.4.4. An Iran Contracting Act of 2010 Compliance Affidavit in accordance with PSC-36 of Attachment 1, Standard Provisions for City Contracts (Rev. 10/21) [V.4]

7.5. CARE AND CUSTODY

Contractor accepts full responsibility for the security against loss or damage to the materials and equipment involved in the processes related to this Contract while in their possession or the possession of any of their agents. Contractor shall reimburse the City for any loss or damage to City materials or equipment in their agents' care or custody.

7.6. SUBCONTRACTING

7.6.1. All subcontractors proposed to perform Work in accordance with the Scope of Work in this Contract shall be licensed in accordance with the provisions of the Business and Professions Code of the State of California for the type of work to be performed.

7.6.2. All subcontractors shall be recognized as such, shall be considered agents of Contractor, and Contractor shall be held responsible for their Work. Nothing herein is intended to create a third-party beneficiary in any subcontractor. The City has no obligation to any subcontractor. No privity is created with any subcontractor by this Agreement. Even if Contractor uses subcontractors, Contractor remains responsible for complete and satisfactory performance of the terms of this Agreement.

7.6.3. All subcontractors or Contractors shall perform such Work at competitive prices. The Department may require that Work for the City is performed at competitive prices based on the lowest bids.

7.7. AMENDMENTS/MODIFICATIONS/CHANGE ORDERS

7.7.1. This Contract, plus specific documents cited herein, constitutes the entire Contract between the City and Contractor and may be amended only by further written agreement executed by the representatives of both parties. No Change Orders shall lead to a change in the quality and quantity of work product/deliverable, the deterioration of materials, or an increase in the Contract price ceiling. Change Orders may not alter the established deliverables without explicit written agreement by the City.

7.7.2. Change Order Process

The scope of this engagement is defined by services outlined in Section 2, Scope of Work. All City requests for changes to the Scope of Work must be in writing and must set forth with specificity the requested changes. As soon as practicable, but no later than 5 business days of receiving the request, Contractor will advise the City of the cost and schedule implications of the requested changes and any other necessary details to allow both parties to decide whether to proceed with the requested changes. The parties shall agree in writing upon any requested changes prior to Contractor commencing work.

As used herein, “changes” are defined as work activities or work products not originally planned for or specifically defined in Section 2, Scope of Work. By way of example and not limitation, changes include the following:

7.7.2.1. Any activities not specifically set forth in Section 2, Scope of Work.

7.7.2.2. Providing or developing any deliverables not specifically set forth in Section 2, Scope of Work.

7.7.2.3. Any change in the respective responsibilities of Contractor and City set forth in Section 2, Scope of Work, including any reallocation or any changes in engagement or project manager staffing.

7.7.2.4. Any rework of accepted deliverables.

7.7.2.5. Any additional work caused by a change in the assumptions set forth in Section 2, Scope of Work.

7.7.2.6. The following process shall be used to initiate and authorize changes which can be initiated by the Contractor or City:

- A Request and Authorize Fixed-Price Additional Services Form (Attachment 9) must be used by the change initiator to request, analyze the impact to the work described in this Contract (time, other deliverables, and cost), and authorize the requested change.

- The change initiator will deliver the completed Change Request Form to the City.

- The City will have ten (10) days from receipt of the request to analyze the requested change, determine the next steps, and inform the change initiator of those next steps.

- No work on changes shall commence until the request has been fully vetted and the Change Request form approved by the City.

7.8. GENERAL MANGER'S DECISION IS BINDING

In determining whether there has been such non-compliance with the Contract as to warrant termination/suspension, the decision of the General Manager of Building and Safety shall be binding to both parties.

7.9. CONTRACTOR EVALUATION PROGRAM

At the end of this Contract, the City may conduct an evaluation of Contractor's performance. The City may also conduct evaluations of Contractor's performance during the term of the Contract. As required by Section 10.39.2 of the Los Angeles Administrative Code, evaluations will be based on a number of criteria, including the quality of the work product or service performed, the timeliness of performance, the financial issues, and the expertise of personnel that Contractor assigns to the Contract. A Contractor who receives a "Marginal" or "Unsatisfactory" rating will be provided with a copy of the final City evaluation and allowed fourteen (14) calendar days to respond. The City will use the final City evaluation, and any response from Contractor, to evaluate proposals and to conduct reference checks when awarding other contracts.

7.10. ATTACHMENTS/ORDER OF PRECEDENCE

All Attachments to which reference is made in this Contract are deemed incorporated by reference in this Contract, whether or not actually attached. This Contract, and the Attachments hereto, are to be interpreted so that all of the provisions are given as full effect as possible. In the event of a conflict between these documents, the order of precedence shall be as follows:

1. The paragraphs in the body of this Contract;

2. Standard Provisions for City Contracts (Rev. 10/21) [V.4];

3. Any other attachments to the Contract in the order in which they are attached.

7.11. ENTIRE AGREEMENT

This Contract, and any attachments or documents incorporated herein by inclusion or by reference, constitutes the complete and entire agreement between LADBS and Contractor and supersedes all other agreements between parties pertaining to the subject matter thereof. Contractor and the City acknowledge that they have reviewed and understood this Agreement and had an opportunity to consult with counsel of their choosing. To the extent any provision of the Agreement is ambiguous, no such provision shall be construed against either party as drafter of the provision.

(SIGNATURE PAGE FOLLOWS)

This Agreement may be executed in one or more counterparts, and by the parties in separate counterparts, each of which when executed shall be deemed to be an original but all of which taken together shall constitute one and the same agreement. The parties further agree that facsimile signatures or signatures scanned into .pdf (or signatures in another electronic format designated by City) and sent by e-mail shall be deemed original signatures.

APPROVED AND AGREED TO:

FOR THE CITY OF LOS ANGELES

BY ______________________________ ________________________
OSAMA YOUNAN Date
General Manager
Department of Building and Safety

FOR SOFTECH & ASSOCIATES, INC.

BY ______________________________ ________________________
COREY MEITCHIK Date
Chief Executive Officer
Softech & Associates, Inc.

(Corporate Seal)

APPROVED AS TO FORM: ATTEST:
Michael Feuer, City Attorney

BY ______________________________ BY ________________________
BRENT NICHOLS HOLLY L. WOLCOTT
Deputy City Attorney City Clerk

Date ______________________________ Date ________________________

Contractor's Los Angeles Business Tax Registration Certificate No. 0003064279-0001-2

CONTRACT NO. C-131785

SOFTECH SOFTWARE SUPPORT AGREEMENT mod 1.1

This Statement of Work ("SoW") is between **SOFTECH & ASSOCIATES, INC**. 1570 Corporate Dr, Suite B, Costa Mesa, CA ("Softech") and **Los Angeles Department of Building and Safety**, ("Customer"). The following is an Exhibit/Attachement to the main Contract between the above partes. Terms and conditions governing these services are defined in the main Contract.

I. **Maintenance Services**

(a) Customer hereby retains Softech to perform remote telephone technical and maintenance support of the P8 System software, FileNet Capture and the current IDIS Thick and Thin applications that are currently installed. Softech's remote Telephone support shall be defined as trouble-shooting, programming and telephone consulting services necessary to maintain the functionality of P8 System software, FileNet Capture and the current IDIS Thick and Thin applications software at the level agreed to by sign-off of acceptance tests for the current production version.

Softech will assist Customer with all IBM FileNet P8 software (version upgrades, updates and patches) via Telephone support and remote access.

This Agreement covers said functionality only in the imaging software environment into which it was originally installed, including maintenance release version upgrades of the IBM FileNet products listed in the attached Software List. In reference to FileNet Software version upgrades, Softech will review version upgrades prior to installing to ensure that the current developed solutions are not affected. (New software versions on occasion delete previously available functions, which may impact the functionality of the current installed applications.). This environment also includes operating system, network environment, any related third-party software, etc.

It is Softech 's intent to continuously upgrade its applications to be compatible with upgrades to the software described above. In addition, Softech plans to provide releases of its products that are compatible with new products which may be released in the future (e.g. , Microsoft Windows 2000). However, it is impossible to know in advance what level of effort will be required to make existing applications compatible with new products.

Since Softech will be providing the installation services (updates, upgrades and or patches, Softech will release compatible versions of the customized application products) as soon as is feasible based on the level of effort involved.

(b) **Hours of Service**

Softech will provide standard telephone support services between the hours of 8:00 a.m. and 5:00 p.m. (Pacific Time) Monday through Friday except for holidays normally recognized by Softech and Customer. (Customer shall provide a copy of its holiday schedule to Softech to assist in scheduling.)

In reference to FileNet P8 version upgrades, updates or patches, Softech will schedule with the customer the required services during non-business hours. Customer is responsible for providing Softech with remote access to the FileNet P8 system.

Three levels of support will be defined as follows:

a. **Critical**—System is down and no work processing can occur.
    i. **Response is (2) hours**
b. **Serious**—A problem has occurred which is significantly impacting user productivity.
    i. **Response is (4) hours**
c. **Standard**—Problems other than Critical or Serious.
    i. **Response is (6) hours**

In the event of a critical system down issue, Softech will provide support outside of standard hours and have a designated contact. This service offering is not classified as on call and will only get you to the assigned contact who will contact staff to support the request. The additional request made by the customer is to contact the following person to request assistance:

Wei_jyh Lin
weijyh.lin@softechis.com
909-996-6224

- Softech will support IBM FileNet, custom applications and Kofax software installed on client's current hardware. This will include the software that will be set up during the IDIS Phase 2 engagement. The support will continue after the implementation.
- Support Agreement includes at no charge assistance for future FileNet software upgrades. Softech's "no charge upgrade fee" applies only to current hardware installed servers and does not include New Hardware installation Services.
- Customer may request in writing onsite support that is beyond the Telephone support provided by Softech. There is an additional charge for Onsite support, and a quote prior to support will be provided based on the Customer's request.
- Customer may request in writing extended hours beyond those stated at an additional cost.
- If we can identify the reported problem and can correct the problem immediately, Softech will correct the problem.
- If Softech is unable to identify or reproduce the reported problem within three (3) days, Softech to go onsite.
- If Softech has identified the problem and it will take longer than three (3) days to resolve, Softech will propose a course of action to resolve the problem.
- If Softech delivers a fix that does not fix the problem, Softech will go onsite to resolve.
- If Softech has to go onsite and determines that the incident is not caused by IBM FileNet or IDIS Application Software, Softech will submit billing for the onsite expense.

(d) **Initiation of Service Request**

Service requests may be initiated by telephone or e-mail to Softech's offices.

Please review the following available methods to contact Softech in reference to a Software Support issue:

1) Telephone: 714 – 427 – 1120
   a) Hao Lu – x 210
   b) Ben Pham –x122
2) E-mail direct to support@softech-assoc.com

Such service requests will provide the nature of the problem being encountered, the version of software in use, whether the error is occurring on a scanning station or workflow station, and provide supporting information, such as error messages, or environment changes which may have caused the problem to occur. Service requests may be initiated by phone, but a written request will be required. At the initiation of any request, Softech will endeavor to respond in the timeliest fashion possible.

When the call is responded to, the Softech service representative shall provide Customer with an estimate of the time required to research the problem. An incident report will be created. Research may include dialing into customer system. The ability to access both network and workstation software via modem is key to the rapid resolution of support issues. If the problem cannot be diagnosed in the time-frame provided to Customer, Softech shall notify customer as to the status, and the new time frame.

Softech shall promptly exercise its best efforts to diagnose and correct the defect, however, Customer and Softech acknowledge that the research of a problem may take a period of time. For Critical or Serious problems, Softech shall work with Customer's technical staff to resolve the problem immediately.

Once the problem has been diagnosed, Softech will provide customer an estimate of the time necessary to rectify the problem. If the problem cannot be remedied within the initially-estimated time frame, Softech shall notify Customer prior to the expiration of the time frame and provide a status on the effort as well as the new projected completion target. While verbal updates may be used as the best way to discuss problems, status reports shall be followed up in writing.

In the event Softech feels that support procedures are being violated or breached, it will notify customer's project manager. First notification of such concern may be via telephone. If the problem persists, a second notification will be made in writing.

I. **Support Services**

(a) During the term of this Agreement, the Customer also may submit Service Orders to Softech for additional services which may be desired. They may result from necessary or desired modifications to the environment which the Customer may deem are in its best interest to make. This shall constitute a change order. When a change order is requested, a Work Order shall be created which will specify the rates under which the work is to be performed, or the fixed price for the effort. It is agreed that Softech will schedule such work as soon as is feasible, given Softech's scheduled workload at the time of the request. The timing for implementation of the Change Order shall be provided to Customer as part of the written acceptance of the Change Order. If such timing is unacceptable to Customer, Customer may, at its option, withdraw the

Change Order without penalty. In this case, customer may also negotiate the purchase of the source code for the application, to enable it to utilize other resources to implement the desired functionality.

Upon acceptance of a Change Order by Softech in writing, a Work Order will be prepared, which Work Order will reflect the terms of the Change Order and will set forth the estimated time of completion, schedule of performance and agreed to cost for the requested Services. Each Work Order, after it is signed by each party hereto, will become a part of and subject to the terms and conditions of this Agreement. The amendment of any Work Order shall be in writing and signed by both parties.

II. **<u>Data and Information</u>**

Customer shall provide Softech, at Customer's expense, all technical data and information necessary for the performance of Softech's Services, including relevant environment changes. Customer shall grant Softech remote access to Customer's system (via PC Anywhere, Carbon Copy or other on-line support methods) for trouble-shooting and observation of the problem when such efforts are believed to support a speedy resolution of the problem.

III. **<u>Control and Supervision</u>**

If resolution of Customer's problems requires Softech personnel to perform services on Customer's premises, Softech shall conform to Customer's published policies and procedures and shall abide by Customer's directions, which are consistent with the Work Order.

It is the express intention of the parties that the Softech is an independent service provider and not an employee, agent or partner of Customer. Nothing in this Agreement shall be interpreted as creating the relationship of employer and employee between Softech and Customer.

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY

Resumption of Thick Client Application Update

By

SOFTECH & ASSOCIATES

An IBM Premier Business Partner

Premier Business Partner IBM

KOFAX

5/23/19

1.0 EXECUTIVE SUMMARY

Softech is pleased to continue to work with the City of Los Angeles Department of Building and Safety (LADBS) in completing the IBM FileNet P8 Thick Application portion of the project that was put on hold in 2018.

Softech has worked with City of Los Angeles Department of Building and Safety (LADBS) on phase 1 & 2 of the project to successfully migrate LADBS's Internet Document Imaging System (IDIS) from an aging IBM Image Services platform to the latest IBM FileNet P8 ECM platform. For Phase 1, All applications and data on the old IDIS system haven been successfully migrated to the new IBM FileNet P8 platform in November 2015. LADBS is now looking to continue improving IDIS application functions, replacing an old Lotus Notes application, and providing expanded ECM services to the LADBS business users by leveraging the installed IBM FileNet P8 platform.

Specific objectives that LADBS desired to achieve include the following:

1. Improve and migrate the IDIS thick client applications that are dependent on an aging FileNet Capture product to a more modern Kofax Capture that includes the KTM products. The FileNet Capture product that IDIS thick clients are based on has reached its end of life cycle. A replacement is overdue and is needed as soon as possible. In addition, the IDIS thick client user interface was designed in 2002 and was based on more than decade old hardware and software technologies and has not been updated since. It is due for a revision to leverage modern document capture technologies that are capable of greatly improving document capture efficiency and accuracy, while at the same time simplifying system administration.
2. Migrate Lotus applications to IBM FileNet P8 platform in order to retire aging Domino servers.
3. Provide IDIS database ad-hoc reporting capability for power users.

In response to the above objectives Softech has identified the following tasks for this Phase of the project:

REF ID#	Module	Description
1	Kofax Deployment	Completion of Kofax PROD environment installation and configuration
2	Coversheet	The index screen will be re-worked to be more user-friendly. Less used data fields will be moved to another tab on the index screen and field length will be sufficient for visual editing.
3	Rescan	Added Functions automatic deletion of rescan records when documents are rescanned, keeping track of rejected documents.
4	Index & Data Entry Verification	Added Functions include reporting rejected documents, more efficient indexing capability, automatic extraction of index data, better rescan/reject management and reporting.
5	Scan	Added Functions include removal of separator sheets, generate scanned batch report, custom Kofax Batch Creation module to pre-assign box number to batches, Automatically generate a report containing information from current "Scanned Batch Excel file".
6	Snapshot	Added Function include new UI, direct updating images.
7	Record Maintenance	Added Function include new UI, Added Function include maintaining box information, maintaining batch information, maintaining legal hold information, reporting records eligible for purge, retention information update
8	Background	Auto Index, Doc Export, RBF Import adjusted to the newly added functions, better logging, remove external job scheduler.
9	File Import	Removal of dependency on FileNet Capture, better logging and error reporting, check if index values in the xml files are HTML-escaped, delete thumbnail images.
10	FtpForArchive	Added Function include new UI and improved logging, Improve the folder count summary listing performance, Restrict users to select only same doc types.
11	Work Management	New module with functions for assigning tasks to staff, track task completion, report on staff task completion performance, staff to see their daily assignments and complete work.
12	Maintenance	Added Function include new UI and new configuration functions.

The requirements, solution, task details, and deliverables for each task are listed in the subsequent sections.

2 PROPOSED SOLUTION

2.1 Overview and Proposed Solution

To accomplish the LADBS goal in a timely manner we are proposing a 2-stage approach to Phase II.

1. The first stage will be to complete the tasks necessary to enable the 11 existing Thick Client Applications to work with Kofax, thus eliminating the dependency on FileNet Capture. Once complete LADBS should be able to sunset the use of FileNet Capture.

2. The second stage is to build out the added feature / functionality to the 11 modules (as outlined below as well as adding a new module "Work Management". Details of the overall feature function sets are described below.

Record Maintenance pp 53-85

The Record Maintenance module was designed for modifying record information, exporting documents, processing exceptions, and performing other record activities. The new design greatly expands on the functional area of record retention. The application supports defining retention schedules and record types based on document type, sub type, and media code (original or duplicate). It governs retention for all IDIS records under the control of the defined schedules. The application provides reports to compile records that are eligible for purging. It also provides legal hold functions to put records under legal holds, thus securing them from being purged or updated.

The retention process of physical paper documents begins even before they are scanned. The business processes were redesigned, and new application functions were created to assign offsite storage boxes to paper batches as soon as they are created. When a box is ready to be shipped to offsite storage vendors, the index information required by the vendor is automatically computed – a process that was laborious and error-prone but now completely automated.

Highlights of the new functions are as follows:

1. Define retention schedule for every doc type, sub type, and media code. Govern record retention based on defined schedules.

2. Allow creation of legal holds based on property addresses and document dates. Secure records under legal holds from being purged or updated. Allow searching for legal holds and removing holds when hold conditions cease to exist.

3. Massively update storage location and offsite box numbers for documents in a box or batch.

4. Generate index data for offsite storage vendors.

5. Reports:

    a. Document Eligible for Purging Report

    b. Documents/Records Deletion Report

File Import pp 153-175

The File Import module was used to import ACOS, PermLA, and Building Permit documents from PFA. File import accounted for 75% of the daily document ingestion volume into IDIS (data from 2015). The majority of them are imports of back files from microfilm conversion vendors. Since the back files do not always return with completely accurate indices, the current practice requires staff members to verify the indices, to make corrections when errors are found, and to keep track of the corrections in order to keep an audit history, and to feedback field correction statistics to the vendor. With millions of back file images needing conversion file import, this can consume a significant amount of staff's time. Improvement to the File Import module can greatly increase the overall RRM productivity.

The new design includes the following enhancements to streamline file import processing:

1. Simplified operation – the application validates batch contents and highlights invalid data files with exception reasons. Users can quickly move exception files requiring further investigation to exception queues with a simple click – an improvement over the previously time-consuming and error-prone process that requires manually moving invalid files outside of the application.

2. Improved user-interface and automatic data correction capture – rather than displaying and editing source xml data files, document indices are presented in a user-friendly form and invalid fields are highlighted for users' attention. Users' editing changes are automatically captured in index correction logs – a dramatic speed improvement and time saving.

3. A different operation mode is provided for indexing files in exception queues. Multiple staff members can work on the same exception queue without interfering each other's work.

4. Added a new capability to import oversized documents.

5. Reports:

    a. DISC Report for PFA/Oversized-ACS – a comprehensive summary report on the processing status of a disc containing multiple folders (batches).

    b. Folder Report for PFA/Oversized-ACS – a detailed report on the processing history of all data files within a folder (batch).

c. ACOS Report – a monthly ACOS import status report.

d. TCO Report – a monthly TCO import status report.

e. PERM LA Report – a monthly PERM LA import status report.

<u>Work Management pp 11-51</u>

The Work Management module is a new module designed for managing and tracking RRM staff members' daily work assignment. Currently, a mixture of Excel files and log sheets are used by RRM for assigning and tracking the completion status of assigned work. In the current IDIS, there is no automation nor is there an automated tool available to track the status of assigned work or staff members' productivity. The Work Management module enables supervisors to plan and assign daily work as well as allowing staff members to view and complete assignments in an automated fashion. The application keeps track of outstanding work for each type of assignments and presents real-time information to guide supervisors to plan assignments efficiently based on most up-to-date outstanding workloads. Supervisors no longer need to manually create assignment sheets, track work completion statuses, or compile performance reports, which are all time-consuming and difficult to adjust to changing workloads. Supervisors can save valuable time from these laborious tasks to spend on driving higher overall team productivity.

Highlights of the functions are as follows:

1. Enable supervisors to plan and assign daily work for all staff in a visual calendar. Guide planning through real-time outstanding work summary for each type of work. Supervisors can view details of any completed work with a simple click.

2. Enable staff members to view and complete their work assignment in a visual calendar. Staff members can conveniently log their completion details that would become visible to supervisors immediately.

3. Automatically track performance metrics for assigned work. Provide department and individual performance reports.

4. Track the life cycle of a permit from its arrival to its processing into IDIS repository, including whether it has been rejected back to originating offices and its subsequent processing. Ensure that all received permits are processed and accounted for.

5. Track the life cycle of a scan batch from batching, scanning, indexing, verifying, to committal to IDIS repository. Track any documents that have been rejected back to the originating office due to incorrect or missing information. Ensure every batch and every document in a batch is accounted for.

6. Track the life cycle of a file import batch. Ensure all batches and every document in a batch is accounted for. Automatically capture corrections to document indices for evaluating quality of data files from third party vendors. Automatically send alert emails to supervisors if exceptions have not been corrected within set timeframe.

7. Management reports:
   a. Detailed reports on documents received through grey-mail and boxes by document types over a period of time.
   b. Monthly Data Correction Report, Monthly Status Report, Monthly Page Report, and Scanned Document Report.
   c. Work Queue Reports for batch indexing, verifying, and file import exception processing.

Additional Work

- Requirements per the 5 attached PDF's will be incorporated into the build within the appropriate section(s)
- Update Kofax environment from Widows 2012 Server to Widows 2016 Server (see separate fee schedule)
  - **Assumptions of current state at LADBS, these are minimum requirements.**

  - **Kofax Capture/KTM Server Minimum Specs**

Server Information (CE)	
Specifications	Intel ® Xeon ® E5-2660 @ 2.20 GHz 8.00 GB RAM
Operating System	Windows 2016 x64
Minimum available disk space	100 GB
Communication ports	TCP 1433, 1434, 2424

  - **Database Server (MSSQL) Minimum Specs**

Database Server Information	Values
Specifications	Intel ® Xeon ® E5-2660 @ 2.20 GHz 4.00 GB RAM
Operating System	Windows 2012 R2 Standard x64, Windows 2016 x64
MSSQL Version	Microsoft SQL Server 2012 (X64), Microsoft SQL Server 2016 (X64)
Authentication	Mixed mode

Instances	default (port:1433)
Services	Database Services

- **Kofax Workstation Minimum Specs**

Workstation Information	
Specifications	Intel ® Core i3-4130 @ 3.40GHz 8.00 GB RAM
Operating System	Windows 10 Enterprise 64-bit
Communication ports	TCP 1433, 1434, 2424

- Thin Client will be modified to allow for additional document types to be viewed by public users

2.2 Project Management

2.2.1 Responsibilities

Softech will be responsible for the following:

- Developing project plan(s)
- Providing status reports to management
- ECM Software Installation and Configuration
- Requirement gathering, analysis, and solution design
- Implementation and testing
- Assist the client in the development and execution of acceptance tests
- Generating control reports / audit trail for reconciliation purposes.
- Softech will also manage this project and provide reports to client management. These reports will describe the status of each task and any issues requiring resolution.

LADBS will be responsible for the following:

- Provide required hardware and with non ECM software installed.
- Provide remote access for the setup of the systems (Dev, Test, Prod)
- Prepare and conduct the Final Acceptance test plan.
- Participate in the weekly meetings
- Approve deliverables within 5 business days from receipt.

2.2.2 Project Management and Reporting

Softech's Project Teams primary responsibility is to provide leadership in defining and implementing the project-related processes for the Project.

Softech will establish a reporting mechanism with the objectives of providing the client Project Team with a clear insight into major activities, decisions, issues, and risks being faced by the project on a regular basis. This reporting will include distribution of electronic copies of minutes for scheduled meetings, weekly status reports, and Issues Log. Softech will identify PM once amendment is executed. Softech PM will be responsible for drafting and maintaining the project plan.

2.2.3 Reporting

Softech will conduct weekly status meetings with the client Project Team. An agenda will be published prior to each meeting and minutes will be recorded and distributed electronically after each meeting. The meetings will focus on project status, any new and in-work Change Requests, issues, and risks.

Periodic reviews will be conducted to present an overview of project accomplishments, issues, risks, and other relevant topics. Guidance and direction provided by the client will be conveyed to the project's teams.

2.2.4 Issues Management

Throughout the life cycle of the project, issues will be identified, dispositional, and entered into the Issues Log. The Issues Log will list all identified issues as well as their priority, action plan, and resolution target dates. Working Teams will address and resolve issues whenever possible. The Project Core Team will address any issues identified by the project Working Teams that cannot be resolved internally. Issues addressed by the project's Core Team are resolved by the Core Team whenever possible.

2.3 Change Order Controls

Softech recognizes that, during the course of a project, changes may occur. These changes may be as a result of external forces (new regulations, etc.), internal changes (*e.g.,* reorganizations), unforeseen project events, or simply a mutual agreement as to better solution elements. Softech utilizes a formal change control process. The purpose of this process is to keep all parties abreast of changes to deliverables and scheduling which may result. The change control process is implemented as follows:

At any time a change to the scope of the project, deliverables, schedule or pricing is determined to have occurred, the project managers will be informed. If the change is initiated by Softech, Softech's project manager will inform the client project manager of the issue. If the change is initiated by the client, the client project manager will alert Softech's project manager. In either case, a conference call will be scheduled, if required, to analyze the impact on the project. Once verbal agreement has been reached to the change, the Softech Project Manager shall issue a formal written change order request, a copy of which shall be sent to the client project manager. The change order will identify the nature of the requested change, and indicate which of the following are affected: schedule, pricing, and/or deliverables. The extent of such effects will also be documented. The client shall be responsible for signing the change order, or notifying Softech of any alterations, concerns or objections. A revised change order may be issued to address the client's concerns.

2.4 Escalation Procedures

It is anticipated that the majority of issues and concerns will be addressed by the project managers. The Project Managers will forward issues, which cannot be resolved at this level, to Softech and the client's management. An outline of the issue, attempts at resolution, and a statement of what is required to resolve the reported issues should be included. This information should be forwarded to the attention of Softech's management and to a client contact to be determined later.

2.5 Softech IBM Direct Support Services

Softech is a premier IBM partner and an IBM FileNet certified support partner. Under this partnership and certifications, Softech is the primary support for the IBM and Kofax software and for Softech applications.

2.6 Project Assumptions

Test, Dev or Staging system installations and configurations will be done remotely. Softech will be onsite for the Production installation and rollout.

Softech staff will report directly to the client's Project Manager.

Softech staff shall immediately report any issues/problems to the client that could affect the timely completion of the deliverables under this project.

Softech work shall be considered "Work for Hire" and any copyrights in the deliverables are irrevocably transferred to the client.

Client personnel with decision-making authority will be available throughout the project to resolve priority issues, and to review, accept or reject deliverable. The will provide Softech remote access to the network to execute the project remotely.

PRICING & SCHEDULE

PHASE II

- **STAGE 1a**
  - **Update Kofax Environment from Win 2012 to 2016**

REF ID#	Module	Fixed Cost
M1-S1a	Installation for each environment (Production and Development)	$4,800
M2-S1a	Scan Workstation installation	$1,200
M3-S1a	Migration batch classes and KTM projects to KC11 + KTM 6.2.1	$6,000
	Phase II, Stage 1a TOTAL	**$12,000**

- **STAGE 1b**
  - **Enable use of Kofax (only)–**

Note: These are cost, and time estimates for Development only. Times for UAT testing and costs for final deployment of code is dependent on LADBS

REF ID#	Module	Fixed Cost
M1-S1b	Kofax Deployment	$21,500
M2-S1b	Coversheet	$21,500
M3-S1b	Rescan	$21,500
M4-S1b	Index & Data Entry Verification	$21,500
M5-S1b	Scan	$21,500
M6-S1b	Snapshot	$21,500
M7-S1b	Record Maintenance	$53,750
M8-S1b	Background	$53,750
M9-S1b	File Import	$53,750
M10-S1b	FtpForArchive	$21,500
M12-S1b	Maintenance	$38,250
	Phase II, Stage 1b, TOTAL	**$350,000.00**
	Business Days (estimate)	**65**
	FTE Days (estimate)	**357**

- **STAGE 2**
  - **ADDITIONAL FEATURE FUNCTION ADDED TO MODULES**

Note: These are cost, and time estimates for Development only. Times for UAT testing and costs for final deployment of code is dependent on LADBS

REF ID#	Module – Stage 2	Fixed Cost
M1-S2	Kofax Deployment	-
M2-S2	Coversheet	$10,290
M3-S2	Rescan	$10,290
M4-S2	Index & Data Entry Verification	$10,290
M5-S2	Scan	$10,290
M6-S2	Snapshot	$15,440
M7-S2	Record Maintenance	$44,590
M8-S2	Background	$44,590
M9-S2	File Import	$44,590
M10-S2	FtpForArchive	$10,290
M11-S2	Work Management	$66,890
M12-S2	Maintenance	$27,450
	Phase II, Stage 2, TOTAL	**$295,000.00**
	Business Days (estimate)	**86**
	FTE Days (estimate)	346

Invoicing & Pricing

Invoices will be issued monthly for each completed Module see Ref ID code delivered to LADBS.

Example May 2019 delivered Modules M1-S1b and M7-S1b - $21,500+$53,750 = $75,250.

If project timeline exceeds estimates listed Softech commits to completing the project as soon as possible and adhering to the fixed quoted pricing.

2.7 Post Implementation

Throughout this project, there may be requests from LADBS for changes to the mutually agreed upon application solutions provided by Softech. Softech shall manage all project changes through the project's Change Order Control process (section 2.3). New work shall be estimated and priced by Softech, after which Softech and LADBS will evaluate the scope changes on the basis of the impact on the project schedule and cost justification. Cost estimates and schedule impact analysis will be presented to the LADBS Project Manager for approval prior to implementation of any Change Order. Changes are broadly defined as any new work activities not described in this SOW.

ATTACMENT 1B

ATTACHMENT 1C

City of Los Angeles Department of Building and Safety
Internet Document Imaging System Enhancement Phase 2
Executive Summary

Oct 19, 2017

An IBM ValueNet Partner

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Table of Contents

1 EXECUTIVE SUMMARY

The Internet Document Imaging System (IDIS) is the primary document management system of Los Angeles Department of Building and Safety (LADBS), and a critical system in the daily operation of Risk & Records Management (RRM) Division of the Resource Management Bureau. The IDIS system was initially built in 2002 based on IBM FileNet Image Services and FileNet Capture products. In 2015, IDIS was migrated out of the aging IBM FileNet Image Services product to IBM FileNet Content Manager – the leading imaging repository product in the industry. The migration was successfully completed in 2015.

Soon after the successful migration, the IDIS team, consisting of leadership from RRM, IDIS admin from Technology Service Bureau, and consultants from Softech, started to embark on phase 2 of the project. Initially, the scope of phase 2 was to replace the aging FileNet Capture product with Kofax Capture/Transformation, the best image capture product in the industry, and to improve areas of application functions that users have long wished to be enhanced.

As the team set out to more precisely define the phase 2 scope and to redesign IDIS using new product technologies, the team saw the opportunity to leverage the technologies further to improve RRM business processes. Through the commitment and great effort from RRM leadership, the team met regularly to examine how the activities pertaining to daily operation, such as mail receiving, document batching, scanning, indexing, verifying, file importing, record retaining, and work tracking, can all be improved. The team conducted rigorous discussions and collaboratively designed new IDIS system functions to achieve these improvements.

The improvements are highlighted in the following six functional areas.

Work Management

The daily RRM activities are completely automated, replacing the current manual process of assigning work and tracking assignment completion statuses. The application keeps track of the outstanding workload for each type of work and presents real-time information to guide supervisors to plan assignments efficiently based on the most up-to-date workloads. Supervisors save valuable time from laborious manual work management to focus on driving higher overall team productivity.

Record Retention

Record retention is greatly improved through retention schedules and record types configured for each doc type, sub type, and media code. The application provides reporting for records eligible for purging while at the same time enables supervisors to create legal holds on records to prevent them from being purged or updated. The retention of physical paper documents is also streamlined so that the application can precisely determine the location of any physical document.

Direct Electronic Document Submission from Non-RRM Sections

As more records are becoming available in their electronic source format, the industry trend is to capture records in their source format and perform image capture and indexing remotely. Non-RRM sections can now index their electronic documents and submit both the electronic files and indices for RRM's review and approval. The process produces a win-win result, as Non-RRM sections know how to best index their documents while RRM keeps the control of image and index quality.

Paper Document Capture

The process of scanning and indexing paper documents are greatly improved with the latest image capture product technologies. The application automatically crops images of mixed-size papers, rotates images to the correct orientation, corrects image skews, and enhances contrast and image quality. Fuzzy data lookup is employed to pull correct job addresses and legal descriptions from databases even if the data was misspelled or abbreviated. The barcode is also used to pull index from databases when scanning Grading, Range File, and Board Files.

Electronic Document Import

File import accounts for a significant percentage of the daily document ingestion volume into IDIS. The application is greatly improved to remove inefficiency in the file import process so that RRM staff members can accomplish more file imports within less time. Corrections made to the vendor provided index data files are automatically captured and exception processing is thoroughly audited.

Comprehensive Reporting

A comprehensive list of reports are provided for management to keep track of work assignments, department and staff performance, document receiving, batch scanning, indexing and verifying, file import processing, outstanding work, non-returned documents sent for correction, records eligible for purging, and legal holds. With these reports, supervisors have a complete picture of RRM's daily operation.

2 ENHANCEMENT SUMMARY BY MODULES

All modules are being redesigned to leverage the latest windows technology for greater efficiency through a much improved user-interface. Enhancements specific to each module are summarized in the following sections.

2.1 Work Management

The Work Management module is a new module designed for managing and tracking RRM staff members' daily work assignment. Currently, a mixture of Excel files and log sheets are used by RRM for assigning and tracking the completion status of assigned work. In the current IDIS, there is no automation nor is there an automated tool available to track the status of assigned work or staff members' productivity.

The Work Management module enables supervisors to plan and assign daily work as well as allowing staff members to view and complete assignments in an automated fashion. The application keeps track of outstanding work for each type of assignments and presents real-time information to guide supervisors to plan assignments efficiently based on most up-to-date outstanding workloads. Supervisors no longer need to manually create assignment sheets, track work completion statuses, or compile performance reports, which are all time-consuming and difficult to adjust to changing workloads. Supervisors can save valuable time from these laborious tasks to spend on driving higher overall team productivity.

Highlights of the functions are as follows:

1. Enable supervisors to plan and assign daily work for all staff in a visual calendar. Guide planning through real-time outstanding work summary for each type of work. Supervisors can view details of any completed work with a simple click.

2. Enable staff members to view and complete their work assignment in a visual calendar. Staff members can conveniently log their completion details that would become visible to supervisors immediately.

3. Automatically track performance metrics for assigned work. Provide department and individual performance reports.

4. Track the life cycle of a permit from its arrival to its processing into IDIS repository, including whether it has been rejected back to originating offices and its subsequent processing. Ensure that all received permits are processed and accounted for.

5. Track the life cycle of a scan batch from batching, scanning, indexing, verifying, to committal to IDIS repository. Track any documents that have been rejected back to the originating office due to incorrect or missing information. Ensure every batch and every document in a batch is accounted for.

6. Track the life cycle of a file import batch. Ensure all batches and every document in a batch is accounted for. Automatically capture corrections to document indices for evaluating quality of data files from third party vendors. Automatically send alert emails to supervisors if exceptions have not been corrected within set timeframe.

7. Management reports:

    a. Detailed reports on documents received through grey-mail and boxes by document types over a period of time.

    b. Monthly Data Correction Report, Monthly Status Report, Monthly Page Report, and Scanned Document Report.

    c. Work Queue Reports for batch indexing, verifying, and file import exception processing.

2.2 Record Management

The Record Maintenance module was designed for modifying record information, exporting documents, processing exceptions, and performing other record activities.

The new design greatly expands on the functional area of record retention. The application supports defining retention schedules and record types based on document type, sub type, and media code (original or duplicate). It governs retention for all IDIS records under the control of the defined schedules. The application provides reports to compile records that are eligible for purging. It also provides legal hold functions to put records under legal holds, thus securing them from being purged or updated.

The retention process of physical paper documents begins even before they are scanned. The business processes were redesigned, and new application functions were created to assign offsite storage boxes to paper batches as soon as they are created. When a box is ready to be shipped to offsite storage vendors, the index information required by the vendor is automatically computed – a process that was laborious and error-prone but now completely automated.

Highlights of the new functions are as follows:

1. Define retention schedule for every doc type, sub type, and media code. Govern record retention based on defined schedules.
2. Allow creation of legal holds based on property addresses and document dates. Secure records under legal holds from being purged or updated. Allow searching for legal holds and removing holds when hold conditions cease to exist.
3. Massively update storage location and offsite box numbers for documents in a box or batch.
4. Generate index data for offsite storage vendors.
5. Reports:
    a. Document Eligible for Purging Report
    b. Documents/Records Deletion Report

2.3 Snapshot

The Snapshot module was designed to capture electronic files into the IDIS database. RRM uses this application to add electronic files to an existing IDIS record, or to create a new record while adding files.

The new design expands its use to other DBS bureaus and allows Non-RRM sections to submit requests to RRM for adding documents to existing records or creating new records. Users index the record and attach electronic files to requests directly. RRM would review the image and index and either approve the request or reject it back to its originator for correction. The entire process is streamlined – no need for manual file handoff, or for RRM to perform indexing. The process produces a win-win result, as Non-RRM originators know how best to index their documents while RRM keeps the control of image and index quality.

As more records are becoming available in their electronic source format, this module is in line with the industry trend – capture records in their source format and perform image capture and indexing remotely.

2.4 Scan

The Scan module is used by the scan operator to scan IDIS documents. The Scan module was implemented using FileNet Capture and is to be replaced by Kofax Capture/Transformation – the industry's leading image capture product. The new design greatly simplifies IDIS's image capture configurations. It is capable of automatically cropping images of mix-sized papers, rotating image orientation, detecting color scanning, correcting image skews, and enhancing contrast and overall image quality. It also supports direct batch content editing by re-ordering, inserting, deleting, or rescanning pages within a batch. All these were either not possible previously or requires users to choose from complex settings for desired paper size and orientation.

The new design also uses barcode for scanning Grading, Range File, and Board File documents. The design automatically detects barcodes and pulls the index information directly from the source databases, thus greatly improving indexing speed and accuracy.

2.5 Index/Verification

The Index module was implemented using FileNet Capture and is being ported to Kofax Capture/Transformation. The new design enables batch content editing during indexing – a great saving of time as missing or poorly scanned pages do not require a batch rescan that was previously required. Fuzzy searches are provided for searching property addresses, legal descriptions, assessors, and pins. This allows us to pull the correct data from databases even when information on the document was misspelled or abbreviated (e.g. abbreviated track name).

The new design also greatly improves the indexing capability – the entire screen space is used for indexing and viewing images; identical index data can be copied amongst documents within the same batch; data can be automatically extracted whenever possible; data can also be copied from OCR results by simply clicking on the corresponding data on the document image. Documents marked for rejection back to originating offices are automatically separated out and tracked by the application for returning and rescanning.

2.6 File Import

The File Import module was used to import ACOS, PermLA, and Building Permit documents from PFA. File import accounted for 75% of the daily document ingestion volume into IDIS (data from 2015). The majority of them are imports of back files from microfilm conversion vendors. Since the back files do not always return with completely accurate indices, the current practice requires staff members to verify the indices, to make corrections when errors are found, and to keep track of the corrections in order to keep an audit history, and to feedback field correction statistics to the vendor. With millions of back file images needing conversion file import, this can consume a significant amount of staff's time. Improvement to the File Import module can greatly increase the overall RRM productivity.

The new design includes the following enhancements to streamline file import processing:

1. Simplified operation – the application validates batch contents and highlights invalid data files with exception reasons. Users can quickly move exception files requiring further investigation to exception queues with a simple click – an improvement over the previously time-consuming and error-prone process that requires manually moving invalid files outside of the application.

2. Improved user-interface and automatic data correction capture – rather than displaying and editing source xml data files, document indices are presented in a user-friendly form and invalid fields are highlighted for users' attention. Users' editing changes are automatically captured in index correction logs – a dramatic speed improvement and time saving.

3. A different operation mode is provided for indexing files in exception queues. Multiple staff members can work on the same exception queue without interfering each other's work.

4. Added a new capability to import oversized documents.

5. Reports:

    a. DISC Report for PFA/Oversized-ACS – a comprehensive summary report on the processing status of a disc containing multiple folders (batches).

    b. Folder Report for PFA/Oversized-ACS – a detailed report on the processing history of all data files within a folder (batch).

    c. ACOS Report – a monthly ACOS import status report.

    d. TCO Report – a monthly TCO import status report.

    e. PERM LA Report – a monthly PERM LA import status report.

2.7 Rescan

The Rescan module was used to keep track of documents that were either rejected for rescan due to poor image quality or rejected for correcting data on source documents. The rejected items, however, serve only as reminders. When documents were rescanned, or corrected versions were later received and processed, these reminders need to be manually searched and purged – a laborious and error-prone process.

The new design does not require manual deletion of these reminders after actual rescan or reprocessing. Instead, the reminders were turned into action items that RRM can manage in an orderly fashion. Documents requiring rescan or correction are split into a child batch and kept in the Kofax Quality Control Queue. As scan operators pick up batches from the Kofax Quality Control Queue and complete the rescan, the action item is automatically checked off in the database.

For documents rejected back to originating offices for correction, the Rescan module allows supervisors to enter additional information to keep track of the rejected documents. The application is also enhanced to send reminder emails to originators for documents that were not returned to RRM. In addition, the application provides an Aging Non-Returned Document Report that RRM staff/supervisor can run to monitor non-returned documents and to ensure all correct documents eventually return for processing.

2.8 Coversheet

The Coversheet module is used to create IDIS Barcode coversheets for faster scanning. With this application, Non-RRM users can pre-index the document, print the coversheet, and send the coversheet along with the document to RRM for scanning. Using Coversheet is like performing indexing before scanning.

The new design ensures that Non-RRM users can only index records of allowed doc types; they can only modify their own Coversheet records before the documents are scanned; and the records must go through RRM's verification.

3 PLANNED TESTING AND GO-LIVE SCHEDULE

IDIS Thick Clients Features	*Start Date*	*End Date*	*Resource*
WAVE # 1			
Rescan, Coversheet, Snapshot, Auto Index, Doc Export, RBF Import First Round testing	11/14/2017	11/24/2017	LADBS
Rescan, Coversheet, Snapshot, Auto Index, Doc Export, RBF Import First Fix	11/27/2017	12/1/2017	Softech
Rescan, Coversheet, Snapshot, Auto Index, Doc Export, RBF Import Second Round testing	12/4/2017	12/8/2017	LADBS
Rescan, Coversheet, Snapshot, Auto Index, Doc Export, RBF Import Second Fix	12/11/2017	12/15/2017	Softech
Work Management module First Round Testing	1/1/2018	1/13/2018	LADBS
Work Management module First Fix	1/15/2018	1/19/2018	Softech
Work Management module Second Round Testing	1/22/2018	1/26/2018	LADBS
Work Management module Second Fix	1/29/2018	2/2/2018	Softech
RM, FileImport, FtpForArchive, Maintenance First Round Testing	2/5/2018	2/16/2018	LADBS
RM, FileImport, FtpForArchive, Maintenance First Round Fix	2/19/2018	2/23/2018	Softech
RM, FileImport, FtpForArchive, Maintenance Second Round Testing	2/26/2018	3/2/2018	LADBS
RM, FileImport, FtpForArchive, Maintenance Second Round Fix	3/5/2018	3/9/2018	Softech
UAT	3/12/2018	3/14/2018	Tristan
IDIS Thick Client Deployment Packaging	3/15/2018	3/16/2018	Softech
IDIS Thick Client Installation	3/15/2018	3/16/2018	Softech

Softech QA Deployment	3/16/2018	3/16/2018	Yeh
PROD System deployment completed, UAT completed. Users sign off UAT.	3/19/2018	3/21/2018	Tristan
PROD Go-live		3/22/2018	Tristan

IDIS Thick Client Work Management Module Solution Design

2017/10/11

Contents

Overview

The Work Management module is designed for managing and tracking staff members work in RRM. Currently, a mix of Excel files and log sheets are used by RRM to assign work to staff members and to track completion status of assigned work. There is no automation and no tool is available to track individual staff members' performance on assigned tasks. The Work Management module enables supervisors to plan work assignment and allows staff members to view and complete their assigned work. This module also includes reports for tracking staff members' work performance, scan batch processing, file import job processing, documents returned for correction, and other daily staff members' work assignments.

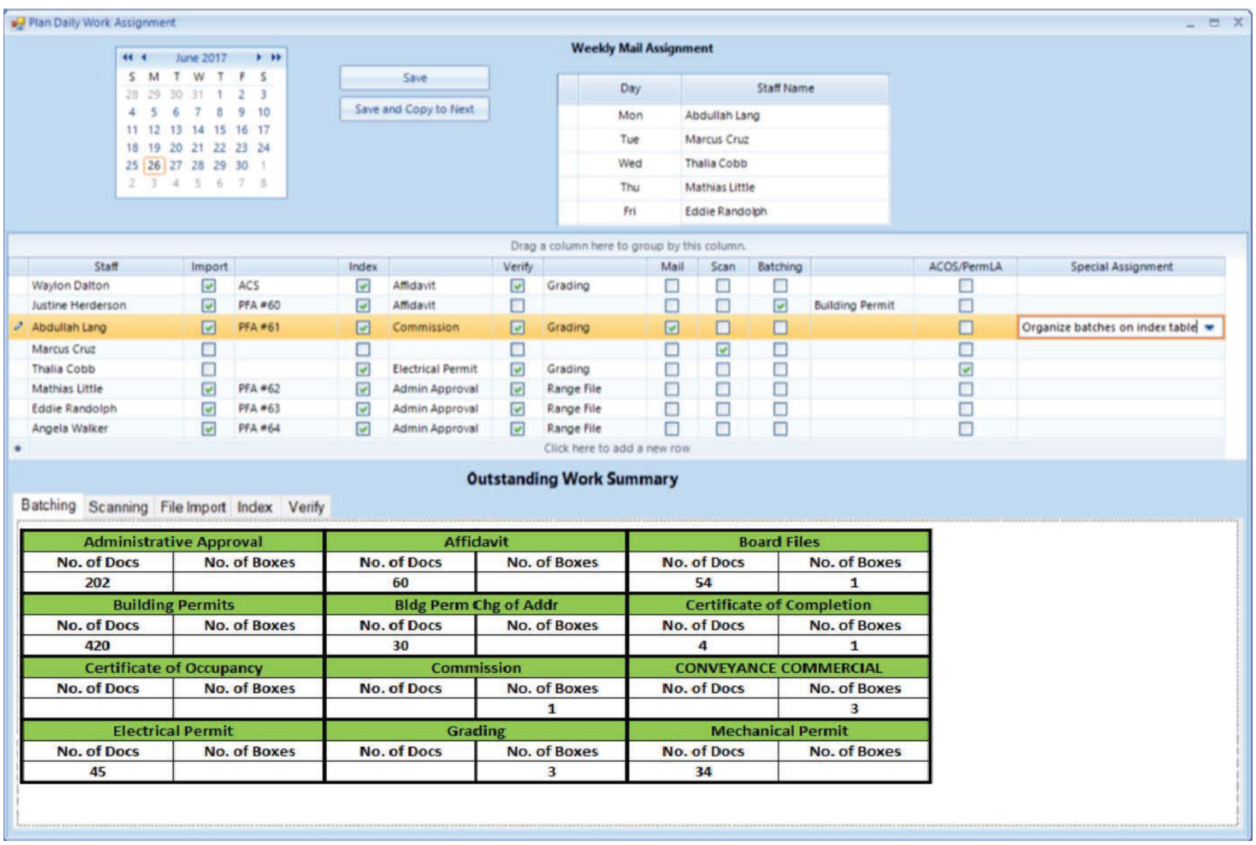
Main Functions

Specifically, the module provides the following functions:

1. Supervisor can plan daily work assignments – allows supervisors to plan daily work assignments of receiving incoming mail, batching jobs, scanning, file importing, indexing, data entry verification, special task assignment, and importing ACOS/PermLA.
2. Supervisor can view daily work completion detail statuses.
3. Supervisor can view various reports:
    a. Department monthly work completion summary statistics
    b. Individual monthly work completion summary statistics
    c. Scan-Index-Verify Log report
    d. Reject Documents for Correction report
    e. Receiving mail report
    f. File Import report
4. Staff members can view daily work assignments in a week and to complete assignments – Staff members can see their pending assignments and mark complete when they are done (automatically by application for indexing, importing, scanning, and verification tasks).

Plan Daily Work Assignment

This function allows supervisors to plan daily work assignments of receiving incoming mail, batching jobs, scanning, file importing, indexing, data entry verification, special task assignment, and importing ACOS/PermLA. The screen layout mimics the current Employee Schedule Spreadsheet:



The behavior is summarized as follows:

1. The application will have a list of RRM staff members configured in the Maintenance module's User Maintenance function.
2. Supervisors can click on a date in the future that does not have daily work assignments and the data table will list all the configured RRM staff members with blank assignments.
3. Supervisors can check the assignments based on task and staff members or enter special assignments. Mail assignments is automatically assigned by rotating among all configured RRM staff. Supervisors can overwrite the assignments.
4. The Weekly Mail Task Assignment section displays the current assignments for received mail for the week of the currently selected date. This is so supervisors can evenly distribute the mail receiving assignments among workers for the week.
5. Supervisors can click on the "Save" button to save the daily work. Clicking on the "Save and Copy to Next" would save the day's configuration and also move to the next work date and populate the just configured data.
6. If supervisors click on a date in the future that already has daily work assignments, the data table would display all the configured assignments. Supervisor can make changes to the assignments.
7. If supervisors click on a date in the past, the window would display all the configured assignments. Supervisor will not be able to make changes to the assignments.
8. The special assignment drop down menu will contain common assignments and when "other" is selected, the user has a free form field. This dropdown menu is maintained in "Configure Special Assignment Type" in this module. Please refer the corresponding section below.

Outstanding Work Summary

The application displays summaries of outstanding work in each type of assignment to assist supervisors' planning of daily work assignments. Summaries for all types of assignments except Mail Receiving and Special Assignment are provided. The summary information for each type of assignment is displayed in the bottom half of the Plan Daily Work Assignment window. Each summary has a tab and is described as follows:

Batching Outstanding Work Summary

1. This is for supervisors to plan Batching tasks. The summary includes the following information for outstanding documents to be batched:
    a. Doc Type
    b. Number of documents (from grey mail)
    c. Number of boxes
2. Numbers of documents per doc type (from grey mail) are accumulated day-by-day from the information entered by mail receiving staff when they complete Mail Receiving assignments (please see section "Staff Work Calendar/Mail" below) and is subtracted by the information

entered by batching staff when they complete Batch assignments (please see section "Staff Work Calendar/Batching" below).

3. The Reconcile Indicator entered by batching staff would reset the outstanding summary for that doc type (grey mail) or box. This is needed since the number of documents entered at the time of receiving may not match exactly with the number of documents entered at the time of batching.
4. Note that this summary does not account for batching tasks that were assigned but not yet completed (Batching instruction does not include number of documents assigned to a batch.)
5. Supervisors should also be able to adjust the outstanding work volume numbers when necessary.

Scanning Outstanding Work Summary

1. This is for supervisors to plan Scanning tasks. The summary includes the following information for outstanding batches/documents to be scanned:
    a. Doc Type
    b. Number of batches
    c. Number of documents
2. This needs to accumulate the day-to-day numbers of batches and documents completed (entered when completing Batching assignments) and to subtract by the number of batches/documents scanned.

File Import Outstanding Work Summary

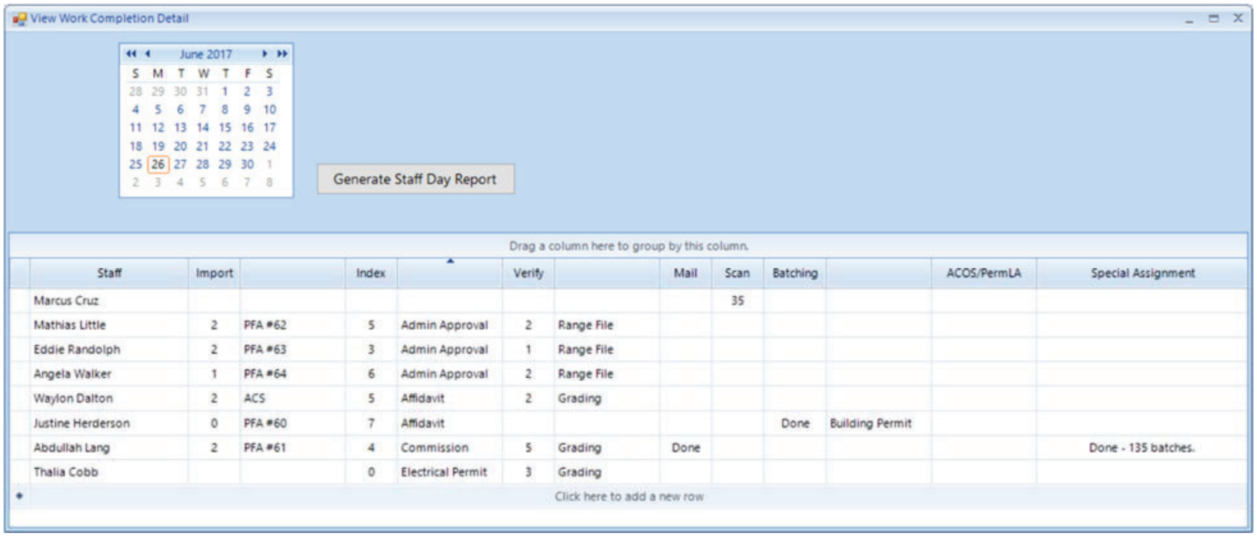
1. This is for planning File Import assignments. The summary includes the following information:
    a. Import Type
        i. A list of Doc Type folders (could be anything that suit file organizations), and for each folder the following information:
            1. Number of folders not processed yet under the folder
            2. Number of files under the folder
    b. The total number of import exceptions not resolved

Index/Verify Outstanding Work Summary

1. This is for planning Index/Verify assignments. The summary includes the following information:
    a. Doc Types
    b. Number of batches/documents needed to be processed for the doc type

View Work Completion Detail

This function allows supervisors to view completion details of daily work assignments:



The behavior is summarized as follows:

1. Supervisors click on a date in the past (including today) and the window would display all the assignments with their completion status.
2. For Import, Index, Verify, Scan, and ACOS/PermLA the data table cells display the number of documents completed. These are automatically generated when staff members complete batches on the corresponding date with file import, index, verify, and scan modules. Non-assigned cells remain blank. Assigned cells with no documents completed would display ‘0.’
3. For Mail, Batching, and Special Assignments the data table cells display ‘Done’ or, in the case of Special Assignments, a user-entered quantity and comment when completing the assignment.
4. The application would produce a warning message when a future date is clicked.
5. Users can click on a cell to view details of the completion status in a pop-up window. The following sections describe the detailed completion status information for each assignment type.
6. Supervisors can also select a staff member and click on the “Generate Staff Day Report” to generate a concatenated report of all task completion details. The tasks are sorted by completion time of tasks. Incomplete tasks are listed toward the end of the report. Each task reported contains, in additional to details, the start-time, end-time, and total-time spent completing the tasks. In addition, this report should include an audit trail of the time line spent on work (which task he/she is on) and pauses throughout the day. The total time spent completing tasks for that day is also displayed.

Import

The information in the report includes:

1. Assignment Type: File Import
2. Completion Date: MM/DD/YYYY
3. Assignee: (person’s name)
4. Number of folders imported

5. Number of files imported
6. Number of exception documents processed

For each imported batch a detailed report is displayed. Report formats for each report type are different.

The following import batch report information is displayed for import types of PFA:

1. Import Date (Completion Date)
2. How many files in the original file set
3. How many files imported
4. How many files deleted
5. Types of input file sets: PFA
6. CD # and File # (for PFA import)
7. Staff Name
8. List of Rejected/Invalid documents and their rejection reasons or exceptions
9. List of files with corrections
    a. XML file #/name
    b. Property Address
    c. List of corrected index
        i. Before and after corrected indices
        ii. Initial validation errors
    d. Comments

Each import batch report looks similar to the following screenshots:

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT

File Import Index Correction Report

FOLDER IMPORT PROGESS AS OF 7/1/2017

FILE TYPE:	PFA	DOC TYPE:	BUILDING PERMITS	SUBTYPE:	VARIOUS
FILES FOUND:	81	FILES DELETED:	0	FILES IMPORTED:	81

CD NAME:	P6493	FOLDER:	11	PENDING:	0
				COMPLETED:	6/8/2017

EMPLOYEE Name:				CHAUNTEL MARTIN							DATE:				6/8/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	1950	R-N	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B29675			1	/	1

EMPLOYEE Name:				ANDREW PEERS							DATE:				6/6/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	D-D	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B28964			1	/	2

EMPLOYEE Name:				JOSHUA MIRANDA							DATE:				6/5/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	PUC	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	D-T	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	EX	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B27143			79	/	81

LEGEND

DOCY TYPE	D-T	STATUS	STAT	ADDRESS	ADD	COMMENTS	CMM	REF NUMBER	R-N	PRIMARY USE CODE	PUC		
SUB TYPE	S-T	DOC DATE	D-D	LEGAL	LG	DOC NUMBER	D-N	EXCEPTIONS	EX				

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT
File Import Index Correction Report

PAGE 24 of 50

FILE NAME	PROPERTY ADDRESS SHOWN ON DOCUMENT	ACTION TAKEN	EMPLOYEE	DATE	CHANGED FROM	CHANGED TO
P649301**90**10000	8804 VAN NUYS BLVD	USE CODE	307805 / JM	6/5/17	SFD	DEMOLITION
P6493019250000	753 N MICHELTORENA ST	DOC TYPE	307805 / JM	6/5/17	ALTER REPAIR	ADDITION
P6493019500000	6817 N FIGUEROA ST UNIT 8	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P6493019510000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P6493019500000	6817 N FIGUEROA ST UNIT 8	DOC - DATE	123456 / AP	6/6/17		ORIGINAL PULLED
P6493019510000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	123456 / AP	6/6/17		FOLDED
P6493019510000	3041 N BEVERLY GLEN CIR	DOC - DATE	654321 / CM	6/8/17		REEL PULLED

COMMENTS:

Notes on the reports:

1. This report has two sections: the Folder Overview section and the Correction Details section.
2. The overview section gives a color-coded overview of the found problems (if present) for each file on the folder. In addition to showing who initially worked on the folder it also shows who subsequently worked on previously unresolved exceptions. A full color-coded folder view is displayed for processing by each person. The section that worker worked on is highlighted. For example, when this report shows Joshua's work assignments, Joshua's section is highlighted. Andrew's section will be highlighted if this report is clicked on Andrew's task which was to fix exception documents. The yellow/orange highlights are on the "NAME" and "DATE" column headings and the corresponding correction detail rows.
3. The color-code legend is repeated on every page of the overview section: (spread out to make use of the horizontal spaces.)

LEGEND

DOCY TYPE		D-T	STATUS		STAT	ADDRESS		ADD	COMMENTS		CMM	REF NUMBER		R-N	PRIMARY USE CODE		PUC
SUB TYPE		S-T	DOC DATE		D-D	LEGAL		LG	DOC NUMBER		D-N	EXCEPTIONS		EX			

4. The correction detail section lists all the details for each correction. The format can be explained in the example screenshots above:
   a. Joshua worked on the folder initially on 6/5/2017. He corrected four files: one on Primary Use Code, one on Doc Type, and two can't be resolved and thus moved to the

Exceptions queue. The before and after values of the corrected fields are captured in the “CHANGED FROM” AND “CHANGED TO” columns. For Exception, only “FOLDED” are logged in the “CHANGED TO” column.

b. Andrew worked on the first exception file on 6/6/2017. He corrected the issue (which was a missing Doc Date issue) by pulling the original document and entering the Doc Date. The “CHANGED TO” column indicates “ORIGINAL PULLED.” He moved the other unresolved file to another Exceptions queue.
c. Chauntel worked on the last exception file on 6/8/2017. She pulled the microfilm and entered the missing Doc Date field. The “CHANGED TO” column indicates “REEL PULLED.” This completes the entire folder of files.
d. “ORIGINAL PULL” AND “REEL PULLED” will be taken from the notes workers have previously entered when working on the exception.

5. The correction detailed section can have as many pages as it needs to show all the corrections.

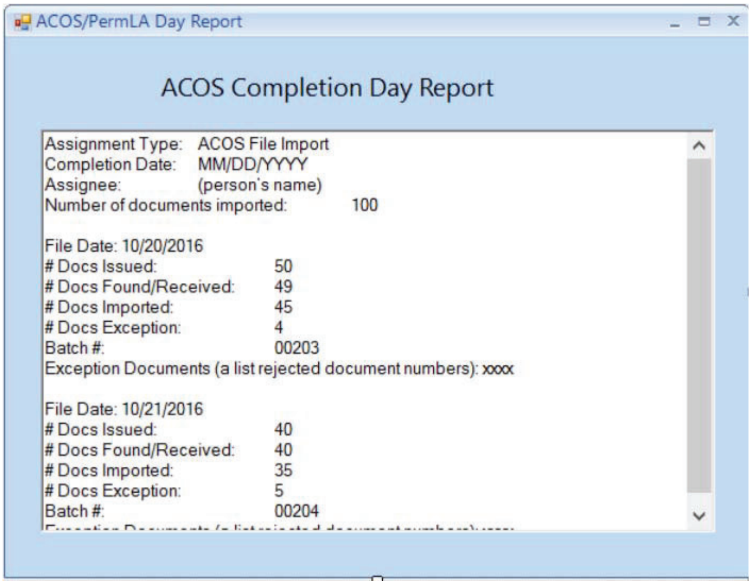
ACOS/PermLA

The information in the report includes:

1. Assignment Type: ACOS/PermLA File Import
2. Completion Date: MM/DD/YYYY
3. Assignee: (person’s name)
4. Number of documents imported

For each imported batch the following import batch report information is displayed:

1. File Date
2. # Docs Issued
3. # Docs Found/Received
4. # Docs Imported
5. # Docs Exception
6. Batch #
7. Exception Documents (a list of rejected document numbers)


ACOS/PermLA Day Report

ACOS Completion Day Report

Assignment Type: ACOS File Import
Completion Date: MM/DD/YYYY
Assignee: (person's name)
Number of documents imported: 100

File Date: 10/20/2016
Docs Issued: 50
Docs Found/Received: 49
Docs Imported: 45
Docs Exception: 4
Batch #: 00203
Exception Documents (a list rejected document numbers): xxxx

File Date: 10/21/2016
Docs Issued: 40
Docs Found/Received: 40
Docs Imported: 35
Docs Exception: 5
Batch #: 00204

Index

The information in the report includes:

1. Assignment Type: Index
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of batches indexed
5. Number of documents indexed

For each indexed batch the following batch report information is displayed in the Scan-Index-Verify report format:

1. Document Type: Range Files
2. Batch ID: xxxxxx
3. # of Docs: xxx
4. # of Pages: xxx
5. # of Docs Rejected: xx
6. # of Docs Returned: xx
7. Highlight the columns of the Index portion (i.e. from Indexed By to before Verified By)
8. Batched By

Document Type	Doc Class	Batched By	Batch Dat	Scanned By	Date	Comments	# Docs	# Pages	Indexed By	Date Assigned	Date Completed	# Rejected	# Rescan	Verified By	Date Assigned	Date Completed	# Rejected	# Rescan	Box #	Batch #
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0						868	7477
Grading				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0						868	7477
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0						868	7477
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0						868	7477

(No limitation on the numbers or characters since these are just displayed content.)

Verify

The information in the report includes:

1. Assignment Type: Data Entry Verification
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of batches verified
5. Number of documents verified

For each verified batch the following batch report information is displayed in the Scan-Index-Verify report format:

1. Document Type: Range Files
2. Batch ID: xxxxxx
3. # of Docs: xxx
4. # of Pages: xxx
5. # of Docs Rejected: xx
6. # of Docs Returned: xx
7. Highlight the columns of the Verify portion (i.e. from Verify By to Box #)
8. Batched By

Document Type	Doc Class	Batched By	Batch Dat	Scanned By	Date	Comments	# Docs	# Pages	Indexed By	Date Assigned	Date Completed	# Rejected	# Rescan	Verified By	Date Assigned	Date Completed	# Rejected	# Rescan	Box #	Batch #
Range Files				(Ctrl)	3/25/2016		23	304	Danny		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Grading				Josh B	3/25/2016		23	304	Michelle		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Range Files				Josh B	3/25/2016		23	304	Michelle		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477

Scan

The information in the report includes:

1. Assignment Type: Scan
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of batches scanned/doc type
5. Number of documents scanned/doc type
6. Number of pages/doc type

For each scanned batch the following batch report information is displayed in the Scan-Index-Verify report format:

1. Document Type: Range Files
2. Document Class: xxx
3. Batch ID: xxxxxx

4. # of Docs: xxx
5. # of Pages: xxx
6. Highlight the columns of the Scan portion (i.e. from Scan By to before Indexed By)
7. Batched By

Document Type	Doc Class	Batched By	Batch Dat	Scanned By	Date	Comments	# Docs	# Pages	Indexed By	Date Assigned	Date Completed	# Rejected	# Rescan	Verified By	Date Assigned	Date Completed	# Rejected	# Rescan	Box #	Batch #
Range Files				Josh B	3/25/2016		23	304											868	7477
Grading				Josh B	3/25/2016		23	304											868	7477
Range Files				Josh B	3/25/2016		23	304											868	7477
Range Files				Josh B	3/25/2016		23	304											868	7477

Mail

The information in the report includes:

1. Assignment Type: Receiving Mail/Box
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of documents for non-Building Permit
5. Number of documents for Building Permit
6. Number of documents for received box

For non-Building Permits, the following tabular report information mimicking the current Incoming Document Log Form is displayed:

1. Document Type
2. Operator
3. Day of the week/Date, and document counts/doc type

For Building Permits, the following tabular report information mimicking the current Incoming Building Permit Log Form is displayed:

1. Date received
2. Originating office
3. Date batched
4. Building Card Numbers
5. Exceptions (such as missing Building Card Numbers, barcode, signed, issued, attachments present)
6. Number of permits received

For a box of documents, the following tabular report information is displayed:

1. Date Received
2. Document Type
3. Box Number

The report is generated in a weekly report format, with the selected date highlighted.

B	C	D	E	F	G	H	I	J	K
		Incoming Document Log Report							
Completion Date: 7/10/2017 - 7/12/2017				Non-Building Permit Docs:			144		
				Building Permit Docs:			897		
				Box/Docs:			5/1041		
Non-Building Permit:									
7/10/2017	Board Files			Bldg Perm Chg of Addr			Grading		
Josh	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes
	4			4			4		1
	Certificate of Occupancy			Commission					
	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes			
	35	2.5				1			
7/11/2017	CERTIFICATE OF OCCUPANCY-TEMP								
John	No. of Docs	Heights (inch)	No. of Boxes						
	62	3.2							
7/12/2017	Certificate of Occupancy			CONVEYANCE COMMERCIAL					
Andrew	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes			
	35	2.5				3			

Incoming Doc Log - Non-BP | Incoming Doc Log - BP

		Incoming Document Log Report						
Completion Date: 7/10/2017 - 7/12/2017				Non-Building Permit Docs:			144	
				Building Permit Docs:			897	
				Box/Docs:			5/1041	
Building Permit								
7/10/2017	Originating Office	LA	LA	LA	VN	WL		
Josh	Date Issued	7/8/2017	7/9/2017	7/10/2017	7/10/2017	7/10/2017		
	Bldg Card # Beg	2017LA00004	2017LA00032	2017LA00064	2017VN00001	2017WL00030		
	Bldg Card # End	2017LA00031	2017LA00063	2017LA00119	2017VN00027	2017WL00060		
	# of Permits	26	31	56	26	31		
	Exceptions	2017LA00027 2017LA00028	2017LA00055		2017VN00022	2017WL00041		
7/11/2017	Originating Office	EP	LA	LA	LA			
John	Date Issued	7/11/2017	7/8/2017	7/8/2017	7/11/2017			
	Bldg Card # Beg	2017EP00001	2017LA00027	2017LA00028	2017LA00032			
	Bldg Card # End	2017EP00027	2017LA00027	2017LA00028	2017LA00063			
	# of Permits	27	1	1	31			
	Exceptions	2017EP00022	Excpt Recved	Excpt Recved	2017LA00055			
7/12/2017	Originating Office	SL	SP	VN				
Andrew	Date Issued	7/12/2017	7/12/2017	7/12/2017				
	Bldg Card # Beg	2017SL00064	2017SP00030	2017VN00004				
	Bldg Card # End	2017SL00119	2017SP00060	2017VN00031				
	# of Permits	56	31	27				
	Exceptions		2017SP00051	2017VN00028				

Incoming Doc Log - Non-BP | Incoming Doc Log - BP

(No limitation on the numbers or characters since these are just displayed content.)

Batching

The information in the report includes:

1. Assignment Type: Batching
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of batches batched
5. Number of documents batched

For each batch the following batch report information is displayed:

1. Document Type: Range Files
2. Document Class: xxx
3. Box Number: xxx
4. Batch ID: xxxxxx
5. # of Docs: xxx
6. # of Pages: xxx

The numbers in this report are only available after the batch is created in the Scan module.

Special Assignment

The information in the report includes:

1. Assignment Type: Special Assignment
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Supervisor instruction:
5. Completion Remarks:

Supervisor Reports

The supervisor report includes the following reports that can be generated by a date range:

a. Department monthly work performance summary statistics
b. Individual monthly work performance summary statistics
c. Scan-Index-Verify Log report
d. Return for Correction report
e. Receiving mail report
f. File Import reports
    i. DISC Report for PFA
    ii. DISC Report for Oversized-ACS
    iii. ACOS Report
    iv. TCO Report
    v. PERM LA Report

Department Monthly Work Performance Summary Statistics

This is a report to show, on a monthly basis, the following performance metrics per document type (including File Import Exceptions) at the department level:

1. AVG/HR: average number of documents completed per hour by a staff member
2. TOTAL: total number of documents completed by a staff member

3. The AVG/HR numbers are color coded by comparing the numbers against a standard number (per doc type) that is separately maintained. Four color codes are used:
    a. Gold Standard: 20% above standard number
    b. Standard: meets standard number but not 20% exceeding
    c. Minimum: below standard number but not 20% below
    d. Below Minimum: 20% below standard number

	Gold Standard
	Standard
	Minimum
	Below Minimum

4. Two sets of numbers are generated for each doc type and staff member: INDEXING and VERIFYING
5. The standard AVG/HR/doc type is maintained by supervisors. The user interface would allow to directly enter a number or specify a date range to calculate the average number from historical data.
6. The doc types that are reported here are maintained by supervisors in a separate screen. (See Configure Performance Report Doc Types section below; page 29)
7. This report can be run for any period of time with specified start-date and end-date.

This report also includes an Across-Doc-Type performance table on the left. This table has one row per staff member and three columns. The four columns of information are:

1. TOTAL: the total number of doc types that the staff member has worked on (including file imports and scan batch indexing/verifying) for the specified period of time.
2. BELOW: the total number of doc types that the AVG/HR is below minimum for the specified period of time.
3. %BELOW: BELOW/TOTAL
4. GOLD: the number of doc types that meet the Gold Standard.

This report is generated in excel format, as is currently being used by supervisor, and is able to be run by a date range.

IDIS STATS JUNE 1st-9th

BELOW/TOTAL

	BELOW	TOTAL	% BELOW	GOLD
PAT		9		2
[illegible]				
[illegible]		10		5
[illegible]		4		
[illegible]	1	10	10	
[illegible]		9		
[illegible]	2	10	20	
[illegible]		3		
[illegible]	4	10	40	
[illegible]		10		
[illegible]		1		
[illegible]	1	7	14	
[illegible]		1		
[illegible]	1	7	14	
[illegible]	1	7	14	
[illegible]	1	4	25	

# of doc types, include file import, index or verify during the month.

# of doc types that the AVG/HR are below STANDART

ADMINISTRATIVE APPROVALS

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	13		27	
[illegible]			24	4
[illegible]				
[illegible]	17	21		
[illegible]				
[illegible]	15	105	37	46
[illegible]				
[illegible]				
[illegible]				
[illegible]	26	54		
[illegible]	16	20	44	70
[illegible]				
[illegible]				
[illegible]				
[illegible]	30	10		
[illegible]	15	23	37	211
[illegible]				

AFFIDAVITS

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	14		31	
[illegible]	12	4		
[illegible]				
[illegible]	14	82	26	15
[illegible]			53	21
[illegible]			40	89
[illegible]				
[illegible]	18	89	25	50
[illegible]	30	10		
[illegible]	21	50	14	17
[illegible]	15	53	37	201
[illegible]				
[illegible]				
[illegible]				
[illegible]	23	20	28	69
[illegible]				
[illegible]	14	53	20	72

CONVEYANCE

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	45		86	
[illegible]			100	50
[illegible]				
[illegible]	74	136	143	321
[illegible]	147	125	251	71
[illegible]	50	25	100	125
[illegible]	96	96	132	238
[illegible]	61	502	110	385
[illegible]				
[illegible]	67	50	59	75
[illegible]				
[illegible]				
[illegible]	59	362	73	75
[illegible]				
[illegible]				
[illegible]	59	83	103	150
[illegible]				

GRADING

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	13		22	
[illegible]	17	181	27	100
[illegible]				
[illegible]	16	13		
[illegible]				
[illegible]			35	10
[illegible]	23	111	40	111
[illegible]	15	58	18	18
[illegible]				
[illegible]	21	54	19	195
[illegible]			28	53
[illegible]				
[illegible]	15	71	54	73
[illegible]				
[illegible]				
[illegible]	18	11	20	30
[illegible]				

PLAN MAINTENANCE

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	20		33	
[illegible]	21	65		
[illegible]				
[illegible]				
[illegible]				
[illegible]	16	110	42	50
[illegible]			62	54
[illegible]			44	103
[illegible]	24	30		
[illegible]	25	32		
[illegible]	30	31	58	30
[illegible]				
[illegible]	20	55	150	40
[illegible]				
[illegible]			45	60
[illegible]				
[illegible]				

RANGE FILE

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	43		77	
[illegible]	58	130	100	142
[illegible]				
[illegible]	63	100	67	111
[illegible]				
[illegible]	55	50		
[illegible]	60	5		
[illegible]	47	51	104	287
[illegible]				
[illegible]				
[illegible]				
[illegible]				
[illegible]				
[illegible]				
[illegible]	88	25	94	75
[illegible]				
[illegible]	48	25		

GPI

	INDEXING		VERIFYING	
	AVG/HR	TOTAL	AVG/HR	TOTAL
STANDARD	35		57	
[illegible]				
[illegible]				
[illegible]			60	20
[illegible]				
[illegible]				
[illegible]	67	95	71	40
[illegible]				
[illegible]				
[illegible]	34	116		
[illegible]	50	20	78	208
[illegible]				
[illegible]				
[illegible]				
[illegible]				
[illegible]				
[illegible]				

FILE IMPORT

	VERIFYING	
	AVG/HR	TOTAL
STANDARD	115	
[illegible]	160	972
[illegible]		
[illegible]	146	1264
[illegible]	208	729
[illegible]	140	1215
[illegible]	158	1312
[illegible]	160	811
[illegible]	147	810
[illegible]	163	872
[illegible]	177	810
[illegible]	325	1329
[illegible]	195	1054
[illegible]	216	162
[illegible]	195	383
[illegible]	165	648
[illegible]	117	

FILE IMPORT EXCEPTIONS

	FIXING	
	AVG/HR	TOTAL
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		
[illegible]		

new to that doc type

Individual Monthly Work Performance Summary Statistics

This is a report to show, on a monthly basis, the following performance metrics at the individual staff member level. This report is basically the same as the department level performance report with only a specific staff member shown. In addition, the numbers for GOLD, STANDARD, and MINIMUM are also show for each doc type for easy comparison. This report can be run for any period of time with specified start-date and end-date.

This report is generated in excel format, as currently being used by supervisors. Compared with the Department Monthly Worker Performance Report it includes an additional number of exception documents worked on during that period of time. This additional number is not an average like the other statistics as exceptions do not have a standard average per hour to compare with.

[illegible] JUNE STATS

ADMIN APPS

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	19	41
STANDARD	16	34
MINIMUM	13	27
[illegible]	26	

AFFIDAVITS

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	20	47
STANDARD	17	39
MINIMUM	14	31
[illegible]	21	14

CONVEYANCE

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	67	128
STANDARD	56	107
MINIMUM	45	86
[illegible]	67	59

GRADING

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	19	34
STANDARD	16	28
MINIMUM	12	22
[illegible]	21	19

PLAN MAINTENANCE

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	29	50
STANDARD	24	42
MINIMUM	20	33
[illegible]	25	

RANGE FILES

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	64	116
STANDARD	53	97
MINIMUM	43	77
[illegible]		

GPI

	INDEXING AVG/HR	VERIFYING AVG/HR
GOLD	51	85
STANDARD	43	71
MINIMUM	35	57
[illegible]	34	

FILE IMPORT

	VERIFYING AVG/HR
GOLD	174
STANDARD	145
MINIMUM	115
[illegible]	163

FILE IMPORT EXCEPTIONS

32

Inactive Percentage

	Pause/Login Monthly %
Average	10
	12

	Gold Standard
	Standard
	Minimum
	Below Minimum

The "Inactive Percentage" metrics is the total "pause time" divided by the total login time, multiplied by 100 over the course of a month. Two numbers are displayed: average and staff's number.

