



**COUNTY OF GALVESTON**  
**REQUEST FOR PROPOSAL**  
February 17, 2011



**Enterprise Content  
Management System &  
Implementation Services  
County of Galveston**

Submissions Due:  
**March 24, 2011 - 10:00 am**



**OPEN: 03/24/2011**

**RFP#: B111035  
B111035 OPEN: 03/24/2011  
10:00 AM**

**REQUEST FOR PROPOSAL  
ENTERPRISE CONTENT MANAGEMENT SYSTEM & IMPLEMENTATION  
SERVICES  
GALVESTON COUNTY, TEXAS**

Sealed proposals in **sets of nine (9), one (1) original and eight (8) copies** will be received in the office of the County Purchasing Agent until **10:00 AM on 04/07/2011** and opened immediately in that office in the presence of the County Auditor and the Purchasing Agent. Any proposal received after **10:00 AM** on the date specified will be returned unopened.

All proposals must be marked on the outside of the envelope:

**RFP#:B111035  
ENTERPRISE CONTENT MANAGEMENT SYSTEM & IMPLEMENTATION SERVICES  
OPEN: 03/24/2011 10:00 AM**

Proposers name, return address, and the enclosed label should be prominently displayed on the envelope. Pricing will be as shown in Request for Proposal.

Specifications can be obtained on application at the office of the County Purchasing Agent, located in the Galveston County Courthouse, 722 Moody Avenue (21st Street) Fifth (5th) Floor, Galveston, Texas, 77550.

Proposals will be either lump sum or unit prices as shown on the proposal sheet, if applicable. The net price will be delivered to Galveston County, including all freight or shipping charges The County is tax exempt and no taxes should be included in your proposal.

Upon satisfaction of contractual terms (e.g., goods delivered in promised condition, services rendered as agreed, etc.), vendor is to be paid via Galveston County's normal accounts payable process.

Sealed proposals are to be delivered to the Galveston County Purchasing Agent, Galveston County Courthouse, 722 Moody Avenue (21st Street) Fifth (5th) Floor, Galveston, Texas 77550.

Commissioners' Court reserves the right to waive any informality and to reject any and all proposals and to accept the proposal or proposals which, in its opinion, is most advantageous to the County.

Rufus Crowder, CPPB  
Purchasing Agent  
Galveston County



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**GENERAL PROVISIONS**  
**RFP FOR AN ENTERPRISE CONTENT MANAGEMENT SYSTEM & IMPLEMENTATION**  
**SERVICES**  
**GALVESTON , TEXAS**

**1. PROPOSAL PACKAGE**

*The request for proposal, general and special provisions, drawings, specifications/line item details, contract documents and the proposal sheet are all considered part of the proposal package. Proposals must be submitted in sets of nine (9), one (1) original and eight (8) copies on the forms provided by the County, including the proposal sheets completed in their entirety and signed by an authorized representative by original signature. Failure to complete and sign the proposal sheets/contract page(s) may disqualify the proposal from being considered by the Commissioners' Court. Any individual signing on behalf of the proposer expressly affirms that he or she is duly authorized to tender this proposal and to sign the proposal sheet/contract under the terms and conditions in this proposal. Proposer further understands that the signing of the contract shall be of no effect unless subsequently awarded and the contract properly executed by the Commissioners' Court. All figures must be written in ink or typed. Figures written in pencil or with erasures are not acceptable. However, mistakes may be crossed out, corrections inserted, and initialed in ink by the individual signing the proposal. If there are discrepancies between unit prices quoted and extensions, the unit price will prevail. Each proposer is required to thoroughly review this entire proposal packet to familiarize themselves with the proposal procedures, the plans and specifications for the requested work as well as the terms, and conditions of the contract the successful proposer will execute with the County.*

**2. PROPOSER'S RESPONSIBILITY**

The Proposer must affirmatively demonstrate its responsibility. The Proposer must also meet the following minimum requirements:

1. have adequate financial resources or the ability to obtain such resources as required;
2. be able to comply with all federal, state, and local laws, rules, regulations, ordinances and orders regarding this Request for Proposal;
3. have a satisfactory record of performance;
4. have a satisfactory record of integrity and ethics;
5. be otherwise qualified and eligible to receive an award.

**3. TIME FOR RECEIVING PROPOSALS**

Proposals received prior to the submission deadline will be maintained unopened until the specified time for opening. If the proposer fails to identify the Proposal Number on the outside of the envelope as required, the Purchasing Agent will open the envelope for the sole purpose of identifying the proposal number for which the submission was made. The envelope will then be resealed. No liability will attach to a County office or employee for the premature opening of a proposal. If you do not submit a proposal, return this Request for Proposal and state reason, otherwise your name may be removed from our mailing list.

**4. PROPOSAL OPENING**

Only the names of proposers will be read at the opening. The Purchasing Agent will examine proposals promptly and thoroughly. No proposal may be withdrawn for a period of ninety (90) calendar days of the proposal opening date.



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**5. COMMISSIONERS' COURT**

No contract is binding on the County until it is properly placed on the Commissioners' Court agenda, approved in open Court, authorized to be executed by the County Judge, and fully executed by both parties.

Department head and elected officials are not authorized to enter into any type of agreement or contract on behalf of the County. Only the Commissioners' Court acting as a body may enter into a contract on behalf of and contractually bind the County. Additionally, department heads and elected officials are not authorized to agree to any type of supplemental agreements or contracts for goods or services. Supplemental agreements are subject to review by the County Legal Department prior to being accepted and signed by the County's authorized representative.

**6. REJECTION OF PROPOSALS**

The County, acting through its Commissioners' Court reserves the right to: (1) reject any and all proposals and waive any informality in the proposals received; (2) disregard the proposal of any proposer determined to be not responsible.

**7. RESTRICTIVE OR AMBIGUOUS SPECIFICATIONS**

It is the responsibility of the prospective proposer to review the entire invitation to proposal packet and to notify the Purchasing Department if the specifications are formulated in a manner that would restrict competition or appear ambiguous. Any such protest or question(s) regarding the specifications or proposal procedures must be received in the Purchasing Department not less than seventy-two hours prior to the time set for proposal opening. Vendors are to proposal as specified herein or proposal an approved equal. The mention of any brand name in the specifications is not intended to be restrictive, but is intended to describe the general features and requirements (or equivalent) that Galveston County is seeking.

**8. SUBSTITUTES**

It is not the County's intent to discriminate against any materials of equal merit to those specified; however, should the proposer desire to use any substitutions, prior written approval shall be obtained from the County Purchasing Agent sufficiently in advance in order that an addendum might be issued.

**9. EXCEPTIONS TO PROPOSAL**

The proposer will list on a separate sheet of paper any exceptions to the conditions of the proposal. This sheet will be labeled, "Exceptions to Proposal Conditions", and will be attached to the proposal. If no exceptions are stated, it will be understood that all general and specific conditions will be complied with, without exception.

The Proposer must specify in its proposal any alternatives it wishes to propose for consideration by the County. Each alternative should be sufficiently described and labeled within the proposal and should indicate its possible or actual advantage to the program being offered.

The County reserves the right to offer these alternatives to other proposers.



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**10. PRICING**

Proposals will be either lump sum or unit prices as shown on the proposal sheet. The net price will be delivered to Galveston County, including all freight or shipping charges. The County is tax exempt and no taxes should be included in your proposal.

Cash discount must be shown on proposal, otherwise prices will be considered net. Unless prices and all information requested are complete, proposal may be disregarded and given no consideration.

In case of default by the contractor, the County of Galveston may procure the articles or services from other sources and may deduct from any monies due, or that may thereafter become due to the contractor, the difference between the price named in the contract of purchase order and the actual cost thereof to the County of Galveston. Prices paid by the County of Galveston shall be considered the prevailing market price at the time such purchase is made. Periods or performance may be extended if the facts as to the cause of delay justify such extension in the opinion of the Purchasing Agent and the Commissioners' Court.

**11. PROCUREMENT CARD PROGRAM**

The County of Galveston participates in a Procurement Card (P-Card) program that allows payments made to the vendor by credit card. This method normally results in substantially faster bill payments sometimes within three (3) to five (5) days of the actual transaction date. If your company will accept payment via credit card (Visa, MasterCard), please notate this in your proposal submittal.

**12. TAX EXEMPTION**

Any resultant purchase orders are issued by a political subdivision of the State of Texas which qualifies for exemption from sales, excise and use taxes pursuant to section 151.309 – 151.311, Texas Tax Code. The contractor performing this contract may purchase all materials, and supplies, used or consumed in the performance of this contract by issuing to his supplier an exemption certificate complying with State Comptroller's Ruling #95-9307 in lieu of tax. Any such exemption certificate issued by the Contractor in lieu of tax shall be subject to the provisions of the State Comptroller's ruling #95.05 (effective October 2, 1968) or as hereafter amended. As a general rule, a vendor is not required to pay state sales tax on goods purchased that are totally incorporated into or consumed by the public improvements. Certificates may be issued upon request.

**13. PASS THROUGH COST ADJUSTMENTS**

Except in instances of extreme extenuating circumstances Vendor prices shall remain firm throughout the Contract period and any renewals. Examples of extreme extenuating circumstances include such situations as a nationwide rail strike, oil shortage or oil embargo.

In extreme extenuating circumstances Vendors may be allowed to temporarily "pass through" additional costs they are forced to incur through no fault of their own. A request for a pass through cost increase will not be considered unless a Vendor's cost for his product exceeds 10% over the original cost for the product. Also, the increase in cost must be nationwide and consistent for a minimum period of sixty (60) days. If a Vendor thinks he will be asking for a pass through cost adjustment during the term of his contract the original cost of his product to him must be stated in Vendor's original Proposal.



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A request for a pass through cost does not guarantee that one will be granted. Vendors must submit such information on each request as is required by the County Purchasing Agent. The County Purchasing Agent will review each request on a case by case basis and determine the appropriateness of each request as well as amount and duration of increase. Vendors will not be permitted any additional compensation for mark-ups or profits based on the increase in price. Rather, such additional compensation will be limited to the actual increase in original cost to the Vendor as such increase is reflected by the original cost stated in the proposal. But in no event will the amount of additional compensation exceed 25% increase in Vendor's original cost for his product as such cost is reflected in Vendor's original proposal or the duration exceed a period of sixty (60) days. In addition, should, during the period of the pass through, cost return to normal or decrease to below pre pass through prices, appropriate downward adjustments will be made. No more than one pass through adjustment will be permitted per year.

**14. MODIFICATION OF PROPOSALS**

A proposer may modify a proposal by letter at any time prior to the submission deadline for receipt of proposals. Modification requests must be received prior to the submission deadline. Modifications made before opening time must be initialed by proposer guaranteeing authenticity. Proposals may not be amended or altered after the official opening with the single exception that any product literature and/or supporting data required by the actual specifications, if any, will be accepted at any time prior to the Commissioners' Court considering of same.

**15. SIGNATURE OF PROPOSALS**

Each proposal shall give the complete mailing address of the Proposer and be signed by an authorized representative by original signature with the authorized representative's name and legal title typed below the signature line. Each proposal shall include the Proposer's Federal Employer Identification Number (FEIN). Failure to sign the Contract page(s) and proposal response sheets may disqualify the proposal from being considered by the County. The person signing on behalf of the Proposer expressly affirms that the person is duly authorized to tender the proposal and to sign the proposal sheets and contract under the terms and conditions of this RFP and to bind the Proposer thereto and further understands that the signing of the contract shall be of no effect until it is properly placed on the Commissioners' Court agenda, approved in open Court, authorized to be executed by the County Judge, and fully executed by both parties.

**16. AWARD OF PROPOSALS – EVALUATION CRITERIA AND FACTORS**

The award will be made to the responsible proposer or proposers whose proposals are determined to be the best evaluated offers demonstrating the best ability to fulfill the requirements set forth in this Request for Proposal. **The proposed cost to the County will be considered firm, unless the County invokes its right to request a best and final offer and cannot be altered after the submission deadline.**



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Each proposer, by submitting a proposal, agrees that if their proposal is accepted by the Commissioners' Court, such proposer will furnish all items and services upon which prices have been tendered and upon the terms and conditions in this proposal and contract.

The contractor shall commence work only after the transmittal of a fully executed contract and after receiving written notification to proceed from Galveston County. The contractor will perform all services indicated in the proposal in compliance with this contract.

Neither department heads nor elected officials are authorized to sign any binding contracts or agreements prior to being properly placed on the Commissioners' Court agenda and approved in open court. Department heads and other elected officials are not authorized to enter into any type of agreement or contract on behalf of Galveston County. Only the Commissioners' Court, acting as a body, may enter into a contract on behalf of the County. Additionally, department heads and other elected officials are not authorized to agree to any type of supplemental agreements or contracts for goods or services. Supplemental agreements are subject to review by the County Legal Department prior to being signed by the County's authorized representatives.

The County of Galveston reserves the right to accept proposals on individual items listed, or group items, or on the proposal as a whole; to reject any and all proposals; to waive any informality in the proposals; and to accept the proposal that appears to be in the best interest of the County. In addition, the selection process may, however, include a request for additional information or an oral presentation to support the written proposal. In determining and evaluating the best proposal, the pricing may not necessarily be controlling, but quality, equality, efficiency, utility, general terms, delivery, suitability of the service offered, and the reputation of the service in general use will also be considered with any other relevant items. The Commissioners' Court shall be the sole judge in the determination of these matters.

The County reserves the right to reject any or all proposals in whole or in part received by reason of this RFP and may discontinue its efforts under this RFP for any reason or no reason or solely for the County's convenience at any time prior to actual execution of the contract by the County.

**A Proposer whose proposal does not meet the mandatory requirements set forth in this RFP may be considered noncompliant.**

The invitation to submit a proposal which appears in the newspaper, or other authorized advertising mediums, these general provisions, the specifications which follow, the proposal sheets, and any addenda issued are all considered part of the proposal.

Each Proposer, by submitting a proposal, agrees that if its proposal is accepted by the Commissioners' Court, such Proposer will furnish all items and services upon the terms and conditions in this RFP and contract.



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Notice of contract award will be made within ninety (90) days of opening of proposals to the lowest responsive and responsible contractor, whose proposal complies with all the requirements in the Request for Proposals. Contractor shall submit to the County, for approval, within ten (10) days from notice of contract award, all Certificates of Insurance evidencing the required coverage as described under Insurance in the schedule of the Requests for Proposals.

The contractor shall not commence work under these terms and conditions of the contract until all applicable Certificates of Insurance, Performance and Payment Bonds, and Irrevocable Letter of Credit (if required) have been approved by the County of Galveston and he/she has received notice to proceed in writing and an executed copy of the contract from the County of Galveston Purchasing Agent.

**17. DISPUTE AFTER AWARD/PROTEST**

Any actual or prospective Proposer who is allegedly aggrieved in connection with the solicitation of this RFP or award of a contract resulting therefrom may protest. The protest will be submitted in writing to the Purchasing Agent within seven (7) calendar days after such aggrieved person knows of or should have known of the facts giving rise thereto. If the protest is not resolved by mutual agreement, the Purchasing Agent will promptly issue a decision in writing to the protestant. If the protestant wishes to appeal the decision rendered by the Purchasing Agent, such appeal must be made to the Commissioners' Court through the Purchasing Agent. The decision of the Commissioners' Court will be final. The Commissioners' Court need not consider protests until this procedure is followed.

**18. PUBLIC INFORMATION ACT**

The parties agree that the County is a governmental body for purposes of the Public Information Act, codified as Chapter 552 of the Texas Government Code and as such is required to release information in accordance with the Public Information Act. Proposer agrees that it has marked any information that it considers to be confidential, proprietary, and/or trade secret in its bid. County agrees to provide notice to Proposer in accordance with the Public Information Act in the event the County receives a request for information under the Public Information Act for information that the Proposer has marked as confidential, proprietary, and/or trade secret.

**19. RESULTANT CONTRACT**

The resultant contract shall become effective upon the Commissioners' Court execution of the same. The contract documents shall consist of the contract, the general and special provisions, the drawings, proposal package, any addenda issued, and any change orders issued during the work. If applicable to the attached bid/proposal, bidder/proposer must sign three (3) original contracts and return with their bid/proposal submittal.

The Criteria utilized for determining responsibility of proposer(s) includes, but is not limited to, the proposer's experience, skill, ability, business judgment, financial capacity, integrity, honesty, possession of the necessary facilities or equipment, previous performance, reputation, promptness, and any other factor deemed relevant by the County. The proposers shall furnish any information requested by the County in order for the County to determine whether a proposer is responsible.



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**20. CONTRACT TERM**

The term of the resultant contract will begin on the date of execution by the Commissioners' Court and will terminate on the date specified in the resultant contract unless terminated earlier as herein set forth.

**21. TERMINATION FOR DEFAULT**

Failure of either party in the performance of any of the provisions of this contract shall constitute a breach of contract, in which case, either party may require corrective action within ten (10) days from date of receipt of written notice citing the exact nature of such breach. Failure of the party being notified to take corrective action within the prescribed ten (10) days, or failure to provide written reply of why no breach has occurred, shall constitute a Default of Contract.

All notices relating to default by Proposer of the provisions of the contract shall be issued by County by its Legal Department, and all replies shall be made in writing to the County Legal Department. Notices issued by or issued to anyone other than the County Legal Department shall be null and void and shall be considered as not having been issued or received.

Galveston County reserves the right to enforce the performance of this contract in any manner prescribed by law in the event of breach or default of this contract, and may contract with another party, with or without solicitation of bids or proposals or further negotiations. At a minimum, Proposer shall be required to pay any difference in service or materials, should it become necessary to contract with another source, plus reasonable administrative costs and attorney fees.

In the event of Termination for Default, Galveston County, its agents or representatives shall not be liable for loss of any profits anticipated to be made by Proposer.

No waiver by either party of any event of default under this agreement shall operate as a waiver of any subsequent default under the terms of this agreement.

County reserves the right to terminate this contract immediately in the event Proposer:

- Fails to meet delivery or completion schedules;
- Fails to otherwise perform in accordance with the accepted proposal and the contract.

**22. TERMINATION FOR CONVENIENCE**

County may terminate this contract upon at least thirty (30) days prior written notice for its convenience or for any reason deemed by the County to serve the public interest. County may terminate this contract upon thirty (30) days prior written notice for any reason resulting from any governmental law, order, ordinance, regulations, or court order. In no event shall County be liable for loss of any profits anticipated to be made hereunder by Proposer should this contract be terminated early.



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**23. FORCE MAJEURE**

If by reason of Force Majeure either Party shall be rendered unable, wholly or in part, to carry out its responsibilities under this contract by any occurrence by reason of Force Majeure, then the Party unable to carry out its responsibility shall give the other Party notice and full particulars of such Force Majeure in writing within a reasonable time after the occurrence of the event, and such notice shall suspend the Party's responsibility for the continuance of the forced Majeure claimed, but for no longer period.

Force Majeure means acts of God, floods, hurricanes, tropical storms, tornadoes, earthquakes, or other natural disasters, acts of a public enemy, acts of terrorism, sovereign conduct, riots, civil commotion, strikes or lockouts, and other causes that are not occasioned by either Party's conduct which by the exercise of due diligence the Party is unable to overcome and which substantially interferes with operations.

**24. ESTIMATED QUANTITIES**

Any reference to quantities shown in the Request for Proposals are an estimate only. Since the exact quantities cannot be predetermined, the County reserves the right to adjust quantities as deemed necessary to meet its requirements.

**25. CONTRACTOR INVESTIGATION**

Before submitting a proposal, each contractor shall make all investigations and examinations necessary to ascertain all site conditions and requirements affecting the full performance of the contract and to verify any representations made by the County upon which the contractor will rely. If the contractor receives an award as a result of its proposal submission, failure to have made such investigations and examinations will in no way relieve the contractor from its obligation to comply in every detail with all provisions and requirements of the contract, nor will a plea of ignorance of such conditions and requirements be accepted as a basis for any claim whatsoever by the contractor for additional compensation.

**26. NO COMMITMENT BY COUNTY OF GALVESTON**

This Request for Proposal does not commit the County of Galveston to award any costs or pay any costs, or to award any contract, or to pay any costs associated with or incurred in the preparation of a proposal to this request, or to procure or contract for services or supplies.

**27. BEST AND FINAL OFFERS**

In acceptance of proposals, the County of Galveston reserves the right to negotiate further with one or more of the contractors as to any features of their proposals and to accept modifications of the work and price when such action will be in the best interest of the County. This includes solicitation of a Best and Final Offer from one or more of the proposers. If invoked, it allows acceptable proposers the opportunity to amend, change or supplement their original proposal. Proposers may be contacted in writing requesting that they submit their Best and Final offer. Any such Best and Final offer must include discussed and negotiated changes.



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**28. SINGLE PROPOSAL RESPONSE**

If only one proposal is received in response to the Request for Proposals, a detailed cost proposal may be requested of the single contractor. A cost/price analysis and evaluation and/or audit may be performed of the cost proposal in order to determine if the price is fair and reasonable.

**29. REJECTION/DISQUALIFICATION OF PROPOSALS**

Galveston County reserves the right to reject any or all proposals in whole or in part received by reason of this proposal package and may discontinue its efforts for any reason under this proposal package at any time prior to actual execution of the contract by the County. Proposers may be disqualified and rejection of proposals may be recommended to the Commissioners' Court for any of (but not limited to) the following causes:

- A. Failure to use the proposal form(s) furnished by the County;
- B. Lack of signature by an authorized representative on the proposal form(s);
- C. Failure to properly complete the proposal;
- D. Proposals that do not meet the mandatory requirements;
- E. Evidence of collusion among proposers.

**30. CHANGES IN SPECIFICATIONS**

If it becomes necessary to revise any part of this proposal, a written notice of such revision will be provided to all proposers in the form of addenda. The County is not bound by any oral representations, clarifications, or changes made in the written specifications by the County's employees, unless such clarification or change is provided to proposers in a written addendum from the Purchasing Agent.

The County of Galveston reserves the right to revise or amend the specifications up to the time set for opening of proposals. Such revisions and amendments, if any, shall be announced by amendments to the solicitation. Copies of such amendments shall be furnished to all prospective contractors. Prospective contractors are defined as those contractors listed on the County's Request for Proposal list for this material/service or those who have obtained documents subsequent to the advertisement. If revisions and amendments require changes in quantities or prices proposed, or both, the date set for opening of proposals may be postponed by such number of days as in the opinion of the County shall enable contractors to revise their proposals. In any case, the proposal opening shall be at least five working days after the last amendment, and the amendment shall include an announcement of the new date if applicable, for the opening of proposals.

**31. PROPOSAL IDEAS AND CONCEPTS**

The County reserves to itself the right to adopt or use for its benefit, any concept, plan, or idea contained in any proposal.



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**32. PROPOSAL DISCLOSURES**

The names of those who submitted proposals will not be made public information until after an award is made by Commissioners' Court. No pricing or staffing information will be released. Proposers are requested to withhold all inquiries regarding their proposal or other submissions until after an award is made. No communication is to be had with any County employee, other than the Purchasing Agent, regarding whether a proposal was received. Violations of this provision may result in the rejection of a proposal.

**33. WITHDRAWAL OF PROPOSAL**

Proposers may request withdrawal of a sealed proposal prior to the scheduled proposal opening time provided the request for withdrawal is submitted to the Purchasing Agent in writing. No proposals may be withdrawn for a period of sixty (60) calendar days after opening of the proposals.

**34. INDEMNIFICATION**

**The contractor shall agree to assume all risks and responsibility for, and agrees to indemnify, defend, and save harmless, the County of Galveston, its elected and appointed officials and department heads, and its agents and employees from and against all claims, demands, suits, actions, recoveries, judgments, and costs and expenses including reasonable attorney's fees for the defense thereof in connection therewith on account of the loss of life, property or injury or damage to the person which shall arise from contractor's operations under this contract, its use of County facilities and/or equipment or from any other breach on the part of the contractor, its employees, agents or any person(s) in or about the County's facilities with the expressed or implied consent of the County. Contractor shall pay any judgment with cost which may be obtained against Galveston County resulting from contractor's operations under this contract.**

**Contractor agrees to indemnify and hold the County harmless from all claims of subcontractors, laborers incurred in the performance of this contract. Contractor shall furnish satisfactory evidence that all obligations of this nature herein above designated have been paid, discharged or waived. If Contractor fails to do so, then the County reserves the right to pay unpaid bills of which County has written notice direct and withhold from Contractor's unpaid compensation a sum of money reasonably sufficient to liquidate any and all such lawful claims.**

**35. PROOF OF INSURANCE**

Successful proposer agrees to keep in full force and effect, a policy of public liability and property damage insurance issued by a casualty company authorized to do business in the State of Texas, and in standard form approved by the Board of Insurance Commissioners' of the State of Texas, with coverage provision insuring the public from any loss or damage that may arise to any person or property by reason of services rendered by successful proposer and providing that the amount by reason of services limits of not less than the following sums:

- A. For damages arising out of bodily injury to or death of one person in any one accident – ONE HUNDRED THOUSAND AND NO/100 (\$100,000.00) DOLLARS.



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- B. For damages arising out of bodily injury to or death of two or more persons in any one accident – THREE HUNDRED THOUSAND AND NO/100 (\$300,000.00) DOLLARS.
- C. For any injury to or destruction of property in any one accident – ONE HUNDRED THOUSAND AND NO/100 (\$100,000.00) DOLLARS.

Successful proposer shall carry in full force Workers' Compensation Insurance Policy(ies), if there is more than one employee, for all employees, including but not limited to full time, part time, and emergency employees employed by the successful proposer. Current insurance certificates certifying that such policies as specified above are in full force and effect shall be furnished by successful proposer to the County.

Insurance is to be placed with insurers having a Best rating of no less than A. The Proposer shall furnish the County with certificates of insurance and original endorsements affecting coverage required by these insurance clauses within ten (10) business days of execution of this contract. The certificates and endorsements for each insurance policy are to be signed by a person authorized by the insurer to bind coverage on its behalf. The Proposer shall be required to submit annual renewals for the term of this contract prior to expiration of any policy.

In addition to the remedies stated herein, the County has the right to pursue other remedies permitted by law or in equity.

The County agrees to provide Proposer with reasonable and timely notice of any claim, demand, or cause of action made or brought against the County arising out of or related to utilization of the property. Proposer shall have the right to defend any such claim, demand, or cause of action at its sole cost and expense and within its sole and exclusive discretion. The County agrees not to compromise or settle any claim or cause of action arising out of or related to the utilization of the property without the prior written consent of the Proposer.

In no event shall the County be liable for any damage to or destruction of any property belonging to the Proposer.

**Galveston County shall be listed as the additional insured on policy certificates and shall be notified of any changes to the policy during the contractual period.**

**36. PATENT AND COPYRIGHT PROTECTION**

The Proposer agrees at its sole expense to protect the County from claims involving infringement of patents or copyrights.



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**37. CONFLICT OF INTEREST DISCLOSURE REPORTING**

Proposer may be required under Chapter 176 of the Texas Local Government Code to complete and file a conflict of interest questionnaire (CIQ Form). If so, the completed CIQ Form must be filed with the County Clerk of Galveston County, Texas.

If Proposer has an employment or other business relationship with an officer of Galveston County or with a family member of an officer of Galveston County that results in the officer or family member of the officer receiving taxable income that exceeds \$2,500.00 during the preceding 12-month period, then Proposer **MUST** complete a CIQ Form and file the original of the CIQ Form with the County Clerk of Galveston County.

If Proposer has given an officer of Galveston County or a family member of an officer of Galveston County one or more gifts with an aggregate value of more than \$250.00 during the preceding 12-months, then Proposer **MUST** complete a CIQ Form and file the original of the CIQ Form with the County Clerk of Galveston County.

The Galveston County Clerk has offices at the following locations:

- Galveston County Clerk  
Galveston County Justice Center, Suite 2001  
600 59<sup>th</sup> Street  
Galveston, Texas 77551
- Galveston County Clerk  
North County Annex, 1<sup>st</sup> Floor  
174 Calder Road  
League City, Texas 77573

Again, if Proposer is required to file a CIQ Form, the original completed form is filed with the Galveston County Clerk (not the Purchasing Agent).

For Proposer's convenience, a blank CIQ Form is enclosed with this proposal. Blank CIQ Forms may also be obtained by visiting the Galveston County Clerk's website and/or the Purchasing Agent's website – both of these web sites are linked to the Galveston County homepage, at <http://www.co.galveston.tx.us>.

As well, blank CIQ Forms may be obtained by visiting the Texas Ethics Commission website, specifically at [http://www.ethics.state.tx.us/whatsnew/conflict\\_forms.htm](http://www.ethics.state.tx.us/whatsnew/conflict_forms.htm).



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Chapter 176 specifies deadlines for the filing of CIQ Forms (both initial filings and updated filings).

It is Proposer's sole responsibility to file a true and complete CIQ Form with the Galveston County Clerk if Proposer is required to file by the requirements of Chapter 176. Proposer is advised that it is an offense to fail to comply with the disclosure reporting requirements dictated under Chapter 176 of the Texas Local Government Code.

If you have questions about compliance with Chapter 176, please consult your own legal counsel. Compliance is the individual responsibility of each person, business, and agent who is subject to Chapter 176 of the Texas Local Government Code.

**38. COMPETITIVENESS AND INTEGRITY**

To prevent biased evaluations and to preserve the competitiveness and integrity of such acquisition efforts, proposers are to direct all communications regarding this proposal to the Galveston County Purchasing Agent, unless otherwise specifically noted.

**Do not contact the requesting department.** Attempts by offering firms to circumvent this requirement will be viewed negatively and may result in rejection of the offer of the firm found to be in non-compliance.

All questions regarding this Request for Proposal must be submitted in writing to:

**Rufus G Crowder, CPPB, Purchasing Agent**  
**722 Moody**  
**Fifth Floor**  
**Galveston, Texas 77550**  
**Fax: (409) 621-7987**  
**E-mail: [rufus.crowder@co.galveston.tx.us](mailto:rufus.crowder@co.galveston.tx.us)**

An authorized person from the submitting firm must sign all proposals. This signature acknowledges that the proposer has read the proposal documents thoroughly before submitting a proposal and will fulfill the obligations in accordance to the terms, conditions, and specifications. Please carefully review this Request for Proposal. It provides specific information necessary to aid participating firms in formulating a thorough response.

**39. ENTIRETY OF AGREEMENT AND MODIFICATION**

This contract contains the entire agreement between the parties. Any prior agreement, promise, negotiation or representation not expressly set fourth in this contract has no force or effect. Any subsequent modification to this contract must be in writing, signed by both parties. An official representative, employee, or agent of the County does not have the authority to modify or amend this contract except pursuant to specific authority to do so granted by the Galveston County Commissioners' Court.



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**40. NON-COLLUSION AFFIDAVIT**

The contractor declares, by signing and submitting a proposal, that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the contractor has not directly or indirectly induced or solicited another contractor to put in a false or sham proposal, and has not directly or indirectly colluded, conspired, connived, or agreed with any contractor or anyone else to put in a sham proposal, of that anyone shall refrain from bidding; that the contractor has not in any manner, directly or indirectly, sought by agreement, communications, or conference with anyone to fix the proposal price of the contractor of any other bidder, or to fix any overhead, profit or cost element of the proposal price, or of that of any other contractor, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the proposal are true; and further, that the contractor has not, directly or indirectly, submitted his or her proposal price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any cooperation, partnership, company association, organization, proposal depository, or to any member or agent thereof to effectuate a collusive or sham proposal.