Scan-Index-Verify Log report

This report shows the batch history, from creation and scanning to verification and also the box association. It contains the following columns of information with date range applied to the "Scan Date" column, and also batch number criteria if present, indexed by, verified by, and scanned by:

1. Document Type
2. Scanned by
3. Date (scan date)

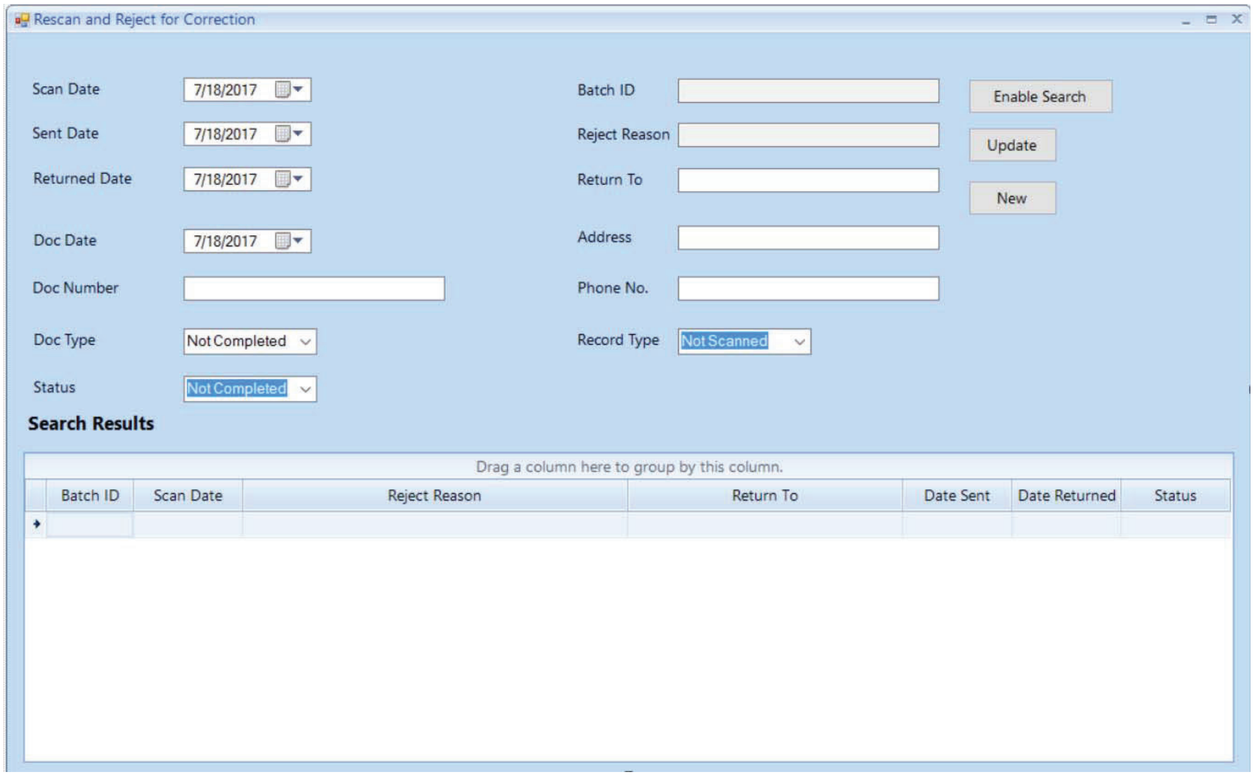
4. Comments
5. # of Docs
6. # of Pages
7. Indexed by
8. Index date completed
9. Verified by
10. Verification date completed
11. Box #
12. Batch #
13. Doc Class
14. # Rejected by Indexer
15. # Returned by Indexer
16. # Rejected by Verifier
17. # Returned by Verifier

Document Type	Doc Class	Batched By	Batch Dat	Scanned By	Date	Comments	# Docs	# Pages	Indexed By	Date Assigned	Date Completed	# Rejected	# Rescan	Verified By	Date Assigned	Date Completed	# Rejected	# Rescan	Box #	Batch #
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Grading				Josh B	3/25/2016		23	304	Michelle		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Range Files				Josh B	3/25/2016		23	304	Michelle		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477
Range Files				Josh B	3/25/2016		23	304	Danny		4/1/2016	1	0	Vincent		4/6/2016	0	0	868	7477

Return for Correction report

(This is the same function as the new Rescan Module. The following is abridged from the Rescan Module Solution Design.)

The following screenshot shows the main window with main control functions on the top panel:



Users can search the Rescan records by the following fields:

1. Scan Date
2. Batch ID
3. Reject Reason (partial text match)
4. Sent Date
5. Returned To
6. Returned Date
7. Status
8. Doc Date
9. Address
10. Doc Number
11. Phone number
12. Doc Type
13. Filter between scanned, never scanned, and reject for correction

All records are initially created with a “Not Completed” status. When a sub-batch is rescanned in Quality Control the record will be automatically updated to “Completed.”

Clicking on the “Search” button (toggled between “Enable Search” and “Search”) would populate the “Search Results” panel with the matching records.

For local rescan the documents need to be re-stamped if they are scanned on a different date. However, the last three digits which identify the outside storage box number should remain the same.

For reject for correction rescan a new stamp will always be needed since they will be scanned on a different date.

A new batch class should be designed to simply cross out the old stamps before documents are rescanned with new stamps.

Receiving Mail Report

The information in the report includes:

1. Assignment Type: Receiving Mail/Box
2. Completion Date: MM/DD/YYYY
3. Assignee: (person's name)
4. Number of documents for non-Building Permit
5. Number of documents for Building Permit
6. Number of documents for received box

For non-Building Permits, the following tabular information is displayed by date and doc types received on that date:

1. Mail Receiving Staff Name
2. Number of Documents, heights in inch, and number of boxes received per doc type

For Building Permits, the following tabular information is displayed by date and originating office received on that date:

1. Date Issued
2. Building Card Number (both Beginning and End numbers in full 11-characters.)
3. Number of permits
4. Exceptions (any missing Permit Numbers – full 11-characters entered).
5. Exception Permits Received – any previous exception permits that arrive

The report is generated for the specified duration and is displayed in the following report format:

Incoming Document Log Report

Completion Date: 7/10/2017 - 7/12/2017	**Non-Building Permit Docs:**	144
	Building Permit Docs:	897
	Box/Docs:	5/1041

Non-Building Permit:

7/10/2017	Board Files			Bldg Perm Chg of Addr			Grading		
	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes
	4			4			4		1
Josh	Certificate of Occupancy			Commission					
	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes			
	35	2.5				1			
7/11/2017	CERTIFICATE OF OCCUPANCY-TEMP								
John	No. of Docs	Heights (inch)	No. of Boxes						
	62	3.2							
7/12/2017	Certificate of Occupancy			CONVEYANCE COMMERCIAL					
Andrew	No. of Docs	Heights (inch)	No. of Boxes	No. of Docs	Heights (inch)	No. of Boxes			
	35	2.5				3			

Incoming Doc Log - Non-BP | Incoming Doc Log - BP

Incoming Document Log Report

Completion Date: 7/10/2017 - 7/12/2017	**Non-Building Permit Docs:**	144
	Building Permit Docs:	897
	Box/Docs:	5/1041

Building Permit

7/10/2017	Originating Office	LA	LA	LA	VN	WL
	Date Issued	7/8/2017	7/9/2017	7/10/2017	7/10/2017	7/10/2017
	Bldg Card # Beg	2017LA00004	2017LA00032	2017LA00064	2017VN00001	2017WL00030
	Bldg Card # End	2017LA00031	2017LA00063	2017LA00119	2017VN00027	2017WL00060
Josh	# of Permits	26	31	56	26	31
	Exceptions	2017LA00027 2017LA00028	2017LA00055		2017VN00022	2017WL00041
7/11/2017	Originating Office	EP	LA	LA	LA	
	Date Issued	7/11/2017	7/8/2017	7/8/2017	7/11/2017	
	Bldg Card # Beg	2017EP00001	2017LA00027	2017LA00028	2017LA00032	
John	Bldg Card # End	2017EP00027	2017LA00027	2017LA00028	2017LA00063	
	# of Permits	27	1	1	31	
	Exceptions	2017EP00022	Excpt Recved	Excpt Recved	2017LA00055	
7/12/2017	Originating Office	SL	SP	VN		
	Date Issued	7/12/2017	7/12/2017	7/12/2017		
	Bldg Card # Beg	2017SL00064	2017SP00030	2017VN00004		
Andrew	Bldg Card # End	2017SL00119	2017SP00060	2017VN00031		
	# of Permits	56	31	27		
	Exceptions		2017SP00051	2017VN00028		

Incoming Doc Log - Non-BP | Incoming Doc Log - BP

The dates in the “Incoming Documents Log Report” will run vertically for both Non-Building Permit and Building Permit sections. For Building Permits the permits from different offices should be sorted in horizontal direction. For a single receiving date there might be multiple records per Date Issued.

Non-Building Permits table would have three sub-columns for each date/doc type: number of documents, heights in inches, and number of boxes. Each row should have at most 3 doc types and additional ones should overflow to the next row for the same date.

Building Card Numbers should be broken into two numbers: start permit number and end permit number (full 11 digits) – this is so that we can provide a query to check if a permit has been received and when; this function is available to all. If there are more than 8 originating offices/permit dates the data should overflow to the next row so that the report can print out nicely on letter size paper. The offices are sorted and all “Exception Permits Received” should go after regular received for each office.

“Exceptions” can contain multiple lines – one line for each missing permit. “Exception Permits Received” lists exception permits received by their own office/date the issued was blocked – the block contains only one permit with a note that it was previously missing.

(No limitation on the numbers or characters since these are just displayed content.)

File Import Reports

The File Import reports contain the following reports:

1. DISC Reports: Disc level (select by “Import Type,” e.g. PFA or ACS-Oversized, and “CD Name”) and Folder level reports (PFA only, select additionally by “Folder Name”)
2. ACOS Reports: select by month and show monthly calendar view
3. TCO Reports: select by month and show monthly calendar view
4. PERM LA Reports: select by month and show monthly calendar view

DISC Report for PFA

This report is an overview of the Folder report. Supervisors can enter a CD name to run this report. This report has the following format:

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT
File Import Index Correction Report

PRINT DISC REPORT

CD OVERVIEW AS OF 07/05/2017

DISC COMPLETED? NO

CD NAME: P6493

FOLDERS FOUND: 24

FOLDERS COMPLETED: 19

FILE TYPE: PFA

DOC TYPE: BUILDING PERMITS

SUBTYPE: VARIOUS

FOLDER #:	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
FILES FOUND:	82	81	81	81	81	81	81	81	81	81	81	81	81	81	81
FILES IMPORTED:	82	81	80	81	81	75	81	81	72	80	81	81	80	81	81
FILES DELETED:	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
EXCEPTIONS:	0	0	0	0	0	6	0	0	9	1	0	0	1	0	0
COMPLETED:	YES	YES	YES	YES	YES	NO	YES	YES	NO	NO	YES	YES	NO	YES	YES

FOLDER #:	16	17	18	19	20	21	22	23	24
FILES FOUND:	82	81	81	81	81	81	81	81	81
FILES IMPORTED:	82	81	80	79	81	81	81	81	81
FILES DELETED:	0	0	1	0	0	0	0	0	0
EXCEPTIONS:	0	0	0	2	0	0	0	0	9
COMPLETED:	YES	YES	YES	NO	YES	YES	YES	YES	YES

DISC Report for Oversized-ACS

This report is a disc-level oversized documents report. Since Oversized-ACS discs do not have folders, but only files, this report actually is almost identical to the File Import Folder report. Please refer to the section on viewing File Import completion detail for details of the File Import Folder report.

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT

File Import Index Correction Report

DISC IMPORT PROGESS AS OF 7/1/2017

FILE TYPE:	Oversized	DOC TYPE:		SUBTYPE:	VARIOUS
FILES FOUND:	81	FILES DELETED:	0	FILES IMPORTED:	81
CD NAME:	P6493			PENDING:	0
				COMPLETED:	6/8/2017

EMPLOYEE ID:				CHAUNTEL MARTIN							DATE:				6/8/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	1950	R-N	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B29675			1	/	1

EMPLOYEE ID:				ANDREW PEERS							DATE:				6/6/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	D-D	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B28964			1	/	2

EMPLOYEE ID:				JOSHUA MIRANDA							DATE:				6/5/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	PUC	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	D-T	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	EX	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B27143			79	/	81

LEGEND

DOCY TYPE	D-T	STATUS	STAT	ADDRESS	ADD	COMMENTS	CMM	REF NUMBER	R-N	PRIMARY USE CODE	PUC
SUB TYPE	S-T	DOC DATE	D-D	LEGAL	LG	DOC NUMBER	D-N	EXCEPTIONS	EX		

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT
File Import Index Correction Report

PAGE 24 of 50

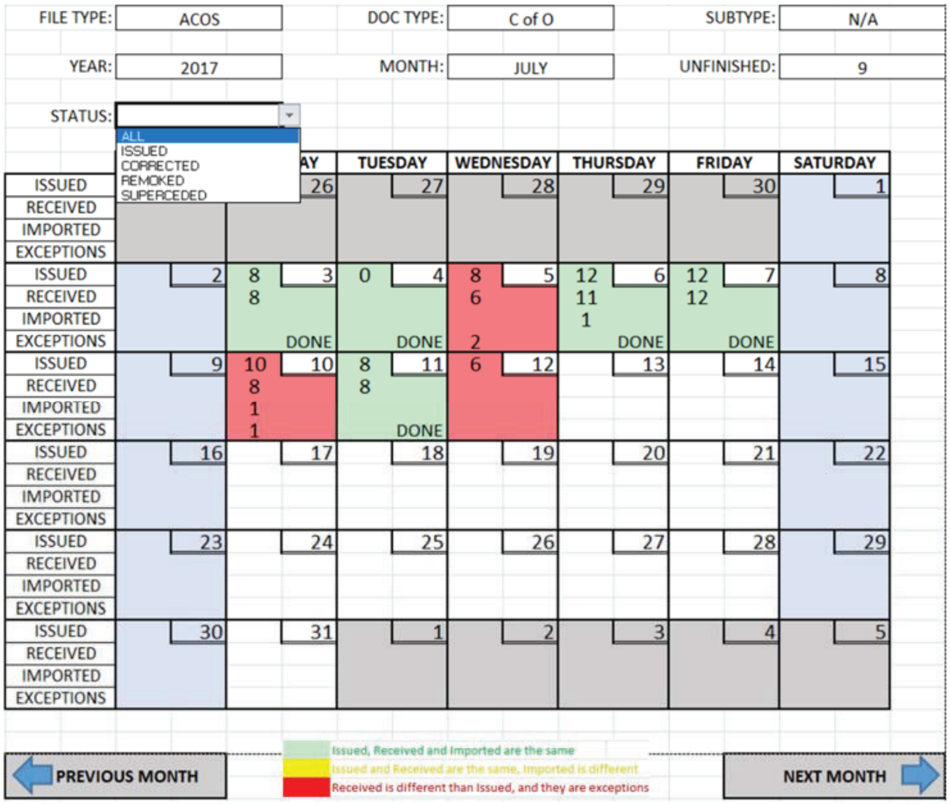
FILE NAME	PROPERTY ADDRESS SHOWN ON DOCUMENT	ACTION TAKEN	EMPLOYEE	DATE	CHANGED FROM	CHANGED TO
P6493019010000	8804 VAN NUYS BLVD	USE CODE	307805 / JM	6/5/17	SFD	DEMOLITION
P6493019250000	753 N MICHELTORENA ST	DOC TYPE	307805 / JM	6/5/17	ALTER REPAIR	ADDITION
P6493019500000	6817 N FIGUEROA ST UNIT 8	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P6493019510000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P6493019500000	6817 N FIGUEROA ST UNIT 8	DOC - DATE	123456 / AP	6/6/17		ORIGINAL PULLED
P6493019510000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	123456 / AP	6/6/17		FOLDED
P6493019510000	3041 N BEVERLY GLEN CIR	DOC - DATE	654321 / CM	6/8/17		REEL PULLED

COMMENTS:

ACOS Report

This report can be run by specifying a month. The following report would be displayed:

(Note: The date is the folder date of the documents)



Color keys:
Green: Issued, Received and Imported are the same
Yellow: Issued and Received are the same, Imported is different
Red: Received is different than Issued, and they are exceptions

The “PREVIOUS MONTH” and “NEXT MONTH” buttons can be used to navigate to a previous or next month’s report.

Clicking on a cell would show details that include:

1. Doc Numbers and statuses for ACOS that are missing

The “Status” filter would change the counts based on selected the status: all, issued, corrected, revoked, superseded. The default is all which would count all statuses. Users can change the filter to see counts for a specific status.

For late coming documents a folder with the document date and additional suffix would be created for them. The File Import application would process the documents according to the doc date within the documents.

For coloring the cells (the order of checking is important):

1. If the ISSUED count equals the IMPORTED count, the color is green.

2. If the RECEIVED count does not equal the IMPORTED count, the color is yellow, meaning there is more for RRM staff members to complete.
3. Everything else is RED.

TCO Report
Same as above with different file type and doc type.

PERM LA Report
Same as above with different file type and doc type.

Ad Hoc Reports
The application would allow adding arbitrary Crystal Reports (e.g., monthly data correction, production, scan page reports, most recently scanned documents by doc type and sub type) by linking to an external URL from the Work Management module. All reports should include a “Report Run Date” which is the date when a report is generated. The URL would provide search parameters and allow running reports with specified parameters. The search parameters, depending on the specific report, can include one or more of the following options:

1. Start and end dates for reports requiring duration. The report heading should show the Report Data’s start and end date.
2. Month and year for reports that typically runs monthly. This option allows running a monthly report for any year and month. If the specified year and month is the current year and month only data up to the current date are reported. The report heading should show the month, year, and verbiage of “as of mm/dd/yyyy,” where “dd” is the end of the specified year or month or current date if the year and month are current.
3. A single date for reporting statistics of IDIS data at a specific date.

The following Ad Hoc Reports are to be included:

1) IDIS Monthly Prod Data Correction
2) IDIS Monthly Prod Status
3) IDIS Monthly Page Report
4) Most Recent Scanned Date Documents by Doc Type and Sub Type

Samples of these reports are attached as follows.

IDIS Monthly Prod Data Correction June 2
IDIS Monthly Prod Status June 2017.pdf
IDIS Monthly Page Report June 2017.pdf
Most Recent Scanned Date Documents by Dc

IDIS Project
Production Data Correction Report (as of 06/30/2017)

Document Type	Record # (from IDIS Inception to Present)				Added Record # (Prior Month)			New Total Record #
*Only Indexed: No Images *Day FWD: Doc date>=04/15/2004 with Images *Back File: Doc date<=04/15/2004 with Images	Legacy Data	Only Indexed	Back File	Day Forward	Legacy Data	Back File	Day Forward	
ADMINISTRATIVE APPROVAL	169	108	312	16,077	0	0	540	16,666
AFFIDAVIT	1,059	111	1,189	7,129	0	0	714	9,488
ANNEXED LAND FILE	1	1	0	0	0	0	0	2
ATTACHMENT	0	7	94	0	0	0	0	101
BUILDING PERMIT	9,382	4,823	21,456	17,657	0	0	50	53,318
CERTIFICATE OF COMPLETION	0	22	0	99	0	0	0	121
CERTIFICATE OF COMPLIANCE	0	14	3,130	2,385	0	1	176	5,529
CERTIFICATE OF OCCUPANCY	3,256	1,162	2,082	10,455	0	0	22	16,955
CERTIFICATE OF OCCUPANCY-TEMP	15	34	396	1,483	0	0	0	1,928
COMMISSION	175	24	309	901	0	0	59	1,409
CONVEYANCE COMMERCIAL	0	0	1	4,889	0	0	615	4,890
CONVEYANCE RESIDENTIAL	0	20	0	139	0	0	0	159
CORRESPONDENCE	1	0	7	1	0	0	0	9
DISASTER INSPECTION FILE	0	14	127	296	0	0	0	437
ELECTRICAL PERMIT	56	0	72	0	0	0	0	128
EQ-COMPLIANCE CERT	51	0	50	4	0	0	0	105
EVENT PERMIT	0	0	0	0	0	0	0	0
GRADING	1,857	383	2,589	28,237	0	0	1,603	33,066
HOUSING/BLDG COMPLIANCE CERT	7	0	0	0	0	0	0	7
INTER-AGENCY HSG TSK FRCE FILE	0	99	0	0	0	0	0	99
MECHANICAL PERMIT	5,091	4	71	0	0	0	0	5,166
ORDINANCE	2	0	0	0	0	0	0	2
OVERSIZED DOCUMENT	4,003	38	559	3,273	0	0	114	7,873
PARAPET FILE	29	0	2	4	0	0	0	35
PERMIT ADDRESS CHANGE	4,298	65	927	4,180	0	0	787	9,470
PLAN MAINTENANCE	3,708	483	3,992	19,138	1	1	645	27,321
PROJECT FILE	0	0	47	0	0	0	0	47
RANGE FILE	6,301	512	9,781	33,477	0	19	511	50,071
REPORT	0	0	13	0	0	0	0	13
REPT OF COMPLIANCE	112	0	0	0	0	0	0	112
ZONING INFORMATION	1,850	0	2	0	0	0	0	1,852
GRAND TOTAL	41,423	7,924	47,208	149,824	1	21	5,836	246,379

IDIS Project
Production Data Status Report (as of 06/30/2017)

Document Type *Only Indexed: No Images *Day FWD: Doc date>=04/15/2004 with Images *Back File: Doc date<=04/15/2004 with Images	Record # (from IDIS Inception to Present)				Added Record # (Prior Month)			New Total Record #
	Legacy Data	Only Indexed	Back File	Day Forward	Legacy Data	Back File	Day Forward	
ADMINISTRATIVE APPROVAL	239,838	712	2,470	62,096	0	0	1,299	305,116
ADMINISTRATIVE MEMO	0	0	0	2	-139,191	-4,937	-22,224	2
AFFIDAVIT	139,191	1,385	4,937	24,440	0	0	2,214	169,953
ANNEXED LAND FILE	1	0	3	0	0	0	0	4
ATTACHMENT	0	0	208	0	0	0	0	208
BUILDING PERMIT	4,709,245	974	4,150,862	657,299	0	109,650	12,294	9,518,380
CERTIFICATE OF COMPLETION	0	0	0	346	0	0	0	346
CERTIFICATE OF COMPLIANCE	0	0	41,220	24,844	0	3	1,370	66,064
CERTIFICATE OF OCCUPANCY	431,712	14	1,325,555	135,039	0	0	1,903	1,892,320
CERTIFICATE OF OCCUPANCY-TEMP	14,964	0	9,227	8,982	0	0	49	33,173
CITY PLANNING CASE	24,499	0	0	0	0	0	0	24,499
COMMISSION	134,749	203	1,375	3,537	0	0	103	139,864
CONVEYANCE COMMERCIAL	0	0	30	24,223	0	4	5,280	24,253
CONVEYANCE RESIDENTIAL	0	0	1	289	0	0	9	290
CORRESPONDENCE	1	0	32	2	0	0	0	35
DISASTER AUDIT FILE	0	0	10	0	0	0	0	10
DISASTER INSPECTION FILE	0	0	138,222	1,397	0	0	0	139,619
ELECTRICAL PERMIT	283,184	0	11,427	111,176	0	0	3,040	405,787
EQ-COMPLIANCE CERT	8,241	0	327	6	0	0	0	8,574
EVENT PERMIT	0	0	0	410	0	0	0	410
FIELD NOTES	0	0	1	0	0	0	0	1
GRADING	482,657	4,689	10,052	136,293	0	0	3,891	633,691
HOUSING/BLDG COMPLIANCE CERT	590	0	1	0	0	0	0	591
INTER-AGENCY HSG TSK FRCE FILE	0	0	0	101	0	0	0	101
MECHANICAL PERMIT	395,234	0	67,700	233,624	0	2	4,133	696,558
ORDINANCE	2,974	0	0	2	0	0	0	2,976
OVERSIZED DOCUMENT	33,651	0	2,937	14,977	0	0	534	51,565
PARAPET FILE	3,964	0	6	24	0	0	0	3,994
PARCEL INFORMATION	0	0	0	1	0	0	0	1
PERMIT ADDRESS CHANGE	36,522	8	3,855	9,001	0	747	1,627	49,386
PLAN MAINTENANCE	298,073	0	15,805	85,147	0	7	1,855	399,025
PROJECT FILE	0	0	1,024	1	0	0	0	1,025
RANGE FILE	798,569	12,696	85,320	387,351	0	293	5,529	1,283,936
REPORT	0	0	27	0	0	0	0	27
REPT OF COMPLIANCE	13,015	0	0	0	0	0	0	13,015

Most Recent Scanned Documents by Doc Type and Sub Type
as of 7/1/2017

DOC_TYPE	SUB_TYPE	SCAN_NBR	SCAN_DAT	EVENT_TIM
ADMINISTRATIVE APPROVAL	ALTERNATE MATERIAL/CONSTR	1050628201737918	6/28/2017	6/30/2017
ADMINISTRATIVE APPROVAL	BUILDING	1050609201736539	6/9/2017	6/13/2017
ADMINISTRATIVE APPROVAL	DISABLED ACCESS	1060623201737568	6/23/2017	6/26/2017
ADMINISTRATIVE APPROVAL	ELECTRICAL	1060623201737571	6/23/2017	6/27/2017
ADMINISTRATIVE APPROVAL	EXTENSION OF TIME	1010618201480856	6/18/2014	6/24/2014
ADMINISTRATIVE APPROVAL	EXTENSION OF TIME	1050628201737926	6/28/2017	6/30/2017
ADMINISTRATIVE APPROVAL	GRADING	1060614201736873	6/14/2017	6/16/2017
ADMINISTRATIVE APPROVAL	MECHANICAL	1050628201737926	6/28/2017	6/30/2017
ADMINISTRATIVE APPROVAL	MISCELLANEOUS	1050628201737926	6/28/2017	6/30/2017
ADMINISTRATIVE APPROVAL	SHORING	1050628201737920	6/28/2017	6/29/2017
ADMINISTRATIVE APPROVAL	ZONING	1050609201736534	6/9/2017	6/14/2017
ADMINISTRATIVE MEMO	REVOCATION LETTER	1050504201734008	5/4/2017	6/1/2017
AFFIDAVIT	ATTENDANT PARKING	1050609201736544	6/9/2017	6/13/2017
AFFIDAVIT	CERTIFICATE OF COMPLIANCE	1050607201736314	6/7/2017	6/13/2017
AFFIDAVIT	CERTIFICATE OF SUBSTANDARD PRO	1060619201737261	6/19/2017	6/21/2017
AFFIDAVIT	COMMUNITY DRIVEWAY	1060609201736510	6/9/2017	6/13/2017
AFFIDAVIT	CORRECTION OF SUBSTANDARD PROP	1060222201728236	2/22/2017	6/6/2017
AFFIDAVIT	DERATING	1011203200758074	12/3/2007	12/24/2007
AFFIDAVIT	GRADING	1050518201735056	5/18/2017	5/22/2017
AFFIDAVIT	INUNDATION	1030306200984642	3/6/2009	3/10/2009
AFFIDAVIT	LIMIT USE OF PROPERTY	102052020092525	5/20/2009	5/28/2009
AFFIDAVIT	LOT TIE	1060619201737268	6/19/2017	6/21/2017
AFFIDAVIT	MAINTENANCE OF BUILDING	1060619201737268	6/19/2017	6/21/2017
AFFIDAVIT	MISCELLANEOUS	1060619201737259	6/19/2017	6/22/2017
AFFIDAVIT	NON-CONFORMING USE	1020815200520194	8/15/2005	8/25/2005
AFFIDAVIT	OVERSIZED BUILDING	1060619201737267	6/19/2017	6/21/2017
AFFIDAVIT	PARKING	1060609201736516	6/9/2017	6/13/2017
AFFIDAVIT	RELOCATION/DEMOLITION	10106112015102213	6/11/2015	7/30/2015
AFFIDAVIT	TERMINATION	1060619201737267	6/19/2017	6/21/2017
AFFIDAVIT	UNITS FOR LEASE/SALE (15% ORD)	1050623201611267	6/23/2016	8/25/2016
ATTACHMENT	PLAN MAINTENANCE	1030324200985385	3/24/2009	3/24/2009
BUILDING PERMIT	ALTERATION	1010801201363794	8/1/2013	8/7/2013
BUILDING PERMIT	BLDG-ADDITION	1050630201738174	6/30/2017	6/30/2017
BUILDING PERMIT	BLDG-ADDITION	1050630201738174	6/30/2017	6/30/2017
BUILDING PERMIT	BLDG-ALTER/REPAIR	1050630201738173	6/30/2017	6/30/2017

JUNE 2017 - Monthly

SCANNED DOC. - IDIS

DOCUMENT TYPE	NUMBER OF PAGES
ADMINISTRATIVE APPROVAL	2,662
ADMINISTRATIVE MEMO	24
AFFIDAVIT	3,728
BUILDING PERMIT	18,671
CERTIFICATE OF COMPLIANCE	640
CERTIFICATE OF OCCUPANCY	20
COMMISSION	7,908
CONVEYANCE COMMERCIAL	2,833
GRADING	80,794
OVERSIZED DOCUMENT	343
PERMIT ADDRESS CHANGE	560
PLAN MAINTENANCE	757
RANGE FILE	19,355
TOTAL OF SCANNED	138,295

FILE IMPORTED

BACK FILE - PFA

DOCUMENT TYPE	NUMBER OF PAGES
BUILDING PERMIT	177,468
MECHANICAL PERMIT	2
PERMIT ADDRESS CHANGE	2
SUBTOTAL OF PFA IMPORTED	177,472

ONLINE PERMIT OF LA - E-PERMIT

DOCUMENT TYPE	NUMBER OF PAGES
BUILDING PERMIT	2,104
ELECTRICAL PERMIT	5,772
MECHANICAL PERMIT	7,648
SUBTOTALOF PEERMLA IMPORTED	15,524

ACOS - CERTIFICATE OF OCCUPANCY

DOCUMENT TYPE	NUMBER OF PAGES
CERTIFICATE OF OCCUPANCY	1,860
CERTIFICATE OF OCCUPANCY-TEMP	15
SUBTOTAL OF ACOS IMPORTED	1,875
TOTAL OF FILE IMPORTED	194,871

IDIS Work Queue Reports

This report shows the number of items in the IDIS Work Queue. This report helps supervisors plan daily staff work assignments. The work queues report includes INDEX, VERIFICATION, SNAPSHOT, and FILE IMPORT EXCEPTION. The following shows the layout and content of the report:

IDIS Work Queue Report

Report Date: 2017/07/29

	INDEX QUEUE			VERIFICATION QUEUE			SNAPSHOT QUEUE
	# Batches	# Pages	# Docs	# Batches	# Pages	# Docs	# Requests
ADMINISTRATIVE APPROVAL*							
AFFIDAVIT							
BUILDING PERMIT							
CERTIFICATE OF COMPLETION							
CERTIFICATE OF COMPLIANCE							
CERTIFICATE OF OCCUPANCY							
CERTIFICATE OF OCCUPANCY-TEMP							
COMMISSION							
CONVEYANCE COMMERCIAL							
DISASTER INSPECTION FILE							
ELECTRICAL PERMIT							
EQ-COMPLIANCE CERT							
EVENT PERMIT							
FIELD NOTES							
GRADING							
MECHANICAL PERMIT							
ORDINANCE							
OVERSIZED DOCUMENT							
PERMIT ADDRESS CHANGE							
PLAN MAINTENANCE							
PROJECT FILE							
RANGE FILE							
REPORT							
REPT OF COMPLIANCE							
TOTAL							

FILE IMPORT EXCEPTION QUEUE	
	# Docs
Missing FNA	
Missing XML	
FNA Parsing Error	
XML Parsing Error	
Missing Document Date	
Misc. Error	
Multiple Error	
Bad Image	
Research Required – Doc Date	
Research Required – Doc Number	
Research Required – Address/Legal	
Supervisor	
IDIS Admin	

Reject Documents for Correction

This function is for entering information to keep track of documents mail receiving staff members find that need to be returned back to the originating office for correction. This function is open only to privileged users which are configured separately. The information entered includes the following:

1. Sent Date (*)
2. Reject Reason (*)
3. Returned To (*)
4. Phone #
5. Address
6. Doc Number
7. Doc Date
8. Date Returned

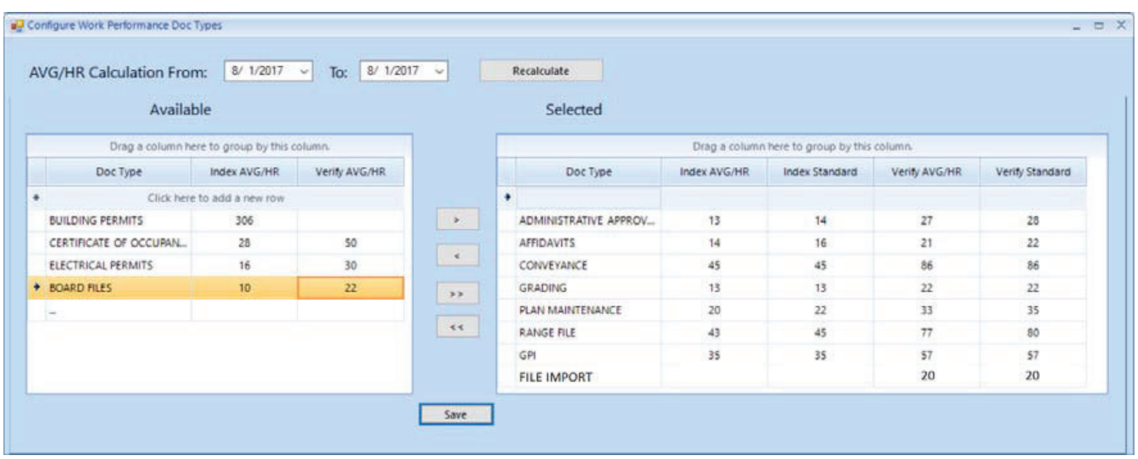
The records will show up in the Rescan Module for updating returned dates.

Supervisory Control Panel

Configure Performance Report Doc Types

The supervisors can configure the doc types to be displayed in the Department and Individual Monthly Work Performance Reports. All the doc types are listed and supervisors simply check the desired doc types and uncheck unwanted doc types.

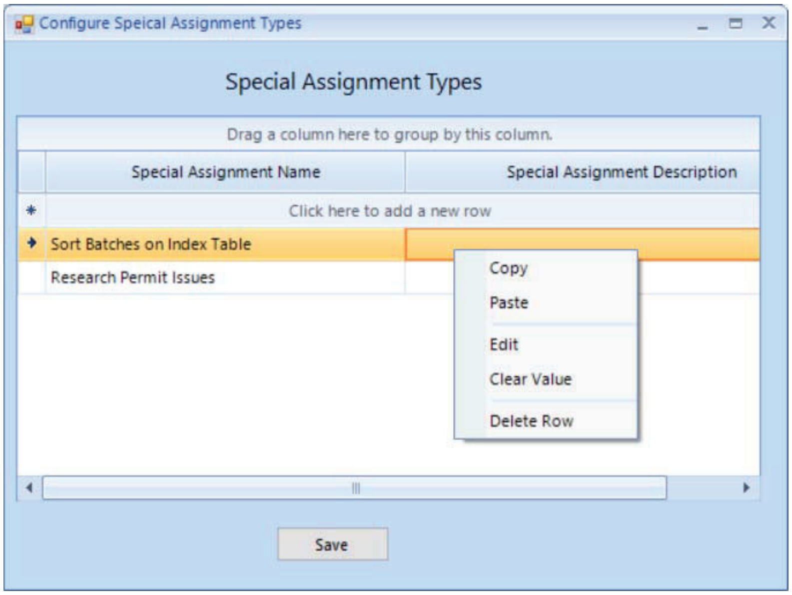
The “Index AVG/HR” and “Verify AVG/HR” show the computed average numbers of documents indexed/verified/imported per hour. The “Index Standard” and “Verify Standard” contains editable fields where supervisors can enter per doc type standard AVG/HR. This function is a supervisor-only function.



The functions to add and delete staff names are in the Maintenance module.

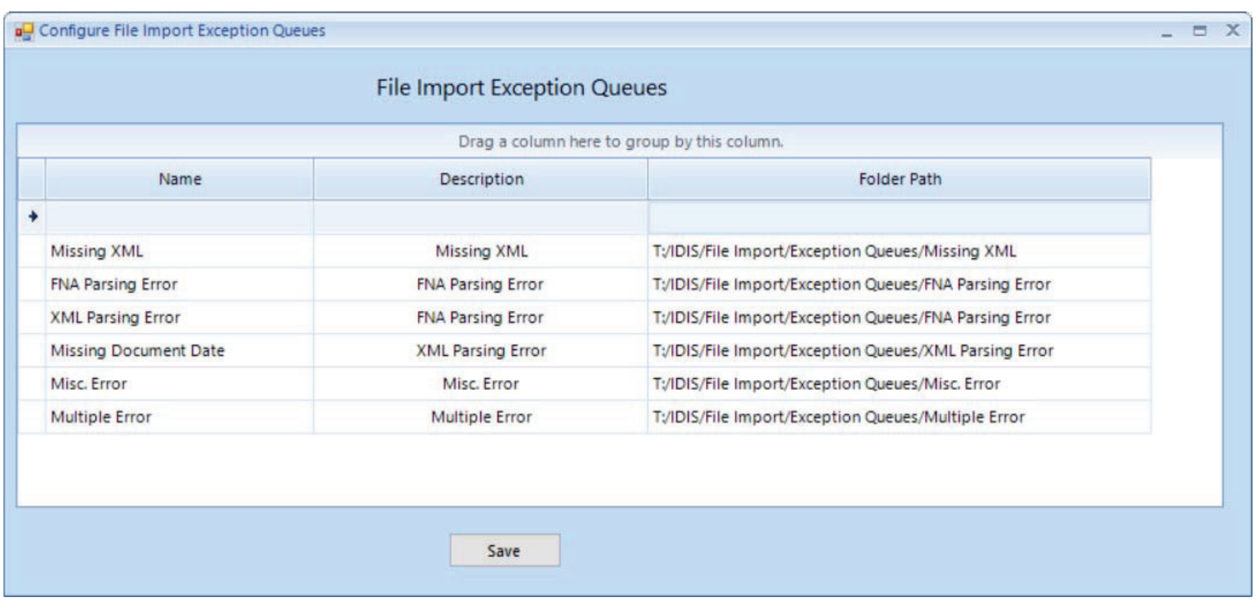
Configure Special Assignment Type

Supervisors can configure Special Assignment Types which will display as a dropdown list in the Special Assignment Tasks when assigning daily tasks for staff. Supervisors can add new rows, copy and paste row contents, edit row content, and delete rows.



Configure File Import Exception Queues

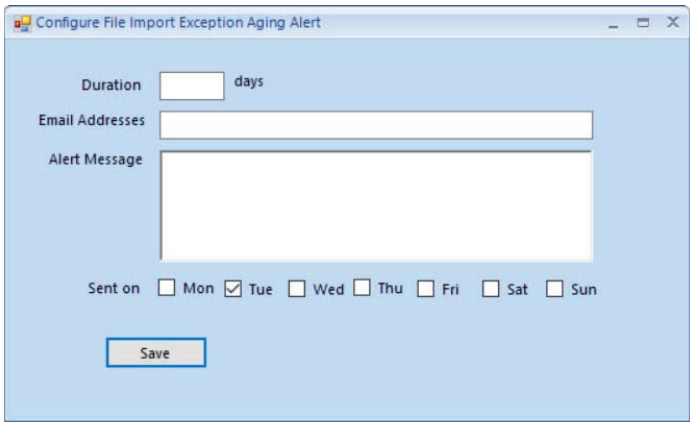
Supervisors can configure File Import Exception Queues. The user interface is as follows:



Before an Exception queue can be deleted all the file sets in the folder must be removed first. The application would perform a sanity check if all the folder paths are accessible. Warnings will display on a popup window if any of the folder paths are not accessible.

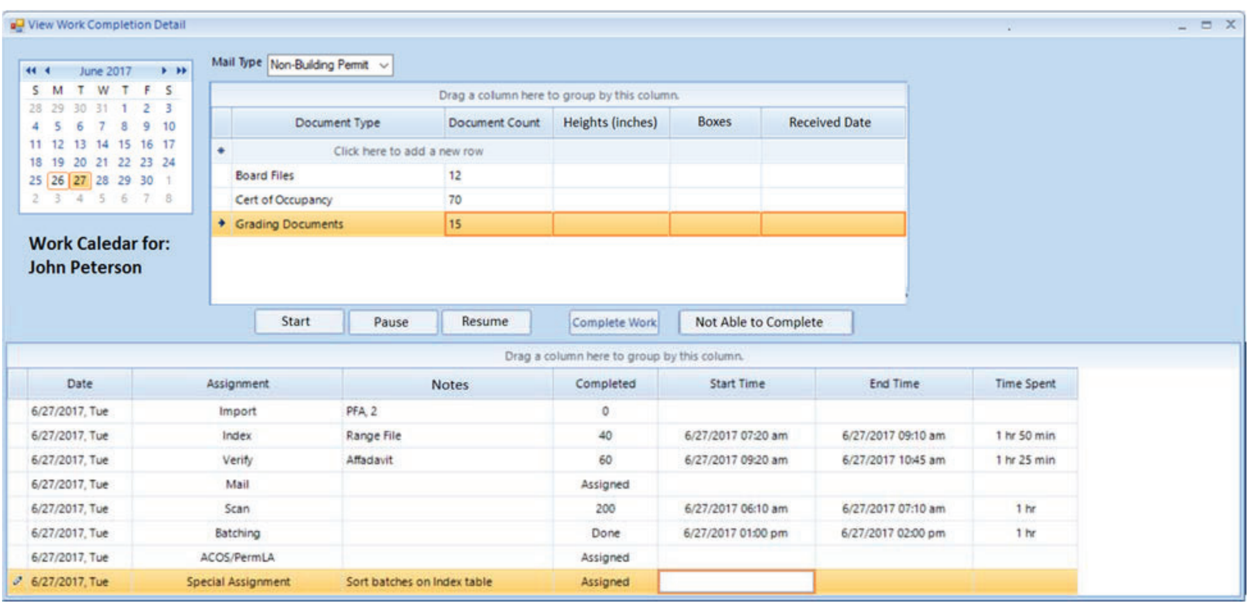
Configure Exception Aging Alert

Supervisors can configure File Import Exception Alerts. Supervisors can configure the number of days before an item becomes aging, the email(s) that an alert should send if items become aging, the alert email message body, and which day of the weeks to send this alert.



Staff Work Calendar

This function allows staff members to view and complete their assigned work:



The behavior is summarized as follows:

1. Staff members click on a date in the Calendar and the window will display all the assignments for the staff member with their completion statuses. If an assignment has been completed at the time when a staff member starts to work on the assignment, the time when he/she completes, and the total time spent on the assignment are also shown.
2. For Import, Index, Verify, Scan, and ACOS/PermLA the Work Calendar data table cells display the number of batches completed or “Assigned” if they have not been worked on yet. These are automatically generated when staff members complete batches on the corresponding date with file import, index, verify, and scan modules. Non-assigned cells remain blank. Assigned cells with no batches completed would display ‘0.’
3. For Mail, Batching, and Special Assignment the data table cells display ‘Done,’ ‘Assigned’ or, in the case of Special Assignments, a supervisor instruction or a user-entered comment when completing the assignment.
4. Allow staff members to make changes to entered information before the assignment is completed. Once the “Complete assignment” button is clicked they can no longer change entered information.
5. Staff members can click on a cell that has been completed to view details of the completion status in a pop-up window. The detailed completion status information for each assignment type is the same as in the Supervisor’s View Work Completion Detail window.
6. Staff members can click on an “Assigned” cell on Mail or Batching tasks to complete the work. The following sections describe the detailed screen information for completing each assignment type.
7. Staff members can also click on the “Not Able to Complete” button if he/she is not able to complete the task. A popup box would show with a required field for users to enter the reasons for not being able to complete the task.
8. Start, Pause, Resume, and Complete buttons to record the time that staff members spend on working the special assignments.

Mail

There are three types of mail/boxes:

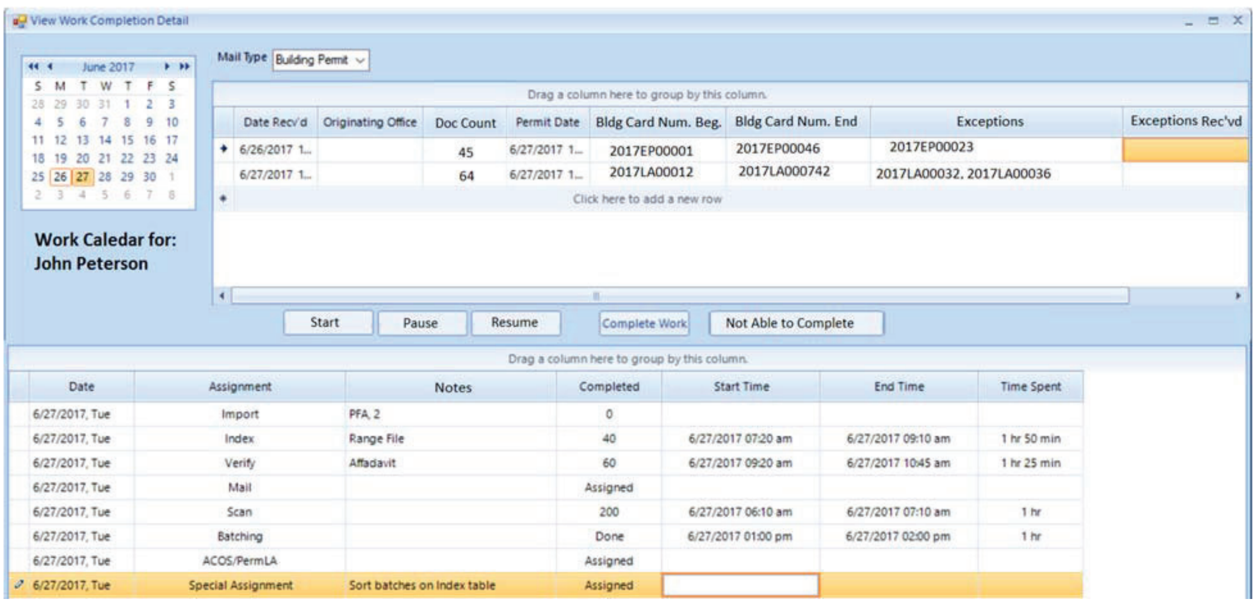
1. Building Permits
2. Non-Building Permits
3. Boxes

Currently each type has different control sheets to fill out. When users click on an assigned (not completed) Mail task, the upper-left window area would display a “Mail Type” dropdown and a data table for entering information regarding received mail.

When a “Building Permit” Mail type is selected (see screenshot above), the information that users can enter include:

1. Date received (auto-populate today’s date)

2. Originating office
3. Building Card Numbers (begin number and end number). This is an 11-character number: first 4 char is year, two letters for office, and 5 sequential digits.
4. Exceptions (missing Building Card Numbers; full building card numbers will be entered here, so that query can exclude them)
5. Number of Documents, Heights in inches (which will be translated by application to number documents by a configuration in a Document Average Height By Doc Type Conversion Table), and number of boxes (not translating to number of documents)
6. Date Issued
7. Exception Permits Received, permits found missing in prior mail receiving tasks but have now arrived. Full 11-characters should be entered to reconcile with previously entered missing permits in the “Exception” box when completing mail receiving tasks. “Exception Permits Received” should also reconcile with permits rejected back to originating offices through the “Rescan” module. The “Rescan” module needs to check if a building permit is rejected, the permit number, and tie this data so that the new function can query the data to see if a permit has already been received.

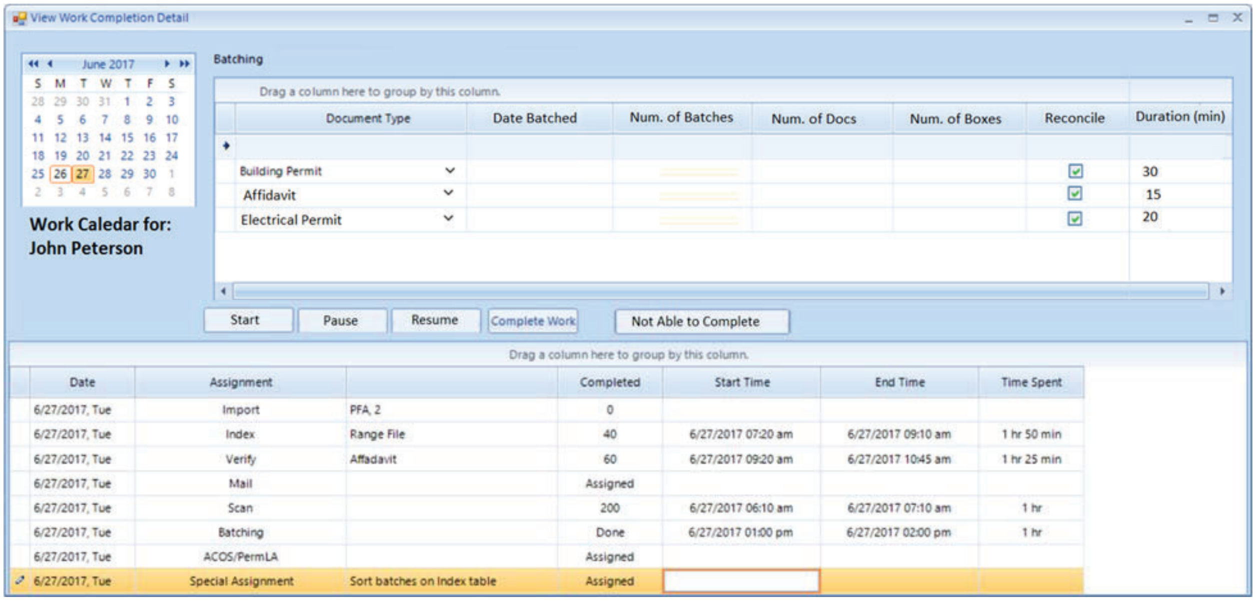


When a “Non-Building Permit” Mail type is selected, the information that users can enter include:

1. Document Type (dropdown)
2. Number of Documents, Heights in inches (which will be translated by application to number documents by a configuration in a Document Average Height By Doc Type Conversion Table), and number of boxes (not translating to number of documents)
3. Date received (auto-populate today’s date)

Batching

When a “Batching” task cell is selected, all the document types will display in the table. When staff member starts to batch documents he/she would select a doc type from the dropdown list to work on. He/She would then click on the start/pause/resume buttons as he/she works on batching that doc type. The Start/Resume button on a doc type instructs the application to start counting batching time for that doc type. This information will be linked together with the batch information when the batch data is first created when a scan operator creates the batch.



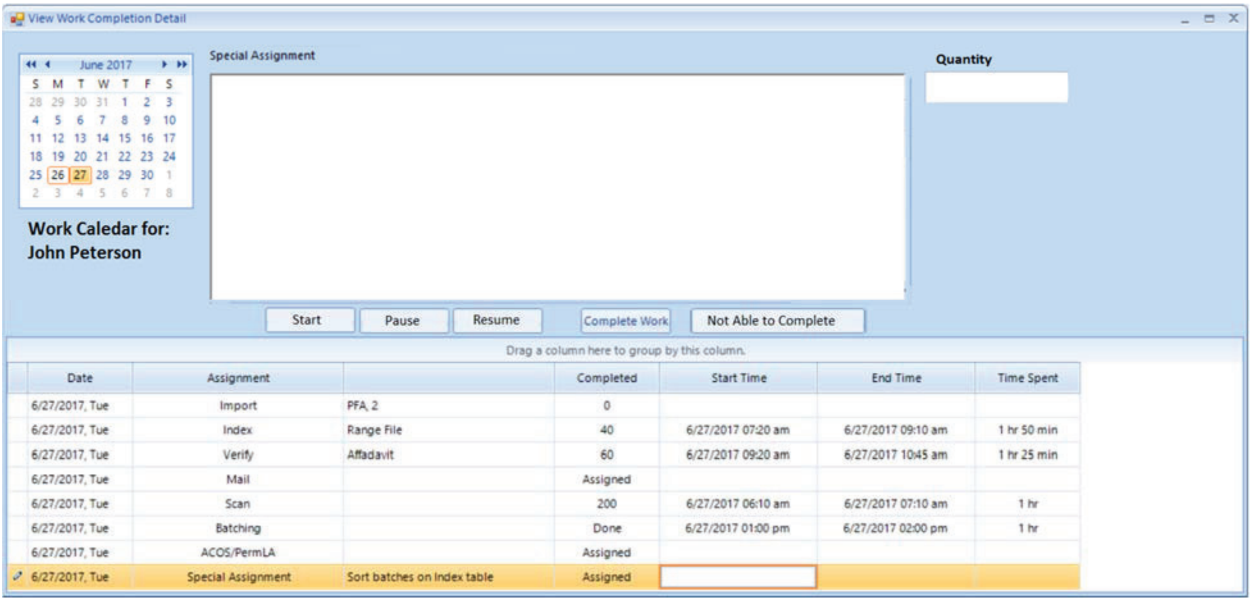
Batching staff would enter the following information for batches done per doc type, and box if batching documents from box:

a. Doc type (select from dropdown)
b. Date batched (auto-populate by today’s date)
c. Number of batches
d. Number of documents
e. Number of boxes, if the batching documents from a box
f. Reconcile Indicator if all documents in the box have been batched, or if all documents of a doc type from grey mail have been batched. If more than one box is completed for a doc type, users would have to enter as many rows as in the batch task completion screens.

Special Assignment

When a “Special Assignment” task cell is selected, the information that users can enter include:

1. Start, Pause, Resume, Complete buttons to record the time that staff members spent on working the special assignment.
2. Quantity: the quantity completed.
3. Completion Remarks.



Search Received Permit

This is a function to support querying if a permit has been received through mail, or has been received but was rejected and has not returned yet. This new function, provided in the Work Management module, provides a query interface as follows:

a. Query criteria: full Building Card Number, Doc Number (15-digit), Date issued, Issuing office.
b. The search results show a list of matching results, and each result should show:
    i. Whether this permit has been received, and if yes:
    ii. Who received it, when?
    iii. Was it rejected, and if yes, whom was it rejected to and has it returned yet, and if yes, when?
    iv. Has it been processed into IDIS.

Need a Building Card Number to Doc Number lookup so that all the Doc Numbers can be pulled from PCIS when mail-receiving staff enters the received Building Card Numbers.

Reconciling between PCIS and IDIS

This is done by matching Building Card Numbers in PCIS with Permit Reference Numbers in IDIS.

1. Query Criteria: Beginning date and end date of Building Permit Issue Dates (Doc Date on IDIS)

2. Query Results: A list of Building Card Numbers that are missing in IDIS in the specified date range.

Document Processing Audit Trail

Want to track the life of a document being processed through the IDIS system. This item will be listed in the Appendix A: Future Enhancement.

ATTACHMENT 1C

IDIS Thick Client Record Maintenance Module Solution Design

2017/10/13

Contents

Overview

The Record Maintenance application is designed for modifying record information, including retention information; exporting documents, processing auto-indexing and document export exceptions; and/or deleting documents and records from the database.

The new design includes all existing functions with an improved user interface and better logging as documented in the "IDIS Thick Client Redesign Overview." In addition, the application includes the following enhancements:

The index screen is re-worked to be more user-friendly. Less used data fields are moved to a Misc. tab on the index screen and field length will be sufficient for visual editing.

1. The UI of most screens will be more user-friendly and resizable.
2. Last processed record position is remembered when users work their way through the list of resulting records.
3. Shows FileNet P8 document ID on the document viewer by default since Document Title is not always present.
4. Records Retention is now based on Doc Type, Sub Type, Schedule Type (Original or Duplicate), and Doc Date. Per-Record-Level retention information includes LADBS Box Number, Offsite Box Number, and Offsite Location, which can be updated at the individual record level, batch level, or box level.
5. Eligible for Purging Reports allows supervisors to generate a report of records eligible for deletion. Supervisors can print the report, obtain approval, and then use the application to delete these documents.
6. Always displays the image on the side when a record is highlighted (in exception lists) and also makes fields editable. The application should check if IDIS has the permit already and alert users if one already exists (as this will create duplicate records in IDIS – same permit number, same doc type, same sub-type, and doc date). After a record is saved, the confirmation box should give the option to proceed with reprocess and also be able to remember which exception entry is being worked on. The Modify button should save and then reprocess the exception entry by itself.

7. To reduce the auto-index exceptions (caused by incorrect reading of the barcode) KTM compares the permit numbers from both barcode and OCR'd permit text and sends the sub-batch to the Index module to correct the permit number for the auto-index processing. Business will determine which staff would pick up the sub-batch to correct the permit number index in the indexing step (KTM Validation). The other improvement is the ability to count the number of documents and route the entire batch to the KTM Document Review (of Quality Control which allow rescan/replace images in place) to split up documents if necessary when the barcode is not detected.
8. Report on deleting of documents and/or records with details of who, when, and record information (such as doc date, address, doc type and sub type, and scan number) for a given period of time.
9. Additional retention related enhancements as described in the following "Retention Enhancement Requirements" below:
   a. A custom Kofax Batch Creation module will be used to automatically determine the box to place a paper batch and use the last three digits of the barcode on the box as a stamper suffix.
   b. Manage Batch – Overwrite box information and deleting batches
   c. Box Capacity Configuration
   d. Maintain Box Info
   e. Box Content Report for Offsite Box Indexing
   f. Legal Holds

Retention Enhancement Requirements

This section captures additional retention related enhancements captured on 4/18/2017 and 4/21/2017.

1. Use a reference table to enter the retention information based on the City's Records Retentions Schedule.
2. RRM to enter the retention schedule. RRM will need to be able to add, change, and delete into this table. The retention schedule will change periodically. Only supervisors will have the privilege to enter or update the retention schedule.
3. Reference table will be used to run reports to determine which records in IDIS will be eligible for deletion. Appropriate approval is NEEDED before deletion, based on the City's records deletion process.

Doc Type	Sub Type	Schedule #	Schedule Item #		Record Title	Total Years (How long to keep record)	*Record Type (Vital, Historical, Confidential Legal)
Commission	Board Files	BAS-10	O001 (original) or D001 (duplicate)		Commission Board File	50 years	Vital (can be multiple record types) – one to many

4. Retention reference table (see "Update Retention Reference Table" in a later section below).
5. No need to enter the retention information per record.
6. Retention data to keep per record are: LADBS Box Number, Storage Box Number and Storage Location. Can be used for mass update.
7. Record retention type (e.g. Vital) (see "Update Retention Reference Table" in a later section below).
8. Original, Duplicate will be part of the reference table. (This is the "Schedule Type" column in the reference table.)
    a. Electronic documents such as E-Permits (Online permits) and ACOS (Certificate of Occupancy) will be considered Original Documents.
    b. Hard copies of scanned documents are considered Original documents and the Digital/Scanned documents in IDIS are considered Duplicate documents.
9. Scanning of internal and external box numbers and entering into system: Storetrieve provides barcode labels that need to be scanned into IDIS. (See "Maintain Box Info" section below. Barcode scan gun will be used to scan the barcode label.)
10. New Legal Hold function allows supervisors to place records on legal holds, thus preventing updates or deletion. One of the search criteria will be by property address (beg #, street name), and be able to choose between properties with or without directions. Another search criterion will be doc date range but should be accompanied with the address search. See "Legal Hold Record Update" function in a later section for more details.
11. With the idea of putting on the Storetrieve's barcoded labels onto the box and scanning the barcode into the scan module, the system will be able to calculate how many pages are already in the box and determine if the batch of documents will need to be stored in a different box.
12. Create a table in IDIS with the Off-Site box numbers, 10-digit alphanumeric.
13. A reference table will be created to enter the different Off-Site numbers.
14. Scanned documents by doc type and in some cases, up to the sub type level will be assigned an Off-Site box number (UNIQUE).
15. Documents should be able to be configured down to the sub type level, for example:
    a. Grading.
    b. Conveyance Reports.
    c. Etc. (Supervisors will be able to configure these subtypes; supervisors will either be able to say "All" on document type, or choose sub types.)
16. The Scan module will know how many pages are in the batch and be able to determine how many more are needed in the box.
17. The scan operator will specify the doc type, sub type, and the number of pages when creating a batch. The application would automatically calculate and determine which box to assign the batch.
18. System will calculate how many pages are in the Off-Site box to determine if the box is full.
19. Once a box is full, the system will assign a different Off-Site box number.
20. A change in the scan number will include the last 3 digits of the box number so that staff knows which box the batch will be filed into.

21. If there's a need to rescan the batch/document, the batch/document will still be assigned to the same Off-Site box number. For Rejected for Correction batches/documents, they will not be assigned to the original Off-Site box number.
22. If there's a need to reject the batch/document, the batch/document will be removed from the assigned Off-Site box number.
23. Each record in IDIS will store the Off-Site number.
24. Have the ability to reject the assigned Off-Site box and enter an existing box number that has space available.

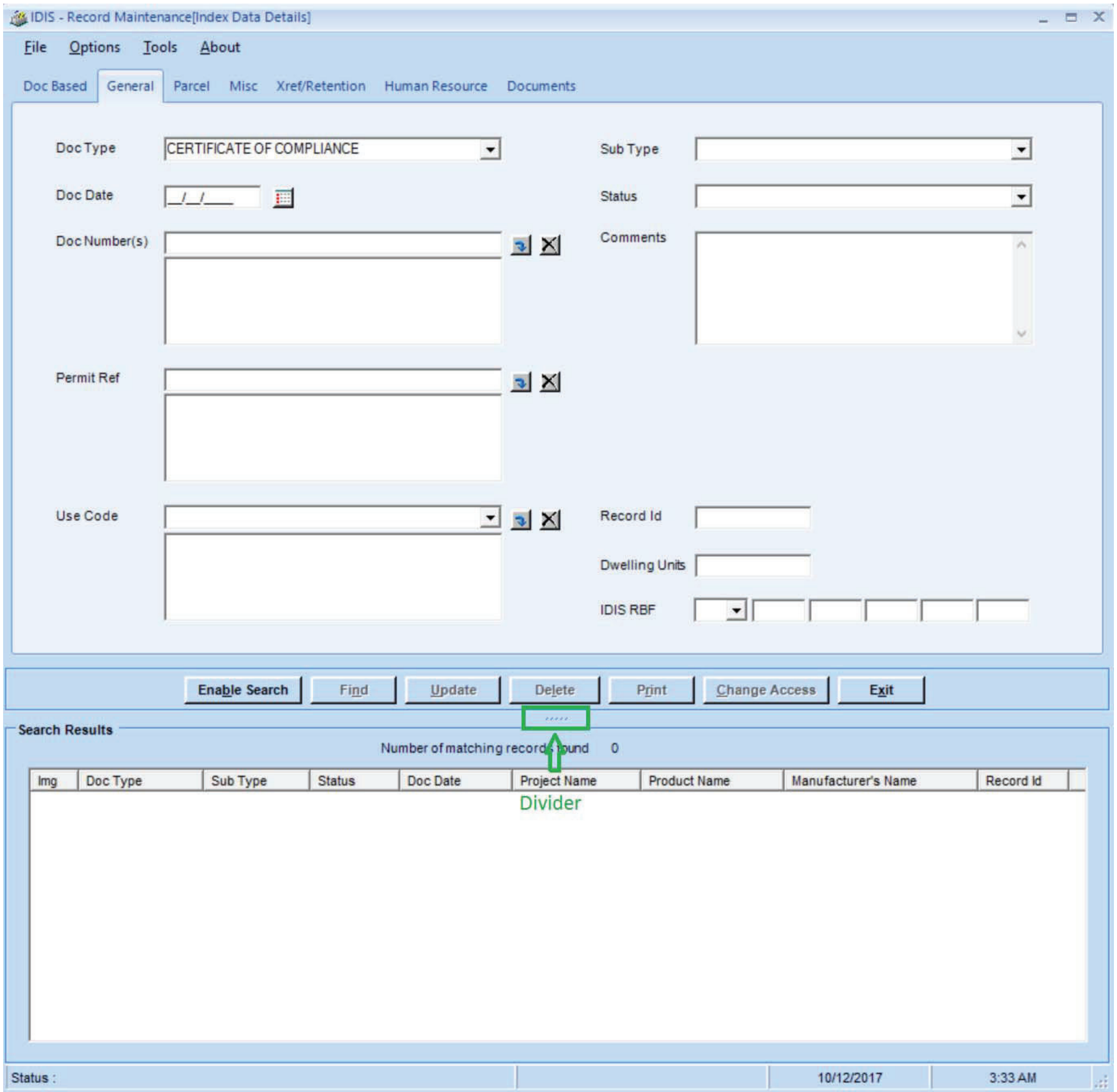
Main Functions

The main functions of the module include the following actions:

1. Search and update existing IDIS records
2. Process Auto Index exception
3. Process Document Export exception (Only available for IDIS Admin)
4. Export Records (Only available for IDIS Admin)
5. Address Change – this establishes Historical Address information
6. Update Retention Reference Tables (supervisor and admin function only)
7. Box Capacity Configuration
8. Maintain Box Info
9. Legal Hold Record Update (Only available for Supervisor)
10. Storage Info Record Update
    1. Single Record Update
    2. Update by Batch or Box
11. Manage Batch
    1. Overwrite an Existing Batch
    2. Delete an Existing Batch
12. Off-Site Box Indexing
13. Report
    - Eligible for Purging Report
    - Deleted Documents/Records

Search and Update Existing IDIS Records

The main screen, Record Maintenance Details, is largely the same as in the Snapshot application (users can enable search and search IDIS records through various criteria available in four tabs: General, Parcel, Xref/Retention, and Human Resource). An additional tab, Documents tab, shows documents associated with the currently selected record from the Search Results panel. The screen designs are shown below:



IDIS Record Control

1. Enable Search – Enable to search IDIS records based on entered criteria in all tabs. Certain fields are grayed out to be excluded from search: Comments, Doc Version, Doc Color, Dwelling Units, Permit #, all fields in Xref Documents.
2. Find record: Click on Find button to perform search on IDIS database for existing IDIS records. Search results are rendered in the Search Results panel showing columns of information including: Has Image (indicating if this record has images associated with it), Doc Type, Sub Type, Status, Doc Date, Project Name, Product Name, Manufacturer's

Name, and Record ID. When the search result is larger than a certain size (e.g. 1000 records) there will be a warning asking if users want to retrieve all.

3. Clicking on a record from the search results will populate index data into the Index panels: General, Misc, Parcel, XRef/Retention, Document, and Human Resource.
4. Users can select an existing document from the Document tab to view the content.
5. Users can click on the Update button to update index data.
6. Users can click on the Delete button to delete a record. This is only enabled for supervisors. A confirm window will pop up to ask supervisors to confirm the deletion.
7. The Print button prints the record.
8. The Change Access button confirms changed access rights (read, update, and delete in the Documents tab) to the record.
9. The Prev and Next buttons load the Search Results window with the next 1000 records if available.
10. The divider can be dragged to give more or less heights of the Search Results panel.

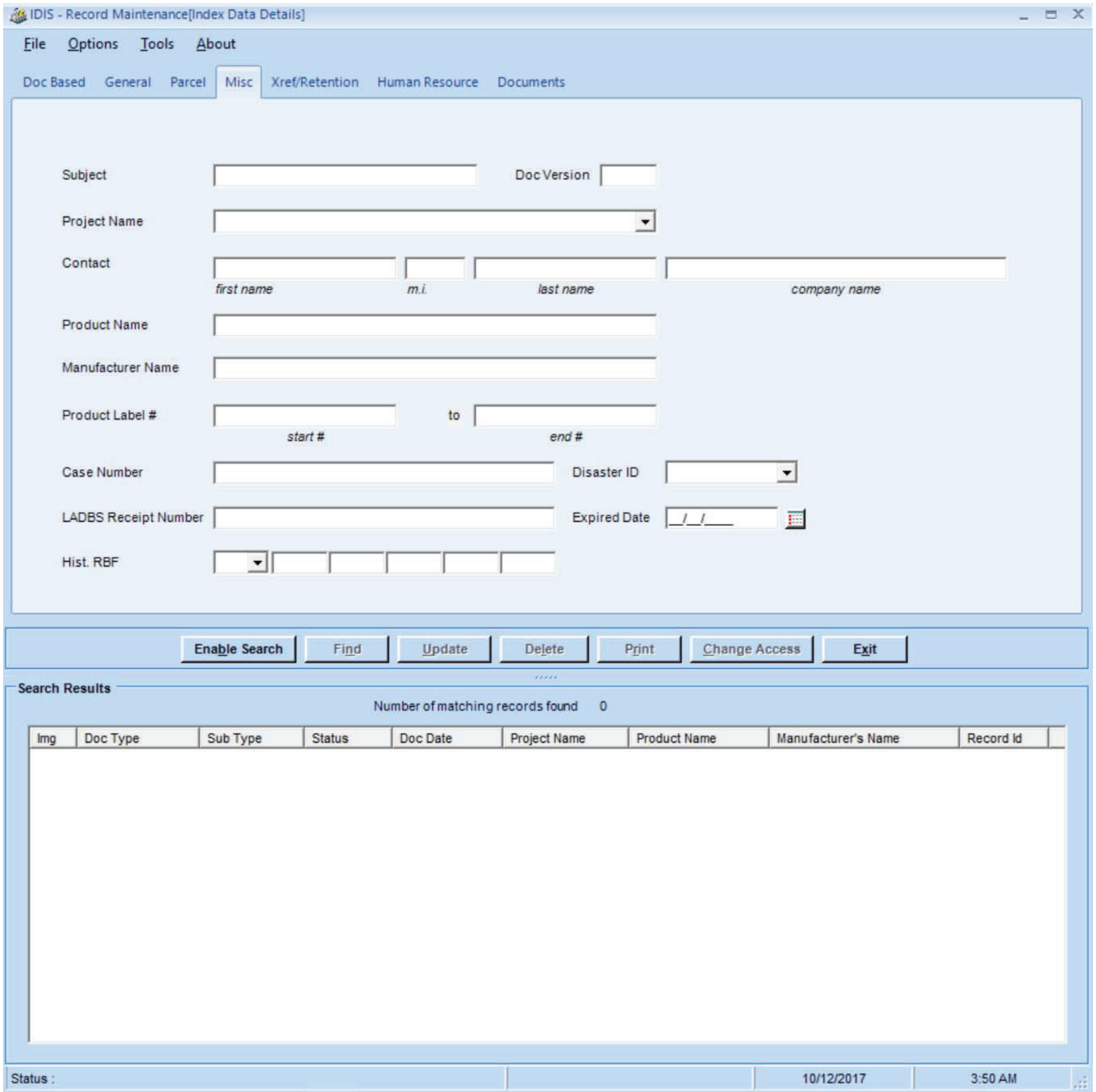
Index Details – General Tab

The above screenshot also shows the following indices in the General Tab:

1. Doc Type – dropdown list of Doc Types, required field
2. Sub Type – dropdown list of document Sub Types dependent on the selected Doc Type, required field if the selected Doc Types has Sub Types
3. Doc Date – document date, required field
4. Status – dropdown list dependent on selected Doc Type
5. Doc Number(s) – zero or more document numbers
6. Permit Ref – zero or more referenced permit numbers
7. Comments
8. Restricted Comments
9. Use Code - zero or more use code from a dropdown list of Use Code
10. Doc Color
11. Dwelling Units
12. Record ID
13. IDIS RBF

Index Details – Misc. Tab

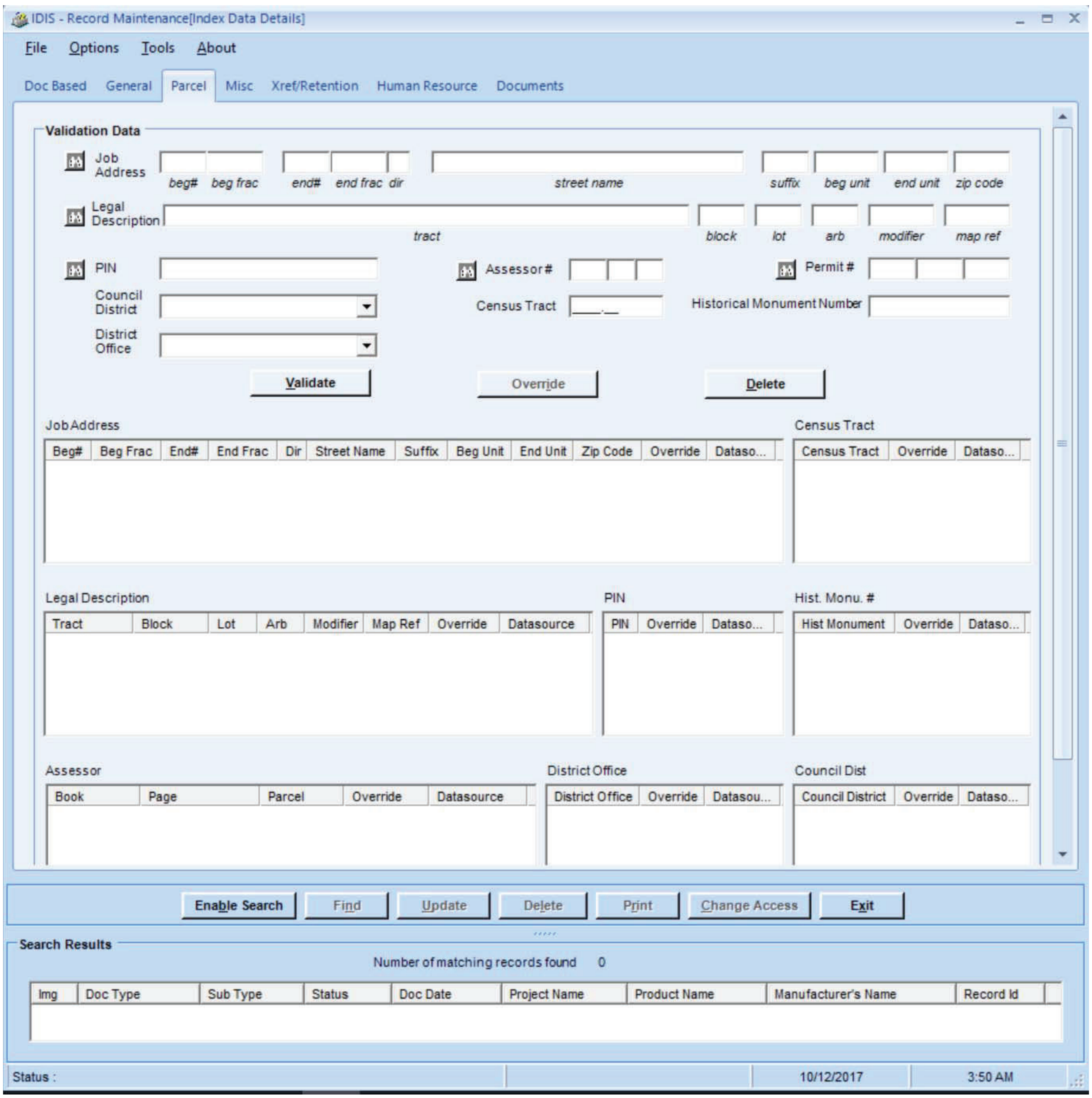
The following screenshot shows the indices in the Misc Tab:



1. Subject
2. Doc Version
3. Project Name – dropdown list of configured project names
4. Contact (including first name, mi., last name, company name)
5. Product Name
6. Manufacturer Name
7. Product Label # - start #, to #
8. Case Number
9. Disaster ID

10. LADBS Receipt Number
11. Expired Date
12. Historical RBF
13. AKA Address

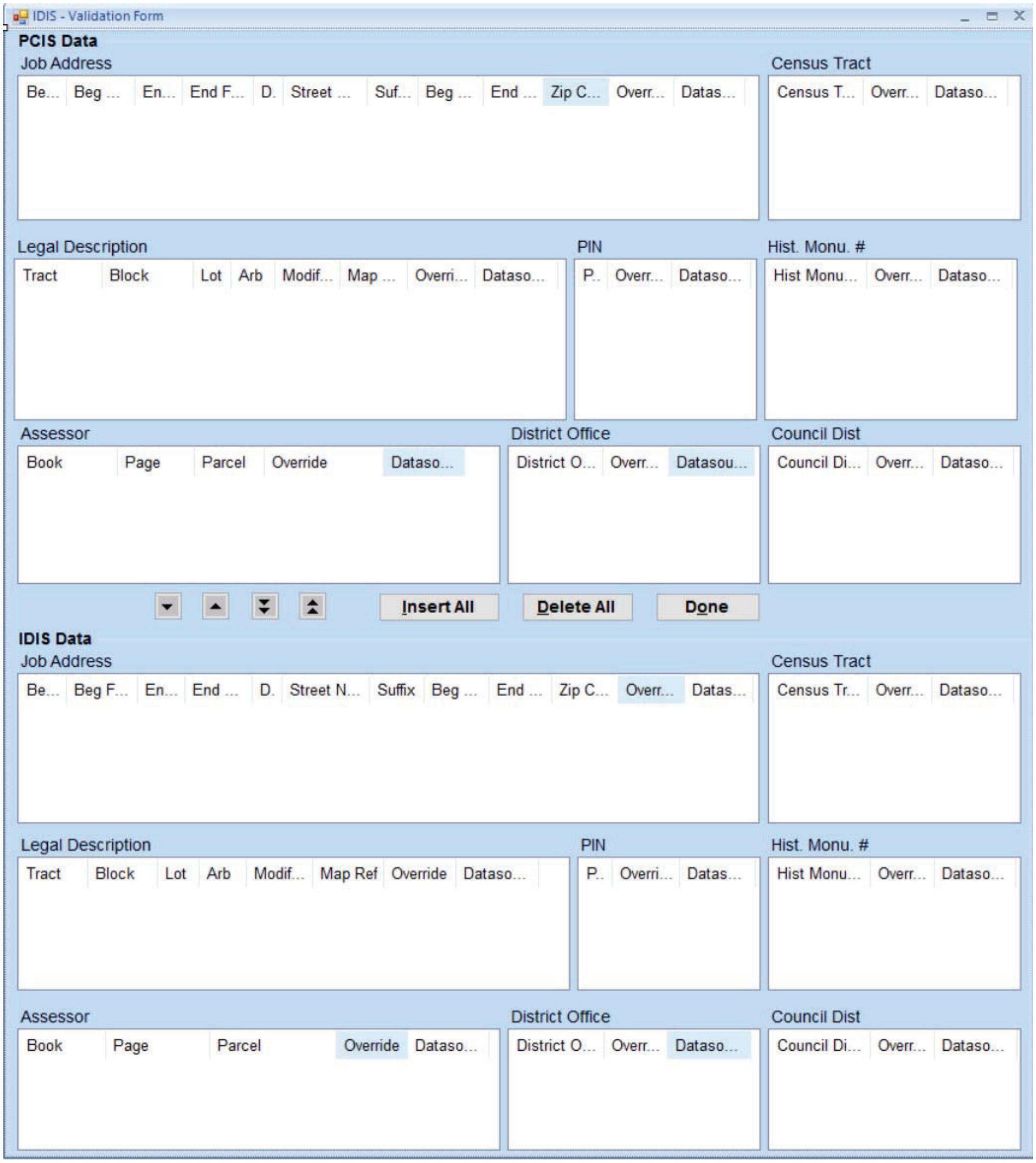
Index Details – Parcel Tab



The Parcel Tab serves two purposes: showing parcel index data as well as searching the PCIS database to validate the parcel index data. The content of the original Parcel Tab is now broken into two tabs: Parcel and Parcel Index. The Parcel Tab's primary function is for searching the PCIS database while the search results, and current Parcel index values, have been moved into the "Parcel Index" Tab.