No negotiations, decisions, or actions shall be initiated by any company as a result of any result of any verbal discussion with any County employee prior to the opening of responses to this Request for Proposal.

No officer or employee of the County of Galveston, and no other public or elected official, or employee, who may exercise any function or responsibilities in the review or approval of this undertaking shall have any personal or financial interest, direct or indirect, in any contract or negotiation process thereof. The above compliance request will be part of all County of Galveston contracts for this service.

**41. SOVEREIGN IMMUNITY**

The County specifically reserves any claim it may have to sovereign, qualified, or official immunity as a defense to any action arising in conjunction with this contract.

**42. MERGERS, ACQUISITIONS**

The Proposer shall be required to notify the County of any potential for merger or acquisition of which there is knowledge at the time that a proposal is submitted.

If subsequent to the award of any contract resulting from this RFP the Proposer shall merge or be acquired by another firm, the following documents must be submitted to the County.

1. Corporate resolutions prepared by the awarded Proposer and the new entity ratifying acceptance of the original contract, terms, conditions and prices;
2. New Proposer's Federal Identification Number (FEIN); and
3. New Proposer's proposed operating plans.



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Moreover, Proposer is required to provide the County with notice of any anticipated merger or acquisition as soon as Proposer has actual knowledge of the anticipated merger or acquisition. The New Proposer's proposed plan of operation must be submitted prior to merger to allow time for submission of such plan to the Commissioners' Court for its approval.

**43. DELAYS**

The County reserves the right to delay the scheduled commencement date of the contract if it is to the advantage of the County. There shall be no additional costs attributed to these delays should any occur. Proposer agrees it will make no claims for damages, for damages for lost revenues, for damages caused by breach of contract with third parties, or any other claim by Proposer attributed to these delays, should any occur. In addition, Proposer agrees that any contract it enters into with any third party in anticipation of the commencement of the contract will contain a statement that the third party will similarly make no claim for damages based on delay of the scheduled commencement date of the contract.

**44. ACCURACY OF DATA**

Information and data provided through this RFP are believed to be reasonably accurate.

**45. SUBCONTRACTING/ASSIGNMENT**

Proposer shall not assign, sell, or otherwise transfer its contract in whole or in part without prior written permission of Commissioners' Court. Such consent, if granted, shall not relieve the Proposer of any of its responsibilities under this contract.

**46. INDEPENDENT CONTRACTOR**

Proposer expressly acknowledges that it is an independent contractor. Nothing in this agreement is intended nor shall be construed to create an agency relationship, an employer/employee relationship, a joint venture relationship, or any other relationship allowing County to exercise control or direction over the manner or method by which Proposer or its subcontractors perform in providing the requirements stated in the Request for Proposal.

**47. MONITORING PERFORMANCE**

The County shall have the unfettered right to monitor and audit the Proposer's work in every respect. In this regard, the Proposer shall provide its full cooperation and insure the cooperation of its employees, agents, assigns, and subcontractors. Further, the Proposer shall make available for inspection and/or copying when requested, original data, records, and accounts relating to the Proposer's work and performance under this contract. In the event any such material is not held by the Proposer in its original form, a true copy shall be provided.



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**48. PROCUREMENT ETHICS**

Galveston County is committed to the highest ethical standards. Therefore, it is a serious breach of the public trust to subvert the public purchasing process by directing purchases to certain favored vendors, or to tamper with the competitive bidding process, whether it's done for kickbacks, friendship or any other reason. Since misuse of the purchasing power of a local government carries criminal penalties, and many such misuses are from a lack of clear guidelines about what constitutes an abuse of office, the Code of Ethics outlined below must be strictly followed.

Galveston County also requires ethical conduct from those who do business with the county.

**CODE OF ETHICS – Statement of Purchasing Policy**

“Public employment is a public trust. It is the policy of Galveston County to promote and balance the objective of protecting the County’s integrity and the objective of facilitating the recruitment and retention of personnel needed by Galveston County. Such policy is implemented by prescribing essential standards of ethical conduct without creating unnecessary obstacles to entering public office.

Public employees must discharge their duties impartially so as to assure fair competitive access to governmental procurement by responsible contractors. Moreover, they should conduct themselves in such a manner as to foster public confidence in the integrity of the Galveston County procurement organization.

To achieve the purpose of the Article, it is essential that those doing business with Galveston County also observe the ethical standards prescribed here.”

**General Ethical Standards**

It shall be a breach of ethics to attempt to realize personal gain through public employment with Galveston County by any conduct inconsistent with the proper discharge of the employee’s duties.

It shall be a breach of ethics to attempt to influence any public employee of Galveston County to breach the standards of ethical conduct set forth in this code.

It shall be a breach of ethics for any employee of Galveston County to participate directly or indirectly in a procurement when the employee knows that:

- The employee or any member of the employee’s immediate family, has a financial interest pertaining to the procurement;
- A business or organization in which the employee, or any member of the employee’s immediate family, has a financial interest pertaining to the procurement;
- Any other person, business or organization with which the employee or any member of the employee’s immediate family is negotiating or has an arrangement concerning prospective employment is involved in the procurement.



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**Gratuities**

It shall be a breach of ethics to offer, give or agree to give any employee of Galveston County, or for any employee or former employee of Galveston County to solicit, demand, accept or agree to accept from another person, a gratuity or an offer of employment in connection with any decision, approval, disapproval, recommendation, preparation of any part of a program requirement or purchase request, influencing the content of any specification or procurement standard, rendering of advice, investigation, auditing, or in any other advisory capacity in any program requirement or a contract or subcontract, or to any solicitation or proposal therefore pending before this government.

**Kickbacks**

It shall be a breach of ethics for any payment, gratuity or offer of employment to be made by or on behalf of a subcontractor under a contract to the prime contractor or higher tier subcontractor for any contract for Galveston County, or any person associated therewith, as an inducement for the award of a subcontract or order.

**Contract Clause**

The prohibition against gratuities and kickbacks prescribed above shall be conspicuously set forth in every contract and solicitation by Galveston County.

**Confidential Information**

It shall be a breach of ethics for any employee or former employee of Galveston County to knowingly use confidential information for actual or anticipated personal gain, or for the actual or anticipated gain of any person.

**49. NOTICE**

All notices or other communications required or permitted under this contract shall be in writing and shall be deemed to have been duly given if delivered personally in hand, transmitted by facsimile, or mailed certified mail, return receipt requested with proper postage affixed and addressed to the appropriate party at the following address or such other address as may be given in writing to the parties:

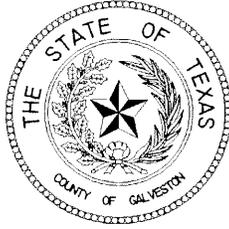
To the County at:  
Hon. Mark Henry, County Judge  
722 Moody  
Second Floor  
Galveston, Texas 77550  
Fax: (409) 765-2653

With copies to:  
Rufus Crowder, CPPB  
Purchasing Agent  
722 Moody, Fifth Floor  
Galveston, Texas 77550  
Fax: (409) 621-7997

Harvey Bazaman  
Director of County Legal  
722 Moody, Fifth Floor  
Galveston, Texas 77550  
Fax: (409) 770-5560



## **2. VENDOR QUALIFICATION PACKAGE**



# County of Galveston Purchasing Department Vendor Qualification Packet

(rev. 1.2, March 29, 2010)

All interested parties seeking consideration for qualified vendor status with the County of Galveston should complete and return only the following attached forms to:

**Galveston County Purchasing Department**  
722 Moody Avenue, (21st Street), 5<sup>th</sup> Floor  
Galveston, Texas 77550  
(409) 770-5371 office  
(409) 621-7987 fax

**Form PEID:** Person /Entity Information Data

**Form W-9:** Request for Taxpayer Identification Number and Certification

*(please note that the included form may not be the latest revised form issued by the Internal Revenue Service. Please check the IRS website at <http://www.irs.gov/pub/irs-pdf/fw9.pdf> for the latest revision of this form.)*

**Form CIQ:** Conflict of Interest Questionnaire

*(please note that the included form may not be the latest revised form issued by the State of Texas Ethics Commission. Please check the Texas Ethics Commission website at for the latest revision of this form. Please note that Galveston County Purchasing Agent is not responsible for the filing of this form with the Galveston County Clerk per instructions of the State of Texas Ethics Commission).*

**Certificate(s) of Insurance:** **If the person or entity seeking qualified vendor status with the County will be performing work at or on any County owned facility and/or property, Certificate(s) of Insurance are required to be submitted prior to performing any work.**

Insurance requirements are as follows:

### **Public Liability and Property Damage Insurance:**

Successful vendor agrees to keep in full force and effect, a policy of public liability and property damage insurance issued by a casualty company authorized to do business in the State of Texas, and in standard form approved by the Board of Insurance Commissioners of the State of Texas, with coverage provisions insuring the public from any loss or damage that may arise to any person or property by reason of services rendered by vendor. Vendor shall at its own expense be required to carry the following minimum insurance coverages:

- For damages arising out of bodily injury to or death of one person in any one occurrence – one hundred thousand and no/100 dollars (\$100,000.00);
- For damages arising out of bodily injury to or death of two or more persons in any one occurrence – three hundred thousand and no/100 dollars (\$300,000.00); and
- For injury to or destruction of property in any one occurrence – one hundred thousand and no/100 dollars (\$100,000.00).

This insurance shall be either on an occurrence basis or on a claims made basis. Provided however, that if the coverage is on a claims made basis, then the vendor shall be required to purchase, at the termination of this agreement, tail coverage for the County for the period of the County's relationship with the vendor under this agreement. Such coverage shall be in the amounts set forth in subparagraphs (1), (2), and (3) above.

**Worker's Compensation Insurance:**

Successful vendor shall also carry in full force Workers' Compensation Insurance policy(ies), if there is more than one employee, for all employees, including but not limited to full time, part time, and emergency employees employed by the vendor. Current insurance certificates certifying that such policies as specified above are in full force and effect shall be furnished by the vendor to the County.

**The County of Galveston shall be named as additional insured on policies listed in subparagraphs above and shall be notified of any changes to the policy(ies) during the contractual period.**

Insurance is to be placed with insurers having a Best rating of no less than A. The vendor shall furnish the County with certificates of insurance and original endorsements affecting coverage required by these insurance clauses. The certificates and endorsements for each insurance policy are to be signed by a person authorized by the insurer to bind coverage on its behalf. The vendor shall be required to submit annual renewals for the term of any contractual agreement, purchase order or term contract, with Galveston County prior to expiration of any policy.

In addition to the remedies stated herein, the County has the right to pursue other remedies permitted by law or in equity.

The County agrees to provide vendor with reasonable and timely notice of any claim, demand, or cause of action made or brought against the County arising out of or related to utilization of the property. Vendor shall have the right to defend any such claim, demand, or cause of action at its sole cost and expense and within its sole and exclusive discretion. The County agrees not to compromise or settle any claim or cause of action arising out of or related to the utilization of the property without the prior written consent of the vendor.

In no event shall the County be liable for any damage to or destruction of any property belonging to the vendor unless specified in writing and agreed upon by both parties.

**Procurement Policy - Special Note:**

Understand that it is, according to Texas Local Government Code, Section 262.011, Purchasing Agents, subsections (d), (e), and (f), the sole responsibility of the Purchasing Agent to supervise all procurement transactions.

Therefore, be advised that all procurement transactions require proper authorization in the form of a Galveston County purchase order from the Purchasing Agent's office prior to commitment to deliver supplies, materials, equipment, including contracts for repair, service, and maintenance agreements. Any commitments made without proper authorization from the Purchasing Agent's office, pending Commissioners' Court approval, may become the sole responsibility of the individual making the commitment including the obligation of payment.

**Code of Ethics - Statement of Purchasing Policy:**

Public employment is a public trust. It is the policy of Galveston County to promote and balance the objective of protecting the County's integrity and the objective of facilitating the recruitment and

retention of personnel needed by Galveston County. Such policy is implemented by prescribing essential standards of ethical conduct without creating unnecessary obstacles to entering public office.

Public employees must discharge their duties impartially so as to assure fair competitive access to governmental procurement by responsible contractors. Moreover, they should conduct themselves in such a manner as to foster public confidence in the integrity of the Galveston County procurement organization.

To achieve the purpose of these instructions, it is essential that those doing business with Galveston County also observe the ethical standards prescribed here.

**General Ethical Standards:** It shall be a breach of ethics to attempt to realize personal gain through public employment with Galveston County by any conduct inconsistent with the proper discharge of the employee's duties.

It shall be a breach of ethics to attempt to influence any public employee of Galveston County to breach the standards of ethical conduct set forth in this code.

It shall be a breach of ethics for any employee of Galveston County to participate directly or indirectly in procurement when the employee knows that:

- The employee or any member of the employee's immediate family has a financial interest pertaining to the procurement.
- A business or organization in which the employee, or any member of the employee's immediate family, has a financial interest pertaining to the procurement.
- Any other person, business or organization with which the employee or any member of the employee's immediate family is negotiating or has an arrangement concerning prospective employment is involved in the procurement.

**Gratuities:** It shall be a breach of ethics to offer, give or agree to give any employee of Galveston County, or for any employee or former employee of Galveston County to solicit, demand, accept or agree to accept from another person, a gratuity or an offer of employment in connection with any decision, approval, disapproval, recommendation, preparation of any part of a program requirement or purchase request, influencing the content of any specification or procurement standard, rendering of advice, investigation, auditing, or in any other advisory capacity in any program requirement or a contract or subcontract, or to any solicitation or proposal therefore pending before this government.

**Kickbacks:** It shall be a breach of ethics for any payment, gratuity or offer of employment to be made by or on behalf of a subcontractor under a contract to the prime contractor or higher tier subcontractor for any contract for Galveston County, or any person associated therewith, as an inducement for the award of a subcontract or order.

**Contract Clause:** The prohibition against gratuities and kickbacks prescribed above shall be conspicuously set forth in every contract and solicitation by Galveston County.

**Confidential Information:** It shall be a breach of ethics for any employee or former employee of Galveston County to knowingly use confidential information for actual or anticipated personal gain, or for the actual or anticipated gain of any person.

**Questions/Concerns:**

If you have any questions or concerns regarding the information or instructions contained within this packet, please contact any member of the Purchasing Department staff at **(409) 770-5371**.

## CONFLICT OF INTEREST DISCLOSURE REPORTING

Proposer may be required under Chapter 176 of the Texas Local Government Code to complete and file a conflict of interest questionnaire (CIQ Form). If so, the completed CIQ Form must be filed with the County Clerk of Galveston County, Texas.

If Proposer has an employment or other business relationship with an officer of Galveston County or with a family member of an officer of Galveston County that results in the officer or family member of the officer receiving taxable income that exceeds \$2,500.00 during the preceding 12-month period, then Proposer **MUST** complete a CIQ Form and file the original of the CIQ Form with the County Clerk of Galveston County.

If Proposer has given an officer of Galveston County or a family member of an officer of Galveston County one or more gifts with an aggregate value of more than \$250.00 during the preceding 12-months, then Proposer **MUST** complete a CIQ Form and file the original of the CIQ Form with the County Clerk of Galveston County.

The Galveston County Clerk has offices at the following locations:

Galveston County Clerk  
Galveston County Justice Center, Suite 2001  
600 59<sup>th</sup> Street  
Galveston, Texas 77551

Galveston County Clerk  
North County Annex, 1<sup>st</sup> Floor  
174 Calder Road  
League City, Texas 77573

Again, if Proposer is required to file a CIQ Form, the original completed form is filed with the Galveston County Clerk (not the Purchasing Agent).

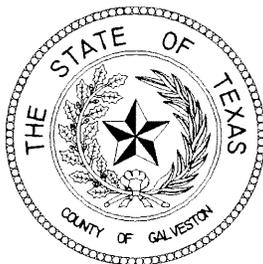
For Proposer's convenience, a blank CIQ Form is enclosed with this proposal. Blank CIQ Forms may also be obtained by visiting the Galveston County Clerk's website and/or the Purchasing Agent's website – both of these web sites are linked to the Galveston County homepage, at <http://www.co.galveston.tx.us>.

As well, blank CIQ Forms may be obtained by visiting the Texas Ethics Commission website, specifically at [http://www.ethics.state.tx.us/whatsnew/conflict\\_forms.htm](http://www.ethics.state.tx.us/whatsnew/conflict_forms.htm).

Chapter 176 specifies deadlines for the filing of CIQ Forms (both initial filings and updated filings).

It is Proposer's sole responsibility to file a true and complete CIQ Form with the Galveston County Clerk if Proposer is required to file by the requirements of Chapter 176. Proposer is advised that it is an offense to fail to comply with the disclosure reporting requirements dictated under Chapter 176 of the Texas Local Government Code.

If you have questions about compliance with Chapter 176, please consult your own legal counsel. Compliance is the individual responsibility of each person, business, and agent who is subject to Chapter 176 of the Texas Local Government Code.



# COUNTY of GALVESTON

## Purchasing Department

rev. 1.3, March 29, 2010

<b>FORM PEID:</b>	<b>Request for Person-Entity Identification Data</b>
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Instructions: Please type or print clearly when completing sections 1 thru 4 and return completed form to:

**Galveston County Purchasing Agent**  
**722 Moody Avenue (21st. Street), 5th Floor**  
**Galveston, Texas 77550**  
**(409) 770-5371 office**  
**(409) 621-7987 fax**

1.

<b>Business Name:</b>			
<b>Attention Line:</b>			

2.

<b>Physical Address:</b>			
<b>City:</b>	<b>State:</b>	<b>Zip+4:</b>	

3.

<b>Billing / Remit Address:</b>			
<b>City:</b>	<b>State:</b>	<b>Zip+4</b>	

4.

<b>Main Contact Person:</b>			
<b>Main Phone Number:</b>			
<b>Fax Number:</b>			
<b>E-mail Address:</b>			

Areas below are for County use only.

<b>Requested By:</b>	<b>Phone / Ext. #</b>
<b>Department:</b>	<b>Date:</b>

<b>Action Requested - Check One:</b>	<b>IFAS PEID Vendor Number:</b>	
<input type="checkbox"/> Add New	<input type="checkbox"/> Change Data	<input type="checkbox"/> Re-activate
<input type="checkbox"/> Inactivate	<input type="checkbox"/> Employee	<input type="checkbox"/> Attorney
<input type="checkbox"/> Landlord	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Refund
<input type="checkbox"/> One Time	<input type="checkbox"/> Foster Child	

## Request for Taxpayer Identification Number and Certification

**Give form to the  
requester. Do not  
send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return)	
	Business name, if different from above	
	Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ ..... <input type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
	List account number(s) here (optional)	

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number
or
Employer identification number

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

#### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

**Limited liability company (LLC).** Check the "Limited liability company" box only and enter the appropriate code for the tax classification ("D" for disregarded entity, "C" for corporation, "P" for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line.

For an LLC classified as a partnership or a corporation, enter the LLC's name on the "Name" line and any business, trade, or DBA name on the "Business name" line.

**Other entities.** Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

**Note.** You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

### Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7 <sup>2</sup>

<sup>1</sup>See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup>However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, and payments for services paid by a federal executive agency.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [www.irs.gov](http://www.irs.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

**Signature requirements.** Complete the certification as indicated in 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.consumer.gov/idtheft](http://www.consumer.gov/idtheft) or 1-877-IDTHEFT(438-4338).

Visit the IRS website at [www.irs.gov](http://www.irs.gov) to learn more about identity theft and how to reduce your risk.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

# CONFLICT OF INTEREST QUESTIONNAIRE

# FORM CIQ

For vendor or other person doing business with local governmental entity

This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.

A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.

## OFFICE USE ONLY

Date Received

**1** Name of person who has a business relationship with local governmental entity.

**2**  Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

**3** Name of local government officer with whom filer has employment or business relationship.

\_\_\_\_\_  
Name of Officer

This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes  No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

**4**

\_\_\_\_\_  
Signature of person doing business with the governmental entity

\_\_\_\_\_  
Date



### 3. SUPPLEMENTARY PROVISIONS

#### 3.1 GENERAL INFORMATION

##### 3.1.1 Purpose

The County of Galveston (County) has identified the need to procure an Enterprise Content Management System (ECMS) and Professional Services (consisting of System Implementation and Back-file Conversion Services). The County seeks the services of a highly qualified firm (Service Provider) with expert professional and technical capabilities to successfully carry the first phase in a multi phase / year County-wide deployment of the ECMS.

##### 3.1.2 Project Time Frame

The County anticipates final selection of a preferred Service Provider by April 7, 2011.

Key tentative dates include:

February 17, 2011	Release of RFP
February 24, 2011	2 <sup>nd</sup> Advertisement
March 17, 2011	12:00 noon - Deadline for questions on the RFP
<b>March 24, 2011</b>	<b>Submissions due prior to 10:00 am</b>
<i>March 31, 2011</i>	<i>Announcement of short listed Service Providers</i>
<i>April 7, 2011</i>	Shortlist Interviews
April 19 2011	Presentation to Commissioners Court
April 19 2011	Authorization to Proceed

##### 3.1.3 Questions

Questions must be submitted via email only to Mr. Rufus Crowder, Purchasing Agent at [rufus.crowder@co.galveston.tx.us](mailto:rufus.crowder@co.galveston.tx.us).

##### 3.1.4 Submission Instructions

Submit 1 original hardcopy, 1 complete electronic version with all appendices, and nine (9) hard copies to:

Purchasing Department  
**County of Galveston**  
722 Moody, 5<sup>th</sup> Floor  
Galveston, TX 77550  
**Attention:** Rufus Crowder, Purchasing Agent

##### 3.1.5 Proposal Due Date

**Proposals must be received prior to 10:00 am on March 24, 2011.**



## **3.2 BACKGROUND INFORMATION**

### **3.2.1 County of Galveston**

The County of Galveston is a public corporation and political subdivision, organized and existing under the constitution and laws of the State of Texas. It was established on May 15, 1838, by an article approved by the President of the Republic of Texas, Sam Houston. It is located on the upper Texas coast of the Gulf of Mexico and comprises a land area of 430 square miles and a population that is approaching 300,000. The land area includes: Galveston Island (the "Island"), thirty-two miles long and situated two miles from the coast; a portion of the nearby mainland; and the Bolivar Peninsula, just northeast of the Island across the entrance to Galveston Bay.

The county seat is the City of Galveston, located on the northern end of the Island and covering slightly more than forty-seven square miles. The county has no legislative, and only restricted administrative and judicial, powers. The Galveston County, Texas, Commissioners' Court is the county's governing body. The Commissioners' Court is elected by county voters for staggered four-year terms and comprises the County Judge (the presiding officer) and four County Commissioners. Each of the four commissioners represents one of the four geographical precincts into which the county is divided.

The County has approximately 1,200 (twelve hundred) employees and provides a full range of services with regard to public safety, health and social welfare, culture and recreation, conservation, and roads, bridges, and rights-of-way.

### **3.2.2 Galveston County ECMS Program Background**

County documents / records are an important resource for its staff, residents and public officials. Documents / records are currently kept in numerous formats including paper, imaged copies in various imaging systems, Kodak film reels, on-line computer systems, desktop hard drives, and optical media. County documents can include everything from timesheets, e-mails, correspondence, contracts, drawings, subdivision plans, reports, minutes and blueprints to digital photographs, videotapes, databases and electronic recordings. The County has been using various departmental imaging systems for years and many departments are familiar with the basic principles and use of imaging systems.

The County retained ThirdWave Corporation in 2009 to carry out a county-wide document / records management assessment. The final report, a County-wide ECMS Strategy and Implementation Plan, was presented to the County Commissioner's Court in early 2010. The enterprise needs assessment used a structured business process optimization methodology to determine business challenges and opportunities for using an ECMS. The objectives of the enterprise document / records management assessment included the following:

- Carry out comprehensive needs assessment related to document / records management, including:
  - Management / business needs;
  - Operational / service delivery needs;
  - Technical ECMS feature & function requirements;



- Enhance document management practices: e.g., reduce paper files / storage space, automate manual business processes, and realize operational efficiencies;
- Enhance service delivery and transparency to the public;
- Provide disaster recovery for the County's documents and records;
- Align with best practices / governmental records retention regulations, policies and practices;
- Develop a requirements specification to issue a vendor neutral ECMS Request For Proposal.

The outcome of the requirements definition effort was an Enterprise Content Management System (ECMS) strategy to implement consistent operating principles, processes, procedures and standards for managing documents / records on a Countywide basis. The imaging of existing County hardcopy documents, via a back file conversion effort, was also identified as a key component of the Countywide ECMS strategy. Consequently, the County is also interested in document back file conversion services as part of the successful execution of the County-wide ECMS implementation.

### 3.3 COUNTYWIDE ECMS DEPLOYMENT GOALS

The goal of the County is to implement a strategic ECMS that can enhance internal operating efficiencies and service delivery to the County's customers. More specifically, the County seeks an ECMS solution that will deliver the following benefits identified in the Galveston County ECMS requirements definition study:

- **Staff time savings**
  - Reduce the time spent copying and forwarding documents to County Departments
  - Reduce or eliminate purging and boxing up of documents for transmittal to the County document storage warehouse
  - Reduce or eliminate staff time to retrieve documents from the warehouse
- **Cost savings**
  - Reduce or eliminate copier costs (paper, toner, and copier maintenance contracts)
  - Reduce off-site storage costs / retrieval costs
  - Eliminate the cost of restoring documents destroyed by hurricanes or damaged by rodents in the County's warehouses.
- **Increase efficiency and staff productivity**
  - Finding and utilizing County documents / records
  - Decrease the possibility of lost files and misplaced information
  - Increase document accessibility
  - Reduced errors
- **Enhanced Customer Service**
  - Expedited customer service via business process improvement
  - Online access to County documents / records via web access to the ECMS
- **Space Savings**
  - Eliminate paper files / storage boxes and save office space
  - Mitigate or eliminate the need for document storage in County warehouses



- **Business Process Improvement**
  - Streamline business processes
  - Reduce staff workload
  - Shorten business process timelines
- **Improved document management**
  - Reduce the need for other County departments to maintain duplicate personnel documents
  - Ensure compliance with document retention and accessibility policies
  - Improved information security and disaster recovery

### 3.3.1 Countywide ECMS Deployment Strategy

The County's ECMS implementation approach will be divided into three phases with nine (9), eight (8) and eleven (11) of the County's 28 departments deployed in each phase. The deployment approach will adhere to the following principles:

- A. Implement the enterprise ECMS systems infrastructure first (e.g., Content Server, Application Server, Database Servers, etc., as required by the selected solution) utilizing existing County servers;
- B. Implement the ECMS in a phased approach starting with a Pilot Project, determined by business needs and potential benefits, as identified in the County's Enterprise ECMS Strategy and Implementation Plan;
- C. Implement the ECMS to automate key business processes with a focus on business process improvement, not just storing scanned or electronic documents;
- D. Implement the ECMS using a robust risk management approach, i.e., building a solid Imaging / Electronic Document Management / Records Management foundation with a unified taxonomy for the Phase 1 Departments, followed by E-Forms, E-Signatures and Automated Workflow solutions once the base technologies are successfully deployed and fully functional.

The diagram in the following page provides a list of the three phases and corresponding County departments in each phase. **The products and services identified in this RFP only apply to Phase 1 Departments.** The data shown for Phases 2 and 3 is for informational purposes only.

***Phase 2 and 3 may be carried out by the selected Proposer (under a contract modification) or by the County of Galveston. That decision will be based on the degree of success demonstrated in Phase 1 by the selected Service Provider.***



**Figure 3.3.1.1: Phased Enterprise ECMS Deployment Approach**

Priority	Phase / Departments	ECMS SOLUTIONS						Existing Hardcopy Documents (Pages)
		Primary			Secondary			
		Imaging	Document Management	Record Management	e-Forms Processing	e-Signatures	Automated Workflow	
<b>Phase 1 Group</b>								
1	Purchasing: PILOT	●	●	●				583,838
2	Parks & Senior Citizens: PILOT	●	●	●	●	●		587,325
3	District Clerk	●	●	●	●		●	24,375,750
4	Human Resources	●	●	●	●	●		1,470,000
5	District Attorney	●	●	●				8,677,200
6	Juvenile Justice	●	●	●				2,843,100
7	Justice of the Peace	●	●	●				4,740,075
8	Information Technology	●	●	●	●	●	●	70,200
9	Auditors Office	●	●	●			●	2,168,025
<b>Phase 2 Group (Not Part of RFP)</b>								
1 (10)	District Courts	●	●		●	●		227,400
2 (11)	Sheriff	●	●					8,370,600
3 (12)	Treasurer	●	●		●			1,076,400
4 (13)	Pre-Trail Release	●	●		●	●		292,200
5 (14)	Social Services	●	●					275,850
6 (15)	Engineering	●	●		●			971,899
7 (16)	Road & Bridge	●	●	●				190,425
8 (17)	Mosquito Control	●	●	●				150,900
<b>Phase 3 Group (Not Part of RFP)</b>								
1 (18)	Commissioners Court	●	●					119,700
2 (19)	Constable	●	●	●				171,900
3 (20)	Veterans Services	●	●	●				114,000
4 (21)	Probate Court	●	●					80,400
5 (22)	Emergency Management	●	●	●				312,300
6 (23)	County Clerk	●	●					9,952,725
7 (24)	Legal	●	●					1,470,825
8 (25)	Professional Services	●	●					1,470,825
9 (26)	Maintenance	●	●					253,125
10 (27)	Tax Office	●	●					9,090,900

**Note:**

1. Electronic Records Management for HR, Juvenile Justice and IT Departments was not initially identified as a need by stakeholders, however, it will be deployed as an enterprise application for all departments.
2. Existing hardcopy document counts are provided for information purposes only. Backfile conversion requirements are addressed in Section 4, Scope of Work, of this RFP.



### **3.3.2 Implement an Enterprise ECMS Systems Infrastructure**

It is the County's intent to utilize existing hardware for the proposed ECMS solution (e.g., Content Server, Application Server, Database Servers, etc.). The vendors shall provide a systems configuration diagram in their response to the RFP, including Production and Disaster Recovery environment required to effectively support the proposed ECMS. (See the conceptual configuration shown in Section H1, ECMS Enterprise Infrastructure, of this RFP as an example.)

### **3.3.3 Implement the ECMS in a Phased Approach, Including a Pilot Project**

As identified in the Figure 3.3.1.1 above, a Pilot project will be carried out with the two first departments prior to continuing with a full roll out for the remaining departments in Phase 1. The functional and technical requirements for the Pilot Project / proof of concept (and remaining departments) are described in Section 3.4 General Business, Functional & Technology Requirements of this RFP.

### **3.3.4 Implement the ECMS / Standard Taxonomy to Automate Key Business Processes**

The County seeks a highly capable Service Provider that can execute an enterprise business process improvement approach, with the objective to deploy an ECMS to automate critical County business operations. The focus is on enterprise business process automation and enhancement, versus an approach focusing on departmental document imaging, storage and access of documents. A key characteristic of this approach is that several departments will receive automation at once, as participants in cross departmental business processes are automated via the use of various ECMS tools. At the same time, the ECMS will be configured to store and manage all documents produced and processed in the Phase 1 Departments per a standard taxonomy.

The County wishes to avoid one of the key reasons for the failure of ECMS; a lack of end user acceptance. To that end, the ECMS will be configured / deployed to improve business processes used for internal operation and external service delivery. Business processes to be automated are described in Exhibit C: ECMS Business Process Improvement Maps in this RFP.

### **3.3.5 Implement the ECMS Using a Robust Risk Management Approach**

The County intends to deploy the ECMS in phases over a multiple year timeline, ensuring that each phase is successfully completed before proceeding to the next phase. For instance, building a solid Imaging / Electronic Document Management / Records Management foundation with a unified taxonomy for the Phase 1 departments, followed by E-Forms, E-Signatures and Automated Workflow solutions once the base technologies are successfully deployed and fully functional. Using this approach, the two initial pilot installations will allow the County to evaluate the success and support requirements of the system before adding new user groups or automated business processes.



### 3.4 GENERAL BUSINESS, FUNCTIONAL & TECHNOLOGY REQUIREMENTS

Business, functional and technology requirements were identified in the County's Enterprise ECMS Strategy and Implementation Plan carried out by ThirdWave. ECMS technologies were identified for mission critical, paper intensive business processes for each department. The following pages provide an overview of the business and functional requirements of the two Pilot Projects and other County Departments scheduled for the Phase 1 implementation.

#### 3.4.1 Purchasing Department - Pilot

The Purchasing Department is responsible for purchasing all supplies, materials, and equipment required, contract for all repairs to property used by the County, and to request competitive bids and proposals as required by law. Purchasing protects the welfare of the Galveston County taxpayers without regard to undue influence or political pressures and to account for all County assets by effectively managing a fixed asset system. Purchasing works to accomplish its mission through cooperative team interaction and continuous quality improvement in order to support the overall goals of every department at the County of Galveston.

##### Business / Functional Requirements:

The proposed ECMS solution must meet the following business / functional requirements:

- Implement an ECMS solution to streamline the existing bidding processes.
- Provide ability to capture bid related documents in the bidding process, produced by Purchasing and received from vendors.
- Make bid related documents accessible to appropriate County staff involved in the bidding business process. (See Exhibit C: ECMS Business Process Improvement Maps - 1. Purchasing: Bidding To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - Purchasing staff: Admin. Coordinator, Admin Assistant, Purchasing Agent, Assistant Purchasing Agent
  - County Department customers
  - Commissioners Court
  - Legal

##### Technology Requirements:

- Imaging: To support the capture of documents related to bidding business processes.
- ECMS: Store and manage vendor proposals and bidding process related documents per the new taxonomy for this department. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- ERMS: Manage the retention / disposition of purchasing documents / records.
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, ECMS, and records management solutions.

#### 3.4.2 Parks & Senior Citizens - Pilot

This department provides comprehensive and diverse recreational and senior service opportunities for Galveston County Citizens and visitors, through the stewardship of County resources. Galveston County has over 40 facilities including parks, boat ramps, senior service centers and beach pocket



parks. The Senior Citizens Program was established in 1976 to serve the needs of senior adults who are at least 60 years of age and older. In 2003, the Senior Citizens Program was merged with the Galveston County Parks Department, becoming the Galveston County Department of Parks and Senior Services. The focus is to enable older adults to continue being an integral part of their community, while maintaining their sense of well being and dignity

#### **Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements:

- Provide efficient and effective document capture of the document types produced and/or management by this department.
- Replace the existing Xerox DocuShare (FlowPort/Smart Send) imaging system and port the existing images in that system into the new ECMS using the new taxonomy.
- Provide robust information management capabilities for the storage, access and archiving of documents / records to replace the existing Central File Room where hardcopy documents are currently stored. (See Exhibit C: ECMS Business Process Improvement Maps - 2. Parks & Sr. Citizens To-Be Process.)

#### **Technology Requirements:**

- Imaging: Implement high-speed / high volume scanning.
- ECMS: Implement ECMS with access to appropriate staff using the taxonomy developed for this department. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- Migration: Export existing PDFs / images from the existing imaging system into the proposed ECMS.
- ERMS: Implement ERMS for this process.
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, ECMS, and records management solutions.

#### **3.4.3 District Clerk**

The District Clerk is dedicated to the care, custody and control of all court records tendered to the District Clerks Office, and to maintaining their integrity. It has a number of key responsibilities including:

- Jurisdiction over the selection of prospective jurors for six (6) District Courts, two (2) County Courts at Law, Probate Court, and nine (9) Justice of the Peace Courts.
- The official record-keepers for the District Courts and plays a key role in the day-to-day operation of the justice system.
- Is responsible for the custodial care and safekeeping of all court records for the six (6) District Courts and two (2) County Courts at Law.
- Accounts for all monies paid as deposits on civil cases, awaiting disposition and all funds awarded minors in court actions which are paid into the court registry.
- Oversees the accounting and disbursement of all child support payments for cases heard in Galveston County.

#### **Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements.



- Provide efficient and effective document capture of the Administrative document types produced and/or management by this department. (The Civil, Criminal and Family Law case file documents / records are being converted under a separate contract, and they will be stored in the District Clerk’s new Odyssey Case Management system.)
- Provide robust information management capabilities for the storage, access and archiving of documents / records to automate the Customer Services Request business process. (See Exhibit C: ECMS Business Process Improvement Maps - 3. District Clerk –Customer Services Request To-Be Process.)

**Technology Requirements:**

- Imaging: Implement scanning to support the District Clerk’s administrative business processes.
- ECMS: Implement an ECMS to store documents / records with accessibility to staff. (A Taxonomy will need to be developed for the administrative documents for the District Clerk. They are not included Exhibit D: Unified County Taxonomy in this RFP document.)
- ERMS: Implement a Records Management System in this process.
- E-Forms: Provide on-line forms with required fields.
- Workflow: Consider using Automated Workflow in this process.
- Integration: Interface the proposed ECMS with the Odyssey System.
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department’s taxonomy, imaging, and ECMS solutions.

**3.4.4 Human Resources**

The mission of the Human Resources department is to provide efficient, timely, customer-driven, professional human resources services. The department maintains personnel files, workers compensation files, pension and benefit files, recruitment and testing files, and many other documents. These files are necessary for operation and compliance with legal and statutory requirements.

**Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements:

- Implement an ECMS solution to automate the existing hiring / HR business processes.
- Provide ability to capture hiring related documents in the hiring business processes.
- Make HR related documents accessible to appropriate County staff involved in the hiring business process. (See Exhibit C: ECMS Business Process Improvement Maps - 4. Human Resources: Hiring To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - HR staff: HR Analyst and Assistant HR Director
  - County Department customers
- Implement “electronic HR file folders” for the following:
  - Personnel File
  - Confidential File
  - DOT File
  - Confidential Appointment



- I-9

**Technology Requirements:**

- Imaging: Implement 2 scan-stations to support the hiring / HR business processes.
- ECMS: Store hiring / HR related documents per the new taxonomy for this department. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- E-Forms: Implement for Criminal & Driver's License Background Checks. (Use E-Forms for the following: Life insurance, Medical, Retirement, HR forms, Tax forms, I9's (work visas) in a subsequent phase.)
- E-Signatures: Implement for Criminal & Driver's License Background Checks.
- Conversion: Carry out back file conversion of hardcopy documents, e.g., personnel and confidential employee files, stored in the office and warehouse.
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, ECMS, and records management solutions.

**3.4.5 District Attorney**

The Galveston County Criminal District Attorney's Office represents the State of Texas in all criminal cases that arise anywhere in Galveston County. The only exceptions are low grade misdemeanors filed in Municipal Courts. Local Police Departments and the Sheriff's Department are the agencies that routinely investigate reports of criminal conduct. Criminal cases are then filed in Justice of the Peace Courts, County Courts at Law and District Courts in Galveston County. Once a case has been filed, prosecutors from the District Attorney's Office appear in these courts to represent the State of Texas and the victim of the crime.

**Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements.

- Provide efficient and effective document capture of the Intake packet document types and related documents produced and/or management by this department. (The DA will be a future user of the District Clerk's new Odyssey Case Management system.)
- Provide business process automation of documents related to the DA Juvenile Intake Packet business process, including establishing the methods and procedures to replace existing hardcopy files with a Juvenile E-File, including security features restricting / unrestricting access to Juvenile files.
- Make DA related documents accessible to appropriate County staff involved in the Juvenile Intake business processes. (See Exhibit C: ECMS Business Process Improvement Maps – 5: District Attorney - Intake To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - DA staff (Secretary, Prosecutor)
  - Court
  - District Clerk

**Technology Requirements:**

- Imaging: Implement a scanning function at the beginning of the intake process. Scanned files will include hardcopy, digital image, audio, and video content.



- ECMS: Store and manage documents / records for this process, interfaced to the District Clerk documents in the Odyssey system, per the new taxonomy for this department. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- ERMS: Implement ERMS to manage the retention / disposition of DA related documents / records.
- Conversion: Carry out back file conversion of Green Cards (Grand Jury) and Probation files
- Training: Provide custom tailored / role-based training on the new ECMS to staff, including this department's taxonomy, imaging, and ECMS solutions.

### 3.4.6 Juvenile Justice Department

The goal of the Galveston County Juvenile Justice Department is to provide a simple judicial procedure through which the juvenile is assured a fair hearing. The program, in accordance with Title III: Juvenile Justice Code of the Texas Family Code, the Texas Constitution and related statutes of the Texas Administrative Code and Texas Penal Code, assures the juvenile due process and the protection of all parties' constitutional and other legal rights.

#### Business / Functional Requirements:

The proposed ECMS solution must meet the following business / functional requirements.

- Implement an ECMS solution to streamline existing Juvenile Justice business processes.
- Provide business process automation of documents related to the Juvenile Justice Intake business process, including establishing the methods and procedures to replace existing hardcopy files with the following E-folders:
  - E-Intake File
  - Deferred Probation E-Folder
  - E-Juvenile Probation File
- Make Juvenile Justice related documents accessible to appropriate County staff involved in the Juvenile Justice Intake business process. (See Exhibit C: ECMS Business Process Improvement *Maps* - 6. Juvenile Justice - Intake To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - Juvenile Probation Intake Office staff
  - County District Attorney
  - District Court

#### Technology Requirements:

- Imaging: Implement scanning of the juvenile probation process.
- ECMS: Store probation documents to establish electronic file folders for the following:
  - Intake file
  - Deferred Probation Folder
  - Juvenile Professional FileImplement electronic transmittal of files from the D.A. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- Conversion: Hardcopy documents including: Juvenile Files, Probation Files stored at the warehouse (approximately 700 boxes).
- Training: Provide custom tailored / role-based training on the new ECMS to staff, including this department's taxonomy, imaging, and ECMS solutions.



### 3.4.7 Justice of the Peace

There are nine (9) Justice of the Peace Courts under the County Courts. They are responsible for handling a number of court related activities and matters related to: Evictions, Small Claims, Civil Cases, Traffic, Criminal, Appeals, Peace Bonds and Weddings.

#### **Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements.

- Implement an ECMS solution to streamline existing ticket business process.
- Provide business process automation of documents related to the ticket business process, including establishing the methods and procedures to replace existing hardcopy files with the E-folder containing ticket related documents produced / processed in this business process.
- Make ticket related documents accessible to appropriate Justice of the Peace staff involved in the ticket business process. (See Exhibit C: ECMS Business Process Improvement Maps, 7. Justice of the Peace - Tickets To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - Justice of the Peace staff
  - Court (view only web access)
  - Agencies (view only web access)

#### **Technology Requirements:**

- Imaging: Implement a scanning function to scan tickets and associated documents, and store in ECMS by case number. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- ECMS: Implement a web-enabled ECMS with view only access to other departments / agencies that are geographically dispersed.
- ERMS: To manage the retention / disposition of cases per the County / State Retention Schedule.
- Conversion: Hardcopy documents, e.g., pending case ('hot' checks, traffic, juvenile, civil cases considered active, etc.) going back at least 10 years. (Existing staff will do day forward scanning.)
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, ECMS, and records management solutions.

### 3.4.8 Information Technology

Information Technology is responsible for implementing and maintaining the County's Information Systems and providing a variety of technology products and services to County Departments.

#### **Business / Functional Requirements:**

The proposed ECMS solution must meet the following business / functional requirements.

- Implement an ECMS solution to streamline the existing requisitioning business processes.
- Provide business process automation of documents related to the requisitioning business process, including establishing the methods and procedures to replace existing hardcopy forms / documents with E-Forms and electronic documents, including:
  - E-Request Form



- E-5WH
- Scanned PO and related paperwork (at the end of the business process)
- Make requisition related E-Forms / documents accessible to appropriate County staff involved in the Requisitioning business processes. (See Exhibit C: ECMS Business Process Improvement Maps - 8. Information Technology – Requisitioning To-Be Process for a conceptual diagram illustrating the future state business process.) Business process participants include:
  - County Department (customers)
  - IT staff / management (Technical Analyst, CIO, and Analyst)
  - Purchasing Department
  - Commissioners Court

**Technology Requirements:**

- Imaging: Implement imaging system for the IT requisition process to scan hard copy documents at the end of the business process (and discard hardcopies after some pre-determined time).
- ECMS: Store supporting documents. (See Exhibit D: Unified County Taxonomy in this RFP document.)
- E-Forms: Implement E-Forms for 5WH and Requisition documents.
- E-Signatures: Implement E-Signatures for 5WH and Requisition documents.
- Workflow: Implement Automated Workflow solutions for the requisitioning process (including the 5WH and Requisitions forms).
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, and ECMS solutions.
- DR: Implement a Disaster Recovery system at a remote location for the ECMS.

**3.4.9 Auditors Office**

The County Auditor's Office maintains the integrity of financial administration at the County. The County Auditor, by law, has oversight of all financial books and records of all officers of the County and is charged with administering the budget. Both the County Auditor and Commissioners Court are required by law to approve or reject claims for disbursement of County funds. The integrity of county financial administration is entrusted to a dual control system of "checks and balances."

**Business / Functional Requirements:**

The Auditor's Office is currently using the Xerox DocuShare and Sungard / Bi-tech solutions on a number of documents / records applicable to the County Auditor's mission and business functions. Images are currently stored in a subsystem of IFAS (the County's ERP system). The proposed ECMS solution must meet the following business / functional requirements.

- Provide efficient and effective document capture of the document types produced and/or management by this department that are not produced and/or processed in IFAS.
- Replace the existing Xerox DocuShare imaging system and port the existing images in that system into the new ECMS using the new taxonomy.
- Provide robust information management capabilities for the storage, access and archiving of documents / records that are not financial in nature and are not produced and/or processed in IFAS. (See Exhibit C: ECMS Business Process Improvement Maps - 9. Auditors Office:



Journal Entry To-Be Process for a conceptual diagram illustrating the future state business process.)

**Technology Requirements:**

- Imaging: Implement a standard high-speed, high-performance scanner for the Journal Entry process.
- ECMS: Store and manage documents not contained in IFAS, must accommodate substantial amounts of storage space.
- ERMS: Implement an ERMS for warehoused documents with standardized record management practices.
- Integration: Interface the proposed ECMS with the existing IFAS System providing bi-directional view only capabilities.
- Training: Provide custom tailored / role-based training on the new ECMS to staff on this department's taxonomy, imaging, and ECMS solutions.



#### 4. SCOPE OF WORK

The County seeks the services of a highly qualified Service Provider with expert professional, technical ECMS implementation and integration service capabilities. The following section describes the Scope of Work for the system that the County intends to deploy. The Scope of Work section is broken out into three parts:

- Part A. Professional Services; which provides a general description of the desired technical professional services. (These are meant to be minimum suggested implementation tasks; the actual means, methods and procedures used to carry out the ECMS implementation are ultimately up to the Service Provider to present in the Proposal.)
- Part B. ECMS Software Solution, which provides a general description of the software requirements.
- Part C. ECMS Hardware / Peripherals, which includes enterprise infrastructure (servers) and scanners.

##### 4.1 PART A. PROFESSIONAL SERVICES

The County is seeking Technical Professional services required to deploy the ECMS as described in *Section 3.4. General Business, Functional and Technology Requirements* of this RFP document. The following outline represents a general list of anticipated project activities for the deployment of the ECMS Pilot Projects and subsequent departmental roll out. **However, Proposers may propose tasks not specifically identified in the following list, depending on the Proposer's project approach and best practices.** Additionally, Proposers may propose a work plan that is carried out in a different sequence than that shown below. Service providers shall propose a work plan that delivers a fully functional ECMS that is responsive to the Departments - on schedule and on budget.

The County requests proposals for the following services:

##### 1. Project Management

The Project shall be managed per a Project Plan developed and maintained by the Service Provider. The Service Provider shall designate a seasoned Project Manager, with a proven track record of success with several successful enterprise ECMS deployments, who will be the primary contact for all Project activities. The County will also designate a County Project Manager who will be the County's primary contact.

##### 1.1 Detailed Work Plan & Project Charter

A detailed Work Plan and Project Charter shall be produced, in conjunction with a detailed Microsoft Project Schedule including timeline, tasks, key milestones and deliverables.

##### 1.2 Project Kick-off Meeting

A project kick-off meeting will be held with the Service Provider, the County Executive Sponsor, and business process owners / stakeholders.

##### 1.3 Bi-Weekly Progress Reports

Throughout the project, the Service Provider shall prepare and submit bi-weekly status written reports to the County Project Manager. The bi-weekly reports shall act as an ongoing



communication / project coordination tool to gauge the progress of the work and identify potential issues before they become potential risks.

#### 1.4 Monthly Status Reports

The Monthly Status Report will provide a status update on the progress of the ECMS Project indicating the following:

- Project tasks completed during the current reporting period. Identify tasks that have fallen behind schedule, the reason and mitigation measures
- Project tasks planned for the next reporting period
- Updated Project Schedule
- Project Budget Status
- Identify and summarize all risks and problems identified that may affect the Project. Identify the action and person(s) responsible for mitigating the risk and resolving the problem.

#### 2. Requirements Review & Validation

Review and validate the County's Phase 1 ECMS requirements and taxonomy required for the ECMS implementation. The Service Provider will reference the Business Process Maps and Unified County Taxonomy documents included in this RFP for this task. The Service Provider will produce a technical / functional requirements document as required for the proposed ECMS solution.

#### 3. System Software Installation & Set Up

Unless the ECMS infrastructure hardware is provided by the service provider, the County will be responsible for installing the infrastructure components identified in the mutually agreed upon architecture provided by ECMS Solution Provider. The Service Provider will install and configure all ECMS software procured under this solicitation onto the ECMS Servers (i.e., Development, Production, Test and Disaster Recovery environments as appropriate).

#### 4. ECMS Pilot Project Requirements Specification

Provide services to develop the functional requirements technical specification for the ECMS (e.g., Imaging, Document Management, Records Management, e-Forms, e-Signatures, and Automated Workflows, as appropriate) applications for the Purchasing and Parks & Sr. Citizens Pilot Projects. Best practice methodologies shall be used to ensure the ECMS solutions meet the unique business process requirements of each department, for instance:

- Requirements Gathering: User Groups, User Privileges, User Security Levels
- Verify the Unified County Taxonomy: Document Types / Classes / Index Values
- Business Process / Document Lifecycle

See Section 4.2: ECMS Software; S 2. ECMS - Concurrent End User License below, for the number of end users in each department.

A Functional Requirements Specification will be produced for the vetting and approval of stakeholders.

#### 5. ECMS Pilot Project Configuration

Provide the necessary services to develop a system design document and configure the ECMS solution. Systems configuration shall include one or more of the ECMS suite, including



imaging (software and scanners), ECMS, ERMS, E-Forms, E-Signatures, or Automated Workflow solutions applicable to each Department. The system design document will be reviewed and approved by stakeholders prior to the configuration work taking place.

**6. System & Production Testing**

Develop test scripts and carry out system / production testing of all ECMS infrastructure and the Pilot Project solutions to ensure a fully functional system prior to cut-over / go-live, including the following:

- Every aspect of the ECMS document life-cycle will be thoroughly tested per the business processes automated for each department, its user groups, document types, and document the results.
- Internet access to appropriate documents / records in the ECMS will be tested from within and outside the County (via the Internet), testing the accessibility to documents from the public and document the results.
- Back File conversions bulk load files will be reviewed and tested.
- Systems Administration will be thoroughly tested and document the results.
- System Backups and Disaster Recovery across the ECMS enterprise infrastructure (Production and Disaster Recovery environments) will be thoroughly tested document the results.

**7. Systems & End User Documentation and Training**

Provide systems and end user documentation and custom tailored training for all types of County end users to ensure the effective and successful use of the ECMS solution, including System Administration, Scanning and use of all ECMS applications deployed for each department, user groups, document types, and how the ECMS will be used in the business process automated. The Systems Provider will provide:

- System Administration Training
- Out of the Box Training: Basic End User Training
- Train-the-Trainer Training: Role based customer training for each business departments automated business process.

**8. ECMS Cut-Over**

Working with County IT staff, the Service Provider will provide the necessary technical staff working on-site to carry out the ECMS cut-over and go-live. A complete enterprise system test of the Pilot Project will be carried out prior to cutting over and going live with the two departments.

**9. Phase 1 Departments Roll-out**

The previous implementation tasks (or whatever approach the Service Provider uses) will be repeated for the remaining Phase 1 Departments after the Pilots have been deemed to be successfully completed. The Service Provider will prepare a summary of lessons learned in the course of the Pilot Projects and review those findings with the County prior to proceeding with the ECMS deployment of the remaining departments. The Service Provider and County will make the necessary adjustment(s) to the work plan, schedule, assigned resources, etc., as appropriate to ensure a successful completion of the Phase 1 Departments.



**10. Systems Maintenance & Ongoing Technical Support**

Provide systems maintenance and ongoing technical support, including telephone, Web-based and/or onsite technical support, as appropriate.

**11. File Migration & Back File Conversion**

**11.1 Electronic DocuShare File Migration**

Provide the necessary services to migrate existing documents stored in the Xerox DocuShare system for the Pilot Project departments, Parks & Sr. Citizen Department and Purchasing Department.

**11.2 Back File Conversion**

Provide onsite back file conversion services for the documents identified for each department. The scanned documents will be bulk loaded into the proposed ECMS prior to the production testing task. See Exhibit E: Back File Conversion for the document counts to be converted per department and a detailed description of this work.

**4.2 PART B. ECMS SOFTWARE**

The proposed ECMS solution shall meet the following end user requirements.

**S 1. Imaging Software**

*Figure S.1.1: Imaging Software*

Phase 1 Departments	Scanner Qty.	Assumptions
1. Purchasing (Pilot) .....	2	Scans / yr. = ..... 300k
2. Parks & Senior Citizens (Pilot) .....	2	Scans / yr. = ..... 300k
3. District Clerk .....	1	Scans / yr. = ..... 600k
4. Human Resources .....	2	Scans / yr. = ..... 300k
5. District Attorney .....	1	Scans / yr. = ..... 600k
6. Juvenile Justice .....	1	Scans / yr. = ..... 300k
7. Justice of the Peace Districts 1 - 9 .....	9	Scans / yr. = ..... 300k
8. Information Technology.....	1	Scans / yr. = ..... 300k
9. Auditors Office .....	1	Scans / yr. = ..... 600k
<b>Total Scanners</b>	<b>20</b>	



**S 2. Enterprise Content Management Software - Concurrent End User License**

The proposed ECMS shall consists of a seamlessly integrated suite of Web-enabled applications addressing the complete spectrum of requirements identified in the Requirements Definition project, including Electronic Content Management, Electronic Records Management and Automated Workflow functionality. The County seeks a solution that can support an enterprise with twenty-eight (28) departments and approximately 1,215 employees. While the County recognizes various pricing structures exist for ECMS software, we are most interested in a concurrent user pricing model. The final number of concurrent users may be modified (i.e., increased) during contract negotiations.

**Figure S.2.1: ECMS - Concurrent End User License**

Phase 1 Departments	Dept. Staff
1. Purchasing .....	8
2. Parks & Senior Citizens .....	53
3. District Clerk .....	62
4. Human Resources .....	6
5. District Attorney .....	74
6. Juvenile Justice .....	81
7. Justice of the Peace .....	43
8. Information Technology .....	42
9. Auditors Office .....	32
<b>Phase 1 End Users</b>	<b>401 x 10% = 40 concurrent users</b>

**S3. Electronic Records Management Software**

The proposed Electronic Records Management Software (ERMS) shall be robust enough to meet the needs of the County's 28 departments, with approximately one-hundred million (100,000,000) pages to organize and manage through a single records management interface. It must enforce a standard system for managing the entire document lifecycle regardless of media type and include several key features including (but not be limited to) physical file tracking, records retention, destruction documentation, information queries, data validation, webpage archiving and imaging and workflow system interfaces. The proposed ERMS will develop a standard uniform filing plan used throughout the County to preserve the County's vital records inventory.

**S4. E-Forms Software**

The proposed ECMS will include a seamlessly integrated suite of E-Forms capability, to be used in Web-enabled data collection and/or as an E-Forms processes working in conjunction with E-Signatures and an Automated Workflow engine. The E-Forms software will provide for intelligent forms that can capture data in leading relational database and/or XML. Additionally, the E-Forms will be accessible from within the County as well as by citizens via Internet access for E-Government applications. (See Exhibit C: ECMS Business Process Improvement Maps for instances where E-Forms / E-Signatures will be used.)



**Figure S.4.1: E-Forms Software**

Phase 1 Departments	E-Form Requirement
1. Parks & Senior Citizens	Cash Transfer, Letters of Direction
3. District Clerk	E-Customer Service Request Form
4. Human Resources	E-Criminal, Driver's License, Background Check
8. Information Technology	E-5WH, E-Requisition
<b>Development license required</b>	

**S5. E-Signature Software**

The proposed ECMS will include a seamlessly integrated and robust e-Signature authentication solution. For the purposes of the ECMS RFP, data from the To-Be Rapid Workflow® business process maps was used to determine the approximate number of E-Signature certificates required for Phase 1 based on the departments that identified a need for E-Signatures. (See Exhibit C: ECMS Business Process Improvement Maps for instances where E-Forms / E-Signatures will be used.)

**Figure S.5.1: E-Signature Software**

Phase 1 Group	Staff	Certificates Req'd.
1. Parks & Senior Citizens	53.....	3
4. Human Resources	6 .....	2
8. Information Technology	42.....	4
<b>Certificates required</b>		<b>9</b>

**S6. Automated Workflow Software**

Provide a development license for County-wide use.

**S7. Application Program Interfaces (API) Software**

The proposed ECMS should provide Application Program Interfaces to support interfaces to existing enterprise / legacy systems including:

**Figure S.7.1: API Software**

Phase 1 Departments	Existing Legacy / ERP
3. District Clerk	Odyssey Case Management System
9. Auditors Office	IFAS, Sungard / Bi-Tec

**Note:** Another legacy system that the ECMS will need to interface in Phase 2 is the OSSI system used by the County Sheriff.

**S9. Software Maintenance**

Provide software maintenance as required.



### S10. Ongoing Technical Support

Provide technical support agreement as appropriate.

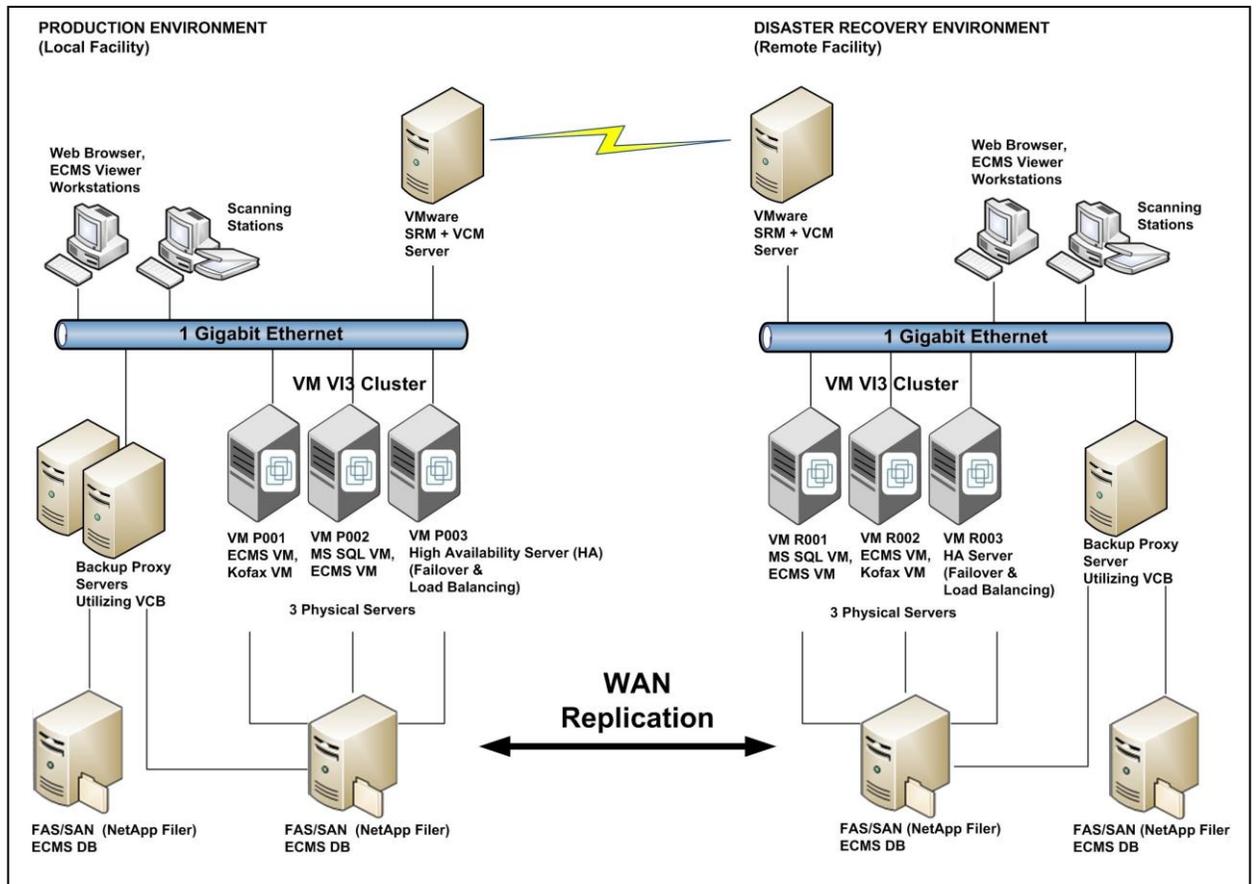
### 4.3 PART C. ECMS HARDWARE / PERIPHERALS

It is the County’s intent to use existing County servers to host the proposed Enterprise ECMS. However, the County is open to reviewing and considering Service Provider hardware proposals. The following figure provides a **conceptual (and vendor agnostic) architecture**. **The following figure is conceptual design only, vendors should include a similar diagram illustrating the systems requirements for the proposed solution in their proposal.**

### H1. ECMS Enterprise Infrastructure

Provide an enterprise infrastructure to support the deployment of the proposed ECMS across the entire County with a server topology and architecture providing a Production and remote Disaster Recovery environment for the proposed ECMS.

**Figure H.1.1: Conceptual ECMS Enterprise Infrastructure Requirements**





**H2. ECMS Scanners**

Provide low and high volume scanners to departments based on their respective imaging volume requirements. The following figure provides a list of scanners required for the Phase 1 County Departments.