1. Clicking on the Validate button would enable a search in the PCIS database. Users can click on the checkbox in front of the Job Address field, Legal Desc field, PIN field, Assessor # field, or Permit # field, to enable the corresponding search field (each search criterion is mutually exclusive of each other). The button's display text becomes "Search" which can be clicked to search PCIS by the desired search criteria.
2. Clicking on the "Search" button would search the PCIS database with the entered search criteria and pops up the PCIS Search Results window (see the following screenshot) with the search results displayed.
3. If the search results is empty, users can directly enter the data in the Parcel tab and click on the "Override" button to insert the data into the document index in the Parcel Index Tab.
4. Allow deleting entered/selected records.

PCIS Search Result Popup Window

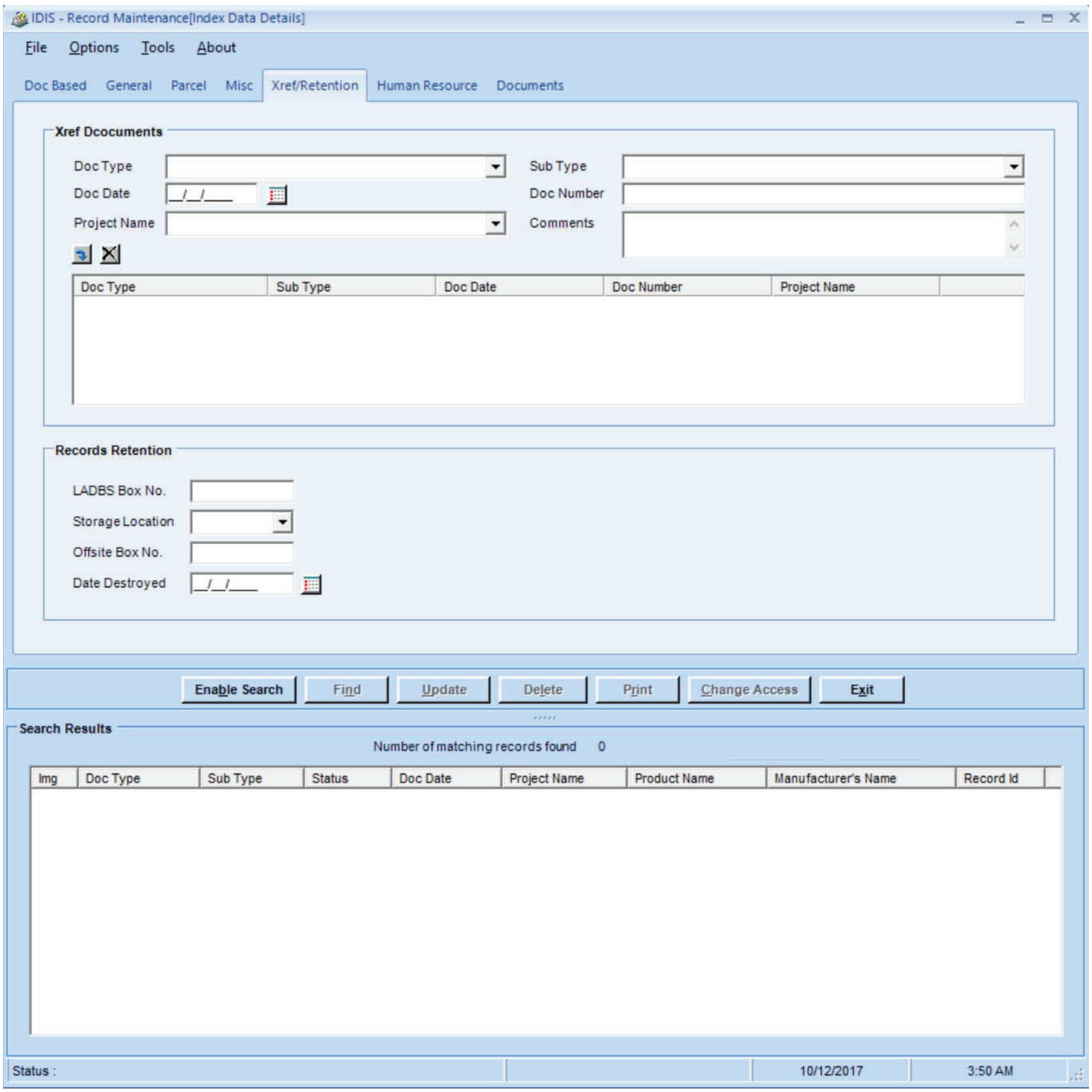


1. This window displays the PCIS search results. All modules that have PCIS data validation include this window.
2. The top PCIS Data panel contains the search results and the bottom IDIS Data panel contains the current IDIS Parcel index. Users can use the arrow keys, Insert All button, and Delete All

buttons to move Job Address, Census Tract, Legal Description, PIN, Hist. Monument #, Assessor, District Office, and Council District data between these 2 panels.

3. Closing this window would copy the data in the IDIS Data panel back to the Parcel Index Tab.

Index Details – Xref/Retention Tab

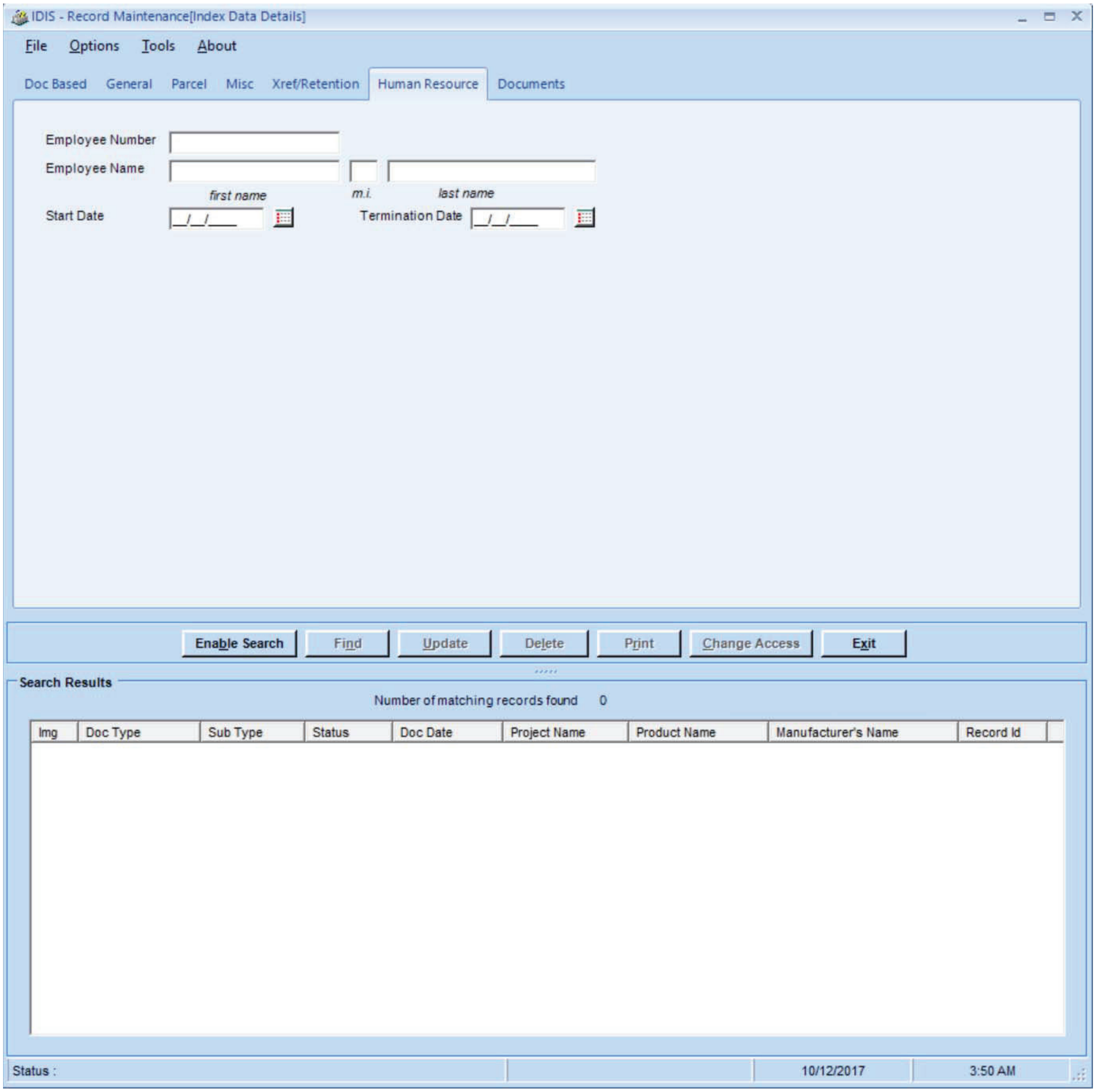


1. Zero or more Xref Document –
   1. Doc Type, dropdown list of Doc Types

    2. Sub Type, dropdown list of document Sub Types dependent on the selected Doc Type
    3. Doc Date
    4. Doc Number
    5. Project Name – dropdown list of configured project names
2. Comments
3. Records Retention –
    1. LADBS Box No.
    2. Offsite Box No.
    3. Storage Location
    4. Date Destroyed

Index Details – Human Resource

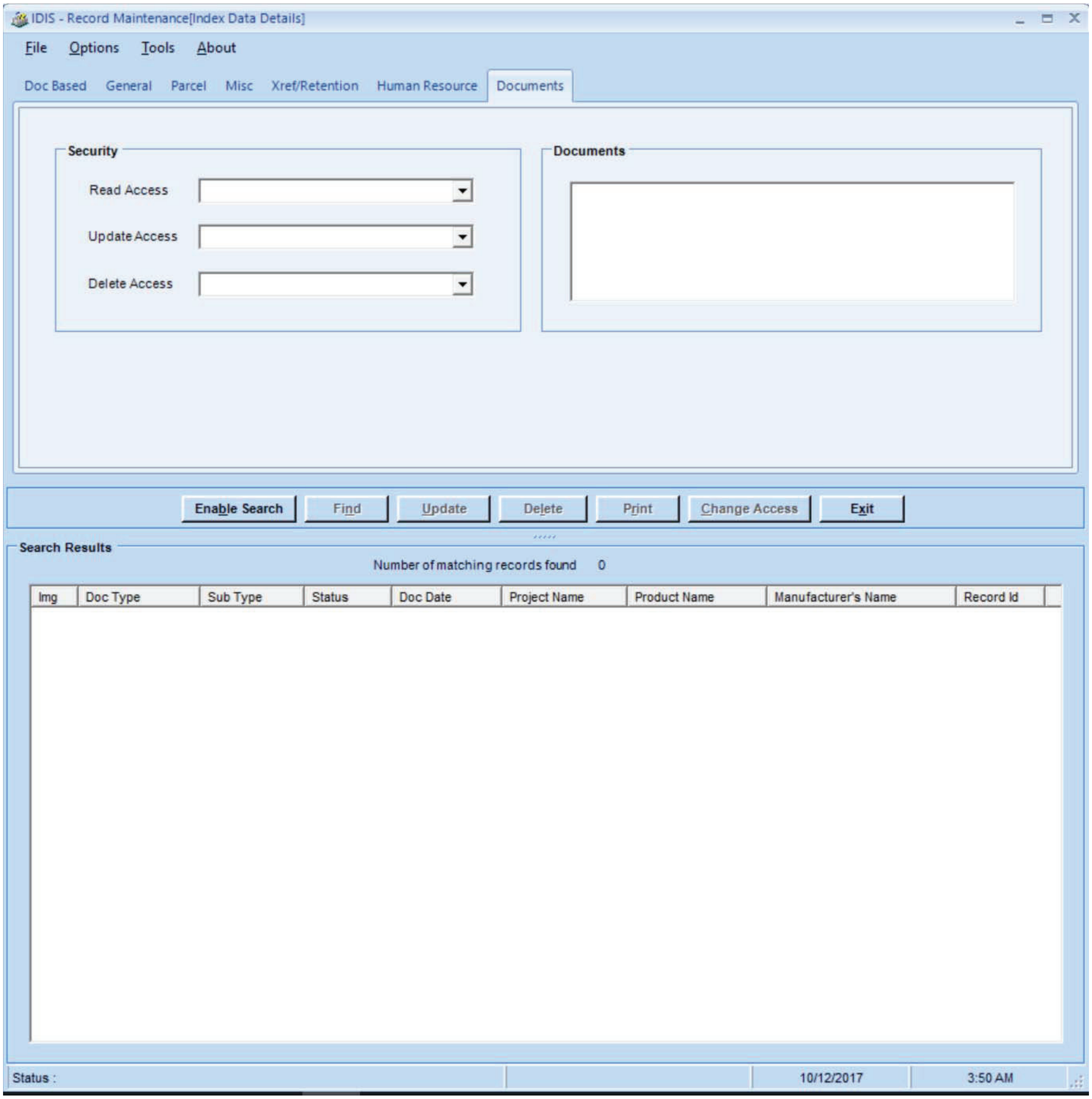
Functions within this tab remain the same as the current implementation.



1. Employee Number
2. Employee Name
3. Start Date
4. Termination Date

Displaying and Updating Document Images

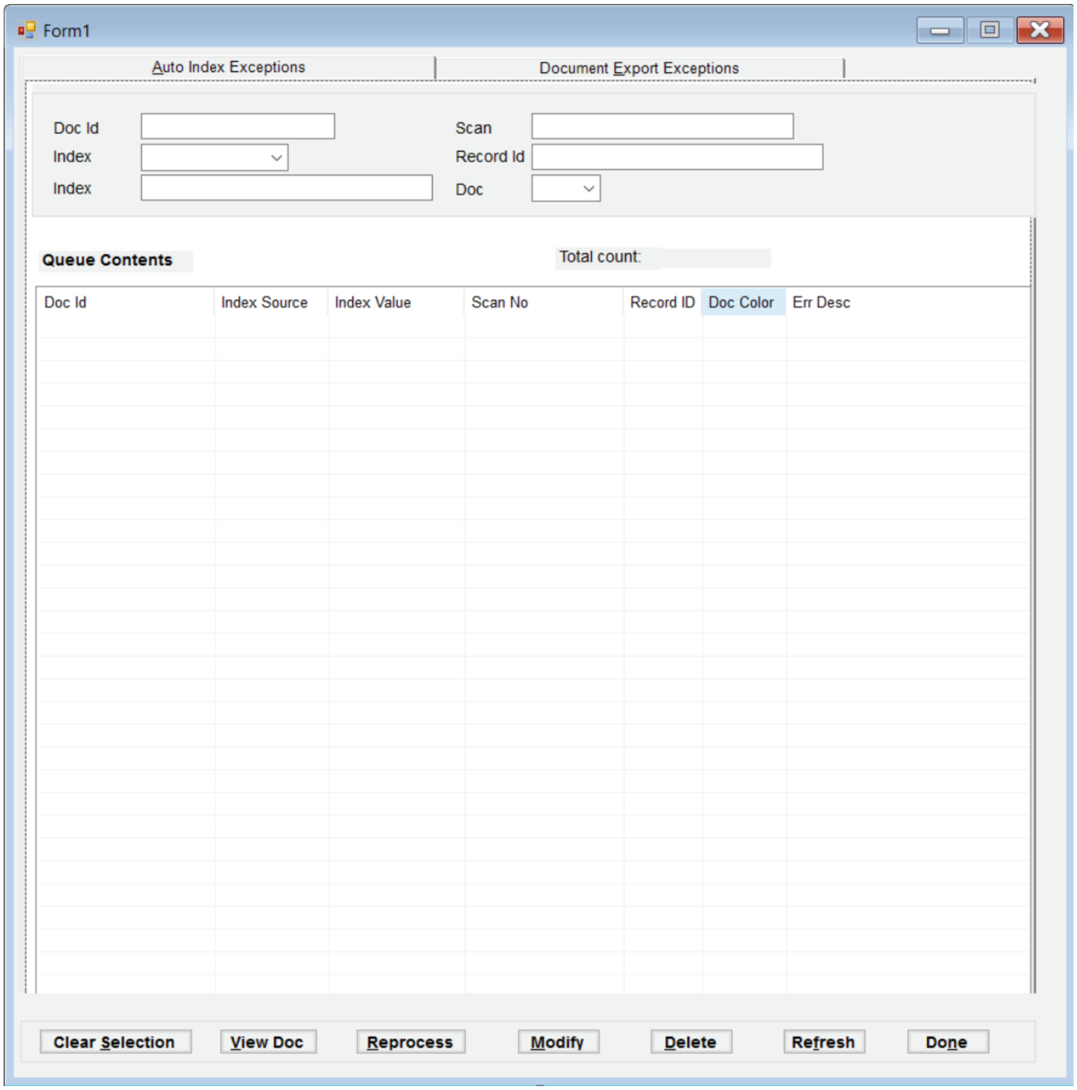
Users will be able to select an IDIS record on the above IDIS "Search Results" panel and click on a button to show the list of documents associated with the IDIS record and to display the content of a document. The Documents list would also indicate if a document is a non-Tiff digital image. The screen design is similar to the following screenshot:



Process Auto Index Exception

1. This function is invoked from the Tools->Exception menu action and by selecting the "Auto Index Exceptions" tab from the popup window. The Auto Index Exception tab allows users to view, modify, delete, and reprocess index records that run into exceptions during the auto-index processing. All the exception records are listed in the "Queue Contents" panel. Users can type in any (partial) information of a record into the Filter box to filter the records. The columns of information (and thus fields that can be filtered by) include the following: Doc ID, Index Source, Index Value, Scan No., Record

ID, Doc Color, Error Description, and Doc Date (the last two not shown in the screenshot below).

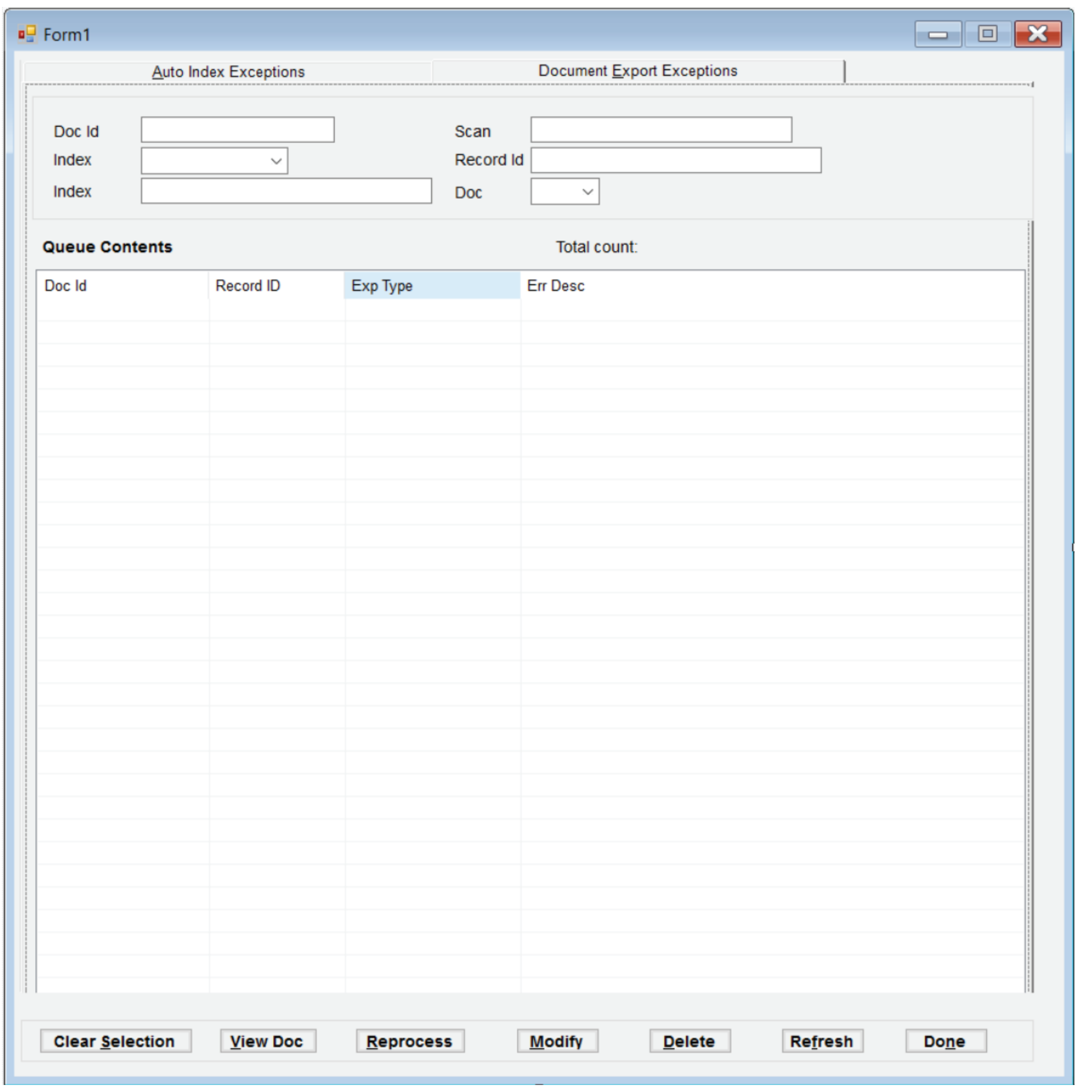


2. Selecting a record would populate the Doc ID, Index Source, Index Value, Scan No, Record ID, and Doc Color on the top panel.
3. The View Doc button displays the document in a viewer. The P8 document ID should be displayed on the title of the viewer.
4. Reprocess button sends this document into auto-index for reprocessing (typically after fixing the original issues that cause this record to run into an exception).
5. Modify button enables updating record attributes (No need for the Modify button since fields will be editable by default. This should be displayed as the “Save” button, which will save the changes and also ask users to confirm the processing of the record again).
6. Delete button deletes the exception record/document (Delete button is only enabled for Supervisors).
7. Refresh button refreshes the Queue Contents to bring in new data if any.

8. Always displays the image on the side when a record is selected and also makes fields editable. After a record is saved, the confirmation box will give the option to proceed with reprocess as well.
9. Selected record will be highlighted and highlighted is kept after button actions so that users can visually see which record was last processed.

Process Document Export Exception (Only Available for IDIS Admin)

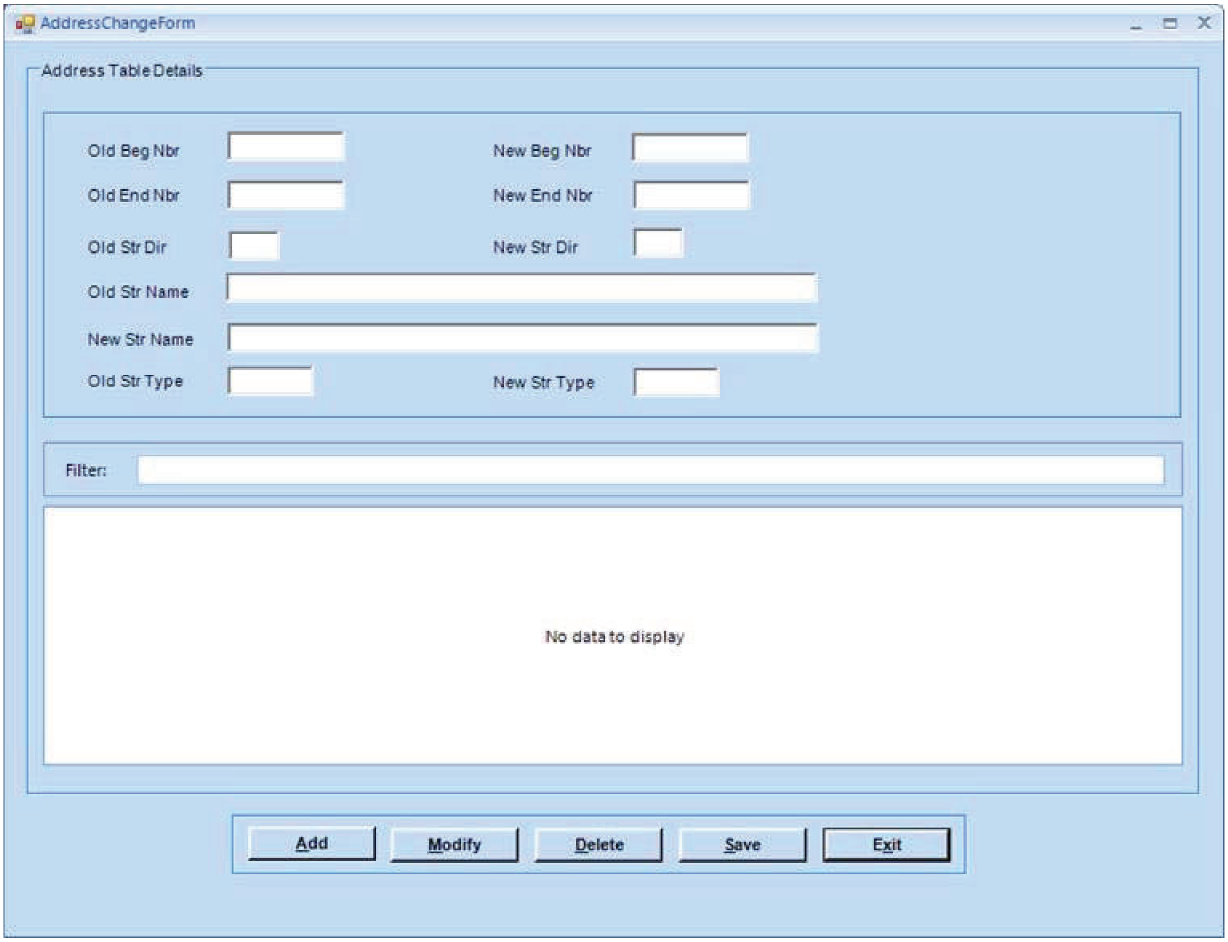
1. This function is invoked from the Tools->Exception menu action and by selecting the “Document Export Exceptions” tab from the popup window. The Document Export Exception tab allows users to view, modify, delete, and reprocess document records that run into exceptions during document export processing. All the exception records are listed in the “Queue Contents” panel. Users can type in any (partial) information of a record into the Filter box to filter the records. The columns of information (and thus fields that can be filtered by) include the following: Doc ID, Record ID, Doc Color, Exception Description, and Doc Date.



2. Selecting a record would populate the Doc ID, Record ID, and Export Type (Doc Color) on the top panel.
3. The View Doc button displays the document in a viewer. The P8 document ID should be displayed on the title of the viewer.
4. The Reprocess button sends this document into doc-export for reprocessing (typically after fixing the original issues that cause this record to run into an exception).
5. The Modify button enables updating record attributes.
6. The Delete button deletes the exception record/document (Delete button is only enabled for Supervisors).
7. The Refresh button refreshes to bring in new data.
8. The image is always displayed on the side when a record is selected and also makes fields editable. After a record is saved, the confirmation box will give the option to proceed with reprocessing.
9. Selected records will be highlighted and the highlighting is kept after button actions so that users can see which record was processed last.

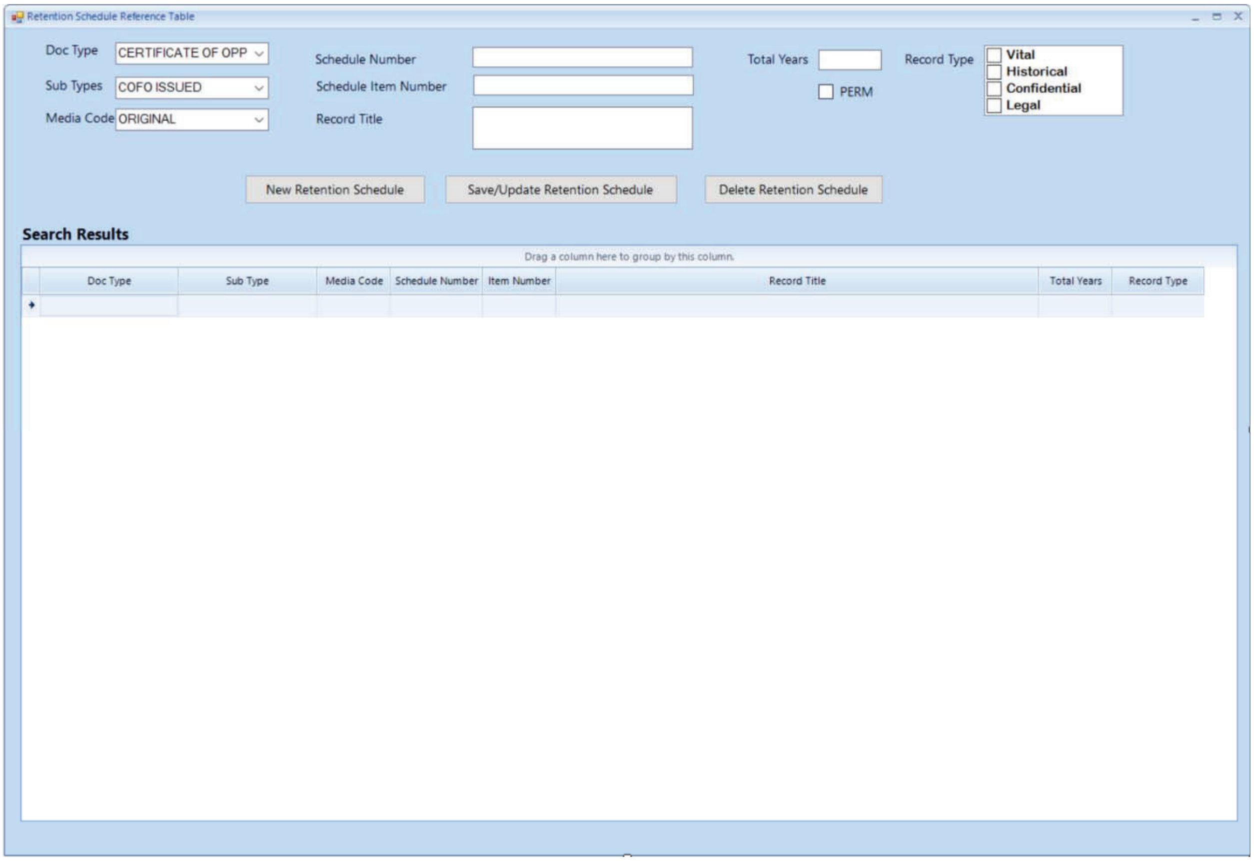
Address Change

1. This action is invoked through the Tools->Change of Address menu action. This screen is for adding and updating records in the IDIS database IDIS RADDCHG table. When invoked it will show all the records in the table. Selecting a record would populate the record into the corresponding fields in the top panel. The buttons allow adding, modifying, deleting, and saving a record.



Update Retention Reference Tables

The Retention related Reference Tables include two tables: Retention Schedule Reference Table and Doc Type/Sub Type to Retention Schedule Reference Table.



This function provides admin functions to list, create, update, and delete Retention Schedule Reference Table rows, which include the following columns of information:

1. Schedule Number: e.g. BAS-10
2. Schedule Item Number: e.g. O001 (original) or D001 (duplicate)
3. Record Title: e.g. Commission Board File
4. Total Years: How many years to keep the record, e.g. 50. For permanent retention users would check the "PERM" check-box. When this check-box is checked the text in Total Years is cleared.
5. Record Type: e.g. Vital (V), Historical (H), Confidential (C), Legal (L). Can be multiple record types – one or more
6. Doc Type: e.g. Commission
7. Sub Type: e.g. Board Files
8. Schedule Type: Original or Duplicate

The behavior is summarized as follows:

1. As the window comes up, the "Search Results" shows all the Retention Schedule configuration entries.
2. Selecting an entry would populate retention schedule entry data on top. Users can make modifications as appropriate if they have permission.

3. The “Document Type/Sub Types” table displays all the doc types/sub types that are associated with the selected schedule entry. Selecting an entry from this “Document Type/Sub Types” table would populate its content in the “Doc Type,” “Sub Type,” and “Schedule Type” fields. Users can make modifications as appropriate if they have permission.
4. Selecting the Doc Type dropdown will filter the Search Results to only that Doc Type.
5. Selecting the Sub Type dropdown will further filter the Search Result.
6. Check box “PERM” is for permanent retention. Checking this box would clear out “Total Years.”
7. New Retention Schedule: blank out “Doc Type,” “Sub Type,” “Schedule Type,” “Schedule Number,” “Schedule Item Number,” “Record Title,” Total Years,” “Record Type” fields, and Document Type/Sub Types” table. The application should detect duplicates and rejects and give error messages to users.
8. Save/Update Retention Schedule: add/update a “Retention Schedule” table entry.
9. Delete Retention Schedule: delete a “Retention Schedule” table entry (Delete button is only enabled for Supervisors).

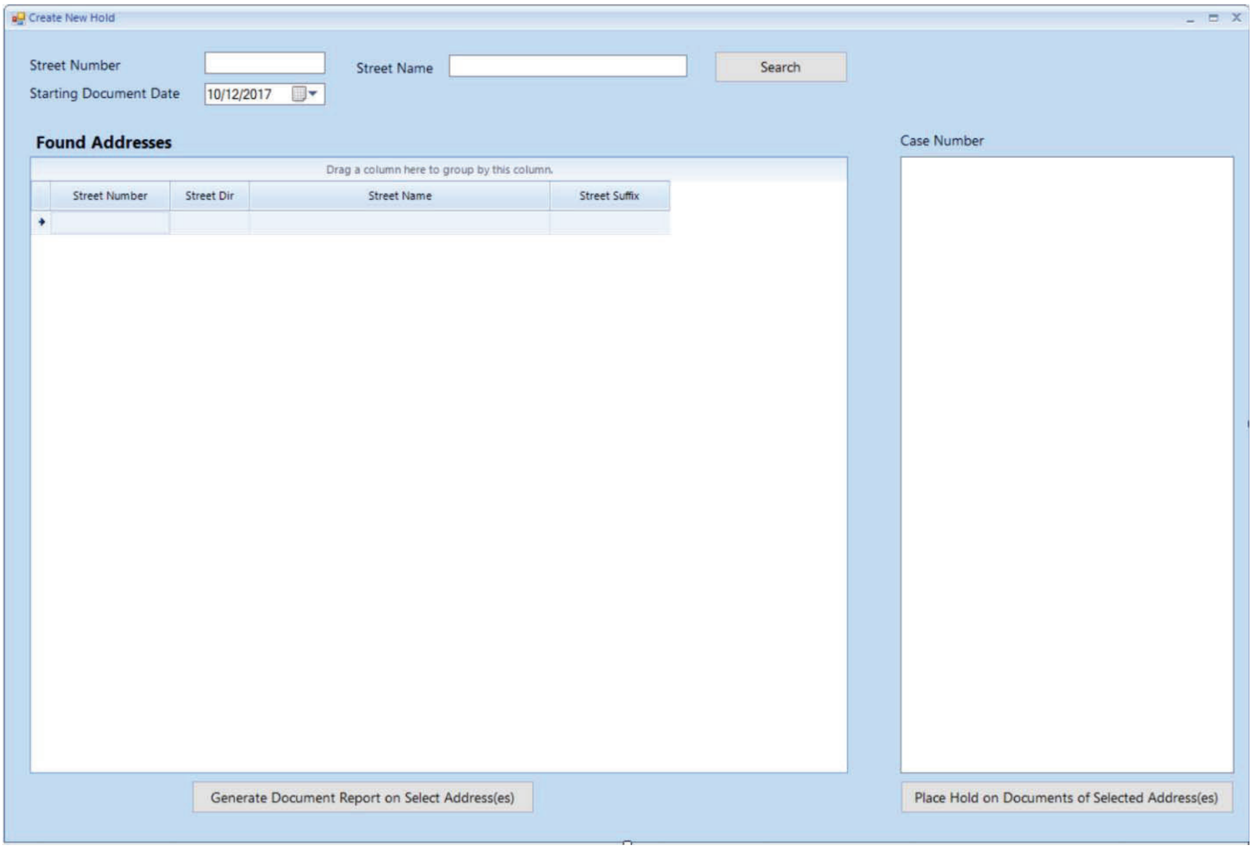
Schedule Type

This is the current IDIS “Record Type” defined on the document retention table. It is defined on the document level. Documents scanned with Kofax are duplicates. For File Import, ACOS from PFA are duplicates and ACOS/TCO, PermLA are Originals. For pre-existing records, the Data Source determines whether the record is a Duplicate or Original.

Legal Hold Record Update (Only Available for Supervisor)

The search interface has the beginning number, street name, and starting document date search fields. (The ending document date is open, and future documents of the address will automatically join the hold once scanned/imported in. The search results show number, street direction, street name, and street suffix. Users can further select from the search results to decide which addresses to apply the hold to. There could be multiple addresses (e.g. with different unit number or fraction number) that corresponds to a single search result address. All of them will be also considered matched. If users select a search result entry that does not have a street direction, then both directions would be considered a match. This principle also applies to the street suffix.

Users need to enter a Case Number (a mandatory field) when creating a hold.



The behavior is summarized as follows:

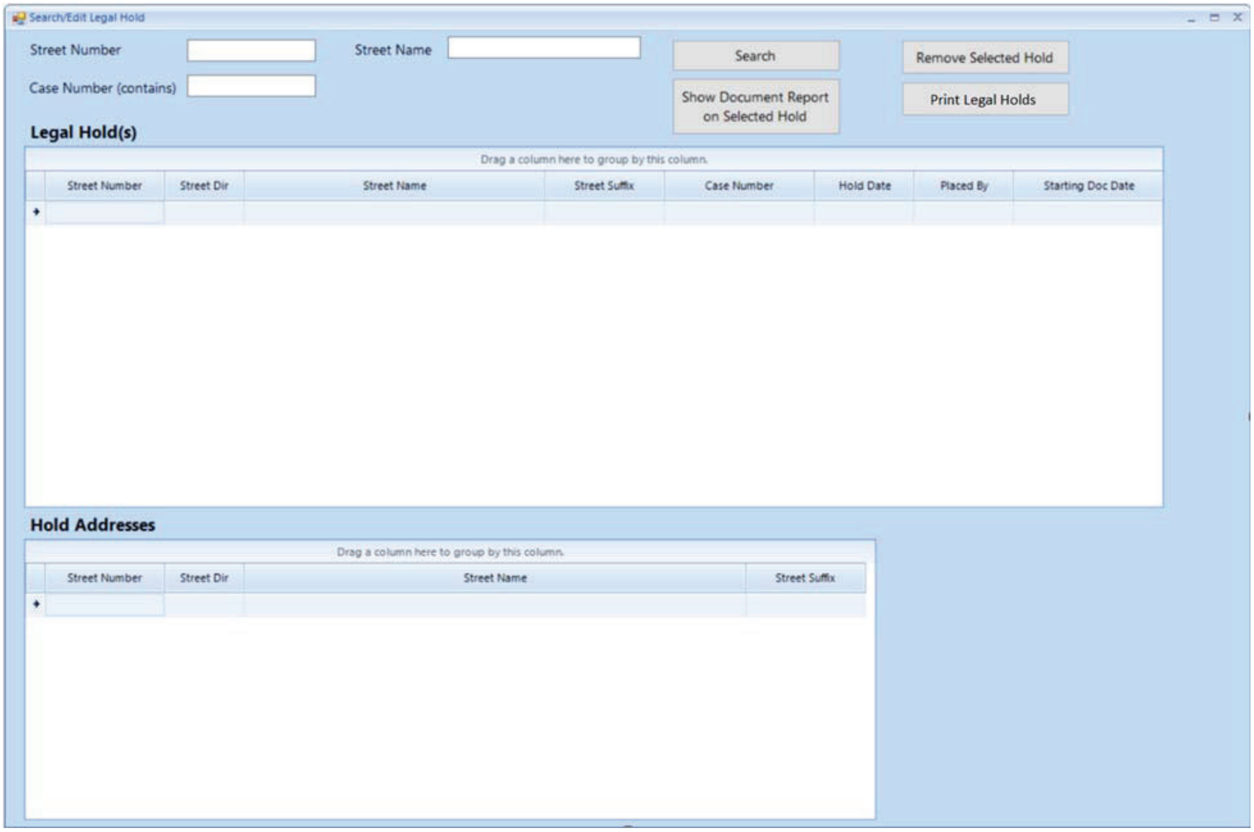
1. Users enter street number, street name, starting document date and click on the “Search” button.
2. The matching addresses are listed in the “Found Addresses” table.
3. Users can click on the “Place Hold…” button to place holds on all the associated documents.
4. Users can select multiple entries from this table and click on the “Generate Document Report on Selected Addresses” button to generate a report on the hold, associated address, and associated documents. The report header includes associated addresses of this hold, hold date, person placing the hold, from date, and hold reason. The report detail section includes doc type, sub type, doc date, user doc number, and RBF for each document. (The purpose of this report is for users to validate that the selected addresses are the desired records before a hold is placed on them.)

Address: 19561 KESWICK

Document Type	Sub Type	Document Date	Document Number	Reel Batch Frame	
RANGE FILE	MISCELLANEOUS	11/10/2003		HIST: M1505 7 637 thru M1505 7 639	
RANGE FILE	MISCELLANEOUS	11/10/2003		IDIS: R576 00422 0000 thru R576 00422 0005	
RANGE FILE	MISCELLANEOUS	12/11/2004		IDIS: R532 00658 0000 thru R532 00658 0009	

5. Users can click on the “Place Hold…” button to place holds on all the associated documents.

Supervisors can search previously placed legal holds to unlock the holds. (Supervisors need the ability to run a report that shows all the holds that have been placed by property address and include case numbers as well.) They can search by case number, street number, street name, date when holds were placed, and text within the case number field. Once a hold record is selected, supervisors can remove a hold.



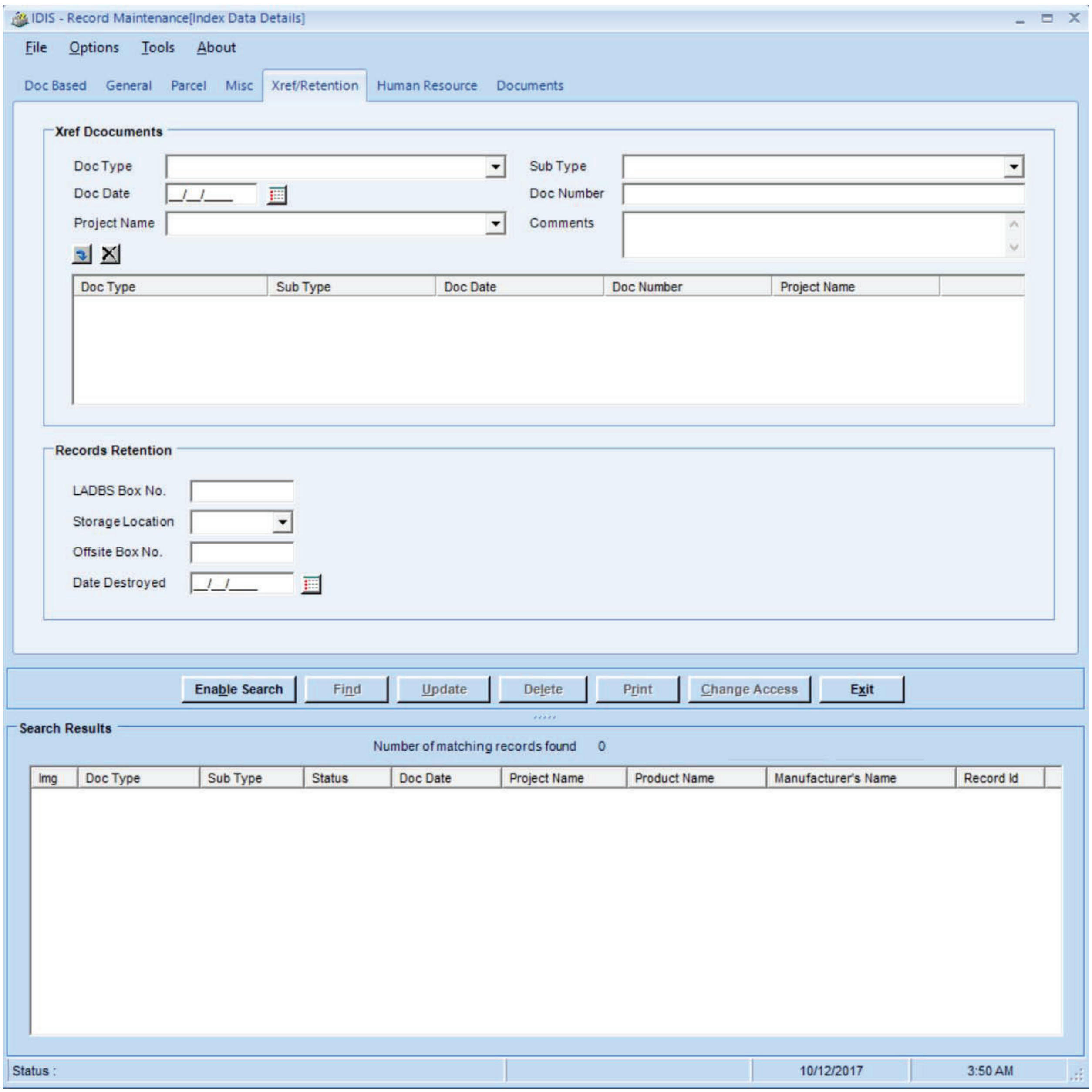
The behavior is summarized as follows:

1. Users enter street number, street name, partial text in the Case Number (alpha-numeric field, up to 20 characters), and click on the “Search” button. Clicking on the “Search” button without entering any search criteria would return all active holds.
2. The matching legal holds are listed in the “Legal Hold(s)” table.
3. Selecting an entry from this table would populate the addresses associated with the legal hold in the “Hold Addresses” table. Users can click on the “Show Document Report on Selected Hold” button to list the associated documents on hold in a report.
4. Users can click on the “Remove Selected Hold” button to remove the holds on all the listed documents.
5. Users can print the search results from the “Legal Hold(s)” window by pressing the “Print Legal Holds” button.

Storage Info Record Update

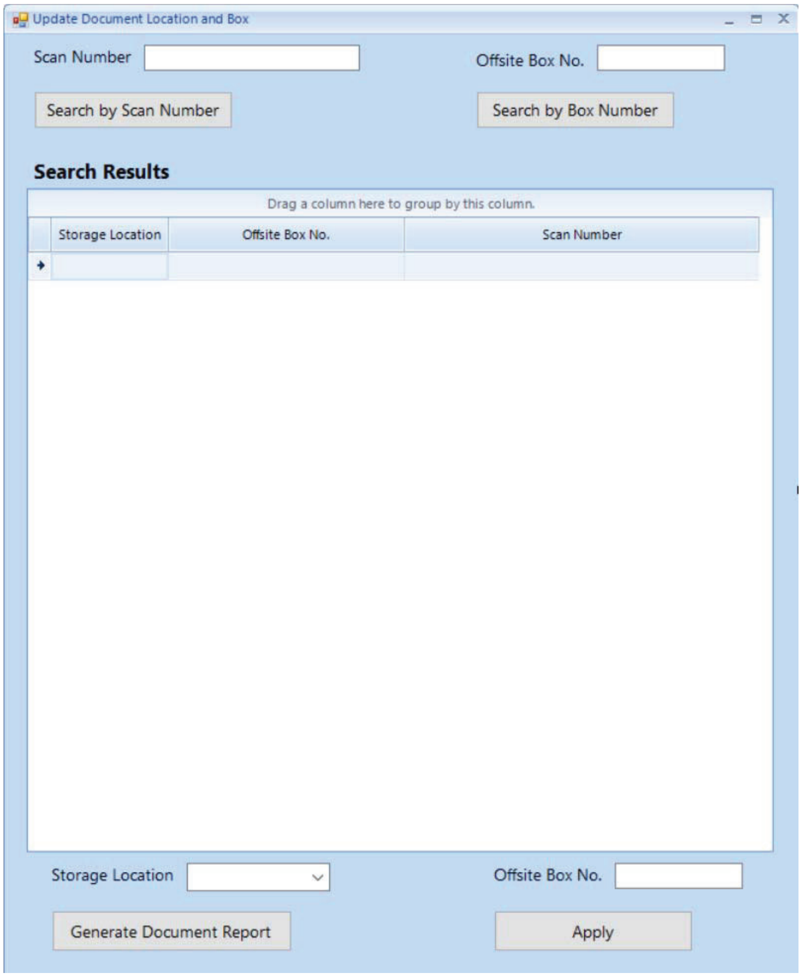
Single Record Update

Current record searching and updating functions allow searching documents by addresses, doc date, and other criteria and by selecting a record to update the record retention information, among other things. The following screenshot shows the function. The retention period is now determined by Doc Type, Sub Type, and Schedule Type as defined by the RSID table. Only the LADBS Box No, Offsite Box No, Storage Location, and Date Destroyed are available for editing under this function. All other fields in the original screen are removed as they are tied to a retention schedule. Scan Number is also removed as this is not indexed manually.



Massive Update

Current retention update functions allow updating the record retention information of documents by a range of scan numbers or RBF numbers. The new design allows searching documents by box or batch and allows change to the storage location and offsite box number for documents in the selected box or batch.



Search Criteria: by Offsite Box No. and also Scan Number (just one single field) (Users would search one or the other but not both)

The behavior is summarized as follows:

1. Users fill in search criteria and either click on Search by Scan Number or Search by Box Number to search.
2. All batches matching the search criteria are listed in the Search Results table.
3. Users select one or more batches, and click on "Generate Document Report" to validate the selection.

4. With batches still selected, users select new Storage Location, fill in the new Offsite Box Number, and click on the "Apply" button to apply the changes to the documents associated with the selected batches.

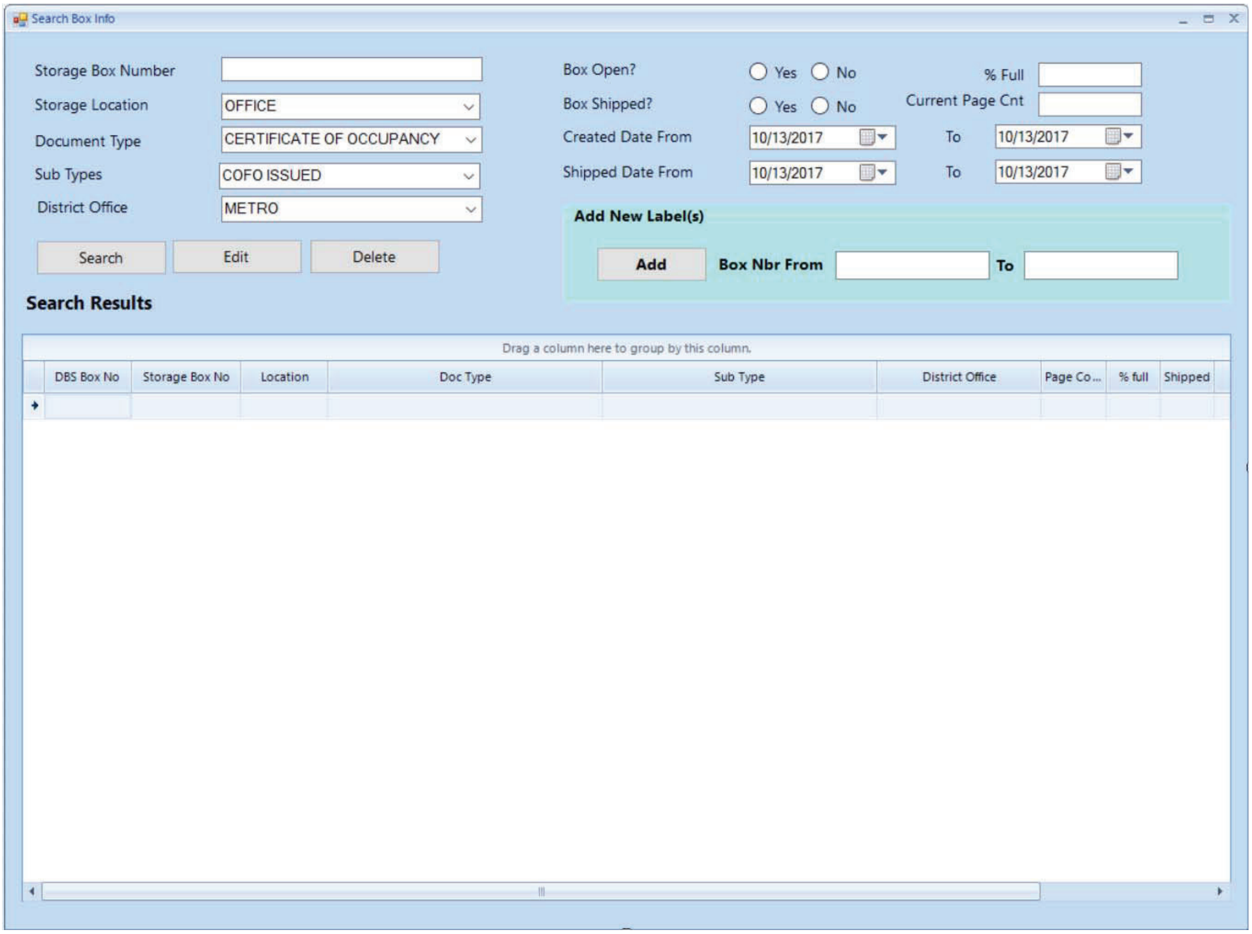
Maintain Box Info

The Box Info Tables include two tables: Box Content and Doc Type/Sub Type to Box Capacity Table.

This function provides admin functions to list, search, create, update, and delete Box Content Table rows, which include the following columns of information:

1. Storage Box Number: Off-Site storage box number
2. Storage Location: Initial 'Office,' changed to offsite location when shipped.
3. Doc Type: doc type for the documents in the box
4. Sub Type: sub type for the documents in the box
5. Current Page Count: the number of pages current allocated for a box
6. Percentage full: the percentage full (90%)
7. Open: is the box open?
8. Shipped: is the box shipped to offsite location
9. Created Date: date this record is created in database
10. Shipped Date: date this boxed is shipped

The search criteria will include all the above information with range criteria for box numbers and date columns.



The behavior is summarized as follows:

1. Users enter Storage Box Number, selects from Storage Location, Document Type, Sub Types, Box Open, Box Shipped, Created Date, Shipped Date, and clicks on the “Search” button.
2. The matching box information is listed in the “Search Results” table.
3. Selecting an entry from this table and clicking on the “Edit” button would populate the Storage Box Number, Storage Location, Document Type, Sub Types, Current Page Cnt, Box Open, % Full, Box Shipped, Created Date, Shipped Date fields and switch to the “Edit Box Info” screen.
4. Selecting an entry from this table and clicking on the “Delete” button would delete the box info. A warning message will appear if the Current Page Cnt is not zero. (Delete button is only enabled for Supervisors.)
5. The Delete action should be allowed if the box is empty. Should reject and ask users to dis-associate the batches first.
6. The “Add” button in the “Add New Label(s)” panel is a function for users to enter a range of Off-Site Box Numbers and create entries of Box Info. If only “From” or “To” labels are entered then only one Box Info will be created. Storage Location will always default to “OFFICE.” “Document Type,” “Sub Type,” and “District Office” will be populated when the box is first used in the “Create Batch” function.

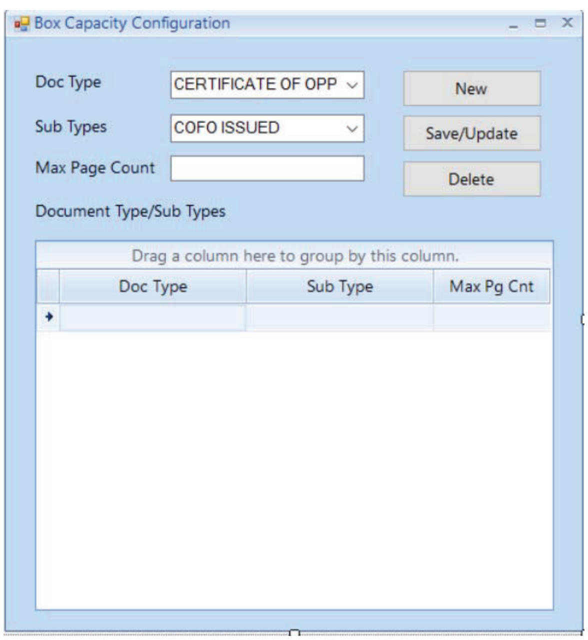
7. Users can select one or more entry and click on the "Edit" button to edit the data of the selected Box Info records. When the "Edit" button is clicked the "Search" button will be grayed out and the "Edit" button will become "Update" and the "Delete" button will become "Cancel" – for committing the update changes to the selected row(s) or to cancel the update and return back to Search mode. In addition, the Created Date and Ship Date will become a single-field for data editing.
8. For single-row update users can update any field as needed. For multiple-row updates, all fields will blank out and only "Storage Location," "Box Open," "Box Shipped," and "Shipped Date" fields are available for batch-update. All the other fields ("Storage Box Number," "Document Type," "Sub Type," "District Office," "Created Date," "%Full," and "Current Page Cnt" will gray out.

The application should employ a barcode scan gun for scanning the Storage Box Number label on box.

Box Capacity Configuration

A separate screen would allow supervisors to maintain the number of pages per Doc Type and Sub Type that a box can hold. The information is stored in the Doc Type/Sub Type Box Capacity Table, which has the following columns of information:

1. Doc Type: e.g. Commission
2. Sub Type: e.g. Board Files
3. Max Page Count: the maximum number of physical pages to hold in the box



The behavior is summarized as follows:

1. As the window comes up, the “Document Type/Sub Types” table shows all the box capacity configuration entries.
2. Selecting an entry would populate the entry data on top. Users can make modifications as appropriate if they have permission.
3. New: blank out “Doc Type,” “Sub Type,” and “Max Page Count” fields.
4. Save/Update: add/update a table entry.
5. Delete: delete the selected table entry. (Delete button is only enabled for Supervisors.)

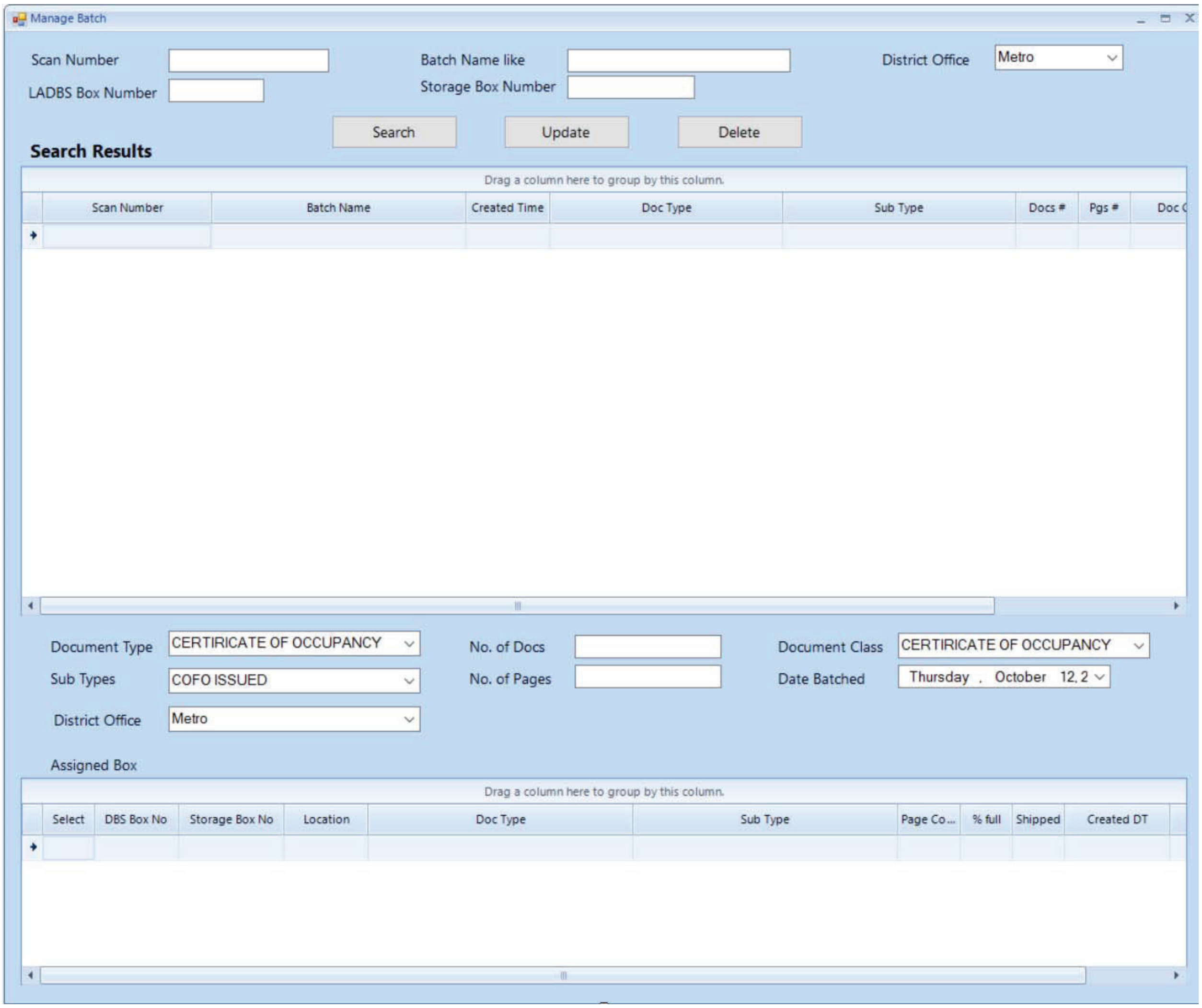
Manage Batch

Overwrite an Existing Batch

This function allows users to search existing batches by Off-Site box number, or batch ID/name. Users can select the desired batch or batches to update its Off-Site box number and scan number. This function would update the corresponding Box Info entries by adjusting the related columns of information.

Delete an Existing Batch

This function allows users to search existing batches by Off-Site box number, or batch ID/name. Users can select the desired batch or batches to delete. This function would update the corresponding Box Info entries by adjusting the related columns of information.



The behavior is summarized as follows:

1. Users enter Scan Number, Batch Name (partial text), District Office (for Building Permit), Storage Box Number and click on the “Search” button. The “Search Results” table shows all the batches matching the search criteria.
2. Selecting an entry would populate batch entry data into the batch data fields: Document Type, Sub Type, District Office (for Building Permit), No. of Docs, No. of Pages, Document Class, and Date Batched. The Assigned Box table lists all the boxes that are not full (still open), with the one that is assigned to this batch selected. If more than one entry is selected, the “Update” button is grayed out and the field values are cleared.
3. Users can make modifications as appropriate; supervisors can select an assigned box to make modifications.
4. Update: update a batch entry.
5. Delete: delete selected batch entries. The corresponding Kofax batches are also deleted. (Delete button is only enabled for Supervisors).

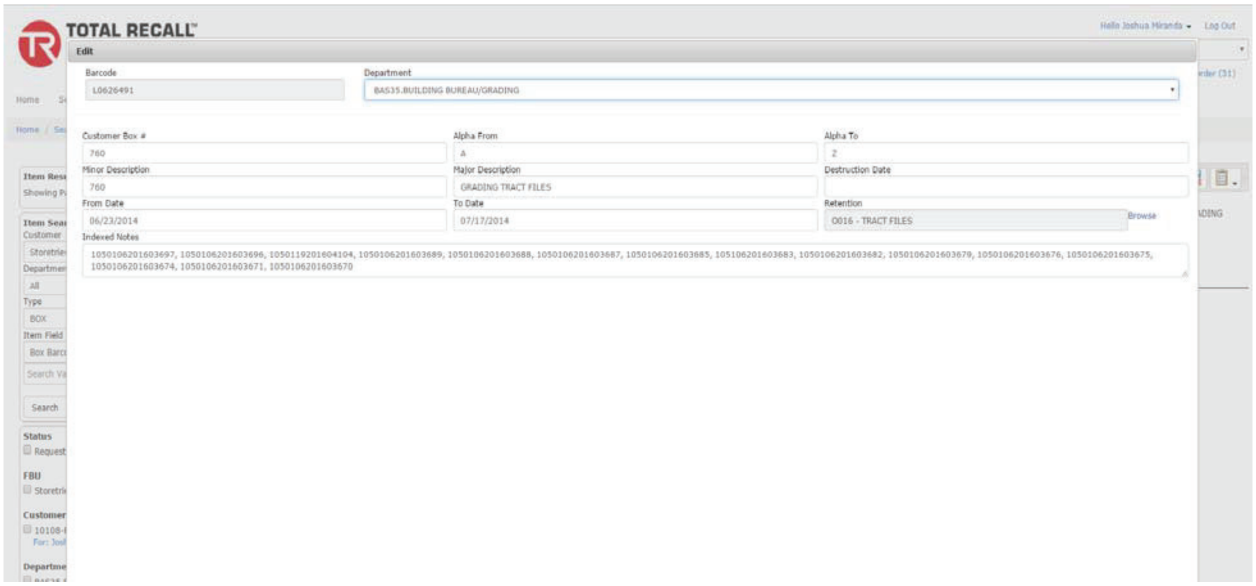
Reject Documents

Rejected Documents will be pulled out of the original batches and sent individually to originating office for correction. The Kofax Reject Document processing design will be modified to update the corresponding Box Info data entry by decrementing the Current Page Count and Percentage Full fields.

When the rejected documents are returned, users would search the previously split-out batch and the application would search a Box for the split batch according to the same algorithm. A new scan number would be generated to be used for rescanning the returned documents.

Off-Site Box Storage Vendor Indexing Integration

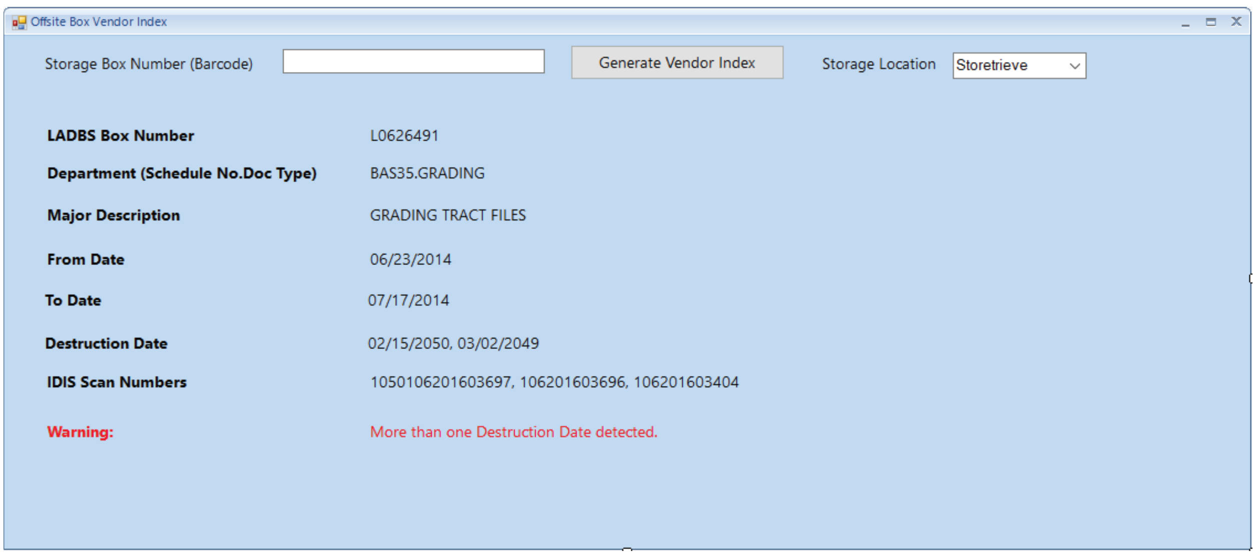
When a box is full and needs to be sent to the Off-Site vendor, staff needs to capture all the scan numbers and enter it into the vendor's retention system for retention purpose. Most information in the retention panel of the indexing screen has to be manually entered. The following screenshot shows the retention information needed when submitting a box to vendor:



Retention information can be uniquely determined from the Doc Type and Sub Type of the documents in the box.

This new function allows users to enter an Off-Site box number and the application would search the IDIS database to pull the necessary retention information and display on screen for copy-and-paste into the vendor's screen. Since batch numbers are part of the scan number, all the documents in the box can be searched from the IDIS database based on the entered Off-Site box number (and thus indirectly, the batch numbers). The information can be generated as follows:

1. Barcode – Now this field is in the new IDIS database, scan in to pull the box information. This is the Off-Site Box Number
2. Department – IDIS's Schedule No. (dropdown list of BAS-xx) for the document record
3. Customer Box # - IDIS's LADBS Box No.
4. Alpha From – manual enter
5. Alpha To – manual enter
6. Minor Description – future potential use
7. Major Description – IDIS Doc Type
8. Destruction Date – IDIS's Destruction Date
9. From Date/To Date – IDIS's Doc Date range for all the documents in the box
10. Retention – manual enter
11. Indexed Notes – IDIS scan numbers



Users will be able to scan the Off-Site storage box barcode label to fill in the search field, select from the "Storage Location" dropdown (currently only one location – Storetrieve), and click on the "Generate Vendor Index" button to generate the report and also update the "Storage Location" of the box info.

Since the retention information on IDIS database is per document whereas the retention information required by the vendor application is per box, the application would alert users if not all documents in the box has the same IDIS Destruction Date (They should have the same Schedule No. since the Doc Types for all documents should be the same).

Reports

Eligible for Purging Report

Eligible for Purging Reports allows supervisors to generate a report of records eligible for deletion. Supervisors can print the report, obtain approval, and then use the application to delete these documents.

This function allows supervisors to select which doc type to generate in the report. The report contains a list of documents that have reached their retention periods. The header of the report includes the following information:

1. Doc Type
2. Report Date
3. Number of Records Found

The columns of display include the following information for records:

1. Doc Type
2. Sub Type
3. Doc Date
4. Doc Number

Document/Records Deletion Report

Supervisors can generate a report listing deleted records/documents, the date of the deletion, and the name of the supervisor who performed the deletion, filtered by deletion date range.

IDIS Thick Client Snapshot Module Solution Design

2017/08/04

Contents

Overview

The Snapshot application is used to capture electronic files created by desktop applications into the IDIS database. The electronic file can be added to an existing IDIS record, or a new IDIS record can be created. If adding to an existing IDIS record, the index information can also be updated.

The new design includes all existing functions with an improved user interface and better logging as documented in the “IDIS Thick Client Redesign Overview.” In addition, the application allows users to view and update existing IDIS images.

This application is also to be used by other DBS bureaus to submit requests to RRM for adding documents to existing records or creating new records. The new documents and records will only be committed into IDIS after RRM's approval. Before submitting the requests to RRM external users can make changes to the requests. Once submitted they will no longer be able to make changes to their requests.

For Financial and Personnel there is no need for RRM's approval.

To prevent external users from adding images to each other's records or creating new records of incorrect doc types it is necessary to employ a privilege system that would permit external users to perform these actions only on records that they are allowed to by doc types.

It is recommended to design a privilege system based on doc types. Each login user has his/her primary group defined in IDIS, configured in the Maintenance module. Additional configuration in the Maintenance module defines a list of permitted doc types for each external user group. The doc type drop-down in this application would be limited to show only the login users' permitted doc types. When creating requests for adding new records or adding images to existing records only users' permitted doc types are presented for selection.

Main Functions

For RRM users the main functions of the module include the following actions:

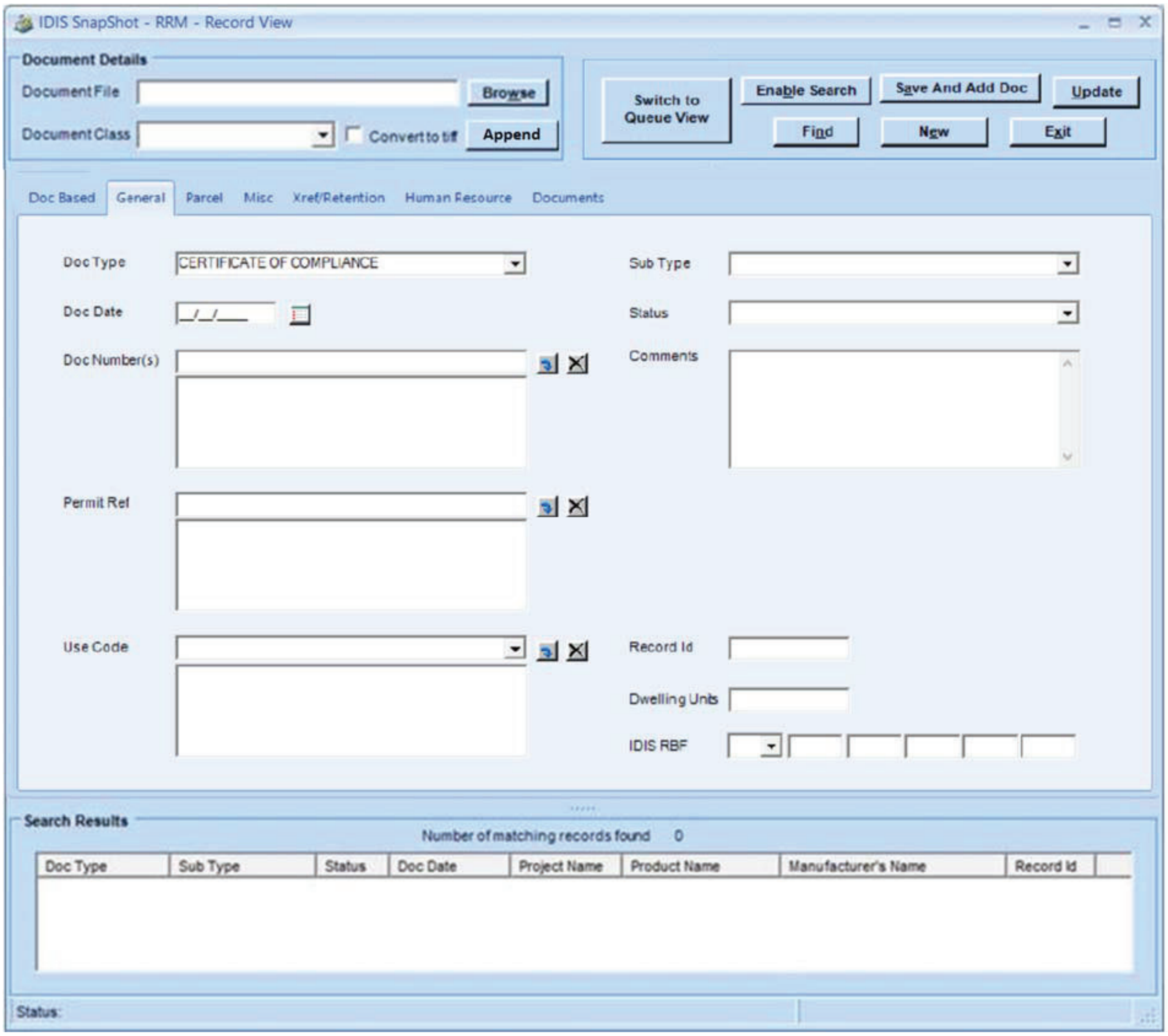
1. Browse user workstation for a file to import into IDIS.
2. Select an IDIS document class for the file to be imported.
3. Use the IDIS record control buttons to search, add, and update IDIS record.
4. Users can also add documents or append images (pages) to existing documents.
5. Applying indexing data.
6. Approve or reject non-RRM user's requests for adding new records or documents to existing records.

For non-RRM external users the main functions of the module include the following actions:

1. Browse user workstation for a file to import into IDIS.
2. Select an IDIS document class for the file to be imported.
3. Use the IDIS record control buttons to search and submit requests for adding new IDIS records. The application would only allow changing a request that was previously submitted by user's primary group.
4. The application would also allow external users to submit requests to add documents to existing records. External users are not permitted to submit requests for appending images to existing documents.
5. Submit request, view queues of submitted outstanding requests, re-submit requests, and delete requests.

RRM Functions

The application can detect the login user's primary group to decide if he/she is an RRM user. The following screenshot shows the main window with main control functions on the top panel for RRM users.



1. Document Details
    1. Document File – Browser and select a document file
    2. Document Class – Select a document class
    3. Convert to tiff – Convert the electronic images to tiff (default)
2. IDIS Record Control
    1. Enable Search – Enable to search IDIS records based on entered criteria in all tabs. Certain fields are grayed out to be excluded from search: Comments, Doc Version, Doc

Color, Dwelling Units, Permit #, all fields in Xref Documents. The Doc Type dropdown would show only permitted doc types for the login external user.

2. Find record: Click on the Find button to perform a search on the IDIS database for existing IDIS records. Search results are rendered in the Search Results panel showing columns of information including: Has Image (indicating if this record has images associated with it), Doc Type, Sub Type, Status, Doc Date, Project Name, Product Name, Manufacturer's Name, and Record ID. For external users, the result would show documents of only his/her permitted doc types.
3. Clicking on a record from the search result will populate index data into Index panels: General, Misc, Parcel, XRef/Retention, Document, and Human Resource.
4. Users can click on the Add Document button to add selected document files into an existing IDIS record selected from the search results. The Add Document function allows users to add a multi-page TIFF image file.
5. Users can also select an existing document from the Document tab to view the content, and then click on the Append Image button to append the selected document file to the end of the selected existing document. (This is a few function)
6. Users can click on the Update button to update index data.
7. Users can click on the New button to reset all fields in the Index Details panel for entering a new IDIS record. The "Add Document" button toggles to "Save and Add Document" for creating a new IDIS record and also saving the document.
8. The "Append" button is greyed out until a document is selected from the Document tab. This action appends the uploaded file to the selected document.
9. Users can click on "Switch to Queue View" to switch to view and approve non-RRM requests for adding images and records.
10. Click on "Exit" to exit application.

Application would warn users for any updates not committed.