**Figure H.2.1: Scanners**

Phase / Department	Low Volume Scanner	High Volume Scanner
<b>Phase 1 Departments</b>		
1. Purchasing	2	-
2. Parks & Senior Citizens	2	-
3. District Clerk	-	1
4. Human Resources	2	-
5. District Attorney	-	1
6. Juvenile Justice	-	1
7. Justice of the Peace Districts 1 - 9	9	-
8. Information Technology	1	-
9. Auditors Office	-	1
	16	4

**Note:**

1. Low volume denotes approximately 300,000 scans per year.
2. High volume denotes approximately 600,000 scans per year.



## **5. REQUIRED PROPOSAL SUBMISSION CONTENTS**

Each Proposer is expected to fully respond to each of the following proposal sections and submit responses in the same order. Additional supporting documentation may be included as appendices to the submission, and must be as concise as possible.

### **5.1 Letter of Transmittal**

This letter will summarize, in a brief and concise manner, the Proposer's understanding of the requested services and the commitment to perform the project in a timely manner. Include a statement noting that the Proposal is good for a period of 60 days, in addition to the official name of the firm submitting the proposal, mailing address, e-mail address, telephone number, fax number and the name and signature of the person authorized to bind the Service Provider.

### **5.2 Table of Contents**

Include a clear identification of the proposal by section and page number. The sections in the Proposal shall conform to those sections shown below.

### **5.3 Executive Summary**

The Proposer shall provide an Executive Summary that presents a summary level description of the contents of the proposal. In addition, the Vendor must clearly and specifically detail all exceptions to the requirements of this RFP.

### **5.4 Section 1: Company Background**

The Proposer shall provide a profile of its organization. (The Proposer may attach any additional literature and product brochures in the Appendix.) At a minimum the Proposer will provide the following information:

- Company Background and the year the firm was established;
- Business Organization, number of employees, and the number of employees focused on this type of engagement;
- Products and Services Provided by the Company;
- Financial Stability of the Proposer's Firm, provide a copy of the company's financials.

### **5.5 Section 2: Firm's Qualifications**

The Proposer shall include qualifications and experience of the firm and the proposed implementation team. The Proposer shall provide a description of capabilities related to enterprise ECMS projects of a similar size, complexity and business. Provide resumes of the Project Manager and key staff who will be assigned to this project.



### 5.6 Section 3: Similar ECMS Projects

The Proposer shall provide a description of a minimum of **five similar projects** performed for clients of a similar size, complexity and business, preferably government. The Proposer will provide the following information:

- Client / Project Name
- Project Dates (start and completion)
- Project Manager Contact, email, telephone number
- Size of the Organization: number of departments and employees
- Project Team: Name of Project Manager and Team
- Brief Project Description: Project Scope of Work, total number of users, ECMS modules deployed, type and number of applications developed (i.e., E-Forms, E-Signatures, Automated Workflows), back file conversion (i.e., number of document converted)

### 5.7 Section 4: Client References

The Proposer shall provide a minimum of **five client references** for similar work performed for clients of a similar size, complexity and business. The Proposer will provide the following information about client references: client name, project name, client Project Manager's contact information.

### 5.8 Section 5: Approach to the Project

This portion of the proposal will explain the approach to the project based on the scope of work, including the use of best practices, innovative ideas/approaches; cost saving ideas/methods; and any other information the Proposer may deem advantageous to demonstrate an understanding and viable approach to the work.

Proposal will include, at a minimum, the following information:

- Project Organization: roles & responsibilities (including subconsultants if applicable), staffing plan; and the roles / responsibilities of the County;
- Technical Approach: including the Systems Architecture; proposed software products for the Pilot Projects / Departments in Phase 1; implementation / testing approach, and the Proposer's interface development approach;
- Project Management Approach: including project planning, project management, and risk management;
- Assumptions related to the proposal, such as use of County office space, access to County staff, etc.



## 5.9 Section 6: Scope of Work & Deliverables

Proposal shall provide a detailed work plan to be followed during the course of the project (including deliverables for each task / subtask) for Part A, B and C for the Scope of Work. Service Providers shall provide the required services to deliver a fully functional ECMS solution; the means, methods and procedures shall be determined by the Service provider. ***The following scope of work is representative of a typical ECMS deployment; the Service Provider shall propose whatever tasks / subtask it deems appropriate to ensure a successful deployment based on industry best practices.*** A list of deliverable shall be included as part of this section.

### Part A: Professional Services

Provide a detailed work plan and deliverables for all implementation services required to deploy the ECMS to the Pilots and Phase 1 Departments, including the following:

#### A.1 Implementation Services

- Project Management
- Requirements Review & Validation
- Install ECMS System Infrastructure
- ECMS Pilot Project Requirements Specification
- ECMS Pilot Project Configuration
- Electronic files migration from the existing Xerox DocuShare / Flowport system used by departments in Phase 1
- System & Production Testing
- Systems & End User Documentation and Training
- Pilot Project Cut-Over
- Phase 1 Departments Roll-out
- System Maintenance
- Ongoing Technical Support

#### A.2 Back-file Conversion Services

See the following for a description of the back-file conversion services for Phase 1 Departments:

- Exhibit D: County of Galveston Unified County Taxonomy
- Exhibit E: Back-file Conversion Specification

### Part B: ECMS Software Solution

Provide a complete, detailed and itemized list of all ECMS software needed to meet the requirements for Phase 1, including ongoing technical support and software maintenance.

- Identify all proposed software products (e.g., Imaging, ECMS, ERMS, E-Forms, E-Signatures, Automated Workflow, etc.) with a general description of the functions and features of the proposed system;
- List all third party products required and relationship to the proposed solution, if applicable;
- Describe the release, upgrade and bug fix program, including frequency and notification process;



- List hardware specifications to run the proposed ECMS solution.

**Part C: ECMS Hardware / Peripherals**

Provide a complete detailed and itemized list of all the ECMS hardware needed to meet the requirements of the Pilot Projects and Phase 1 Departments, including:

- The system architecture and specification for all proposed servers and network components;
- Describe the security for information and systems infrastructure;
- The specification for all proposed scan stations and scanners.

**5.10 Section 7: Project Schedule**

The County’s objective is to have the Phase 1 completed in approximately ten (10) months. Proposal shall provide an overview of the proposed Pilot Project Implementation Schedule via a MS Project Schedule. The Project Schedule will indicate all Tasks, Subtasks, Key Milestones and Deliverables. The detailed Gantt chart should identify task durations; start and completion dates; and tasks where County staff is required to support the task. Project schedule assumptions made by Proposer should also be noted.

**5.11 Section 8: Cost Proposal**

The Proposer shall provide a detailed cost breakdown, showing the total cost to the County for the performance of all services, expenses, materials and deliverables, in addition to all software costs, to be used for completion of the proposed project. The Proposer shall provide all cost using the format shown in Exhibit B: ECMS Proposal Cost Summary & Payment Schedule Template, including:

**8.1 Cost Summary**

Provide the Fixed Fee costs for each of the following:

- Part A: Professional Services
- Part B: ECMS Software
- Part C: Hardware
- Part D: Optional Tasks (not identified in the Scope of Work)

**8.2 Payment Schedule**

Provide costs data in the following manner:

- Figure 8.2.1: Costs breakdown by Phase, Project Task, Subtask, and deliverable for each
- Figure 8.2.2: Hourly rates to be charged per each staff person assigned to the project
- Figure 8.2.3 Description of cost assumptions used in the preparation of the Proposal
- Figure 8.2.4 Optional Tasks Cost Breakdown

**Note:** While the proposed work will be carried out in a Fixed Fee basis, hourly rates are being requested as part of the value proposition analysis the County will carry out as part of the evaluation process.



The County and the selected Proposer shall negotiate the final cost, based on the Scope of Work finalized in contract negotiations.

**5.12 Section 9: Consultant Services Agreement**

The selected Service Provider will be required to complete a County of Galveston Consultant and Professional Services Agreement. A copy of the agreement is included as Exhibit G. The Proposer shall explicitly indicate (review and agree) to the General Provisions of this agreement and identify any exceptions or "deal breakers."



## 6. EVALUATION CRITERIA

The evaluation of the Proposals, and the construction of a recommendation of how to proceed with any contract award, will be performed by the County's Project Manager and an Evaluation Committee composed of technical and managerial personnel, and may involve further discussions with the Service Provider to clarify items contained within the written Proposals. The evaluation criteria to be used for comparing and ranking proposals submitted under this RFP will include:

### 6.1 Compliance with RFP Specifications

The Evaluation Committee will rate the completeness and responsiveness of the written proposal, specifically *SECTION 5. REQUIRED PROPOSAL SUBMISSION CONTENTS* above.

### 6.2 ECMS Features, Functions and Technical Architecture

The Evaluation Committee will establish comparative rankings of the proposed solution using a variety of parameters including (but not limited to) product features, functions, technical architecture, strategic alliances with other software vendors, future direction of the software vendor, and ability to meet the County's ECMS Countywide strategy. The evaluation team will evaluate the proposed ECMS solution's fit with the County's business, functional and technical requirements.

### 6.3 Proposer's Qualifications

The Evaluation Committee will rate the Service Provider's demonstrated capabilities with regards to a proven track record in the successful deployment of enterprise ECMS technologies (e.g., Imaging, Document / Records / Content Management, E-Forms, E-Signatures, Automated Workflow, E-Government, and Enterprise Application Integration). The qualification of the Service provider will be assessed in three areas:

- The Proposer's experience on past projects of similar scale and complexity, particularly in government;
- The professional qualifications of the proposed Project Manager and technical team, e.g., number of years experience and number of enterprise ECMS installations; and,
- The degree of success and results delivered.

### 6.4 Service Provider Customer References

The Evaluation Committee will contact the Proposer References provided in Section 4 Client References of the Proposer's response. The input provided by the Proposer's references (and Proposer's Subconsultants, if applicable) will be considered in the overall evaluation. The County will also inquire as to the experience of working with the ECMS software vendors in their evaluation in the event the Service Provider is not the ECMS software vendor. The County may, at its discretion, choose to hold site visits to clients noted as references to gather further information on the quality and professionalism of a Service Provider's ECMS delivery.



**6.5 Overall Price & Best Value**

The proposals will be evaluated in terms of price, quality, technical merit, functional characteristics, and after-sales technical support services. Cost will be an important consideration; however, the final selection will be based on the overall best value to the County.

**6.6 Best and Final Offer**

The County, at its sole discretion, may request a Best and Final Offer (BAFO) from the preferred vendor(s). The BAFO response shall constitute a submission under the RFP, and, therefore, it shall be subject to and governed by all of the terms and conditions set forth in the RFP.

**6.7 Evaluation Criteria Matrix**

The following evaluation matrix will be used to evaluate Service provide proposals. The following scoring matrix indicates the highest score possible for each evaluation item.

1. Compliance with RFP Specifications .....	15 pts.
2. ECMS Features, Functions and Technical Architecture .....	25 pts.
3. Proposer’s Qualifications .....	20 pts.
4. Proposer’s References .....	15 pts.
5. Overall Price & Best Value .....	25 pts.
<hr/>	
<b>TOTAL SCORE</b>	<b>100 pts.</b>

If required, at the discretion of the County, interviews will be held with Service Providers.



# **COUNTY OF GALVESTON REQUEST FOR PROPOSAL Appendix**



## **Enterprise Content Management System & Implementation Services County of Galveston**



## Exhibit A: ECMS Solution Minimum Specifications

### A.1 Imaging Software

The imaging software will provide the following minimum features and functions:

1. Image Capture: with the ability to import hard copy and existing electronic documents from the same interface.
2. Automatic conversion of scanned documents to standardized TIFF, JPEG, or full text searchable PDF formats.
3. Image Enhancement: de-skew, de-speckle, crop, rotate, and remove borders.
4. Quality Assurance / Quality Control features: verify image quality and, if necessary, provide the ability to enhance images.
5. Data Extraction: automatic forms recognition, data capture, and Zonal Optical Character Recognition (where applicable).
6. Indexing / Validation: associate attributes with documents.
7. Automatic Image Storage: ability to automatically release and store images (hard copy scans) into assigned ECMS libraries without having to prompt the scan operator for an ECMS storage location, document security etc).
8. Paper Size: accommodate different types and sizes of paper in the scanning process, varying from 3.5" up 11x17 size documents, and large document scanning for engineering documents.
9. Virtual Cleanup: provide the scan operator the ability to touch-up and/or improve the quality of the scanned documents in "real time" (while scanning) prior to being released to the ECMS libraries, eliminating the need for the operator to re-scan documents.
10. Automatic Forms Processing capabilities: structured documents (documents that use standard forms) can be processed using electronic forms or forms processing to reduce manual data entry and improve data accuracy. Use indexing scripts and zones that allow the incorporation of customized forms processing and data validation into the capture and index process.
11. Support barcode, Optical Character Recognition (OCR), forms recognition, and (Optical Mark Recognition), which detect the presence, or absence, of marks in defined areas; used for processing questionnaires, standardized tests.
12. Take advantage of Microsoft Sharepoint that is currently in place in the County.

### A.2 Electronic Content Management System Software

The County requires an ECMS solution that can be deployed in phases to that it can act as a County-wide strategic business technology solution. The ECMS will provide a common access method to information for County staff and management, particularly in business processes where documents / records are accessed by more than one business unit. The County requires a standard ECMS that will allow the easiest, fastest, most cost effective implementation to minimize ongoing operation and maintenance costs.

At a minimum, the ECMS will provide the following minimum features and functions:

1. Rich functionality in the ability to store, access, view, modify (with appropriate privileges), and share documents across County business units, geographically dispersed locations, and project offices.



2. Provide a complete suite of document management features integrated with Records Management, E-Forms, E-Signatures and Automated Workflow functionality.
3. Provide a user friendly, easy to setup and use Graphical User Interface (GUI), consistent with other GUI industry standards.
4. Support access to major business automation document types in their native file formats.
5. Provide Web-enabled access to County content stored in the ECMS via Internet, Intranet and Extranet browsers.
6. Provide scalability to support up to thousands of staff via the Web.
7. Provide a high degree of system performance, system uptime and availability.
8. Use multiple levels of security to protect the electronic content.
9. Provide robust system administration and security features.
10. Offer a proven enterprise solution, with a track record in the ability to manage tens of millions of online documents in centrally located repositories.
11. Provide Application Program Interfaces (APIs) to leading vertical applications, e.g., ERP IFAS, Odyssey Case Management and SunGuards OSSI Law Enforcement System.
12. Are aligned with, and support, industry standards and are non-proprietary.
13. Take advantage of Microsoft Sharepoint that is currently in place in the County.

### **A.3 Electronic Records Management System Software**

The County's ECMS deployment will require the implementation of an integrated electronic records management component that provides the following minimum functionality:

1. Create, edit and manage a corporate "file plan" which contains information used to classify records.
2. Create and manage the record folders (and folder volumes) that are available to help organize the file plan.
3. Configure the system to easily declare objects as records in native authoring tools and specify which object classes and properties to manage.
4. Create and manage records retention rules.
5. Create and manage physical boxes, folders and records.
6. Search for categories, folders and records.
7. Place holds against record categories or search results.
8. Identify appropriate metadata for all formats and sources.
9. Manage various record image / formats in an integrated manner, including:
  - Scanned hardcopy images
  - Office automation software suites
  - Electronic Forms
  - Web content
  - Faxes
  - Output and transactions from agency information systems
10. Maintain the relationships between records and files, between file series and the file plan.
11. Retrieve information for personal use or to comply with Freedom of Information Act / discovery requests.
12. Associate the contextual and structural data within a document.
13. Construct and manage audit trails and track system usage by department and user.
14. Manage record version control.
15. Manage the integrity and reliability of records once they have been declared as such.



16. Identify records that are due for disposal when their prescribed retention periods elapse, managing the disposal process.
17. Provide a seamless integration of the ERMS (providing the records management logic) with an ECMS, to support such tasks as document capture, storage, search, access, and workflow.
18. Records Manager Application will be a 100% Web-browser based application.
19. Views file plans and retention and disposition policies.
20. Participate in automated workflows, seamlessly integrated with the ECMS via a desktop client or Web browser.
21. Provide intelligent bar-coding of physical objects.
22. Provide interface capabilities to existing systems that create electronic records, via an application program interface (API) to integrate properly with the proposed ECMS offering:
  - Open APIs to easily integrate with new and existing legacy applications
  - Standards-compliant architecture: support .Net, and XML for an optimum development environment
  - ERP integration: support enterprise resource planning (ERP) systems (e.g., IFAS and other vendors)
23. Reports:
  - Ready for Destruction report
  - Future Disposition Schedules report
  - File Plan and Retention Codes report
  - User Profiles and Activities report
  - Records Status report
24. Provide inherent security mechanisms for the protection of confidential information:
  - Create and manage records' security profiles, object stores, services and to enable auditing
25. Meet Texas's requirements for compliance with electronic records:
  - Texas Uniform Electronic Transactions Act (UETA)
  - Texas Government Code, §2054.060
25. Adhere to industry best practices (e.g., the ISO 15489, the International Records Management Standard, U.S. Department of Defense's 5015.2, and Model Requirements for the Management of Electronic Records (MOREQ)).
26. Take advantage of Microsoft Sharepoint that is currently in place in the County.

#### **A.4 E-Forms Software**

The County requires that E-Forms be a seamless component of the ECMS solution, allowing the use of electronic forms to meet various requirements (e.g., intelligent E-Forms to replace paper forms and for use with Automated Workflow application).

1. E-Forms that can retain the look and feel of paper forms, if required.
2. E-Forms that provide variable length fields for data entry, eliminating blank spaces when printed.
3. Enhance and simplify forms processing with automatic calculations and data validation.
4. Support electronic signatures.
5. Support database integration.
6. Expedite forms submission via a browser.
7. Interact with other applications, including initiating an ECMS workflow process, updating other systems, or authenticating signatures.



8. Provide ability to attach associated documents to the form (e.g., documents, photographs, plans or drawings).
9. Be accessible from within the County as well as externally via the Internet.
10. Meet Texas's requirements for authenticated signatures, e.g.:
  - Texas Uniform Electronic Transactions Act (UETA)
  - Texas Government Code, §2054.060
11. Take advantage of Microsoft Sharepoint that is currently in place in the County.

#### **A.5 E-Signature Software**

The County requires an E-Signature capability for E-Forms used with or without automated workflow processes. The proposed ECMS shall contain a seamlessly integrated and robust E-Signature authentication solution. The business E-Signature solution will provide the following minimum functionality:

1. Be a seamless component of the ECMS solution.
2. Work seamlessly with the proposed E-Forms application used with the ECMS solution.
3. Ensure the authenticity, integrity, and non-repudiation of its electronic documents.
4. Meet Texas's requirements for authenticated signatures, e.g.,
  - Texas Uniform Electronic Transactions Act (UETA)
  - Texas Government Code, §2054.060
  - Texas Administrative Code §203 Management of Electronic Transactions and Signed Records
5. Government Code Section 16.5 supporting Digital Signatures.
6. Support E-Signature approvals, either from a Web browser or from within the ECMS.
7. Take advantage of Microsoft Sharepoint that is currently in place in the County.

#### **A.6 Automated Workflow Software**

The County requires an enterprise Automated Workflow solution that can be easily adopted and deployed in all business units where it is required. The Automated Workflow software will provide functionality that reduces cycle times, improves productivity by automating, streamlining, and optimizing business processes. The business process management software will provide the following minimum features and functions:

1. Be tightly integrated with the ECMS functionality.
2. Web-based workflow and process management, and the ability to interactively manage business processes and related content via the Web and a simple GUI-based browser interface on the client.
3. Web Workflow with an easy to use GUI-based workflow design tool for creating and defining Automated Workflows.
4. Allow users to create, query, participate, and administer workflows easily using a GUI interface.
5. Contain a wide range of applications for enterprise workflows, such as design, tracking, administration, and configuration.
6. Browser-based architecture, eliminating the administrative burden associated with "thick client" deployment of workflow solutions throughout the extended enterprise including installation, configuration, and administration.



7. Extensive out-of-the-box functionality, facilitates rapid deployment and removes the need for extensive development efforts, including Delegation, Voting, Review Cycles, Reassignment, Parallel Processing, User-based Work Assignment, and Attachments.
8. Workflows can be launched from Explorer / browser upon document check-in, with defined processes being associated with either document classes or a specific document.
9. Security and Version Control, incorporating powerful security and version control of defined business processes.
10. Link documents, content and folders to specific business processes.
11. XML-based process definitions.
12. Launch workflows linked to a specific document or document class upon document check-in or its addition to the document repository.
13. E-Mail Notification providing user configurable notifications that detail user work assignments and status changes of the workflows being tracked.
14. Enable the URLs contained in notifications to process the assigned work and/or view its current status.
15. Take advantage of Microsoft Sharepoint that is currently in place in the County.



## Exhibit B: Cost Summary & Payment Schedule

### B.1 Cost Summary

The following provides the format for submitting your cost proposal. ***The Cost Summary below must coincide with 5.9 Section 6: Scope of Work & Deliverables of your Proposal, clearly articulated in a similar format as identified below. Proposals that omit cost data for proposed work items may be deemed unresponsive and be omitted from further consideration in the evaluation process.***

#### A. Professional Services

##### A 1 ECMS Implementation

PS 1.1	Project Management .....	\$ _____
PS 1.2	Requirements Review & Validation .....	\$ _____
PS 1.3	Install ECMS System Infrastructure .....	\$ _____
PS 1.4	Pilot Project	
PS 1.4.1	Pilot Project Requirements Specification.....	\$ _____
PS 1.4.2	Pilot Project Configuration.....	\$ _____
PS 1.4.3	Pilot Xerox Docushare File Migration .....	\$ _____
PS 1.4.4	System & Production Testing.....	\$ _____
PS 1.4.5	Systems & End User Documentation and Training.....	\$ _____
PS 1.4.6	Pilot Project Cut-Over.....	\$ _____
PS 1.5	Ddeployment of Remaining Phase 1 Departments.....	\$ _____
PS 1.6	Develop E-Forms & Automate Workflow Applications .....	\$ _____
PS 1.6	ECMS Integration w/ Core Systems .....	\$ _____
PS 1.7	System Production Testing .....	\$ _____
PS 1.8	Documentation & Training .....	\$ _____
PS 1.9	Phase 1 ECMS Cut-Over .....	\$ _____
PS 1.10	System Maintenance .....	\$ _____
PS 1.11	Ongoing Technical Support .....	\$ _____

##### A.2 Back File Conversion

BF 2.1	Pilot Back-file Conversion .....	\$ _____
BF 2.2	Other Phase 1 Departments .....	\$ _____

**Professional Services Subtotal .....** \$ \_\_\_\_\_



**RFP for an Enterprise Content Management System & Implementation Services**

County of Galveston, Texas

February 17, 2011

<b>B. ECMS Software</b>		<b>Qty.</b>	<b>One Time</b>	<b>Maintenance</b>
SW 2.1	Imaging <sup>1</sup>	19 Licenses	\$ _____	\$ _____
SW 2.2	Enterprise Content Management	40 Concurrent Users	\$ _____	\$ _____
SW 2.3	Electronic Records Management	1 Enterprise License	\$ _____	\$ _____
SW 2.4	E-Forms	1 Development License	\$ _____	\$ _____
SW 2.5	E-Signature:	9 Certificates	\$ _____	\$ _____
SW 2.6	Automate Workflow	1 Development License	\$ _____	\$ _____
<b>ECMS Software Subtotal</b>			<b>\$ _____</b>	<b>\$ _____</b>
<b>TOTAL ECMS COST</b>			<b>\$ _____</b>	<b>\$ _____</b>

**Notes:**

- Image Volume Assumptions
  - Scan / Import Volume 300K/yr x 5 Small Departments
  - Scan / Import Volume 600K/yr x 4 Large Departments

<b>C. ECMS Systems Hardware</b>		<b>Qty.</b>	<b>Cost</b>	
HW 1.1	Servers	(Per Vendor Design) .....	\$ _____	Optional
HW 1.2	Scan-station PCs	19.....	\$ _____	
HW 1.3	Scanners			
	Low Volume Scanners	15.....	\$ _____	
	High Volume Scanners	4.....	\$ _____	
<b>ECMS Hardware Subtotal</b>			<b>\$ _____</b>	

**B.2 Cost Detail & Payment Schedule**

Please provide a detailed cost breakdown and payment schedule for your proposed products and services on this page. The format must reflect the format of the Cost Summary provided above. The payment schedule should be based on project deliverables.



## Exhibit C: ECMS Business Process Improvement Maps

The figures on the following pages provide business process optimization maps produced with County business process owners. They provide the results from the To-Be Rapid Workflow<sup>® 1</sup> sessions held with County subject matter experts in each of the Phase 1 Departments. This data was used to develop enterprise functional and technical requirements that are responsive to the County Departments' unique business and service delivery needs.

Solutions were broken out into three categories:

- Management / Policy Solutions
- Operational/ Business Process Solutions
- ECMS / Technology Solutions

Management and Operational solutions include initiatives directly related and not related to the implementation of an ECMS.

Technology solutions reflect the use of one or more ECMS technologies (e.g., Imaging, Document Management, Records Management, Automated Workflow, and/or E-Forms / E-Signatures) as appropriate. **Other non-ECMS technology requirements identified by stakeholders are also included, i.e., application integration and enhancement to existing County systems not related to EDMS, for the consideration of management. The latter are not part of this RFP.**

Professional service requirements were also validated in the To-Be workshops, i.e., back file conversion needs, end user training, and the implementation of specific EDMS solutions.

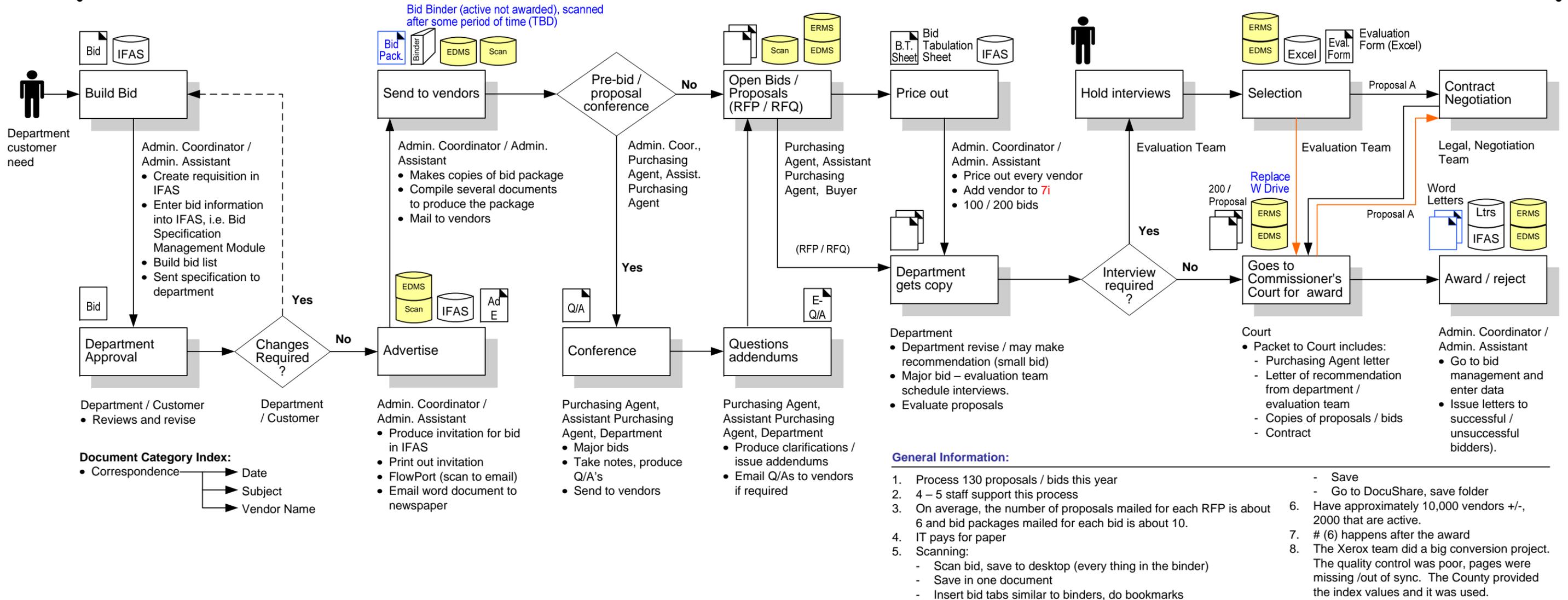
This artifact is meant to provide Service Providers a general overview of the Phase 1 Departments' ECMS requirements. It should be used as a **reference document** identifying cross functional, paper intensive business processes that are mission critical, and are known to have challenges in the processing and management of documents / records. Service Providers should use these documents to gain an understanding on the nature of business process automation the County is seeking with the proposed ECMS.

1. *Rapid Workflow<sup>®</sup> is a Registered Trademarked of ThirdWave Corporation's Patent Pending Business Process Improvement / Business Process Management methodology.*



# 1: Purchasing - Bidding To-Be Process

5 – 6 weeks for small bids / large proposals takes approximately 3 months



## Management / Policy Solutions

M 1: Scan and store in web-enabled EDMS, best practices and taxonomy, instead of the bid storage room and bid binder.

## Process / Operational Solutions

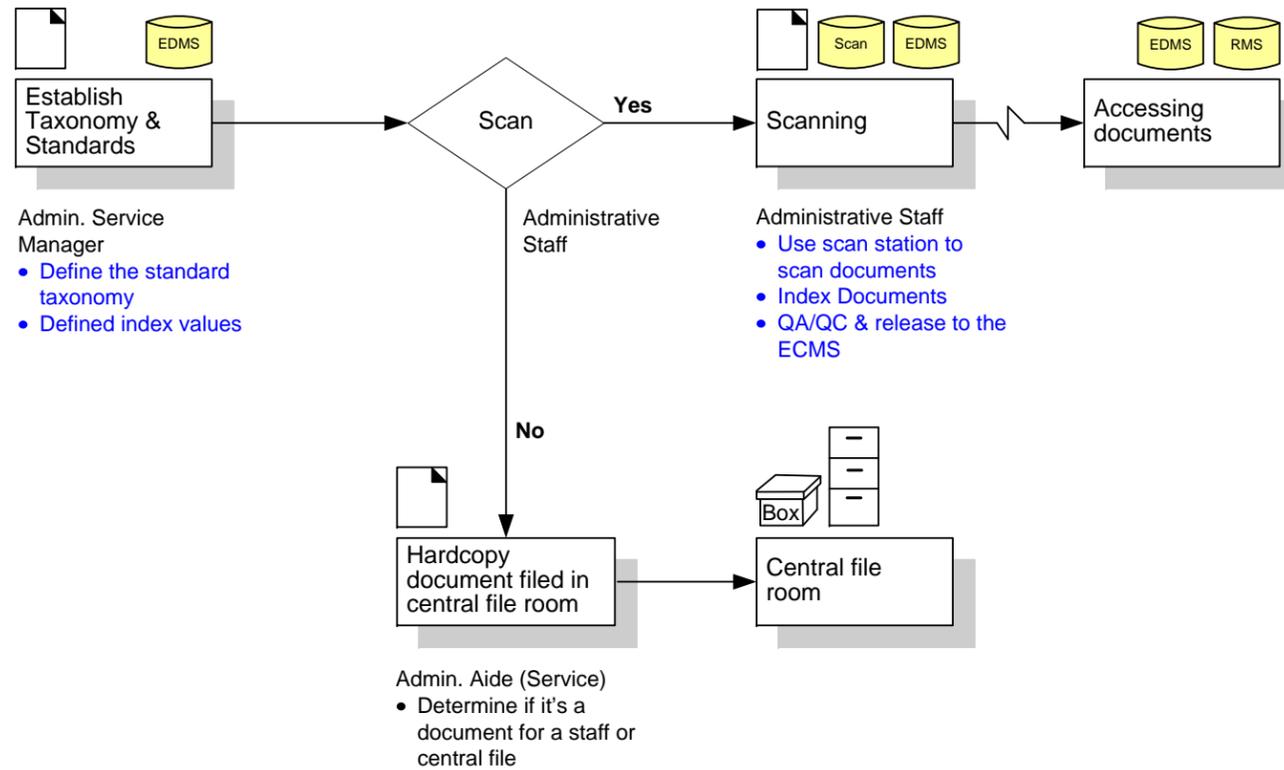
- O 1: Implement operating procedure to store commodity codes by vendors (IFAS has the functionality, but its not being used).
- O 2: Implement an imaging at steps indicated above.