Index Details – General Tab

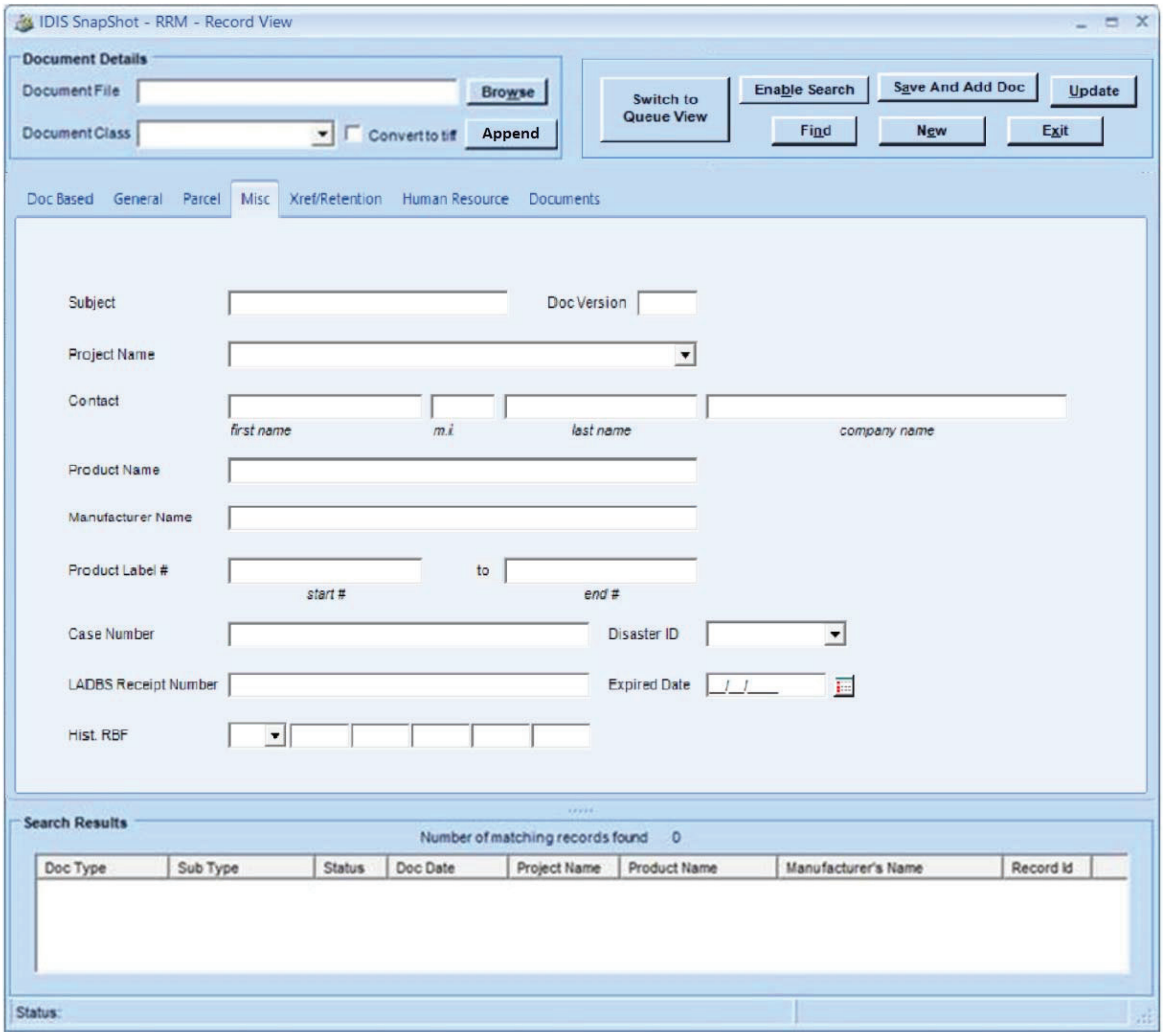
The above screenshot also shows the following indices in the General Tab:

1. Doc Type – Dropdown list of Doc Types, required field. For external users only the permitted Doc Types would show.
2. Sub Type – Dropdown list of document Sub Types dependent on the selected Doc Type, required field if the selected Doc Type has Sub Types.
3. Doc Date – Document date, required field
4. Status – Dropdown list dependent on selected Doc Type
5. Doc Number(s) – Zero or more document numbers
6. Permit Ref – Zero or more referenced permit numbers
7. Comments
8. Restricted Comments
9. Use Code - Zero or more use code from a dropdown list of Use Code
10. Doc Color

11. Units
12. Record ID
13. IDIS RBF

Index Details – Misc Tab

The following screenshot shows the indices in the Misc Tab:

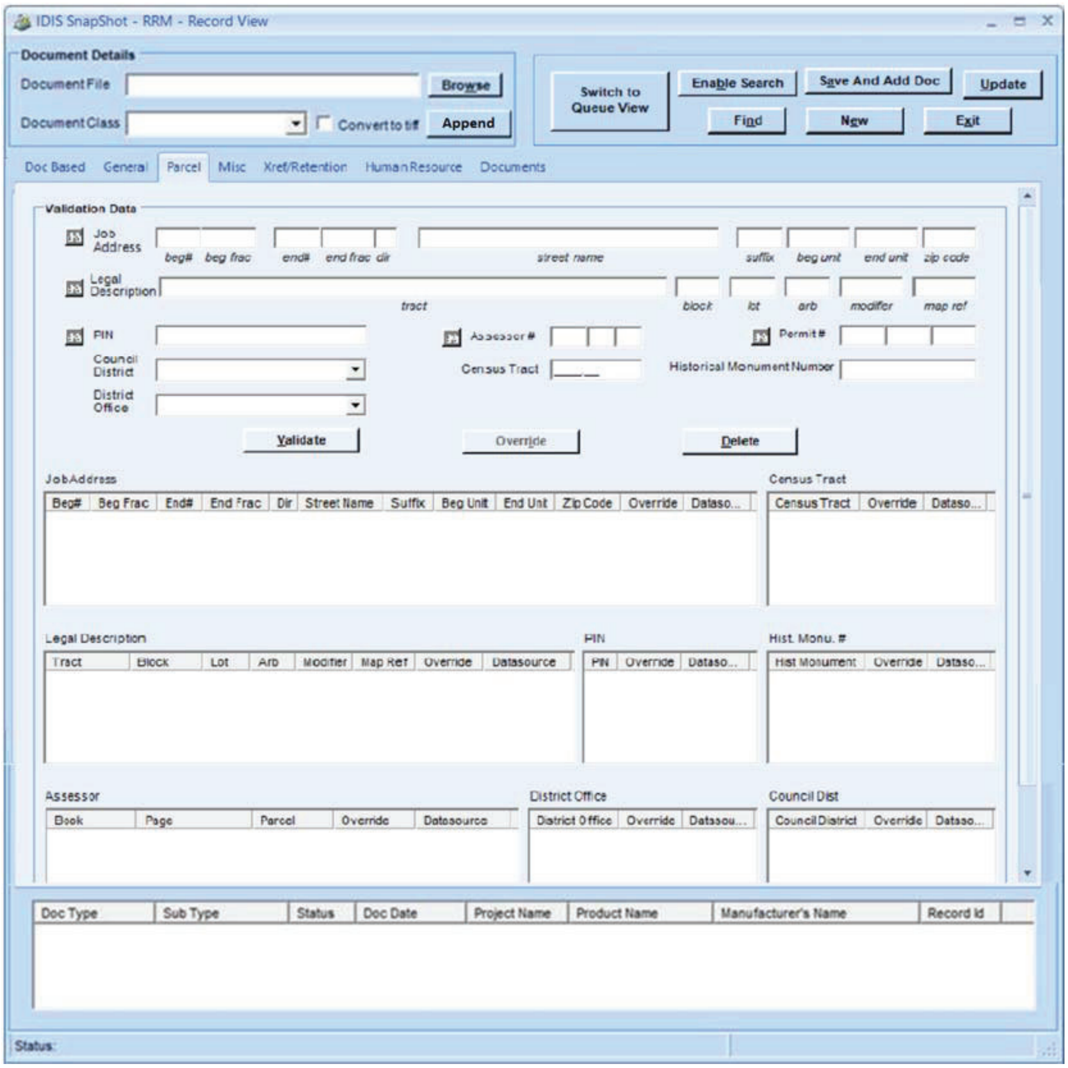


1. Subject
2. Doc Version
3. Project Name – Dropdown list of configured project names
4. Contact (including first name, mi., last name, company name)
5. Product Name
6. Manufacturer Name
7. Product Label # - start #, to #
8. Case Number
9. Disaster ID

10. LADBS Receipt Number
11. Expired Date
12. Historical RBF
13. AKA Address

Index Details – Parcel Tab

The Parcel Tab serves two purposes: showing parcel index data as well as searching the PCIS database to validate the parcel index data. The content of the original Parcel Tab is now broken into two tabs: Parcel and Parcel Index. The Parcel Tab's primary function is for searching the PCIS database while the search results and the current Parcel index values have been moved to the "Parcel Index" tab.

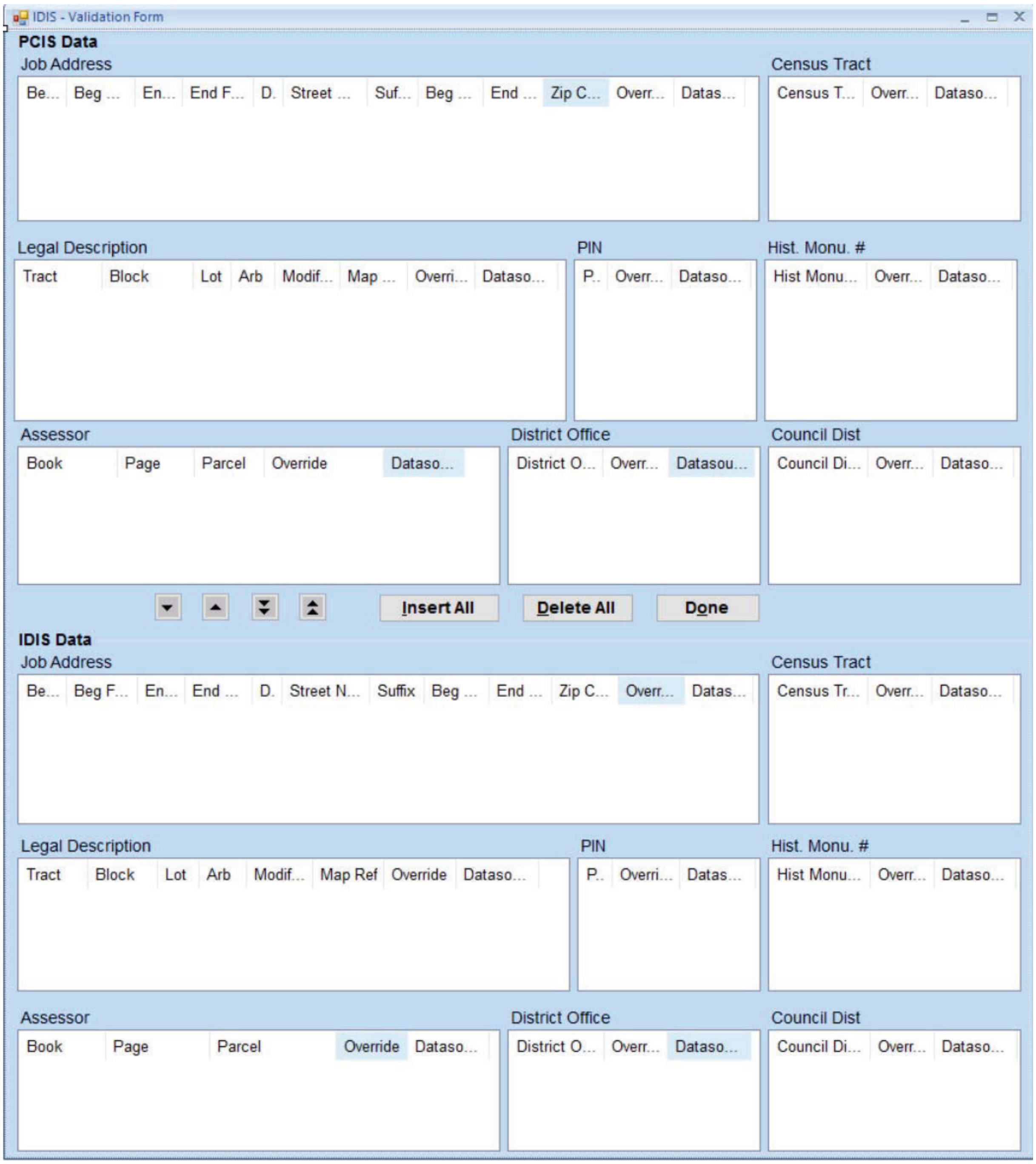


1. Clicking on the Validate button would enable a searching of the PCIS database. Users can click on the checkbox in front of the Job Address field, the Legal Desc field, the PIN field, the Assessor # field, or the Permit # field, to enable the corresponding search field (each search

criterion is mutually exclusive of each other). The button's display text becomes "Search" which can be clicked to search PCIS by the desired search criteria.

2. Clicking on the "Search" button would search the PCIS database with entered search criteria and pops up the PCIS Search Result window (see the following screenshot) with the search result displayed.
3. If the search result is empty, users can directly enter the data in the Parcel Tab and click on the "Override" button to insert the data into the document index in the Parcel Index Tab.
4. Allow deleting entered/selected records.

PCIS Search Result Popup Window

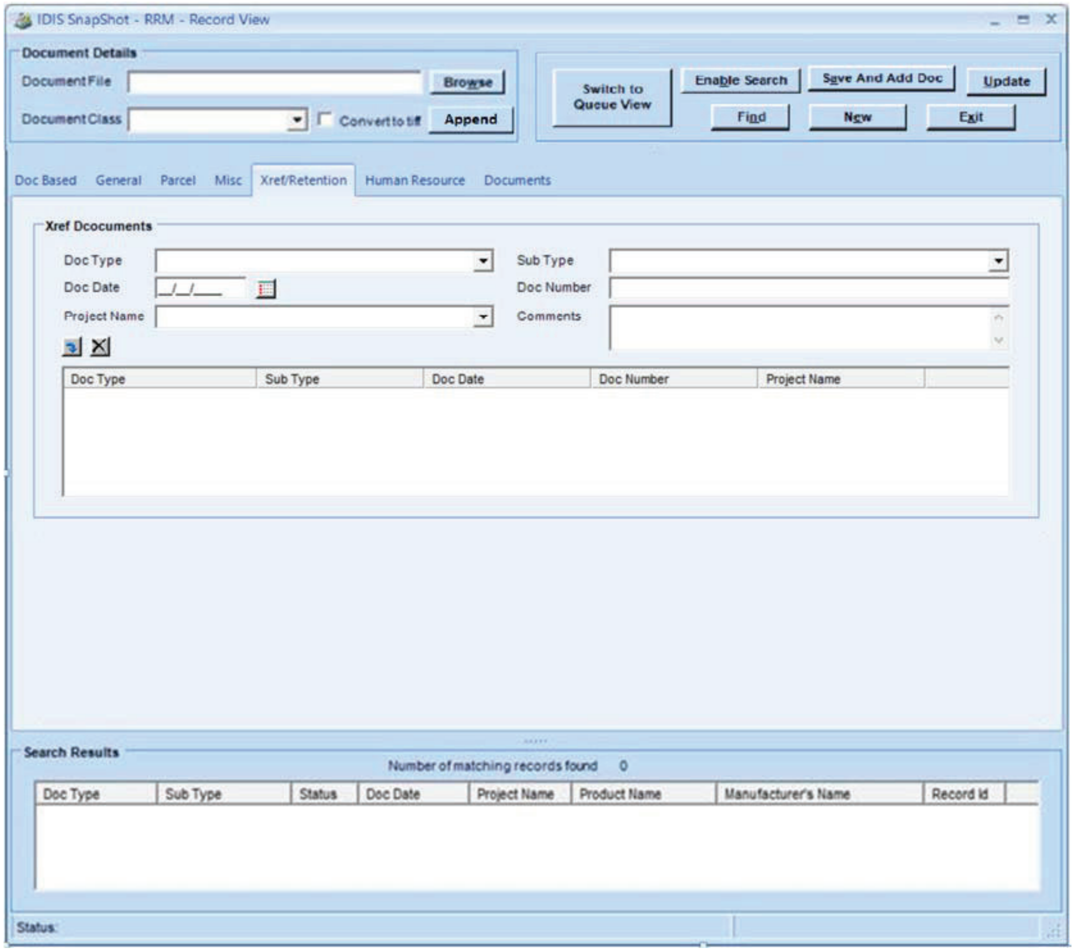


1. This window displays the PCIS search results.
2. The top PCIS Data panel contains the search results and the bottom IDIS Data panel contains the current IDIS Parcel index. Users can use the arrow keys, Insert All button, or Delete All button to move Job Address, Census Tract, Legal Description, PIN, Hist. Monument #, Assessor, District Office, and Council District data between the two panels.

3. Closing this window would copy the data in the IDIS Data panel back to the Parcel Index Tab.

Index Details – Xref/Retention Tab

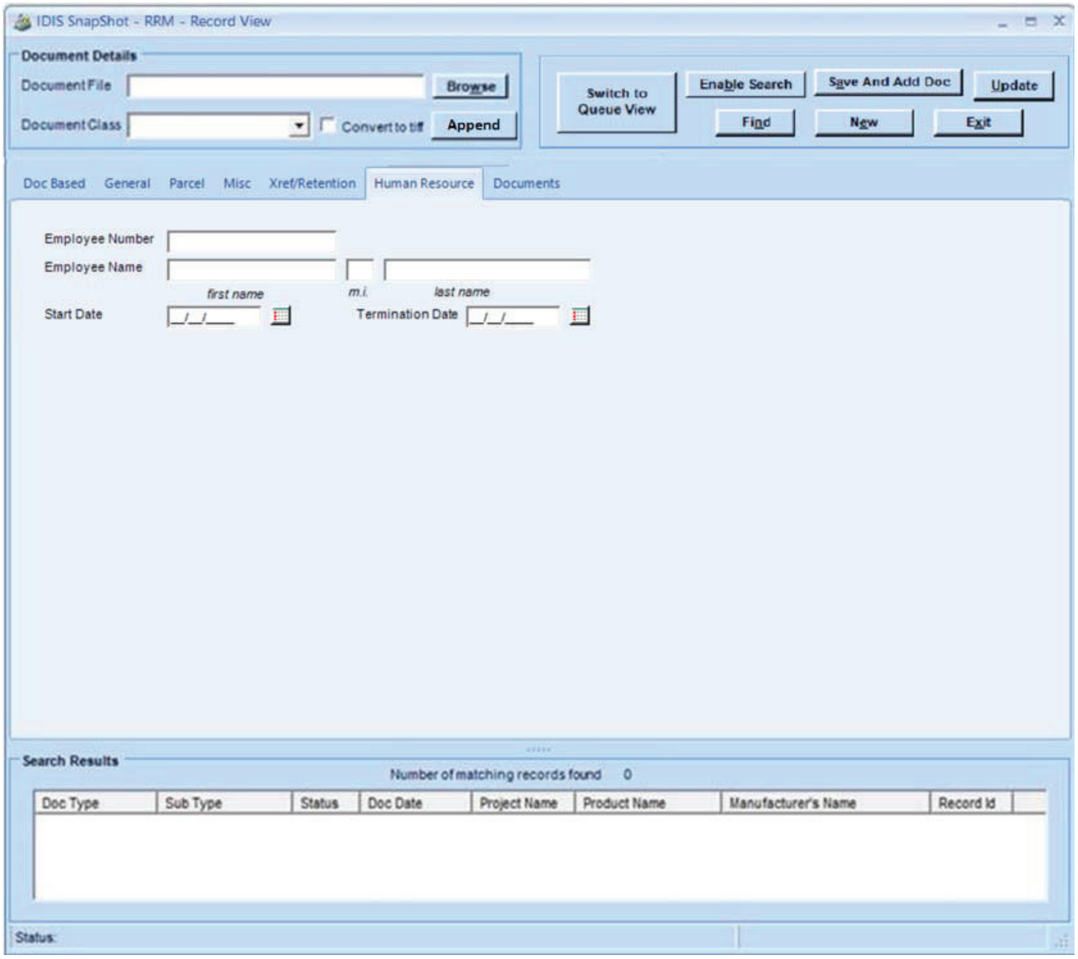
Functions within this tab remain the same as the current implementation.



1. Zero or more Xref Document –
   1. Doc Type, dropdown list of doc types
   2. Sub Type, dropdown list of document sub types dependent on the selected Doc Type
   3. Doc Date
   4. Doc Number
   5. Project Name – dropdown list of configured project names
2. Comments

Index Details – Human Resource

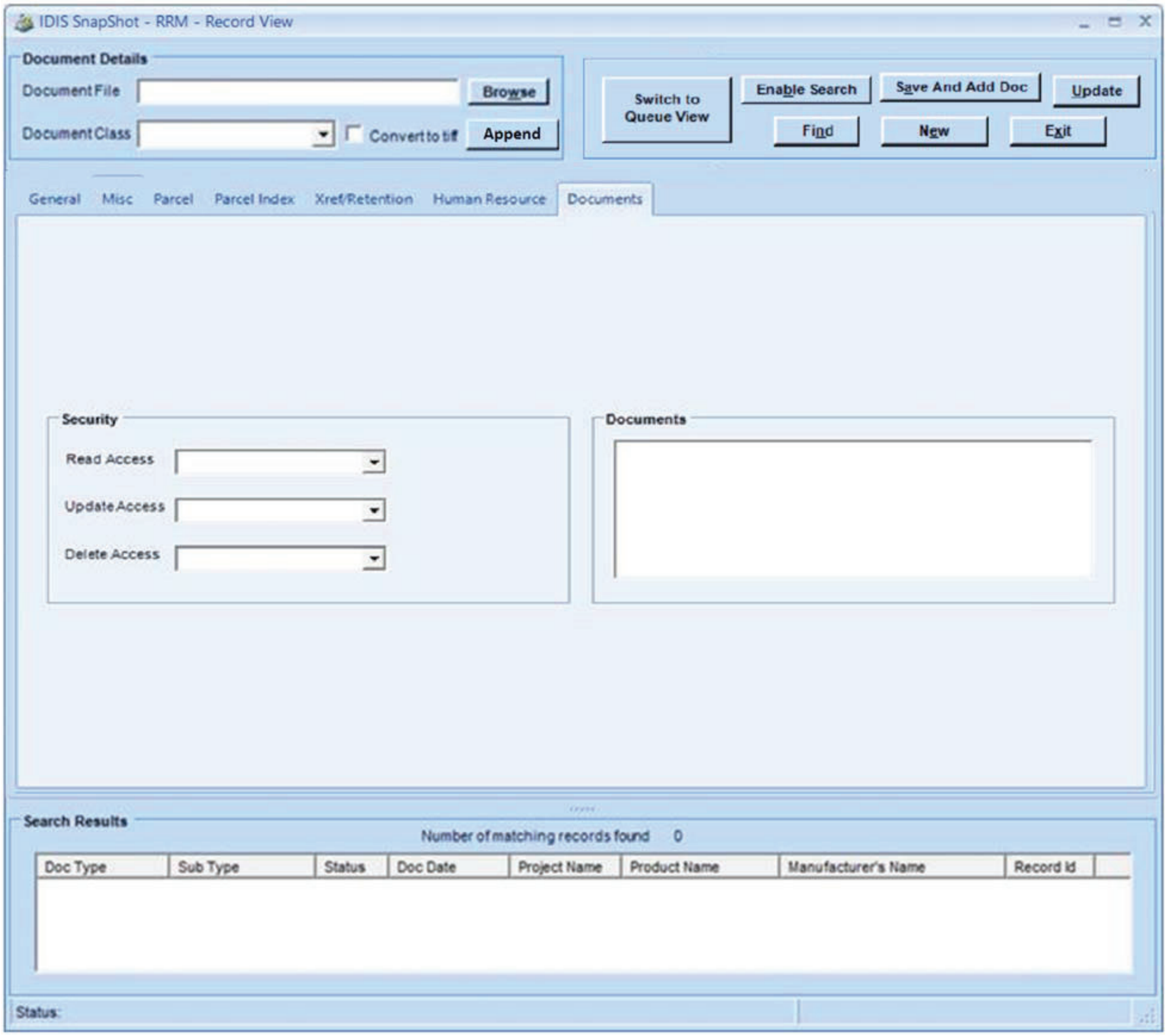
Functions within this tab remain the same as current implementation.



1. Employee Number
2. Employee Name
3. Start Date
4. Termination Date

Displaying and Updating Document Images

Users will be able to select an IDIS record on the above IDIS "Search Results" panel and click on a button to show the list of documents associated with the IDIS record, to display the content of a document, to upload and replace an existing IDIS document, or append the uploaded images to the original existing document. The screen design is the following screenshot:



The Append button is grayed out until a document is selected from the "Documents" selection list in the "Documents tab." The Append action would append the selected file (Document File) to the end of the selected document.

RRM Verifying New Record and Image Requests

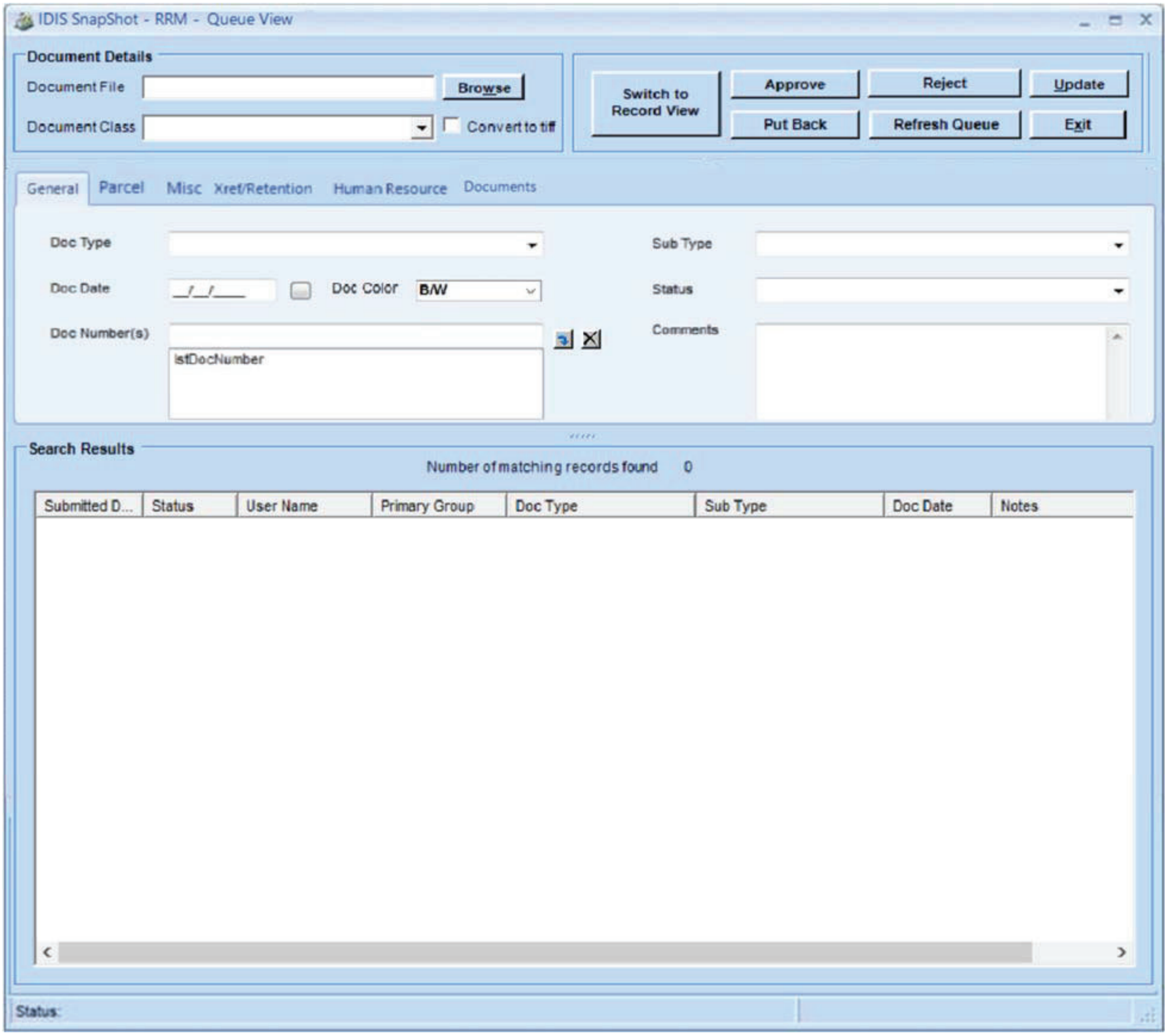
This is a new function for RRM to review and approve new record and image requests submitted from external users.

Upon clicking on the "Switch to Queue View" button the Search Results window expands, showing a list of submitted requests with the following column of information for each record:

1. Submitted Date

2. Status: New – new request not processed yet, Viewed – viewed but were put back to queue, Rejected – request is rejected back to originator's queue, Re-submitted – request was rejected but resubmitted by originator, Lock – locked for processing by an RRM user.
3. User Name and Primary Group of the requests
4. Doc Type
5. Sub Type
6. Doc Date
7. Notes: Latest note from request submitter
8. All Notes: All notes regarding a request by timestamp and note author. Hovering over the row will display the full notes history in detail.
   Last status date: the date when the status was last changed.

Users can print out the request details, including all the note history.



Clicking on a record would populate the index information into the main window with tabs of the index fields. The document viewer also pops up displaying the uploaded image on the right. The request is also locked if the status is New, Viewed, or Resubmitted. The divider automatically adjusts to show more of the Index Panel. Users would then check the index values in each tab against the image and make corrections as needed. The actions for the buttons are described as follows:

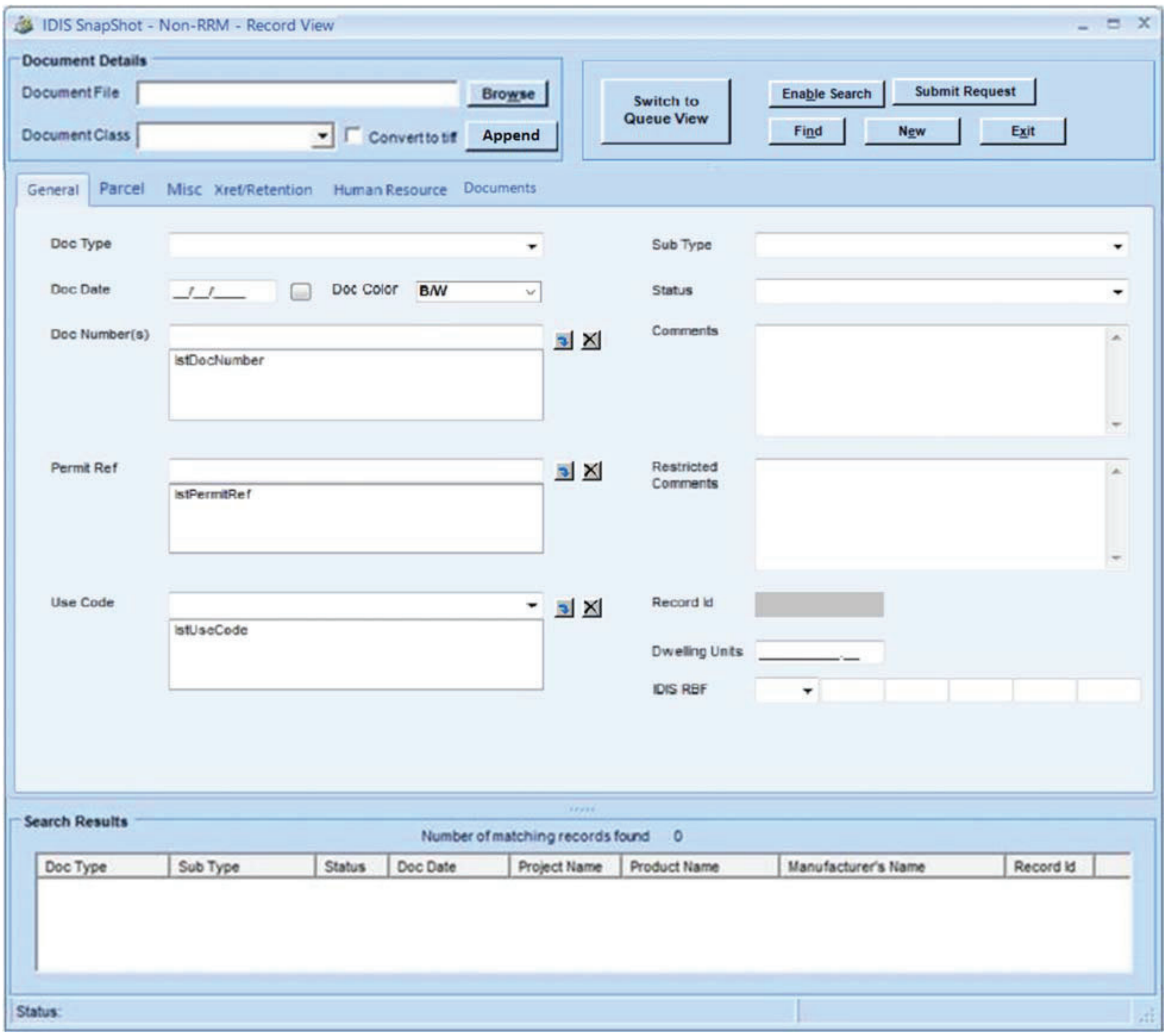
1. Approve: Approve the request and commit the record into IDIS. Once a record is committed successfully it will disappear from the list of submitted records.
2. Reject: Reject a request. A pop-up window appears for RRM users to enter a mandatory rejection reason.
3. Update: Update the index values of the request.
4. Put Back: Put the request back to the queue. The status restores back to previous value before locked.
5. Refresh Queue: Refresh the queue content.

6. Switch to Record View: Switch to Record view. The divider is adjusted automatically to show more of the index panel.
7. Exit: Exit application.

Once a record is committed successfully it will disappear from the list of submitted records.

Non-RRM Functions

The following screenshot shows the main window with main control functions on the top panel for Non-RRM users:



1. Document Details

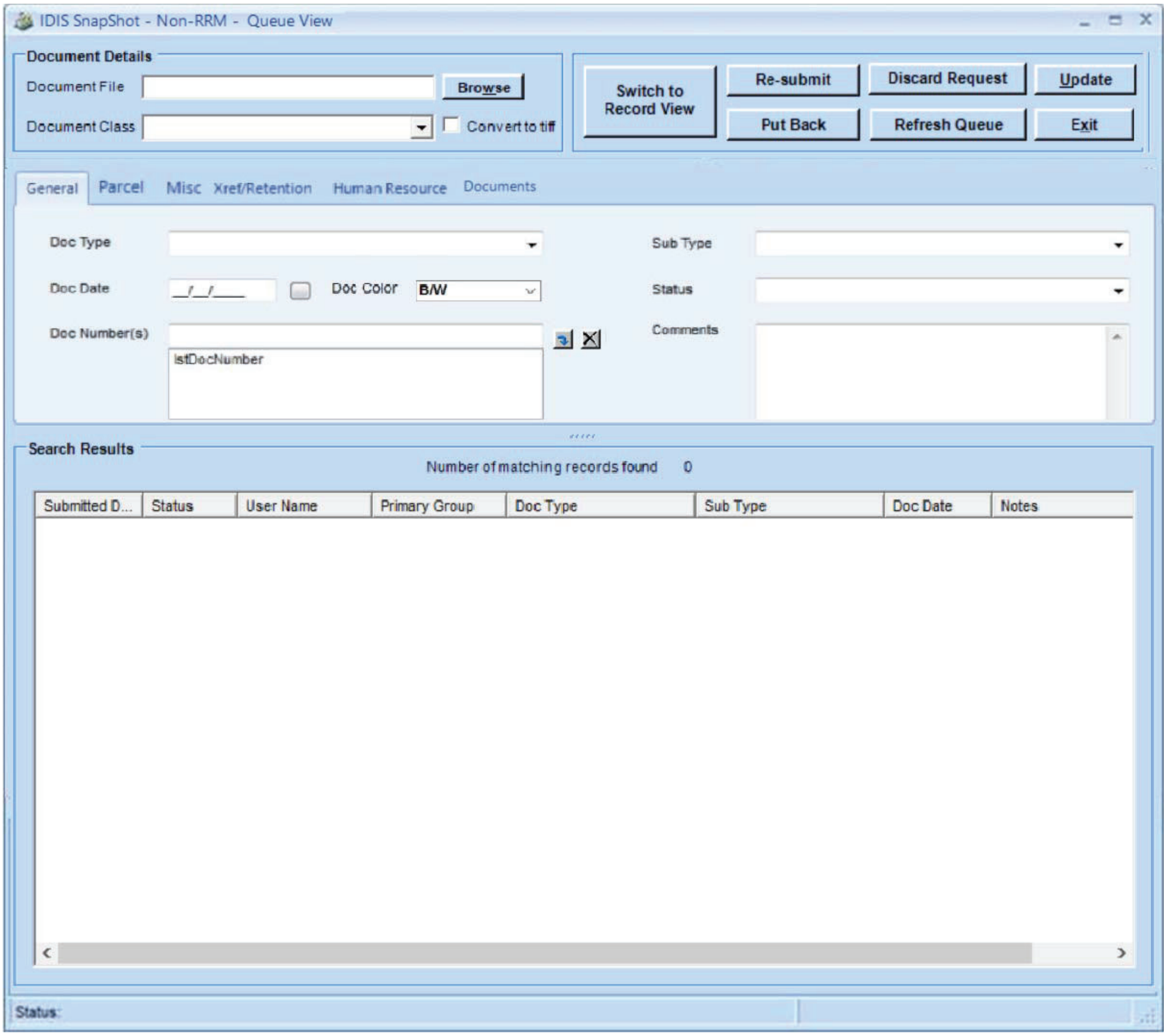
   1. Document File – Browse and select a document file
   2. Document Class – Select a document class
   3. Convert to tiff – Convert the electronic images to tiff (default)
2. IDIS Record Control
   1. Enable Search – Enable to search IDIS records based on entered criteria in all tabs. Certain fields are grayed out to be excluded from search: Comments, Doc Version, Doc Color, Dwelling Units, Permit #, all fields in Xref Documents. The Doc Type dropdown would show only permitted doc types for the logged in Non-RRM user.
   2. Find record: Click on the Find button to perform a search on the IDIS database for existing IDIS records. Search results are rendered in the Search Results panel showing columns of information including: Has Image (indicating if this record has images associated with it), Doc Type, Sub Type, Status, Doc Date, Project Name, Product Name, Manufacturer's Name, and Record ID. The results show documents of only the Non-RRM user's permitted doc types.
   3. Clicking on a record from the search results populates the index data into Index panels: General, Misc, Parcel, XRef/Retention, Document, and Human Resource.
   4. Users can select a file from the "Browse" button. Once a file is chosen the application would display the image in a viewer so that users can confirm the right file has been selected.
   5. Users can click on the "Submit Request" button to submit a request to add the upload file to the existing IDIS record selected from search results.
   6. Users can click on the "New" button to reset all fields in the Index Details panel for entering a new IDIS record creation request. Clicking on "Submit Quest" will subsequently submit a request to create a new record with the upload file.
   7. Users can click on the "Switch to Queue View" to view previously requested items.
   8. Users can click on the "Exit" button to exit the application.

The Indexing for Non-RRM users is basically the same as RRM users. The only exceptions are:

1. IDIS RBF field disabled.

External Users Viewing Request Status and Re-Submit

In the event that RRM rejects the requests it is necessary for external users to know their requests have been rejected, see rejection reasons, make changes to their requests, and finally resubmit the requests or cancel the requests.



Upon clicking on the "Switch to Queue View" button the "Search Results" window expands to show the previously requested items from the login user's primary group that have not been approved. The following columns of information are shown:

1. Submitted Date
2. Status: New – new request not processed yet, Viewed – viewed by RRM but were put back to queue, Rejected – request is rejected back from RRM, Re-submitted – request was rejected but re-submitted by originator, Lock – locked for processing by some RRM user.
3. User Name and Primary Group of the requests
4. Doc Type
5. Sub Type
6. Doc Date
7. Notes: Latest note from request submitter or RRM

8. All Notes: All notes regarding a request by timestamp and note author. Hovering over the row will display the full notes history in detail.
9. Last status date: The date when the status was last changed.

Users can print out the request details, including all the notes history.

Clicking on an item would populate the index screen. The divider automatically adjusts to show more of the Index Panel. Users would make modifications to the indices and/or documents and then click on the re-submit button to re-submit the request back to RRM.

The actions for the buttons are described as follows (for requests not committed into IDIS as records yet):

1. Re-submit: Re-submit the updated request. A popup window displays for users to enter a note and confirm the re-submit action.
2. Discard Request: Delete the request.
3. Refresh Queue: Refresh the queue content.
4. Switch to Record View: Switch to Record view. The divider is adjusted automatically to show more of the index panel.
5. Exit: Exit application.

Application would warn users for updates not re-submitted.

ATTACHMENT 1C

IDIS Thick Client Scan Module Solution Design

2017/10/13

Contents

Overview

The Scan module is used by the scan operator to scan IDIS documents. The Scan module was implemented using FileNet Capture and is to be replaced by Kofax Capture/Transformation – the industry's leading image capture product. The new design greatly simplifies IDIS's image capture configurations. It is capable of automatically cropping images of mix-sized papers, rotating image orientation, detecting color scanning, correcting image skews, and enhancing contrast and overall image quality. It also supports direct editing of batch content by re-ordering, inserting, deleting, or rescanning pages within a batch. Previously, all these were either not possible or required users to choose from complex settings for desired paper size and orientation.

The new design also uses barcodes for scanning Grading, Range File, and Board Files document. The design automatically detects barcodes and pulls the index information directly from the source databases, thus greatly improving indexing speed and accuracy.

Main Function

The functions provided by the module are summarized as follows:

1. Create new batches
2. Search and delete batches
3. Scan batches
    a. Automatic preview of batch contents
    b. Delete, add, and rescan pages
    c. Close and suspend batches
4. Adjust scan source and source properties
5. Document review

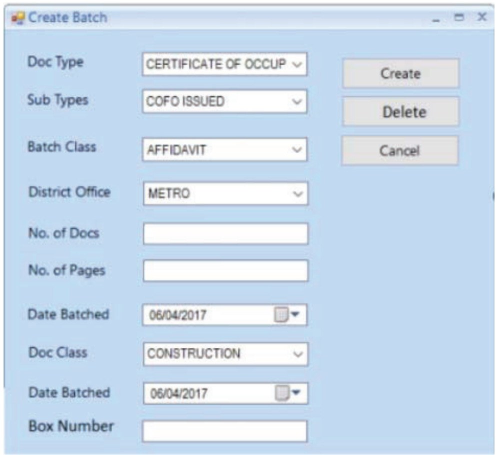
Scan Batch Preparation

Scan Batch preparation remains the same as the current practice except there may not be a need for inserting separating sheets. Batch preparation staff would prepare the batches, fill in an "IDIS Batch Coversheet," and put it on top of the paper batch. The IDIS Batch Coversheet contains information regarding the document class and doc type the batch consists of, the number of documents in the batch, date batched, box number, and other information.

Creating and Scanning Batch

To satisfy the requirement of appending the last three digits of the off-site box number to the scan number (with a hyphen separating original scan number and these 3-digits), a custom Kofax Batch Creation module is required. This module would allow users to create a Kofax batch using the following fields of information:

1. Doc Type
2. Sub Type: Optional, except for Grading and Conveyance Reports.
3. Batch Class: This is equivalent to choosing a FileNet Capture Setting. It is automatically selected by the application based on selected Doc Type and Sub Type but can also be overwritten by users.
4. District Office: Only for Building Permit.
5. Number of Docs
6. Number of Physical Pages
7. Date Batched
8. Document Class: Automatically selected by the application based on selected Doc Type and Sub Type but can also be overwritten by users.
9. Box Number: Overwrite the automatic box selection if this field is not empty and validated to be a correct box number.

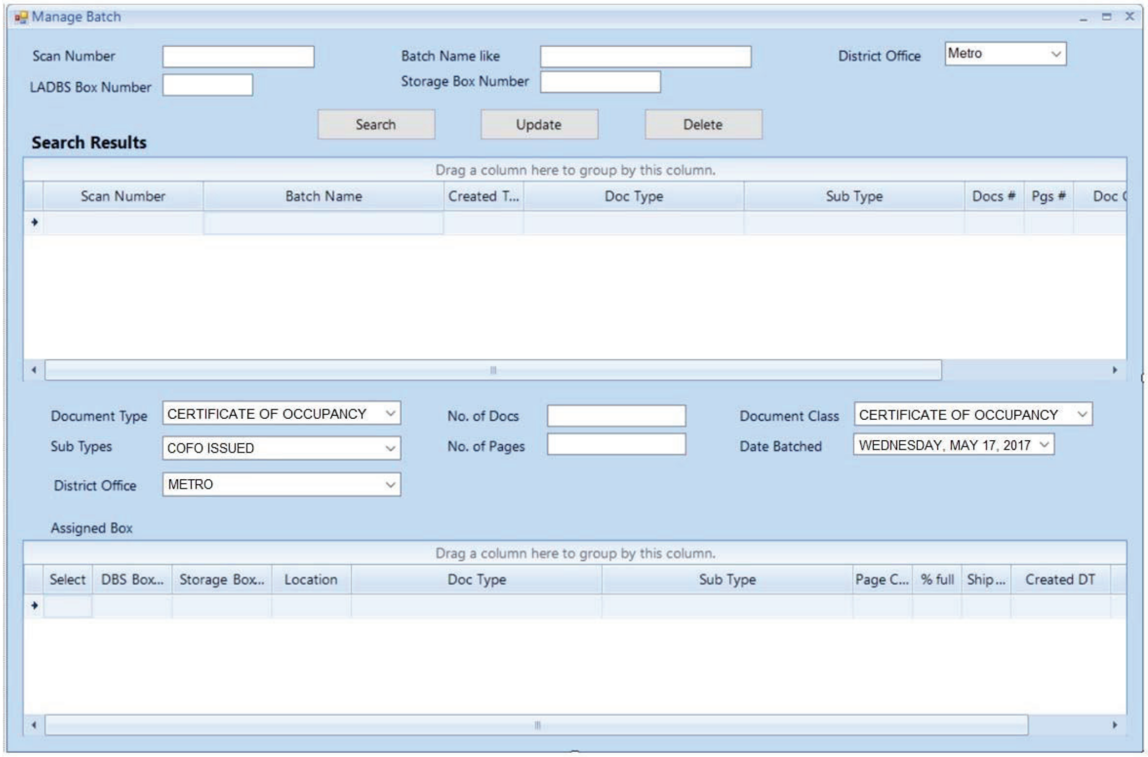


(Doc Types, Sub Types, District Offices, and Doc Classes are configured with all upper-case names.)

Users would select the "Batch Class," "Doc Type," "Sub Type," and "Doc Class" according to what is indicated on the "IDIS Batch Coversheet" and fills in the "Number of Docs," "Number of Pages," and "Date Batched" fields. For Building Permits users should also select the originating District Office. Users can then click on the "Create" button to create the batch. A batch number is displayed when a batch has been successfully created.

The Delete button brings up the same Batch Management function in Record Maintenance module to delete batches and also re-calculate a box's remaining capacity. (The following description regarding the Delete batch function is abridged from the Record Maintenance module.)

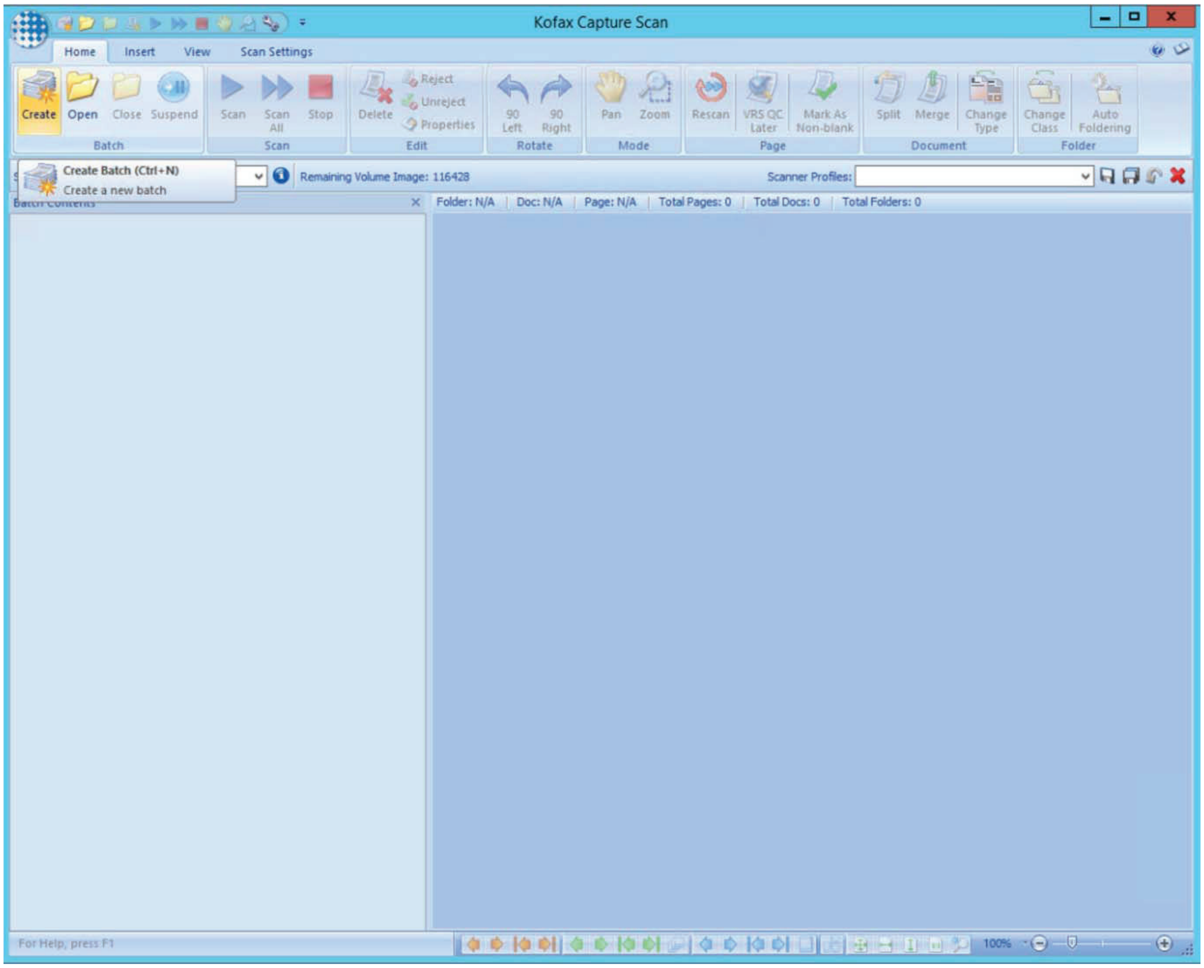
This Delete batch function allows users to search existing batches by LADBS Box Number, Offsite Box Number, or Batch ID/Name. Users can select the desired batch or batches to delete. This function would update the corresponding Box Info entries by adjusting the related columns of information.



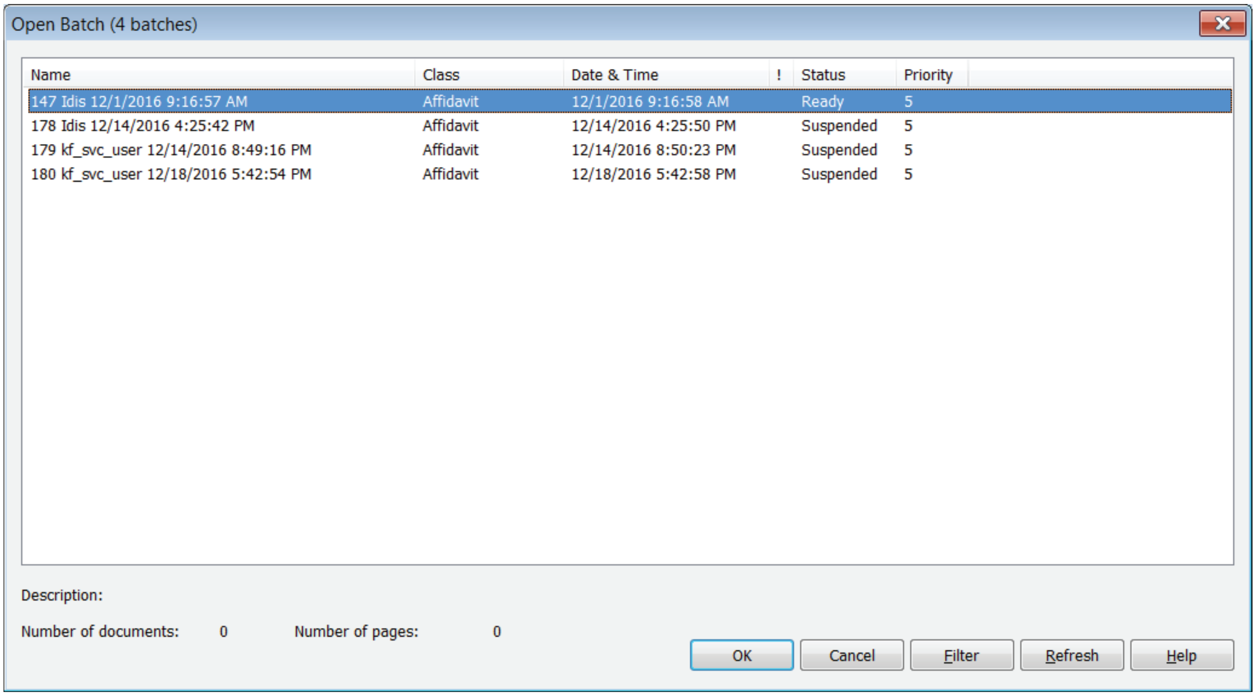
The behavior is summarized as follows:

1. Users enter Scan Number, Batch Name (partial text), District Office (for Building Permits), LADBS Box Number, Storage Box Number and click on the “Search” button. The “Search Results” table shows all the batches matching the search criteria.
2. Selecting an entry would populate batch entry data into the batch data field: Document Type, Sub Type, District Office (for Building Permits), No. of Docs, No. of Pages, Document Class, and Date Batched. The Assigned Box table lists all the boxes that are not full (still open), with the one that is assigned to this batch selected. If more than one entry is selected the “Update” button is greyed out and the field values are also cleared.
3. Users can make modifications when needed; supervisors can select an assigned box to make modifications. Supervisors can select an assigned box to make modifications.
4. Update: Update a batch entry.
5. Delete: Delete selected batch entries. The corresponding Kofax batches are also deleted.

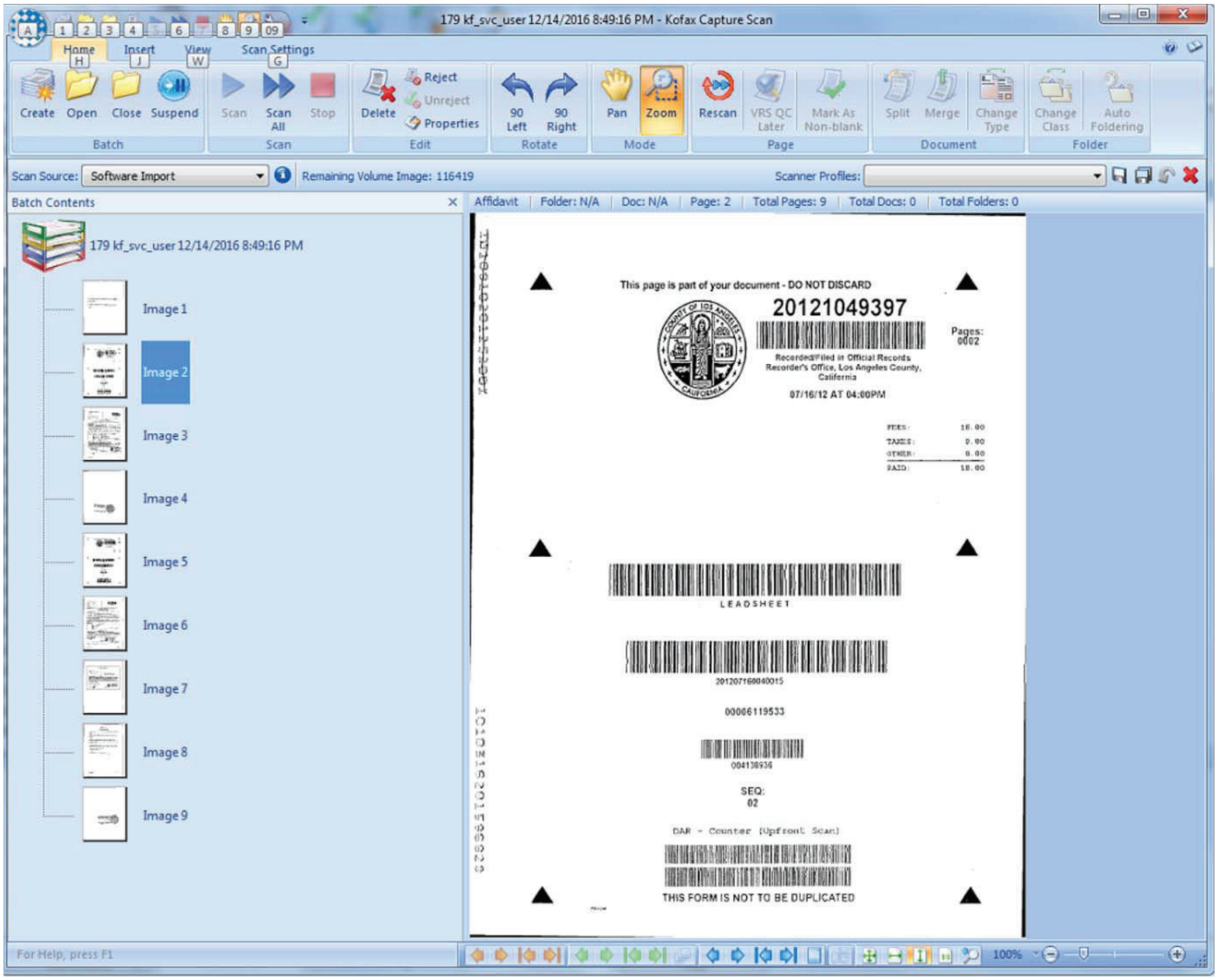
A batch number is displayed on the screen when a batch is created successfully. Since the batch is created externally it will need to be opened from the scan module in order to perform scanning. The scanning staff then uses the Kofax Capture Scan module to scan a batch. The following screenshot shows the initial screen when the application is started.



Users would click on the "Open" button to bring up a "Batch List" information panel to select a batch ready for scanning:



After selecting a batch users can start scanning.



The batch name is displayed next to the "document tray" icon in the (above) left Batch Contents panel. The first component of the batch name is the Batch ID (e.g. 179). Scan operators should copy this Batch ID to the paper IDIS Batch Coversheet.

Automatic Previewing Batch Content

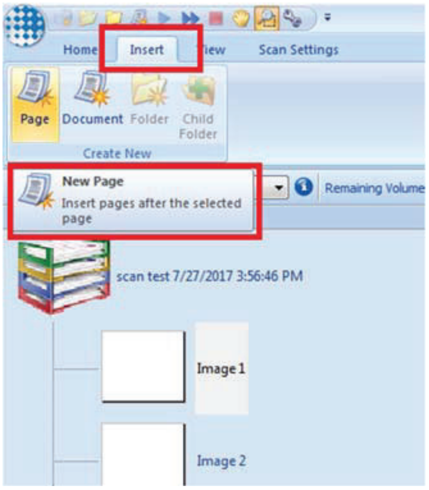
Pressing the <F7> button would automatically navigate the images in the batch, thus displaying the page content on the right Image Viewer. This is for a quick review of the batch content.

A different function key <F8> stops the quick viewer. In addition, users would be able to adjust the preview speed using <F9> (increasing speed) and <F10> (decreasing speed).

Delete, Add, Rescan Pages

To delete pages users can select one or more pages and then click on the "Delete" button to delete them.

To scan more pages users can click on the "Scan All" button to scan additional pages from the scan batch tray. Newly scanned pages are placed at the end of the batch. They can be dragged and moved to the right position in the “Batch Content” panel when necessary. (See below on Insert->Page to insert pages at any arbitrary place in the batch.)



To rescan a single page, users can select the page and click on the “Rescan” button to replace that page with the newly scanned page.

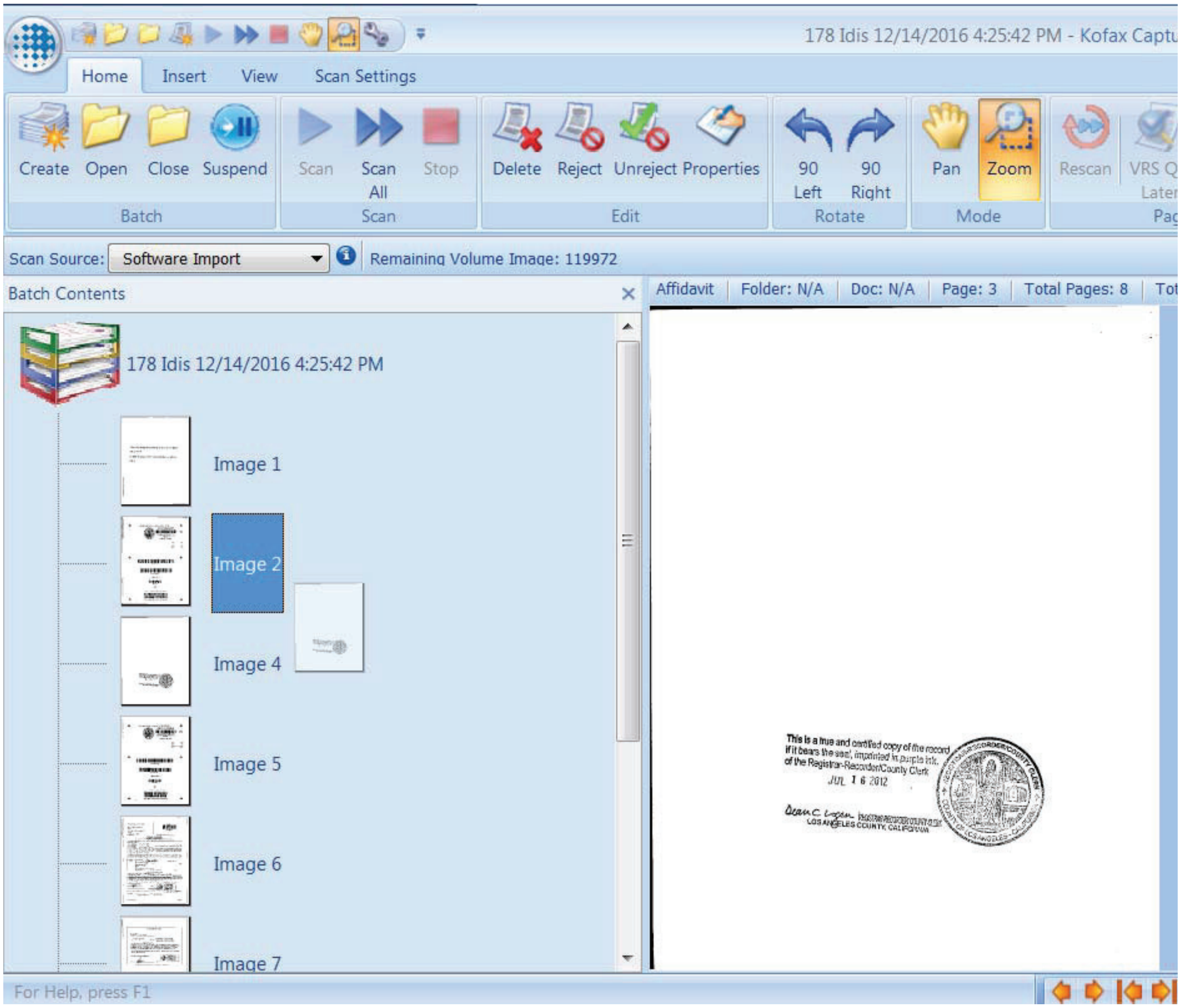
Clicking the “Rescan” button will drive the scanner to scan a page to replace the current page.

It will ask the operator to stamp the paper again.

To insert multiple pages, users can switch to the “Insert” menu and click on the “Page” button to insert more pages after the currently selected page. Clicking the “Insert->Page” button will drive the scanner to scan more pages and it will also stamp those pages. The stamp will have the date portion reflecting the scanning date for inserted pages.

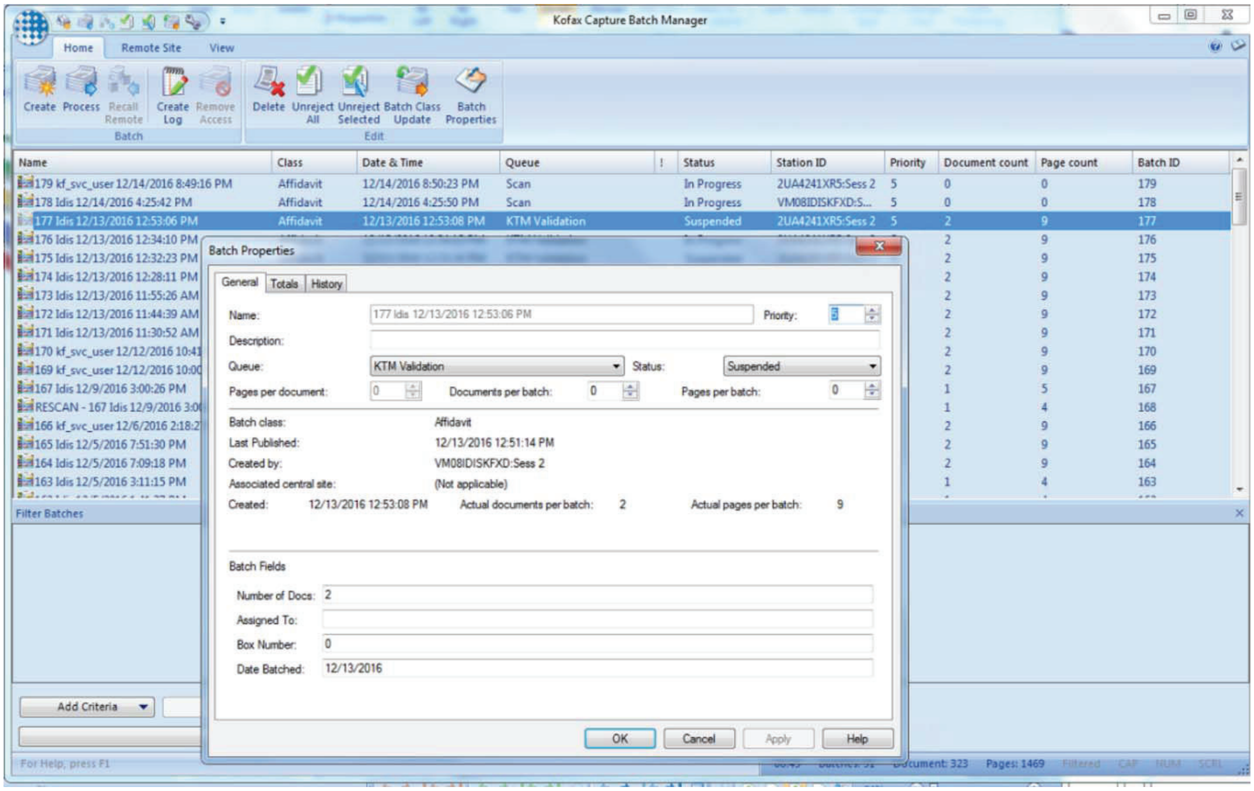
To rearrange pages users can drag-and-drop the pages freely within the batch:

NOTE: “Control + Z” function keys do not work in the Kofax Scan module. Instead, the image # remains the same (i.e. not affected by re-ordering).



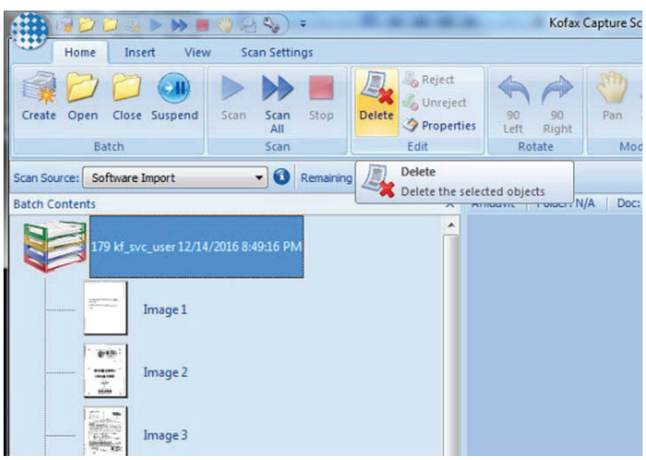
Close, Suspend, Delete Batches

To close a batch users click on the "Close" button on the Home menu to complete the batch. The batch is sent to the next processing queue, which is KTM Server Processing. After the KTM Server Processing is done, the number of documents and pages detected by KTM after blank page removals are displayed in the batch properties:



To suspend a batch users click on the “Suspend” button on the Home menu. The batch is suspended and can be opened later to resume scanning.

To delete a batch users first select the batch (the “document tray” icon in the “Batch Contents” panel) and click on the Delete button to delete the batch.



Algorithm for Creating a New Batch

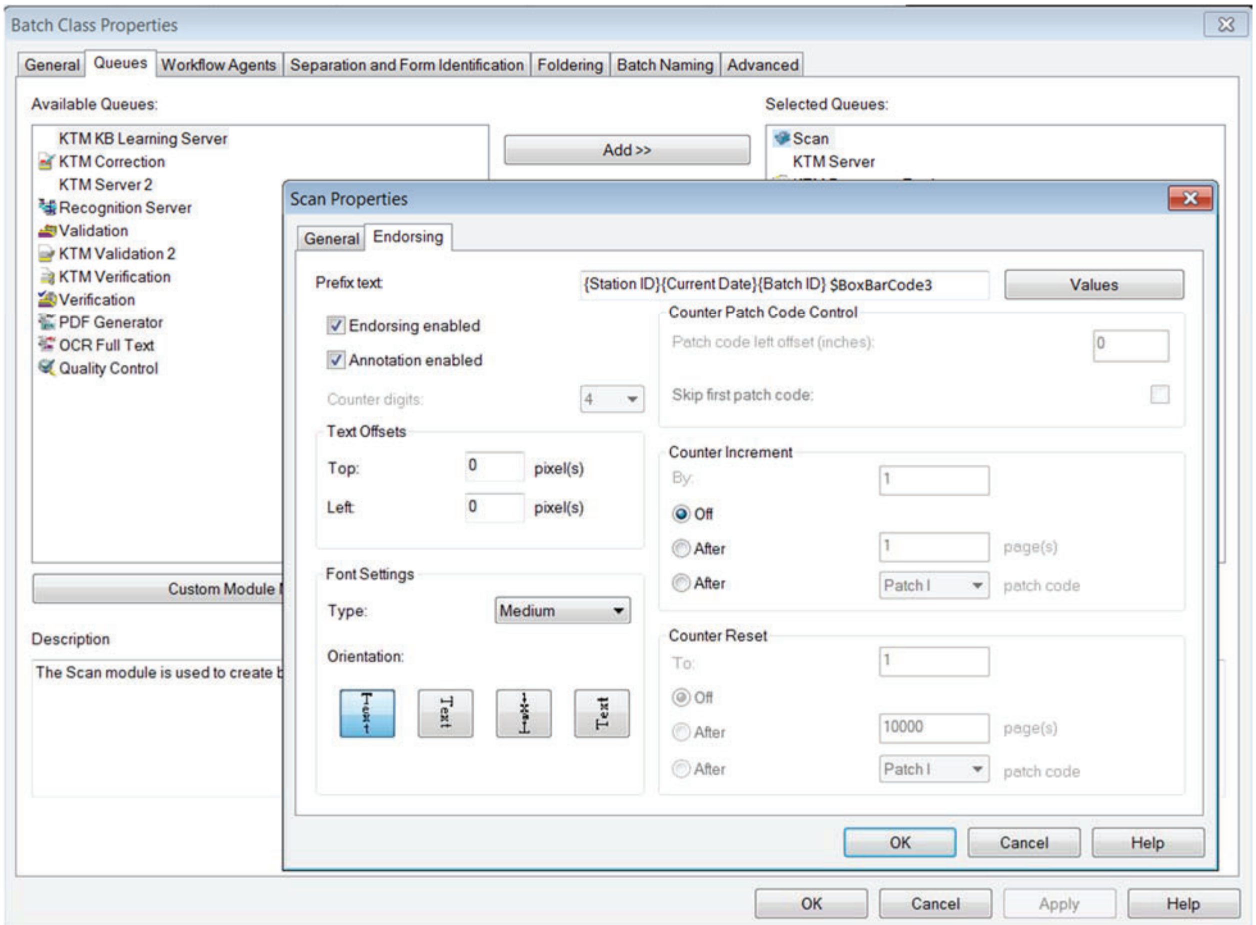
The function for creating a new batch consults the Box Content table (see Record Maintenance module solution design) to find a box to store the batch and assign the last three digits of the offsite box number from the box to a hidden batch field that is the last portion of the scan number. The algorithm for finding a box based on the user-entered batch information is as follows:

1. Find from the Box Content Table if a box is available with the specified Doc Type (and Sub Type if Doc Type is Grading or Conveyance Reports, or District Office for Building Permits) and with sufficient remaining capacity (i.e. Current Page Count + Number of Docs of Batch is smaller or equal to the configured max box capacity). If one is found then assign the offsite box number to the batch field.
2. If more than one box is available (must match District Office for Building Permit) for this document type, the fullest box that is able to hold this batch is automatically chosen.
3. If not found, then find if there is an empty box that is configured (i.e., the offsite box number field is non-empty, but the Doc Type/Sub Type fields are empty) and assigned the offsite box number to the batch field if one is found. The box will now have that assign Doc Type and Sub Type (and District Office for Building Permit Doc Type). The Create Batch application should pop up a modal dialog box, asking users to affix the label to a box, and confirm afterwards by clicking the OK button to dismiss the dialog box. If not found, alert users to allocate new boxes; does not allow users to create the batch – but needs to check inventories of available boxes periodically and alert supervisor through emails if number of available empty boxes is below certain number (e.g. 50).
4. Create the batch in Kofax.
5. Update the entry in the Box Info table.

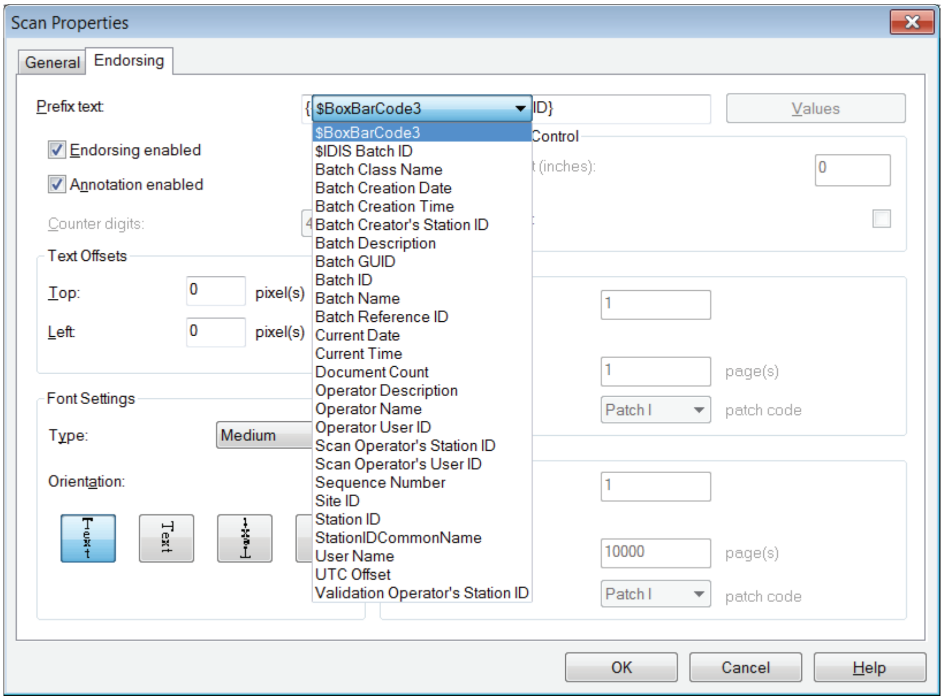
Upon a successful creation of the batch, the application would confirm the batch name, the LADBS Box Number, Storage Box Number, and Scan Number to be used on screen.

Adjust Scan Source and Source Properties (Including Stamper, Multi-Feed Detection)

The Batch Class definition has the stamper (endorser) configuration as the following screenshot. It will stamp the pages within the batch with the configured stamper string. The stamp will have the last three digits of the offsite box number, which is stored in the $BoxBarCode3 batch variable that is populated by the custom batch creation program. This screen is accessed only by Kofax Admin for configurations. Regular users do not have access to this screen.



NOTE: This screen is not customizable. This screen is only used by Kofax admin to configure batch classes. This is not used by general scan, index, and verification users.



The “Multi-Feed Detection” is configured to detect if there is multi-feed situations during scanning.

The stamp string is configured to stamp on the upper-left corner along the left edge on the paper according to the orientation of the paper placed on the feeder. During rescan the paper can be fed upside down so that the stamp is printed on the lower-right corner along the right edge. The image will be automatically rotated into the correct orientation by Kofax VRS software. The physical stamper can also be shifted from the left-side to the right-side so that the stamps can be printed on the upper-right corner or lower-left corner (if paper fed upside-down) along the right edge and left edge.

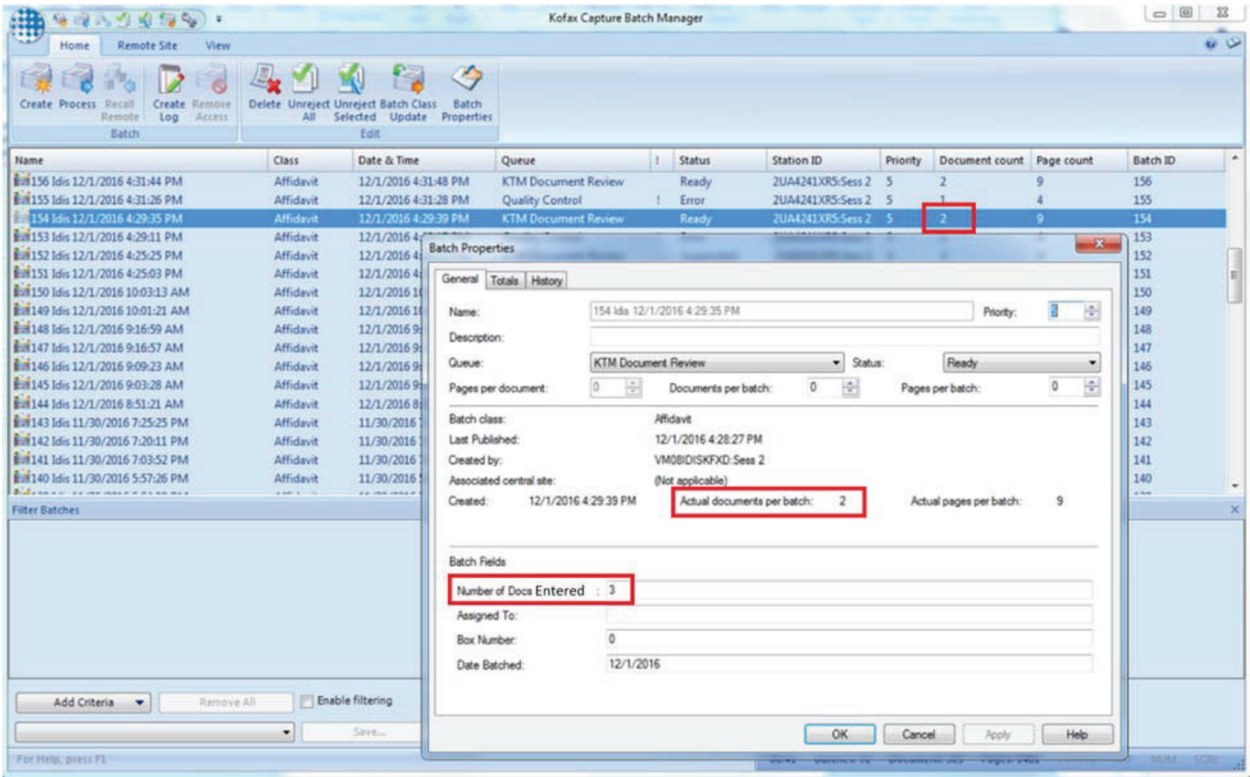
In addition to printing on these fours positions along the left or right edge of the paper, the paper can also be fed sideways so that the stamper strings can be printed along the top edge or bottom edge, on the left or right sides of the paper. In total, there are eight positions on a paper that stamper strings can be printed. When feeding the paper sideways, the Kofax VRS will also automatically rotate the scanned image into the correct orientation.