## Information Technology Solutions

- T 1: **Imaging:**
  - Implement a scanning systems.
  - Scan using best practices.
- T 2: **EDMS:**
  - Implement an EDMS in this process.
- T 3: **Records Management:**
  - Implement an Electronic Records Management System for this process and business unit.
- T 4: **Taxonomy:**
  - Develop standard taxonomy of all documents.
- T 5: **Backfile Conversion:**
  - Backfile conversion program with industry Best Practices.
- T 6: **End User Training:**
  - Develop and provide custom tailored training materials / classes to staff involved in this process:
    - Imaging: 9
    - EDMS: 9
    - Records Management: 2
- T 7: **Enterprise Application Software:**
  - Purchase / develop and implement web-enabled vendor registration / online bidding system.
    - Online bidding / website.
    - Automatic email notifications to all appropriate vendors by commodity codes.



## 2: Parks & Sr. Citizens: Records Management To-Be Process



**General Information:**

1. John Feth: 2296 County DocuShare support
2. Not currently doing indexing
3. Not currently assigning retention periods

**Document Categories Sample:**

- Contractual
- Financial
- Correspondence → Date, Name, Subject
- Reports
- Maps / Blue Prints
- Personnel (Confidential)

### Management / Policy Solutions

- M 1: Assign sufficient sustainability IT staff to provide technical support.
- M 2: All staff must use the EDMS system and adopt the standards.

### Process / Operational Solutions

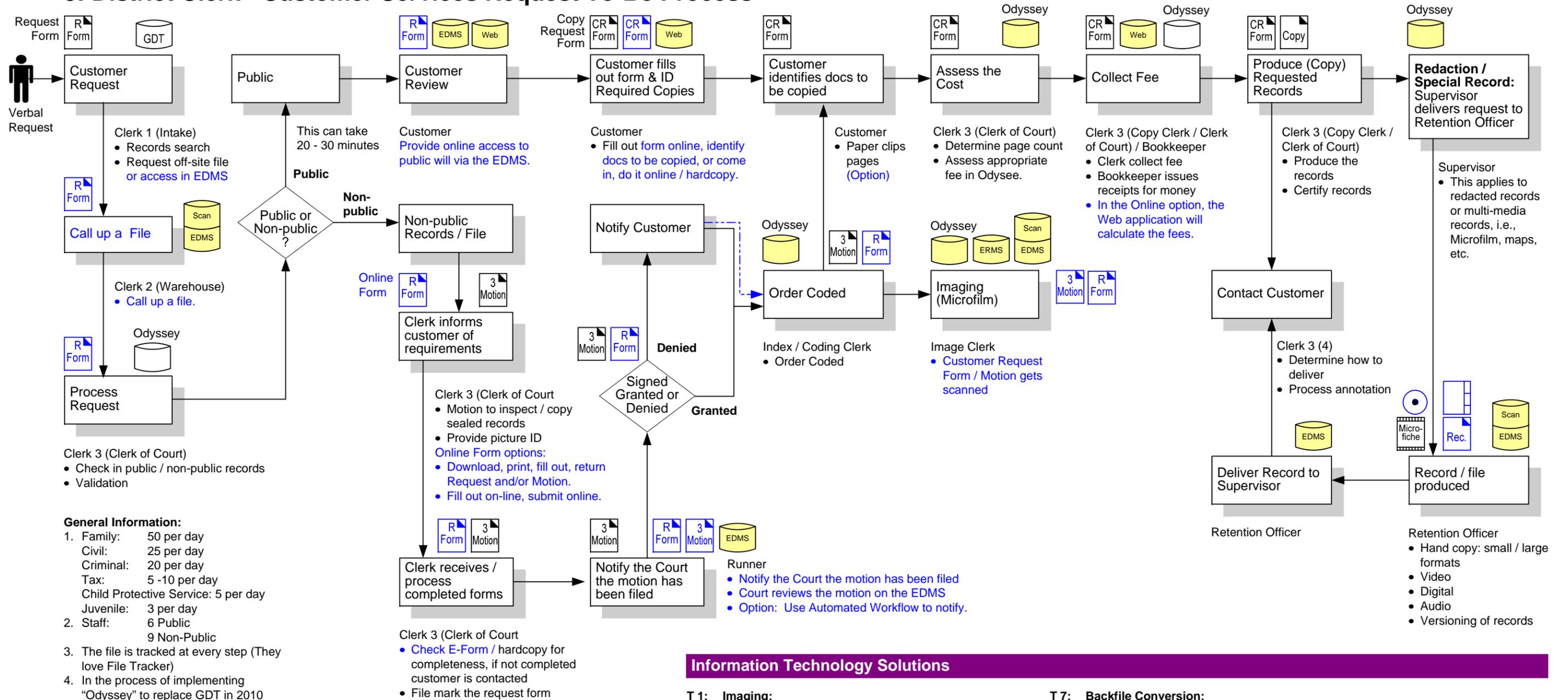
- O 1: Implement a standard taxonomy (indexing values) for all documents.
- O 2: Eliminate Flow Port / Smart Send coversheets and log-in sheets.
- O 3: Several staff will be trained and do imaging.

### Information Technology Solutions

- T 1: **Imaging**  
Implement high-speed / high volume scanning to eliminate Xerox copiers that jam continuously. Export existing PDFs / images to other system hardware as required
- T 2: **EDMS**  
Implement enterprise ECMS.
- T 3: **Records Management:**  
Implement a Records Management system in this process.
- T 4: **E-Forms: (future need)**  
Implement E-Forms for the following documents:
  - Cash Transfer
  - Letters of Direction
- T 5: **E-Signatures: (future need)**  
Implement E-Signatures for the following documents:
  - Cash Transfer
  - Letters of Direction
- T 6: **Taxonomy:**  
Classification & Indexing: develop standard taxonomy of all documents.
- T 7: **Backfile Conversion:**  
Carry out backfile conversion of hardcopy documents.
- T 8: **End User Training:**  
Develop and provide custom tailored training materials / classes to staff involved in this process.
  - Imaging: Parks: 4 / Senior: 2
  - EDMS: Parks: 9 / Senior: 4
  - ERMS: Park & Seniors 2



### 3: District Clerk - Customer Services Request To-Be Process



#### Management / Policy Solutions

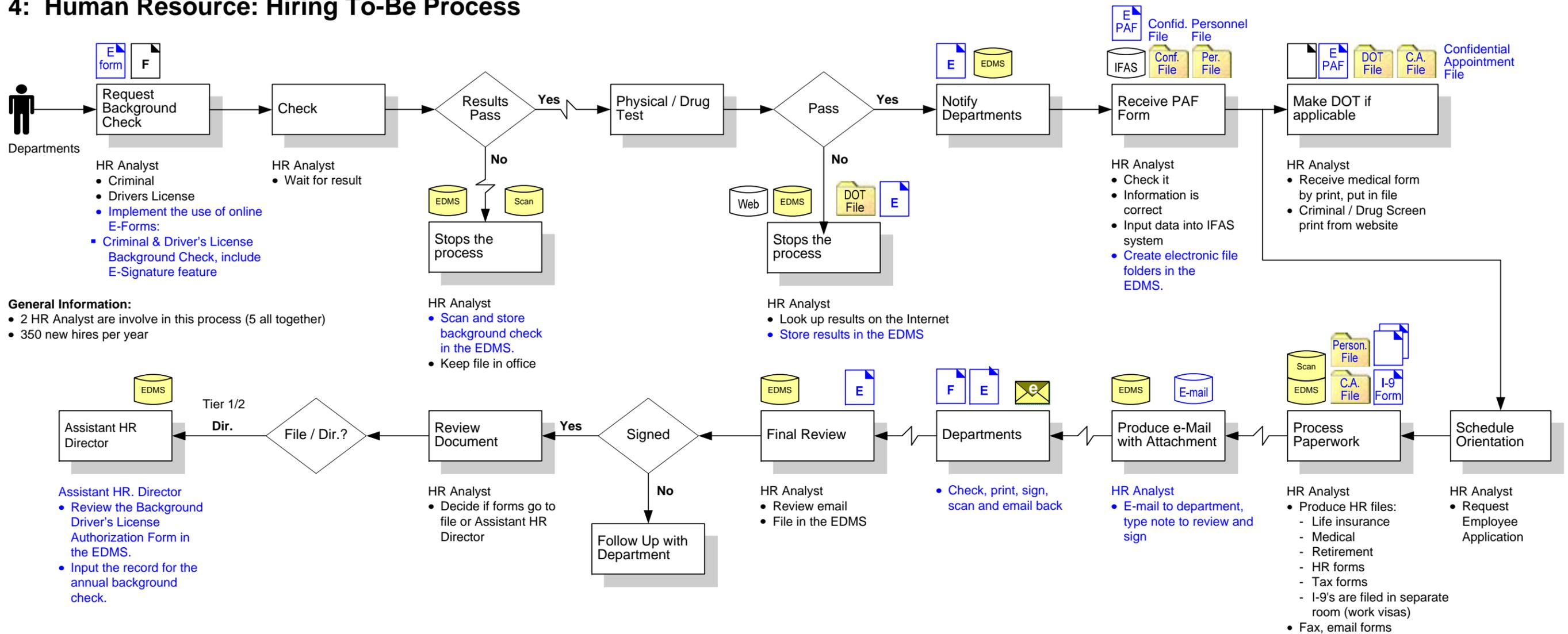
M 1: Assigned IT personnel to support this business unit.

#### Process / Operational Solutions

- O 1: File Tracker will be replaced by EDMS in the "Pull a File" step. Eliminate "Off Site Forms".
- O 2: Process Request, Excel will not be necessary, which is an inventory of checked out files.
- O 3: Eliminate the "Locate Record" step.
- O 4: Eliminate Produce File step.
- O 4: Eliminate the need documents signed Court Orders./ Microfile step.
- O 5: Eliminate Return File step.



### 4: Human Resource: Hiring To-Be Process



#### Management / Policy Solutions

M 1: Would get legal clarification for the use of e-foms / e-signatures.

#### Process / Operational Solutions

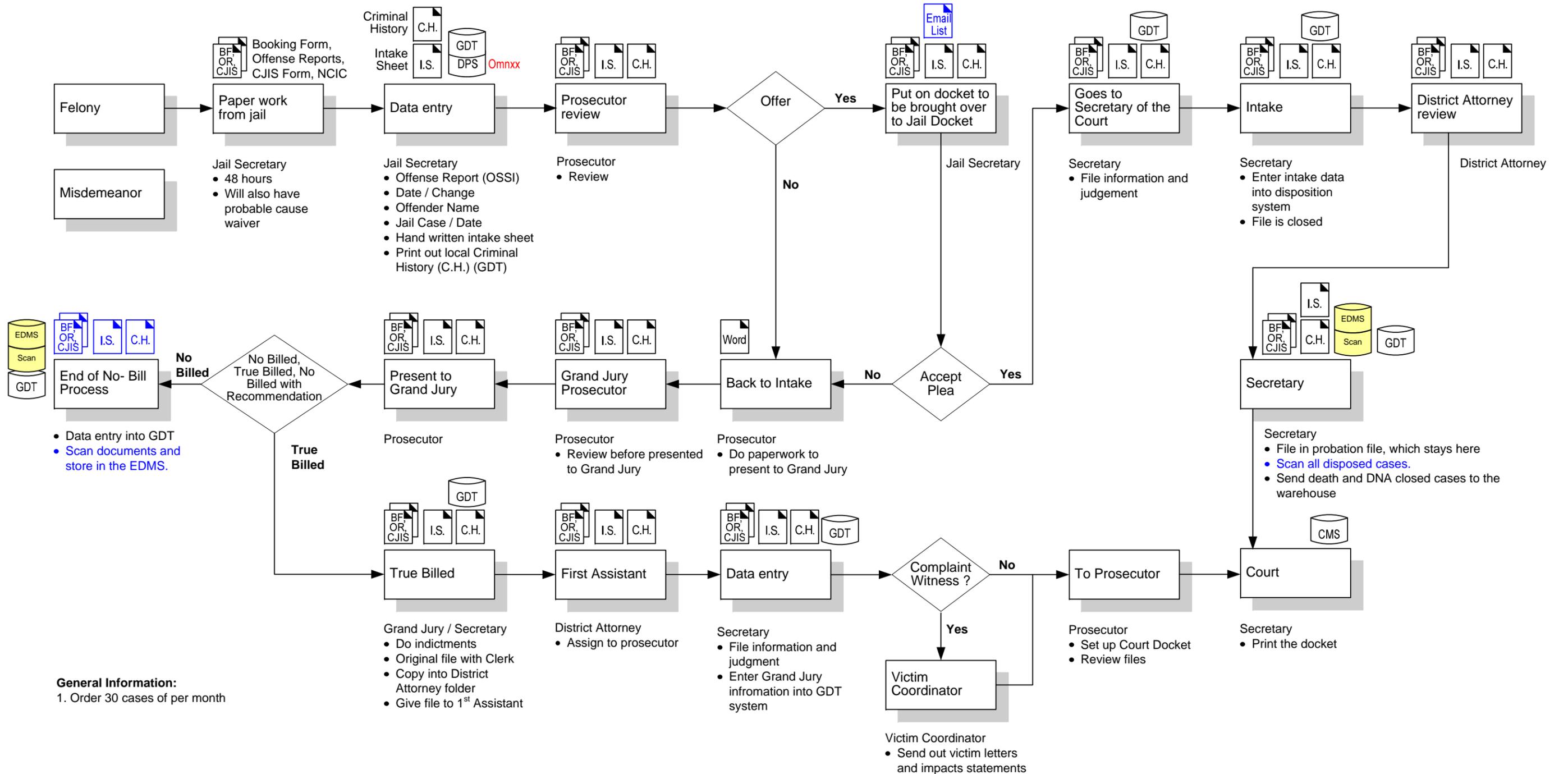
- O 1: Follow existing procedures, however, implement electronic HR 'file folders' for the following:
  - Personnel File,
  - Confidential,
  - DOT File,
  - Confidential Appointment,
  - I-9.
- O 2: Implement the use of E-Forms / E-Signatures.
- O 3: Day forward scanning will be done by HR staff.

#### Information Technology Solutions

- T 1: **Imaging:**
  - Implement scanning within HR, 2 scan-stations.
- T 2: **EDMS:**
  - Implement an EDMS in this process.
- T 3: **E-Forms:**
  - Eliminate faxing, use electronic documents, e-forms / e-signatures for the following documents:
    - Criminal &
    - Driver's License Background Check
  - Use E-Forms in a second phase for the following:
    - Life insurance
    - Medical
    - Retirement
    - HR forms
    - Tax forms
    - I-9's are filed in separate room (work visas)
- T 4: **E-Signatures:**
  - Use electronic e-signatures on Criminal & Driver's License Background Check.
- T 5: **Taxonomy:**
  - Develop standard taxonomy of all documents.
- T 6: **Backfile Conversion:**
  - Carry out backfile conversion of hardcopy documents, e.g., personnel and confidential employee files, stored in the office and warehouse.
- T 7: **End User Training:**
  - Develop and provide custom tailored training materials / classes to staff involved in this process:
    - Imaging: 4
    - EDMS: 4



### 5: District Attorney - Intake To-Be Process



**General Information:**  
 1. Order 30 cases of per month

#### Management / Policy Solutions

M 1: Provide access to different law enforcement agencies.[6]

#### Process / Operational Solutions

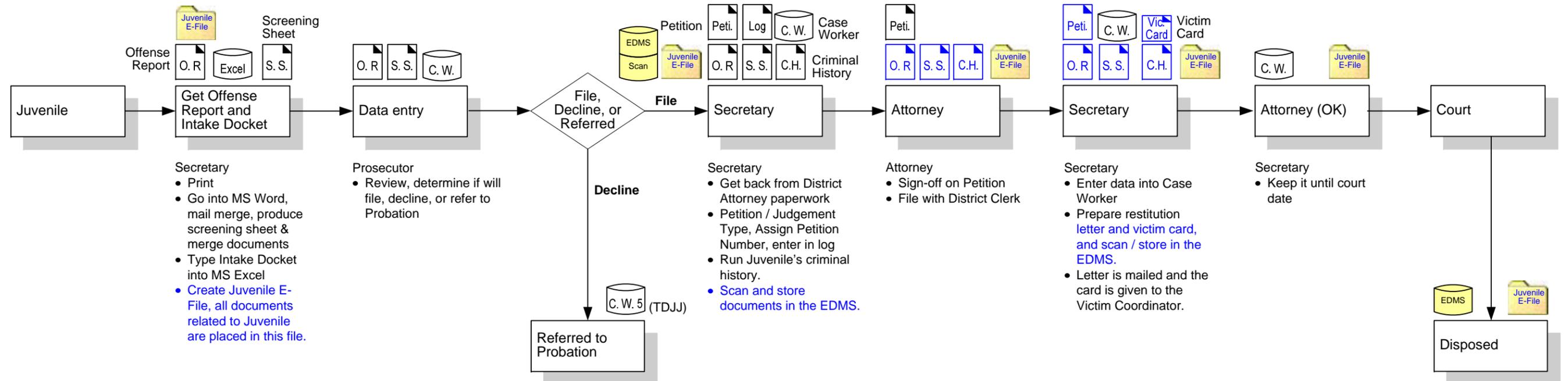
- O 1: Implement an imaging function at the end of the No-Bill, Final Disposition process.
- O 2: Implement standard taxonomy in this process.

#### Information Technology Solutions

See next page.



## 5: District Attorney - Intake To-Be Process



- Files are stored here until they turn 18 years of age
- Certifications, files are given to Felony. And some Determinant Files are given to Felony as well.

### Management / Policy Solutions

M 1: None identified.

### Process / Operational Solutions

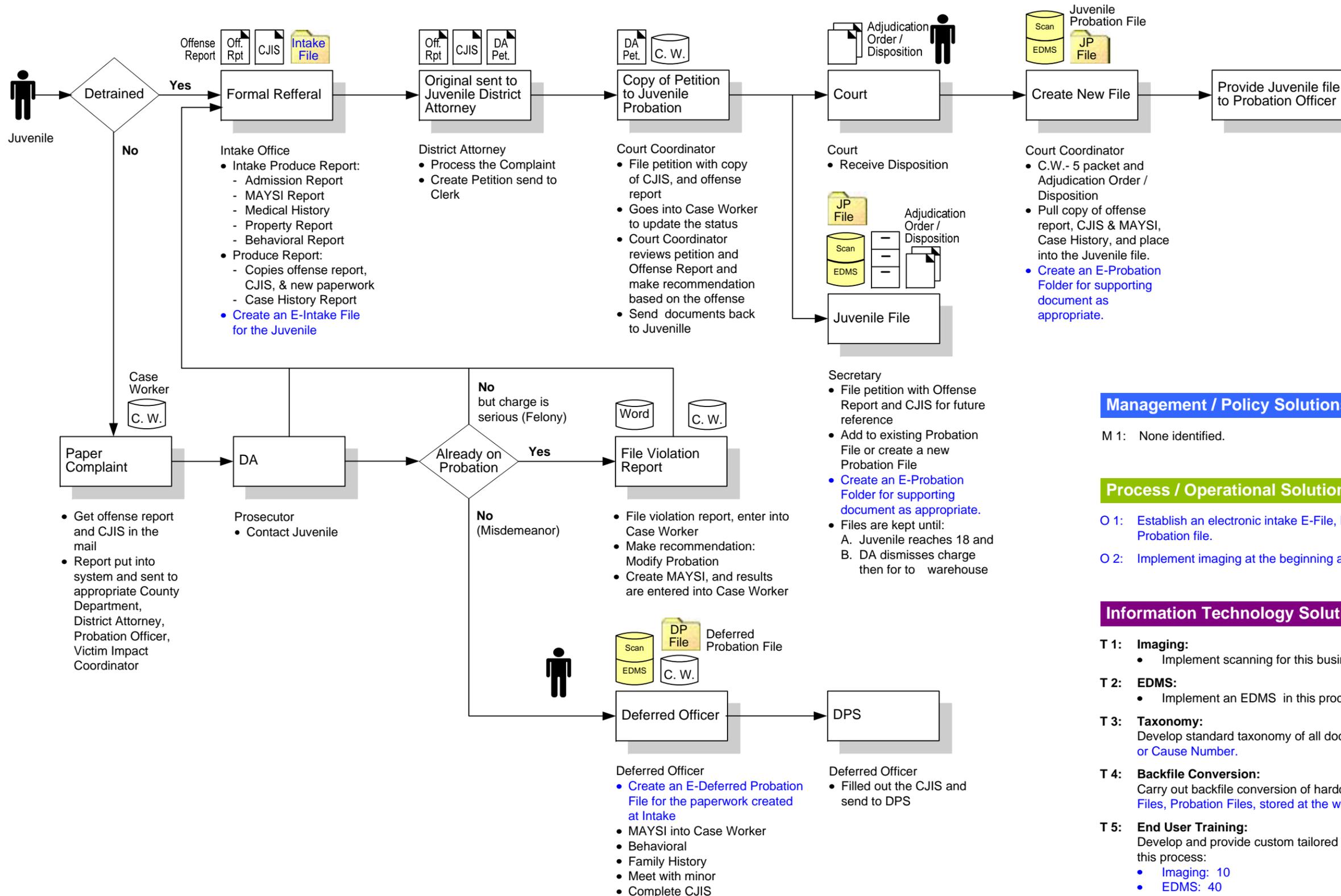
- O 1: Implement a Juvenile E-File to store related documents.
- O 2: Implement a Juvenile E-File with security features for restricting / unrestricting access to Juvenile files.
- O 3: Eliminated the logging, boxing and sending of files to the warehouse.
- O 4: Implement standard taxonomy in this process.

### Information Technology Solutions

- T 1: **Imaging:**
  - Implement a scanning function
  - Scan intake packet at the beginning. (Odysee / Defense Attorney System)
  - Scan the files. (Odysee may do this) Hardcopy, digital image, audio, and videos
- T 2: **EDMS:**
  - Implement an EDMS t in this process.
  - Get to access County and District Clerk documents in the Odysee system
  - If EDMS is in addition to Odysee, server would be maintained by Information Technology Department
- T 3: **Records Management:**
  - Implement a Records management in this process.
- T 4: **Taxonomy:**
  - Develop standard taxonomy of all documents.
- T 5: **Backfile Conversion:**
  - Carry out backfile conversion of Green Cards (Grand Jury).
  - Probation files
- T 6: **End User Training:**
  - Develop and provide custom tailored training materials / classes to staff involved in this process:
    - Imaging: 2 persons per section x 5 = 10 total
    - EDMS: 74
    - Records Management: 2 (Chief Investigator)



## 6: Juvenile Justice – Intake To-Be Process



### General Information:

1. During this process additional data is being entered into by Case Worker, DA, and Probation. Formal Referral is approximately 100 per month; Paper Complaint is approximately 10 per week.
2. 1 Court Coordinator  
15 Case Worker Probation Officers  
4 Secretary  
1 Administrative Secretary  
1 Office Manager
3. Intake file is always by itself. Deferral can merge with probation file.

### Management / Policy Solutions

M 1: None identified.

### Process / Operational Solutions

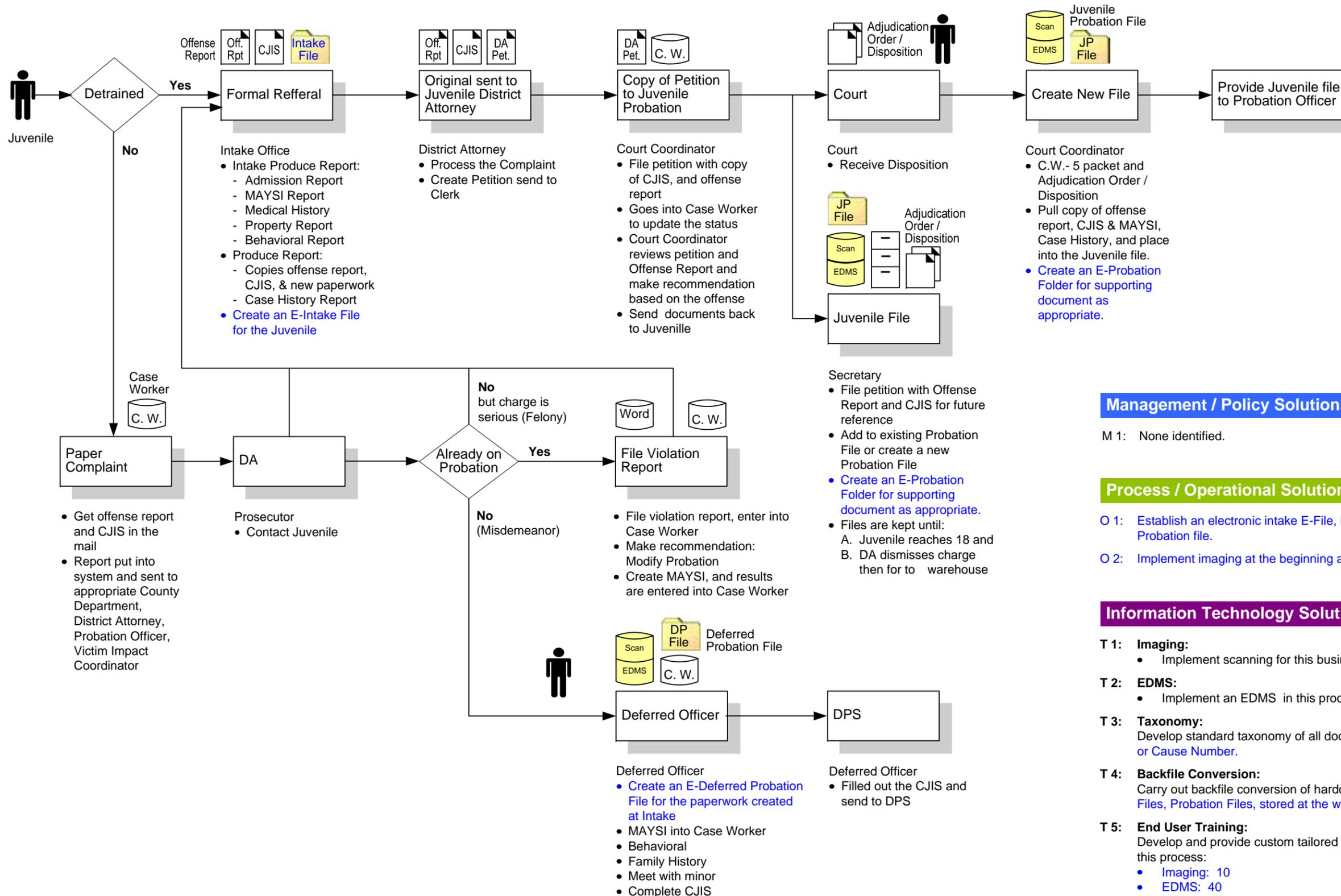
- O 1: Establish an electronic intake E-File, Deferred Probation E-Folder and E-Juvenile Probation file.
- O 2: Implement imaging at the beginning and end of this process..

### Information Technology Solutions

- T 1: **Imaging:**
- Implement scanning for this business processes.
- T 2: **EDMS:**
- Implement an EDMS in this process.
- T 3: **Taxonomy:**
- Develop standard taxonomy of all documents. i.e., Name, PID No. (Personal ID No.) or Cause Number.
- T 4: **Backfile Conversion:**
- Carry out backfile conversion of hardcopy documents as appropriate, i.e., Juvenile Files, Probation Files, stored at the warehouse. (700 boxes)
- T 5: **End User Training:**
- Develop and provide custom tailored training materials / classes to staff involved in this process:
- Imaging: 10
  - EDMS: 40



## 6: Juvenile Justice – Intake To-Be Process



### General Information:

1. During this process additional data is being entered into by Case Worker, DA, and Probation. Formal Referral is approximately 100 per month; Paper Complaint is approximately 10 per week.
2. 1 Court Coordinator  
15 Case Worker Probation Officers  
4 Secretary  
1 Administrative Secretary  
1 Office Manager
3. Intake file is always by itself. Deferral can merge with probation file.

### Management / Policy Solutions

M 1: None identified.

### Process / Operational Solutions

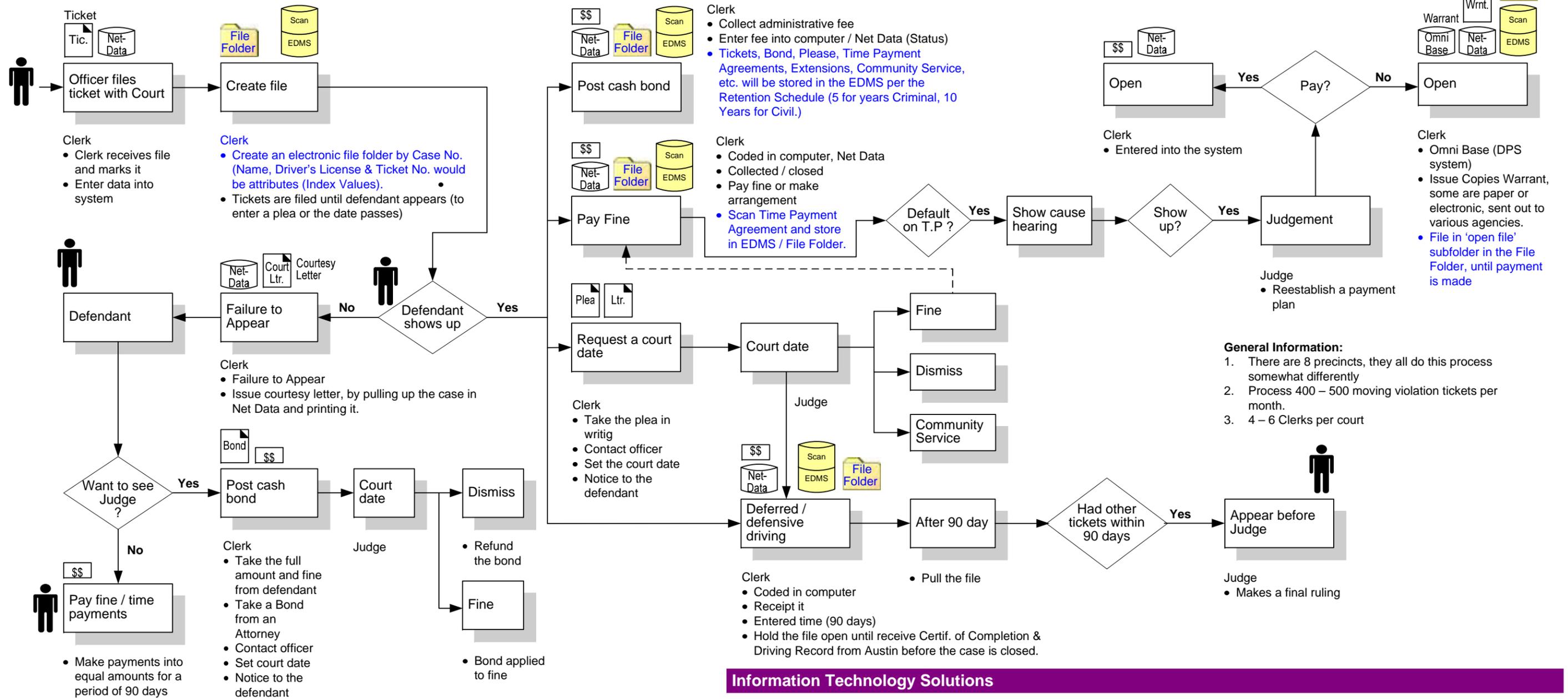
- O 1: Establish an electronic intake E-File, Deferred Probation E-Folder and E-Juvenile Probation file.
- O 2: Implement imaging at the beginning and end of this process.

### Information Technology Solutions

- T 1: **Imaging:**
  - Implement scanning for this business processes.
- T 2: **EDMS:**
  - Implement an EDMS in this process.
- T 3: **Taxonomy:**
  - Develop standard taxonomy of all documents. i.e., Name, PID No. (Personal ID No.) or Cause Number.
- T 4: **Backfile Conversion:**
  - Carry out backfile conversion of hardcopy documents as appropriate, i.e., Juvenile Files, Probation Files, stored at the warehouse. (700 boxes)
- T 5: **End User Training:**
  - Develop and provide custom tailored training materials / classes to staff involved in this process:
    - Imaging: 10
    - EDMS: 40



### 7: Justice of the Peace - Tickets To-Be Process



#### Management / Policy Solutions

M 1: Implement a policy to use of electronic ticket devices.

#### Process / Operational Solutions

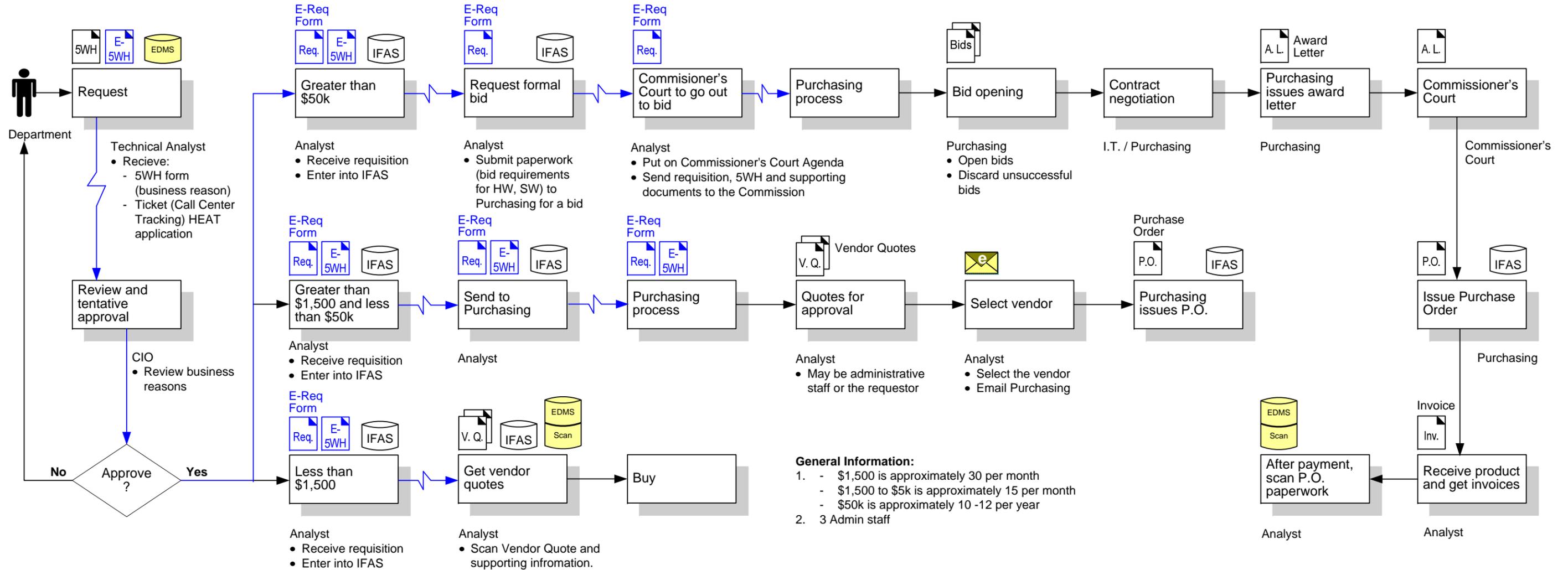
- O 1: Eliminate the step for creating a folder for the tickets
- O 2: Eliminate the step for filing the folders.
- O 3: Eliminate boxing, labeling and sending boxes to the warehouse for storage.
- O 4: Scan documents at the "Post Cash Bond" step and file in the EDMS.
- O 5: Increase the use of electronic ticket devices.
- O 6: Existing staff will do day forward scanning.

#### Information Technology Solutions

- T 1: **Imaging:**
  - Implement a scanning function
  - Scan ticket and associated document, store in EDMS by case number;
- T 2: **EDMS:**
  - Implement an EDMS in this process. The EDMS must be web enabled with view only access to other departments / agencies.
- T 3: **Records Management:**
  - Implement a Records Management module to manage the disposition of cases per the County / State Retention Schedule.
- T 4: **Taxonomy:** Develop standard taxonomy of all documents.
- T 5: **Backfile Conversion:** Carry out backfile conversion of hardcopy documents, e.g., pending case ('hot' checks, traffic, juvenile, civil cases considered active, etc.) going back at least 10 years..
- T 6: **End User Training:** Develop and provide custom tailored training materials / classes to staff involved in this process:
  - Imaging: All 9 precincts: 35 Clerks
  - EDMS: 45
  - Records Management: 9
- T 7: **Information Technology:** Increase the use of electronic ticket devices.



### 8: Information Technology – Requisitioning To-Be Process



#### Management / Policy Solutions

M 1: IT needs to be more engaged with other departments to better understand the departmental requirements.

#### Process / Operational Solutions

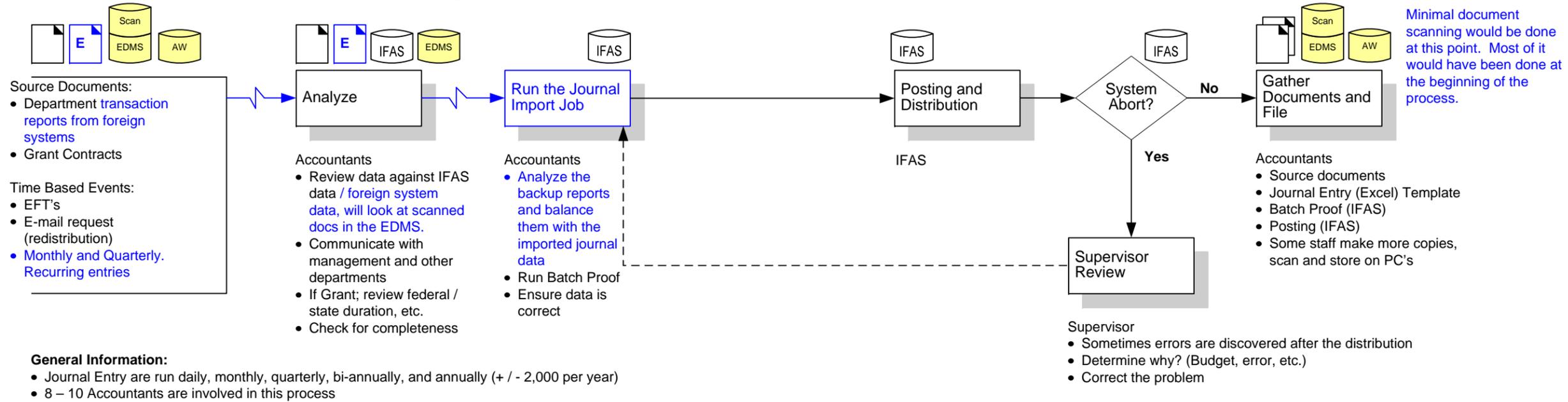
- O 1: IT plays a teaching role to requestor.
- O 2: Invite Purchasing buyer to IT staff meetings.
- O 3: Ensure when P.O. or quote go out it clearly defines the specifications.
- O 4: Develop fully functional / proven department specifications.
- O 5:
  - Make purchasing more user friendly.
  - Do a business process improvement assessment of the purchasing process.
  - Revisit / revise / update manual.
- O 6: Implement standard taxonomy in this process.

#### Information Technology Solutions

- T 1: **Imaging:**
  - Implement a scanning system in this business process.
  - Image hard copy document and discard after some pre determined time.
- T 2: **EDMS:**
  - Implement an EDMS in this business process.
- T 3: **E-Forms:**
  - Implement E-Forms for the following documents:
    - 5WH
    - Requisition
- T 4: **E-Signatures:**
  - Implement E-Signatures for the following documents:
    - 5WH
    - Requisition
- T 5: **Automated Workflow:**
  - Implement Automated Workflow of the 5WH and Requisition Forms,
- T 6: **Taxonomy:**
  - Develop standard taxonomy of all documents.
- T 7: **End User Training:**
  - Develop and provide custom tailored training materials / classes to staff involved in this process:
    - Imaging: 6
    - EDMS: 48
- T 8: **Information Technology**
  - Develop and implement a disaster recovery back-up system.



### 9: Auditors Office: Journal Entry To-Be Process



#### Management / Policy Solutions

- M 1: Define what is material. (Think they are making too many journal entries, some of them could be created on a quarterly or yearly basis.)
- M 2: Standardize record management of documents.

#### Process / Operational Solutions

- O 1: Scan documents coming in at the beginning of the process.
- O 2: Would like to receive copies of reports electronically, i.e., PDFs.
- O 3: Implement an imaging function at the end of this process.
- O 4: Do without complete information. Process monthly reports.
- O 5: Document Department direction.

#### Information Technology Solutions

- T 1: **Imaging:**  
Implement a scanning system in this business process.
- T 2: **EDMS:**  
Implement an EDMS in this process.]
- T 3: **Records Management:**  
Implement a Records Management System for Warehoused documents. Standardize record management practices of documents.  
*Note: Need to confirm Bi-tech's Records Management capabilities.*
- T 4: **Automated Workflow:**  
Consider using Automated Workflow for this process. Send email with follow-up emails: send source documents electronically.
- T 5: **Backfile Conversion:**  
Carry out backfile conversion of hard copy document.  
*Note: Validate how often warehouse documents are accessed.*
- T 6: **End User Training:**  
Develop and provide custom tailored training materials / classes to staff involved in this process:  
Imaging: 2  
EDMS: 35  
Records Management: 2  
Automated Workflow: Accountants & Supervisors (8-10)
- T 7: **Application Integration:**  
Make the following enhancement / integration to the following systems and options:  
A. Continue receiving the backup reports electronically  
B. Interface from the foreign system to the IFAS Journal Import table (Eliminate dual data entry)  
C. Run the job that edits the data table.



## Section 1

# ECMS Taxonomy

### 1.1 Introduction

This document represents the outcome of the classification and indexing tasks for the Galveston County ECMS Taxonomy and RFP Development Project. This document is the result of workshops held with subject matter experts / stakeholders, and will be leveraged in several ways:

1. To carry out the backfile conversion effort, in the preparation, packaging, scanning and indexing of scanned documents and records;
2. As a comprehensive document / record indexing system to be used with Galveston County's new Enterprise Content Management System (ECMS);
4. Although not part of this project, the taxonomy can be used as the foundation for updating the County's / District Clerks Records Retention Schedule.



This document represents a combination of data collected in the Indexing and Classification workshops (collectively referred to as the "taxonomy" hereafter) with County management and staff. Document classification sessions were held the week of May 17 - 21, 2010 and indexing sessions were held May 17 and July 21, 2010 with the following Galveston County Departments

1. Purchasing
2. Parks & Sr. Citizens
3. Justice of the Peace
4. Auditors Office
5. Information Technology



6. District Attorney
7. Human Resources
8. Juvenile Probation

### 1.1.1 Purpose of this Document

This document is organized by department / business activity and their corresponding document types and corresponding index values for each document type, establishing the key document classification and index values by which documents can be scanned and indexed.



This document has multiple purposes:

- Act as a tool for backfile conversion vendors to expedite the backfile conversion of Galveston County documents / records;
- Provide a standard for the configuration and deployment of the ECMS;
- Provide a standard for end users who will use the ECMS to store and access County documents / records;
- Provide a specification by which existing legacy / department applications and the new ECMS can be interfaced.

Galveston County taxonomy will facilitate easy and quick retrieval of documents from the ECMS. County stakeholders defined a taxonomy that is familiar, friendly and intuitive to their business unit, documents, and business processes.

The taxonomy provided here is a living document; it will require ongoing review and updating by appropriate stakeholders as new documents are introduced into the County's business processes or mandated by external state or federal revisions in case law. (To that end, the Excel spreadsheets have also been provided in electronic format to the County.)



## 1.2 Document Taxonomy Format

The following figure provides the header for the County’s taxonomy with a brief description of each column below the figure.

**Figure 1.2.1: Taxonomy Spreadsheet Header**

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
Purchasing											
	Bids - RFP	Addendums	Addendums Issued	Bid No.	Title			Y	H, E	Y	

**Process / Activity** This denotes a business function in a department, i.e., Purchasing.

**Document Classification:**

Document Type (Record Series) This denotes the highest level of document types; also commonly referred to as Records Series.  
 Document Sub-Type This refers to instances where a Record Series has sub-categories, although it is infrequent in the taxonomy.  
 Document Class This denotes subcategories of Document Types, i.e., documents associates with Affidavits in this example.

**Index Values**

Index 1, 2, 3 and 4 Index values are attributes that will be used as search parameters to easily and quickly locate documents stored in the ECMS.

**Back File Conversion Data**

Media Denotes whether the document / records exists in paper (H), microfilm (M) or Microfiche (F) formats.  
 Scan (Y/N) Denotes whether a document type will be part of the back file conversion program.  
 Confidential? (Y/N) Denotes whether a document will be tagged as a confidential document in the ECMS. This data will also be provided to the back file conversion vendor so that special care can be taken in handling sensitive information.  
 Owner? This is a general attribute used for internal County purposes in developing the taxonomy, i.e., only owners should determine classification / indexing values for documents – not consumers of those documents.



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## Section 2

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# Purchasing Records Taxonomy

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### 2.1 Purchasing Taxonomy

The following pages contain MS Excel spreadsheet of the Purchasing document / records taxonomy.

Figure 2.1.1: Purchasing Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Purchasing</b>											
	<b>Administration</b>	Budget		Year				Y	E	N	
		Personnel Files	Disciplinary forms	Name				Y	H	Y	Y
			Leave Requests	Name	Date			Y	H	Y	
			Personnel Action Forms	Name	Date			Y	H	Y	Y
			Position Classification Forms	Name				Y	H	Y	
			Time Sheet	Name	Pay Period	Date		Y	H	Y	Y
		Policies & Procedures		Type				Y	E, H	Y	
	<b>Bids - Competitive Bid Proposals</b>	Addendums	Addendums Issued	Bid No.	Title			Y	H, E	Y	
			Vendor Questions	Bid No.	Title			Y	H, E	Y	
		Advertisements		Bid No.	Title			Y	H, E	Y	
		Affidavits		Bid No.	Title			Y	H	Y	
		Award Letter		Bid No.	Title			Y	H	Y	
		BAFO		Bid No.	Title			Y	H	Y	
		Bid Bonds		Bid No.	Title			Y	H	Y	
		Contract		Bid No.	Title			Y	H	Y	
		Correspondence		Bid No.	Title			Y	H	Y	
		Evaluation Forms		Bid No.	Title			Y	H	Y	
		Proposal / Bids		Bid No.	Title			Y	H	Y	Y
		Public Infor. Act Request		Bid No.	Title	Requestor Name		Y	H	Y	
		Recommendation to Award		Bid No.	Title			Y	H	Y	
		Requisition		Bid No.	Title			Y	E	N	
		Solicitation	Bid List	Bid No.	Title			Y	H	Y	
			Bid Package	Bid No.	Title			Y	H	Y	
			Bid Specification	Bid No.	Title			Y	H	Y	
			Bid Tabulation Sheet	Bid No.	Title			Y	H	Y	
		Unsuccessful Letter		Bid No.	Title			Y	H	Y	
	<b>Bids - Invitation to Bids</b>	Addendums	Addendums Issued	Bid No.	Title			Y	H, E	Y	
			Vendor Questions	Bid No.	Title			Y	H, E	Y	
		Advertisements		Bid No.	Title			Y	H, E	Y	
		Affidavits		Bid No.	Title			Y	H	Y	
		Award Letter		Bid No.	Title			Y	H	Y	
		BAFO		Bid No.	Title			Y	H	Y	
		Bid Bonds		Bid No.	Title			Y	H	Y	
		Contract		Bid No.	Title			Y	H	Y	
		Correspondence		Bid No.	Title			Y	H	Y	
		Evaluation Forms		Bid No.	Title			Y	H	Y	

Figure 2.1.1: Purchasing Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Proposal / Bids <sup>1</sup>		Bid No.	Title			Y	H	Y	Y
		Public Information Act Request		Bid No.	Title			Y	H	Y	
		Recommendation to Award		Bid No.	Title			Y	H	Y	
		Requisition		Bid No.	Title			Y	E	Y	
		Solicitation	Bid List	Bid No.	Title			Y	H	Y	
			Bid Package	Bid No.	Title			Y	H	Y	
			Bid Specification	Bid No.	Title			Y	H	Y	
			Bid Tabulation Sheet	Bid No.	Title			Y	H	Y	
		Unsuccessful Letter		Bid No.	Title			Y	H	Y	
	<b>Bids - RFP</b>	Addendums	Addendums Issued	Bid No.	Title			Y	H, E	Y	
			Vendor Questions	Bid No.	Title			Y	H, E	Y	
		Advertisements		Bid No.	Title			Y	H, E	Y	
		Affidavits		Bid No.	Title			Y	H	Y	
		Award Letter		Bid No.	Title			Y	H	Y	
		BAFO		Bid No.	Title			Y	H	Y	
		Bid Bonds		Bid No.	Title			Y	H	Y	
		Contract		Bid No.	Title			Y	H	Y	
		Correspondence		Bid No.	Title			Y	H	Y	
		Evaluation Forms		Bid No.	Title			Y	H	Y	
		Proposal / Bids		Bid No.	Title			Y	H	Y	Y
		Public Information Act Request		Bid No.	Title			Y	H	Y	
		Recommendation to Award		Bid No.	Title			Y	H	Y	
		Requisition		Bid No.	Title			Y	E	N	
		Solicitation	Bid List	Bid No.	Title			Y	H	Y	
			Bid Package	Bid No.	Title			Y	H	Y	
			Bid Specification	Bid No.	Title			Y	H	Y	
			Bid Tabulation Sheet	Bid No.	Title			Y	H	Y	
		Unsuccessful Letter		Bid No.	Title			Y	H	Y	
	<b>Bids - RFQ</b>	Addendums	Addendums Issued	Bid No.	Title			Y	H, E	Y	
			Vendor Questions	Bid No.	Title			Y	H, E	Y	
		Advertisements		Bid No.	Title			Y	H, E	Y	
		Affidavits		Bid No.	Title			Y	H	Y	
		Award Letter		Bid No.	Title			Y	H	Y	
		BAFO		Bid No.	Title			Y	H	Y	
		Bid Bonds		Bid No.	Title			Y	H	Y	
		Contract		Bid No.	Title			Y	H	Y	
		Correspondence		Bid No.	Title			Y	H	Y	
		Evaluation Forms		Bid No.	Title			Y	H	Y	

Figure 2.1.1: Purchasing Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Proposal / Bids		Bid No.	Title			Y	H	Y	Y
		Public Information Act Request		Bid No.	Title			Y	H	Y	
		Recommendation to Award		Bid No.	Title			Y	H	Y	
		Requisition		Bid No.	Title			Y	E	Y	
		Solicitation	Bid List	Bid No.	Title			Y	H	Y	
			Bid Package	Bid No.	Title			Y	H	Y	
			Bid Specification	Bid No.	Title			Y	H	Y	
			Bid Tabulation Sheet	Bid No.	Title			Y	H	Y	
		Unsuccessful Letter		Bid No.	Title			Y	H	Y	
	<b>Contracts</b>	Contract		Contract No.	Vendor	Title		Y	H	Y	
		Correspondence		Contract No.	Vendor	Title		Y	H	Y	
	<b>Fixed Assets</b>	Custody Reports		Dept.	Date			Y	H	Y	
		Forms	Asset Disposal Form	Dept.	FAID No.			Y	H	Y	
			Asset Movement Forms	Dept.	FAID No.			Y	H	Y	
			Auction Form	Dept.	FAID No.			Y	H	Y	
			Bill of Sale	Dept.	FAID No.			Y	H	Y	
		Titles		VIN No.				Y	H	Y	
	<b>P-Cards</b>	Forms		Dept.	Name	Type		Y	H	Y	
		P-Card Copies		Dept.	Name	Type		Y	H	Y	
	<b>PO's</b>	Correspondence		PO No.	Vendor	Name	Dept.	Y	H	Y	
		PO's		PO No.	Vendor	Dept.		Y	H	Y	
		Proprietary Letters		PO No.	Vendor	Dept.		Y	H	Y	
		Quotations		PO No.	Vendor	Dept.		Y	H	Y	
		Sole Source Justifications		PO No.	Vendor	Dept.		Y	H	Y	
		Specification		PO No.	Vendor	Dept.		Y	H	Y	
	<b>Vendor Files</b>	Commodity Lists		Vendor	Commod. No			Y	H	Y	
		Insurance		Vendor	Bid No.			Y	H	Y	
		PEID		Vendor	Vendor No.			Y	H	Y	
		W-9		Vendor	Vendor No.			Y	H	Y	Y
		1099		Vendor	Vendor No.						

Figure 2.1.1: Purchasing Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Purchasing</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Administration			1	Bid No.						
2	Bids - Competitive Bid Proposals			2	Commod. No						
3	Bids - Invitation to Bids			3	Contract No.						
4	Bids - RFP			4	Date						
5	Bids - RFQ			5	Dept.						
6	Contracts			6	FAID No.						
7	Fixed Assets			7	Name						
8	P-Cards			8	Pay Period						
9	PO's			9	PO No.						
10	Vendor Files			10	Requestor Name						
				11	Title						
				12	Type						
				13	Vendor						
				14	Year						



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## Section 3

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# Parks & Senior Citizens Records Taxonomy

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### 3.1 Parks & Sr. Citizens Taxonomy

The following pages contain MS Excel spreadsheet of the Parks & Sr. Citizens document / records taxonomy.

Figure 3.1.1: Parks & Sr. Citizens Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Parks</b>											
	<b>Administrative</b>	Accounting	Deposit Warrant	Warrant No.	Bank Dep Slip No			Y	H / E	Y	
		Budget	Budget Amendments	Date	BA No.			Y	H / E	Y	
			Budget Working Files	Year	Category			Y	H / E	Y	
		Financial		Year	Quarter	Monthly		Y	H / E	Y	
		Personnel	Attendance Log	Payroll Period	Name			Y	H	Y	
			Dept Timesheet	Payroll Period	Name			Y	H	Y	
			Employment Appls.	Position Title	Date	Name		Y	H / E	Y	Y
			Personnel (Confid.)	Position Title	Date	Name		Y	H	Y	Y
			Personnel Files	Position Title	Date	Name		Y	H / E	Y	Y
			Rosters	Name	Date	Position Title		Y	H / E	Y	
		Purchasing	Bids	Bid No.	Bid Title	Vendor		Y	H / E	Y	
			P.O.s	PO No.	Req. No.	Vendor		Y	H / E	Y	
			Vendor Files	Vendor	Date			Y	H / E	Y	
	<b>Contracts</b>	5 Year Agreements		CM No.	Vendor	Contract Name		Y	H / E	Y	
		Beach Vending		CM No.	Vendor	Contract Name		Y	H / E	Y	
		Concessionaire		CM No.	Vendor	Contract Name		Y	H / E	Y	
		Grant Contracts		CM No.	Vendor	Contract Name		Y	H / E	Y	
		Interlocal Agreements		CM No.	Vendor	Contract Name		Y	H / E	Y	
		MOUs		CM No.	Vendor	Contract Name		Y	H / E	Y	
	<b>Correspondence</b>	External Agencies		Agency	Date	Subject		Y	H / E	N	
		Inter Office		Name	Date	Subject	Dept	Y	H / E	N	
		Intra Office		Name	Date	Subject		Y	H / E	N	
	<b>Emergency Management</b>	Debris Management		Agency	Date	Subject		Y	H	Y	
		Weather Events		Type	Date			Y	H	Y	
	<b>Facilities Reservations</b>	Applications		Facility Name	Date	Name		Y	H / E	Y	
		Permits		Permit No.	Date	Name		Y	H / E	N	
		Reservation Documents		Facility Name	Permit No.	Date		Y	H / E	Y	
		Reservation Logs		Facility Name	Permit No.	Date		Y	H / E	N	
	<b>Fixed Assets</b>	Buildings		Fixed Asset No.	Location			Y	H / E	Y	
		Heavy Equipment		Fixed Asset No.	Location			Y	H / E	Y	
		Non-Vehicle Equipment		Fixed Asset No.	Location			Y	H / E	Y	
		Small Equipment		Fixed Asset No.	Location			Y	H / E	Y	
		Vehicles		Fixed Asset No.	Location			Y	H / E	Y	
	<b>Grants</b>	Agency		Agency Name	Year	Contract No.		Y	H / E	Y	
		Federal		Agency Name	Year	Contract No.		Y	H / E	Y	
		Local		Agency Name	Year	Contract No.		Y	H / E	Y	
		State		Agency Name	Year	Contract No.		Y	H / E	Y	

Figure 3.1.1: Parks & Sr. Citizens Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
	<b>Park Operations</b>	Fire Inspection		Date	Location	Agency		Y	H	Y	
		Park Maintenance		Facility	Date			Y	H	Y	
		Safety		Facility	Date			Y	H	Y	
		Schedules		Facility	Date			Y	H / E	Y	
		Sports Programs		Facility	Date			Y	H	Y	
		Water Quality Test		Facility	Date			Y	H / E	Y	
	<b>Planning &amp; Design</b>	Architectural Designs		Facility	Project Name			Y	H	Y	
		Deeds		Property Name	Location	Date		Y	H	Y	
		Facility Folder Master Plans		Property Name	Location	Date		Y	H	Y	
		Horticultural Files		Property Name	Location	Date		Y	H	Y	
		Maps		Property Name	Location	Date		Y	H / E	Y	
		Master Plans		Year	Location	Facility		Y	H / E	Y	
		Plans		Year	Location	Facility		Y	H	Y	
		Renovations		Year	Location	Facility		Y	H	Y	
		Specs Contract Docs		Year	Location	Facility		Y	H / E	Y	
	<b>Policies &amp; Procedures</b>	Letters of Direction		Subject Title	Year			Y	H / E	N	
		Manuals		Subject Title	Year			Y	H / E	Y	
	<b>Programs</b>	Bolivar Parking		Subject	Year			Y	H / E	Y	
		Park Volunteers		Year	Location	Name		Y	H / E	Y	
	<b>Publications</b>	Articles		Subject	Date	Discipline		Y	H	N	
		Historical News Clippings		Subject	Date	Discipline		Y	H	Y	
	<b>Reports</b>	Annual		Subject	Date			Y	H / E	Y	
		Monthly Reports		Subject	Date			Y	H / E	Y	
		Quarterly		Subject	Date			Y	H / E	Y	
		Semi-annual		Subject	Date			Y	H / E	Y	
		Weekly		Subject	Date			Y	H / E	Y	
	<b>Special Projects</b>	Hosted Reserve DB		Subject	Date			Y	H / E	N	
		IFAS ActiveNet		Subject	Date			Y	H / E	N	
		Web Development		Subject	Date			Y	H / E	N	

Figure 3.1.1: Parks & Sr. Citizens Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Sr. Citizens</b>											
	<b>Administrative</b>	Accounting	Deposit Warrant	Warrant No.	Bank Dep Slip No			Y	H		
		Budget	Budget Working Files	Year	Category			Y	E / H		
			Budget Amendments	Category	BA No.			Y	E / H		
		Financial		Year	Quarter	Monthly		Y	E / H		
		Personnel	Attendance Log	Payroll Period	Name			Y	H	Y	
			Dept Timesheet	Payroll Period	Name			Y	H	Y	
			Personnel (Confid.)	Position Title	Date	Name		Y	H	Y	Y
			Personnel Files	Position Title	Date	Name		Y	H	Y	Y
			Rosters	Name	Date	Title		Y	H	Y	Y
			Employment Appls.	Position Title	Date	Name		Y	H	Y	Y
		Purchasing	Bids	Bid No.	Bid Title	Vendor		Y	H	Y	
			P.O.s	PO No.	Req. No.	Vendor		Y	H		
			Vendor Files	Vendor	Date			Y	H	Y	
	<b>Client Files</b>	Congregate / Trans.		Client Name	Year	Location		Y	H	Y	Y
		Home Delivered		Client Name	Year	Location		Y	H	Y	Y
	<b>Contracts</b>	Food Contracts		Vendor	Year			Y	H	Y	
		Instructor Contracts		Vendor	Year			Y	H	Y	
	<b>Grants</b>	Texans Feeding Texans		Year	CM No.			Y	E / H		
		Title III		Year	CM No.			Y	E / H		
	<b>Programs</b>	TEP		Year	Group Name	Trips		Y	H	Y	
	<b>Reports</b>	Monthly Inhouse Report		Date	Period			Y	E / H		
		Texans Feeding Texans		Date	Period			Y	E / H		
		Title III		Date	Period			Y	E / H		
	<b>Service Logs</b>	Congregate		Location	Date			Y	H	Y	
		Home Delivered		Location	Date			Y	H	Y	
		Transportation		Location	Date			Y	H	Y	

Figure 3.1.1: Parks & Sr. Citizens Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Parks</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Administrative			1	Agency						
2	Contracts			2	Agency Name						
3	Correspondence			3	BA No.						
4	Emergency Management			4	Bank Dep Slip No						
5	Facilities Reservations			5	Bid No.						
6	Fixed Assets			6	Bid Title						
7	Grants			7	CM No.						
8	Park Operations			8	Contract Name						
9	Planning & Design			9	Contract No.						
10	Policies & Procedures			10	Date						
11	Programs			11	Discipline						
12	Publications			12	Facility Name						
13	Reports			13	Fixed Asset No.						
14	Special Projects			14	Location						
				15	Monthly						
				16	Name						
				17	Payroll Period						
				18	Permit No.						
				19	Position Title						
				20	Project Name						
				21	Property Name						
				22	Quarter						
				23	Subject						
				24	Subject Title						
				25	Type						
				26	Vendor						
				27	Warrant No.						
				28	Year						

Figure 3.1.1: Parks & Sr. Citizens Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Sr. Citizens</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Administrative			1	BA No.						
2	Client Files			2	Bank Dep Slip No						
3	Contracts			3	Bid No.						
4	Grants			4	Bid Title						
5	Programs			5	Category						
6	Reports			6	Client Name						
7	Service Logs			7	CM No.						
				8	Date						
				9	Group Name						
				10	Location						
				11	Monthly						
				12	Name						
				13	Payroll Period						
				14	Period						
				15	PO No.						
				16	Position Title						
				17	Quarter						
				18	Req. No.						
				19	Trips						
				20	Vendor						
				21	Warrant No.						
				22	Year						



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## Section 4

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# Justice of the Peace Records Taxonomy

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### 4.1 Justice of the Peace Taxonomy

The following pages contain MS Excel spreadsheet of the Justice of the Peace document / records taxonomy.