(NOTE: After some research it was discovered that Kofax does not provide scan-time per-batch stamper offsets. Kofax scan components ignore the scan-time adjustment on imprint settings. As a result, the alternative is to feed the paper in different orientations in order to stamp on different corners on the paper.

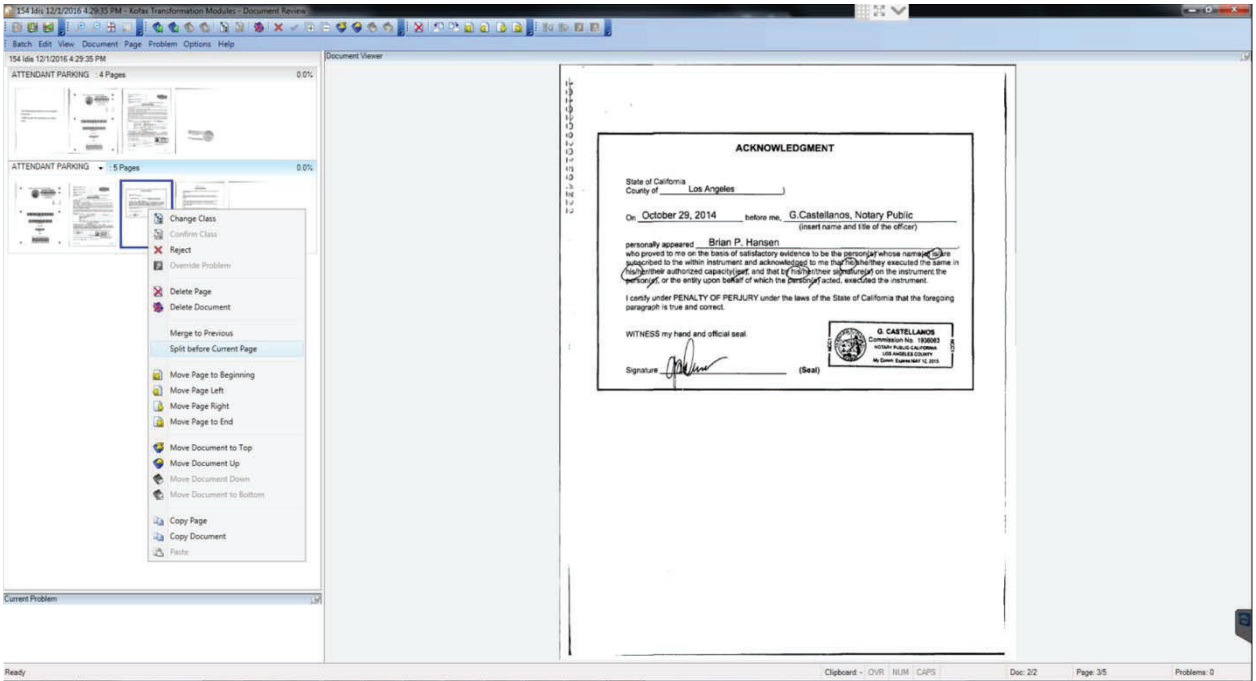
A separate Kofax Batch class will be configured to print cross-out line (dashes) for crossing out previous stamp strings before new ones are printed at a separate location. By feeding paper in different orientations and positions, the physical stampers on the left edge or right edge can stamp the crossed-out lines printed on any of the eight positions.

Document Review

If the number of documents detected do not match the entered batch fields the batch will be sent to the "KTM Document Review" queue. The following is an example that users have entered three for "Number of Docs" whereas the KTM server detects only two for "Document Count."



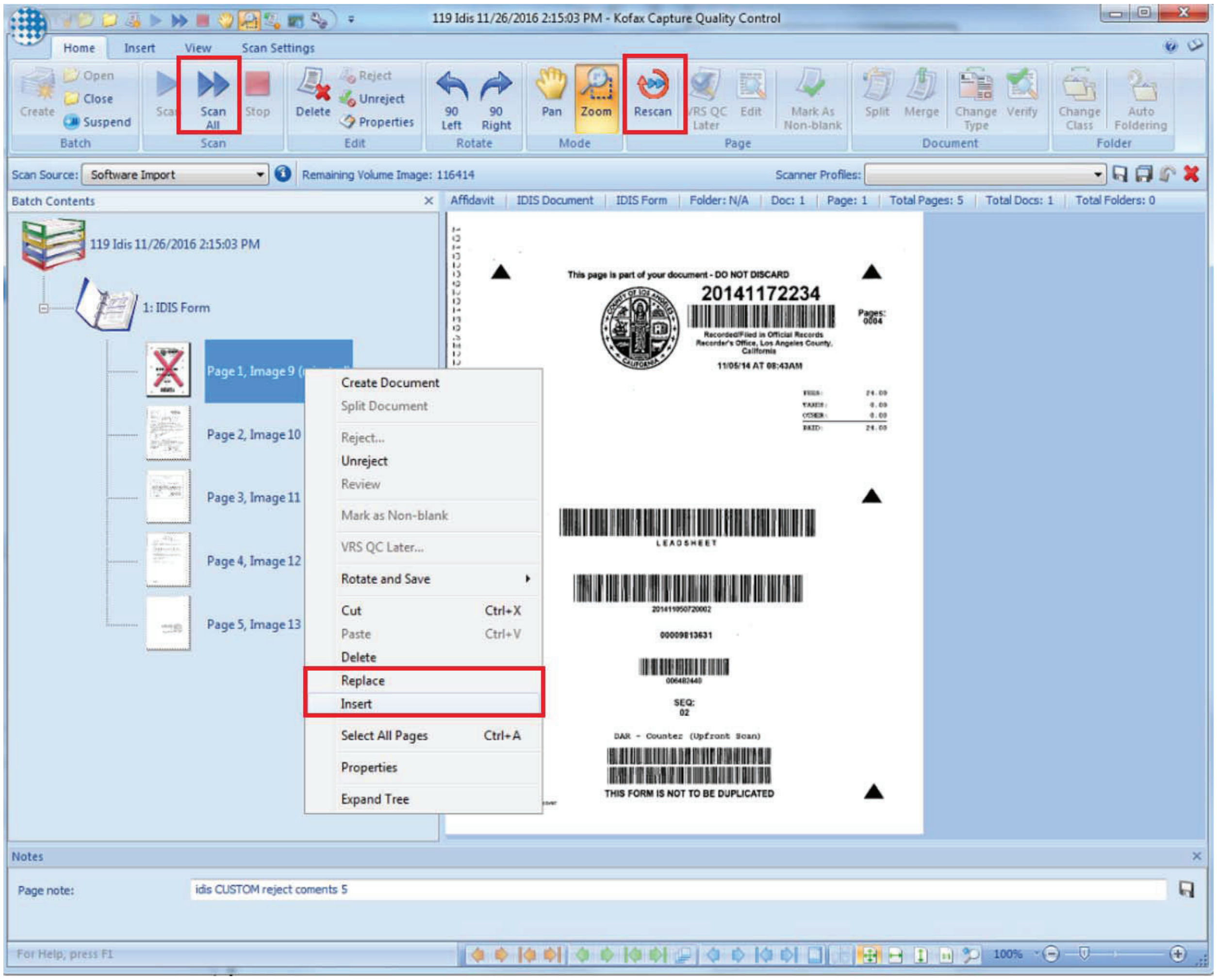
Scan operators should watch the KTM Document Review queue for any previously scanned batches going into this queue. These batches need to be opened to examine images and potential problems. The following screenshot shows a batch opened in the KTM Document Review module:



Pages are separated into documents and each document is assigned a detected KTM class. The left panel displayed the batch contents. Users can perform many operations:

1. Change the document's KTM class if the class was not correctly detected.
2. Delete pages or documents.
3. Split document before Current Page if the documents were not properly separated by the KTM server.
4. Copy and paste pages or documents.
5. Move pages or documents (through menu actions or drag-n-drop).
6. Reject pages or documents – with comments sent to the Rescan module.

The KTM Document Review module does not allow adding or rescanning pages. To do so users have to reject the documents or pages and then close the batch. The batch will be sent to the "Quality Control" queue immediately. Users can open the batch in Quality Control module and perform rescanning or add pages there. The following screenshot shows a batch opened in the Quality Control module:



After adding or rescanning pages users can close the batch. The batch will go through KTM server queue again and be processed again.

Redesign of Current IDIS FileNet Capture Setting

The current IDIS FileNet Capture Setting is designed around document class (Construction, Commission, Inspection, EmgMgmt, and Financial). For each document class several settings are configured based on the following combinations:

1. IDIS Barcode (not available for Financial document class), Manual Barcode (this is the page separator sheets), or PCIS Barcode (only for Construction and Inspection document classes)
2. Orientation (Landscape or Portrait scanning, with or without rotation)
3. Paper size (ledger, legal, 8X5, 6X8, etc.)
4. Black/White or Color
5. Scanner Type

The following shows the current IDIS FileNet Capture settings:

Settings Name	Doc Class	Display Name
com f	Commission	COMMISSION FILE IMPORT
p_const f	Construction	Construction FILE IMPORT
p_emg f	EmgMgmt	EmgMgmt FILE IMPORT
p_insp f	Inspection	Inspection FILE IMPORT
com i l bw	Commission	COMMISSION IDIS BARCODE LANDSCAPE BW
com i lr bw	Commission	COMMISSION IDIS BARCODE LANDSCAPE/ROT BW
com i p bw	Commission	COMMISSION IDIS BARCODE PORTRAIT BW
com m l bw	Commission	COMMISSION MANUAL BARCODE LANDSCAPE BW
com m lr bw	Commission	COMMISSION MANUAL BARCODE LANDSCAPE/ROT BW
com m lrd bw	Commission	COMMISSION MANUAL BARCODE LANDSCAPE/ROT LEDGER BW
com m p bw	Commission	COMMISSION MANUAL BARCODE PORTRAIT BW
i_finan m l bw	Financial	I_FINANCIAL MANUAL BARCODE LANDSCAPE BW
i_finan m p bw	Financial	I_FINANCIAL MANUAL BARCODE PORTRAIT BW
p_const i l bw	Construction	P_CONST IDIS BARCODE LANDSCAPE BW
p_const i lr bw	Construction	P_CONST IDIS BARCODE LANDSCAPE/ROT BW
p_const i lrd bw	Construction	P_CONST IDIS BARCODE LANDSCAPE/ROT LEDGER BW
p_const i p bw	Construction	P_CONST IDIS BARCODE PORTRAIT BW
p_const m l bw	Construction	P_CONST MANUAL BARCODE LANDSCAPE BW
p_const m lr bw	Construction	P_CONST MANUAL BARCODE LANDSCAPE/ROT BW
p_const m lrd bw	Construction	P_CONST MANUAL BARCODE LANDSCAPE/ROT LEDGER BW
p_const m p bw	Construction	P_CONST MANUAL BARCODE PORTRAIT BW
p_const m pc bw	Construction	P_CONST MANUAL BARCODE PORTRAIT 8X5 BW
p_const m pl bw i	Construction	P_CONST MANUAL BARCODE PORTRAIT LEGAL BW
p_const m ps bw	Construction	P_CONST MANUAL BARCODE PORTRAIT 6X8 BW
p_const p lr bw	Construction	P_CONST PCIS BARCODE LANDSCAPE/ROT BW
p_const p lrd bw	Construction	P_CONST PCIS BARCODE LANDSCAPE/ROT LEDGER BW
p_const p p bw	Construction	P_CONST PCIS BARCODE PORTRAIT BW
p_emg i l bw	EmgMgmt	P_EMGMGMT IDIS BARCODE LANDSCAPE BW
p_emg i lr bw	EmgMgmt	P_EMGMGMT IDIS BARCODE LANDSCAPE/ROT BW
p_emg i p bw	EmgMgmt	P_EMGMGMT IDIS BARCODE PORTRAIT BW
p_emg m l bw	EmgMgmt	P_EMGMGMT MANUAL BARCODE LANDSCAPE BW
p_emg m lr bw	EmgMgmt	P_EMGMGMT MANUAL BARCODE LANDSCAPE/ROT BW
p_emg m p bw	EmgMgmt	P_EMGMGMT MANUAL BARCODE PORTRAIT BW
p_insp i l bw	Inspection	P_INSPECTION IDIS BARCODE LANDSCAPE BW
p_insp i lr bw	Inspection	P_INSPECTION IDIS BARCODE LANDSCAPE/ROT BW
p_insp i p bw	Inspection	P_INSPECTION IDIS BARCODE PORTRAIT BW
p_insp m l bw	Inspection	P_INSPECTION MANUAL BARCODE LANDSCAPE BW
p_insp m lr bw	Inspection	P_INSPECTION MANUAL BARCODE LANDSCAPE/ROT BW
p_insp m p bw	Inspection	P_INSPECTION MANUAL BARCODE PORTRAIT BW
com i l bw i	Commission	COMMISSION IDIS BARCODE LANDSCAPE BW I840
com i p bw i	Commission	COMMISSION IDIS BARCODE PORTRAIT BW I840
com m l bw i	Commission	COMMISSION MANUAL BARCODE LANDSCAPE BW I840
com m lrd bw i	Commission	COMMISSION MANUAL BARCODE LANDSCAPE/ROT LEDGER B...
com m p bw i	Commission	COMMISSION MANUAL BARCODE PORTRAIT BW I840
com m pl bw i	Commission	COMMISSION MANUAL BARCODE PORTRAIT LEGAL BW I840

	p_const i l co i	Construction	P_CONST IDIS BARCODE LANDSCAPE CO I840
	p_const i lrd bw i	Construction	P_CONST IDIS BARCODE LANDSCAPE/ROT LEDGER BW I840
	p_const i p bw i	Construction	P_CONST IDIS BARCODE PORTRAIT BW I840
	p_const i p co i	Construction	P_CONST IDIS BARCODE PORTRAIT CO I840
	p_const m l bw i	Construction	P_CONST MANUAL BARCODE LANDSCAPE BW I840
	p_const m l co i	Construction	P_CONST MANUAL BARCODE LANDSCAPE CO I840
	p_const m lrd bw i	Construction	P_CONST MANUAL BARCODE LANDSCAPE/ROT LEDGER BW I...
	p_const m p bw i	Construction	P_CONST MANUAL BARCODE PORTRAIT BW I840
	p_const m p co i	Construction	P_CONST MANUAL BARCODE PORTRAIT CO I840
	p_const p lr bw i	Construction	P_CONST PCIS BARCODE LANDSCAPE/ROT BW I840
	p_const p lrd bw i	Construction	P_CONST PCIS BARCODE LANDSCAPE/ROT LEDGER BW I840
	p_const p p bw i	Construction	P_CONST PCIS BARCODE PORTRAIT BW I840
	p_const p p co i	Construction	P_CONST PCIS BARCODE PORTRAIT CO I840
	p_const p pl bw i	Construction	P_CONST PCIS BARCODE PORTRAIT LEGAL BW I840
	p_emg i l bw i	EmgMgmt	P_EMGMGMT IDIS BARCODE LANDSCAPE BW I840
	p_emg i p bw i	EmgMgmt	P_EMGMGMT IDIS BARCODE PORTRAIT BW I840
	p_emg m l bw i	EmgMgmt	P_EMGMGMT MANUAL BARCODE LANDSCAPE BW I840
	p_emg m p bw i	EmgMgmt	P_EMGMGMT MANUAL BARCODE PORTRAIT BW I840
	p_insp i l bw i	Inspection	P_INSPECTION IDIS BARCODE LANDSCAPE BW I840
	p_insp i p bw i	Inspection	P_INSPECTION IDIS BARCODE PORTRAIT BW I840
	p_insp m l bw i	Inspection	P_INSPECTION MANUAL BARCODE LANDSCAPE BW I840
	p_insp m lr bw i	Inspection	P_INSPECTION MANUAL BARCODE LANDSCAPE/ROT BW I840
	p_insp m lrd bw i	Inspection	P_INSPECTION MANUAL BARCODE LANDSCAPE/ROT LEDGER ...
	p_insp m p bw i	Inspection	P_INSPECTION MANUAL BARCODE PORTRAIT BW I840
	p_insp m pl bw i	Inspection	P_INSPECTION MANUAL BARCODE PORTRAIT LEGAL BW I840
	p_insp p p bw i	Inspection	P_INSPECTION PCIS BARCODE PORTRAIT BW I840

Kofax Capture and KTM eliminate the need for variations on orientation, paper size, and scanner type. All these can be automatically adjusted by Kofax/KTM at run-time to auto-rotate pages and crop scanned image to the paper size regardless of the scanner used. B/W or color can be adjusted on-demand on scanner setting on the Scan Source. As a result, these will not be contributing variations to Kofax Batch Class design. Color images are store in IDIS but will be converted into B/W when Doc Export background processes.

The current IDIS Barcode settings are for scanning IDIS barcode pages for documents that are pre-indexed. A single Kofax Batch Class will be able to replace all the current IDIS Barcode settings – the document class variation is absorbed into the Document Class batch field and the paper size, orientation, and scanner type variations are adjusted by Kofax/KTM at run-time. This Kofax Batch Class will be configured to recognize the barcode and to pull the indexing information automatically from the IDIS database.

The Manual Barcode settings are for using separator sheets and doing manual indexing. A single Kofax Batch Class will be able to replace all the current IDIS Manual settings, just as above. This Kofax Batch Class will be configured to recognize the document separator sheet barcode. The indexing will be manual.

The PCIS Barcode settings are only available for Construction and Inspection document classes. A single Kofax Batch Class will be able to replace all these PCIS Barcode settings, just as above. This Kofax Batch Class will be configured to recognize the barcode and to pull the indexing information automatically from the PCIS database.

The settings for File Import will no longer be necessary. The File Import module will be redesigned to import the documents into FileNet P8 directly without going through an image capture process.

Kofax Batch Class Design Summary

Batch Class Name	Separator Sheet?	Barcode	
IDIS Barcode	N	IDIS Barcode page serves as the separator sheet as well as to pick up index from IDIS database.	
PCIS Barcode	N	PCIS Barcode page serves as the separator sheet as well as to pick up index from PCIS database.	
IDIS Manual	Y	Use page separator sheets. Complete manual indexing.	
Affidavit	N	KTM automatically separate documents. Some automated indexing (doc type, sub type, doc dates, and doc numbers) and assisted indexing (addresses, legal descriptions, assessors).	
(Additional doc types to be automated.)	N	KTM automatically separate documents. Some automated indexing (doc type, sub type, doc dates, and doc numbers) and assisted indexing (addresses, legal descriptions, assessors).	
(Additional doc types use barcode, such as Grading, Range File, Board, Commission Board.)	N	Barcode page serves as the separator sheet as well as to pick up index from specific source databases.	

ATTACHMENT 1C

IDIS Thick Client Index/Verification Module Solution Design

2017/09/10

Contents

Overview

This document describes the IDIS Index and Verification module solution design using Kofax KTM Validation. The designs for both modules are the same in using the Kofax KTM Validation form. The only difference is the queues the batches are pulled from – Index module pulls from the “Kofax Validation” queue whereas the Verification module pulls from the “Kofax Validation 2” queue.

The new design enables batch content editing during indexing – a great time saver as missing or poorly scanned pages do not require a batch rescan that was previously required. Fuzzy searches are provided for searching property addresses, legal descriptions, assessors, and pins. This allows pulling the correct data from databases even when information on the document was misspelled or abbreviated (e.g. abbreviated track name).

The new design also greatly improves the indexing capability – the entire screen space is used for indexing and viewing images; identical index data can be copied among documents within the same batch; data can be automatically extracted whenever possible; data can also be copied from OCR results by simply clicking on the corresponding data on the document image. Documents marked for rejection back to originating offices are automatically separated out and tracked by the application for returning and rescanning.

Main Function

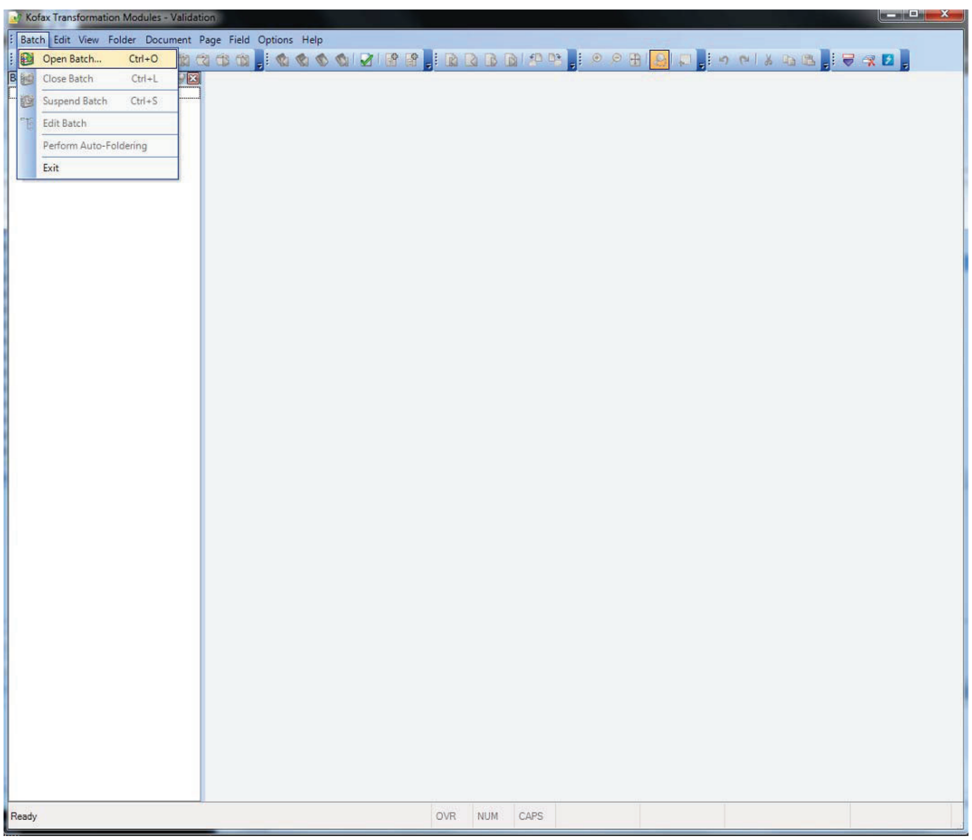
The functions provided by the module are summarized as follows:

1. Finding and opening a batch
2. Indexing a batch
    a. Fuzzy search

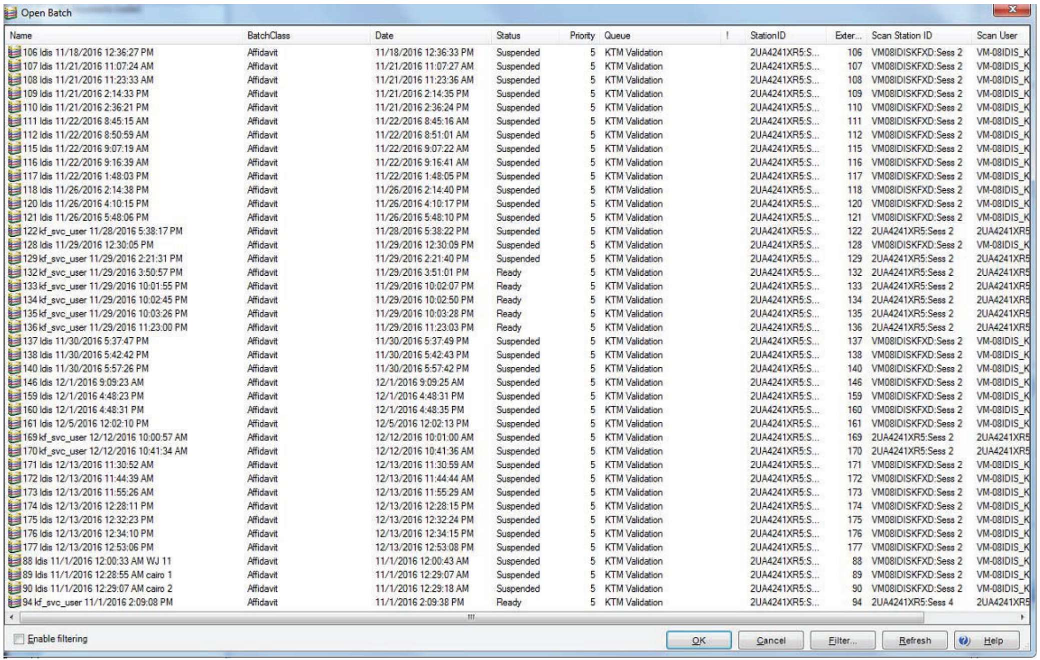
   b. Click to copy OCR data into index fields
   c. Copy index from previous documents
   d. Batch copy
   e. Set copy fields
3. Batch content navigation
4. Document Viewer Control
5. Adding, replacing, removing pages
6. Rejecting documents
7. Rescan batches
8. Suspending and closing batches
9. Controlling batch editing capability

Finding and Opening a Batch

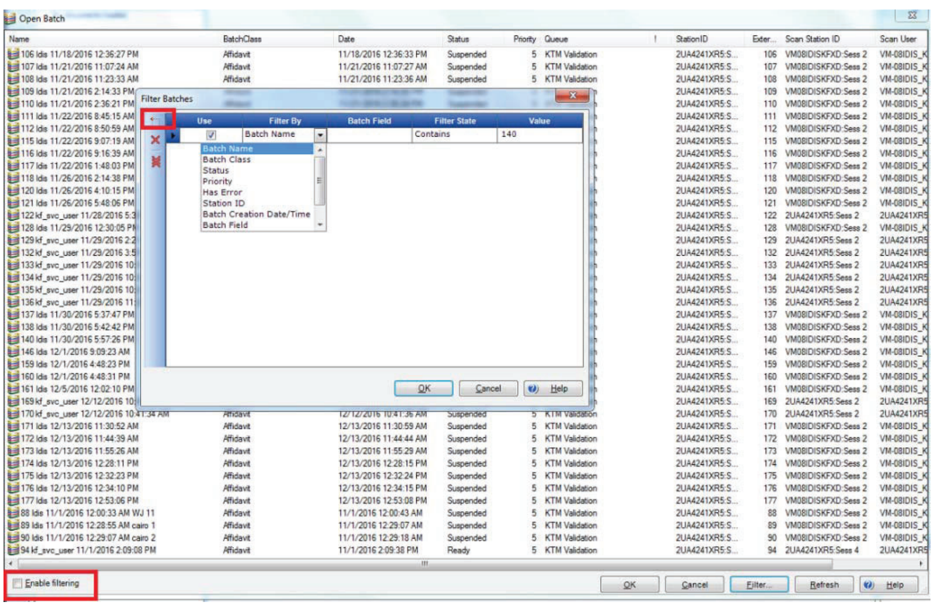
To index a batch the current practice requires staff to pick up a paper batch ready for indexing from the "Index table." The IDIS Batch Coversheet would contain a Batch ID which allows users to locate the batch from Kofax. Indexing staff uses the Kofax/KTM Validation module to locate and index a batch. The following screenshot shows the initial screen when the KTM Validation module is started with the "Batch" menu selected:



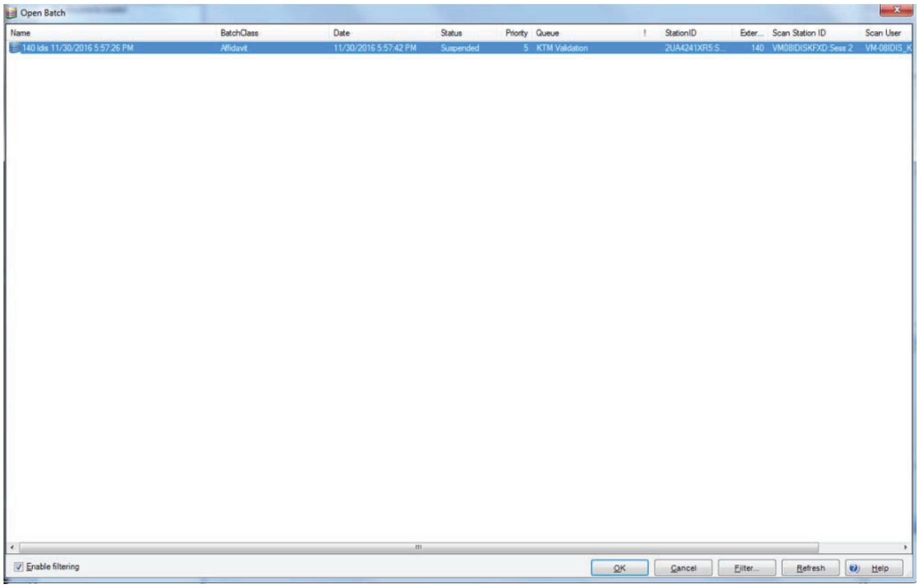
The "Open Batch…" menu item would bring up an "Open Batch" window where all batches ready for indexing (validation) are listed:



(Kofax does not allow configuration of column order of the above screen.) To find the specific batch to index, users can click on the "Filter…" button to bring up the "Filter Batches" window and enter the desired Batch ID ("140" in the below screenshot) in the "Value" field of the "Batch Name" filter:



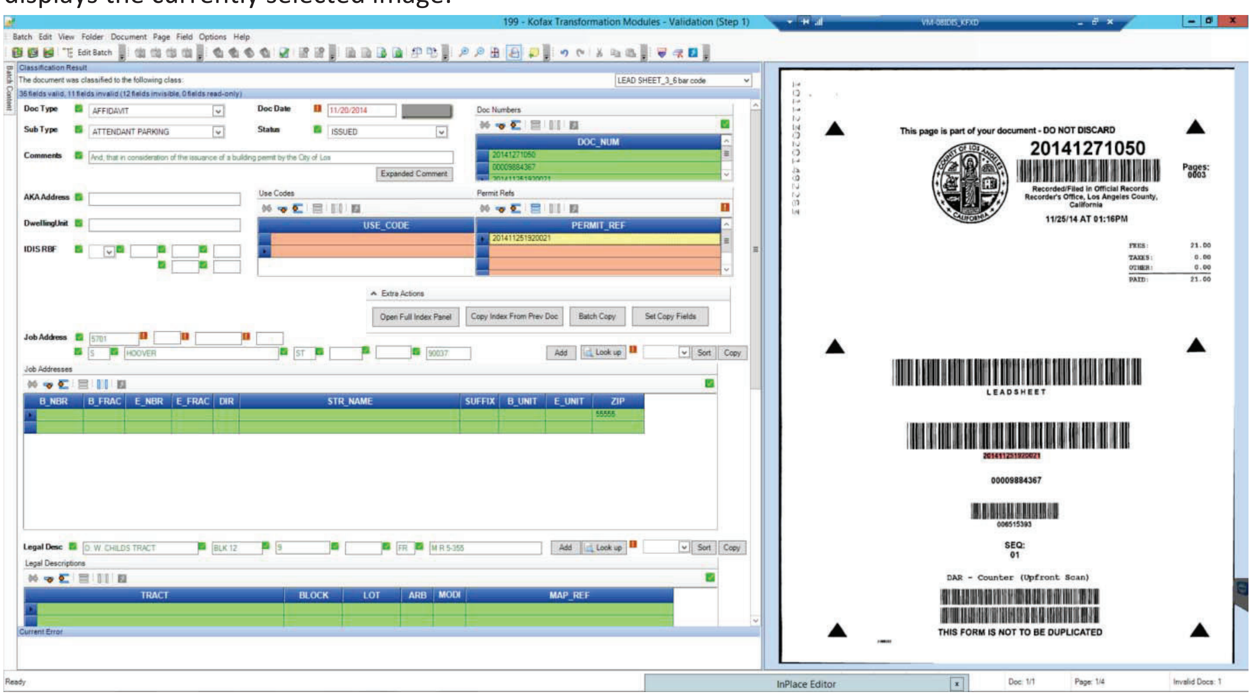
Users can click on the "Add Criteria" icon to create a new filter criterion if the "Batch Name" filter is not displayed. Make sure the checkbox for the necessary criteria are selected. Click on the "OK" button to close the "Filter Batches" window and click on the "Enable Filtering" to filter out the desired batch:



Users can then select the batch and click on the “OK” button to open the batch.

Indexing a Batch

After a batch is opened, the content of the batch is displayed in the left “Batch Content” panel of the main KTM Validation module screen. The indexing forms are displayed on the right panel. The “Current Document” document viewer, which can be floating or docked inside the main Validation window, displays the currently selected image:



The KTM server would populate Doc Type and Sub Type index fields from the batch. The KTM server would also try to match addresses from the pages of the document based on document types, and if present, to the PCIS database and automatically populate the job address, legal description, assessor, and PIN index fields – this is to be done only for document types that RRM determines to do.

Since not all Doc Types have the same set of index fields, the fields are displayed in one of the four layouts. The following table summarizes the fields by doc types and the four layouts (Templates):

Indexing Field Usage

	Doc Type	Sub Type	Doc Date	Status	Doc Number	Comments	Permit Ref	Restricted Comments	IDIS RBF	Use Code	Job Address	Legal Description	AKA Address	X-Ref	PIN	APN
Administrative Approvals	X	X	X	X	M	X					M		M			
Board File	X	X	X		X	X					M		M			
Board Letters	X	X	X		X	X					M		M			
Certificate of Compliance	X	X	X		X						M		M			
Certificate of Occupancy	X		X	X	M	X					M		M			
Certificate of Occupancy-Temp	X		X	X	M	X					M		M			
Conveyance	X	X	X		M	X					M		M			
Affidavits	X	X	X	X	X	X					M	M	M		M	M
Grading	X	X	X	X		X					M	M	M		M	M
Range Files	X	X	X	X		X					M		M			M
Address Corrections	X	X	X		M	X					M	M	M			
Building Permit	X	X	X	X	X	X	X			M	M	M	M		M	M
Electrical Permit	X		X	X	X	X					M	M	M		M	M
Mechanical Permit	X	X	X	X	X	X					M	M	M		M	M
Oversized Documents	X	X	X	X		X			X		M	M	M	M		
Plan Maintenance	X		X	X	M	X		X	X		M		M			

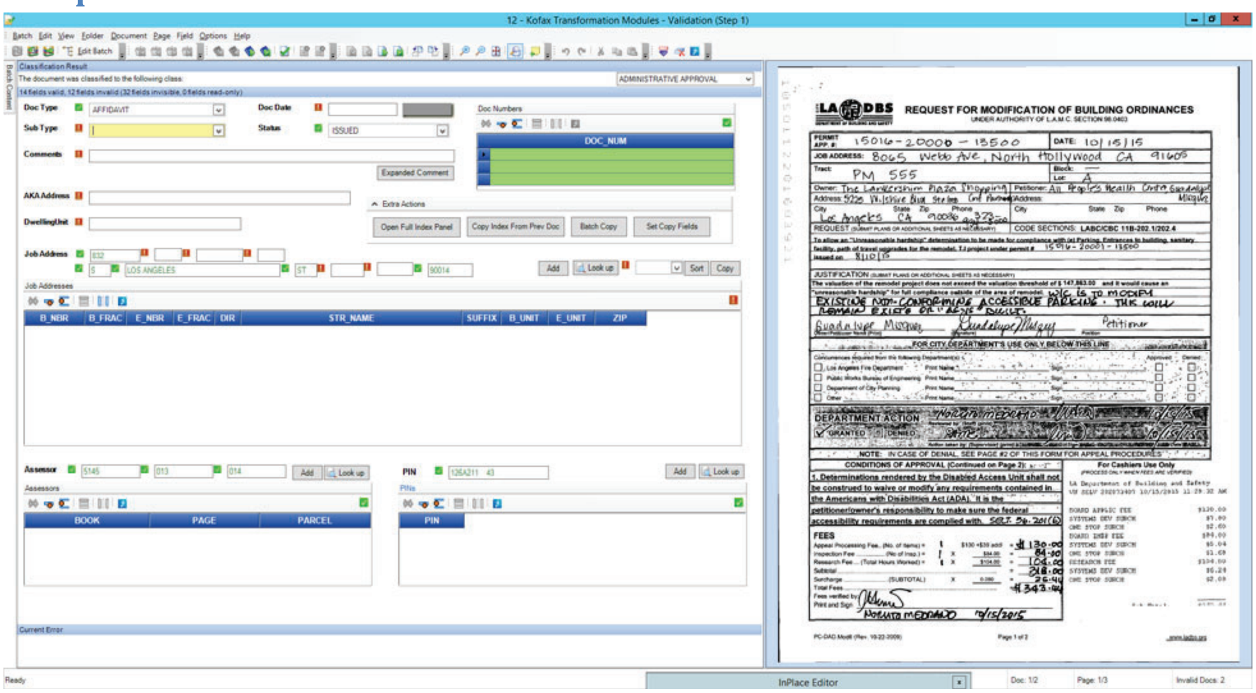
XX: Sub types remain the same within the same batch - application should automatically duplicate to the rest of the documents

	Notes:	
Template # 1	# 1	Greyed out fields
Template # 2	# 2	Call that first tab "Doc Based" which displays one of the template based on document doc type
Template # 3	# 3	
Template # 4		

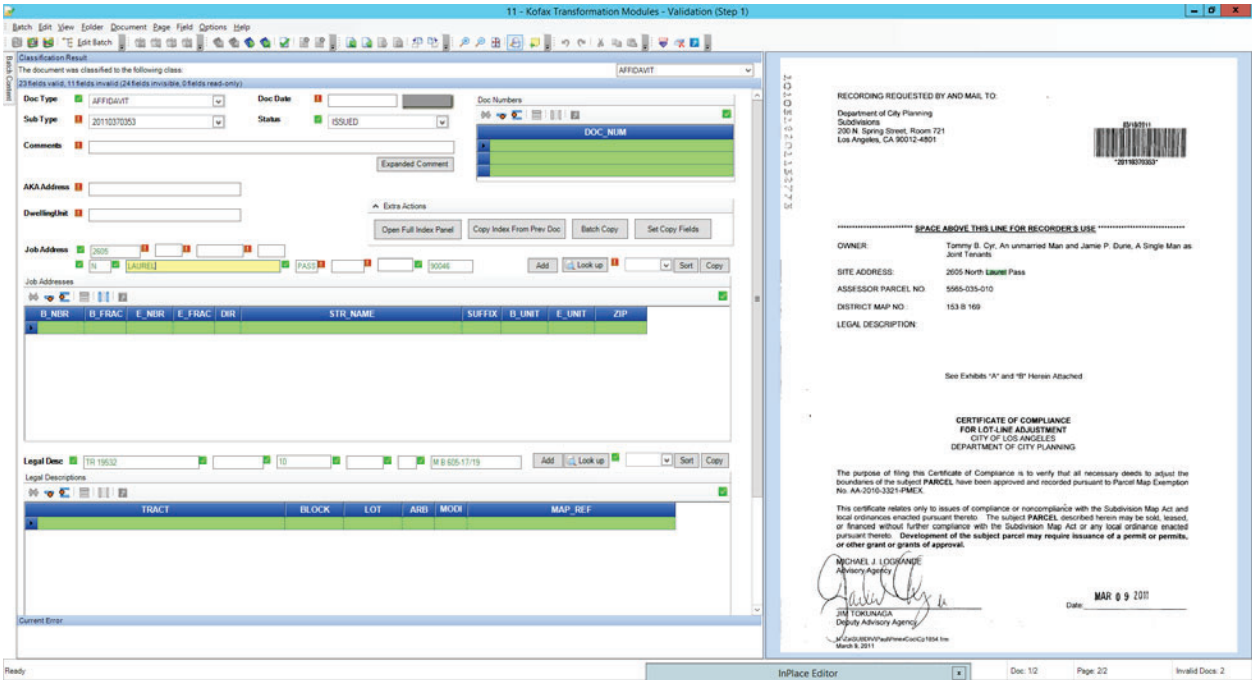
Legend	
(blue)	Repeating Fields
(yellow)	Field Always Used
(green)	Field Used Often
(light grey)	Field Rarely Used
X	One value
M	Multiple Values Possible

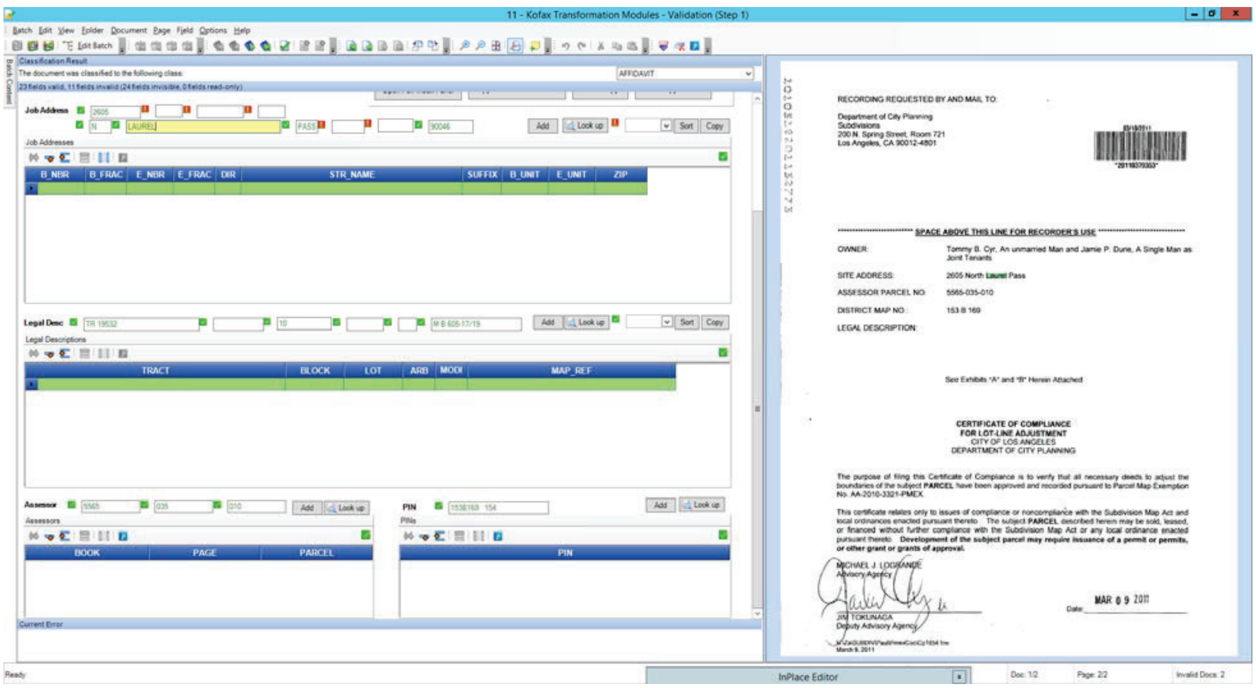
The following screenshots show the four layouts:

Template #1

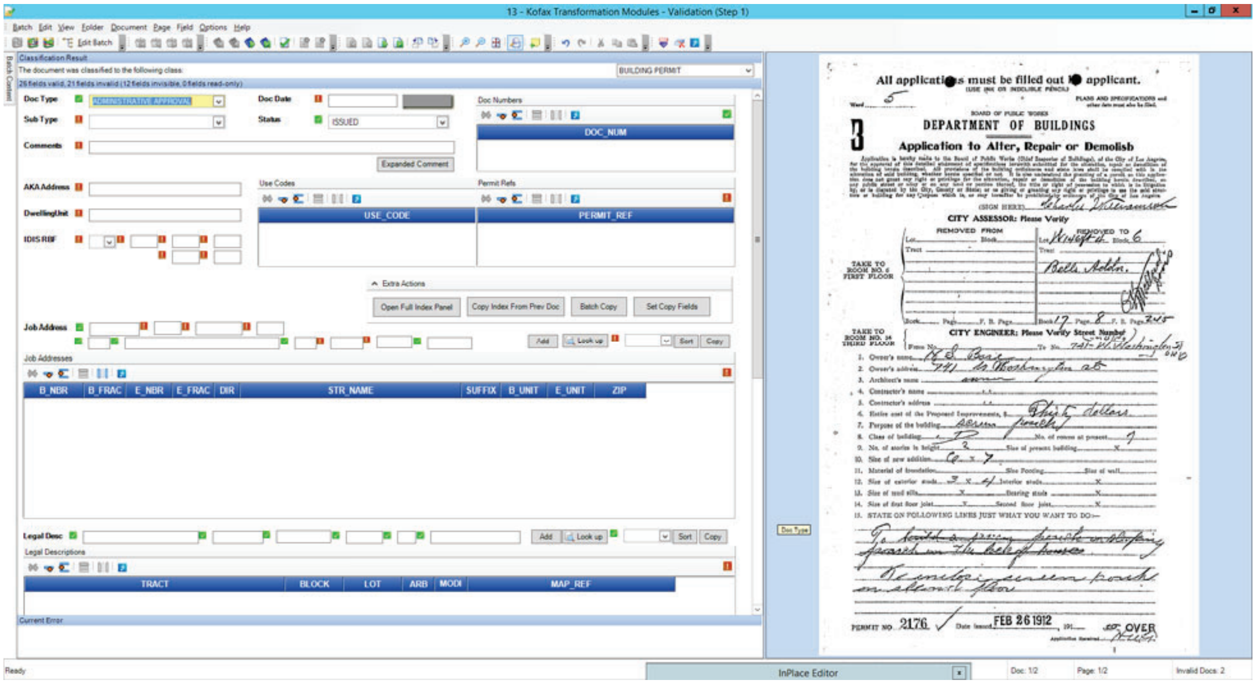


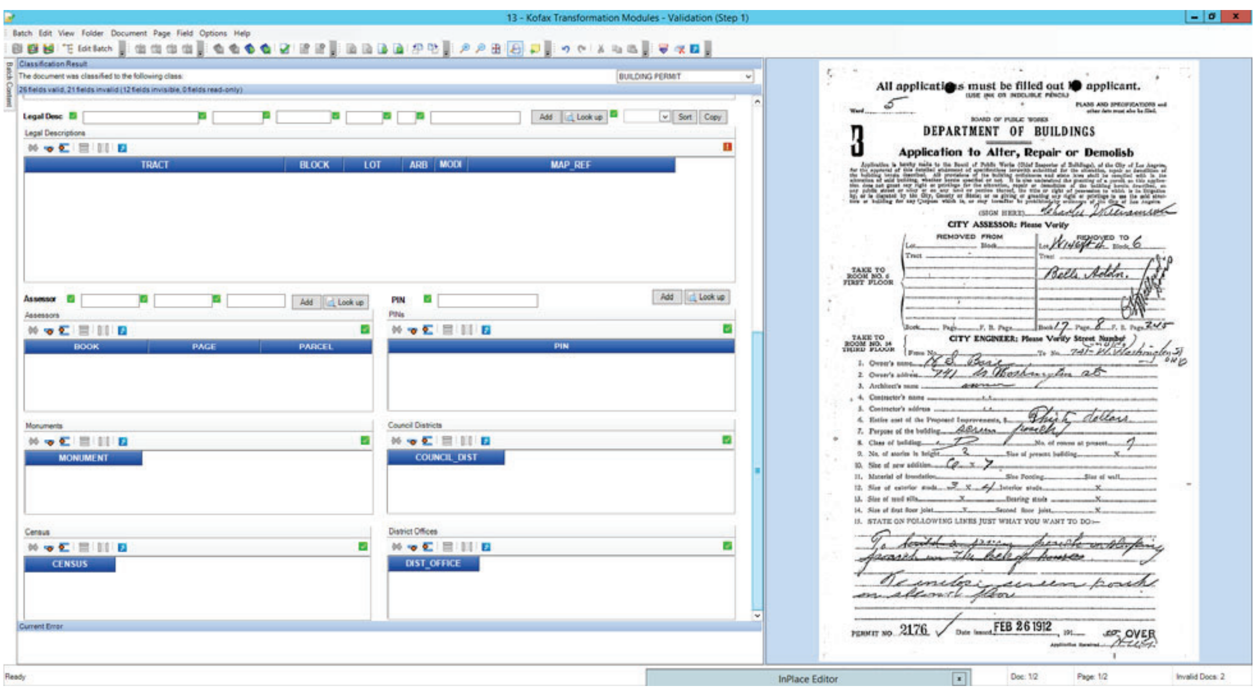
Template #2


11 - Kofax Transformation Modules - Validation (Step 1)
Batch Edit View Folder Document Page Field Options Help
Classification Result
The document was classified to the following class:
AFFIDAVIT
Doc Type
Sub Type
Comments
Doc Date
Status
ISSUED
Doc Numbers
DOC_NUM
Expanded Comment
AKA Address
DwellingUnit
Extra Actions
Open Full Index Panel
Copy Index From Prev Doc
Batch Copy
Set Copy Fields
Job Address
LAUREL
PASS
90046
Add
Look up
Sort
Copy
Job Addresses
B_NBR
B_FRAC
E_NBR
E_FRAC
DIR
STR_NAME
SUFFIX
B_UNIT
E_UNIT
ZIP
Legal Desc
TR 19532
Legal Descriptions
TRACT
BLOCK
LOT
ARB
MODI
MAP_REF
Current Error
Ready
InPlace Editor
Doc: 1/2
Page: 2/2
Invalid Docs: 2
RECORDING REQUESTED BY AND MAIL TO:
Department of City Planning
Subdivisions
200 N. Spring Street, Room 721
Los Angeles, CA 90012-4801
SPACE ABOVE THIS LINE FOR RECORDER'S USE
OWNER:
Tommy B. Cyr, An unmarried Man and Jamie P. Dune, A Single Man as Joint Tenants
SITE ADDRESS:
2605 North Laurel Pass
ASSESSOR PARCEL NO:
5565-035-010
DISTRICT MAP NO.:
153 B 169
LEGAL DESCRIPTION:
See Exhibits "A" and "B" Herein Attached
CERTIFICATE OF COMPLIANCE
FOR LOT-LINE ADJUSTMENT
CITY OF LOS ANGELES
DEPARTMENT OF CITY PLANNING
MICHAEL J. LOGRANDE
Advisory Agency
JIM TOKUNAGA
Deputy Advisory Agency
MAR 09 2011
Date:


11 - Kofax Transformation Modules - Validation (Step 1)
Batch Edit View Folder Document Page Field Options Help
Classification Result
The document was classified to the following class:
AFFIDAVIT
Job Address
LAUREL
PASS
90046
Job Addresses
B_NBR
B_FRAC
E_NBR
E_FRAC
DIR
STR_NAME
SUFFIX
B_UNIT
E_UNIT
ZIP
Legal Desc
TR 19532
Legal Descriptions
TRACT
BLOCK
LOT
ARB
MODI
MAP_REF
Assessor
5565
035
010
Assessors
BOOK
PAGE
PARCEL
PIN
PINs
Current Error
Ready
InPlace Editor
Doc: 1/2
Page: 2/2
Invalid Docs: 2
RECORDING REQUESTED BY AND MAIL TO:
Department of City Planning
Subdivisions
200 N. Spring Street, Room 721
Los Angeles, CA 90012-4801
SPACE ABOVE THIS LINE FOR RECORDER'S USE
OWNER:
SITE ADDRESS:
2605 North Laurel Pass
ASSESSOR PARCEL NO:
5565-035-010
DISTRICT MAP NO.:
153 B 169
LEGAL DESCRIPTION:
CERTIFICATE OF COMPLIANCE
FOR LOT-LINE ADJUSTMENT
CITY OF LOS ANGELES
DEPARTMENT OF CITY PLANNING
JIM TOKUNAGA
Deputy Advisory Agency

Template #3/#4





Indexing Fields

In general, if a user begins to type in different data into a field, the field should blank out the previous KTM entered data.

Doc Type

The Doc Type is a dropdown list of all defined IDIS Doc Types. KTM server might already classify the document and thus pre-select the identified Doc Type. Users simply hit the Enter key to confirm the field.

Sub Type

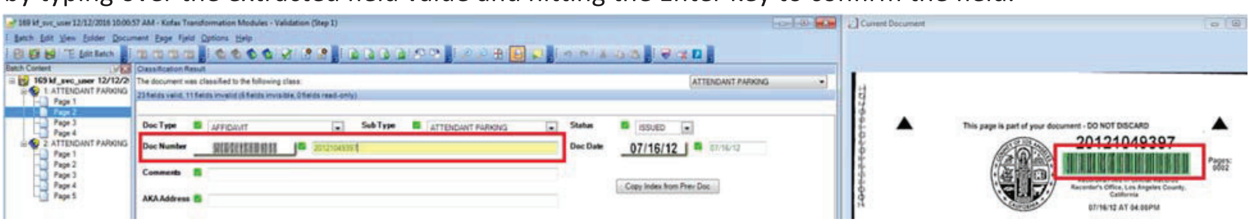
The Sub Type is a dropdown list of all defined IDIS Sub Types for the selected Doc Types. KTM server might already classify the document and thus pre-select the identified Sub Type. Users simply hit the Enter key to confirm the field. If the detected Sub Type were incorrect, users would select the right Sub Type from the list and hit the Enter key to confirm the field.

Status

The Status field is a dropdown list of all defined IDIS Statuses for the selected Doc Types. The KTM server might already classify the document and thus pre-select the identified Status. Users simply hit Enter key to confirm the field. Users can correct the Status field by selecting the right Status from the list and hit the Enter key to confirm the field.

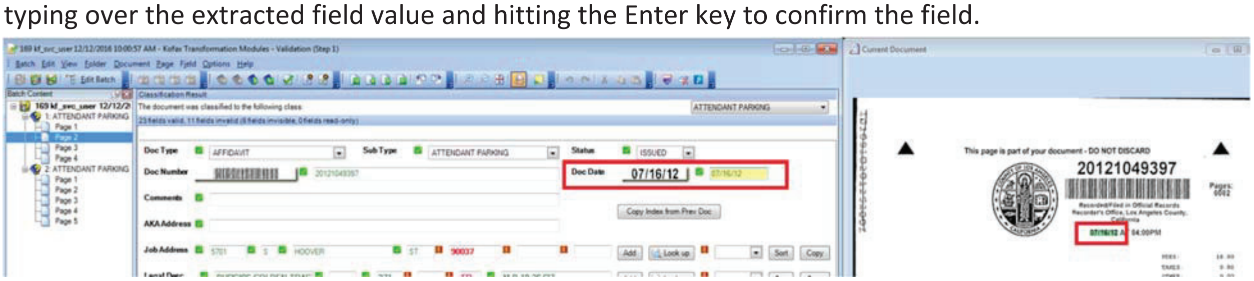
Doc Number

The Document Number field is automatically extracted by the KTM server whenever possible. When the KTM server is able to extract the field, it will display an image snippet of the field next to the extracted value. When users navigate to that field value, the Document Viewer would also automatically navigate to the page and highlight the field, as shown in the following diagram. Users can correct the field value by typing over the extracted field value and hitting the Enter key to confirm the field.



Doc Date

The Doc Date field is automatically extracted by the KTM server whenever possible. When the KTM server is able to extract the field, it will display an image snippet of the field next to the extracted value. When users navigate to that field value, the Document Viewer would also automatically navigate to the page and highlight the field, as shown in the following diagram. Users can correct the field value by typing over the extracted field value and hitting the Enter key to confirm the field.



Comments

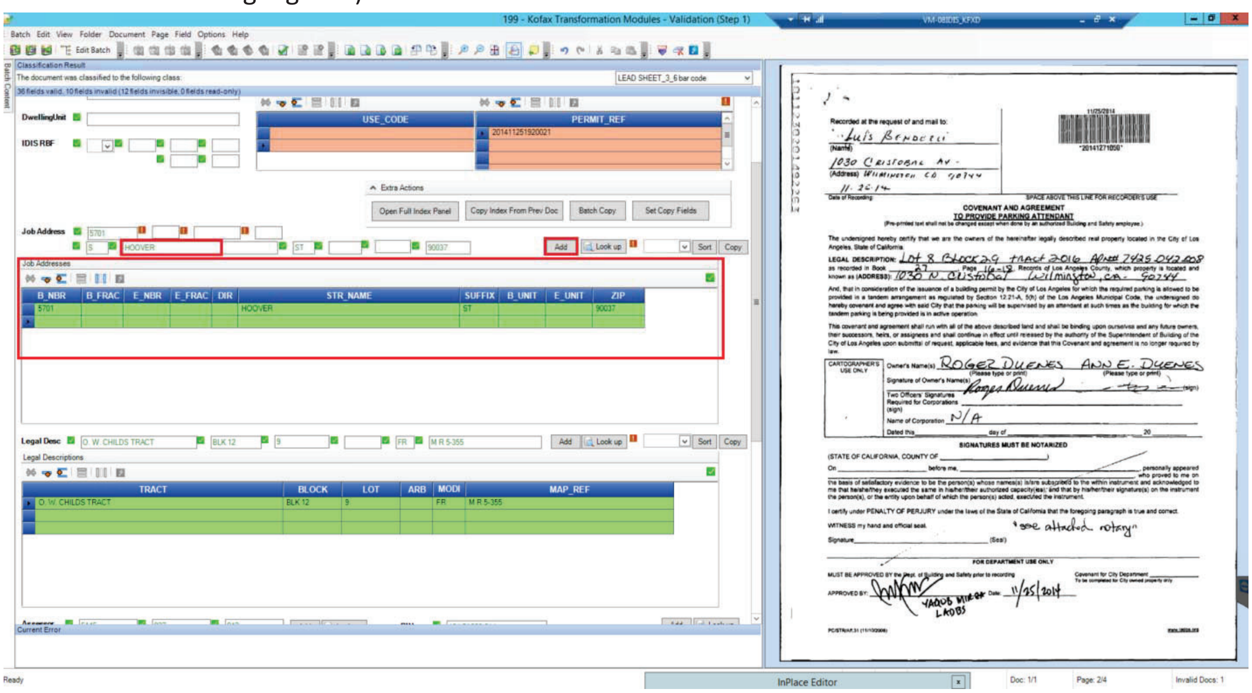
Users can enter comments into the Comments field with data from the document. Users can draw a box on the Document Viewer on the desired text. Once released, the OCR'ed result in the box will be entered into the current field automatically. The "Expanded Comments" would open a popup window for users to enter long comments or comments of multiple lines. Users can also enter "Restricted Comments" through this popup window.

AKA Address

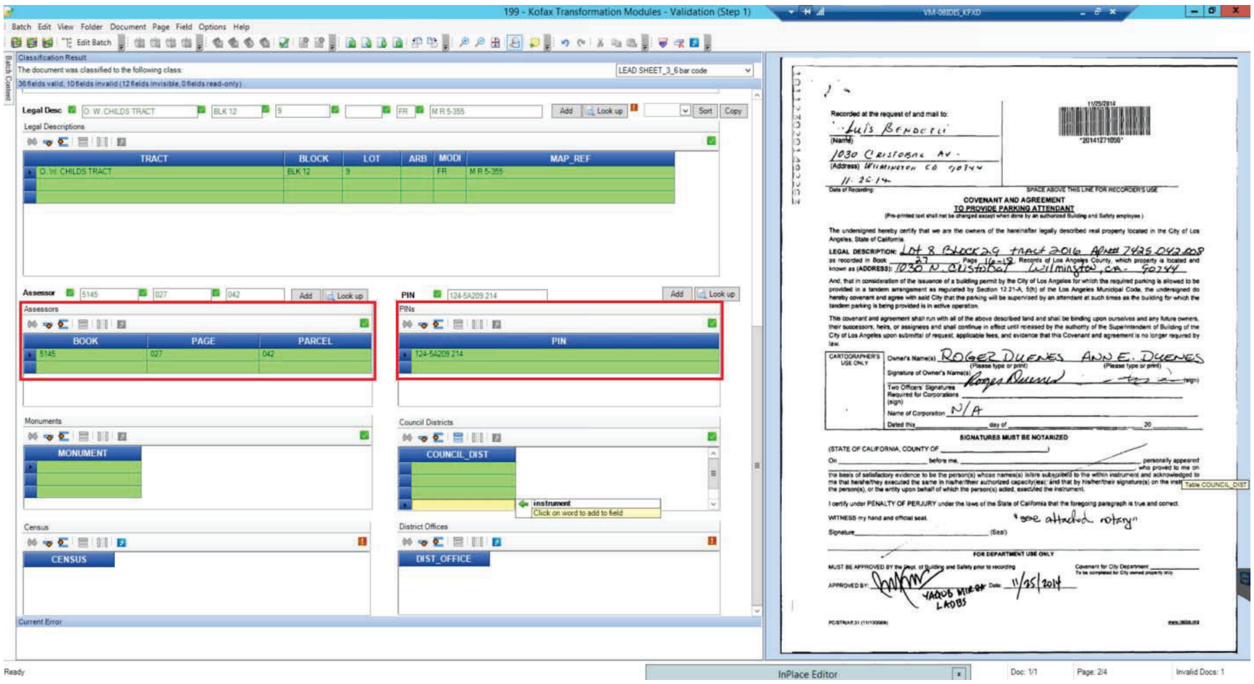
This field is for entering AKA Addresses. User can enter directly, or use the selection tool on the image viewer to lasso texts on the image to enter them.

Job Address

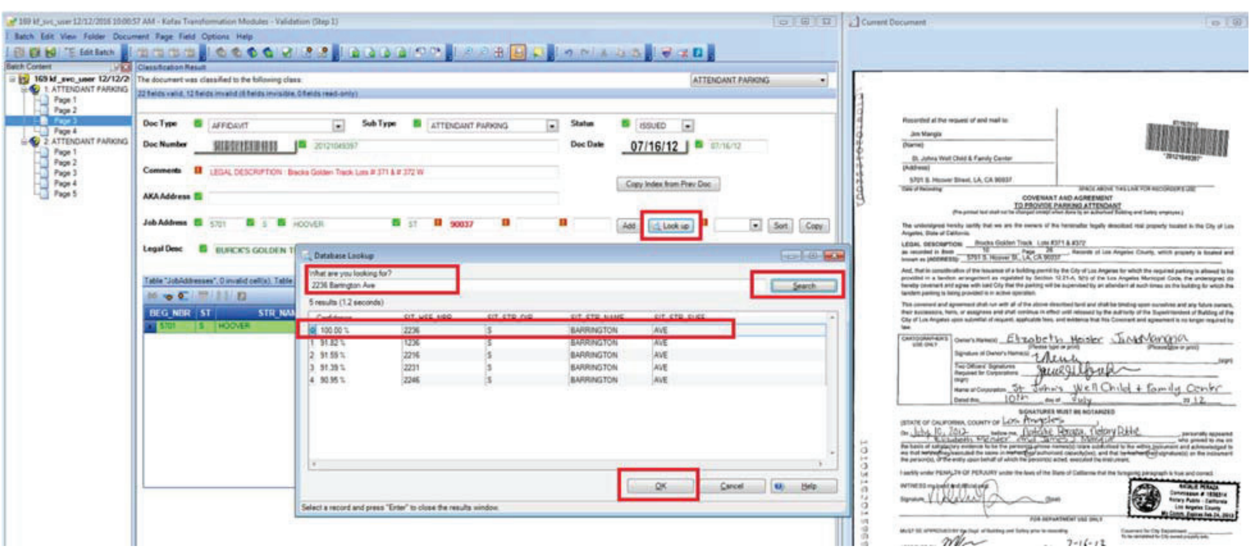
The Job Address fields are automatically extracted by the KTM server whenever possible. When users navigate to the street number, direction, street name, or suffix field value, the Document Viewer would also automatically navigate to the page and highlight the field, as shown in the following diagram (street name "Hoover" is highlighted)



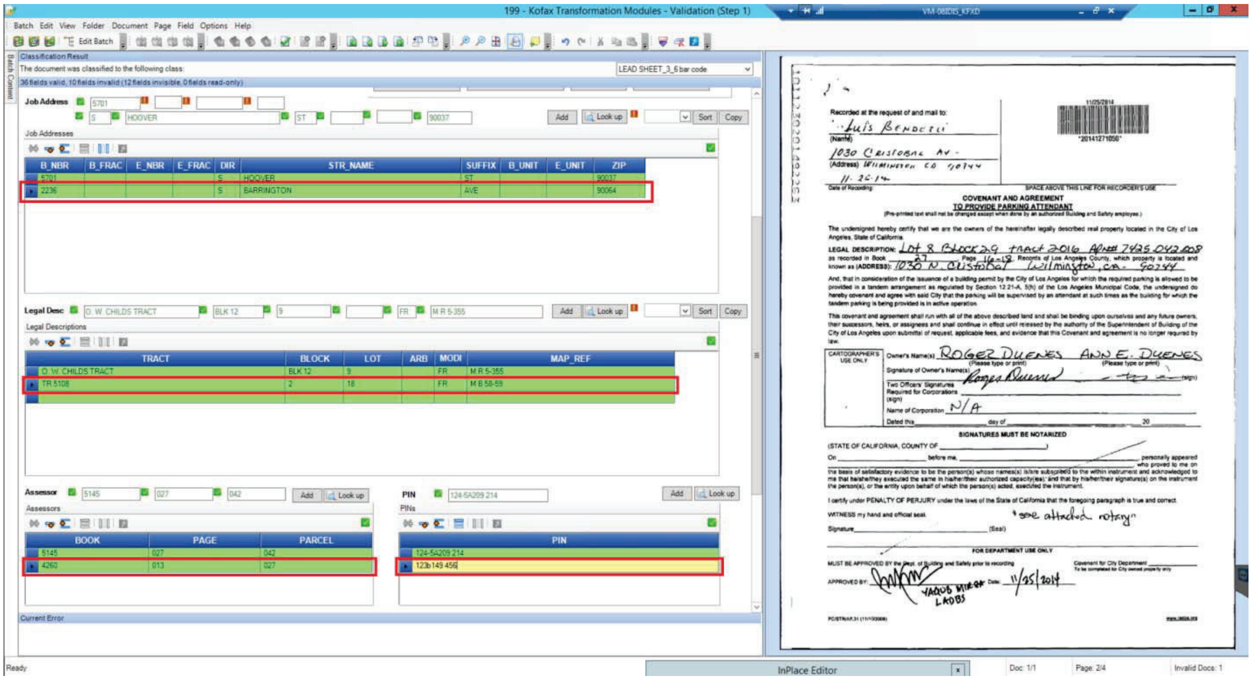
Users should click on the "Add" button on the Job Address line to add it to the "JobAddresses" table if the Job Address is correct. When the KTM server finds a matching Job Address, it also populates the corresponding "Legal Description" field, "Assessor" field, and "Pin" field (the latter two are in the "Misc." tab). Clicking on this "Add" button would also add the corresponding "Legal Description," "Assessors." and "Pin" to the "Legals" table, the "Assessors" table, and "Pins" table:



If the KTM detected Job Address is not correct, or if more than one Job Address needs to be entered, users can click on the "Look up" button on the Job Address line to bring up a "Database Lookup" window to look up additional job addresses. Users can simply enter the (partial) street address and the Database lookup will perform a fuzzy search to pull records matching user-entered addresses and rank them by confidence.



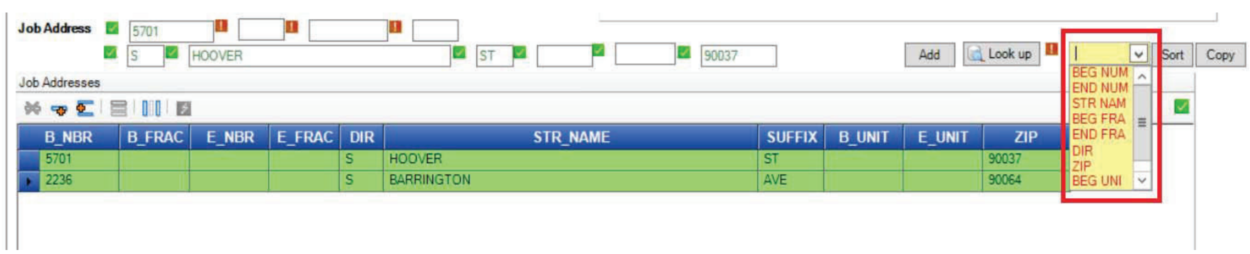
Users can select the highest-confidence option and click on the OK button to bring the selected Job Address to the "Job Address" fields. Clicking on the OK button would also bring the matching Legal Description, Assessor, and Pin and populate the corresponding fields. Users MUST click on the "Add" button on the Job Address line to populate these fields to their corresponding tables:



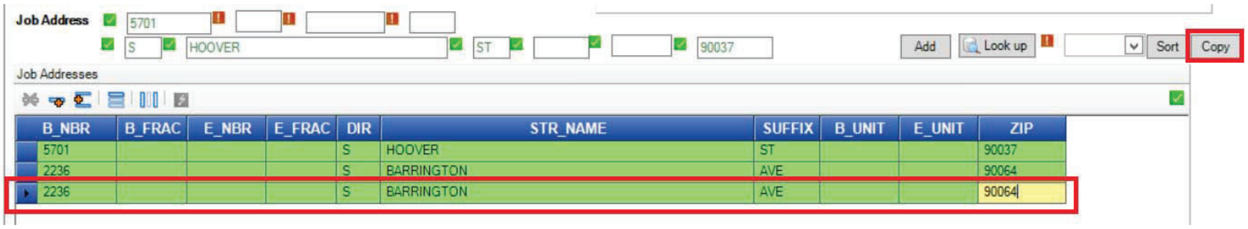
The JobAddresses table shows the indexed Job Addresses. All the column width can be adjusted by dragging the column dividers between column headers. The columns of information include:

1. Begin Number/End Number
2. Street Direction
3. Street Name
4. Street Suffix
5. Zip
6. Fraction Number
7. Number Unit

Users can sort the content of the JobAddresses table by selecting a desired column to sort and then click on the “Sort” button on the “Job Address” line:

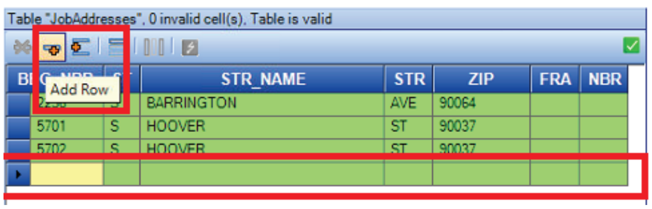


Users can also duplicate the selected row in the JobAddresses table by clicking on the “Copy” button:

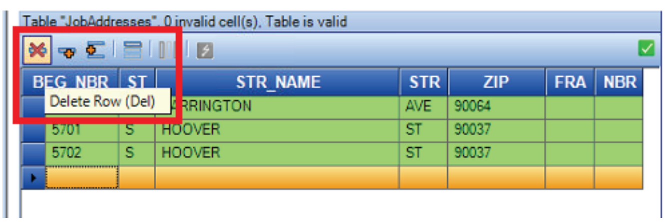


The content of the newly duplicated row (or any row) can be edited in place by selecting the cell and typing over the value.

Users can also add a new blank row by clicking on the “Add Row” button and type in the values into each cell:



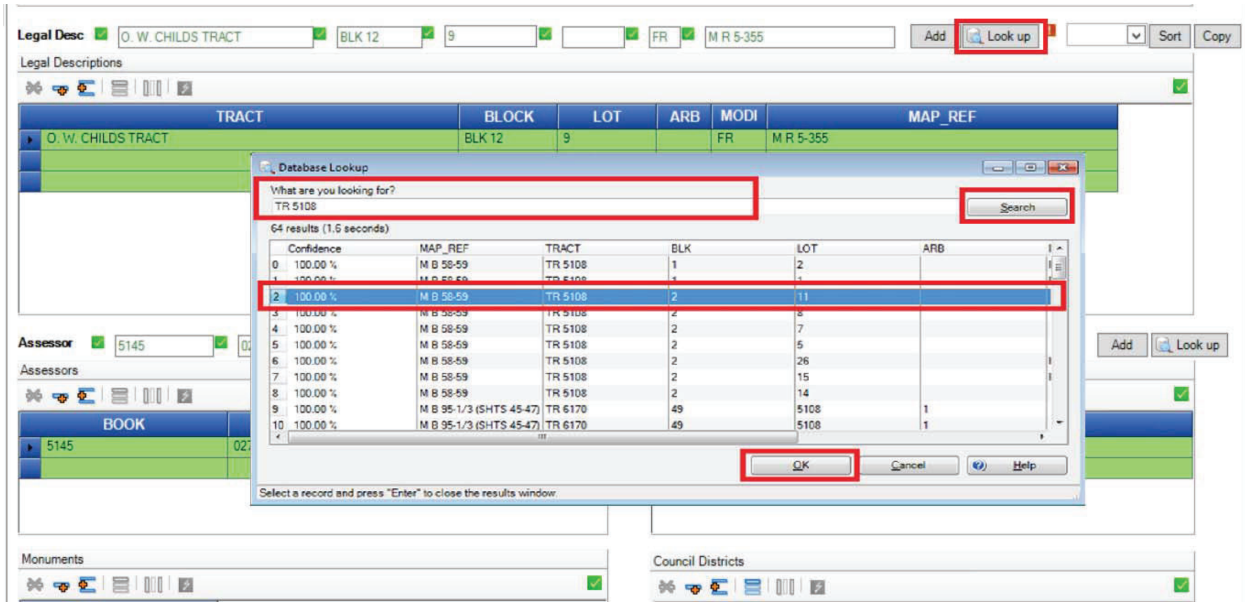
Unwanted rows can be deleted by selecting the row (click on the row header and the row is highlighted) and click on the “Delete Row” button to remove the row:



Legal Description

Just like Job Address, Legal Description has a set of index fields and its table, the “Legals” table, which holds all the Legal Descriptions of the properties on a document. A Legal Description entry is added into the “Legals” table automatically when a Job Address is added to the “JobAddresses” table. In addition, Legal Descriptions can be added by its own Lookup. Clicking on the “Look up” button on the Legal

Description line would bring up a “Database Lookup” window for looking up Legal Descriptions:

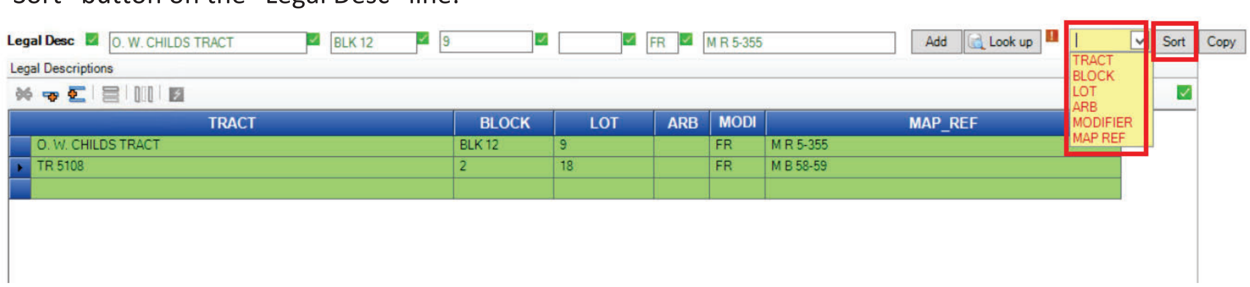


Users can simply enter the (partial) legal description and the Database lookup will perform a fuzzy search to pull records matching user-entered legal descriptions and rank them by confidence. Users can select the highest-confidence option and click on the OK button to bring the selected legal description to the “Legal Desc” field. Users MUST click on the “Add” button on the “Legal Desc” line to populate these fields to the “Legals” table.

The Legals table shows the indexed Legal Descriptions. All the column widths can be adjusted by dragging the column dividers between column headers. The columns of information include:

1. Tract
2. Block
3. Lot
4. ARB
5. Modifier
6. Map Reference

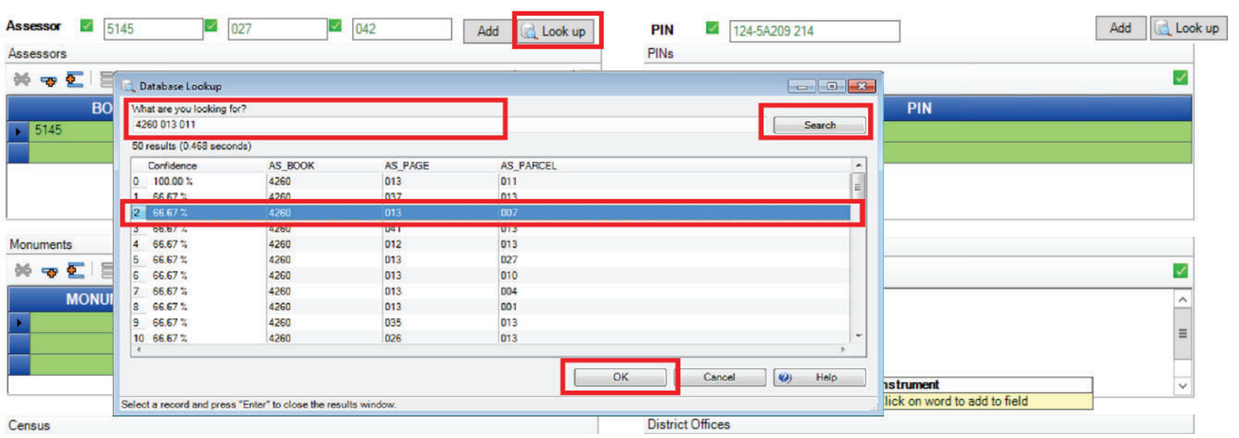
Users can sort the content of the Legals table by selecting a desired column to sort and then click on the “Sort” button on the “Legal Desc” line:



Users can also duplicate the last row, add a blank row, or remove unwanted rows, in the “Legals” table, as in the “JobAddresses” table.

Assessor

Just like Legal Description, Assessor has a set of index fields and its table, the “Assessors” table, which holds all the Assessors of the properties on a document. An Assessor entry is added into the “Assessors” table automatically when a Job Address is added to the “JobAddresses” table. In addition, Assessors can be added by its own Lookup. Clicking on the “Look up” button on the Assessor line would bring up a “Database Lookup” window for looking up Assessor:

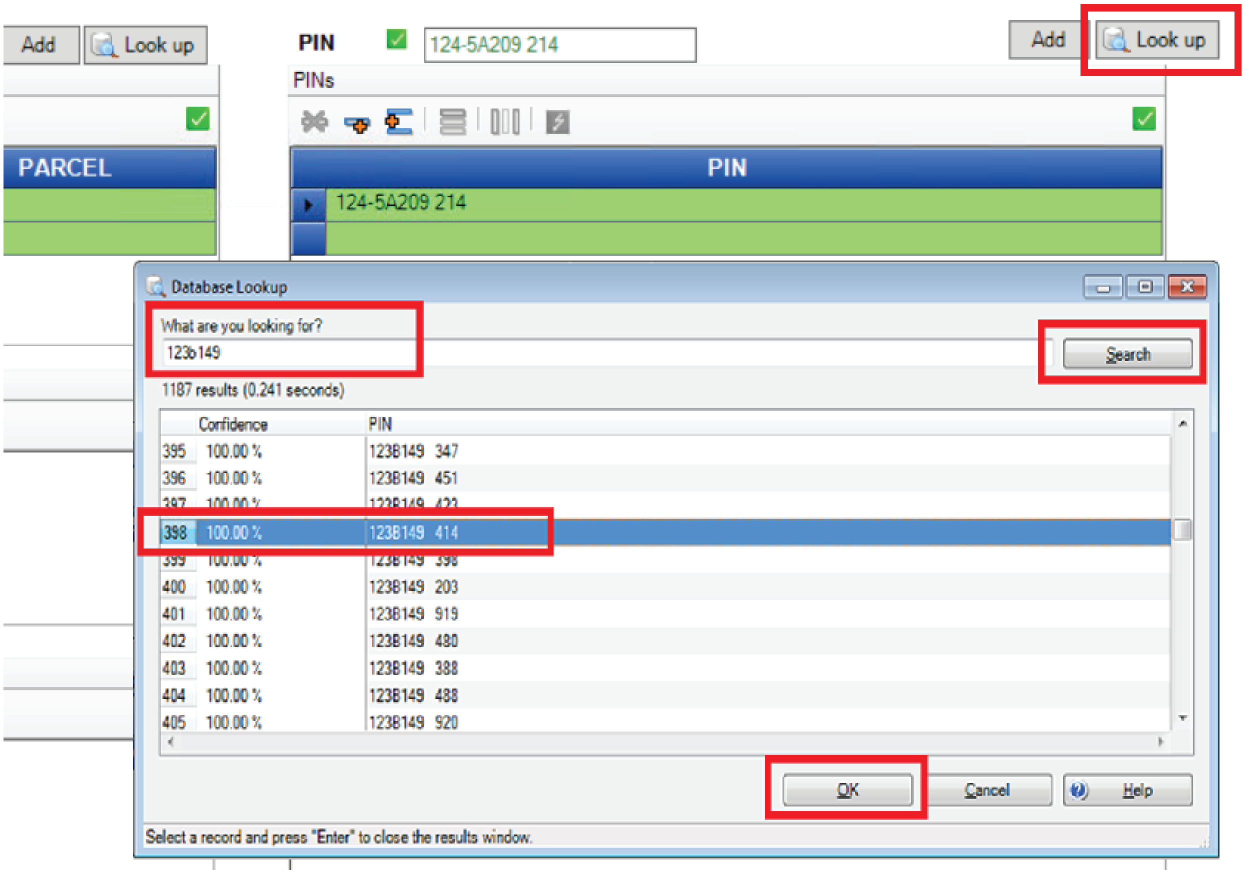


Users can simply enter the (partial) Assessor information and the Database lookup will perform a fuzzy search to pull records matching user-entered Assessor information and rank them by confidence. Users can select the highest-confidence option and click on the OK button to bring the selected Assessor to the “Assessor” field. Users MUST click on the “Add” button on the “Assessor” line to populate these fields to the “Assessors” table.

Users can also add a blank row, or remove unwanted rows, in the “Assessors” table, as in the “JobAddresses” table.

Pin

Just like Legal Description, PIN has an index field and its table, the “Pins” table, which holds all the PINs of the properties on a document. A PIN entry is added into the “Pins” table automatically when a Job Address is added to the “JobAddresses” table. In addition, PINs can be added by its own Lookup. Clicking on the “Look up” button on the PIN field line would bring up a “Database Lookup” window for looking up PIN:



Users can simply enter the (partial) PIN information and the Database lookup will perform a fuzzy search to pull records matching user-entered PIN information and rank them by confidence. Users can select the highest-confidence option and click on the OK button to bring the select PIN to the “PIN” field. Users MUST click on the “Add” button on the “PIN” line to populate these fields to the “Pins” table. Users can also add a blank row, or remove unwanted rows, in the “Pins” table, as in the “JobAddresses” table.

Permit Ref

This field allows multiple values; it is displayed as a table. Users can add a blank row, or remove unwanted rows, in the “PermitRef” table.

Restricted Comments

Restricted Comments can be entered through the “Expanded Comments” button. Clicking on the button brings up a popup window for users to enter the Restricted Comments.

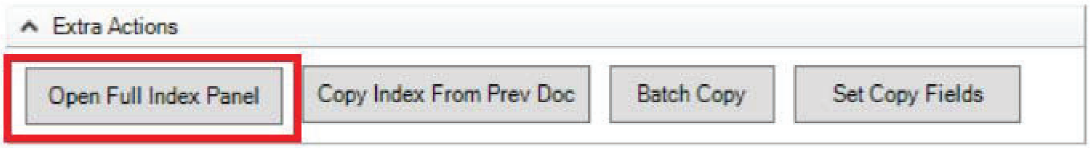
IDIS RBF

Users can enter the IDIS RBF through this index field.

Use Code

This field allows multiple values; it is displayed as a table. Users can add a blank row, or remove unwanted rows, in the "UseCode" table.

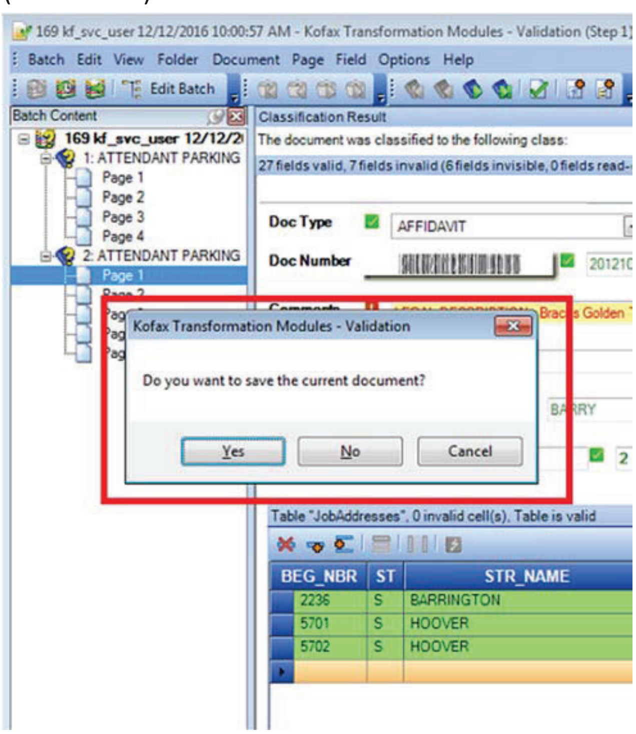
Full Index Popup Panel for Other Index Fields



The "Open Full Index Panel" button brings up a popup, multiple-tab index window similar to the other modules for full indexing of the document including retention, RBF indexing, Human Resources, Xref Documents, and all the other less frequently used index fields.

Saving Document Indexes

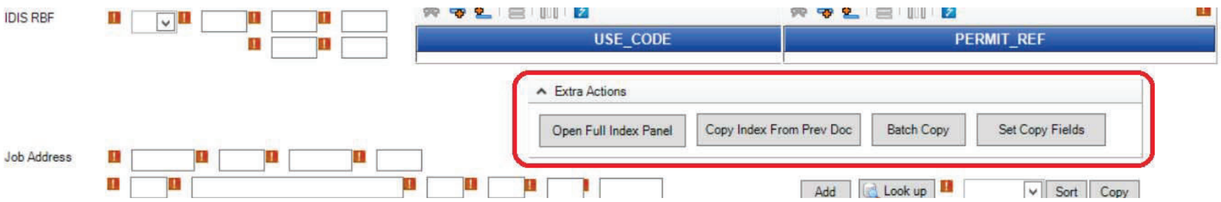
A confirmation window pops up when you navigate away from a document after making changes to its index values. The following screenshot shows the confirmation window when users navigate to the next (the second) document:

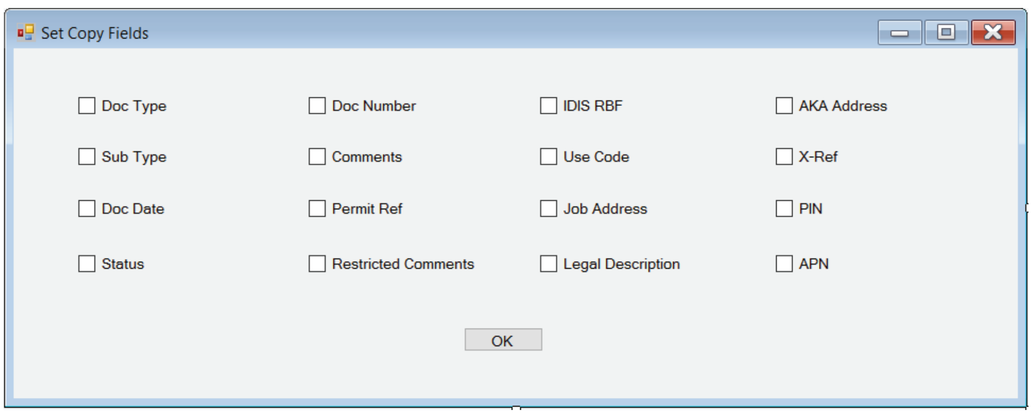


Users should click on the "Yes" button to save the modified document indexes to Kofax. Clicking on the "Cancel" button would cancel the popup window and navigate back to the previous document without saving document indexes. Clicking on the "No" button will not save the modified document index but will navigate to the next document.

Set Copy Fields

Some document indexes for documents within the same batch tend to be identical. This application provides functions to copy index fields from the previous document to the current document or to copy index fields from the current document to the rest of the documents in the same batch. The index fields to be copied can be configured by the “Set Copy Fields” button. A popup window displays the currently configured copy fields. The default is to copy Doc Type, Sub Type, Status, Doc Number, Doc Date, Comments, AKA Address, JobAddresses, Legals, Assessors, and Pins. Users can change the copy fields as desired. Once set, this configuration remains in effect until it is changed again by the user.





Copy Index from Previous Document

If the document index for the current document is very similar to the previous, already indexed, document, users can use the “Copy Index from Prev Doc” to copy the indexes:

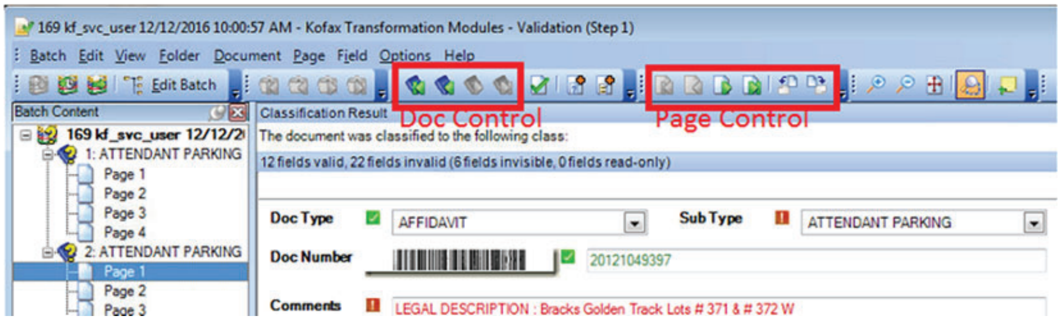
Clicking on the “Copy Index from Prev Doc” button would copy and replace all configured copy fields (see above).

Batch Copy

If the document index for the current document is very similar to the rest of the documents in the batch, users can use “Copy Batch” to copy the indexes of this document to the rest of the batch. The fields that will be copied are configured through the “Set Copy Fields” button.

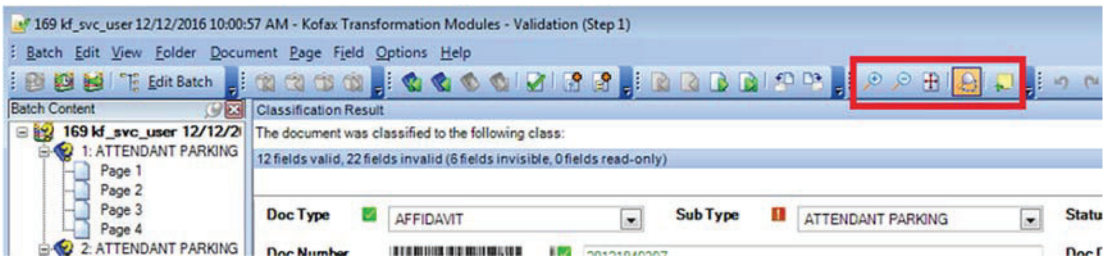
Document Navigation Control

The KTM Validation window provides document and page navigation control as well as page rotation controls:



Document Viewer Control

The KTM Validation window provides document viewer control for zooming, width/height/best-fit, and adding sticky notes:



Toolbar Buttons

The toolbar provides shortcuts to many menu items and gives you quick access to important features.

The Validation **Batch** toolbar has the following options:

Option	Name and Description
	**Open Batch** Display the list of available batches that can be opened.
	**Suspend Batch** Saves and closes the current batch so it can be processed later.
	**Close Batch** Close the current batch.
	**Edit Batch** Enables or disables Edit Batch mode, where you can modify the batch structure. This option is only available if enabled by your solution integrator.

The Validation **Folder** toolbar has the following options:

Option	Name and Description
	**First Folder** Navigate to the first folder in the batch.

Option	Name and Description
	Previous Folder Navigate to the previous folder in the batch.
	Next Folder Navigate to the next folder in the batch.
	Last Folder Navigate to the last folder in the batch.

The Validation **Document** toolbar has the following options:

Option	Name and Description
	First Document Navigate to the first document in the batch.
	Previous Document Navigate to the previous document in the batch.
	Next Document Navigate to the next document in the batch.
	Last Document Navigate to the last document in the batch.
	Confirm Document Re-validate the selected document.
	Report a Problem Display the Problem Reporting window for the selected document. This allows you to send the selected document back for optimization of classification and extraction. This is a configurable option, and may be disabled by your project administrator.
	Use for Extraction Online Learning Mark the selected document for Extraction Online Learning. The marked document can be used to improve the recognition rate for the extraction of invoice and other form fields. This is a configurable option, and may be disabled by your project administrator.

The Validation **Page** toolbar has the following options:

Caution: All recognition results and extraction field data for that page will be lost if you rotate a page.

Option	Name and Description
	First Page Navigate to the first page in the current document.

Option	Name and Description
	**Previous Page** Navigate to the previous page in the current document.
	**Next Page** Navigate to the next page in the current document.
	**Last Page** Navigate to the last page in the current document.
	**Rotate Left** Rotate the selected page 90° to the left.
	**Rotate Right** Rotate the selected page 90° to the right.

The Validation **View** toolbar has the following options:

Option	Name and Description
	**Zoom In** Increase the magnification of the current page in the Document Viewer.
	**Zoom Out** Decrease the magnification of the current page in the Document Viewer.
	**Best Fit** Adjust the magnification of the image so it fits within the Document Viewer.
	**Automatic Focus** Enable or disable automatic focus and field highlighted results on the page or document.
	**Add Sticky Note** Enable you to add a Sticky Note to the image in the Document Viewer.

The Validation **Edit** toolbar has the following options:

Option	Name and Description
	**Undo** Undo the last action in the validation form.
	**Redo** Repeat the last action in the validation form.
	**Cut** Remove the selection to be pasted elsewhere.

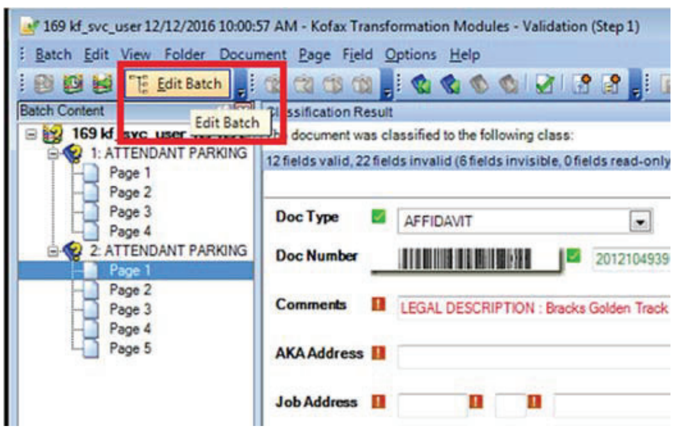
Option	Name and Description
	Copy This option duplicates the selection to be pasted elsewhere.
	Paste Place the copied or cut selection in the desired position.

The Validation **Field** toolbar has the following options:

Option	Name and Description
	Next Invalid Field Navigate to the next field in the batch that is not valid.
	Clear All Fields Remove the content from all fields on the validation form.
	Force All Fields Valid Set all invalid fields on the current document to valid. You are prompted to confirm this action.

Adding/Replacing/Removing Pages and Documents

To add pages, replace pages, or split documents in a batch in the KTM Validation window, users need to click on the “Edit Batch” button to enable batch editing:

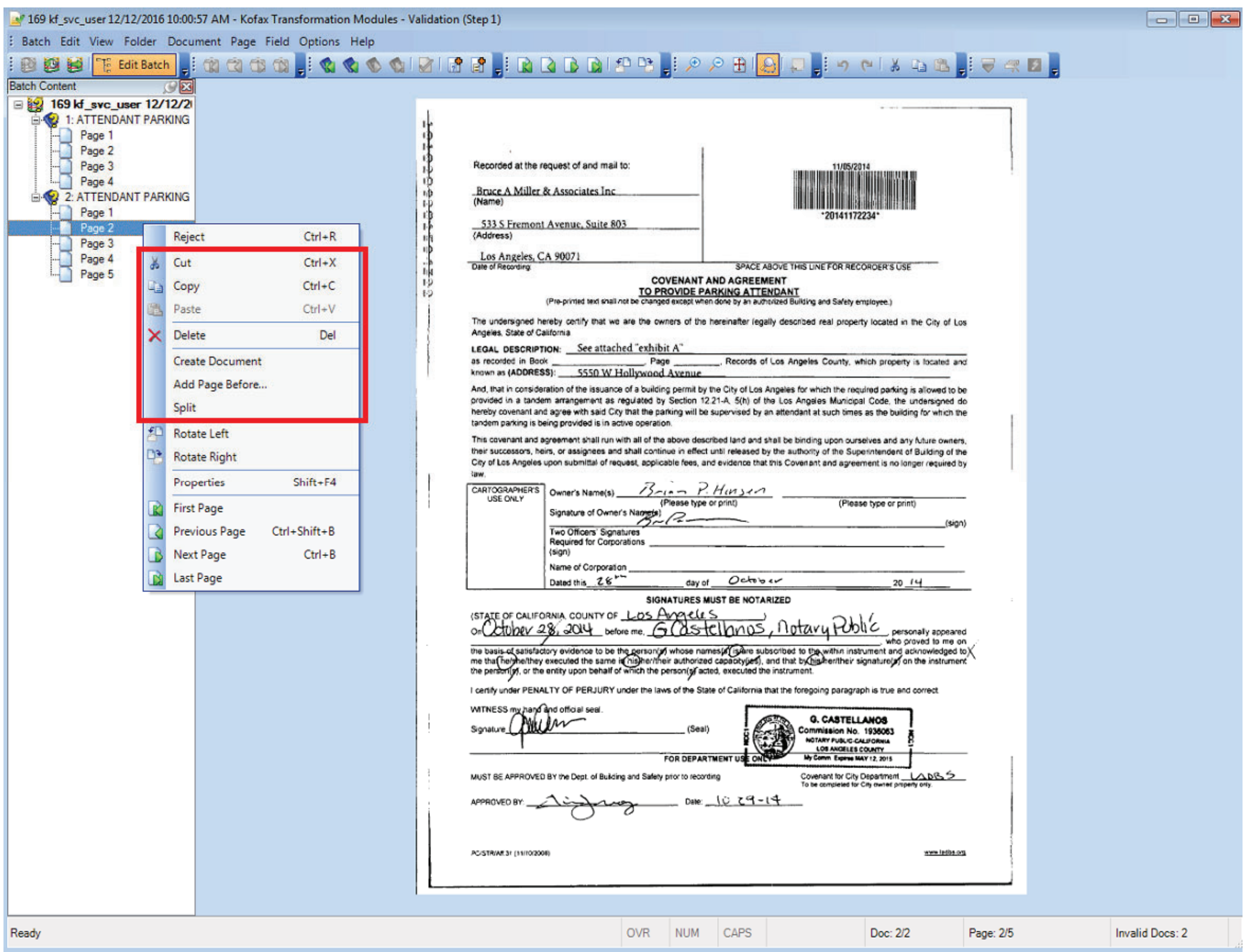


Users can use select multiple pages and use Delete or Rotate functions on multiple pages at once. In addition, in Edit Batch mode users can press the <F7> button to navigate the images automatically in the batch, thus displaying the page content on the right Image Viewer. This is for quick review of the batch content.

A different function key <F8> stops the quick viewer. In addition, users would be able to adjust the preview speed using <F9> (increasing speed) and <F10> (decreasing speed).

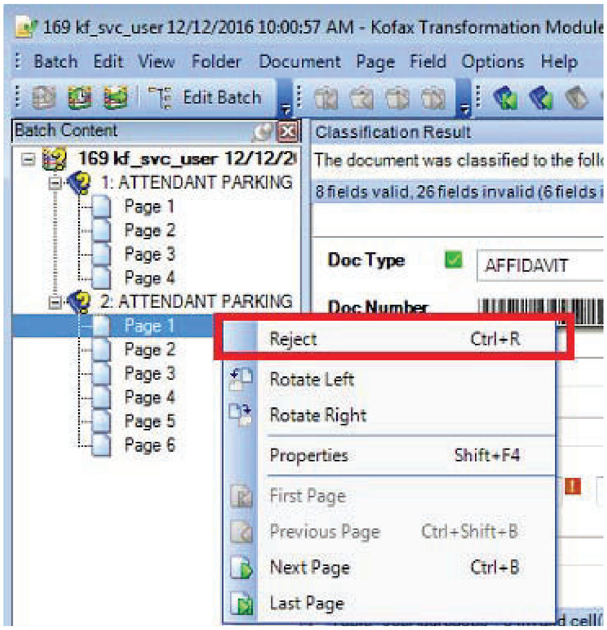
Additional popup menu actions that become available:

1. Cut – cut the currently selected page or document
2. Copy – copy the currently selected page to the clip board
3. Paste – paste the copied page
4. Delete – delete the currently selected page or document
5. Create Document – create a new document from the currently selected pages
6. Add Page Before… – add page from disk that was previously scanned (the menu action opens a file browse window for users to select an image file from disk)
7. Split – split the current document before the currently selected page

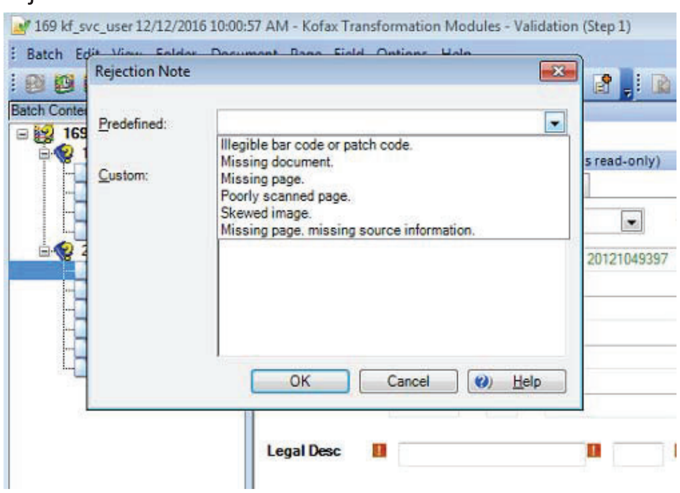


Rejecting Documents

A document, or a page within a document, can be rejected for rescan. To reject a page or a document select the page/document, right-click, and select the "Reject" menu action:



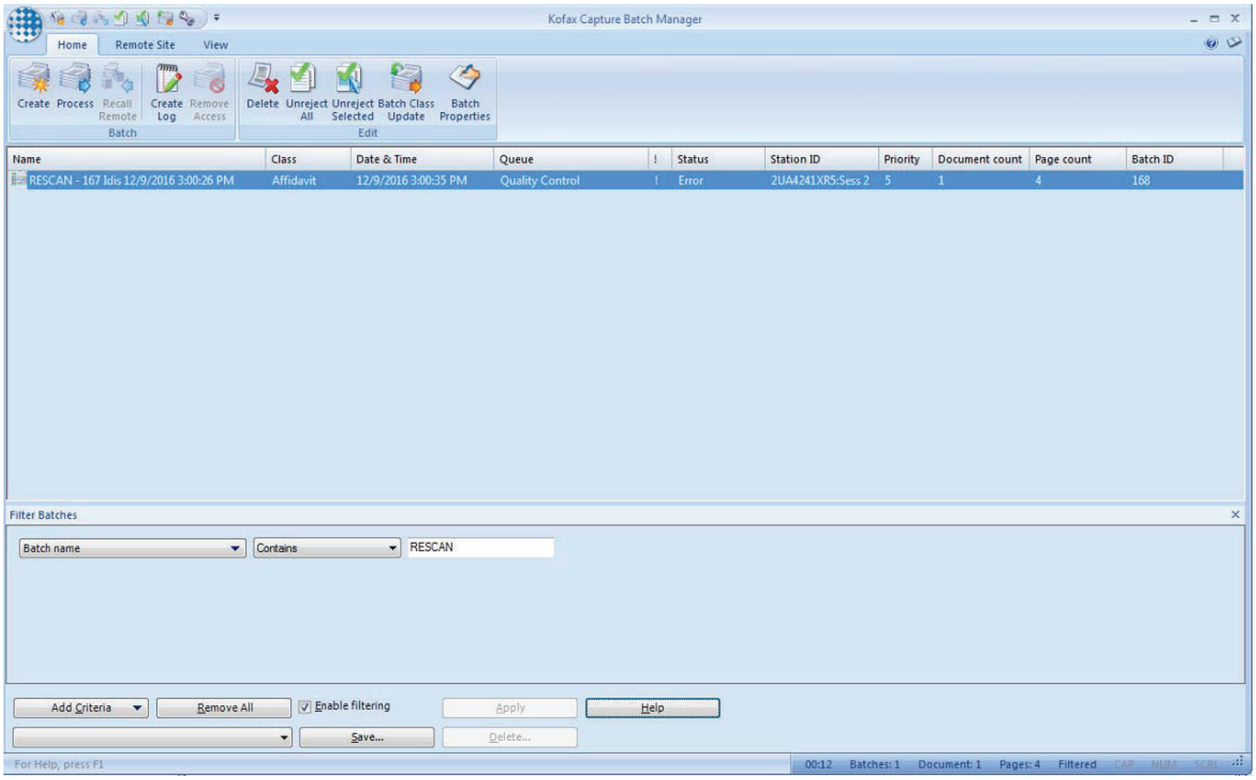
A "Rejection Note" window pops up for users to select a Predefined rejection note, or to enter a custom rejection note:



Rescan Batches

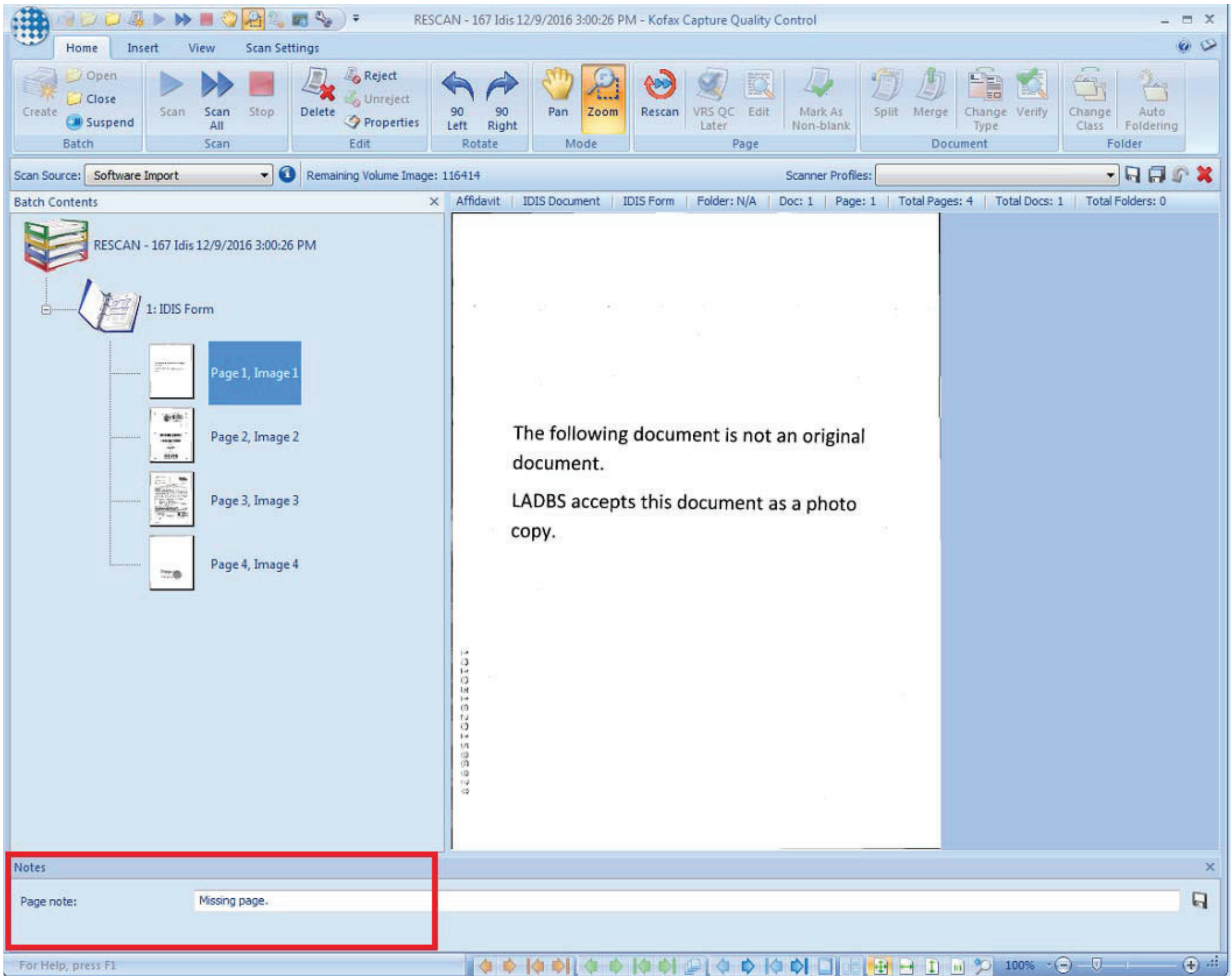
When a batch is closed, any document in the batch that is rejected, or has a page rejected, will be split into a "RESCAN" or "REJECT" sub-batch (depending whether it is rejected for poor image quality or incorrect information on the document) and the sub-batch is sent to the "Quality Control" queue. The rest of the documents remain in the original batch and the batch is sent to the KTM Validation 2 queue (i.e. the Date Entry Verification).

The batch name of the RESCAN batch is the original batch name with an added “RESCAN” prefix:



The Kofax batch name of the Reject sub-batch would have the “Reject - n” prefix pre-pended before the original Batch ID, where “n” is a unique serial number for each of the Reject documents in the batch.

The selected/entered rejection notes will be displayed when a scan operator picks up the rescan batch in Quality Control and navigates to the document/page:

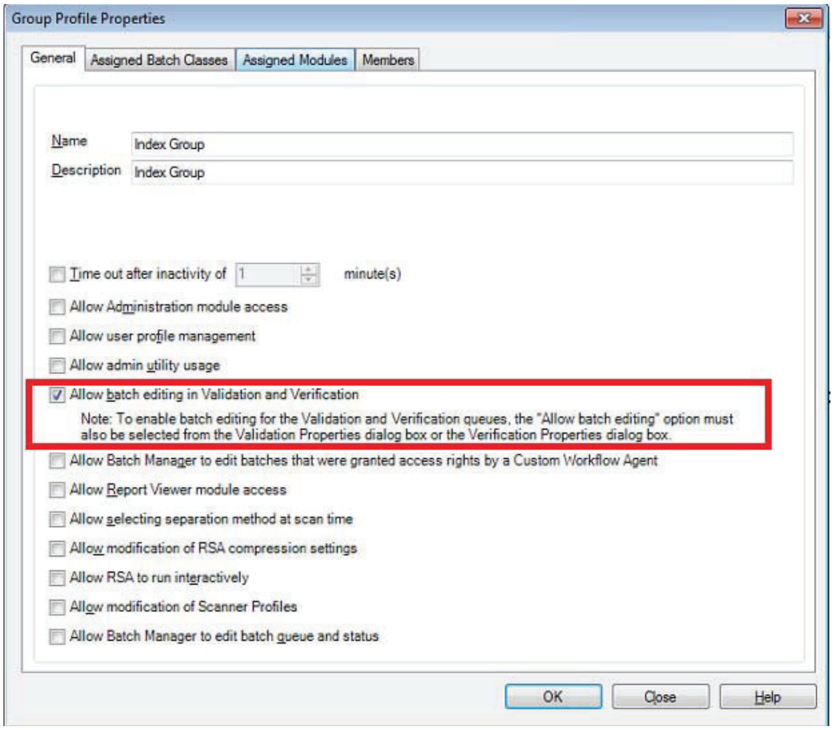


The “Quality Control” window is similar to the “Scan” window – users can delete pages, scan more pages, replace pages, move pages, etc. After users rescan and close a batch from Quality Control, the batch is sent to the KTM server to be processed again.

Rejected documents might come back at different times. Please see “IDIS Thick Client Rescan Module Solution Design” for details on how to perform rescan of the returned documents and how to search and generate reports on Rejected documents.

Controlling Batch Editing Capability

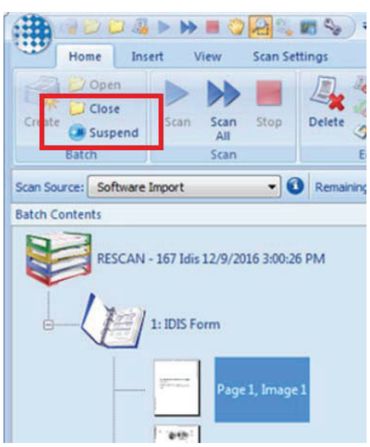
Batch Editing Capability can be granted based on group membership:



Suspending and Closing a Batch

Users can suspend a batch if he/she is not able to complete indexing of all documents in the batch. Suspended batches can be opened again later and continued with indexing of remaining documents.

Closing a batch would send the batch to the KTM Validation 2 queue, which is the Data Entry Verification.



ATTACHMENT 1C

IDIS Thick Client File Import Module Solution Design

2017/08/09

Contents

Overview

The File Import module design includes all current functions with enhancements in the area of validating data files, indexing, simplified operation, validation reporting, improved user-interface, and real-time processing.

Validating data files – The validation results directly show on the batch content panel where users can easily move invalid data files to exception queues. There is no need to pop up another validation result window to fix validation issues.

Indexing – Replace the process of directly editing the xml data files with validation forms where field level validation results are visually indicated on data fields.

Simplified operation – Batch contents are validated, invalid data files are moved to exception queues and different operation modes are provided for indexing contents in exception queues.

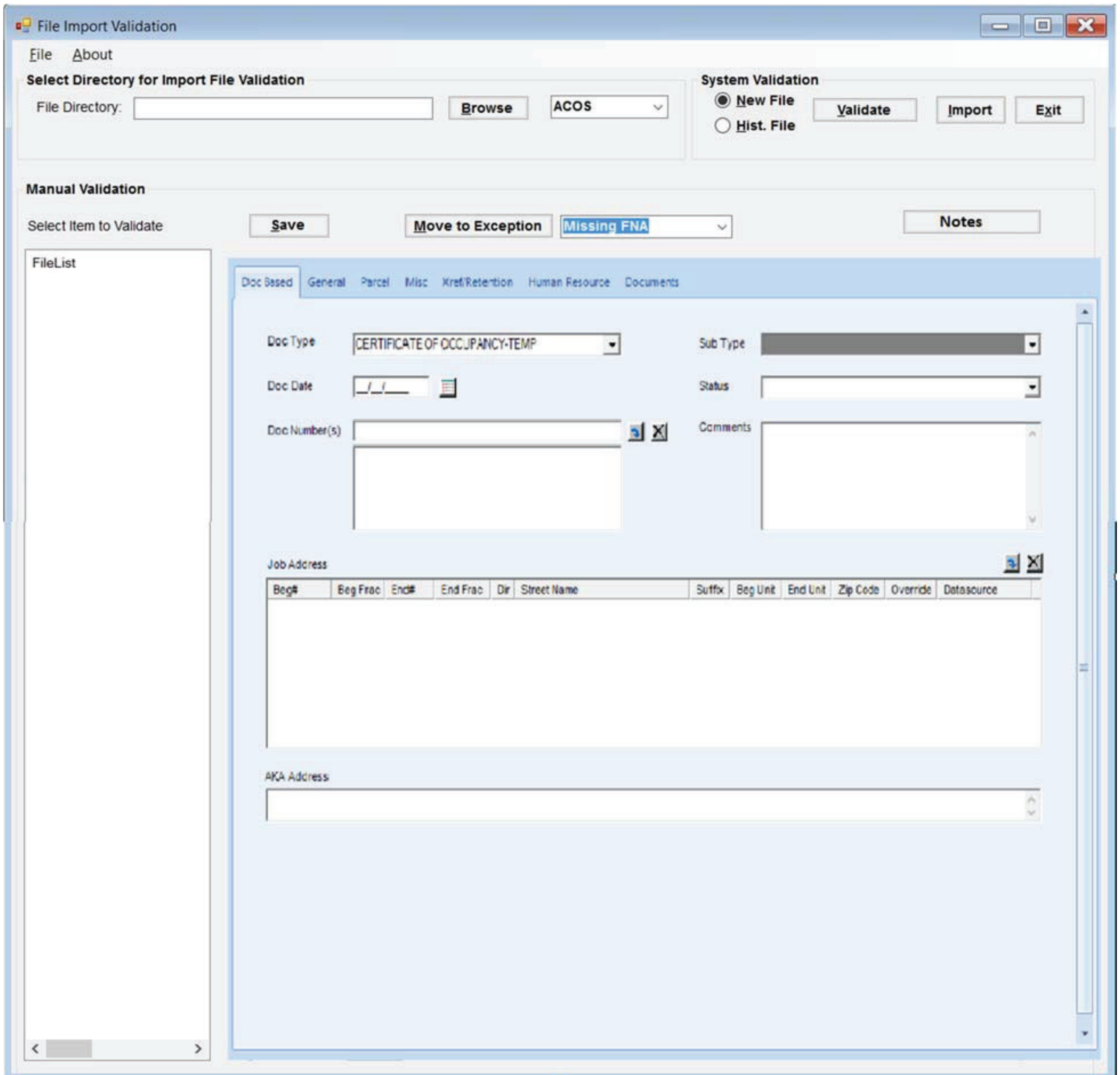
Validation reporting – Users will not need to fill out the index data correction reports – it is automatically generated. Users can also run reports on how the batches were processed and how the exceptions were corrected.

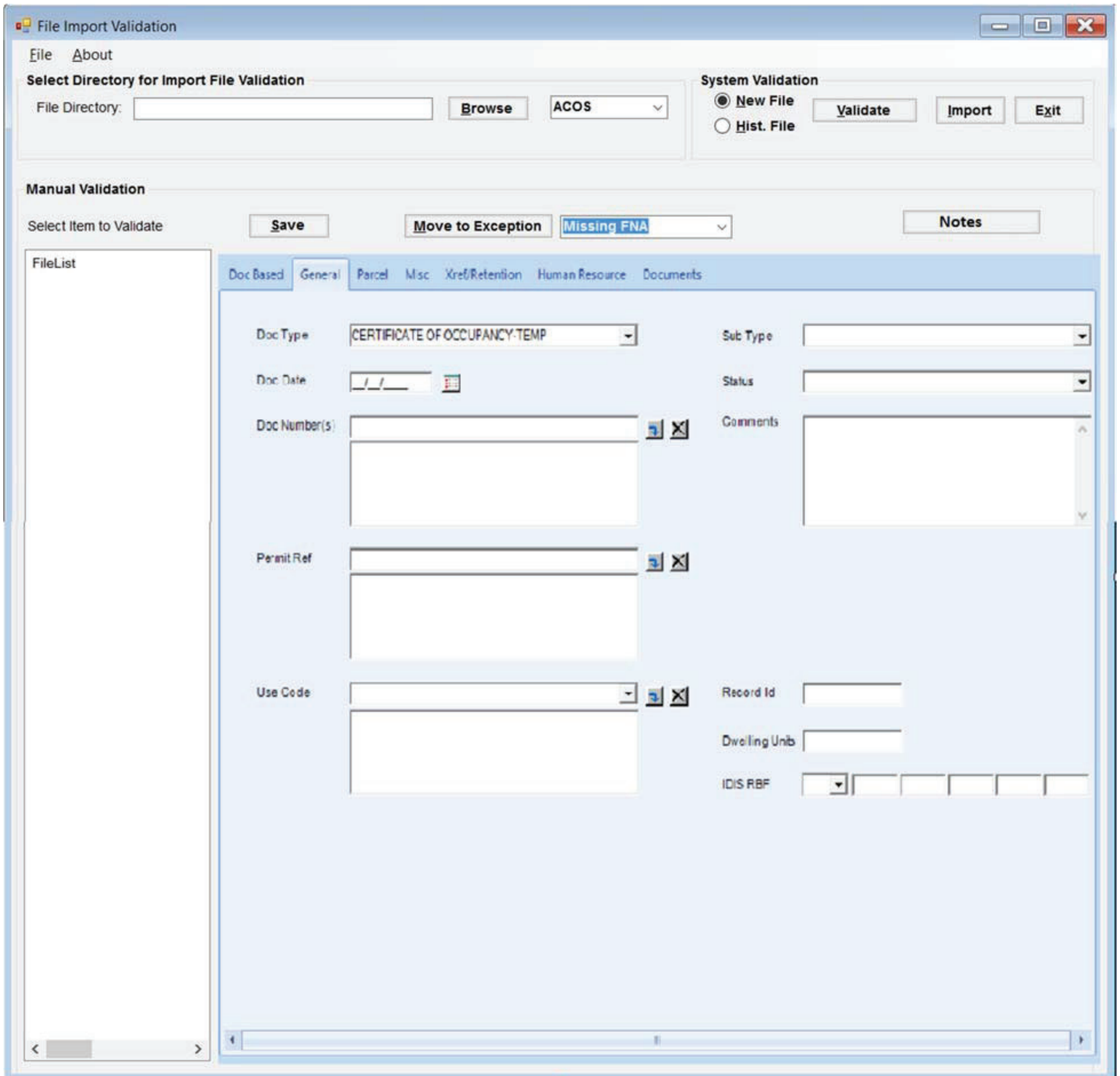
Improved user-interface – The user-interface is improved with better layout control.

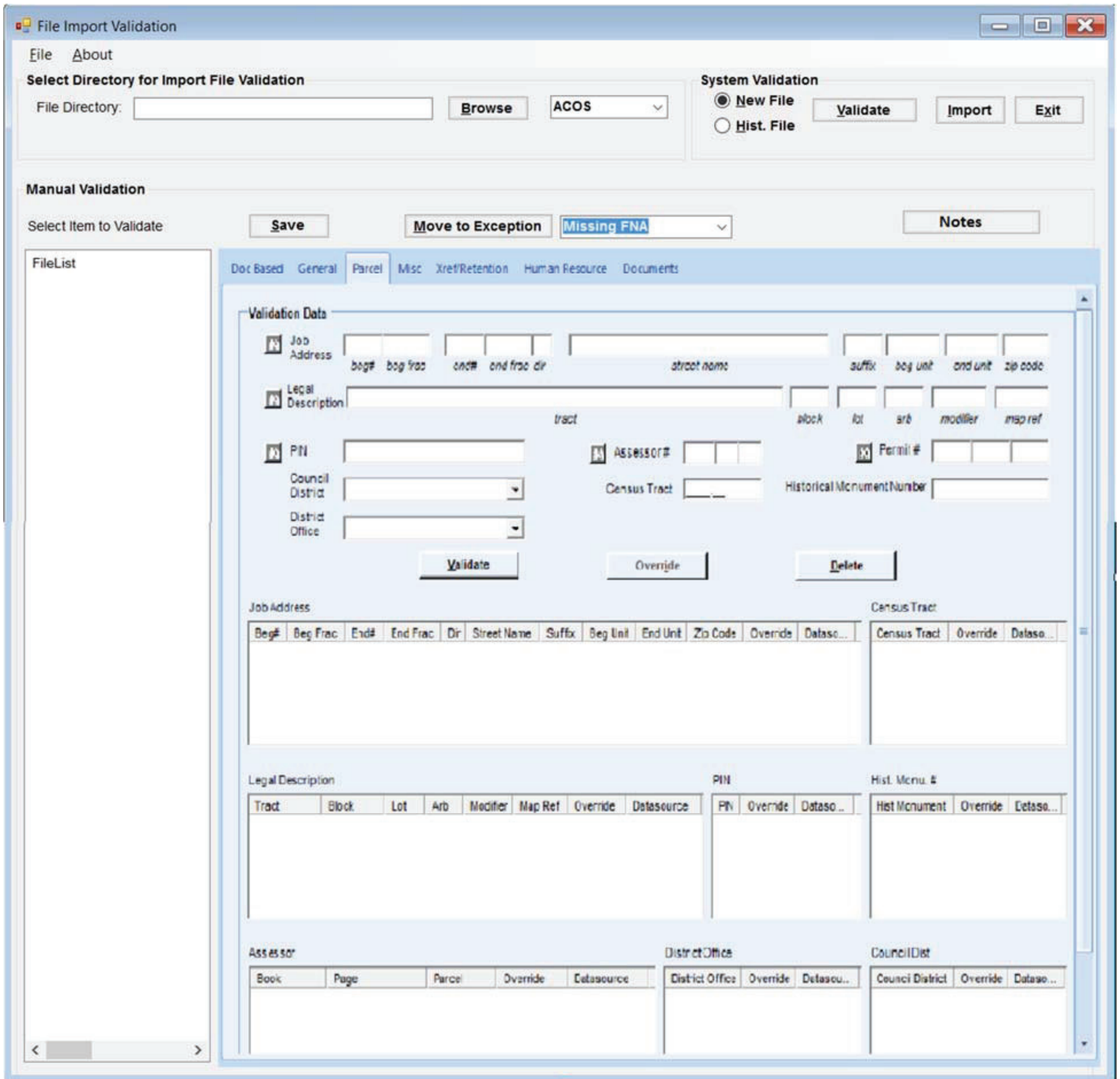
Real-time processing – The validated data is committed to FileNet P8 after users execute the import command – no need to wait for doc-processing background job to run at a later time.

Working with New Input File Sets

The first step in importing new data files is to validate the input files. This function remains the same with some enhancements. This function is performed in the "File Import Main Screen" that looks like the following (the column widths in the table are resizable):


File Import Validation
File
About
Select Directory for Import File Validation
File Directory:
Browse
ACOS
System Validation
New File
Hist. File
Validate
Import
Exit
Manual Validation
Select Item to Validate
Save
Move to Exception
Missing FNA
Notes
FileList
Doc Based
General
Parcel
Misc
Xref/Retention
Human Resource
Documents
Doc Type
CERTIFICATE OF OCCUPANCY-TEMP
Sub Type
Doc Date
Status
Doc Number(s)
Comments
Job Address
Beg#
Beg Frac
End#
End Frac
Dir
Street Name
Suffix
Beg Unit
End Unit
Zip Code
Override
Datasource
AKA Address


File Import Validation
File About
Select Directory for Import File Validation
File Directory:
Browse
ACOS
System Validation
New File
Hist. File
Validate
Import
Exit
Manual Validation
Select Item to Validate
Save
Move to Exception
Missing FNA
Notes
FileList
Doc Based
General
Parcel
Misc
Xref/Retention
Human Resource
Documents
Doc Type
CERTIFICATE OF OCCUPANCY-TEMP
Sub Type
Doc Date
Status
Doc Number(s)
Comments
Permit Ref
Use Code
Record Id
Dwelling Units
IDIS RBF


File Import Validation
File About
Select Directory for Import File Validation
File Directory:
Browse
ACOS
System Validation
New File
Hist. File
Validate
Import
Exit
Manual Validation
Select Item to Validate
Save
Move to Exception
Missing FNA
Notes
FileList
Doc Based General Parcel Misc Xref/Retention Human Resource Documents
Validation Data
Job Address
Legal Description
PIN
Assessor#
Permit #
Council District
Census Tract
Historical Monument Number
District Office
Validate
Override
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Job Address
Census Tract
Legal Description
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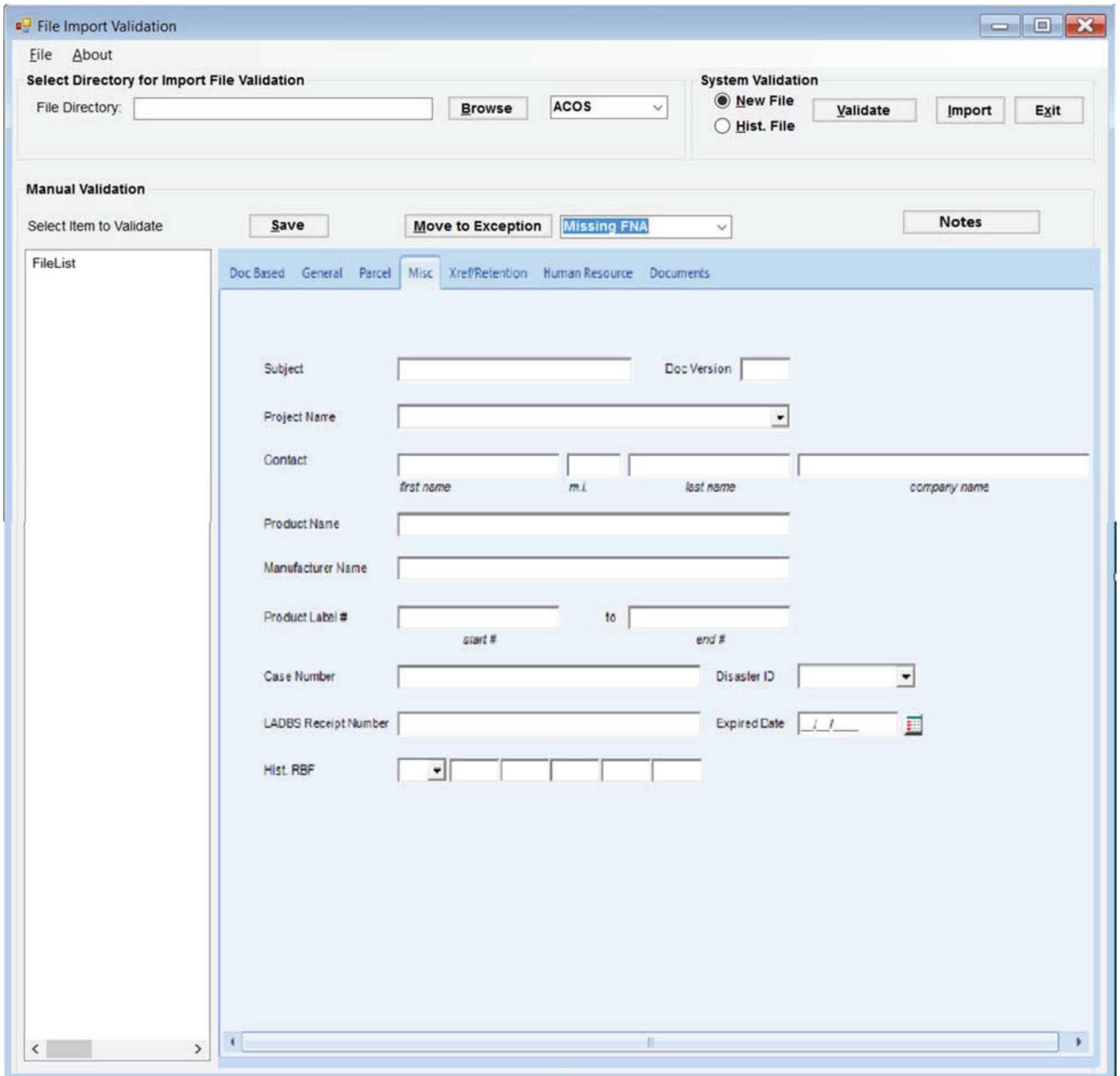
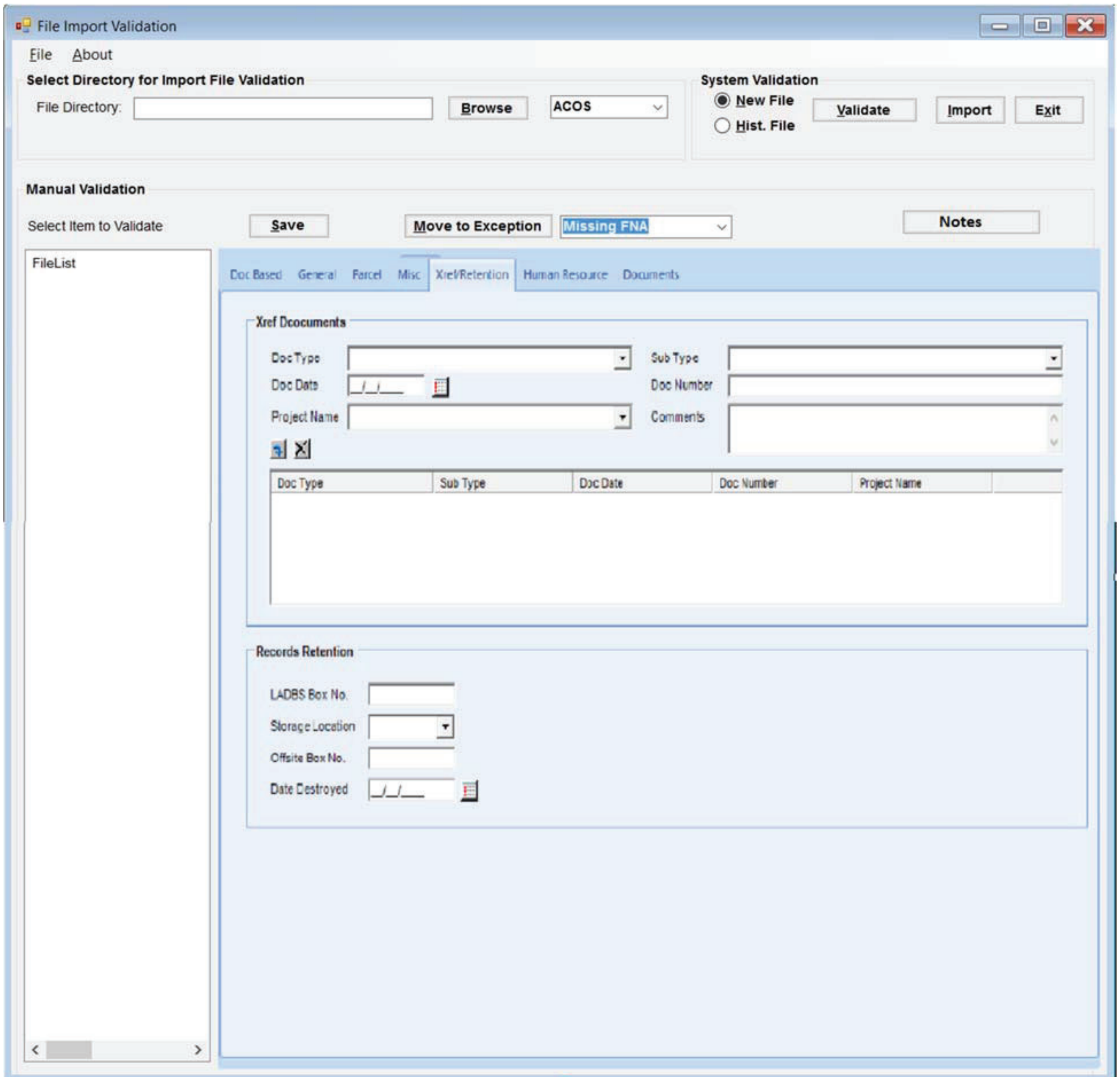
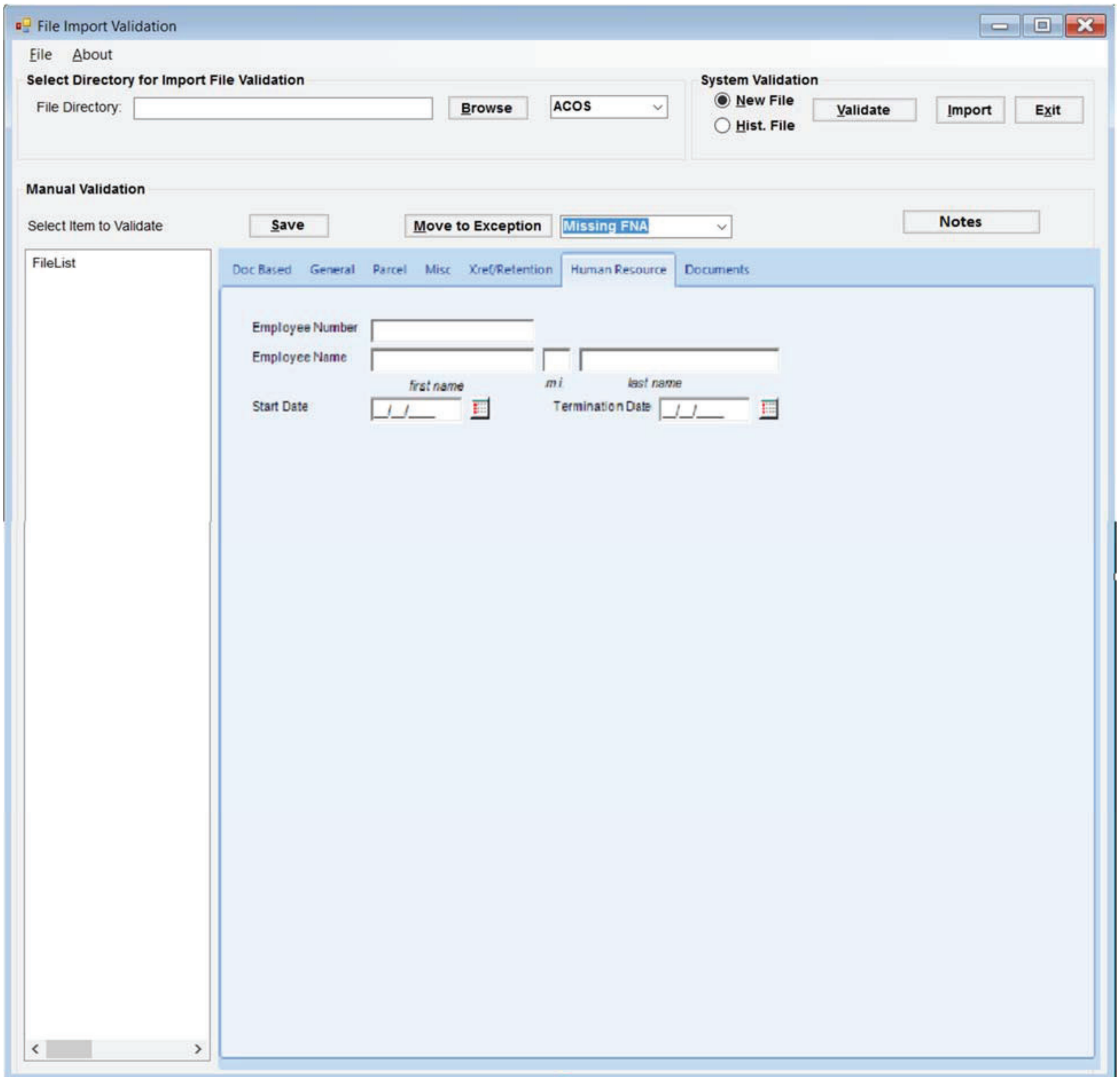
Council Dist


File Import Validation
File About
Select Directory for Import File Validation
File Directory:
Browse
ACOS
System Validation
New File
Hist. File
Validate
Import
Exit
Manual Validation
Select Item to Validate
Save
Move to Exception
Missing FNA
Notes
FileList
Doc Based General Parcel Misc Xref/Retention Human Resource Documents
Subject
Doc Version
Project Name
Contact
first name
m.i.
last name
company name
Product Name
Manufacturer Name
Product Label #
to
start #
end #
Case Number
Disaster ID
LADBS Receipt Number
Expired Date
Hist. RBF


File Import Validation
File
About
Select Directory for Import File Validation
File Directory:
Browse
ACOS
System Validation
New File
Hist. File
Validate
Import
Exit
Manual Validation
Select Item to Validate
Save
Move to Exception
Missing FNA
Notes
FileList
Doc Based
General
Parcel
Misc
Xref/Retention
Human Resource
Documents
Xref Docouments
Doc Type
Sub Type
Doc Date
Doc Number
Project Name
Comments
Doc Type
Sub Type
Doc Date
Doc Number
Project Name
Records Retention
LADBS Box No.
Storage Location
Offsite Box No.
Date Destroyed



The functions on this screen are summarized in the following sections:

Select Data File Folder

1. Click on the “Browse” button to navigate to and select a folder that contains the input file sets.

Import Type

1. Based on the file name pattern in the selected folder the application will automatically populate the “Import Type” field to be one of the following: [fna file contains the exact Import Type (IMPT-ACOS, IMPT-PERLA, IMPT-PFA, IMPT-ACS), should let application read the fna file to derive the Import Type.]
    a. ACOS/TCO (two different naming patterns)
    b. PermLA

   c. PFA
   d. ACS – Oversized
2. When the application is not able to determine the Import Type from the file name pattern it would pop up a dialog box, giving a warning.
3. Users will be able to manually select “Import Type” from the dropdown list. The application will give a warning if the selected Import Type does not match the file name pattern. Users at this time can select any of the above 4 Import Types or Misc. Import Type, which is a catch-all Import Type.
4. Import Type and the file name patterns are configured in the IDIS database. New Import Types and their file name patterns can be added through the Management module.
5. For PFA Import Type, the application is able to infer the CD# and File# from the last two-levels of the selected folder path.

Select New/Hist File

Users will select if the import is for new files or historic files (default to New Files). The historic files do not have XML data, instead the IDIS Record ID is given in the .FNA file and the images will be simply added as additional images to the IDIS record.

Validate Files

1. Clicking on the “Validate” button will validate the files in the selected folder and render the document in the “Batch Content List” left panel.
2. The “Batch Content List” has two columns: File Name and Validation Error. The list can be sorted by each column by clicking on the column header.
3. The “Validation Error” will list the validation results for the entry. Possible validation errors include:
   a. OK (no error)
   b. Missing FNA
   c. Missing XML
   d. FNA Parsing Error
   e. XML Parsing Error
   f. Missing Document Date
   g. Misc. Error
   h. Multiple Error

   Unit #: Increased from 10 to 25 chars.

4. Details of the exception will display in a tooltip box when the mouse is hovered over the entry.
5. Users will be able to select one or more entries (except those with OK validation results) with same types of errors and right-click to move them out of the batch into the Exception Queue that corresponds to the error.
6. If users can fix the errors on the input files they can also click on the Validate button to revalidate the input files.

7. All file sets need to be validated successfully (with exception entries moved to Exception Queues) in order to enable the “Import” button.
8. The file set becomes a “Job” internally when validated for the first time. To prevent two users from accidentally processing the same job, the job is locked with a login User ID internally. The application will allow users to validate a job previously locked by the same user (e.g. when missing files are copied and users click on “Validate” again) but will reject the request if the job is locked by a different user.
9. Admin will be able to unlock. There will also be a configurable timeout duration of inactivity (configured in the Maintenance module) so the lock is removed and statistics counting for the batch is also suspended.

Manual Index Validation and Correction

After the data files are validated the second step for File Import is to validate the index data in the XML file. This function is greatly enhanced and is performed in the “Manual Validation” workspace with two panels: the left “Batch Content” panel and the right “Index Form” panel.

1. Users will be able to navigate among documents in the Batch Content panel.
2. As users navigate to each document, the index data will be presented in the Index Form and the image will be display in a document viewer on the right.
3. The Index Form consists of 5 tabs. In addition to the four tabs (General, Parcel, Misc, Xref/Retention) that are common throughout other modules, a “File Import” tab is added as the default, primary tab for indexing. This tab contains most fields that are common in File Import. Most of the time users will not need to go to other tabs to perform additional indexing for file import. The panel in this tab is scrollable in order to present all fields in one tab. The fields in this tab include:
    a. Doc Type
    b. Sub Type
    c. Doc Date
    d. Status
    e. Doc Numbers (table)
    f. Comments
    g. Permit Refs (table)
    h. Use Codes (table, Use Code column value will populate Use Code Description column value)
    i. Assessor Numbers (table)
    j. IDIS RBF
    k. Job Address (table)
    l. Legal Description (table, include a button to duplicate the currently selected row for faster indexing)
    m. AKA Address

4. The Index Form will perform validation on each field to check the field length and will present the invalid fields with red-markings. All index fields must pass validation in order for the files to be saved/imported.
5. Users will have to correct and validate each field and explicitly save document indexes by clicking on the “Save” button. After a document index is saved, a visual indicator will be shown on the document in the Job Content panel document list indicating the document index has been validated and saved.
6. The application will automatically track the changes that users make on the index fields.
7. The application will also report on field length violation, and other common validation errors - this is for reporting purposes (see Index Correction Reports below).
8. Users can reject an image by selecting a Reject Reason from the exception queue drop-down list and click on the “Move to Exceptions” button. The entire file set for that entry will be moved to the corresponding Exception Queues when rejected. The rejected file set will be reported on the “Input File Status Report” as exceptions.
9. Click on the “Enter Notes” to pop up a document notes box to enter notes into a Validation Notes field that holds any notes from users regarding the entry.
10. For Permit Number field (on ACOS Import Type), the Index Form will validate against the IDIS database to find if a permit with a matching address for ACOS is present and will alert users if no match is found. The application will be reported on the missing Permit Number in the Index Correction Report.

Importing File Sets

After all documents in a Job have been successfully indexed they can be imported into IDIS. Users will be able to click on the “Import” button to select a document class and import the files.

Unlike the current application, the file sets are not imported through Capture software. They are imported directly to FileNet. As a result, there is no need to select any Capture Setting. The application should record a record into the IDIS database depending on how many records are imported successfully. A unique file import batch ID will be generated.

Successfully imported file sets will be removed from the input folder. Any entries not successfully imported will be reported in the log file as well as in pop-up window. The pop-up window will show how many are processed successfully and how many failed and that the failed ones will be automatically moved to the ‘IDIS Admin Exception Queue’ for Administrators to troubleshoot. An email will also be sent to Administrators notifying this event. Administrators can investigate the log messages and help resolve any issues before importing the failed entries by clicking on the “Import” button again.

The application will give warning when the application is closing with saved but un-imported entries.

PDF files are converted to TIFF images.

Exception Queues

The Exception Queues include the following:

a. Missing FNA
b. Missing XML
c. FNA Parsing Error
d. XML Parsing Error
e. Missing Document Date
f. Misc. Error
g. Multiple Error
h. Bad Image
i. Research Required – Doc Date
j. Research Required – Doc Number
k. Research Required – Address/Legal
l. Supervisor
m. IDIS Admin

The list of Exception Queues and their folder locations are configurable through the Work Management module. Supervisor can create new Exception Queues in the Work Management module, in Supervisory Control Panel->Configure File Import Exception Queues).

Supervisor can also copy missing or replace data files in the Exception Queue folders through Windows Explorer.

The "Supervisor" queue is for staff to send items to a supervisor when they are not able to resolve the exceptions. Staff can only move items from other Exception queues to the "Supervisor" queue – they cannot move items from within a batch to the "Supervisor" queue directly.

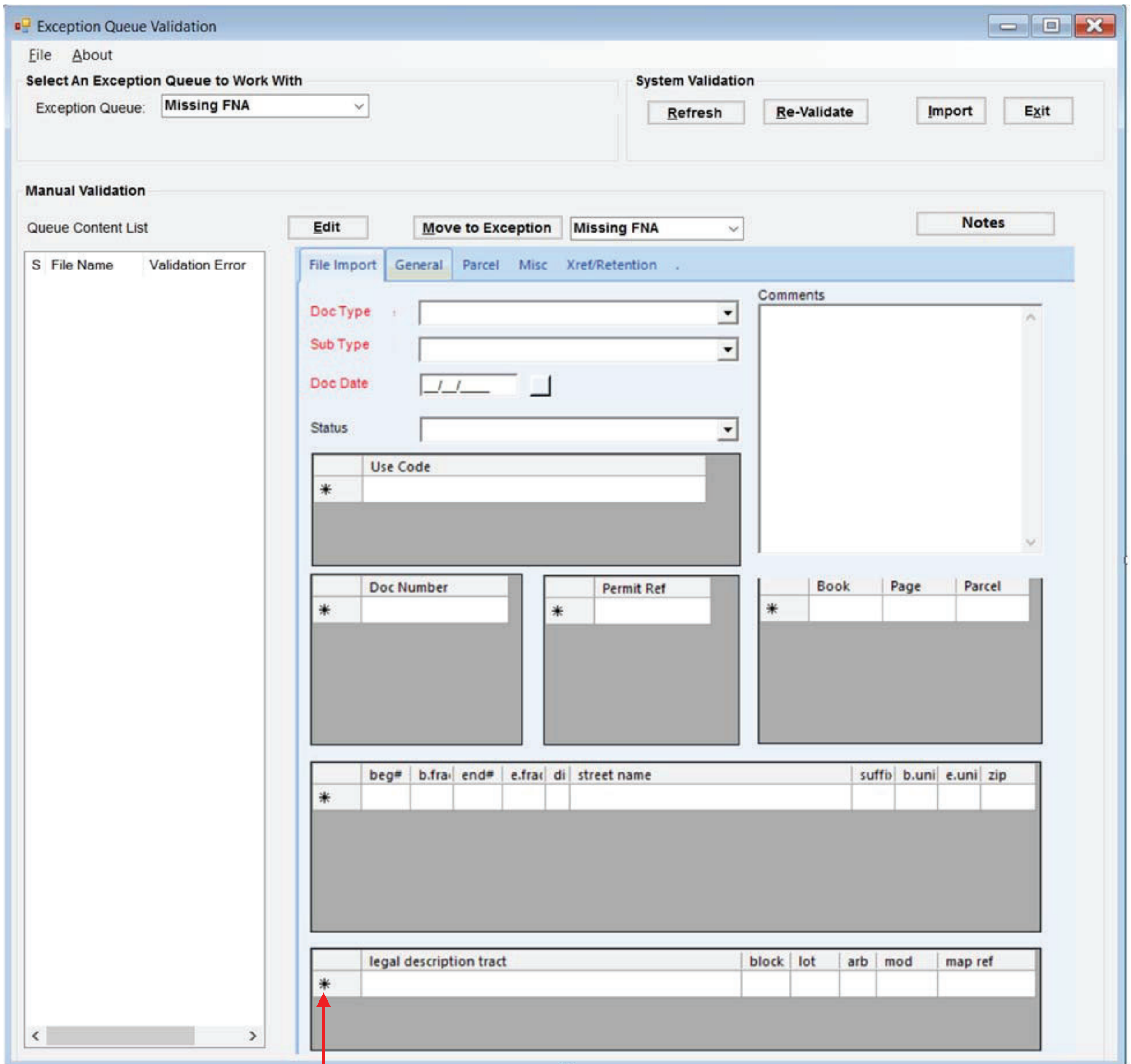
The "IDIS Admin" queue is for supervisors to send items from the "Supervisor" queue to IDIS Admin for resolution. Only supervisors can move items out of the "Supervisor" queue and only items in the "Supervisor" queue can be moved into the "IDIS Admin" queue.

Working with Exception Queues

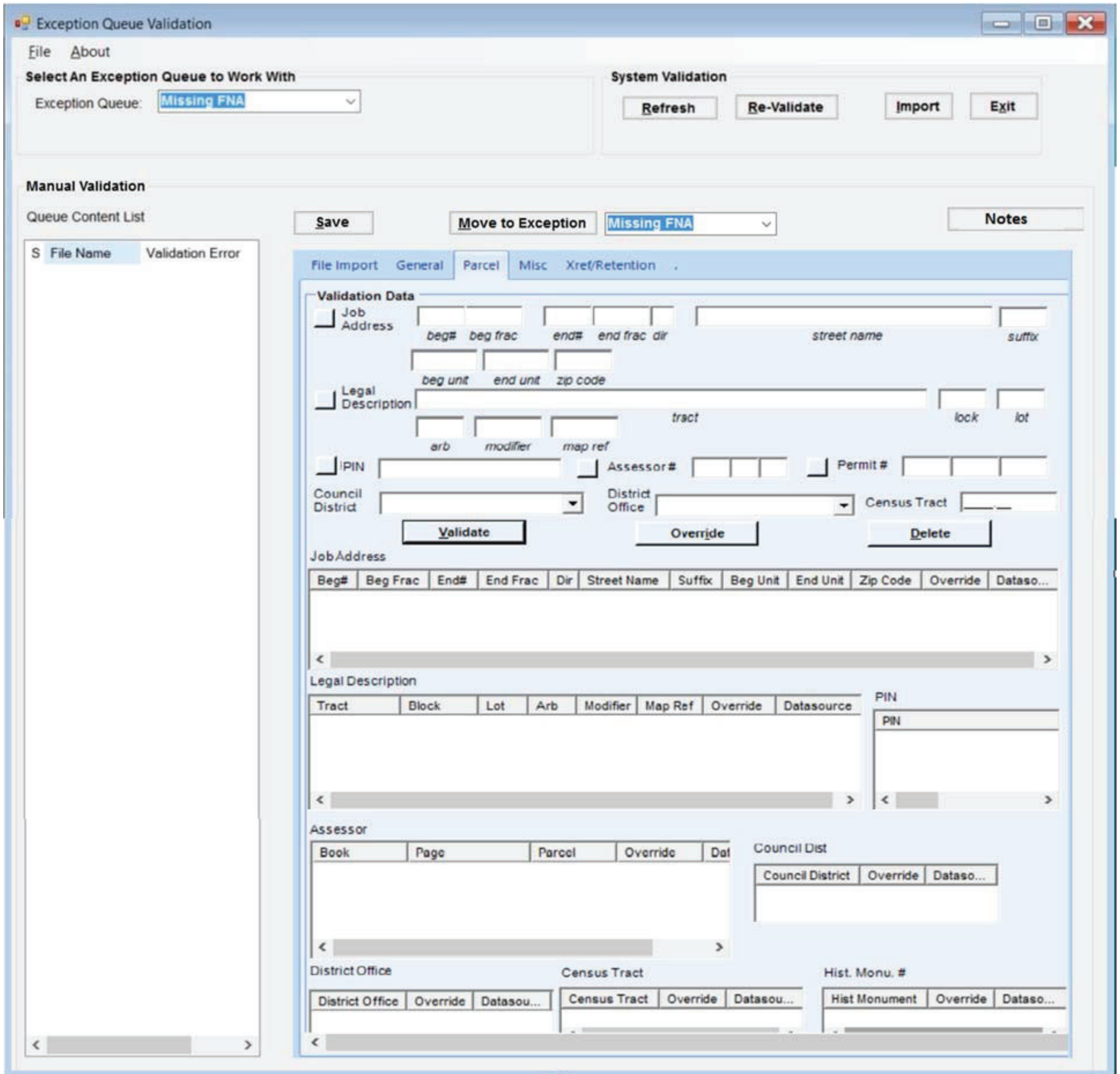
The application makes a distinction between working with new input files and exception files in the Exception Queues. Users can switch between these two modes by selecting either "Import New Files" or "Working with Exceptions."

More than one user can work on the same Exception Queue.

The screen for Working with Exceptions looks like the following:



The asterisk (*) indicates new data can be entered to the row.



The functions on this screen are summarized in the following sections:

Select Exception Queue

1. Select an Exception Queue from the "Exception Queue" dropdown list. Regular users will not see the "Supervisor" or "IDIS Admin" queues. Only IDIS Admin can see the "IDIS Admin" queue.
2. The Queue Content list panel will be populated with entries read from the Exception Queue folder.
3. The "Queue Content List" has two columns: File Name and Validation Error. The Validation Error column will populate with prior Validation Errors before the entries are moved into the Exception Queue.
4. The entries in the list should be re-validated as the missing files or incorrect files might be copied into the folder of the Exception Queue.

Moving Entries between Exception Queues

1. Users should be able to select one or more entries from the Queue Content list panel and move them to another Exception Queue. This is useful for ad-hoc queue entry allocation. In addition, the number of entries in an Exception Queue can be large and thus time-consuming to validate. Moving entries to another queue help reduce time spent on validating entries not to be worked on during a session.
2. Regular users will not see the “IDIS Admin” queue here. Only supervisors can see the “IDIS Admin” queue here as only supervisors can send items to IDIS Admin.

Delete an Entry by Supervisor

Supervisors will be able to delete an entry if it is decided that entry will not be worked on. This will add a ‘deleted entry’ count to make up the exception count and imported count to make the total equal to the original document count of the job.

Re-validate Files

1. Clicking on the “Re-validate” button will re-validate the files in the selected Exception Queue and re-populate the Validation Error column for each document in the Queue Content List left panel.
2. The “Validation Error” will list the validation result for the entry. Possible validation errors include:
    a. OK (no error)
    b. Missing FNA
    c. Missing XML
    d. FNA Parsing Error
    e. XML Parsing Error
    f. Missing Document Date
    g. Misc. Error
    h. Multiple Error
3. Details of the exception will display in a tooltip box when the mouse is hovering over the entry.
4. Users will be able to select one or more entries and right-click to move them out and into another Exception Queue. The same restriction on the “Supervisor” and “IDIS Admin” queues apply here.
5. Re-validation results are saved into the database. If another user is also working on the same queue he/she will see the re-validation result when they click on the “Refresh” button to refresh the Queue Content List.

Manual Index Validation and Correction

Any entry that is valid (OK on the Validation Error column) can be indexed in the Index Form and the index values can be saved. This function is performed in the “Manual Validation” workspace.

1. More than one user could be working on the same queue.

2. Users will be able to navigate among documents in the Queue Content panel.
3. Users can navigate to each document. The index data will be presented in the Index Form and the image will be display in a document viewer on the right.
4. Users must click on the "Edit" button to lock an entry for editing. When an entry is locked the button becomes the "Save" button. If an entry is already locked by another user the application will display a warning and refresh the entry's locked state.
5. Users can click on the Refresh button to refresh the Queue Content panel to bring in the latest re-validation results and locking states for entries.
6. The Index Form will perform validation on each field to check the field length and will present the invalid fields with red-markings. All index fields must pass validation in order for the files to be imported.
7. Users will have to correct and validate each field and explicitly save document indexes by clicking on the "Save" button. After a document index is saved, a visual indicator will be shown on the document in the Queue Content panel document list indicating the document index has been validated and saved. Users can still continue editing index values after they have been saved, as long as it is from the same user or supervisor.
8. Users can also click on the "Save for later" button to exclude an already edited and saved entry from being imported. The application has a supervisor control flag (settable through the Maintenance module) to determine if the application will lock the entry and record the person who locked this entry when the control flag is on; or not lock the entry but simply mark it for not ready for import. When an entry is locked the application allows only the locked user to continue editing that entry later. "Save for later" gives a different visual indicator and it shall show the person who locked it in the tooltip when the mouse is hovered over.
9. Administrator/supervisor will have the capability to unlock any entry to make it available for other staff to continue working on the entry.
10. The application will automatically track the changes that users make on the index fields.
11. The application will also report on field length violation, and other common validation errors - this is for reporting purpose (see Index Correction Reports below).
12. Users should be able to enter comments into a Validation Notes field that holds any notes from users regarding the entry.