Figure 4.1.1: Justice of the Peace Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Justice of the Peace</b>											
<b>Admin.</b>	Budget			Year				Y	E / H	N	
	Monthly Reports			Month				Y	E / H	N	
	Payroll			Name	Pay Period			Y	E / H	Y	
	Personnel			Name	Empl. ID No.			Y	H	Y	Y
<b>Civil</b>											
	Affidavits	Request for Subst. Service		Rule 106	Rule 536	Rule 742A		Y	H	Y	
	Affidavits			Name	Cause No.			Y	H	Y	
	Answers	Answer to Orig Petition		Name	Cause No.			Y	H	Y	
	Counter Claim	Answer to Counter Claim		Name	Cause No.			Y	H	Y	
	Citations	Forceable Detainers		Name	Cause No.			Y	H	Y	
		Justice Court		Name	Cause No.			Y	H	Y	
		Small Claims		Name	Cause No.			Y	H	Y	
	Correspondence			Name	Date			Y	H	Y	
	Discovery			Cause No.				Y	H	Y	
	Interrogatories			Cause No.				Y	H	Y	
	Exhibits	Defendant		Cause No.				Y	H	Y	
		Plaintiff		Cause No.				Y	H	Y	
	Hearing Notices			Name	Date	Cause No.		Y	H	Y	
	Motions			Name	Date	Cause No.		Y	H	Y	
	Orders			Name	Date	Cause No.		Y	H	Y	
	Certificates			Name	Date	Cause No.		Y	H	Y	
	Judgements			Name	Date	Cause No.		Y	H	Y	
	Writs	Writ of Execution		Name	Date	Cause No.		Y	H	Y	
		Writ of Garnishment		Name	Date	Cause No.		Y	H	Y	
		Writ of Possession		Name	Date	Cause No.		Y	H	Y	
		Writ of Sequestration		Name	Date	Cause No.		Y	H	Y	
	ABJ			Name	Date	Cause No.		Y	H	Y	
	Receipts			Name	Date	Cause No.		Y	H	Y	
	Release of Judgement			Name	Date	Cause No.		Y	H	Y	
	Appeal			Name	Date	Cause No.		Y	H	Y	
<b>Criminal</b>											
	Complaint	Affidavit or Probable Cause		Name	Date	Cause No.		Y	H	Y	
		Affidavit As		Agency	Agency Case No.	Name	Cause No.	Y	H	Y	

Figure 4.1.1: Justice of the Peace Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Affidavit Bs		Agency	Agency Case No.	Name	Cause No.	Y	H	Y	
		Felony		Agency	Agency Case No.	Name	Cause No.	Y	H	Y	
	Court Notice			Name	Cause No	Court Date		Y	H	Y	
	Warrant Request	Class C		Name	Cause No			Y	H	Y	
		Misd. A		Name	Cause No			Y	H	Y	
		Misd. B		Name	Cause No			Y	H	Y	
		Felony		Name	Cause No			Y	H	Y	
	Warrant & Commitment	Class C		Name	Cause No			Y	H	Y	
		Misd. A		Name	Cause No			Y	H	Y	
		Misd. B		Name	Cause No			Y	H	Y	
		Felony		Name	Cause No			Y	H	Y	
	Correspondence			Name	Date			Y	H	Y	
	Bond	Cash Bond		Name	Cause No			Y	H	Y	
		PR Bond		Name	Cause No			Y	H	Y	
		PTR Bond		Name	Cause No			Y	H	Y	
		Surety Bond		Name	Cause No			Y	H	Y	
	Receipt			Name	Cause No			Y	H	Y	
	Tickets			Name	Cit No.			Y	H	Y	
	Appeal	Appeal Bond		Name				Y	H	Y	
		Pauper's Affidavit		Name				Y	H	Y	
		Transcript of Judgement		Name				Y	H	Y	
	Courtesy Letter			Name	Date	Cause No.		Y	H	Y	
	Plea			Name	Date	Cause No.		Y	H	Y	
<b>JP Administrative</b>	Property Seizures	Court Notice		Name	Date	Cause No.		Y	H	Y	
		Order		Name	Date	Cause No.		Y	H	Y	
	Illegal Towing	Court Notice		Name	Date	Cause No.		Y	H	Y	
		Order		Name	Date	Cause No.		Y	H	Y	
	Drivers License Hearing			Name	Date	Cause No.		Y	H	Y	

Figure 4.1.1: Justice of the Peace Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Justice of the Peace</b>											
<b>Admin</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Budget			1	Empl. ID No.						
2	Monthly Reports			2	Month						
3	Payroll			3	Name						
4	Personnel			4	Pay Period						
				5	Year						
<b>Civil</b>	<b>Document Types</b>			<b>Index Values</b>							
1	Affidavits			1	Cause No.						
2	ABJ			2	Date						
3	Appeal			3	Name						
4	Certificates			4	Rule 106						
5	Citations			5	Rule 536						
6	Correspondence			6	Rule 742A						
7	Counter Claim										
8	Discovery										
9	Exhibits										
10	Hearing Notices										
11	Interrogatories										
12	Judgements										
13	Motions										
14	Orders										
15	Receipts										
16	Release of Judgement										
17	Writs										

Figure 4.1.1: Justice of the Peace Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Criminal</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Appeal			1	Agency						
2	Bond			2	Agency Case No.						
3	Complaint			3	Cause No.						
4	Correspondence			4	Cit No.						
5	Court Notice			5	Court Date						
6	Courtesy Letter			6	Date						
7	Plea			7	Name						
8	Receipt										
9	Tickets										
10	Warrant & Commitment										
11	Warrant Request										
<b>JP Administrative</b>	<b>Document Types</b>			<b>Index Values</b>							
1	Drivers License Hearing			1	Cause No.						
2	Illegal Towing			2	Date						
3	Property Seizures			3	Name						



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## Section 5

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# Auditor's Office Records Taxonomy

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### 5.1 Auditor's Office Taxonomy

The following pages contain MS Excel spreadsheet of the Auditor's Office document / records taxonomy.

Figure 5.1.1: Auditor's Office Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Audits</b>											
	<b>Account Receivables</b>			PEID				Y	H / E	N	
	<b>Accounts Payable</b>	1099's		PEID	TIN			Y	E	N	
		Invoices		PEID	Inv No			Y	E	N	
		P Cards		Last 4 Digits Card #				Y	E	N	
	<b>Administration</b>	Budget		Yesr				Y	E	N	
		IFAS Maintenance		Module				Y	H / E	N	
		Payroll		Empl ID				Y	E	N	
		Personnel		Empl ID				Y	E	N	
		Security Requests		Empl ID				Y	H	N	
		Special Projects		Dept				Y	E	N	
		Timesheets		Empl ID				Y	E	N	
		Travel Expense		PEID				Y	E	N	
	<b>Audit Work Papers</b>	Audit Report		Dept	Year			Y	E	N	
		Audit Response		Dept	Year			Y	E	N	
		Bank Reconciliation		Dept	Mo / Yr			N	H / E	N	
		Engagement Letter		Dept	Year			Y	E	N	
		Field Work		Dept	Year			Y	H / E	N	
	<b>Checks</b>			PEID	Inv No			N	E	N	
	<b>Correspondence</b>	Commissioner's Court		Date				N	E	N	
		Department		Dept	Date			Y	H / E	N	
	<b>Deposit Warrants</b>	Contract		Dept	Date			Y	H / E	N	
		Court Order		PEID	AR			Y	H / E	N	
		Fees		Dept				Y	E	N	
		Fines		Dept				Y	E	N	
		Grant Funds		Grant No	Inv No			Y	E	N	
		Taxes		Date				Y	E	N	
	<b>General Accounting</b>	Bank Reconciliation		Bank Account No	Date			Y	E	N	
		Budget		Dept	Object Code						
		Bonds (Misc.)		Issue	Date	Issue Cross Ref		Y	E	N	
		CAFR		Year				Y	H / E	N	
		Capital Assets		Asset ID	Date			Y	E	N	
		Capital Projects		Proj No				Y	E	N	
		Journal Entries		Jour Entry No	Mo / Yr			Y	E	N	
		Reports		Report Name	Date			Y	E	N	
		Special Projects		Name				Y	H / E	N	
	<b>Grants</b>	Grant Contracts		PEID #	PO #	Invoice #		N	E	N	

Figure 5.1.1: Auditor's Office Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Grant Reporting		Mo / Yr				Y / N	E	N	
		Grants & Funds		PEID #	PO #	Invoice #	Date	Y	E	N	
	<b>Payroll Audit Records</b>			Dept	Payroll No			N	E	N	
	<b>Permanent Audit File</b>	Audit Notes		Dept	Year			Y	E	N	
		Audit Programs		Dept	Year			Y	E	N	
		Audit Reports		Dept	Year			Y	E	N	
		Statutes		Dept	Year			N	E	N	

Auditor's	Document Types
1	Account Receivables
2	Accounts Payable
3	Administration
4	Audit Work Papers
5	Checks
6	Correspondence
7	Deposit Warrants
8	General Accounting
9	Grants
10	Payroll Records
11	Permanent Audit File

Index Values	
1	AR
2	Asset ID
3	Bank Account No
4	Date
5	Dept
6	Empl ID
7	Grant No
8	Inv No
9	Invoice #
10	Issue
11	Issue Cross Ref
12	Jour Entry No
13	Last 4 Digits Card #
14	Mo / Yr
15	Module
16	Name
17	Object Code
18	Payroll No
19	PEID
20	PEID #
21	PO #
22	Proj No
23	Report Name
24	TIN
25	Year

Footnotes
1 Request Taxonomy for existing EDMS.
2 This group does not have a departmental taxonomy, do have user based subject index.



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## Section 6

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# Information Technology Records Taxonomy

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### 6.1 Information Technology Taxonomy

The following pages contain MS Excel spreadsheet of the Information Technology document / records taxonomy.

Figure 6.1.1: Information Technology Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>IT</b>											
	<b>5WH</b>	Correspondence		Name	Date			Y	H	Y	
		Documentation (Design / Specs, Etc.)		Vendor	Date			Y	H	Y	
		Purchase Authorization / PO		PO No.	Vendor			Y	H	Y	
		Purchase Request		Name	Product			Y	H	Y	
		Solicitation Documents		PR No.				Y	H	Y	
		Vendor Bids		PR No.				Y	H	Y	
	<b>Administrative</b>	Bills		Vendor	PO No.			Y	H / E	Y	
		Budget		Year				Y	H / E	Y	
		Department Files (?)						Y	H	Y	
		Invoice (Internal to IT)		Vendor	Date			Y	H	Y	
		Personnel		Name				Y	H	N	Y
	<b>Requests</b>	Correspondence		Name	Date			Y	H	Y	
		Customer / Dept. Request		Name	Dept.			Y	H	Y	
		Project Requests		Name	Dept.			Y	H	Y	
	<b>Technical Documentation</b>	Correspondence		Name	Date			Y	E	N	
		Operating Instructions		System Name				Y	E	N	
		System Documentation		System Name				Y	E	N	
		Tech. Documentation (programming)		System Name				Y	H	Y	
	<b>Vendor Documents</b>	Contracts		Vendor	Date			Y	H	Y	
		Correspondence		Name	Date			Y	H / E	Y	
		Letter of Authorization		Vendor	Date			Y	H / E	Y	
		Terms of Service / SLA		Vendor	Date			Y	H / E	Y	

Figure 6.1.1: Information Technology Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>IT</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	5WH			1	Date						
2	Administrative			2	Dept.						
3	Requests			3	Name						
4	Technical Documentation			4	PO No.						
5	Vendor Documents			5	PR No.						
				6	Product						
				7	System Name						
				8	Vendor						
				9	Year						



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## Section 7

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# District Attorney Records Taxonomy

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### 7.1 District Attorney Taxonomy

The following pages contain MS Excel spreadsheet of the District Attorney document / records taxonomy.

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
Grand Jury	Indictments	No Bills	Name	DOB			Y	H	Y	
		Jail Dismissal Letter	Name	DOB			Y	H	Y	
		No Bill with Recommendation	Name	DOB			Y	H	Y	
		Grand Jury Presentation	Name	DOB			Y	H	Y	
		True Bill	Name	DOB			Y	H	Y	
		CJIS Form	Name	DOB			N	E / H	N	
	Subpoenas		Name	DOB			Y	H	Y	
	Motions & Orders-Grand Jury	Order to Seal Grand Jury Names	Name	DOB			Y	H	N	Y
		Affidavit of Non-Prosecution	Name	DOB			Y	H	N	Y
		Grand Jury Presentation	Name	DOB			Y	H	N	Y
		Felony Intake - Bonded & Jail	Name	DOB			Y	H	N	Y
		Filed as Misdemeanor Dismissal Letter	Name	DOB			Y	H	N	Y
		Motion and Order to Release Juvenile Records	Name	DOB			Y	H	N	Y
		Motion to Include Additional Conditions In Bail Bond (Age 16 / younger)	Name	DOB			Y	H	N	Y
		Motion to Include Additional Conditions In Bail Bond	Name	DOB			Y	H	N	Y
		Order Approving an Alternate Grand Juror to Serve	Name	DOB			Y	H	N	Y
		Order Replacing Grand Juror	Name	DOB			Y	H	N	Y
		Order to Release Medical Records Pursuant to Grand Jury Subpoena	Name	DOB			Y	H	N	Y
		Rights of Accused	Name	DOB			Y	H	N	Y
		Sealed Indictments	Name	DOB			Y	H	N	Y
		States Motion for DWI Bond Revocation	Name	DOB			Y	H	N	Y
		Subpoena for Bank Records Revised 09-25-2009	Name	DOB			Y	H	N	Y
		Victim Letter of GJ Presentation - Contact Our Office	Name	DOB			Y	H	N	Y
		Victim Letter of GJ Presentation	Name	DOB			Y	H	N	Y
		Grand Juror Work Letter - Daily	Name	DOB			Y	H	N	Y
		Grand Jury Co-defendant Letter	Name	DOB			Y	H	N	Y
		Grand Jury Flow Chart	Name	DOB			Y	H	N	Y
		Grand Jury Letter - Sent to Misd.	Name	DOB			Y	H	N	Y
		Grand Jury No Bill Letter - Included Letter	Name	DOB			Y	H	N	Y
		Grand Jury No Bill Letter - Sal	Name	DOB			Y	H	N	Y
		Included Case to be Closed Out - Dist. Clerk	Name	DOB			Y	H	N	Y
		Jail Included Letter-Pre	Name	DOB			Y	H	N	Y
		JP Dismissal Letter	Name	DOB			Y	H	N	Y
		Letter For Affidavit Felon in Possession Charge - Before 5 Years	Name	DOB			Y	H	N	Y
		Letter For Affidavit Felon in Possession Charge - After 5 Years	Name	DOB			Y	H	N	Y
		Letter For Disqualified Juror - Moved	Name	DOB			Y	H	N	Y
		Letter to Dist. Clerk to Close Pre-indictment Number	Name	DOB			Y	H	N	Y
		Letter to Dist. Clerk to Correct an Error	Name	DOB			Y	H	N	Y
		Order Extending Grand Jury Beyond ITS Term	Name	DOB			Y	H	N	Y
	Order to Dismiss a Grand Juror	Name	DOB			Y	H	N	Y	
	Release Work Excuse - Grand Jury Witness	Name	DOB			Y	H	N	Y	
	Warrant Recall Letter	Name	DOB			Y	H	N	Y	
Warrant Recall Letter - No Bill	Name	DOB			Y	H	N	Y		

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Witness Excuse Letter	Name	DOB			Y	H	N	Y
		Application For Copy of Driver Record - Ordering Certified Driving Records	Name	DOB			Y	H	N	Y
		Grand Jury Direct Information Sheet	Name	DOB			Y	H	N	Y
		Letter For Disqualified Juror - Illness	Name	DOB			Y	H	N	Y
		Letter Release Defendant Senate Bill 7 - LD	Name	DOB			Y	H	N	Y
		Letter For Affidavit Felon in Possession Charge - US Prob. & Parole Galveston	Name	DOB			Y	H	N	Y
		Grand Jury Warrant Recall Letter	Name	DOB			Y	H	N	Y
		TDCJ Penpacket Request Letter - FAX Version	Name	DOB			Y	H	N	Y
	Grand Jury Term Files						Y	H	Y	
	Green Cards						Y	H	Y	Y
	Holds						Y	H	Y	
	Intake Docket						Y	H	Y	
	Intake Sheet						Y	H	Y	
	Jail Docket						Y	E / H	Y	
	Jail File Cases						Y	H	Y	
	Screening Sheet						Y	H	Y	
	Videos						Y	E	N	
	Grand Jury Docket or Minutes	Minutes					Y	H	Y	Y
		Records of Proceedings					Y	H	N	Y
	Case Files / Working Papers	Closed Case Files					Y	H	Y	
		Pending Case Files					Y	H	Y	
		Working Papers					Y	H	Y	
		Correspondence					Y	H	Y	
		Reports					Y / N	H	Y	
		Briefs					Y	H	Y	
		Notes					Y	H	Y	
		Drafts					Y	H	Y	
		Photographs					Y	E / H	Y	
		Video Recordings					Y	E	N	
		Sound Recordings					Y	E	N	
<b>Felony Case File</b>	Indictments	No Bills	Name	DOB			Y	H	Y	
		Jail Dismissal Letter	Name	DOB			Y	H	Y	
		No Bill with Recommendation	Name	DOB			Y	H	Y	
		Grand Jury Presentation	Name	DOB			Y	H	Y	
		True Bill	Name	DOB			Y	H	Y	
		CJIS Form	Name	DOB			N	E / H	N	
	Judgements	Judgment of Acquittal by Court	Name	Cause No			Y	H	Y	
		Judgment of Acquittal by Jury	Name	Cause No			Y	H	N	Y
		Judgment of Acquittal - Dismissal Defendant No Longer Insane	Name	Cause No			Y	H	N	Y
		Judgment of Contempt	Name	Cause No			Y	H	N	Y
		Judgment of Acquittal Based on Insanity of Defendant Dismissal	Name	Cause No			Y	H	N	Y
		Judgment by Court - Regular Probation	Name	Cause No			Y	H	N	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Judgment by Court - Regular Probation - DWI	Name	Cause No			Y	H	N	Y
		Judgment by Court - Regular Probation - Sex Offender	Name	Cause No			Y	H	N	Y
		Judgment by Court - Regular Probation - Drugs	Name	Cause No			Y	H	N	Y
		Judgment of Conviction by Court - Reg Probation - State Jail Therapeutic Prog.	Name	Cause No			Y	H	N	Y
		Judgment by Jury - Regular Probation	Name	Cause No			Y	H	N	Y
		Judgment by Jury - Regular Probation - DWI	Name	Cause No			Y	H	N	Y
		Judgment by Jury - Regular Probation - Sex Offender	Name	Cause No			Y	H	N	Y
		Judgment by Jury - Regular Probation - Drugs	Name	Cause No			Y	H	N	Y
		Judgment of Conviction by Court - Regular Probation - Drugs & DWI	Name	Cause No			Y	H	N	Y
		Order of Deferred	Name	Cause No			Y	H	N	Y
		Order of Deferred - DWI	Name	Cause No			Y	H	N	Y
		Order of Deferred - Sex Offender	Name	Cause No			Y	H	N	Y
		Order of Deferred - Drugs	Name	Cause No			Y	H	N	Y
		Judgment Return from TDJC - Boot Camp - Probation	Name	Cause No			Y	H	N	Y
		Juvenile Transfer Order Accepting Transfer to Adult Probation	Name	Cause No			Y	H	N	Y
		Juvenile Transfer Order Accepting Transfer to Adult Probation	Name	Cause No			Y	H	N	Y
		Judgment Adjudicating Guilty	Name	Cause No			Y	H	N	Y
		Judgment Adjudicating Guilty with Boot Camp	Name	Cause No			Y	H	N	Y
		Judgment Adjudicating Guilt & Suspending Sentence to Regular Probation	Name	Cause No			Y	H	N	Y
		Judgment Adjudicating Guilt & Suspending Sentence to Regular Prob - SAFFP	Name	Cause No			Y	H	N	Y
		Judgment Revoking Community Supervision	Name	Cause No			Y	H	N	Y
		Attachment "A"	Name	Cause No			Y	H	N	Y
		Attachment "A" - Drugs	Name	Cause No			Y	H	N	Y
		Attachment "A" - Drugs with DPS Restitution	Name	Cause No			Y	H	N	Y
		Attachment "A" - DWI	Name	Cause No			Y	H	N	Y
		Attachment "A" - Sex Offender	Name	Cause No			Y	H	N	Y
		Attachment "A" - MRP	Name	Cause No			Y	H	N	Y
		Decline to Prosecute files	Name	DOB			Y	H	Y	
MRPs		Adjudicate MRP	Name	Cause No			Y	H	Y	
		Regular Probation MRP	Name	Cause No			Y	H	N	Y
		Motion & Order to Withdraw MRP	Name	Cause No			Y	H	N	Y
		Motion & Order to Withdraw Adjudication MRP	Name	Cause No			Y	H	N	Y
		Motion & Order to Early Termination of Adjudication	Name	Cause No			Y	H	N	Y
		Motion & Order to Terminate Regular Probation	Name	Cause No			Y	H	N	Y
		Order Modifying & Withdraw Deferred Probation	Name	Cause No			Y	H	N	Y
		Order Modifying & Withdraw Regular Probation	Name	Cause No			Y	H	N	Y
		Order Modifying - Withdraw - SAFFP Regular Probation	Name	Cause No			Y	H	N	Y
	Charges	Jury Charges	Name	Cause No			Y	H	Y	
		Court Charges	Name	Cause No			Y	H	Y	
	Non-Disclosures	Petition for Non-Disclosure	Name	DOB			Y	H	Y	Y
	Post Writs	State Answers	Name	DOB			Y	H	Y	
	Expunctions	State Answers	Name	DOB			Y	H	Y	Y
	Waiver of Extraditions		Name	SPN No			Y	H	N	

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
	Warrants	Governor's Warrants	Name	State			Y	H	Y	
		Bench Warrants	Name	Cause No			Y	H	N	
	Trial Reports		Name	Cause No			Y	H	N	
	Motions - Felony	Motion & Order To Quash	Name	Cause No			Y	H	N	
		Motion & Order to Vacate Order	Name	Cause No			Y	H	N	
		Motion & Order Nunc Pro Tunc	Name	Cause No			Y	H	N	
		Motion & Order for Continuance	Name	Cause No			Y	H	N	
		Motion & Order for New Trial	Name	Cause No			Y	H	N	
		Motion to Destroy Weapons	Name	Cause No			Y	H	N	Y
		Motion & Order for Bond Conditions	Name	Cause No			Y	H	N	Y
		Motion & Order for Additional Bond Conditions	Name	Cause No			Y	H	N	Y
		Motion & Order to Increase Bond	Name	Cause No			Y	H	N	Y
		Motion & Order to Destroy Evidence	Name	Cause No			Y	H	N	Y
		Motion & Order to Obtain Handwriting Sample from Defendant	Name	Cause No			Y	H	N	Y
		Motion & Order to Consolidate	Name	Cause No			Y	H	N	Y
		Motion & Order to Withdraw Fund from Registry of Court	Name	Cause No			Y	H	N	Y
		Motion & Order for Consecutive Sentence	Name	Cause No			Y	H	N	Y
		Motion & Order to Stack Sentence	Name	Cause No			Y	H	N	Y
		Motion & Order to Test Defendant for Sexual Transmitted Diseases	Name	Cause No			Y	H	N	Y
		Motion & Order for Video Deposition	Name	Cause No			Y	H	N	Y
		Motion & Order to Dismiss	Name	Cause No			Y	H	N	Y
		Motion & Order to Collect Blood for Search Warrant	Name	Cause No			Y	H	N	Y
		Consent to Take Blood Sample from Defendant	Name	Cause No			Y	H	N	Y
		Consent to Take Bodily Fluids from Defendant	Name	Cause No			Y	H	N	Y
		Motion & Order to Test Defendant for Sexually Transmitted Diseases-AIDS	Name	Cause No			Y	H	N	Y
		Motion & Order to Withdrawn State's Exhibit for DNA Retesting	Name	Cause No			Y	H	N	Y
		Order Denying BATSON Motion to Quash Jury Panel	Name	Cause No			Y	H	N	Y
		Motion & Order to Quash Subpoena Duces Tecum	Name	Cause No			Y	H	N	Y
		Motion & Order to Compel Disclosure of Medical Info & Records	Name	Cause No			Y	H	N	Y
		Motion & Order for Interpreter by the State	Name	Cause No			Y	H	N	Y
		Motion & Order for Preferential Setting	Name	Cause No			Y	H	N	Y
		Motion & Order for Continuance	Name	Cause No			Y	H	N	Y
		State's Motion & Order for Video Deposition	Name	Cause No			Y	H	N	Y
		State's Motion & Order for Continuance	Name	Cause No			Y	H	N	Y
		Rule 803 Notice of Filing Governmental Records	Name	Cause No			Y	H	N	Y
		Rule 609 Notice of Intent to Introduce Evidence for Impeachment	Name	Cause No			Y	H	N	Y
		Rule 404 State's Intent to Introduce Extraneous Offenses in Case in Chief	Name	Cause No			Y	H	N	Y
		Motion to Dismiss & Order Trans Case to Probate Court for Civil Commitment	Name	Cause No			Y	H	N	Y
		Motion to Dismiss & Transfer Case to Probate Court for Civil Commitment with Order & Affidavit	Name	Cause No			Y	H	N	Y
		Motion to Transfer Case to Probate Court for Civil Commitment	Name	Cause No			Y	H	N	Y
		Agreed Motion for Psychiatric Exam of Defendant	Name	Cause No			Y	H	N	Y
	Orders	Order Transferring Case to Probate-Civil Commitment--Incompetent - Felony Court	Name	Cause No			Y	H	N	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Order of Extended Commitment Non-Jury -- Chapter 46B CCP--Incompetent	Name	Cause No			Y	H	N	Y
		Order Transferring Case to Probate-Civil Commitment--Incompetent - Misdemeanor Court	Name	Cause No			Y	H	N	Y
		Order Denying Motion to Prohibit Disclosure of Criminal History								
Stipulations		Stipulation of Murder	Name	Cause No			Y	H	N	Y
		Stipulation of Manslaughter	Name	Cause No			Y	H	N	Y
Notices		Notice to Seek Affirmative Finding	Name	Cause No			Y	H	N	Y
		Notice of Filing Business & Medical Records	Name	Cause No			Y	H	N	Y
		Notice of Intent to use Outcry Witness	Name	Cause No			Y	H	N	Y
		Notice of Intent to use Child's Video	Name	Cause No			Y	H	N	Y
		Notice of Extraneous Offense in Case in Chief rule 38.37 & 4040B	Name	Cause No			Y	H	N	Y
		Notice of Psychiatric Exam of Defendant	Name	Cause No			Y	H	N	Y
Waivers		Waiver of Jury on Punishment	Name	Cause No			Y	H	N	Y
		Waiver of Indictment	Name	Cause No			Y	H	N	Y
		Waiver of Conflict of Interest	Name	Cause No			Y	H	N	Y
		Waiver of Trial By Jury	Name	Cause No			Y	H	N	Y
		Waiver of Right to File Motion for New Trial & Notice of Appeal	Name	Cause No			Y	H	N	Y
		Waiver of Search	Name	Cause No			Y	H	N	Y
		Waiver of MRP	Name	Cause No			Y	H	N	Y
Admonishments		Written Admonishments - Offenses Before 09/01/1997	Name	Cause No			Y	H	N	Y
		Written Admonishments - Offenses After 09/01/1997	Name	Cause No			Y	H	N	Y
Voluntary Statement		Voluntary Statement Magistrate & Miranda Warning	Name	Cause No			Y	H	N	Y
		Voluntary Statement Witness-Not Under Arrest	Name	Cause No			Y	H	N	Y
Certifications		Trial Courts Certification of Defendant's Right of Appeal	Name	Cause No			Y	H	N	Y
		Sexual Offender Notification & Certification	Name	Cause No			Y	H	N	Y
Applications		Application for Out of State Witness Subpoena	Name	Cause No			Y	H	N	Y
Mental Health Commitment Cases		Basic Outline Mental Health Commitment Cases Transferred from Criminal Court per Judge Burwell	Name	Cause No			Y	H	N	Y
Criminal History			Name	DOB			N	H	Y	Y
Victim Letters			Name	Cause No			Y	H	Y	
Videos			Name	Cause No	SPN No		Y	H	Y	
Case Files / Working Papers		Closed Case Files	Name	Cause No			Y	H	Y	
		Pending Case Files	Name	Cause No			Y	H	Y	
		Working Papers	Name	Cause No			Y	H	Y	
		Correspondence	Name	Cause No			Y	H	Y	
		Reports	Name	Cause No			N	H	Y	
		Briefs	Name	Cause No			Y	H	Y	
		Notes	Name	Cause No			Y	H	Y	
		Drafts	Name	Cause No			Y	H	Y	
		Photographs	Name	Cause No			Y	H	Y	
		Video Recordings	Name	Cause No			Y	H	N	
		Sound Recordings	Name	Cause No			Y	H	N	
Grant Reports			DA Name	Date			Y	H	Y	