Importing File Sets

Documents in an Exception Queue that have been successfully indexed and saved can be imported into IDIS. Users will be able to click on the "Import" button to select a document class and import the saved entries (only entries saved by this user). Successfully imported entries will be removed from the Queue Content panel. Entries that have not been saved or saved for later are simply skipped in import – they can be continued to be worked on as they remain in the Exception Queue.

The application will give warning when the application is closing with saved but un-imported entries.

Alerting Aging Exception Items

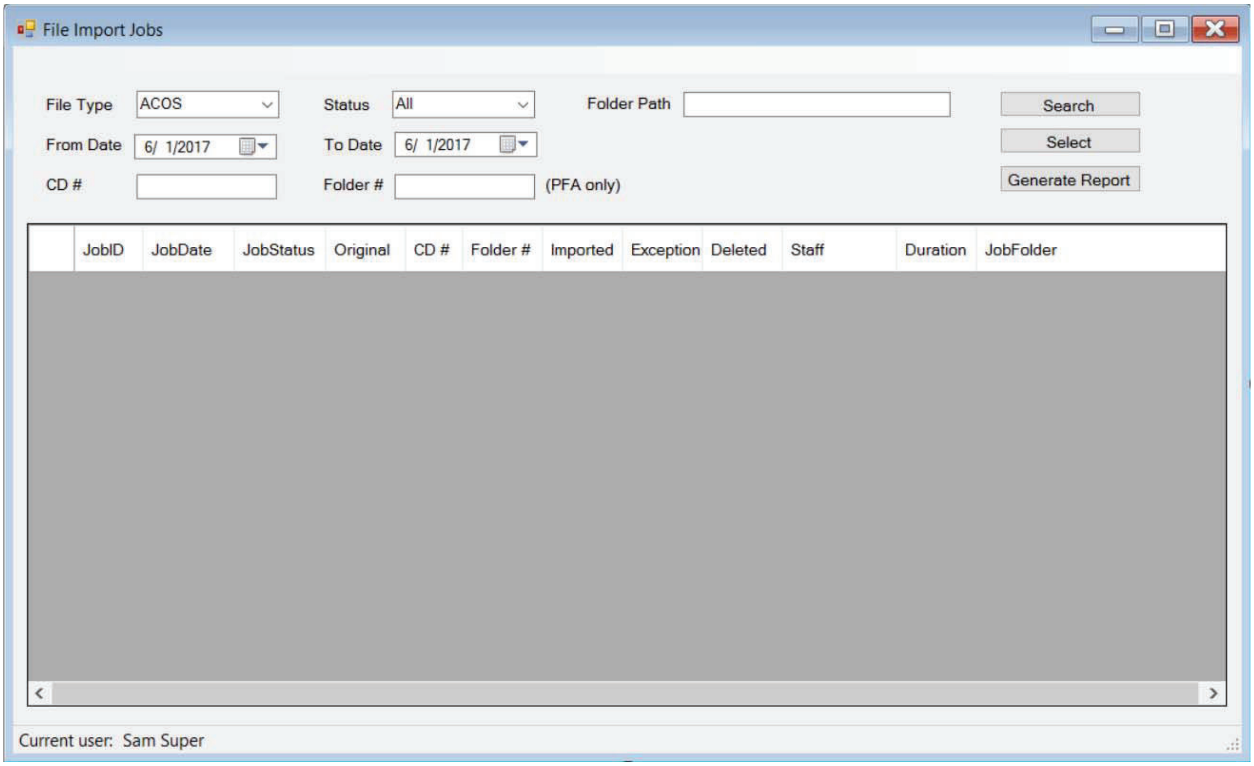
The application should alert supervisors through email (configured in Maintenance module) if there are items in the Exception Queue which have not been processed for over a number of days (e.g. 40 days, which is configured in the Work Management Module, in Supervisory Control Panel->Configure Exception Aging Duration").

File Import Job Status Report

The File Import Main Screen has a button to perform this new function that reports on the status of each import job. A job has one of three processing statuses:

1. Complete: All documents have been imported, including those which previously had exceptions or were rejected. The application tracks documents moved to exception queues by their original Job ID so that when these documents get imported eventually the job's status will become Complete. Until then the status will remain 'Has Exception.'
2. Incomplete: Newly validated job that has not been imported yet.
3. Has Exception: Validated and imported jobs with entries in Exception Queues or with import-error.

Users can generate this report by date range, file type, status (All, Complete, Incomplete, Has Exception), CD#, and Folder# for PFA import type. Each Job imported within the date range data will be reported with its original document counts, number of documents in exception, number of documents deleted, number of documents imported into FileNet, the staff who performed the import, and the duration spent on the job. This report helps admin/supervisors to find the status of each job, copy missing files, and enable users to complete file import on the exception file sets.



File Import reports

The "Generate Report" button in the above screen performs a new function of generating reports filtered by import date range of statistics and details on file imports.

The File Import reports contain the following reports:

1. DISC Reports: Disc level (select by "Import Type", e.g. PFA or ACS-Oversized, and "CD Name") and Folder level reports (PFA only, select additionally by "Folder Name").
2. ACOS Reports: Select by month and show monthly calendar view.
3. TCO Reports: Select by month and show monthly calendar view.
4. PERM LA Reports: Select by month and show monthly calendar view.

DISC Report for PFA

This report is an overview of the Folder report. Supervisors can enter a CD name to run this report. This report has the following format:

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT
File Import Index Correction Report

PRINT DISC REPORT

CD OVERVIEW AS OF 07/05/2017

DISC COMPLETED? **NO**

CD NAME: P6493

FOLDERS FOUND: 24 FOLDERS COMPLETED: 19

FILE TYPE: PFA DOC TYPE: BUILDING PERMITS SUBTYPE: VARIOUS

FOLDER #:	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
FILES FOUND:	82	81	81	81	81	81	81	81	81	81	81	81	81	81	81
FILES IMPORTED:	82	81	80	81	81	75	81	81	72	80	81	81	80	81	81
FILES DELETED:	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
EXCEPTIONS:	0	0	0	0	0	6	0	0	9	1	0	0	1	0	0
COMPLETED:	YES	YES	YES	YES	YES	NO	YES	YES	NO	NO	YES	YES	NO	YES	YES

FOLDER #:	16	17	18	19	20	21	22	23	24
FILES FOUND:	82	81	81	81	81	81	81	81	81
FILES IMPORTED:	82	81	80	79	81	81	81	81	81
FILES DELETED:	0	0	1	0	0	0	0	0	0
EXCEPTIONS:	0	0	0	2	0	0	0	0	9
COMPLETED:	YES	YES	YES	NO	YES	YES	YES	YES	YES

DISC Report for Oversized-ACS

This report is a disc-level Oversized documents report. Since Oversized-ACS discs do not have folders, but only files, this report actually is almost identical to the File Import Folder report. Please refer to the section on viewing File Import completion detail for details of the File Import Folder report.

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT

File Import Index Correction Report

DISC IMPORT PROGESS AS OF 7/1/2017

FILE TYPE:	Oversize	DOC TYPE:		SUBTYPE:	VARIOUS
FILES FOUND:	81	FILES DELETED:	0	FILES IMPORTED:	81

CD NAME: P6493

PENDING: 0

COMPLETED: 6/8/2017

EMPLOYEE ID:							654321 / CHAUNTEL MARTIN				DATE:				6/8/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	1950	R-N	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B29675			1	/	1

EMPLOYEE ID:							123456 / ANDREW PEERS				DATE:				6/6/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	1902	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	1925	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	D-D	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B28964			1	/	2

EMPLOYEE ID:							307805 / JOSHUA MIRANDA				DATE:				6/5/2017			
1881	1882	1883	1884	1885	1886	1887	1888	1889	1890	1891	1892	1893	1894	1895	1896	1897	1898	1899
1900	1901	PUC	1903	1904	1905	1906	1907	1908	1909	1910	1911	1912	1913	1914	1915	1916	1917	1918
1919	1920	1921	1922	1923	1924	D-T	1926	1927	1928	1929	1930	1931	1932	1933	1934	1935	1936	1937
1938	1939	1940	1941	1942	1943	1944	1945	1946	1947	1948	1949	EX	EX	1992	1993	1994	1995	1996
1997	1998	1999	2000	2001														
											BATCH NAME:		B27143			79	/	81

LEGEND

DOCY TYPE	D-T	STATUS	STAT	ADDRESS	ADD	COMMENTS	CMM	REF NUMBER	R-N	PRIMARY USE CODE	PUC
SUB TYPE	S-T	DOC DATE	D-D	LEGAL	LG	DOC NUMBER	D-N	EXCEPTIONS	EX		

CITY OF LOS ANGELES DEPARTMENT OF BUILDING AND SAFETY - RISK AND RECORDS MANAGEMENT
File Import Index Correction Report

PAGE 24 of 50

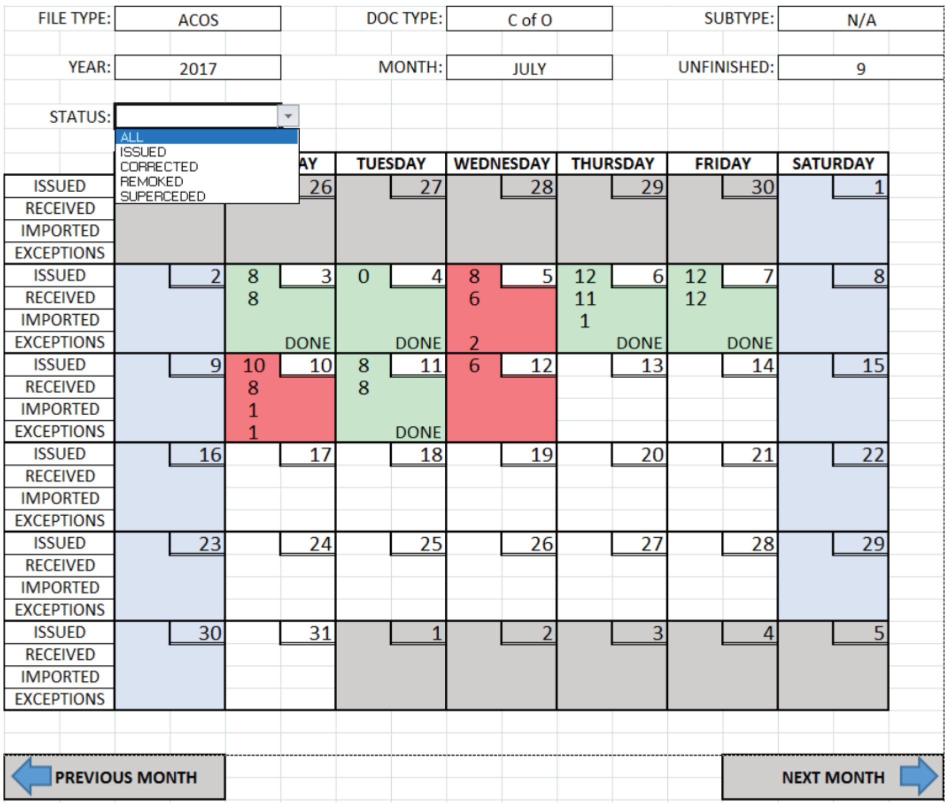
FILE NAME	PROPERTY ADDRESS SHOWN ON DOCUMENT	ACTION TAKEN	EMPLOYEE	DATE	CHANGED FROM	CHANGED TO
P649301**901**0000	8804 VAN NUYS BLVD	USE CODE	307805 / JM	6/5/17	SFD	DEMOLITION
P649301**925**0000	753 N MICHELTORENA ST	DOC TYPE	307805 / JM	6/5/17	ALTER REPAIR	ADDITION
P649301**950**0000	6817 N FIGUEROA ST UNIT 8	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P649301**951**0000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	307805 / JM	6/5/17		FOLDED
P649301**950**0000	6817 N FIGUEROA ST UNIT 8	DOC - DATE	123456 / AP	6/6/17		ORIGINAL PULLED
P649301**951**0000	3041 N BEVERLY GLEN CIR	EXCEPTIONS	123456 / AP	6/6/17		FOLDED
P649301**951**0000	3041 N BEVERLY GLEN CIR	DOC - DATE	654321 / CM	6/8/17		REEL PULLED

COMMENTS:

ACOS Report

This report can be run by specifying a month. The following report would be displayed:

(Note: The date is folder date of the documents)



The “PREVIOUS MONTH” and “NEXT MONTH” buttons can be used to navigate to a previous or next month’s report.

Clicking on a cell would show details that include:

1. Doc Numbers and status for ACOS that are missing

The “Status” filter would change the counts based on selected the status: all, issued, corrected, revoked, superseded. The Default is all, which would count all the statuses. Users can change the filter to see counts for a specific status.

For late coming documents, a folder with the document date and additional suffix would be created for them. The File Import application would process the documents according to the doc date within the documents.

For coloring the cells (the order of checking is important):

1. If the ISSUED count equals to the IMPORTED count the color is green.
2. If the RECEIVED count does not equal to the IMPORTED count, the color is yellow, meaning there is more for RRM staff members to complete.
3. Everything else is RED.

TCO Report

Same as above with different file type and doc type.

PERM LA Report

Same as above with different file type and doc type.

ATTACHMENT 1C

IDIS Thick Client Rescan Module Solution Design

2017/08/29

Contents

Overview

The Rescan application is used to keep track of documents which are rejected for rescan for poor image quality or rejected for incorrect information.

The new design does not require users to manually delete rescan document records after an actual rescan. Instead, the rescan batches are kept in Kofax batches and the rescanning of the images in Kofax will automatically remove the rescan document records. For documents rejected to originating offices, the Rescan module allows supervisors to enter additional information to keep track of the Rejected documents. The information entered includes the name, phone number, and email of the document originator.

The application is also enhanced to send reminder emails to document originators for documents that were sent back but have not returned to RRM yet. In addition, the application also provides an Aging Non-Returned Document Report that RRM staff/supervisor can run any time.

The module is also rewritten with an improved user interface and better logging as documented in the "IDIS Thick Client Redesign Overview."

Rescan Business Process Review

Staff performing Indexing and Data Entry Verification in Kofax KTM Validation steps can reject documents for rescan. Users would indicate if this is a Rescan (locally) or a Reject (back to originating office) when rejecting a document. All documents that are marked for Rescan would split out in a single Rescan sub-batch. Each document that is marked for Reject would split out in its own sub-batch – this is in preparation for the situation that each document can be returned back to RRM at a different time.

Indexing and Data Entry Verification users need to pull the rejected paper documents out of the physical batch and put an blue Reject/Rescan Slip on top of each sub-batch and write down the original Batch ID on the Reject/Rescan Slip. The Rescan document paper batches should go back to the scan desk (or box) to be picked up by scan operators for rescan. The rejected document paper batches should go back to the supervisor (or designated staff members) for mailing back to original office for correction.

The Kofax batch name of the Rescan sub-batch would have the "Rescan" prefix pre-pended before the original Batch ID. Scan operator should use the original Batch ID on the paper batch to look up the Rescan sub-batch that is in the Quality Control queue. He/She would then open the batch in Kofax Quality Control module and perform the necessary rescanning. Rescan notes entered in the Indexing (KTM Validation) step will be available in the Quality Control module and scan operators would have sufficient information regarding what to rescan from the rescan notes.

The Kofax batch name of the Reject sub-batch would have the "Reject - n" prefix pre-pended before the original Batch ID, where "n" is a unique serial number for each of the Reject documents in the batch. When Kofax splits the rejected sub-batches it will also create a database record for each Reject batch, containing information including Scan Date, Batch ID, and Reject Reason. Supervisors can use the Rescan thick client module to search for the sub-batch and to fill in the document Sent Date and whom the document is to be returned to before mailing the document back to the originating office. The IDIS Batch Cover Sheet should also be mailed and be required to be returned. (Supervisor can add the "- n" serial number on the IDIS Cover Sheet before mailing the document out.)

Before mailing out the papers back to the document originator, supervisors/designated staff should search the generated Reject batch and update the information on Return To Name/Address/Email, Phone Number, Sent Date, Doc Date, Doc Address, and Doc Number if available. The "Generate Return Slip" button can be used to generate the (currently orange) return slip to be placed on top of the rejected papers before mailing out. This is so that IDIS can keep track of the documents returned to originating offices.

In addition to being rejected for correction during indexing and verification, documents can also be rejected back to originating office for correction during mail receiving. The mail receiving staff can spot issues on the documents and reject the documents, or send them to supervisors to be returned for correction. The business process is similar to "reject for correction" during indexing and verification. The difference is that the documents were never scanned, and thus there is no existing Kofax batch associated with them.

This module would allow privileged staff and supervisors to create a Reject for correction record for such documents and to keep track of them through reporting and updating the record status when the documents return with corrections.

When corrected documents are returned from originating offices, one of the following three scenarios can happen:

1. Documents are returned with the return slip with the original Batch ID, or the original Batch ID can be found from some pages that have the stamper string which contains the Batch ID.
2. Documents were returned without a return slip and the papers do not have stamper strings to be found (e.g. rejected by mail receiving staff), and thus no original Batch ID.
3. Documents were simply sent back along with other new documents, and were scanned and indexed with other new documents.

The following procedures are (recommended) to be followed for processing each of the above scenarios.

With Original Cover Slip With Original Batch ID

The paper should be batched separately for rescan. Scan operator would use the Batch ID on the cover slip to search for the batch from the QC queue. Once the batch is found, scan operator would simply open the batch, enter the number of pages for the rescan batch, click on the "Re-allocate box" button to re-allocate box for this returned document batch, and rescan the newly returned documents. The application would automatically update the Reject document record to reflect the document returned date and the processing of the record is complete. This is the most ideal condition with least amount of effort in processing (only scan operator is involved).

Without Original Cover Slip or Original Batch ID

The processing of this scenario focuses on finding the Batch ID or Return ID for returned documents. Supervisor or Batching staff can use the Rescan module to search the batch by information available on the returned paper, such as Doc Date, Doc Number, Doc Address, Doc Type, or Return ID.

There are two scenarios when a record is found:

1. Rejected by Mail Receiving staff members, and thus no Batch ID. The mail receiving staff would simply update this record as "Completed" and updated the "Returned Date." The paper batch would be sent to normal batching and scanning processing – batched and scanned along with other documents.

2. Rejected during indexing, and thus there is a Batch ID. The Batch ID can be written on the batch coversheet and the batch is sent to scan operator for rescan. From this point, the process would be the same as processing for Returned documents with a cover slip, in particular, the application would automatically update the Reject document record to reflect the document returned date and completed status.

Compared to the first scenario, the process simply involved the additional work of having a supervisor/designated staff member or batching staff perform a search for the batch. The process is still straightforward.

In case the matching batch cannot be found the documents can be simply batched with other documents and scanned as new documents. The reconciling can be handled by the following processing scenario:

Sent Back Along With Other New Documents

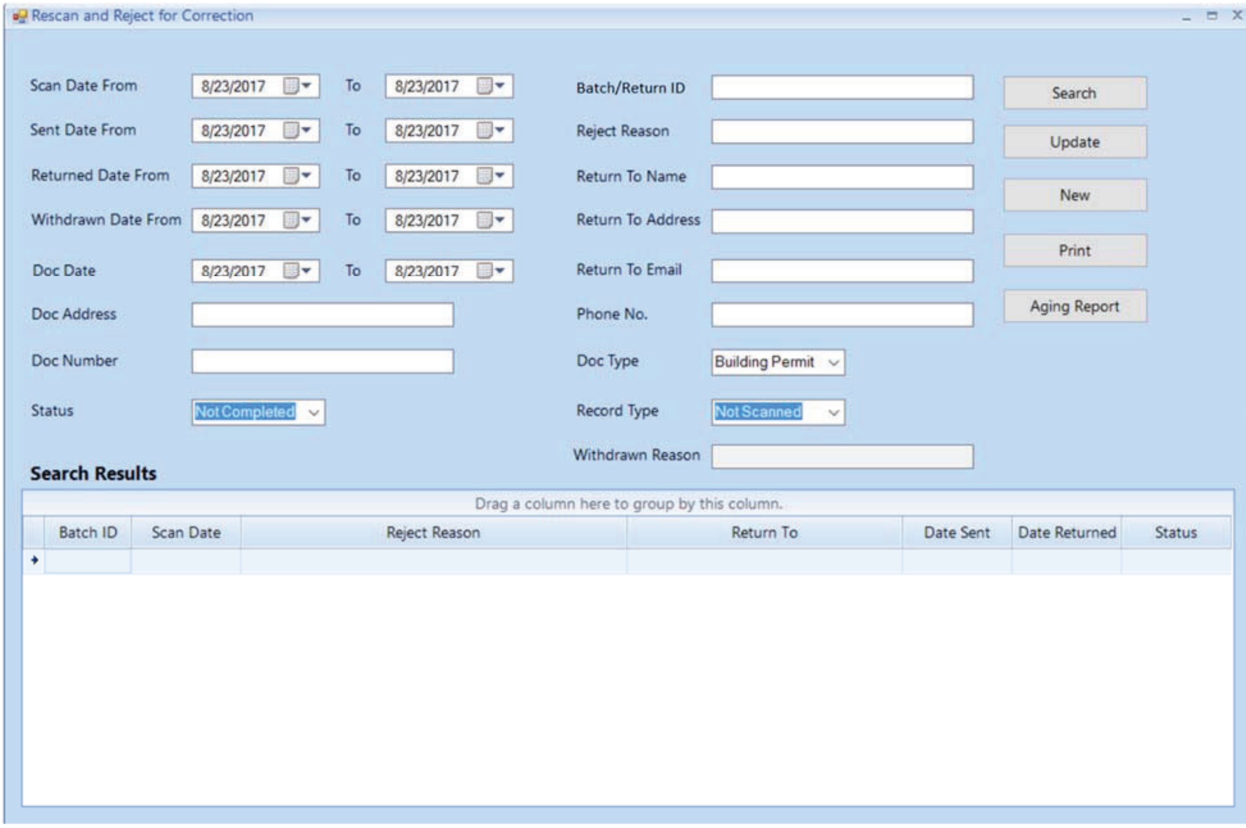
When Returned documents are sent back along with other new documents there is no way the normal processing procedure can detect returned documents from other new documents from within an envelope. However, the aging report should show the Returned documents as problems (the reminder emails that were cc'ed to RRM would also help spot these cases.) Staff can use the information on the returned document record, such as, Doc Date, Doc Address, Doc Number, and Doc Type, to validate if the documents have been scanned and indexed into IDIS. If so, the record can simply be withdrawn.

Main Functions

The main functions of the module include the following actions:

1. Search for Reject Batch Records
2. Update Reject Batch Records
3. Create Reject for Correction Records
4. Print Rejected/Returned records
5. Aging Non-Returned Document Report
6. Send Non-Returned Reminder Emails

The following screenshot shows the main window with main control functions on the top panel:



Search for Rescan/Reject for Correction Records

Users can search the Rescan records by the following fields:

1. Scan Date
2. Batch ID/Return ID
3. Reject Reason (partial text match)
4. Sent Date
5. Returned To Name (Name of document originator)
6. Return To Email (Email of document originator)
7. Returned Date
8. Status (Completed, Not Completed, Withdrawn, Unrejected)
9. Doc Date
10. Returned to Address
11. Doc Address
12. Doc Number
13. Phone number
14. Doc Type
15. Record Type - Filter between scanned, never scanned, reject for correction
16. Withdrawn Date

All records are initially created with the “Not Completed” status. When a sub-batch is rescanned in Quality Control, the record will be automatically updated to “Completed.”

Clicking on the “Search” button (toggled between “Enable Search” and “Search”) would populate the “Search Results” panel with the matching records. The search results include columns for all the above fields and also “Withdrawn Reason” for the records that were withdrawn.

For local rescan the documents need to be re-stamped if they are scanned on a different date. However, the last three digits which identify the outside storage box number should remain the same.

For rejects for corrections, a rescan of a new stamp will always be needed since they will be scanned on a different date.

For documents that were rejected in error or by accident, the records can be “unrejected.” Users can select this status and update the record. The corresponding Kofax batch should be moved from the “Quality Control” queue back to “Validation” (Index) queue (if Kofax API allows; otherwise supervisor would manually change it from the Batch Manager).

The box space would only be freed when the “Sent Date” is first entered, indicating that the documents were actually being sent out to the originating office for correction.

A new batch class should be designed to simply cross out the old stamps before documents are rescanned with new stamps.

Update Reject for Correction Records

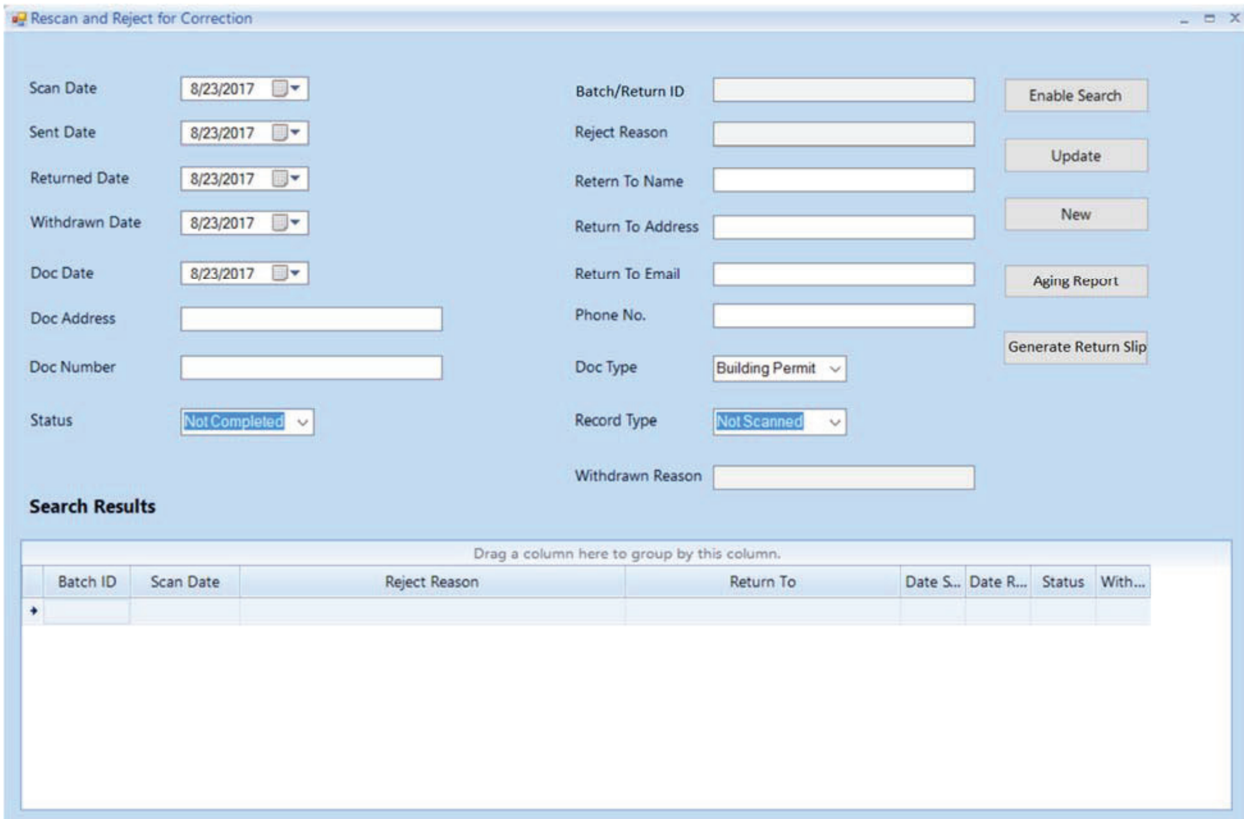
Selecting a record from the “Search Results” panel will populate the column values to the data fields on the top panel:

1. Scan Date (the From and To fields collapse into one data display field)
2. Sent Date (the From and To fields collapse into one data entry field)
3. Returned Date (the From and To fields collapse into one data entry field)
4. Reject Reason (becomes read-only)
5. Returned To Name (Name of document originator)
6. Returned To Email (Email of document originator)
7. Return To Address
8. Status
9. Doc Date
10. Doc Address
11. Doc Number
12. Phone Number
13. Doc Type
14. Record Type - Filter between scanned, never scanned, reject for correction
15. Withdrawn Reason

16. Withdrawn Date (read-only field)

Users can enter information into the “Sent Date,” “Returned Date,” “Return To,” “Doc Date,” “Address,” “Doc Number,” “Phone Number,” “Doc Type,” and “Status” fields and click on the “Update” button to update the data.

The “Search” button becomes “Enable Search,” which can be clicked to toggle data fields back into selection criteria for performing additional searches.



The “Print” button prints the search result out to an excel file.

The “Generate Return Slip” button would print out the return slip to be placed on top of the rejected documents. The slip includes the following information:

> Reject Reason, Return to Name, Return to Address, Return To Email, Doc Type, Return Date, Doc Date, Batch ID (or Return ID, which should starts with “RI,” for the rejected documents that have not been scanned yet).
>
> The heading should say: Please return the corrected document within 15 days with the attached slip to IDIS at 201 N Figueroa Street, Suite 1455, Los Angeles, CA 90012, Mail Stop 115. Attn: IDIS Supervisor. For questions please call 213-482-6885.
> (The address, attn., 15 days, and phone number are configurable in the Maintenance module.)

Delete Reject for Correction Records

In the event that the document is not needed any more, users can change the state to “Withdrawn” and click on the “Update” button to withdraw the record. The application would also delete the Kofax batches if the documents have Kofax batches associated with them. The status of the database record would become “Withdrawn.” This would allow the document counts in the original batch to be reconciled correctly.

Records to be withdrawn need to have the “Withdrawn Reason” field filled out. The application would record the date and time when the record is withdrawn.

Create Reject for Correction Records

Clicking on the “New” button will allow users to create new records. The screen is the same as updating an existing record except the Scan Date and Batch ID fields will be blanked out. The button name toggles between “New” and “Save.”

Create a Kofax Batch Class for Lining Out Old Stamps

A special Kofax Batch class will be created for crossing out previous stamper strings. This batch class will have stamper strings configured at the same locations as the IDIS Batch Class. By feeding the paper straight up, upside-down, 90-degrees sideway, 270-degrees sideway, and by moving the physical stamper from left to right, all the eight possible locations of original stamper strings can be crossed out through this batch class. Additional batch classes can be created to cross out stamper strings at non-default locations, e.g. center along an edge.

Sending Non-Returned Document Reminder Emails

The application also generates emails to document originators for returned documents. The Maintenance module provides configuration on the number of days that a rejected and returned-to-originator document should return back to RRM before an email is sent to the originator. The emails will be sent on the multiple of the interval specified in this number of day’s configuration. When an email is sent to the document originator it is also cc’ed to RRM’s designated email(s) as a record. The designated email addresses are also configured in the Maintenance module. The first email in the list of designated email addresses will be the primary email for sending out emails and for receiving any bounced back email.

The content of the email includes the following information:

1. Document Address
2. Sent to Address
3. Document Date

4. Document Number
5. Reject Reason
6. Sent Date
7. Sent To
8. Doc Type

The subject line of the mail should read “Reminder: Rejected document sent on XXX has not returned,” where XXX is the “Sent Date.”

Aging Non-Returned Document Reports

The application also provides a function to generate an aging report on non-returned documents that were previously sent to document originators. This report shows all the non-returned records by the following group of aging dates:

1. More than 3 months
2. 1-3 months
3. 2 weeks to 1 month
4. Less than 2 weeks

Within each group the records are sorted and grouped by the document originator emails. With each email group the records are sorted by Sent Date in chronological order.

ATTACHMENT 1C

IDIS Thick Client Cover Sheet Module Solution Design

2017/07/27

Contents

Overview

The Cover Sheet application is used to create IDIS Barcode coversheets for faster indexing. Using the application, Non-RRM users can pre-index the document, print the coversheet, and send the coversheet along with the document to RRM for scanning. If users make changes and print out the coversheet again the barcode would remain the same. Using Cover Sheet is like performing indexing first and then scanning later.

The application tags the records with data sources equal to “Coversheet.” The application will also tag the record with the user’s primary group so that they can update their own “Coversheet” records, before they are scanned and KTM-processed. Once they are scanned they are not allowed to change the index of these records. Non-RRM users are not allowed to modify “Coversheet” records not belonging to their group.

The new design also includes all existing functions with an improved user interface and better logging as documented in the “IDIS Thick Client Redesign Overview.”

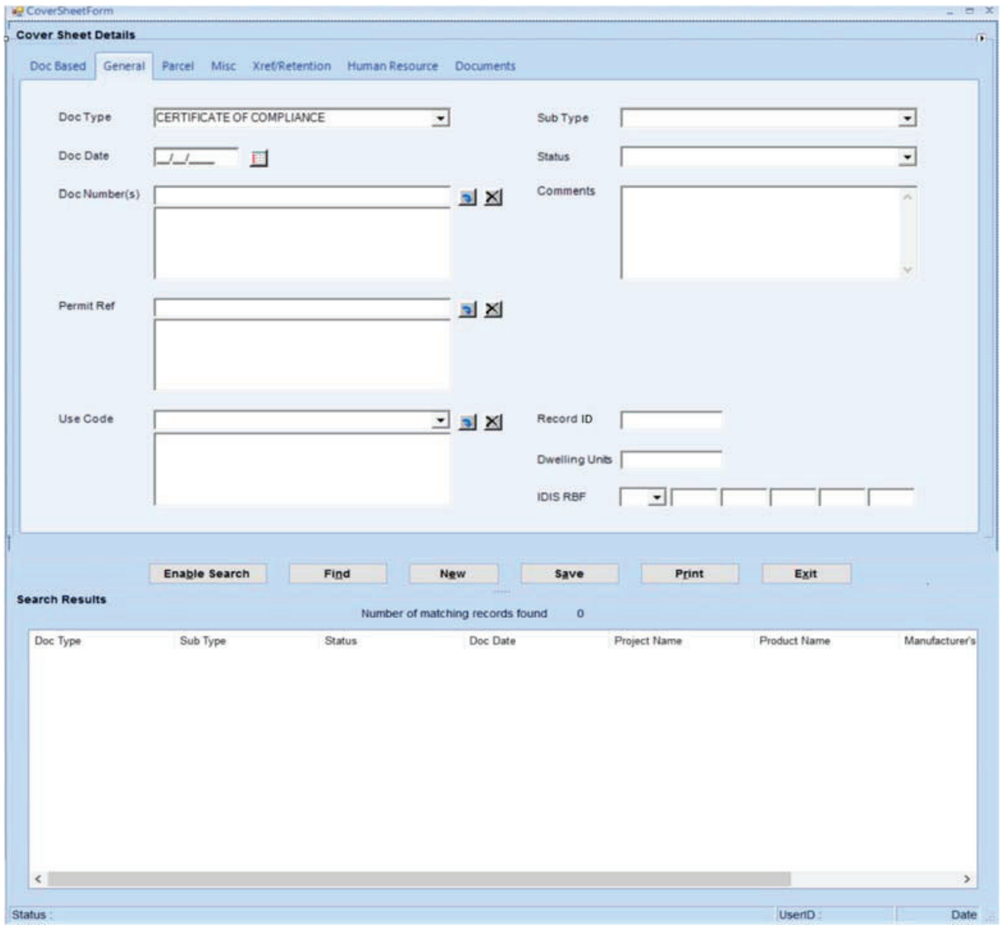
Batches created from scanning IDIS Barcode coversheets generated from the Cover Sheet application must go through Data Entry Verification. Before the document is saved to FileNet, the coversheet page should be removed from the image as it is not part of the document.

Main Functions

The main functions of the module include the following actions:

1. Use the IDIS record control buttons to search, add, and update IDIS records
2. Applying indexing data
3. Print the coversheet

The following screenshot shows the main window with main control functions on the bottom of the top panel.



IDIS Record Control

1. Enable Search – enable to search IDIS records based on entered criteria in all tabs. Certain fields are grayed out to be excluded from search: Comments, Doc Version, Doc Color, Dwelling Units, Permit #, all fields in Xref Documents.
2. Find record: Click on the Find button to perform a search on the IDIS database for existing IDIS records. The search results should be restricted to records with the same primary group as the login user and documents that have not been uploaded. Search results are rendered in the Search Results panel showing columns of information

including: Doc Type, Sub Type, Status, Doc Date, Project Name, Product Name, Manufacturer's Name, and Record ID.

3. Clicking on a record from the search results will populate index data into Index panels: General, Misc, Parcel, Parcel Index, XRef/Retention, and Human Resource.
4. Users can click on Update (toggled between Save and Update) button to update an existing index data. Users can only update records that were created with a Cover Sheet application and "owned" by the user's primary group. The application will respond with "Record not owned by current login user's primary group. Group ID: xxxx" error message when users' group did not own the record.
5. Users can click on the "New" button to reset all fields in the Index Details panel for entering a new IDIS record.
6. SAVE button (toggled with the Update button) would save the new record into the IDIS database and also print the generated coversheet.
7. PRINT button would print the Cover Sheet to the default printer. The PRINT button is disabled until a record is saved or updated.

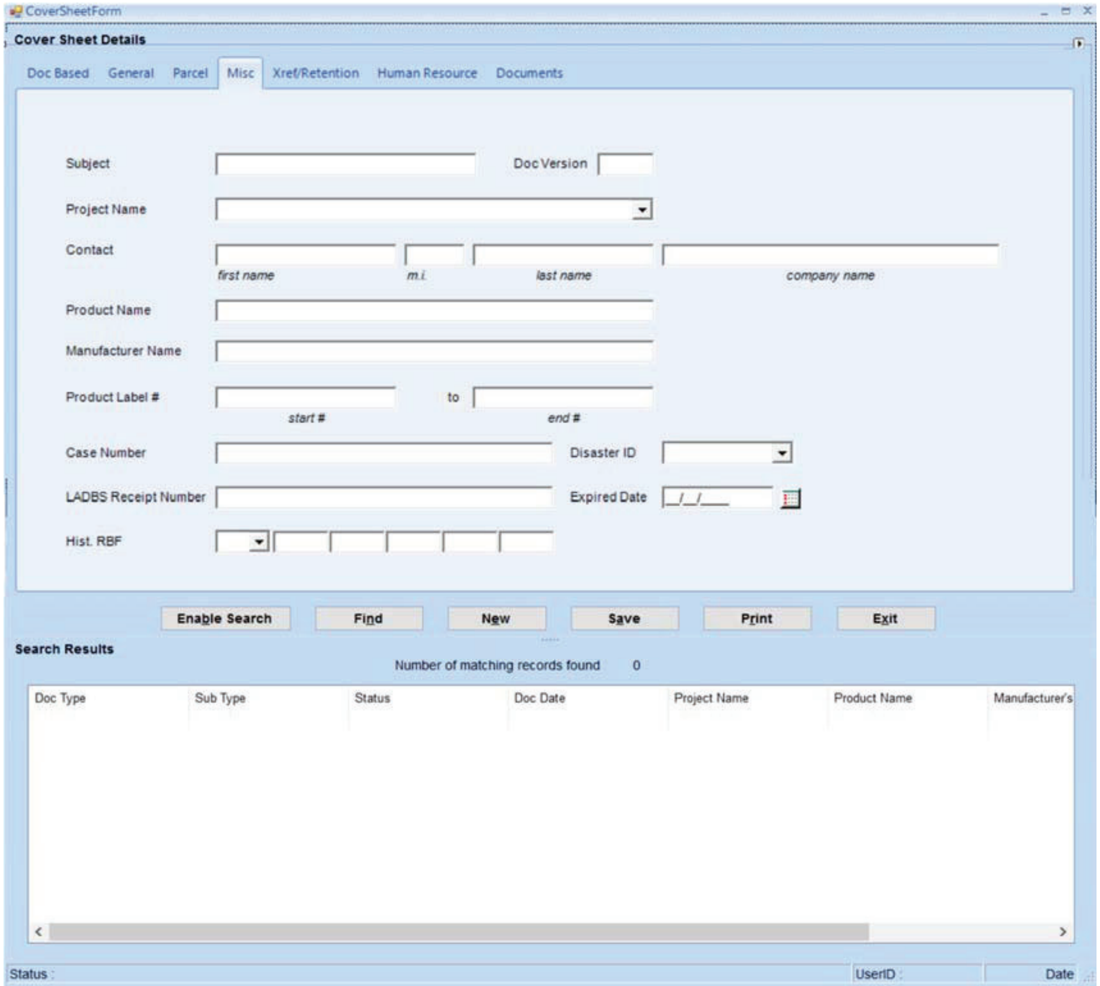
Index Details – General Tab

The above screenshot also shows the following indices in the General Tab:

1. Doc Type – dropdown list of doc types, required field
2. Sub Type – dropdown list of document sub types dependent on the selected Doc Type, required field if the selected doc type has sub-types
3. Doc Date – document date, required field
4. Status – dropdown list dependent on selected Doc Type
5. Doc Number(s) – zero or more document numbers
6. Permit Ref – zero or more referenced permit numbers
7. Comments
8. Restricted Comments
9. Use Code - zero or more use code from a dropdown list of Use Code
10. Doc Color
11. Units (should increase from 10 chars to 25 chars)
12. Record ID (greyed out for external users)
13. IDIS RBF (greyed out for external users)

Index Details – Misc tab

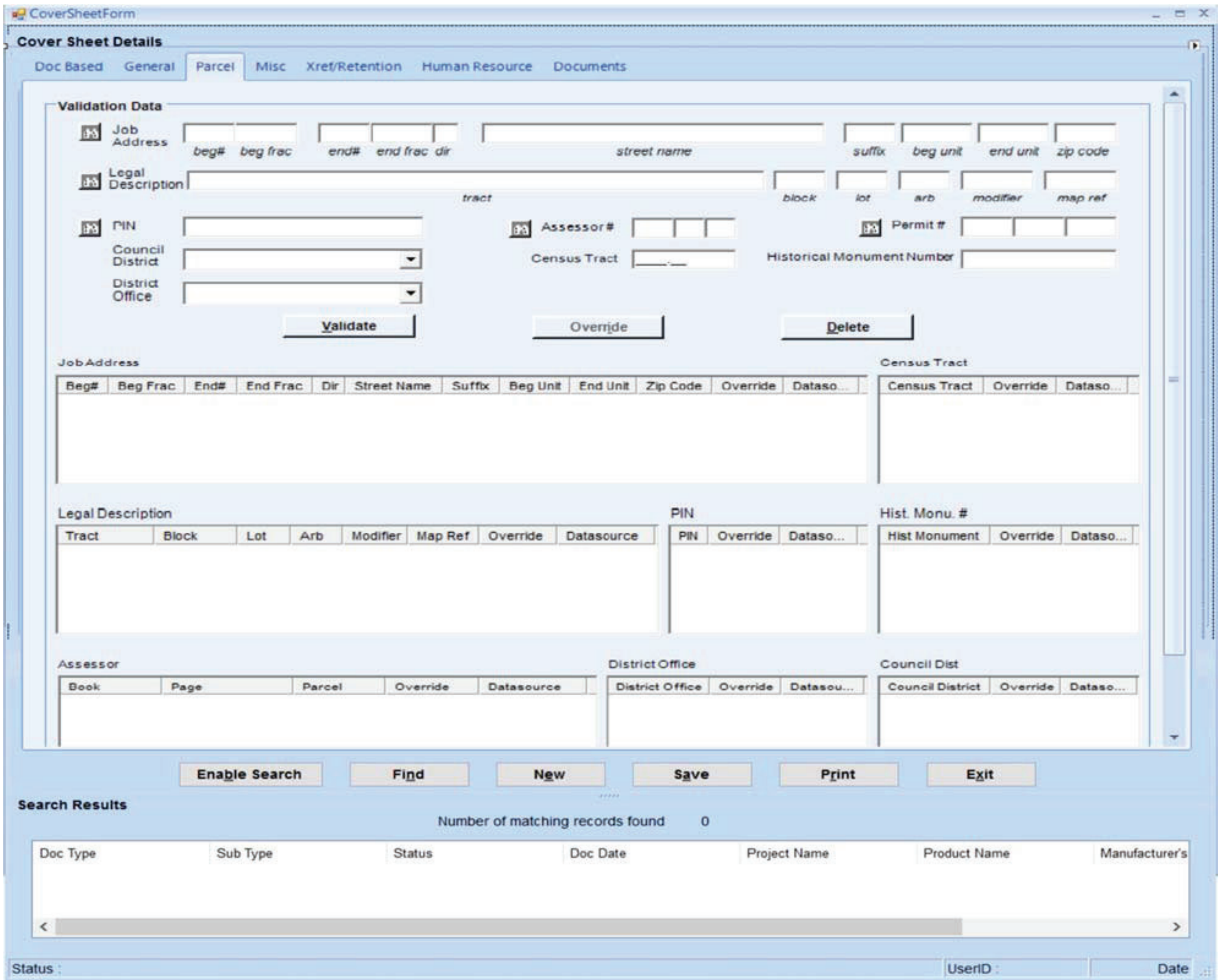
The following screenshot shows the indices in the Misc Tab:



1. Subject
2. Doc Version
3. Project Name – dropdown list of configured project names
4. Contact
5. Product Name
6. Manufacturer Name
7. Product Label # - start #, to #
8. Case Number
9. Disaster ID
10. LADBS Receipt Number
11. Expired Date
12. Historical RBF
13. AKA Address

Index Details – Parcel Tab

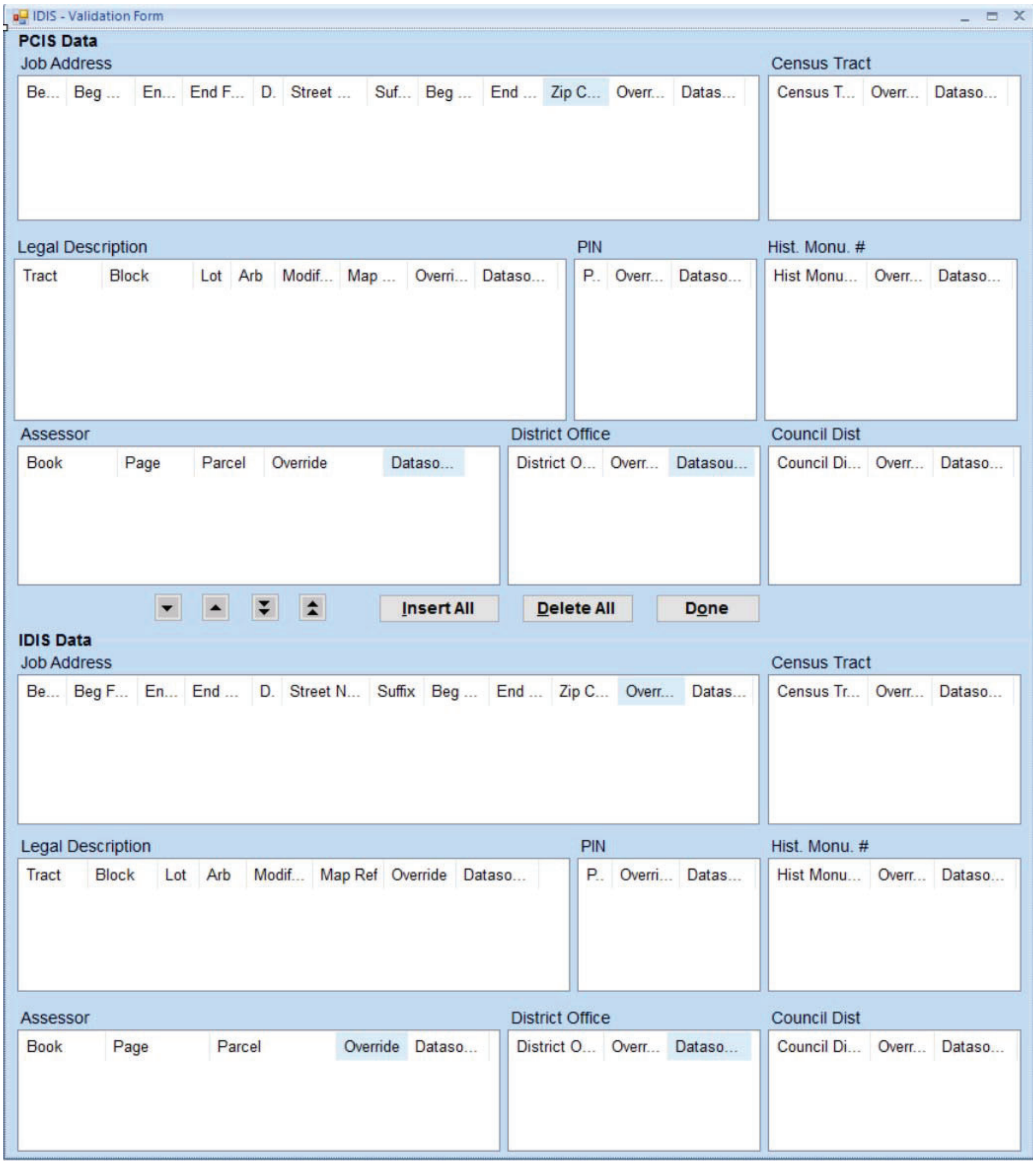
The Parcel Tab serves two purposes: showing parcel index data as well as searching the PCIS database to validate the parcel index data. The content of the Parcel Tab includes Job Addresses, Legal Descriptions, Assessors, PINs, Census Tracts, Hist. Monument #s, District Offices, Council Districts. Each of these can be of multiple values. The following screenshot shows the Parcel Index Tab:



1. Clicking on the Validate button would enable a search in the PCIS database. Users can click on the checkbox in front of the Job Address field, Legal Desc field, PIN field, Assessor # field, or Permit # field to enable the corresponding search field. The button's display text becomes "Search" which can be clicked to search PCIS by the desired search criteria.
2. Clicking on the "Search" button would search the PCIS database with the entered search criteria and opens up the PCIS Search Result window (see the following screenshot) with the search results displayed.
3. If the search result is empty, users can directly enter the data in the Parcel tab and click on the "Override" button to insert the data into the document index in the Parcel Index tab.
4. Allow deleting entered/selected records.

5. When switching to this tab the panel shows the full height of the Legal Description by adjusting the vertical-split panels automatically.

PCIS Search Result Popup Window

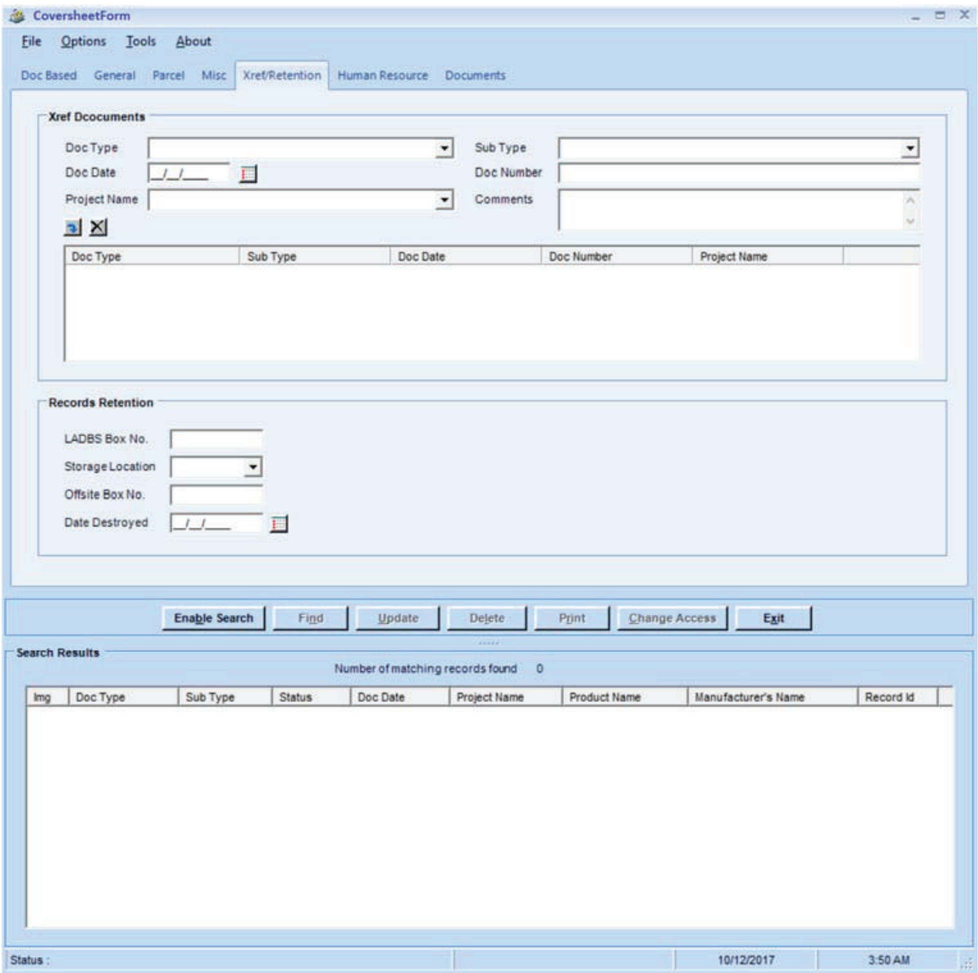


1. This window displays the PCIS search results.

2. The top PCIS Data panel contains the search results and the bottom IDIS Data panel contains the current IDIS Parcel index. Users can use the arrow keys, Insert All button, and Delete All button to move Job Address, Census Tract, Legal Description, PIN, Hist. Monument #, Assessor, District Office, and Council District data between these 2 panels.
3. Closing this window would copy the data in the IDIS Data panel back to the Parcel Index tab.

Index Details – Xref/Retention Tab

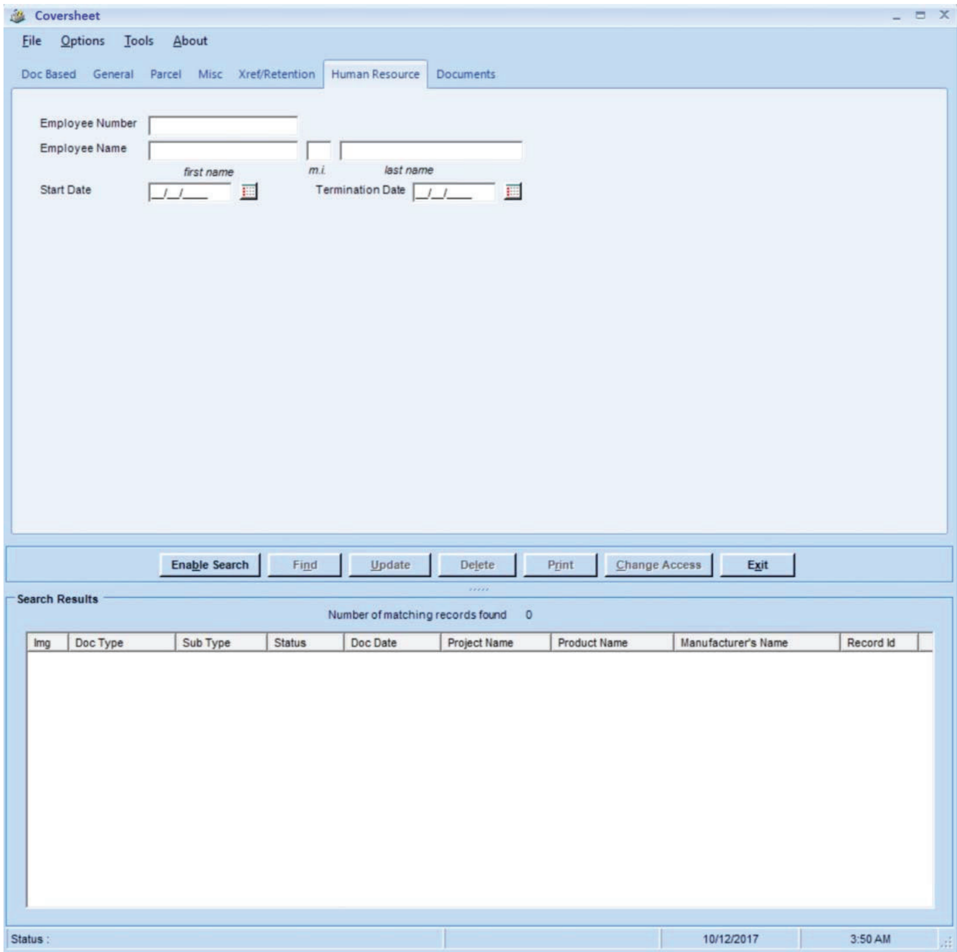
Functions within this tab remain the same as the current implementation.



1. Zero or more Xref Documents –
    1. Doc Type, dropdown list of doc types
    2. Sub Type, dropdown list of document sub types dependent on the selected Doc Type
    3. Doc Date
    4. Doc Number
    5. Project Name – dropdown list of configured project names
2. Comments

Index Details – Human Resource

Functions within this tab remain the same as the current implementation.



1. Employee Number
2. Employee Name
3. Start Date
4. Termination Date

ATTACHMENT 1D

STATEMENT OF WORK ("SOW")

IDIS/IBM SYSTEM Software Version Upgrade from 5.2 to 5.5.6

Los Angeles Department of Building and Safety (LADBS)

AND

SOFTECH & ASSOCIATES, INC.

A CALIFORNIA CORPORATION

("Softech")

SOW Effective Date

Feb 10, 2021

1. Background

Softech has been a long-time IBM solution partner to LADBS supporting the IBM Content Management system and custom IDIS solution. As part of the current configuration, LADBS has 550 IBM Connections Licenses that are under software maintenance support. This product is now end of life and must be replaced by IBM Content Foundation. In order for LADBS to transition to the Content Foundation product, the existing content management software must be upgraded from the currently installed, outdated version (5.2) to the latest supported version (v5.5.6) of the new content software and its supporting applications (IBM WebSphere, IBM Content Navigator). LADBS has requested a quote from Softech to migrate the current IBM P8 System Software version v5.2 to version v5.5.6.

The requirements for this project are the following:

1. IBM Content Management Software version upgrade from v5.2 to v5.5.6 for Production Environment
2. IBM Content Management Software version upgrade from v5.2 to v5.5.6 for Test Environment

2. Production Environment Upgrade

Softech proposes a server migration upgrade with a dry-run and a cut-over weekend approach with the following 3 main steps:

- Step 1: Install, Configuration

Softech proposes the server migration upgrade approach. Softech will perform the installation and upgrade the IBM Content Foundation products on new AIX VMs, (Softech will work with TSB on specs for the VM's). The products included in this upgrade are the following:

- IBM WebSphere Application Server from v8.5.5.9 to v9.0
- IBM Content Management Software from v5.2.1 to v5.5.6
- IBM Content Navigator from v2.0.3 to v3.0.8

This approach allows the installation of all the new IBM Content Foundation software to be completed while the Production environment is still in use.

- Step 2: Dry-run Upgrade

When the installation and configuration of the new IBM Content Foundation system is complete, LADBS will export the current Production database schemas to the new SQL Database. The new database will be used specifically for the dry-run upgrade. The dry-run upgrade allows Softech to test and evaluate the upgrade process with real production data. This allows us to validate the success of the upgrade and discover any possible data related upgrade issues. We then will be able resolve those issues and ensure a smooth cut-over weekend.

While the Dry-run Upgrade for the IBM Content Management System is being performed, Softech developers will upgrade the IBM Content Navigator search template & document property customization to work with upgraded IBM Content Navigator version 3.0.8.

- Step 3: Production Go-live

After the dry-run upgrade and validation has been completed and signed off. Both LADBS and Softech will decide on a go-live date where we will perform the following actions over a weekend:

- Export/Import the Production IBM Content Management System database
- Backup/Restore Production File Stores
- Upgrade the Production IBM Content Management System database schema.

The major benefit of this approach is that the Production Environment is not being touched any time during the installation during the upgrade and expansion of the system. There is virtually no effect to the Production system operation. All validation and testing of the new upgraded IBM Content Foundation system can be done independently by business users. The go-live process will be cut down to a few hours depending mostly on the time needed to export the Production database. If there is a need for roll-back, the procedure will be very straight forward since we only need to shut down the new IBM Content Foundation system and turn on the existing system.

3. Components to be Upgraded

The various tasks for this project are listed below:

1. Upgrade – Content Platform Engine, Content Search, Content Navigator, WebSphere
    - Plan & Prepare for IBM Content Foundation installation
    - Install & Configure WebSphere V9.0.0.5 Standard
    - Install & Configure IBM Content Foundation Content Platform Engine & Content Search Services v5.5.6
    - Install & Configure IBM Content Navigator v3.0.8
    - Dry-run Upgrade Content Platform Engine from v5.2.1 to v5.5.6
    - Production Go-live
    - Testing Support, Post Upgrade Support & Documentation

4. Assumptions, Limitations and Project Methodology

The requested tasks and deliverables defined in this document are based on Softech's understanding of the Project and LADBS's environment. Softech reserves the right to include additional assumptions and limitations as they are discovered when Softech engages with LADBS during requirements gathering and design sessions during the execution of the Project.

4.1 Project kickoff

The following items below outline the tasks included within the scope of this Statement of Work.
For the project kickoff activities:

- LADBS will be providing new physical or virtual servers for this project and will provide network, VPN and server access information as required to Softech.
- LADBS and Softech will document and formalize the communication plan and escalation path for any project issues.
- LADBS and Softech will review SOW to verify scope. If there are any questions regarding the scope of the project, Softech will defer all work in question until the scope has been fully agreed upon by both parties.
- LADBS and Softech will agree on next steps.

4.2 Assumptions

- Softech will provide project management throughout the project.
    - Tasks associated with this project will be tracked within the same project plan as the IDIS project currently underway.
- Estimated services are based on services being performed remotely.
- Remote access to LADBS hardware and software systems will be via a LADBS supplied VPN

connection. Softech resources will be able to initiate a remote session under the guidance of LADBS. Softech will secure use of the VPN connection only to perform agreed-upon tasks for this SOW and will ensure that unauthorized access will be prohibited.

- Softech and LADBS shall determine a schedule for work to be performed once execution of this SOW occurs.
- LADBS will provide the required IT support for the LADBS-provided server and VPN access throughout the project.

4.3 Limitations

Should further discovery indicate additional, unexpected functionality is required, Softech reserves the option of soliciting additional Project funding through the use of the Change Control process. In the event LADBS may choose to decline the Change Control and associated funding, the identified functionality will not be implemented.

4.4 Scope Changes

Tasks not defined in this document are specifically declared out of scope of this SOW.
LADBS and Softech recognize changes to the scope and/or magnitude of this Statement of Work may arise as additional discovery occurs throughout the course of the Project. The services for this SOW may be modified and amended with mutual, written agreement of both Softech and LADBS using the Softech's Change Control procedure. LADBS approved Change Control are to be considered part of the agreement between LADBS and Softech and may modify the scope of this SOW only when agreed to and signed by authorized representatives of both the LADBS and Softech.

4.5 Project Methodology

A project team will be formed that includes team members on both sides. Project team members include project manager, technical lead, and system engineers from Softech. LADBS's team members include project manager, technical lead, and system administrators.

A project plan will be prepared at the start of the project. Meetings will be schedule throughout the project. The management of the Project and delivery of the Solution will be managed using Softech's standard project management methodology.

4.6 Project Resource Management

In the interest of maintaining schedules and a collaborative, team-oriented environment focused on the successful delivery of the Solution, the following rules of engagement governing the Customer-to-Vendor relationship will apply:

- All communication between LADBS and Softech will be coordinated through Softech's Project Manager and will occur within reasonable and customary working hours of the parties involved.
- All requests for services and assistance shall be coordinated through Softech's Project Manager. Resources will be scheduled and will begin work based on their availability on a best effort basis.
- Scheduling conflicts for resources involved in the Project should be identified and resolved to the mutual satisfaction of both LADBS and Softech within a reasonable and customary timeframe.
- Should conflicts arise that cannot be resolved between the designated Project Managers, such conflict shall be escalated to the designated LADBS and Softech Executives.

5. SOW Term

Effective Date: **TBD**

Project Timeline: TBD (approx. 8-10 weeks)

6. Charges

The total fee for the project can be broken down to the following:

Task	Description	Cost
1	IBM Content Management System version upgrade from v5.2 to v5.5.6 - Test Environment	$ 14,000.00
2	IBM Content Management System version upgrade from v5.2 to IBM Content Foundation v5.5.6 – Production Environment	$ 14,000.00
3	Project Management	$ 2,500.00
4	Post Support – 60 Days	$ 0.00
	Software Upgrade - SUB TOTAL	$30,500.00
5	Shortfall from IBM Connections S&S renewal	$ 4,200.00
	Grand Total (includes all tasks 1-6)	$ 34,700.00

7. Invoicing

Invoices will be submitted monthly for tasks completed. Terms are net 30.

8. Meetings and Reports.

Report and Conference calls as needed.

9. Change Control.

Throughout this project, there may be requests from LADBS for new services. Softech shall manage all project changes through the project's Scope Change Management process. New work shall be estimated and priced by Softech, after which Softech and LADBS will evaluate the scope changes on the basis of the impact on the project schedule and cost justification. Cost estimates and schedule impact analysis will be presented to the LADBS Project Manager for approval prior to implementation of any Change Order. Changes are broadly defined as any new work activities or work products not described in this SOW.

LIST OF SUPPORTED SOFTWARE

1) IBM FILENET CAPTURE DESKTOP - MEDIUM VOLUME EDITION CLIENT DEVICE
2) IBM FILENET CAPTURE PROFESSIONAL - LOW VOLUME EDITION CLIENT DEVICE
3) IBM FILENET CAPTURE PROFESSIONAL - HIGH VOLUME EDITION CLIENT DEVICE
4) IBM FILENET CAPTURE PROFESSIONAL - ADDTL DOCUMENT ENTRY CLIENT DEVICE
5) IBM FILENET CAPTURE PROFESSIONAL - FILE IMPORT CLIENT DEVICE
6) IBM FILENET CAPTURE PROFESSIONAL - MEDIUM VOLUME EDITION CLIENT DEVICE
7) IBM FILENET CAPTURE TOOLKIT CLIENT DEVICE
8) IBM FILENET CAPTURE-DOCUMENT PROCESSING CLIENT DEVICE
9) IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR
10) P8 CONTENT MANAGER LICENSES
11) IDIS THICK CLIENT APPLICATIONS (Application migrated from IS to P8)
12) IDIS THIN CLIENT APPLICATIONS (Application migrated from IS to P8)
13) KOFAX

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires 8/31/2018

Presented on behalf of Softech by: Dave Perez dperez@softech-assoc.com

DATE: August 8, 2018
TO: City of LA Department of Building and Safety
ATTN: Ryan Solis
PHONE: (213) 482-7318
Email ryan.solis@lacity.org
RE: IBM Software Licenses Support Renewal- Excludes FileNet Capture

Softech is pleased to present the following quotation for your consideration

ITEM NO.	QTY	PART NUMBER	DESCRIPTION	UNIT PRICE	PRICE
			IBM Software		
1	550	E0D63LL-SB	IBM CONNECTIONS ENT CONTENT AUTHORIZED USER VALUE SW	$ 130.10	$ 71,555.00
2	33,000	E0IEZLL-SB	IBM FILENET CONTENT MGR ELIGIBLE PARTICIPANT RESOURCE VALUE SW	$ 0.60	$ 19,800.00
3	4	E0J6MLL-SB	VIRTUAL STORAGE CENTER STORWIZE FAMILY PER STORAGE DEVICE SW	$ 450.50	$ 1,802.00
4	4	E0J6MLL-SB	VIRTUAL STORAGE CENTER STORWIZE FAMILY PER STORAGE DEVICE SW	$ 1,802.00	$ 7,208.00
5	840	E025SLL-SB	WAS NTWK DEPLOY PROC VALUE (PVU) SW SUBSCRIPTION SUPPORT RNWL	$ 39.70	$ 33,348.00
					$ 133,713.00
					$ 133,713.00

ATTACHMENT 3B

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires 6/15/2019

Presented on behalf of Softech by: Dave Perez dperez@softechis.com

DATE: April 10, 2019
TO: City of LA Department of Building and Safety
ATTN: Zachary DeCorse
PHONE: (213) 482-6776
Email zachary.decorse@lacity.org
RE: IBM Software Licenses Support Renewal Quote 7/01/19 -8/31/20

Softech is pleased to present the following quotation for your consideration

ITEM NO.	QTY	PART NUMBER	DESCRIPTION	UNIT PRICE	14 Month Total Fee
			IBM Software		
1	550	E0D63LL	IBM CONNECTIONS ENT CONTENT AUTHORIZED USER VALUE SW	$ 91.00	$ 58,391.67
2	22,000	E0IEZLL	IBM FILENET CONTENT MANAGER ELIGIBLE PARTICIPANT RESOURCE VALUE UNIT ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL - Rebate to align with June 30, 2019 expiration	$ 0.47	$ 12,063.33
3	33,000	E0IEZLL	IBM FILENET CONTENT MANAGER ELIGIBLE PARTICIPANT RESOURCE VALUE UNIT ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$ 0.66	$ 25,410.00
4	4	E0J6MLL-SB	IBM VIRTUAL STORAGE CENTER FOR STORWIZE FAMILY PER STORAGE DEVICE ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$ 1,802.00	$ 8,409.33
5	840	E025SLL-SB	IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR VALUE UNIT (PVU) ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$ 40.89	$ 40,072.20
					$ 144,346.53
					$ 144,346.53

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires 8/31/2018

Presented on behalf of Softech by: Dave Perez dperez@softech-assoc.com

DATE: August 8, 2018
TO: City of LA Department of Building and Safety
ATTN: Ryan Solis
PHONE: (213) 482-7318
Email ryan.solis@lacity.org
RE: IBM Web Licenses Quote

Softech is pleased to present the following quotation for your consideration

ITEM NO.	QTY	PART NUMBER	DESCRIPTION	UNIT PRICE	PRICE
			IBM Software		
1	22,000	D11JVLL-SB	IBM SW ENTERPRISE CONTENT MGMT FILENET CONTENT MGR ELIGIBLE PARTICIPANT RESOURCE VALUE LIC Includes 1 Year Standard Warranty	$ 2.56	$ 56,320.00
					$ 56,320.00
					$ 56,320.00

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires August 31, 2018

Presented on behalf of Softech by: Dave Perez dperez@softechis.com

August 8, 2018
City of LA Department of Building and Safety
Ryan Solis
Email: ryan.solis@lacity.org
Phone: (213) 482-7318
LADBS Kofax Software Support Renewal July 01, 2018 - June 30, 2019

Softech is pleased to present the following quotation for your consideration

ITEM NO.	PART NUMBER	DESCRIPTION	Price
		Kofax Software Support (Renewed after June 30, 2018)	
1	EE#Y024-600K	IMAGE VOL 600K/YR-ENT VER: 10.0 S/N: CM11761	
2	AE#Y523-600K	KTM Unlimited Fields Extr VER: 10.0 S/N: CM11761	
3	EE#T024-005U	5 CONCURRENT STATION VER: 10.0 S/N: CM11761	
4	KA-0000-001M	Kofax Analytics for Captu VER: 10.0 S/N: CM11761	
5	AE#T027-0000	VRS Elite Production VER: 10.0 S/N: CM11761	
		Sub Total	$ 24,833.00
		Reinstatement Fee if renewed in July	$ 4,138.00
		Total	$ 28,971.00

Any associated Taxes not included

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

SOFTECH & ASSOCIATES

Quotation expires 6/15/2019

Presented on behalf of Softech by: Dave Perez dperez@softechis.com

April 10, 2019
City of LA Department of Building and Safety
Zachary DeCorse
Email: zachary.decorse@lacity.org
Phone: (213) 482-6776
RE: Kofax Software Support Renewal Quote July 01, 2019 - August 31, 2020

Softech is pleased to present the following quotation for your consideration

ITEM NO.	PART NUMBER	DESCRIPTION	Price
		Kofax Software Support	
1	EE#Y024-600K	IMAGE VOL 600K/YR-ENT VER: 10.0 S/N: CM11761	
2	AE#Y523-600K	KTM Unlimited Fields Extr VER: 10.0 S/N: CM11761	
3	EE#T024-005U	5 CONCURRENT STATION VER: 10.0 S/N: CM11761	
4	KA-0000-001M	Kofax Analytics for Captu VER: 10.0 S/N: CM11761	
5	AE#T027-0000	VRS Elite Production VER: 10.0 S/N: CM11761	
		Total	**$ 30,420.32**

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires August 31, 2018

Presented on behalf of Softech by: Dave Perez dperez@softechis.com

August 13, 2018
City of LA Department of Building and Safety
Ryan Solis
Email: ryan.solis@lacity.org
Phone: (213) 482-7318
LADBS Annual P8 Software Support Services quote

Softech is pleased to present the following quotation for your consideration

ITEM NO.	PART NUMBER	DESCRIPTION	Price
		Softech P8 Software Support Services	
1	N/a	IBM FILENET CAPTURE DESKTOP - MEDIUM VOLUME EDITION CLIENT DEVICE	
2	N/a	IBM FILENET CAPTURE PROFESSIONAL - LOW VOLUME EDITION CLIENT DEVICE	
3	N/a	IBM FILENET CAPTURE PROFESSIONAL - HIGH VOLUME EDITION CLIENT DEVICE	
4	N/a	IBM FILENET CAPTURE PROFESSIONAL - ADDTL DOCUMENT ENTRY CLIENT DEVICE	
5	N/a	IBM FILENET CAPTURE PROFESSIONAL-FILE IMPORT CLIENT DEVICE	
6	N/a	IBM FILENET CAPTURE PROFESSIONAL - MEDIUM VOLUME EDITION CLIENT DEVICE	
7	N/a	IBM FILENET CAPTURE TOOLKIT CLIENT DEVICE	
8	N/a	IBM FILENET CAPTURE-DOCUMENT PROCESSING CLIENT DEVICE	
9	N/a	IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR	
10	N/a	P8 CONTENT MANAGER LICENSES	
11	N/a	IDIS THICK CLIENT APPLICATIONS (Application migrated from IS to P8)	
12	N/a	IDIS THIN CLIENT APPLICATIONS (Application migrated from IS to P8)	
13	N/a	KOFAX	
		Total	$ 135,000.00

Any associated Taxes not included

1570 Corporate Drive, Suite B
Costa Mesa, Ca 92626
Office: 714 - 427 - 1120
Fax: 714 - 427 - 1125

Quotation expires 6/15/2019

Presented on behalf of Softech by: Dave Perez dperez@softechis.com

April 10, 2019
City of LA Department of Building and Safety
Zachary DeCorse
Email: zachary.decorse@lacity.org
Phone: (213) 482-6776
RE: Softech Annual P8 Software Support Services Renewal Quote 7/01/19 - 8/30/20

Softech is pleased to present the following quotation for your consideration

ITEM NO.	PART NUMBER	DESCRIPTION	14 Month Fee
		Softech P8 Software Support Services	
1	N/a	IBM FILENET CAPTURE DESKTOP - MEDIUM VOLUME EDITION CLIENT DEVICE	
2	N/a	IBM FILENET CAPTURE PROFESSIONAL - LOW VOLUME EDITION CLIENT DEVICE	
3	N/a	IBM FILENET CAPTURE PROFESSIONAL - HIGH VOLUME EDITION CLIENT DEVICE	
4	N/a	IBM FILENET CAPTURE PROFESSIONAL - ADDTL DOCUMENT ENTRY CLIENT DEVICE	
5	N/a	IBM FILENET CAPTURE PROFESSIONAL-FILE IMPORT CLIENT DEVICE	
6	N/a	IBM FILENET CAPTURE PROFESSIONAL - MEDIUM VOLUME EDITION CLIENT DEVICE	
7	N/a	IBM FILENET CAPTURE TOOLKIT CLIENT DEVICE	
8	N/a	IBM FILENET CAPTURE-DOCUMENT PROCESSING CLIENT DEVICE	
9	N/a	IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR	
10	N/a	P8 CONTENT MANAGER LICENSES	
11	N/a	IDIS THICK CLIENT APPLICATIONS (Application Developed by IBM and migrated from IS to P8)	
12	N/a	IDIS THIN CLIENT APPLICATIONS (Application Developed by IBM and migrated from IS to P8)	
13	N/a	KOFAX SOLUTION	
		Total	$ 165,375.00

SOFTECH & ASSOCIATES

May 19, 2020

City of Los Angeles
Department of Building and Safety
Attn. Zachary DeCorse
Re: IBM/SOFTECH/KOFAX Annual Support Renewals

Softech is pleased to present the following quotations for your consideration.

SOFTECH

Item No	Part Number	Description	12-month Support Fee
1	NA	IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR	
2	NA	IBM FILENET P8 SYSTEM	
3	NA	IDIS THICK CLIENT APPLICATIONS	
4	NA	IDIS THIN CLIENT APPLICATIONS	
5	NA	KOFAX SOLUTION	
		TOTAL =	**$141,750**

IBM

Item No	QTY	Part Number	Description	12-month Support Fee
1	550	EOD63LL	IBM CONNECTIONS ENT CONTENT AUTHORIZED USER VALUE SW SUBSCRIPTION & SUPPORT RENEWAL	$50,050
2	33,000	EOIEZLL	IBM FILENET CONTENT MANAGER ELIGIBLE PARTICIPANT RESOURCE VALUE UNIT ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$23,100
3	4	EOJ6MLL-SB	IBM VIRTUAL STORAGE CENTER FOR STORWIZE FAMILY PER STORAGE DEVICE ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$7,208
4	840	EO25SLL-SB	IBM WEBSPHERE APPLICATION SERVER NETWORK DEPLOYMENT PROCESSOR VALUE UNIT (PVU) ANNUAL SW SUBSCRIPTION & SUPPORT RENEWAL	$33,347
			TOTAL =	**$115,705**

KOFAX

Item No	Part Number	Description	12-month Support Fee
1	EE#Y024-600K	IMAGE VOL 600K/YR-ENT VER: 10.0 S/N: CM11761	
2	AE#Y523-600K	KTM Unlimited Fields Extr VER: 10.0 S/N: CM11761	
3	EE#T024-005U	5 CONCURRENT STATION VER: 10.0 S/N: CM11761	
4	KA-0000-001M	Kofax Analytics for Capture VER: 10.0 S/N: CM11761	
5	AE#T027-0000	VRS Elite Production VER: 10.0 S/N: CM11761	
		TOTAL =	**$28,750**

Note:

1. These Annual Support quotes cover the period September 1, 2020 through August 31, 2021.

Thank you for the opportunity

Best Regards

Dave Perez

Dave Peres

Softech & Associates, Inc
1570 Corporate Dr, Ste B
Costa Mesa, CA 92626
dperez@softechis.com
714-454-5094

ATTACHMENT 7

Standard Provisions for City Contracts (Rev. 10/21) [v.4]

STANDARD PROVISIONS FOR CITY CONTRACTS

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

STANDARD PROVISIONS FOR CITY CONTRACTS

PSC-1. Construction of Provisions and Titles Herein

All titles, subtitles, or headings in this Contract have been inserted for convenience, and shall not be deemed to affect the meaning or construction of any of the terms or provisions of this Contract. The language of this Contract shall be construed according to its fair meaning and not strictly for or against **CITY** or **CONTRACTOR**. The word "**CONTRACTOR**" includes the party or parties identified in this Contract. The singular shall include the plural and if there is more than one **CONTRACTOR**, unless expressly stated otherwise, their obligations and liabilities shall be joint and several. Use of the feminine, masculine, or neuter genders shall be deemed to include the genders not used.

PSC-2. Applicable Law, Interpretation and Enforcement

Each party's performance shall comply with all applicable laws of the United States of America, the State of California, and **CITY**, including but not limited to, laws regarding health and safety, labor and employment, wage and hours and licensing. This Contract shall be enforced and interpreted under the laws of the State of California without regard to conflict of law principles. **CONTRACTOR** shall comply with new, amended, or revised laws, regulations, or procedures that apply to the performance of this Contract with no additional compensation paid to **CONTRACTOR**.

In any action arising out of this Contract, **CONTRACTOR** consents to personal jurisdiction, and agrees to bring all such actions, exclusively in state or federal courts located in Los Angeles County, California.

If any part, term or provision of this Contract is held void, illegal, unenforceable, or in conflict with any federal, state or local law or regulation, the validity of the remaining parts, terms or provisions of this Contract shall not be affected.

PSC-3. Time of Effectiveness

Unless otherwise provided, this Contract shall take effect when all of the following events have occurred:

A. This Contract has been signed on behalf of **CONTRACTOR** by the person or persons authorized to bind **CONTRACTOR**;

B. This Contract has been approved by the City Council or by the board, officer or employee authorized to give such approval;

C. The Office of the City Attorney has indicated in writing its approval of this Contract as to form; and

D. This Contract has been signed on behalf of **CITY** by the person designated by the City Council, or by the board, officer or employee authorized to enter into this Contract.

PSC-4. Integrated Contract

This Contract sets forth all of the rights and duties of the parties with respect to the subject matter of this Contract, and replaces any and all previous Contracts or understandings, whether written or oral, relating thereto. This Contract may be amended only as provided for in the provisions of PSC-5 hereof.

PSC-5. Amendment

All amendments to this Contract shall be in writing and signed and approved pursuant to the provisions of PSC-3.

PSC-6. Excusable Delays

Neither party shall be liable for its delay or failure to perform any obligation under and in accordance with this Contract, if the delay or failure arises out of fires, floods, earthquakes, epidemics, quarantine restrictions, other natural occurrences, strikes, lockouts (other than a lockout by the party or any of the party's Subcontractors), freight embargoes, terrorist acts, insurrections or other civil disturbances, or other similar events to those described above, but in each case the delay or failure to perform must be beyond the control and without any fault or negligence of the party delayed or failing to perform (these events are referred to in this provision as "Force Majeure Events").

Notwithstanding the foregoing, a delay or failure to perform by a Subcontractor of **CONTRACTOR** shall not constitute a Force Majeure Event, unless the delay or failure arises out of causes beyond the control of both **CONTRACTOR** and Subcontractor, and without any fault or negligence of either of them. In such case, **CONTRACTOR** shall not be liable for the delay or failure to perform, unless the goods or services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit **CONTRACTOR** to perform timely. As used in this Contract, the term "Subcontractor" means a subcontractor at any tier.

In the event **CONTRACTOR'S** delay or failure to perform arises out of a Force Majeure Event, **CONTRACTOR** agrees to use commercially reasonable best efforts to obtain the goods or services from other sources, and to otherwise mitigate the damages and reduce the delay caused by the Force Majeure Event.

PSC-7. Waiver

A waiver of a default of any part, term or provision of this Contract shall not be construed as a waiver of any succeeding default or as a waiver of the part, term or provision itself. A party's performance after the other party's default shall not be construed as a waiver of that default.

PSC-8. Suspension

At **CITY'S** sole discretion, **CITY** may suspend any or all services provided under this Contract by providing **CONTRACTOR** with written notice of suspension. Upon receipt of the notice of suspension, **CONTRACTOR** shall immediately cease the services suspended and shall not incur any additional obligations, costs or expenses to **CITY** until **CITY** gives written notice to recommence the services.

PSC-9. Termination

A. Termination for Convenience

CITY may terminate this Contract for **CITY'S** convenience at any time by providing **CONTRACTOR** thirty days written notice. Upon receipt of the notice of termination, **CONTRACTOR** shall immediately take action not to incur any additional obligations, costs or expenses, except as may be necessary to terminate its activities. **CITY** shall pay **CONTRACTOR** its reasonable and allowable costs through the effective date of termination and those reasonable and necessary costs incurred by **CONTRACTOR** to effect the termination. Thereafter, **CONTRACTOR** shall have no further claims against **CITY** under this Contract. All finished and unfinished documents and materials procured for or produced under this Contract, including all intellectual property rights **CITY** is entitled to, shall become **CITY** property upon the date of the termination. **CONTRACTOR** agrees to execute any documents necessary for **CITY** to perfect, memorialize, or record **CITY'S** ownership of rights provided herein.

B. Termination for Breach of Contract

1. Except as provided in PSC-6, if **CONTRACTOR** fails to perform any of the provisions of this Contract or so fails to make progress as to endanger timely performance of this Contract, **CITY** may give **CONTRACTOR** written notice of the default. **CITY'S** default notice will indicate whether the default may be cured and the time period to cure the default to the sole satisfaction of **CITY**. Additionally, **CITY'S** default notice may offer **CONTRACTOR** an opportunity to provide **CITY** with a plan to cure the default, which shall be submitted to **CITY** within the time period allowed by **CITY**. At **CITY'S** sole discretion, **CITY** may accept or reject **CONTRACTOR'S** plan. If the default cannot be cured or if **CONTRACTOR** fails to cure within the period allowed by **CITY**, then **CITY** may terminate this Contract due to **CONTRACTOR'S** breach of this Contract.

2. If the default under this Contract is due to **CONTRACTOR'S** failure to maintain the insurance required under this Contract, **CONTRACTOR** shall immediately: (1) suspend performance of any services under this Contract for which insurance was required; and (2) notify its employees and Subcontractors of the loss of insurance coverage and Contractor's obligation to suspend performance of

services. **CONTRACTOR** shall not recommence performance until **CONTRACTOR** is fully insured and in compliance with **CITY'S** requirements.

3. If a federal or state proceeding for relief of debtors is undertaken by or against **CONTRACTOR**, or if **CONTRACTOR** makes an assignment for the benefit of creditors, then **CITY** may immediately terminate this Contract.

4. If **CONTRACTOR** engages in any dishonest conduct related to the performance or administration of this Contract or violates **CITY'S** laws, regulations or policies relating to lobbying, then **CITY** may immediately terminate this Contract.

5. Acts of Moral Turpitude

   a. **CONTRACTOR** shall immediately notify **CITY** if **CONTRACTOR** or any Key Person, as defined below, is charged with, indicted for, convicted of, pleads nolo contendere to, or forfeits bail or fails to appear in court for a hearing related to, any act which constitutes an offense involving moral turpitude under federal, state, or local laws ("Act of Moral Turpitude").

   b. If **CONTRACTOR** or a Key Person is convicted of, pleads nolo contendere to, or forfeits bail or fails to appear in court for a hearing related to, an Act of Moral Turpitude, **CITY** may immediately terminate this Contract.

   c. If **CONTRACTOR** or a Key Person is charged with or indicted for an Act of Moral Turpitude, **CITY** may terminate this Contract after providing **CONTRACTOR** an opportunity to present evidence of **CONTRACTOR'S** ability to perform under the terms of this Contract.

   d. Acts of Moral Turpitude include, but are not limited to: violent felonies as defined by Penal Code Section 667.5, crimes involving weapons, crimes resulting in serious bodily injury or death, serious felonies as defined by Penal Code Section 1192.7, and those crimes referenced in the Penal Code and articulated in California Public Resources Code Section 5164(a)(2); in addition to and including acts of murder, rape, sexual assault, robbery, kidnapping, human trafficking, pimping, voluntary manslaughter, aggravated assault, assault on a peace officer, mayhem, fraud, domestic abuse, elderly abuse, and child abuse, regardless of whether such acts are punishable by felony or misdemeanor conviction.

e. For the purposes of this provision, a Key Person is a principal,

6. In the event **CITY** terminates this Contract as provided in this section, **CITY** may procure, upon such terms and in the manner as **CITY** may deem appropriate, services similar in scope and level of effort to those so terminated, and **CONTRACTOR** shall be liable to **CITY** for all of its costs and damages, including, but not limited to, any excess costs for such services.

7. If, after notice of termination of this Contract under the provisions of this section, it is determined for any reason that **CONTRACTOR** was not in default under the provisions of this section, or that the default was excusable under the terms of this Contract, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to PSC-9(A) Termination for Convenience.

8. The rights and remedies of **CITY** provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

C. In the event that this Contract is terminated, **CONTRACTOR** shall immediately notify all employees and Subcontractors, and shall notify in writing all other parties contracted with under the terms of this Contract within five working days of the termination.

PSC-10. Independent Contractor

CONTRACTOR is an independent contractor and not an agent or employee of **CITY**. **CONTRACTOR** shall not represent or otherwise hold out itself or any of its directors, officers, partners, employees, or agents to be an agent or employee of **CITY**.

PSC-11. Contractor's Personnel

Unless otherwise approved by **CITY**, **CONTRACTOR** shall use its own employees to perform the services described in this Contract. **CITY** has the right to review and approve any personnel who are assigned to work under this Contract. **CONTRACTOR** shall remove personnel from performing work under this Contract if requested to do so by **CITY**.

CONTRACTOR shall not use Subcontractors to assist in performance of this Contract without the prior written approval of **CITY**. If **CITY** permits the use of Subcontractors, **CONTRACTOR** shall remain responsible for performing all aspects of this Contract and paying all Subcontractors. **CITY** has the right to approve **CONTRACTOR'S** Subcontractors, and **CITY** reserves the right to request replacement of any

Subcontractor. **CITY** does not have any obligation to pay **CONTRACTOR'S** Subcontractors, and nothing herein creates any privity of contract between **CITY** and any Subcontractor.

PSC-12. Assignment and Delegation

CONTRACTOR may not, unless it has first obtained the written permission of **CITY**:

A. Assign or otherwise alienate any of its rights under this Contract, including the right to payment; or

B. Delegate, subcontract, or otherwise transfer any of its duties under this Contract.

PSC-13. Permits

CONTRACTOR and its directors, officers, partners, agents, employees, and Subcontractors, shall obtain and maintain all licenses, permits, certifications and other documents necessary for **CONTRACTOR'S** performance of this Contract. **CONTRACTOR** shall immediately notify **CITY** of any suspension, termination, lapses, non-renewals, or restrictions of licenses, permits, certificates, or other documents that relate to **CONTRACTOR'S** performance of this Contract.

PSC-14. Claims for Labor and Materials

CONTRACTOR shall promptly pay when due all amounts owed for labor and materials furnished in the performance of this Contract so as to prevent any lien or other claim under any provision of law from arising against any **CITY** property (including reports, documents, and other tangible or intangible matter produced by **CONTRACTOR** hereunder), and shall pay all amounts due under the Unemployment Insurance Act or any other applicable law with respect to labor used to perform under this Contract.

PSC-15. Current Los Angeles City Business Tax Registration Certificate Required

For the duration of this Contract, **CONTRACTOR** shall maintain valid Business Tax Registration Certificate(s) as required by **CITY'S** Business Tax Ordinance, Section 21.00 *et seq*. of the Los Angeles Municipal Code ("LAMC"), and shall not allow the Certificate to lapse or be revoked or suspended.

PSC-16. Retention of Records, Audit and Reports

CONTRACTOR shall maintain all records, including records of financial transactions, pertaining to the performance of this Contract, in their original form or as otherwise approved by **CITY**. These records shall be retained for a period of no less than three years from the later of the following: (1) final payment made by **CITY**, (2) the expiration of this Contract or (3) termination of this Contract. The records will be subject to examination and audit by authorized **CITY** personnel or **CITY'S** representatives at any time. **CONTRACTOR** shall provide any reports requested by **CITY** regarding performance of this Contract. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

In lieu of retaining the records for the term as prescribed in this provision, **CONTRACTOR** may, upon **CITY'S** written approval, submit the required information to **CITY** in an electronic format, e.g. USB flash drive, at the expiration or termination of this Contract.

PSC-17. Bonds

All bonds required by **CITY** shall be filed with the Office of the City Administrative Officer, Risk Management for its review and acceptance in accordance with Los Angeles Administrative Code ("LAAC") Sections 11.47 *et seq*., as amended from to time.

PSC-18. Indemnification

Except for the active negligence or willful misconduct of **CITY**, or any of its boards, officers, agents, employees, assigns and successors in interest, **CONTRACTOR** shall defend, indemnify and hold harmless **CITY** and any of its boards, officers, agents, employees, assigns, and successors in interest from and against all lawsuits and causes of action, claims, losses, demands and expenses, including, but not limited to, attorney's fees (both in house and outside counsel) and cost of litigation (including all actual litigation costs incurred by **CITY**, including but not limited to, costs of experts and consultants), damages or liability of any nature whatsoever, for death or injury to any person, including **CONTRACTOR'S** employees and agents, or damage or destruction of any property of either party hereto or of third parties, arising in any manner by reason of an act, error, or omission by **CONTRACTOR,** Subcontractors, or their boards, officers, agents, employees, assigns, and successors in interest. The rights and remedies of **CITY** provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract. This provision will survive expiration or termination of this Contract.

PSC-19. Intellectual Property Indemnification

CONTRACTOR, at its own expense, shall defend, indemnify, and hold harmless the **CITY**, and any of its boards, officers, agents, employees, assigns, and successors in interest from and against all lawsuits and causes of action, claims, losses, demands and expenses, including, but not limited to, attorney's fees (both in house and outside counsel) and cost of litigation (including all actual litigation costs incurred by **CITY**, including but not limited to, costs of experts and consultants), damages or liability of any nature arising out of the infringement, actual or alleged, direct or contributory, of any intellectual property rights, including, without limitation, patent, copyright, trademark, trade secret, right of publicity, and proprietary information: (1) on or in any design, medium, matter, article, process, method, application, equipment, device, instrumentation, software, hardware, or firmware used by **CONTRACTOR**, or its Subcontractors, in performing the work under this Contract; or (2) as a result of **CITY'S** actual or intended use of any Work Product (as defined in PSC-21) furnished by **CONTRACTOR**, or its Subcontractors, under this Contract. The rights and remedies of **CITY** provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract. This provision will survive expiration or termination of this Contract.

PSC-20. Intellectual Property Warranty

CONTRACTOR represents and warrants that its performance of all obligations under this Contract does not infringe in any way, directly or contributorily, upon any third party's intellectual property rights, including, without limitation, patent, copyright, trademark, trade secret, right of publicity and proprietary information.

PSC-21. Ownership and License

Unless otherwise provided for herein, all finished and unfinished works, tangible or not, created under this Contract including, without limitation, documents, materials, data, reports, manuals, specifications, artwork, drawings, sketches, blueprints, studies, memoranda, computation sheets, computer programs and databases, schematics, photographs, video and audiovisual recordings, sound recordings, marks, logos, graphic designs, notes, websites, domain names, inventions, processes, formulas, matters and combinations thereof, and all forms of intellectual property originated and prepared by **CONTRACTOR** or its Subcontractors under this Contract (each a "Work Product"; collectively "Work Products") shall be and remain the exclusive property of **CITY** for its use in any manner **CITY** deems appropriate. **CONTRACTOR** hereby assigns to **CITY** all goodwill, copyright, trademark, patent, trade secret and all other intellectual property rights worldwide in any Work Products originated and prepared under this Contract. **CONTRACTOR** further agrees to execute any documents necessary for **CITY** to perfect, memorialize, or record **CITY'S** ownership of rights provided herein.

CONTRACTOR agrees that a monetary remedy for breach of this Contract may be inadequate, impracticable, or difficult to prove and that a breach may cause **CITY** irreparable harm. **CITY** may therefore enforce this requirement by seeking injunctive relief and specific performance, without any necessity of showing actual damage or irreparable harm. Seeking injunctive relief or specific performance does not preclude **CITY** from seeking or obtaining any other relief to which **CITY** may be entitled.

For all Work Products delivered to **CITY** that are not originated or prepared by **CONTRACTOR** or its Subcontractors under this Contract, **CONTRACTOR** shall secure a grant, at no cost to **CITY**, for a non-exclusive perpetual license to use such Work Products for any **CITY** purposes.

CONTRACTOR shall not provide or disclose any Work Product to any third party without prior written consent of **CITY**.

Any subcontract entered into by **CONTRACTOR** relating to this Contract shall include this provision to contractually bind its Subcontractors performing work under this Contract such that **CITY'S** ownership and license rights of all Work Products are preserved and protected as intended herein.

PSC-22. Data Protection

A. **CONTRACTOR** shall protect, using the most secure means and technology that is commercially available, **CITY**-provided data or consumer-provided data acquired in the course and scope of this Contract, including but not limited to customer lists and customer credit card or consumer data, (collectively, the "City Data"). **CONTRACTOR** shall notify **CITY** in writing as soon as reasonably feasible, and in any event within twenty-four hours, of **CONTRACTOR'S** discovery or reasonable belief of any unauthorized access of City Data (a "Data Breach"), or of any incident affecting, or potentially affecting City Data related to cyber security (a "Security Incident"), including, but not limited to, denial of service attack, and system outage, instability or degradation due to computer malware or virus. **CONTRACTOR** shall begin remediation immediately. **CONTRACTOR** shall provide daily updates, or more frequently if required by **CITY**, regarding findings and actions performed by **CONTRACTOR** until the Data Breach or Security Incident has been effectively resolved to **CITY'S** satisfaction. **CONTRACTOR** shall conduct an investigation of the Data Breach or Security Incident and shall share the report of the investigation with **CITY**. At **CITY'S** sole discretion, **CITY** and its authorized agents shall have the right to lead or participate in the investigation. **CONTRACTOR** shall cooperate fully with **CITY**, its agents and law enforcement.

B. If **CITY** is subject to liability for any Data Breach or Security Incident, then **CONTRACTOR** shall fully indemnify and hold harmless **CITY** and defend against any resulting actions.

PSC-23. Insurance

During the term of this Contract and without limiting **CONTRACTOR'S** obligation to indemnify, hold harmless and defend **CITY**, **CONTRACTOR** shall provide and maintain at its own expense a program of insurance having the coverages and limits not less than the required amounts and types as determined by the Office of the City Administrative Officer of Los Angeles, Risk Management (template Form General 146 in Exhibit 1 hereto). The insurance must: (1) conform to **CITY'S** requirements; (2) comply with the Insurance Contractual Requirements (Form General 133 in Exhibit 1 hereto); and (3) otherwise be in a form acceptable to the Office of the City Administrative Officer, Risk Management. **CONTRACTOR** shall comply with all Insurance Contractual Requirements shown on Exhibit 1 hereto. Exhibit 1 is hereby incorporated by reference and made a part of this Contract.

PSC-24. Best Terms

Throughout the term of this Contract, **CONTRACTOR**, shall offer **CITY** the best terms, prices, and discounts that are offered to any of **CONTRACTOR'S** customers for similar goods and services provided under this Contract.

PSC-25. Warranty and Responsibility of Contractor

CONTRACTOR warrants that the work performed hereunder shall be completed in a manner consistent with professional standards practiced among those firms within **CONTRACTOR'S** profession, doing the same or similar work under the same or similar circumstances.

PSC-26. Mandatory Provisions Pertaining to Non-Discrimination in Employment

Unless otherwise exempt, this Contract is subject to the applicable non-discrimination, equal benefits, equal employment practices, and affirmative action program provisions in LAAC Section 10.8 et seq., as amended from time to time.

A. **CONTRACTOR** shall comply with the applicable non-discrimination and affirmative action provisions of the laws of the United States of America, the State of California, and **CITY**. In performing this Contract, **CONTRACTOR** shall not discriminate in any of its hiring or employment practices against any employee or applicant for employment because of such person's race, color, religion, national origin, ancestry, sex, sexual orientation, gender, gender identity, age, disability, domestic partner status, marital status or medical condition.

B. The requirements of Section 10.8.2.1 of the LAAC, the Equal Benefits Ordinance, and the provisions of Section 10.8.2.1(f) are incorporated and made a part of this Contract by reference.

C. The provisions of Section 10.8.3 of the LAAC are incorporated and made a part of this Contract by reference and will be known as the "Equal Employment Practices" provisions of this Contract.

D. The provisions of Section 10.8.4 of the LAAC are incorporated and made a part of this Contract by reference and will be known as the "Affirmative Action Program" provisions of this Contract.

Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-27. Child Support Assignment Orders

CONTRACTOR shall comply with the Child Support Assignment Orders Ordinance, Section 10.10 of the LAAC, as amended from time to time. Pursuant to Section 10.10(b) of the LAAC, **CONTRACTOR** shall fully comply with all applicable State and Federal employment reporting requirements. Failure of **CONTRACTOR** to comply with all applicable reporting requirements or to implement lawfully served Wage and Earnings Assignment or Notices of Assignment, or the failure of any principal owner(s) of **CONTRACTOR** to comply with any Wage and Earnings Assignment or Notices of Assignment applicable to them personally, shall constitute a default by the **CONTRACTOR** under this Contract. Failure of **CONTRACTOR** or principal owner to cure the default within 90 days of the notice of default will subject this Contract to termination for breach. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-28. Living Wage Ordinance

CONTRACTOR shall comply with the Living Wage Ordinance, LAAC Section 10.37 *et seq.*, as amended from time to time. **CONTRACTOR** further agrees that it shall comply with federal law proscribing retaliation for union organizing. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-29. Service Contractor Worker Retention Ordinance

CONTRACTOR shall comply with the Service Contractor Worker Retention Ordinance, LAAC Section 10.36 *et seq.*, as amended from time to time. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-30. Access and Accommodations

CONTRACTOR represents and certifies that:

A. **CONTRACTOR** shall comply with the Americans with Disabilities Act, as amended, 42 U.S.C. Section 12101 et seq., the Rehabilitation Act of 1973, as amended, 29 U.S.C. Section 701 et seq., the Fair Housing Act, and its implementing regulations and any subsequent amendments, and California Government Code Section 11135;

B. **CONTRACTOR** shall not discriminate on the basis of disability or on the basis of a person's relationship to, or association with, a person who has a disability;

C. **CONTRACTOR** shall provide reasonable accommodation upon request to ensure equal access to **CITY**-funded programs, services and activities;

D. Construction will be performed in accordance with the Uniform Federal Accessibility Standards (UFAS), 24 C.F.R. Part 40; and

E. The buildings and facilities used to provide services under this Contract are in compliance with the federal and state standards for accessibility as set forth in the 2010 ADA Standards, California Title 24, Chapter 11, or other applicable federal and state law.

CONTRACTOR understands that **CITY** is relying upon these certifications and representations as a condition to funding this Contract. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-31. Contractor Responsibility Ordinance

CONTRACTOR shall comply with the Contractor Responsibility Ordinance, LAAC Section 10.40 *et seq*., as amended from time to time.

PSC-32. Business Inclusion Program

Unless otherwise exempted prior to bid submission, **CONTRACTOR** shall comply with all aspects of the Business Inclusion Program as described in the Request for Proposal/Qualification process, throughout the duration of this Contract. **CONTRACTOR** shall utilize the Business Assistance Virtual Network ("BAVN") at https://www.labavn.org/, to perform and document outreach to Minority, Women, and Other Business Enterprises. **CONTRACTOR** shall perform subcontractor outreach activities through BAVN. **CONTRACTOR** shall not change any of its designated Subcontractors or pledged specific items of work to be performed by these Subcontractors, nor shall **CONTRACTOR** reduce their level of effort, without prior written approval of **CITY**.

PSC-33. Slavery Disclosure Ordinance

CONTRACTOR shall comply with the Slavery Disclosure Ordinance, LAAC Section 10.41 *et seq.*, as amended from time to time. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-34. First Source Hiring Ordinance

CONTRACTOR shall comply with the First Source Hiring Ordinance, LAAC Section 10.44 *et seq.*, as amended from time to time. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-35. Local Business Preference Ordinance

CONTRACTOR shall comply with the Local Business Preference Ordinance, LAAC Section 10.47 *et seq.*, as amended from time to time. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-36. Iran Contracting Act

In accordance with California Public Contract Code Sections 2200-2208, all contractors entering into, or renewing contracts with **CITY** for goods and services estimated at $1,000,000 or more are required to complete, sign, and submit the "Iran Contracting Act of 2010 Compliance Affidavit."

PSC-37. Restrictions on Campaign Contributions and Fundraising in City Elections

Unless otherwise exempt, if this Contract is valued at $100,000 or more and requires approval by an elected **CITY** office, **CONTRACTOR**, **CONTRACTOR'S** principals, and **CONTRACTOR'S** Subcontractors expected to receive at least $100,000 for performance under the Contract, and the principals of those Subcontractors (the "Restricted Persons") shall comply with Charter Section 470(c)(12) and LAMC Section 49.7.35. Failure to comply entitles **CITY** to terminate this Contract and to pursue all available legal remedies. Charter Section 470(c)(12) and LAMC Section 49.7.35 limit the ability of the Restricted Persons to make campaign contributions to and engage in fundraising for certain elected **CITY** officials or candidates for elected **CITY** office for twelve months after this Contract is signed. Additionally, a **CONTRACTOR** subject to Charter Section 470(c)(12) is required to comply with disclosure requirements by submitting a completed and signed Ethics Commission Form 55 and to amend the information in that form as specified by law. Any **CONTRACTOR** subject to Charter Section 470(c)(12) shall include the following notice in any contract with any Subcontractor expected to receive at least $100,000 for performance under this Contract:

> "Notice Regarding Restrictions on Campaign Contributions and Fundraising in City Elections
>
> You are a subcontractor on City of Los Angeles Contract # __________________. Pursuant to the City of Los Angeles Charter Section 470(c)(12) and related ordinances, you and your principals are prohibited from making campaign contributions to and fundraising for certain elected City of Los Angeles ("**CITY**") officials and candidates for elected **CITY** office for twelve months after the **CITY** contract is signed. You are required to provide the names and contact information of your principals to the **CONTRACTOR** and to amend that information within ten business days if it changes during the twelve month time period. Failure to comply may result in termination of this Contract and any other available legal remedies. Information about the restrictions may be found online at ethics.lacity.org or by calling the Los Angeles City Ethics Commission at (213) 978-1960."

PSC-38. Contractors' Use of Criminal History for Consideration of Employment Applications

CONTRACTOR shall comply with the City Contractors' Use of Criminal History for Consideration of Employment Applications Ordinance, LAAC Section 10.48 *et seq*., as amended from time to time. Any subcontract entered into by **CONTRACTOR** for work to be performed under this Contract must include an identical provision.

PSC-39. Limitation of City's Obligation to Make Payment to Contractor

Notwithstanding any other provision of this Contract, including any exhibits or attachments incorporated therein, and in order for **CITY** to comply with its governing legal requirements, **CITY** shall have no obligation to make any payments to **CONTRACTOR** unless **CITY** shall have first made an appropriation of funds equal to or in excess of its obligation to make any payments as provided in this Contract. **CONTRACTOR** agrees that any services provided by **CONTRACTOR**, purchases made by **CONTRACTOR** or expenses incurred by **CONTRACTOR** in excess of the appropriation(s) shall be free and without charge to **CITY** and **CITY** shall have no obligation to pay for the services, purchases or expenses. **CONTRACTOR** shall have no obligation to provide any services, provide any equipment or incur any expenses in excess of the appropriated amount(s) until **CITY** appropriates additional funds for this Contract.

PSC-40. Compliance with Identity Theft Laws and Payment Card Data Security Standards

CONTRACTOR shall comply with all identity theft laws including without limitation, laws related to: (1) payment devices; (2) credit and debit card fraud; and (3) the Fair and Accurate Credit Transactions Act ("FACTA"), including its requirement relating to the content of transaction receipts provided to Customers. **CONTRACTOR** also shall comply with all requirements related to maintaining compliance with Payment Card Industry Data Security Standards ("PCI DSS"). During the performance of any service to install, program or update payment devices equipped to conduct credit or debit card transactions, including PCI DSS services, **CONTRACTOR** shall verify proper truncation of receipts in compliance with FACTA.

PSC-41. Compliance with California Public Resources Code Section 5164

California Public Resources Code Section 5164 prohibits a public agency from hiring a person for employment or as a volunteer to perform services at any park, playground, or community center used for recreational purposes in a position that has supervisory or disciplinary authority over any minor, if the person has been convicted of certain crimes as referenced in the Penal Code, and articulated in California Public Resources Code Section 5164(a)(2).

If applicable, **CONTRACTOR** shall comply with California Public Resources Code Section 5164, and shall additionally adhere to all rules and regulations that have been adopted or that may be adopted by **CITY**. **CONTRACTOR** is required to have all employees, volunteers and Subcontractors (including all employees and volunteers of any Subcontractor) of **CONTRACTOR** working on premises to pass a fingerprint and background check through the California Department of Justice at **CONTRACTOR'S** sole expense, indicating that such individuals have never been convicted of certain crimes as referenced in the Penal Code and articulated in California Public Resources Code Section 5164(a)(2), if the individual will have supervisory or disciplinary authority over any minor.

PSC-42. Possessory Interests Tax

Rights granted to **CONTRACTOR** by **CITY** may create a possessory interest. **CONTRACTOR** agrees that any possessory interest created may be subject to California Revenue and Taxation Code Section 107.6 and a property tax may be levied on that possessory interest. If applicable, **CONTRACTOR** shall pay the property tax. **CONTRACTOR** acknowledges that the notice required under California Revenue and Taxation Code Section 107.6 has been provided.

PSC-43. Confidentiality

All documents, information and materials provided to **CONTRACTOR** by **CITY** or developed by **CONTRACTOR** pursuant to this Contract (collectively "Confidential Information") are confidential. **CONTRACTOR** shall not provide or disclose any Confidential Information or their contents or any information therein, either orally or in writing, to any person or entity, except as authorized by **CITY** or as required by law. **CONTRACTOR** shall immediately notify **CITY** of any attempt by a third party to obtain access to any Confidential Information. This provision will survive expiration or termination of this Contract.

PSC-44. COVID-19

Employees of Contractor and/or persons working on its behalf, including, but not limited to, subcontractors (collectively, "Contractor Personnel"), while performing services under this Agreement and prior to interacting in person with City employees, contractors, volunteers, or members of the public (collectively, "In-Person Services") must be fully vaccinated against the novel coronavirus 2019 ("COVID-19"). "Fully vaccinated" means that 14 or more days have passed since Contractor Personnel have received the final dose of a two-dose COVID-19 vaccine series (Moderna or Pfizer-BioNTech) or a single dose of a one-dose COVID-19 vaccine (Johnson & Johnson/Janssen) and all booster doses recommended by the Centers for Disease Control and Prevention. Prior to assigning Contractor Personnel to perform In-Person Services, Contractor shall obtain proof that such Contractor Personnel have been fully vaccinated. Contractor shall retain such proof for the document retention period set forth in this Agreement. Contractor shall grant medical or religious exemptions ("Exemptions") to Contractor Personnel as required by law. If Contractor wishes to assign Contractor Personnel with Exemptions to perform In-Person Services, Contractor shall require such Contractor Personnel to undergo weekly COVID-19 testing, with the full cost of testing to be borne by Contractor. If Contractor Personnel test positive, they shall not be assigned to perform In-Person Services or, to the extent they have already been performing In-Person Services, shall be immediately removed from those assignments. Furthermore, Contractor shall immediately notify City if Contractor Personnel performing In-Person Services (1) have tested positive for or have been diagnosed with COVID-19, (2) have been informed by a medical professional that they are likely to have COVID-19, or (3) meet the criteria for isolation under applicable government orders.

EXHIBIT 1

INSURANCE CONTRACTUAL REQUIREMENTS

CONTACT For additional information about compliance with City Insurance and Bond requirements, contact the Office of the City Administrative Officer, Risk Management at (213) 978-RISK (7475) or go online at www.lacity.org/cao/risk. The City approved Bond Assistance Program is available for those contractors who are unable to obtain the City-required performance bonds. A City approved insurance program may be available as a low cost alternative for contractors who are unable to obtain City-required insurance.

CONTRACTUAL REQUIREMENTS

CONTRACTOR AGREES THAT:

1. **Additional Insured/Loss Payee.** The CITY must be included as an Additional Insured in applicable liability policies to cover the CITY'S liability arising out of the acts or omissions of the named insured. The CITY is to be named as an Additional Named Insured and a Loss Payee As Its Interests May Appear in property insurance in which the CITY has an interest, e.g., as a lien holder.

2. **Notice of Cancellation.** All required insurance will be maintained in full force for the duration of its business with the CITY. By ordinance, all required insurance must provide at least thirty (30) days' prior written notice (ten (10) days for non-payment of premium) directly to the CITY if your insurance company elects to cancel or materially reduce coverage or limits prior to the policy expiration date, for any reason except impairment of an aggregate limit due to prior claims.

3. **Primary Coverage.** CONTRACTOR will provide coverage that is primary with respect to any insurance or self-insurance of the CITY. The CITY'S program shall be excess of this insurance and non-contributing.

4. **Modification of Coverage.** The CITY reserves the right at any time during the term of this Contract to change the amounts and types of insurance required hereunder by giving CONTRACTOR ninety (90) days' advance written notice of such change. If such change should result in substantial additional cost to CONTRACTOR, the CITY agrees to negotiate additional compensation proportional to the increased benefit to the CITY.

5. **Failure to Procure Insurance.** All required insurance must be submitted and approved by the Office of the City Administrative Officer, Risk Management prior to the inception of any operations by CONTRACTOR.

CONTRACTOR'S failure to procure or maintain required insurance or a self-insurance program during the entire term of this Contract shall constitute a material breach of this Contract under which the CITY may immediately suspend or terminate this Contract or, at its discretion, procure or renew such insurance to protect the CITY'S interests and pay any and all premiums in connection therewith and recover all monies so paid from CONTRACTOR.

6. **Workers' Compensation.** By signing this Contract, CONTRACTOR hereby certifies that it is aware of the provisions of Section 3700 *et seq.*, of the California Labor Code which require every employer to be insured against liability for Workers' Compensation or to undertake

self-insurance in accordance with the provisions of that Code, and that it will comply with such provisions at all time during the performance of the work pursuant to this Contract.

7. California Licensee. All insurance must be provided by an insurer admitted to do business in California or written through a California-licensed surplus lines broker or through an insurer otherwise acceptable to the CITY. Non-admitted coverage must contain a **Service of Suit** clause in which the underwriters agree to submit as necessary to the jurisdiction of a California court in the event of a coverage dispute. Service of process for this purpose must be allowed upon an agent in California designated by the insurer or upon the California Insurance Commissioner.

8. Aggregate Limits/Impairment. If any of the required insurance coverages contain annual aggregate limits, CONTRACTOR must give the CITY written notice of any pending claim or lawsuit which will materially diminish the aggregate within thirty (30) days of knowledge of same. You must take appropriate steps to restore the impaired aggregates or provide replacement insurance protection within thirty (30) days of knowledge of same. The CITY has the option to specify the minimum acceptable aggregate limit for each line of coverage required. No substantial reductions in scope of coverage which may affect the CITY'S protection are allowed without the CITY'S prior written consent.

9. Commencement of Work. For purposes of insurance coverage only, this Contract will be deemed to have been executed immediately upon any party hereto taking any steps that can be considered to be in furtherance of or towards performance of this Contract. The requirements in this Section supersede all other sections and provisions of this Contract, including, but not limited to, PSC-3, to the extent that any other section or provision conflicts with or impairs the provisions of this Section.

Required Insurance and Minimum Limits

Attachment 7

Name: ______________________________ Date: ______________

Agreement/Reference: ______________________________

Evidence of coverages checked below, with the specified minimum limits, must be submitted and approved prior to occupancy/start of operations. Amounts shown are Combined Single Limits ("CSLs"). For Automobile Liability, split limits may be substituted for a CSL if the total per occurrence equals or exceeds the CSL amount.

Limits

____ **Workers' Compensation (WC) and Employer's Liability (EL)**

WC *Statutory*

EL ________

☐ Waiver of Subrogation in favor of City

☐ Longshore & Harbor Workers

☐ Jones Act

____ **General Liability** ______________________________ ________

☐ Products/Completed Operations

☐ Fire Legal Liability ________

☐

☐ Sexual Misconduct ________

____ **Automobile Liability** (for any and all vehicles used for this contract, other than commuting to/from work) ________

____ **Professional Liability** (Errors and Omissions) ________

Discovery Period ______________________________

____ **Property Insurance** (to cover replacement cost of building - as determined by insurance company) ________

☐ All Risk Coverage

☐ Flood ________

☐ Earthquake ________

☐ Boiler and Machinery

☐ Builder's Risk

☐ ______________________________

____ **Pollution Liability** ________

☐

____ **Surety Bonds -** Performance and Payment (Labor and Materials) Bonds ________________

____ **Crime Insurance** ________

Other: ______________________________

Required Insurance and Minimum Limits

Name: Softech & Associates, Inc. Date: 06/28/2018

Agreement/Reference: Softech Software Support Agreement

Evidence of coverages checked below, with the specified minimum limits, must be submitted and approved prior to occupancy/start of operations. Amounts shown are Combined Single Limits ("CSLs"). For Automobile Liability, split limits may be substituted for a CSL if the total per occurrence equals or exceeds the CSL amount.

Limits

✓ **Workers' Compensation - Workers' Compensation (WC) and Employer's Liability (EL)**

WC ***Statutory***

EL **$1,000,000**

☐ Waiver of Subrogation in favor of City

☐ Longshore & Harbor Workers

☐ Jones Act

✓ **General Liability** **$1,000,000**

☑ Products/Completed Operations

☐ Fire Legal Liability

☐

☐ Sexual Misconduct

Automobile Liability (for any and all vehicles used for this contract, other than commuting to/from work)

✓ **Professional Liability** (Errors and Omissions) **$1,000,000**

Discovery Period 12 Months After Completion of Work or Date of Termination

Property Insurance (to cover replacement cost of building - as determined by insurance company)

☐ All Risk Coverage

☐ Flood

☐ Earthquake

☐ Boiler and Machinery

☐ Builder's Risk

☐

Pollution Liability

☐

Surety Bonds - Performance and Payment (Labor and Materials) Bonds 100% of the contract price

Crime Insurance

Other: 1) In the absence of imposed Auto Liability requirements, all contractors using vehicles during the course of their contract must adhere to the financial responsibility laws of the State of California.

Request and Authorize Additional Services

This form is used to request and authorize the use of Additional Services as described in Section 7.7.2 of the Contract. All Additional Services shall be within the scope of work described in this Contract. All other aspects of this Contract apply to the services authorized on this form, including review, acceptance, and payment for deliverables.

1. REQUEST INITIATION		
Request Title:		
Requested By:	**Submitted Date:**	
Requestor's Phone:	**Requestor's Email:**	
Request Details:		
Requested Start Date:	**Estimated Completion Date:**	
Attachments (if applicable):		
2. CITY REVIEW		
Request Tracking #:	**Date Reviewed:**	
Request Reviewed by City (Print Name):	**Reviewer's Title:**	
Revisions (if necessary):		
Approved as Requested ☐	**Not Approved** ☐	**Approved as Revised** ☐
3. Contractor REVIEW AND ESTIMATED TIME AND COST		
Reviewed By:	**Received Date:**	
Contractor's Phone:	**Contractor's Email:**	
Estimated Billable Hours:	**Estimated Cost:**	
Resources Required (Include Classification and Quantity):	**Start date:**	
	End date:	
Comments (Required):		
Attachments (if applicable):		
4. FINAL APPROVAL STATUS		
Authorized Signatures (Must be signed in the order listed.)	**Contractor Project Manager:**	**Date Signed:**
	City Project Manager:	**Date Signed:**
	LADBS Contract Administrator:	**Date Signed:**
	LADBS Finance:	**Date Signed:**
	LADBS General Manager:	**Date Signed:**

PERSONNEL DEPARTMENT 1022 INFORMATION FORM

1. Requesting Department: Building and Safety

2. Contacts

Department:	Christine Wai	Phone No.	(213) 482-6740	Fax No.	(213) 482-6754
CAO:	Maryli Orellana-Farias	Phone No.	(213) 473-7574	Fax No.	(213) 473-7517

3. Describe work to be performed. Describe duties and tasks involved.

The Los Angeles Department of Building and Safety (LADBS) is seeking an amendment to the contract for software maintenance and support services for the Department's Internet Document Imaging System (IDIS). The contractor must be qualified to provide software maintenance and support services for, but not limited to, the following: IBM Filenet Capture clients, IBM websphere application server network, P8 content manager licenses, IDIS thick and thin client customized applications, and Kofax. The Department's current contract for IDIS software enhancements and improvements expired on August 27, 2021 and the Department urgently needs to maintain coverage to safeguard its mission critical systems.

4. Is this a new contract? Yes ☐ No ☒

5. Is this an amendment? Yes ☒ No ☐

6. Proposed Length of Contract: Add 12 months Proposed Start Date: August 2021

   Proposed Cost of Contract: TBD

7. Unique or special qualifications required to perform the work:

   The Contractor must have knowledge and experience pertaining to the technical nature of software maintenance and support services for the Department's IDIS thick and thin clients.

8. Is there sufficient staff in your department with the appropriate expertise to perform the work?

Yes ☐ List job classifications: ______________________

No ☒ Please explain. List any training that would provide staff with the expertise to perform the work.

LADBS has neither the staff nor the equipment at its disposal to perform the work.

9. Can the Work to be performed be split between City employees and contractors with special expertise?

Yes ☐ List job classifications: ______________________

No ☒

10. Can the department hire the required number of staff within the required time frame? Explain.

No. LADBS does not have the ability to hire and train needed staff.

11. Are there City employees in your department currently performing this work?

Yes ☐ List job classifications:

No ☒

PERSONNEL DEPARTMENT 1022 INFORMATION FORM

12. Have City employees in your department performed this work in the past?

Yes ☐ List job classifications used: ____________________

No ☒

13. If the project is of limited duration:

The department could absorb the employees at the end of the project ☐

The employees would have to be laid off at the end of the project ☒

Softech & Associates

Company Information
ID 39521
Name: Softech & Associates
Address: 1570 Corporate Drive
Unit b
Costa Mesa, CA 92626

Compliance Documents

View Current Documents | View Expired Documents

Company Compliance Documents	Status	Uploaded/Submitted By	Uploaded/Submitted	Expired
Disclosure Ordinance (Indefinite Application)	Pending	Corey Meitchik	04/25/19	
Equal Benefits / First Source Hiring Ordinance (3 Year Application)	Verified	Corey Meitchik	08/06/18	08/06/21

MOA Participation and Emergency Vendor Contact Document

No Document Found

City of Los Angeles

Department of Public Works
Bureau of Contract Administration
Office of Contract Compliance
1149 S. Broadway, Suite 300, Los Angeles, CA 90015
Phone: (213) 847-2625 E-mail: bca.eeoe@lacity.org

EQUAL BENEFITS ORDINANCE COMPLIANCE AFFIDAVIT

Prime contractors must certify compliance with Los Angeles Administrative Code (LACC) Section 10.8.2.1 et seq. prior to the execution of a City agreement subject to the Equal Benefits Ordinance (EBO).

SECTION 1. CONTACT INFORMATION

BAVN Company Id: 39521 EIN/TIN: 33-0760467

Company Name: Softech & Associates

Company Address: 1570 Corporate Drive Unit b

City: Costa Mesa State: CA Zip: 92626

Contact Person: David Nguyen Phone: 714-427-1122 E-mail: cmeitchik@softechis.com

Approximate Number of Employees in the United States: 20

Approximate Number of Employees in the City of Los Angeles: 0

SECTION 2. EBO REQUIREMENTS

The EBO requires City Contractors who provide benefits to employees with spouses to provide the same benefits to employees with domestic partners. Domestic Partner means any two adults, of the same or different sex, who have registered as domestic partners with a governmental entity pursuant to state or local law authorizing this registration, or with an internal registry maintained by the employer of at least one of the domestic partners.

Unless otherwise exempt, the contractor is subject to and shall comply with the EBO as follows:

A. The Contractor's operations located within the City limits, regardless of whether there are employees at those locations performing work on the City Contract; and
B. The Contractor's operations located outside of the City limits if the property is owned by the City or the City has a right to occupy the property, and if the contractor's presence at or on the property is connected to a Contract with the City and
C. The Contractor's employees located elsewhere in the United States, but outside of the City Limits, if those employees are performing work on the City Contract.

A Contractor must post a copy of the following statement in conspicuous places at its place of business available to employees and applicants for employment:

"During the performance of a Contract with the City of Los Angeles, the Contractor will provide equal benefits to its employees with spouses and its employees with domestic partners."

SECTION 3. COMPLIANCE OPTIONS

I have read and understand the provisions of the Equal Benefits Ordinance and have determined that this company will comply as indicated below:

☐ .... I have no employees.
☐ .... I provide no benefits.
☐ .... I provide benefits to employees only. Employees are prohibited from enrolling their spouse or domestic partner.
☑ .... I provide equal benefits as required by the City of Los Angeles EBO.
☐ .... I provide employees with a "Cash Equivalent." Note: The "Cash Equivalent" is the amount of money equivalent to what your company pays for spousal benefits that are unavailable for domestic partners, or vice versa.
☐ .... All or some employees are covered by a collective bargaining agreement (CBA) or union trust fund. Consequently, I will provide Equal Benefits to all non-union represented employees, subject to the EBO, and will propose to the affected unions that they incorporate the requirements of the EBO into their CBA upon amendment, extension, or other modification of the CBA.
☐ .... Health benefits currently provided do not comply with the EBO. However, I will make the necessary changes to provide Equal Benefits upon my next Open Enrollment period which begins on (Date) .

☐ .... Our current company policies, i.e., family leave, bereavement leave, etc., do not comply with the provisions of the EBO. However, I will make the necessary modifications within three (3) months from the date of this affidavit.

FIRST SOURCE HIRING ORDINANCE COMPLIANCE AFFIDAVIT

Contractors (including loan or grant recipients) participating on a City contract that is subject to the First Source Hiring Ordinance (FSHO) are required to certify their compliance prior to contract execution.

As part of their obligations under the FSHO, Contractors must provide the Awarding Department a list of anticipated employment opportunities that they and their subcontractors expect to fill in order to perform the services under the contract. The FSHO-1 form (available at http://bca.lacity.org) should be utilized to inform the Awarding Authority of any such opportunities. If no opportunities are anticipated, contractors do not need to submit the FSHO-1 form prior to contract award, but must report any subsequent employment opportunities on the FSHO-3 form (available at htthttp://bca.lacity.org) as described below.

During the term of the contract, the contractor and their subcontractors shall:

1. At least seven business days prior to making an announcement of a specific employment opportunity, provide notification of that employment opportunity by submitting the FSHO-3 form to the Economic and Workforce Development Department;
2. Interview qualified individuals referred by the City's referral resources; and
3. Prior to filling any employment opportunity, inform the Office of Contract Compliance of the names of the referral resources used, the names of the individuals referred, and the names of the referred individuals who were interviewed. If the referred individuals were not hired, the contractor should also provide the reasons they were not hired.

DECLARATION UNDER PENALTY OF PERJURY

I understand that I am required to permit the City of Los Angeles access to and upon request, must provide certified copies of all company records pertaining to benefits, policies and practices for the purpose of investigation or to ascertain compliance. Furthermore, I understand that failure to comply may be deemed a material breach of any City contract by the Awarding Authority. The Awarding Authority may cancel, terminate or suspend in whole or in part, the contract; monies due or to become due under a contract may be retained by the City until compliance is achieved. The City may also pursue any and all other remedies at law or in equity for any breach. The City may use the failure to comply as evidence against the Contractor in actions taken pursuant to the provisions of the LAAC Section 10.40, et seq., Contractor Responsibility Ordinance.

TERMS OF ACCEPTANCE AND SIGNATURE:

I, David Nguyen, the requestor for this "EBO/FSHO Affidavit", warrant the truthfulness of the information provided in the document.

Electronic Signature:*

David	Nguyen
First name	*Last name*

☑ I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above
Terms of Acceptance.

Execution of document by E-signature. By clicking on the check box it indicates an electronic signature. This is considered the
legal equivalent of a manual or "wet" signature. Once signed electronically, this document is considered original and legally binding.

CITY OF LOS ANGELES - DISCLOSURE ORDINANCES

This Affidavit must only be submitted once on LABAVN (www.labavn.org), but contractors are responsible for updating their Affidavit if changes occur to any information contained therein.

Questions regarding this Affidavit may be directed to the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance. Website: http://bca.lacity.org/index.cfm; Phone: (213) 847-2625; E-mail: bca.eeoe@lacity.org.

AFFIDAVIT DISCLOSING SLAVERY ERA PARTICIPATION, INVESTMENTS OR PROFITS

1. I, Corey Meitchik am authorized to bind contractually the Company identified below.

2. Information about the Company entering into a Contract with the City is as follows:

39521 BAVN Company Id	33-0760467 EIN/TIN

Softech & Associates
Company Name

1570 Corporate Drive Unit b Street Address	Costa Mesa City	CA State	92626 Zip
714-427-1122 Phone	cmeitchik@softechis.com Email		

3. The company came into existence in 1997 (year).

4. The Company has searched its records and those of any Predecessor Companies for information relating to Participation or Investments in, or Profits derived from Slavery or Slaveholder Insurance Policies. Based on that research, the Company represents that: (mark only the option(s) that apply):

   - ☑ The Company found no records that the Company or any of its Predecessor Companies had any Participation or Investments in, or derived Profits from, Slavery or Slaveholder Insurance Policies during the Slavery Era.
   - ☐ The Company found records that the Company or its Predecessor Companies Participated or Invested in, or derived Profits from Slavery during the Slavery Era. A description of the nature of that Participation, Investment, or Profit is required and should be sent to bca.eeoe@lacity.org.
   - ☐ The Company found records that the Company or its Predecessor Companies bought, sold, or derived Profits from Slaveholder Insurance Policies during the Slavery Era. A list of names of any Enslaved Persons or Slaveholders under the Policies is required and should be sent to bca.eeoe@lacity.org.

5. The Person/Company has searched its records for information relating and based on that research, the Person/Company represents that (mark only the option(s) that apply):

   - ☑ The Person/Company found no records that the Company has participated in contracts, bids, or proposals to provide goods or services for the design, construction, operation, or maintenance of a federally funded wall, fence or other barrier, including prototypes of a wall, fence or other barrier along the border between the United States and Mexico on or after March 17, 2017.
   - ☐ The Person/Company found records that the Company has participated in contracts, bids, or proposals to provide goods or services for the design, construction, operation, or maintenance of a federally funded wall, fence or other barrier, including prototypes of a wall, fence or other barrier along the border between the United States and Mexico on or after March 17, 2017. A description of the nature of that Participation is required and should be sent to bca.eeoe@lacity.org.

6. The Person/Company has searched its records for information relating and based on that research, the Person/Company represents that: (mark only the option(s) that apply):

   - ☑ The Person found no records that the Company and its Subsidiaries, if any, have participated in contracts or sponsorships with the National Rifle Association.
   - ☐ The Person found records that the Company and its Subsidiaries, if any, have participated in contracts or sponsorships with the National Rifle Association. A description of the nature of that Participation is required and should be sent to bca.eeoe@lacity.org.

TERMS OF ACCEPTANCE AND SIGNATURE:

I, Corey Meitchik, the requestor for this "DO Affidavit", warrant the truthfulness of the information provided in the document.

Electronic Signature:*

Corey Meitchik	25 April, 2019
Signature	*Date*

☑ I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above
Terms of Acceptance.

Execution of document by E-signature. By clicking on the check box it indicates an electronic signature. This is considered the
legal equivalent of a manual or "wet" signature. Once signed electronically, this document is considered original and legally binding.

DEFINITIONS

Affidavit means the form developed by the DAA and may be updated from time to time. The Affidavit need not be notarized but must be signed under penalty of perjury.

Company means any person, firm, corporation, partnership or combination of these.

Contract means any agreement, franchise, lease or concession including an agreement for any occasional professional or technical personal services, the performance of any work or service, the provision of any materials or supplies or rendering of any service to the City of Los Angeles or the public, which is let, awarded or entered into with or on behalf of the City of Los Angeles or any Awarding Authority of the City.

Enslaved Person means any person who was wholly subject to the will of another and whose person and services were wholly under the control of another and who was in a state of enforced compulsory service to another during the Slavery Era.

Investment means to make use of an Enslaved Person for future benefits or advantages.

Participation means having been a Slaveholder during the Slavery Era.

Predecessor Company means an entity whose ownership, title and interest, including all rights, benefits, duties and liabilities were acquired in an uninterrupted chain of succession by the Company.

Profits means any economic advantage or financial benefit derived from the use of Enslaved Persons.

Slavery means the practice of owning Enslaved Persons.

Slavery Era means that period of time in the United States of America prior to 1865.

Slaveholder means holders of Enslaved Persons, owners of business enterprises using Enslaved Persons, owners of vessels carrying Enslaved Persons or other means of transporting Enslaved Persons, merchants or financiers dealing in the purchase, sale or financing of the business of Enslaved Persons.

Slaveholder Insurance Policies means policies issued to or for the benefit of Slaveholders to insure them against the death of, or injury to, Enslaved Persons.

CITY OF LOS ANGELES
CONTRACTOR RESPONSIBILITY ORDINANCE

CRO QUESTIONNAIRE RECEIPT VERIFICATION FORM

To verify the Contractor Responsibility Ordinance's (CRO) compliance, this form must be completed by the Awarding Authority and submitted to the appropriate Designated Administrative Agency (DAA) along with the Responsibility Questionnaires. Upon receipt of the Questionnaires, the DAA will return this signed form to the Awarding Authority. **The Awarding Authority must attach the certified form to each draft contract for review by the Office of the City Attorney. No contract may be executed unless a certified Receipt Verification Form indicates that the CRO requirement has been met.**

1. Information Regarding Proposed Contract

Project Name/Description: Software Maintenance and Support Services

RFB/RFQ/RFP # (if any): Date RFB/RFQ/RFP Released:
Procuring Dept.: Building and Safety Mail Stop #: 115
Name of Dept. Contact: Zachary De Corse Phone: 213-482-6776

2. Questionnaires Are Submitted for the Following Bidders/Proposers/Proposed Contractors:

Company Name: Softech & Associates, Inc.
Company Address: 1570 Corporate Drive, Suite B
City: Costa Mesa State: CA Zip: 92626

Company Name:
Company Address:
City: State: Zip:

Company Name:
Company Address:
City: State: Zip:

Company Name:
Company Address:
City: State: Zip:

FOR DAA USE ONLY – VERIFICATION REGARDING RECEIPT

The Responsibility Questionnaires for the bidders/proposers/proposed contractors listed above were received on (date) AUG 1 3 2018.

The Questionnaires were processed by:

_X_ Dept. of Public Works for Construction Contracts and **Service** Contracts
____ Dept. of General Services for Procurement Contracts

Authorized DAA Representative (Print Name) George Espindola Phone (213) 847-2408

DAA Representative Signature George Espindola Date AUG 1 3 2018

CITY OF LOS ANGELES
RESPONSIBILITY QUESTIONNAIRE

RESPONSES TO THE QUESTIONS CONTAINED IN THIS QUESTIONNAIRE MUST BE SUBMITTED ON THIS FORM. In responding to the Questionnaire, neither the City form, nor any of the questions contained therein, may be retyped, recreated, modified, altered, or changed in any way, in whole or in part. Bidders or Proposers that submit responses on a form that has been retyped, recreated, modified, altered, or changed in any way shall be deemed non-responsive.

The signatory of this Questionnaire guarantees the truth and accuracy of all statements and answers to the questions herein. Failure to complete and return this questionnaire, any false statements, or failure to answer (a) question(s) when required, may render the bid/proposal non-responsive. All responses must be typewritten or printed in ink. Where an explanation is required or where additional space is needed to explain an answer, use the Responsibility Questionnaire Attachments. Submit the completed form and all attachments to the awarding authority. Retain a copy of this completed form for future reference. Contractors must submit updated information to the awarding authority if changes have occurred that would render any of the responses inaccurate in any way. Updates must be submitted to the awarding authority within 30 days of the change(s).

A. CONTACT INFORMATION

CITY DEPARTMENT INFORMATION

City Department/Division Awarding Contract	City Contact Person	Phone
Los Angeles Department of Building and Safety	Zachary De Corse	(213)482-6776

City Bid or Contract Number (if applicable) and Project Title: ______

BIDDER/CONTRACTOR INFORMATION

Bidder/Proposer Business Name: Softech & Associates

Street Address	City	State	Zip
1570 Corporate Dr, Ste B	Costa Mesa	CA	92626

Contact Person, Title	Phone	Fax
Corey Meitchik, CEO	714-427-1122	

TYPE OF SUBMISSION:

The Questionnaire being submitted is:

☒ An initial submission of a completed Questionnaire.

☐ An update of a prior Questionnaire dated ______/______/______.

☐ No change. I certify under penalty of perjury under the laws of the State of California that there has been no change to any of the responses since the last Responsibility Questionnaire dated ______/______/______ was submitted by the firm. Attach a copy of that Questionnaire and sign below.

Print Name, Title	Signature	Date
Corey Meitchik, CEO	[signature]	Aug 6, 2018

TOTAL NUMBER OF PAGES SUBMITTED, INCLUDING ALL ATTACHMENTS: 9

B. BUSINESS ORGANIZATION/STRUCTURE

Indicate the organizational structure of your firm. "Firm" includes a sole proprietorship, corporation, joint venture, consortium, association, or any combination thereof.

☒ **Corporation:** Date incorporated: 05 / 23 / 1997 State of incorporation: CA

List the corporation's current officers.

President: David Nguyen

Vice President: Don Julien

Secretary: Loann Nguyen

Treasurer: Richard Tran

☐ Check the box only if your firm is a publicly traded corporation.

List those who own 5% or more of the corporation's stocks. Use Attachment A if more space is needed. Publicly traded corporations need not list the owners of 5% or more of the corporation's stocks.

David Nguyen	Richard Tran
Don Julien	Loann Nguyen

☐ **Limited Liability Company:** Date of formation: ____/____/____ State of formation: ________

List members who own 5% or more of the company. Use Attachment A if more space is needed.

☐ **Partnership:** Date formed: ____/____/____ State of formation: ________

List all partners in your firm. Use Attachment A if more space is needed.

☐ **Sole Proprietorship:** Date started: ____/____/____

List any firm(s) that you have been associated with as an owner, partner, or officer for the last five years. Use Attachment A if more space is needed. Do not include ownership of stock in a publicly traded company in your response to this question.

☐ **Joint Venture:** Date formed: ____/____/____

List: (1) each firm that is a member of the joint venture and (2) the percentage of ownership the firm will have in the joint venture. Use Attachment A if more space is needed. **Each member of the Joint Venture must complete a separate Questionnaire for the Joint Venture's submission to be considered as responsive to the invitation.**

C. OWNERSHIP AND NAME CHANGES

1. Is your firm a subsidiary, parent, holding company, or affiliate of another firm?

   ☐ **Yes** ☒ **No**

   If **Yes**, explain on Attachment A the relationship between your firm and the associated firms. Include information about an affiliated firm only if one firm owns 50% or more of another firm, or if an owner, partner or officer of your firm holds a similar position in another firm.

2. Has any of the firm's owners, partners, or officers operated a similar business in the past five years?

   ☐ **Yes** ☒ **No**

   If **Yes**, list on Attachment A the names and addresses of all such businesses, and the person who operated the business. Include information about a similar business only if an owner, partner or officer of your firm holds a similar position in another firm.

3. Has the firm changed names in the past five years?

   ☐ **Yes** ☒ **No**

   If **Yes**, list on Attachment A all prior names, addresses, and the dates they were used. Explain the reason for each name change in the last five years.

4. Are any of your firm's licenses held in the name of a corporation or partnership?

   ☐ **Yes** ☒ **No**

   If Yes, list on Attachment A the name of the corporation or partnership that actually holds the license.

Bidders/Contractors must continue on to Section D and answer all remaining questions contained in this Questionnaire.

The responses in this Questionnaire will not be made available to the public for review. This is not a public document. [CPCC §20101(a)]

D. FINANCIAL RESOURCES AND RESPONSIBILITY

5. Is your firm now, or has it ever been at any time in the last five years, the debtor in a bankruptcy case?

   ☐ **Yes** ☒ **No**

   If **Yes**, explain on Attachment B the circumstances surrounding each instance.

6. Is your company in the process of, or in negotiations toward, being sold?

   ☐ **Yes** ☒ **No**

   If **Yes**, explain the circumstances on Attachment B.

E. PERFORMANCE HISTORY

7. How many years has your firm been in business? 21 Years.

8. Has your firm ever held any contracts with the City of Los Angeles or any of its departments?

   ☐ **Yes** ☒ **No**

   If, **Yes,** list on an Attachment B all contracts your firm has had with the City of Los Angeles for the last 10 years. For each contract listed in response to this question, include: (a) entity name; (b) purpose of contract; (c) total cost; (d) starting date; and (e) ending date.

9. List on Attachment B all contracts your firm has had with any private or governmental entity (other than the City of Los Angeles) over the last five years that are similar to the work to be performed on the contract for which you are bidding or proposing. For each contract listed in response to this question, include: (a) entity name; (b) purpose of contract; (c) total cost; (d) starting date; and (e) ending date.

   ☐ Check the box if you have not had any similar contracts in the last five years

10. In the past five years, has a governmental or private entity or individual terminated your firm's contract prior to completion of the contract?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance.

11. In the past five years, has your firm used any subcontractor to perform work on a government contract when you knew that the subcontractor had been debarred by a governmental entity?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance.

12. In the past five years, has your firm been debarred or determined to be a non-responsible bidder or contractor?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance.

F. DISPUTES

13. In the past five years, has your firm been the defendant in court on a matter related to any of the following issues? For parts (a) and (b) below, check **Yes** even if the matter proceeded to arbitration without court litigation. For part (c), check **Yes** only if the matter proceeded to court litigation. If you answer **Yes** to any of the questions below, explain the circumstances surrounding each instance on Attachment B. You must include the following in your response: the name of the plaintiffs in each court case, the specific causes of action in each case; the date each case was filed; and the disposition/current status of each case.

    (a) Payment to subcontractors?

    ☐ **Yes** ☒ **No**

    (b) Work performance on a contract?

    ☐ **Yes** ☒ **No**

    (c) Employment-related litigation brought by an employee?

    ☐ **Yes** ☒ **No**

14. Does your firm have any outstanding judgements pending against it?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance.

15. In the past five years, has your firm been assessed liquidated damages on a contract?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance and identify all such projects, the amount assessed and paid, and the name and address of the project owner.

G. COMPLIANCE

16. In the past five years, has your firm or any of its owners, partners or officers, ever been investigated, cited, assessed any penalties, or been found to have violated any laws, rules, or regulations enforced or administered, by any of the governmental entities listed on Attachment C (Page 9)? For this question, the term "owner" does not include owners of stock in your firm if your firm is a publicly traded corporation.

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance, including the entity that was involved, the dates of such instances, and the outcome.

17. If a license is required to perform any services provided by your firm, in the past five years, has your firm, or any person employed by your firm, been investigated, cited, assessed any penalties, subject to any disciplinary action by a licensing agency, or found to have violated any licensing laws?

    ☐ **Yes** ☒ **No**

    If **Yes**, explain on Attachment B the circumstances surrounding each instance in the last five years.

18. In the past five years, has your firm, any of its owners, partners, or officers, ever been penalized or given a letter of warning by the City of Los Angeles for failing to obtain authorization from the City for the substitution of a Minority-owned (MBE), Women-owned (WBE), or Other (OBE) business enterprise?

   ☐ **Yes** ☒ **No**

   If **Yes**, explain on Attachment B the circumstances surrounding each instance in the last five years.

H. BUSINESS INTEGRITY

19. For questions (a), (b), and (c) below, check **Yes** if the situation applies to your firm. For these questions, the term "firm" includes any owners, partners, or officers in the firm. The term "owner" does not include owners of stock in your firm if the firm is a publicly traded corporation. <u>If you check **Yes** to any of the questions below, explain on Attachment B the circumstances surrounding each instance.</u>

   (a) Is a governmental entity or public utility currently investigating your firm for making (a) false claim(s) or material misrepresentation(s)?

   ☐ **Yes** ☒ **No**

   (b) In the past five years, has a governmental entity or public utility alleged or determined that your firm made (a) false claim(s) or material misrepresentation(s)?

   ☐ **Yes** ☒ **No**

   (c) In the past five years, has your firm been convicted or found liable in a civil suit for, making (a) false claim(s) or material misrepresentation(s) to any governmental entity or public utility?

   ☐ **Yes** ☒ **No**

20. In the past five years, has your firm or any of its owners or officers been convicted of a crime involving the bidding of a government contract, the awarding of a government contract, the performance of a government contract, or the crime of fraud, theft, embezzlement, perjury, bribery? For this question, the term "owner" does not include those who own stock in a publicly traded corporation.

   ☐ **Yes** ☒ **No**

   If **Yes**, explain on Attachment B the circumstances surrounding each instance.

CERTIFICATION UNDER PENALTY OF PERJURY

I certify under penalty of perjury under the laws of the State of California that I have read and understand the questions contained in this questionnaire and the responses contained on all Attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this Questionnaire is true and accurate to the best of my knowledge and belief.

Corey Meitchik, CEO	Corey Meitchik	Aug 6, 2018
Print Name, Title	Signature	Date

ATTACHMENT A FOR SECTIONS A THROUGH C

Where additional information or an explanation is required, use the space below to provide the information or explanation. Information submitted on this sheet must be typewritten or printed in ink. Include the number of the question for which you are submitting additional information. Make copies of this Attachment if additional pages are needed.

Page _____

ATTACHMENT B FOR SECTIONS D THROUGH H

Where additional information or an explanation is required, use the space below to provide the information or explanation. Information submitted on this sheet must be typewritten or printed in ink. Include the number of the question for which you are submitting additional information. Make copies of this Attachment if additional pages are needed.

Page _____

Name	Purpose	Cost	Start Date	End Date
City of Tulsa Police	Data Migration and support services	est $500,000	5/18	est 1/19
New Mexico PERA	Custom software development &support	est $700,000	1/17	est 2/19

ATTACHMENT C: GOVERNMENTAL ENTITIES FOR QUESTION NO. 16

Check **Yes** in response to Question No. 16 if your firm or any of its owners, partners or officers, have ever been investigated, cited, assessed any penalties, or found to have violated any laws, rules, or regulations enforced or administered, by any of the governmental entities listed below (or any of its subdivisions), including but not limited to those examples specified below. The term "owner" does not include owners of stock in your firm if your firm is a publicly traded corporation. If you answered **Yes**, provide an explanation on Attachment B of the circumstances surrounding each instance, including the entity involved, the dates of such instances, and the outcome.

FEDERAL ENTITIES

Federal Department of Labor
- American with Disabilities Act
- Immigration Reform and Control Act
- Family Medical Leave Act
- Fair Labor Standards Act
- Davis-Bacon and laws covering wage requirements for federal government contract workers
- Migrant and Seasonal Agricultural Workers Protection Act
- Immigration and Naturalization Act
- Occupational Safety and Health Act
- anti-discrimination provisions applicable to government contractors and subcontractors
- whistleblower protection laws

Federal Department of Justice
- Civil Rights Act
- American with Disabilities Act
- Immigration Reform and Control Act of 1986
- bankruptcy fraud and abuse

Federal Department of Housing and Urban Development (HUD)
- anti-discrimination provisions in federally subsidized/assisted/sponsored housing programs
- prevailing wage requirements applicable to HUD related programs

Federal Environmental Protection Agency
- Environmental Protection Act

National Labor Relations Board
- National Labor Relations Act

Federal Equal Employment Opportunity Commission
- Civil Rights Act
- Equal Pay Act
- Age Discrimination in Employment Act
- Rehabilitation Act
- Americans with Disabilities Act

STATE ENTITIES

California's Department of Industrial Relations
- wage and labor standards, and licensing and registration
- occupational safety and health standards
- workers' compensation self insurance plans
- Workers' Compensation Act
- wage, hour, and working standards for apprentices
- any provision of the California Labor Code

California's Department of Fair Employment and Housing
- California Fair Employment and Housing Act
- Unruh Civil Rights Act
- Ralph Civil Rights Act

California Department of Consumer Affairs
- licensing, registration, and certification requirements
- occupational licensing requirements administered and/or enforced by any of the Department's boards, including the Contractors' State Licensing Board

California's Department of Justice

LOCAL ENTITIES

City of Los Angeles or any of its subdivisions for violations of any law, ordinance, code, rule, or regulation administered and/or enforced by the City, including any letters of warning or sanctions issued by the City of Los Angeles for an unauthorized substitution of subcontractors, or unauthorized reductions in dollar amounts subcontracted.

OTHERS

Any other federal, state, local governmental entity for violation of any other federal, state, or local law or regulation relating to wages, labor, or other terms and conditions of employment.

Connect Create Collaborate

Husam Zakharia <husam.zakharia@lacity.org>

City Attorney Review Request - IDIS Amendment No. 4

1 message

Christine Wai <christine.wai@lacity.org> Wed, Sep 29, 2021 at 8:53 AM
To: Brent Nichols <brent.nichols@lacity.org>
Cc: Husam Zakharia <husam.zakharia@lacity.org>, Zachary DeCorse <zachary.decorse@lacity.org>

Hi Brent,

Attached for your review and approval, please find a draft of the Third Amended and Restated Agreement (aka Amendment No. 4) with Softech and Associates, Inc. for Internet Document Imaging System (IDIS) support services.

The purpose of the amendment is to extend the contract by 12 months in order to complete Scope of Work tasks.

I have attached a "clean" version of the draft 3rd A/R, along with a redline version so you can quickly see the changes from the 2nd A/R we did several months ago. I have also included the attachments for your reference, though those remain unchanged, so you can safely skip review of them.

Thank you!

Best Regards,
Christine Wai
Administrative Services Division
Los Angeles Department of Building and Safety
Direct: (213) 482-6740 | Main: (213) 482-6776
christine.wai@lacity.org

3 attachments

IDIS 3rd Amend and Restate DRAFT 092821 clean.docx
60K

IDIS 3rd Amend and Restate DRAFT 092821 (redline fr 2nd AR).docx
61K

Attachments 1 - 9 combined.pdf
14663K

LOS ANGELES RESIDENCE INFORMATION

The City Council, in consideration of the importance of preserving and enhancing the economic base and well-being of the City, encourages businesses to locate or remain within the City of Los Angeles. This is important because of the jobs businesses generate, and for the business taxes they remit. The City Council adopted a Motion (CF 92-0021) on January 7, 1992 that requires proposers/bidders to state their headquarter address as well as the percentage of their workforce residing in the City of Los Angeles. In order to comply with this Motion, please provide the following information:

Organization: Softech & Associates

Corporate or Main Office Address: 1570 Corproate Dr, Ste B
Costa Mesa, CA
92626

Total Number of Employees Employed by Company or Organization: 20

Percentage of the Total Workforce Residing in the City of Los Angeles: 0%

Percentage of the Total Workforce Employed in the City of Los Angeles: 0%

The Address of Any Branch Office(s) within the City of Los Angeles: N/A

Workforce in Each City of Los Angeles Branch Office: N/A

Percentage of Workforce in Each City of Los Angeles Branch Office residing in the City of Los Angeles: N/A

Percentage of Workforce in Each Los Angeles Branch Office employed in the City of Los Angeles: N/A

Connect Create Collaborate

Alice Yue <alice.yue@lacity.org>

CEC Form 55 - Response to Software Maintenance and Support Services Contract

Alice Yue <alice.yue@lacity.org> Tue, Aug 7, 2018 at 4:17 PM
To: ethics bidder <ethics.bidder@lacity.org>
Cc: RYAN SOLIS <ryan.solis@lacity.org>, Christine Wai <christine.wai@lacity.org>, Zachary Decorse <zachary.decorse@lacity.org>

Hi all,

Please see attached the completed CEC 55 Form for Softech & Associates, Inc., for software maintenance and support services.

Thank you,

Alice Yue
City of Los Angeles Department of Building and Safety
Administrative Services Division
Main: (213) 482-6776 | Direct: (213) 202-3104
Alice.Yue@lacity.org

CEC Form 55.pdf
689K

City Ethics Commission
200 N Spring Street
City Hall — 24th Floor
Los Angeles, CA 90012
Mail Stop 129
(213) 978-1960

Prohibited Contributors (Bidders)
CEC Form 55

This form must be completed in its entirety and submitted to the awarding authority with your bid or proposal for the contract noted below. A bid or proposal that does not include a completed form will be deemed nonresponsive. Please write legibly.

☒ Original filing ☐ Amended filing (original signed on __________; last amendment signed on __________)

Bid/Contract/BAVN Number (or other identifying information if no number):

Date Bid Submitted:

Description of Contract:
Software services, maintenance, support, installation, training and sales

Awarding Authority (Department):

BIDDER

Name: Softech & Associates , Corey Meitchik (CEO)

Address: 1570 Corporate Dr, Ste B, Costa Mesa, CA 92626

Email (optional): __________ Phone: 714-427-1122

State Contractor ID: not applicable

State ID must be disclosed for identification purposes, even if not performing work on this contract under that license. If the bidder does not have a state contractor ID, indicate "not applicable".

PRINCIPALS

Please identify the names and titles of all principals (attach additional sheets if necessary). Principals include a bidder's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the bidder of at least 20 percent and employees of the bidder who are authorized by the bid or proposal to represent the bidder before the City.

Name: David Nguyen Title: Board Member
Address: 38 Arbusto St, Irvine, CA 92606

Name: Loann Nguyen Title: Board Member
Address: 38 Arbusto St, Irvine, CA 9260

Name: Richard Tran Title: Board Member
Address: 24 Tioga Pl, Irvine, CA 92602

Name: Don Julien Title: Board Member
Address: 18562 Santa Isadora, Fountain Valley, CA 92708

☒ 1 additional sheets are attached. ☐ Bidder is an individual and no other principals exist.

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Los Angeles, CA 90012
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(213) 978-1960

Prohibited Contributors (Bidders)
CEC Form 55

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☒ Original filing ☐ Amended filing (original signed on __________; last amendment signed on __________)

Bid/Contract/BAVN Number (or other identifying information if no number):

Date Bid Submitted:

Description of Contract:
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Awarding Authority (Department):

BIDDER

Name: Softech & Associates , Corey Meitchik (CEO)

Address: 1570 Corporate Dr, Ste B, Costa Mesa, CA 92626

Email (optional): __________ Phone: 714-427-1122

State Contractor ID: not applicable

State ID must be disclosed for identification purposes, even if not performing work on this contract under that license. If the bidder does not have a state contractor ID, indicate "not applicable".

PRINCIPALS

Please identify the names and titles of all principals (attach additional sheets if necessary). Principals include a bidder's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the bidder of at least 20 percent and employees of the bidder who are authorized by the bid or proposal to represent the bidder before the City.

Name: Corey Meitchik Title: CEO
Address: 6618 Grulla St, Carlsbad, CA 92009

Name: __________ Title: __________
Address: __________

Name: __________ Title: __________
Address: __________

Name: __________ Title: __________
Address: __________

☐ ______ additional sheets are attached. ☐ Bidder is an individual and no other principals exist.

City Ethics Commission
200 N Spring Street
City Hall — 24th Floor
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Prohibited Contributors (Bidders) CEC Form 55

SUBCONTRACTORS

Please identify all subcontractors whose subcontracts are worth $100,000 or more (attach additional sheets if necessary). If the subcontractor has a state contractor license, the ID must be disclosed for identification purposes, even if the subcontractor is not performing work on this contract under that license.

Subcontractor: not appicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not applicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

Subcontractor: not appicable
Address: ______
State Contractor ID *(for identification purposes; if none, indicate "not applicable")*: ______

☐ ______ additional sheets are attached.

☒ Bidder has no subcontractors on this bid or proposal whose subcontracts are worth $100,000 or more.

City Ethics Commission
200 N Spring Street
City Hall — 24th Floor
Los Angeles, CA 90012
Mail Stop 129
(213) 978-1960

Prohibited Contributors (Bidders) CEC Form 55

PRINCIPALS OF SUBCONTRACTORS

Please identify the names and titles of all principals for each subcontractor identified on page 2 (attach additional sheets if necessary). Principals include a subcontractor's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the subcontractor of at least 20 percent and employees of the subcontractor who are authorized by the bid or proposal to represent the subcontractor before the City.

Name: ______ Title: ______
Address: ______
Subcontractor: ______

Name: ______ Title: ______
Address: ______
Subcontractor: ______

Name: ______ Title: ______
Address: ______
Subcontractor: ______

Name: ______ Title: ______
Address: ______
Subcontractor: ______

Name: ______ Title: ______
Address: ______
Subcontractor: ______

☐ Of the subcontractors identified on page 2, the following are individuals and no other principals exist (attach additional sheets if necessary):

Subcontractor: ______

Subcontractor: ______

☐ ______ additional sheets are attached.

☒ Bidder has no subcontractors on this bid or proposal whose subcontracts are worth $100,000 or more.

CERTIFICATION

I certify that I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter section 470(c)(12) and any related ordinances. I understand that I must amend this form within ten business days if the information above changes. I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information provided above is true and complete.

Date: Aug 6, 2018

Signature: Corey Meitchik

Name: Corey Meitchik

Title: CEO

Under Los Angeles City Charter § 470(c)(12), this form must be submitted to the awarding authority with your bid or proposal. A bid or proposal that does not include a completed Form 55 will be deemed nonresponsive.

City Ethics Commission
200 N Spring Street
City Hall — 24th Floor
Los Angeles, CA 90012
Mail Stop 129
(213) 978-1960

Bidder Certification
CEC Form 50

This form must be submitted to the awarding authority with your bid or proposal for the contract noted below. Please write legibly.

☒ Original filing ☐ Amended filing (original signed on ______________; last amendment signed on ______________)

Bid/Contract/BAVN Number:	**Awarding Authority (Department):**

Name of Bidder:	**Phone:**
Softech & Associates, Corey Meitchik (CEO)	714-427-1122

Address: 1570 Corporate Dr, Ste B, Costa Mesa, CA 92626

Email: cmeitchik@softechis.com

CERTIFICATION

I certify the following on my own behalf or on behalf of the entity named above, which I am authorized to represent:

A. I am a person or entity that is applying for a contract with the City of Los Angeles.

B. The contract for which I am applying is an agreement for one of the following:
1. The performance of work or service to the City or the public;
2. The provision of goods, equipment, materials, or supplies;
3. Receipt of a grant of City financial assistance for economic development or job growth, as further described in Los Angeles Administrative Code § 10.40.1(h); or
4. A public lease or license of City property where both of the following apply, as further described in Los Angeles Administrative Code § 10.37.1(l):
   a. I provide services on the City property through employees, sublessees, sublicensees, contractors, or subcontractors, and those services:
      i. Are provided on premises that are visited frequently by substantial numbers of the public; or
      ii. Could be provided by City employees if the awarding authority had the resources; or
      iii. Further the proprietary interests of the City, as determined in writing by the awarding authority.
   b. I am not eligible for exemption from the City's living wage ordinance, as eligibility is described in Los Angeles Administrative Code § 10.37.1(l)(b).

C. The value and duration of the contract for which I am applying is one of the following:
1. For goods or services contracts—a value of more than $25,000 and a term of at least three months;
2. For financial assistance contracts—a value of at least $100,000 and a term of any duration; or
3. For construction contracts, public leases, or licenses—any value and duration.

D. I acknowledge and agree to comply with the disclosure requirements and prohibitions established in the Los Angeles Municipal Lobbying Ordinance if I qualify as a lobbying entity under Los Angeles Municipal Code § 48.02.

I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information in this form is true and complete.

Date: Aug 1, 2018

Signature: Corey Meitchik

Name: Corey Meitchik

Title: CEO