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data				
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)	
Misdemeanor Case File	Information Complaints	Affidavit Information / Complaints	Name	Cause No			Y	H	Y		
		Subpoenas	Name	Cause No			Y	H	Y		
		No Bill with Recommendation	Name	DOB	SPN No			Y	H	Y	
		CJIS Form	Name	DOB			N	E / H	N	Y	
		Decline to Prosecute files	Name	DOB	SPN No			Y	H	Y	
		Affidavit of Non-Prosecution	Name	DOB	SPN No			Y	H	Y	
		Motions to Dismiss	Name	DOB	SPN No			Y	H	Y	
		Court Docket	Court No	Date				Y	H	N	
		Criminal History	Name	DOB	SPN No			N	H	N	Y
		Trial Reports	Name	Cause No				Y	H	N	
		Motions & Orders	Motion & Order To Quash	Name	Cause No			Y	H	N	
			Motion & Order to Vacate Order	Name	Cause No			Y	H	N	
			Motion & Order Nunc Pro Tunc	Name	Cause No			Y	H	N	
			Motion & Order for Continuance	Name	Cause No			Y	H	N	
			Motion & Order for New Trial	Name	Cause No			Y	H	N	
			Motion & Order to Destroy Weapons	Name	Cause No			Y	H	N	Y
			Motion & Order for Bond Conditions	Name	Cause No			Y	H	N	Y
		Notices	Notice of Filing Business & Medical Records	Name	Cause No			Y	H	N	
			Notice of Intent to use Outcry Witness	Name	Cause No			Y	H	N	
		Jail Docket		Name	DOB	SPN No		Y	H	N	
		Jail File Cases		Name	Cause No			Y	H	Y	
		MRPs		Name	Cause No			Y	H	Y	
		Screening Sheet		Name	DOB	SPN No		Y	H	Y	
		Videos		Name	DOB	SPN No		Y	H	N	
		Case Files / Working Papers	Closed Case Files	Name	Cause No	SPN No		Y	H	Y	
			Pending Case Files	Name	Cause No	SPN No		Y	H	Y	
			Working Papers	Name	Cause No	SPN No		Y	H	Y	
			Correspondence	Name	Cause No	SPN No		Y	H	Y	
			Reports	Name	Cause No	SPN No		Y / N	E / H	Y	
			Briefs	Name	Cause No	SPN No		Y	H	Y	
			Notes	Name	Cause No	SPN No		Y	H	Y	
			Drafts	Name	Cause No	SPN No		Y	H	Y	
			Photographs	Name	Cause No	SPN No		Y	H	Y	
		Video Recordings	Name	Cause No	SPN No		Y	H	N		
		Sound Recordings	Name	Cause No	SPN No		Y	H	N		
	Jury Charges		Name	Cause No			Y	H	Y		
	Court Charges		Name	Cause No			Y	H	Y		
Hot Checks	Affidavits	Affidavit and Complaint	Name	Cause No			Y	H	Y		
	CJIS Form		Name	DOB			N	E / H	N	Y	
	Decline to Prosecute files		Name	DOB			Y	H	Y		
	Motion & Orders	Motion & Order to Dismiss	Name	Cause No			Y	H	Y		

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
	Court Docket		Court No	Date			Y	H	N	
	Criminal History		Name	DOB			N	H	N	Y
	Worthless Checks At Large		Name	DOB	SPN No		Y	H	Y	
	Case Files / Working Papers	Closed Case Files	Name	DOB	SPN No		Y	H	Y	
		Pending Case Files	Name	DOB	SPN No		Y	H	Y	
		Working Papers	Name	DOB	SPN No		Y	H	Y	
		Correspondence	Name	DOB	SPN No		Y	H	Y	
		Reports	Name	DOB	SPN No		Y / N	E / H	Y	
		Briefs	Name	DOB	SPN No		Y	H	Y	
		Notes	Name	DOB	SPN No		Y	H	Y	
		Drafts	Name	DOB	SPN No		Y	H	Y	
		Photographs	Name	DOB	SPN No		Y	E / H	Y	
		Video Recordings	Name	DOB	SPN No		Y	E	N	
		Sound Recordings	Name	DOB	SPN No		Y	E	N	
	Hot Check Fund Documentation	Receipts	Name	SPN No			Y	H	Y	
		Disbursements	Merchant Name	Merchant SPN No			Y	H	Y	
							Y	H	Y	
<b>Appeals</b>	Briefs		Name	Cause No			Y	H	Y	
	Mandates		Name	Cause No			Y	H	Y	
	Opinions		Name	Cause No			Y	H	Y	
	Case Files / Working Papers	Closed Case Files	Name	Cause No			Y	H	Y	
		Pending Case Files	Name	Cause No			Y	H	Y	
		Working Papers	Name	Cause No			Y	H	Y	
		Correspondence	Name	Cause No			Y	H	Y	
		Reports	Name	Cause No			Y / N	E / H	Y	
		Briefs	Name	Cause No			Y	H	Y	
		Notes	Name	Cause No			Y	H	Y	
		Drafts	Name	Cause No			Y	H	Y	
		Photographs	Name	Cause No			Y	E / H	Y	
		Video Recordings	Name	Cause No			Y	E	N	
		Sound Recordings	Name	Cause No			Y	E	N	
<b>Civil</b>	Bond Forfeitures	Judgement NISI	Name	Cause No			Y	H	N	
		Default Judgement	Name	Cause No			Y	H	N	
	Assets / Seizures Forfeitures	Affidavit from PD	Name	Police Agency			Y	H	N	
		Petitions	Name	Cause No			Y	H	N	
		Motions to Dismiss	Name	Cause No			Y	H	N	
		Seizure Judgments	Name	Cause No			Y	H	N	
	Case Files / Working Papers	Closed Case Files	Name	Cause No			Y	H	Y	
		Pending Case Files	Name	Cause No			Y	H	Y	
		Working Papers	Name	Cause No			Y	H	Y	

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Correspondence	Name	Cause No			Y	H	Y	
		Reports	Name	Cause No			Y / N	E / H	Y	
		Briefs	Name	Cause No			Y	H	Y	
		Notes	Name	Cause No			Y	H	Y	
		Drafts	Name	Cause No			Y	H	Y	
		Photographs	Name	Cause No			Y	E / H	Y	
		Video Recordings	Name	Cause No			Y	E	N	
		Sound Recordings	Name	Cause No			Y	E	N	
Juvenile	Petitions	Delinquent Petitions	Name	Cause No	Petition No		Y	H	N	Y
		Petition to Modify	Name	Cause No	Petition No		Y	H	N	Y
	Petition for Determinate Sentencing	Notice of Intent to Seek Grand Jury Certification for Determinate Sentencing	Name	Cause No	Petition No		Y	H	N	Y
		Petition Alleging Child to have Engaged in Delinquent Conduct for Determinate Sentencing	Name	Cause No	Petition No		Y	H	N	Y
		Certification to County Court	Name	Cause No	Petition No		Y	H	N	Y
		Certificate of Approval of Petition	Name	Cause No	Petition No		Y	H	N	Y
		Approval of Petition Denied	Name	Cause No	Petition No		Y	H	N	Y
		Waivers of Rights & Stipulation of Evidence	Name	Cause No	Petition No		Y	H	N	Y
		Juvenile Delinquency Admonishment	Name	Cause No	Petition No		Y	H	N	Y
		Adjudication Judgment	Name	Cause No	Petition No		Y	H	N	Y
		Determinate Sentencing Disposition Order	Name	Cause No	Petition No		Y	H	N	Y
		Motion to Transfer Determinate Sentence Probation	Name	Cause No	Petition No		Y	H	N	Y
		Order to Transfer to District Court	Name	Cause No	Petition No		Y	H	N	Y
		Rules & Conditions of Probation	Name	Cause No	Petition No		Y	H	N	Y
	Petitions for Waiver of Jurisdiction & Discretionary Trans. to Dist. Court	Waivers of Rights & Stipulation of Evidence	Name	Cause No	Petition No		Y	H	N	Y
		Juvenile Delinquency Admonishment	Name	Cause No	Petition No		Y	H	N	Y
		Waiver of Jurisdiction and Order of transfer to Criminal Court	Name	Cause No	Petition No		Y	H	N	Y
		Order of Commitment of a Juvenile After Discretionary Transfer Hearing	Name	Cause No	Petition No		Y	H	N	Y
		State's Bond Recommendation for Certified Juvenile	Name	Cause No	Petition No		Y	H	N	Y
		State's Announcement of Ready for Trial	Name	Cause No	Petition No		Y	H	N	Y
		Order Denying Discretionary transfer	Name	Cause No	Petition No		Y	H	N	Y
		CINS Petition	Name	Cause No	Petition No		Y	H	N	Y
		Juvenile Modifications	Name	Cause No	Petition No		Y	H	N	Y
		Subpoena	Name	Cause No			Y	H	N	Y
	Judgements	Deferred Adjudication Sanction level 2	Name	Cause No	Petition No		Y	H	N	Y
		Adjudication Sanction level 3	Name	Cause No	Petition No		Y	H	N	Y
		Adjudication Sanction level 3 Placement	Name	Cause No	Petition No					
		Adjudication Sanction level 4	Name	Cause No	Petition No		Y	H	N	Y
		Adjudication Sanction level 4 Placement	Name	Cause No	Petition No					
		Adjudication Sanction level 5	Name	Cause No	Petition No		Y	H	Y	Y
		Adjudication Sanction level 6	Name	Cause No	Petition No		Y	H	Y	Y
		Modification Sanction level 3	Name	Cause No	Petition No		Y	H	N	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Modification Sanction level 3 Placement	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 3 Extending	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 4	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 4 Placement	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 4 Extending	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 5	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 5 Extending	Name	Cause No	Petition No		Y	H	N	Y
		Modification Sanction level 6	Name	Cause No	Petition No		Y	H	N	Y
Service		Request for Issuance of Service	Name	Cause No			Y	H	N	Y
		Court Summons	Name	Cause No			Y	H	N	Y
		Court Subpoena	Name	Cause No			Y	H	N	Y
		Court Subpoena duces tecum	Name	Cause No			Y	H	N	Y
Orders		Order of Commitment to Custody of Texas Dept of Mental Health & Mental Retardation	Name	Cause No			Y	H	N	Y
		Order to Transfer to Adult Probation	Name	Cause No			Y	H	N	Y
		Order to Defer Sex Offender Registration	Name	Cause No			Y	H	N	Y
		Order for Sex Offender Registration – Retroactively Excused	Name	Cause No			Y	H	N	Y
		Restitution Agreement and Order	Name	Cause No			Y	H	N	Y
Directive to Apprehend		DTA – Failure to Appear	Name	Cause No			Y	H	N	Y
		DTA –Violation of Probation	Name	Cause No			Y	H	N	Y
		Writ of Attachment	Name	Cause No			Y	H	N	Y
		Affidavit/Complaint for Immediate Custody	Name	Cause No			Y	H	N	Y
Letters		Adjudication Letters to Schools	Name	DOB			Y	H	N	Y
		Letters to Police Dept re: Order to Apprehend Child	Name	DOB	Cause No		Y	H	N	Y
		Restricted Access Denial	Name	Cause No	Warehouse Box No		Y	H	N	Y
Affidavits / Notices of Filing		Disclosure/Petitioner’s Witness List	Name	Cause No			Y	H	Y	Y
		Affidavit/Notice of Filing of Business Records/School Records	Name	Cause No			Y	H	N	Y
		Affidavit of Non-Prosecution	Name	Cause No			Y	H	N	Y
		Notice of Intent to Use Photographs/Video/Audio	Name	Cause No			Y	H	Y	Y
		Notice of Intent to Use Outcry Witness	Name	Cause No			Y	H	N	Y
		Certificate of Service to Attorney	Name	Cause No			Y	H	N	Y
Motions & Orders		Motion & Order to Dismiss	Name	Cause No			Y	H	Y	Y
		Motion & Order to Seal	Name	Cause No			Y	H	N	Y
		Motion & Order to Obtain Records	Name	Cause No			Y	H	N	Y
		Motion & Order to Transfer to Adult Community Supervision	Name	Cause No			Y	H	N	
		Motion & Order for Sex Offender Registration	Name	Cause No			Y	H	N	
		Motion & Order to Vacate Order of Restricted Access	Name	Cause No			Y	H	N	
		Motion & Order To Quash	Name	Cause No			Y	H	N	
		Motion & Order to Vacate Order	Name	Cause No			Y	H	N	
		Motion & Order Nunc Pro Tunc	Name	Cause No			Y	H	N	
		Motion & Order for Continuance	Name	Cause No			Y	H	N	
		Motion & Order for New Trial	Name	Cause No			Y	H	N	

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Motion to Use Closed Circuit TV	Name	Cause No			Y	H	N	
		Motion & Order in Limine	Name	Cause No			Y	H	N	
		Motion & Order for Disclosure of Experts	Name	Cause No			Y	H	N	
		Motion & Order to Destroy Weapons	Name	Cause No			Y	H	N	Y
		Motion to Vacate Order of Restricted Access	Name	Cause No			Y	H	Y	Y
		Motion in Limine	Name	Cause No			Y	H	N	Y
		Motion to Continue	Name	Cause No			Y	H	N	Y
		Motion to Dismiss	Name	Cause No			Y	H	Y	Y
		Motion to Consolidate	Name	Cause No			Y	H	N	Y
		Motion to Correct Legal Name	Name	Cause No			Y	H	N	Y
		Motion to Transfer Probation and Jurisdiction	Name	Cause No			Y	H	Y	Y
		Motion to Transfer Disposition to County of Residence	Name	Cause No	Court		Y	H	N	Y
		Motion for Nunc Pro Tunc Modification Order	Name	Cause No			Y	H	N	Y
		Motion for Nunc Pro Tunc Adjudication Order	Name	Cause No			Y	H	Y	Y
		Motion to Destroy Weapon	Name	Cause No			Y	H	N	Y
		Motion to Inspect Sealed File	Name	Cause No			Y	H	N	Y
		Motion to Obtain Records	Name	Cause No			Y	H	Y	Y
		Motion to Dismiss Juvenile Bond	Name	Cause No			Y	H	N	Y
		Notice of Hearing	Name	Cause No			Y	H	N	Y
		Petitioner's Appeal of Release of Juvenile	Name	Cause No			Y	H	N	Y
		Petitioner's Non Suit	Name	Cause No			Y	H	N	Y
Excel Docs		Juvenile Monthly Disposition Report	Year	Month			Y	H	Y	Y
		Phone Disposition Log	Name	DOB	Police Agency		Y	H	Y	Y
		Dismissal Log	Name	DOB	Cause No		Y	H	Y	Y
		Refer to Probation	Name	DOB	Cause No		Y	H	Y	Y
		Decline to File Log	Name	DOB	Cause No					
		Daily Detention Log	Name	Date			Y	H	Y	Y
		Weekly Juvenile Docket	Name	Date			Y	H	Y	Y
		Trial Docket	Name	Date	Cause No		Y	H	Y	Y
		TYC Release Log	Name	Date	Cause No		Y	H	Y	Y
		Warehouse Log	Name	Year	Warehouse Box No		Y	H	Y	Y
Jury		Jury Charges	Name	Cause No			Y	H	Y	Y
		Voir Dire	Name	Cause No			Y	H	Y	Y
Directives to Apprehend		DTA – Failure to Appear	Name	Cause No			Y	H	N	Y
		DTA –Violation of Probation	Name	Cause No			Y	H	N	Y
		Writ of Attachment	Name	Cause No			Y	H	N	Y
		Affidavit/Complaint for Immediate Custody	Name	Cause No			Y	H	N	Y
Charge of the Court			Name	Cause No			Y	H	N	Y
Screening Sheet			Name	Cause No			Y	H	Y	Y
CJIS Form			Name	Cause No			N	E / H	N	Y
Restricted Order			Name	Cause No			Y / N	H	N	Y
Victim Cards			Name	Cause No			Y	H	Y	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
	Victim Letters		Name	Cause No			Y	H	Y	Y
	Videos	Decline to Prosecute files	Name	Cause No			Y	E	N	Y
		Refer to Probation	Name	Cause No			Y	H	Y	Y
		Affidavit of Non-Prosecution	Name	Cause No			Y	H	Y	Y
		Phone Dispositions	Name	Cause No			Y	H	Y	Y
	Request for Issuance of Service		Name	Cause No			Y	H	N	
	Magistrate's Warnings to Juvenile		Name	Cause No			Y	H	N	
	Rules & Conditions of Probation		Name	Cause No			Y	H	N	
	Release for Medical Information		Name	Cause No			Y	H	N	
	Order Deferring Sex Offender Registration for Juvenile		Name	Cause No			Y	H	N	
	Letter to School		Name	Cause No			Y	H	N	
	Trial Reports		Name	Cause No			Y	H	N	
	Notices	Notice of Filing Business & Medical Records	Name	Cause No			Y	H	N	
		Notice of Intent to use Outcry Witness	Name	Cause No			Y	H	N	
		Notice of Intent to use Child's Video	Name	Cause No			Y	H	N	
		Notice of Intent to use Extraneous Offenses	Name	Cause No			Y	H	N	
	Court Docket		Name	Cause No			Y	E / H	N	Y
	Trial Docket Log		Name	Cause No			Y	E / H	N	Y
	Criminal History		Name	Cause No			N	E / H	N	Y
	Detention Log		Name	Cause No			Y	E / H	N	Y
	Forms	Authorization for Release of Medical Records	Name	Cause No			Y	H	N	Y
		Restitution Letters	Name	Cause No			Y	H	N	Y
		FAX Cover Sheets	Name	Cause No			Y	H	N	Y
		Request for Info/Juvenile Records	Name	Cause No			Y	H	N	Y
		Letters to Constables/Requests for Service	Name	Cause No			Y	H	N	Y
		MySpace Preservation Letters	Name	Cause No			Y	H	N	Y
		Trial Request Form	Name	Cause No			Y	H	N	Y
		Jury Squares	Name	Cause No			Y	H	N	Y
		Screening Sheets	Name	Cause No			Y	H	N	Y
		Trial Report for Juv & CPS Cases	Name	Cause No			Y	H	N	Y
		Grant Reports	Name	Cause No			Y	H	N	Y
	Case Files / Working Papers	Closed Case Files	Name	Cause No			Y	H	Y	Y
		Pending Case Files	Name	Cause No			Y	H	Y	Y
		Working Papers	Name	Cause No			Y	H	Y	Y
		Correspondence	Name	Cause No			Y	H	Y	Y
		Reports	Name	Cause No			Y / N	E / H	Y	Y
		Briefs	Name	Cause No			Y	H	Y	Y
		Notes	Name	Cause No			Y	H	Y	Y
		Drafts	Name	Cause No			Y	H	Y	Y
		Photographs	Name	Cause No			Y	E / H	Y	Y
		Video Recordings	Name	Cause No			Y	E	N	Y
		Sound Recordings	Name	Cause No			Y	E	N	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
	Grant Reports		Name	Cause No			Y	H	Y	Y
<b>CPS</b>	Hot Docs		Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Requests	Request for Issuance of Service	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Request for Disclosure	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Request for Production of Documents & things	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Request for Admissions	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Interrogatories	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Request for Clerk Records on Appeal	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Request for Copies of Documents	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Motions & Orders	Motion & Order for Discovery Protective Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order to Compel	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for Summary Judgment	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for Court to Consult with Out-of-State Court Re. Jurisdiction	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for Immediate Custody Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order to Enforce	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for Writ of Attachment	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order To Quash	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order to Vacate Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order Nunc Pro Tunc	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for Continuance	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order for New Trial	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Motion & Order to Dismiss	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Sever Cause	Child(ren)	Cause No	Respondent(s)					
		Motion & Order to Substitute Counsel	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Transfer Cause	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Monitored Return of Child(ren)	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Partial Non-Suit	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Strike Intervention	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Non-Suit	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Consolidate Causes	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Clarify	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Citation by Publication	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Citation by Substitute Service	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order for Citation Posting	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Compel Discovery Responses	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Determine Eligibility for Special Immigrant Juvenile Status	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Change Placement of Child	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Motion & Order to Modify	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Notices	Notice of Appeal & Request for De Novo Hearing	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Notice to Bureau of Indian Affairs	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Notice of Individual who will Exercise Duty & Resp. of Providing Informed Consent fo Med. Care	Child(ren)	Cause No	Respondent(s)		Y	H	N	

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Notice of Filing Business & Medical Records	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Notice of Intent to use Outcry Witness	Child(ren)	Cause No	Respondent(s)		Y	H	N	
	Orders	Child Support Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Wage Withholding Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Agreed Temporary Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Compliance Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Standard Possession Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Docket Control Order	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Consents	Consent to Obtain Blood, Body Fluids or Other Biological Samples	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Consent to Sexual Assault Exam	Child(ren)	Cause No	Respondent(s)		Y	H	N	
	Affidavits		Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Affidavit of Status	Name	Cause No	Mom's Name	Alleged Dad's Name	Y	H	N	Y
		Affidavit in Support of Motion	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Affidavit for Citation by Posting	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Affidavit for Citation by Publication	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Affidavit of Business Records	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Medical Records Affidavit	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Waivers	Waiver of Citation	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Petitioner's Lists	Petitioner's Expert Witness List	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Petitioner's Trial Witness List	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Petitioner's Trial Exhibit List	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Forms	Bureau of Vital Statistics Form - Information on SAPCR	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Child Placement Resource Form	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Certificates	Certificate of Conference	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Certificate of Paternity Registry Search	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Replies & Responses	Response to Intervention	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
		Reply to Motion	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Releases	Release for Medical Information	Child(ren)	Cause No	Respondent(s)		Y	H	N	
	Agreements	Agreement Incident to Termination	Child(ren)	Cause No	Respondent(s)		Y	H	N	
		Rule 11 Agreement	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Plans	Family Service Plan	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Applications	Application for Bench Warrant	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Referrals	Foster Care Case Referral to the Office of the Attorney General	Child(ren)	Cause No	Respondent(s)		Y	H	N	Y
	Videos		Child(ren)	Cause No	Respondent(s)		Y	E	N	Y
	Case Files / Working Papers	Closed Case Files	Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
		Pending Case Files	Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
		Working Papers	Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
		Correspondence	Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
		Reports	Child(ren)	Cause No	Respondent(s)		Y / N	E / H	Y	Y
		Briefs	Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
		Photographs	Child(ren)	Cause No	Respondent(s)		Y	E / H	Y	Y
		Video Recordings	Child(ren)	Cause No	Respondent(s)		Y	E	N	Y

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Sound Recordings	Child(ren)	Cause No	Respondent(s)		Y	E	N	Y
	Subpoena		Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
	Charge of the Court		Child(ren)	Cause No	Respondent(s)		Y	H	Y	Y
	Court Docket		Child(ren)	Cause No	Respondent(s)		Y	E / H	N	Y
	Criminal History		Child(ren)	Cause No	Respondent(s)		N	E / H	N	Y
	Grant Reports		Name	Cause No			Y	H	Y	Y
<b>Protective Order</b>	<b>Motions &amp; Orders</b>	App for Protective Order	Name	Cause No			Y	H	N	Y
		Motion & Order to Dismiss	Name	Cause No			Y	H	N	Y
		Motion & Order For Non-suit	Name	Cause No			Y	H	N	Y
		Motion & Order to Extend Protection	Name	Cause No			Y	H	N	Y
		Ex parte Protective Order	Name	Cause No			Y	H	N	Y
		Protective Order	Name	Cause No			Y	H	N	Y
		Magistrate's Emergency Protective order [MEPO]	Name	Cause No			Y	H	N	Y
		Request for Magistrate's Emergency Protective Order [MEPO]	Name	Cause No			Y	H	N	Y
		Waiver of Right to Request De Novo Hearing - Protective Order	Name	Cause No			Y	H	N	Y
		Protective Order - TCIC Form	Name	Cause No			Y	H	N	Y
	Subpoenas		Name	Cause No			Y	H	Y	Y
	Correspondence		Name	Cause No			Y	H	N	Y
	Criminal History		Name	Cause No			N	E / H	N	Y
	Court Docket		Name	Cause No			Y	E / H	N	Y
<b>Victims</b>	Victim Impact Statement		Name	Cause No			Y	H	Y	
	Victim Compensation		Name	Cause No			Y	H	Y	
	Victim Letters		Name	Cause No			Y	H	Y	
	Victim Cards		Name	Cause No			Y	H	Y	
	Grant Reports		Name	Cause No			Y	H	Y	
<b>Investigation</b>			Name	Cause No			Y	H	Y	Y
	<b>Complaints</b>	Citizen Complaints	Name	Date			Y	H	Y	
		Complaints	Name	Agency						
	Videos		Name	Agency			Y	E	N	Y
	Case Files / Working Papers	Closed Case Files	Name	Agency			Y	H	Y	Y
		Pending Case Files	Name	Agency			Y	H	Y	Y
		Working Papers	Name	Agency			Y	H	Y	Y
		Correspondence	Name	Agency			Y	H	Y	Y
		Reports	Name	Agency			Y / N	E / H	Y	Y
		Notes	Name	Agency			Y	H	Y	Y
		Photographs	Name	Agency			Y	E / H	Y	Y
		Video Recordings	Name	Agency			Y	E	N	Y
		Sound Recordings	Name	Agency			Y	E	N	Y
	Forms									

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data				
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)	
Administrative	Budget						Y	E / H	N		
	Financial						Y	E / H	Y		
	Personnel						Y	H	Y	Y	
	Payroll						Y	E / H	Y		
	Reports	Monthly Reports						Y	E / H	N	
		Wire/Oral Com. Intercep, Annual Report						Y	H	Y	Y
		Attorney General, Report to						Y	H	Y	
		Expense and Collections Reports		Annual	Monthly			Y	E / H	Y	
	Manuals (Instruction, Policy. . . )	Juvenile Procedure Manual						Y	H	Y / N	
	Register of Official Acts							Y	H	Y	
	Contraband Forfeiture Fund	Applications						Y	H	Y	
		Receipts						Y	E / H	Y	
		Disbursements						Y	E / H	Y	
							Y	E / H	Y		

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Grand Jury</b>	<b>Document Types</b>		<b>Index Values</b>				<b>Footnotes</b>			
1	Case Files / Working Papers		1	Name						
2	Grand Jury Docket or Minutes		2	DOB						
3	Grand Jury Term Files									
4	Green Cards									
5	Holds									
6	Indictments									
7	Intake Docket									
8	Intake Sheet									
9	Jail Docket									
10	Jail File Cases									
11	Motions & Orders-Grand Jury									
12	Screening Sheet									
13	Subpoenas									
14	Videos									

Felony Case File	Document Types
1	Admonishments
2	Applications
3	Case Files / Working Papers
4	Certifications
5	Charges
6	Criminal History
7	Expunctions
8	Grant Reports
9	Indictments
10	Judgements
11	Mental Health Commitment Cases
12	Motions - Felony
13	MRPs
14	Non-Disclosures
15	Notices
16	Orders
17	Post Writs
18	Stipulation
19	Trial Reports
20	Victim Letters
21	Videos
22	Voluntary Statement
23	Waiver of Extraditions
24	Waivers
25	Warrants

Index Values	
1	Cause No.
2	DA Name
3	Date
4	DOB
5	Name
6	SPN No
7	State

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Misdemeanor Case File</b>	<b>Document Types</b>		<b>Index Values</b>				<b>Footnotes</b>			
1	Case Files / Working Papers		1	Cause No.						
2	Court Charges		2	DOB						
3	Information Complaints		3	Name						
4	Jail Docket		4	SPN No						
5	Jail File Cases									
6	Jury Charges									
7	Motions & Orders									
8	MRPs									
9	Notices									
10	Screening Sheet									
11	Trial Reports									
12	Videos									
<b>Hot Checks</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Affidavits		1	Cause No.						
2	Case Files / Working Papers		2	Court No						
3	CJIS Form		3	Date						
4	Court Docket		4	DOB						
5	Criminal History		5	Merchant Name						
6	Decline to Prosecute files		6	Merchant SPN No						
7	Hot Check Fund Documentation		7	Name						
8	Motion & Orders		8	SPN No						
9	Worthless Checks At Large									
<b>Appeals</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Briefs		1	Cause No						
2	Case Files / Working Papers		2	Name						
3	Mandates									
4	Opinions									
<b>Civil</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Assets / Seizures Forfeitures		1	Cause No						
2	Bond Forfeitures		2	Name						
3	Case Files / Working Papers		3	Police Agency						

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
Juvenile	<b>Document Types</b>		<b>Index Values</b>				<b>Footnotes</b>			
1	<b>Affidavits / Notices of Filing</b>		1	Cause No						
2	Case Files / Working Papers		2	Court						
3	Charge of the Court		3	DOB						
4	CJIS Form		4	Month						
5	Court Docket		5	Name						
6	Criminal History		6	Petition No						
7	Detention Log		7	Police Agency						
8	<b>Directive to Apprehend</b>		8	Warehouse Box No						
9	<b>Directives to Apprehend</b>		9	Year						
10	<b>Excel Docs</b>									
11	<b>Forms</b>									
12	Grant Reports									
13	Judgements									
14	<b>Jury</b>									
15	Letter to School									
16	<b>Letters</b>									
17	Magistrate's Warnings to Juvenile									
18	<b>Motions &amp; Orders</b>									
19	Notices									
20	Order Deferring Sex Offender Registration for Juvenile									
21	<b>Orders</b>									
22	Petition for Determinate Sentencing									
23	Petitions									
24	Petitions for Waiver of Jurisdiction & Discretionary Trans. to Dist. Court									
25	Release for Medical Information									
26	Request for Issuance of Service									
27	Restricted Order									
28	Rules & Conditions of Probation									
29	Screening Sheet									
30	<b>Service</b>									
31	Trial Docket Log									
32	Trial Reports									
33	Victim Cards									
34	Victim Letters									
35	Videos									

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>CPS</b>	<b>Document Types</b>		<b>Index Values</b>				<b>Footnotes</b>			
1	Affidavits		1							
2	Agreements		2							
3	Applications		3							
4	Case Files / Working Papers									
5	Certificates									
6	Charge of the Court									
7	Consents									
8	Court Docket									
9	Criminal History									
10	Forms									
11	Grant Reports									
12	Hot Docs									
13	Motions & Orders									
14	Notices									
15	<b>Orders</b>									
16	Petitioner's Lists									
17	Plans									
18	Referrals									
19	Releases									
20	Replies & Responses									
21	Requests									
22	Subpoena									
23	Videos									
24	Waivers									
<b>Protective Order</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Correspondence		1							
2	Court Docket		2							
3	Criminal History									
4	Motions & Orders									
5	Subpoenas									

Figure 7.1.1: District Attorney

Process / Activity	Document Classification		Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Victims</b>	<b>Document Types</b>		<b>Index Values</b>				<b>Footnotes</b>			
1	Grant Reports		1							
2	Victim Cards		2							
3	Victim Compensation									
4	Victim Impact Statement									
5	Victim Letters									
<b>Investigation</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Case Files / Working Papers		1							
2	Complaints		2							
3	Forms		3							
4	Videos		4							
<b>Administrative</b>	<b>Document Types</b>		<b>Index Values</b>							
1	Budget		1							
2	Contraband Forfeiture Fund		2							
3	Financial									
4	Manuals (Instruction, Policy...)									
5	Payroll									
6	Personnel									
7	Register of Official Acts									
8	Reports									



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## Section 8

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# Human Resources Records Taxonomy

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### 8.1 Human Resources Taxonomy

The following pages contain MS Excel spreadsheet of the Human Resources document / records taxonomy.

Figure 8.1.1: Human Resources Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>HR</b>											
	<b>Administrative</b>	Annual Reports		Year				Y	H	Y	
		Budget		Year	Dept.			Y	H	Y	
		Budget Amendments		Year	Dept.			Y	H	Y	
		Budget Requests		Year	Dept.			Y	H	Y	
		Commissioner's Court Agenda		Year	Date			Y	H	Y	
		Complaints		Dept	Name			Y	H	Y	Y
		Contracts		Vendor	Date			Y	H	Y	
		Correspondence		Dept	Date			Y	H	Y	
		Deposit Warrants		Year	Date			N	H	Y	
		Job Descriptions		Dept				Y	H	Y	
		Pay Tables		Year				Y	H	Y	
		Personnel		Name	Empl. ID No.			Y	H	Y	
		Personnel Studies and Surveys		Year				Y	H	Y	
		Reductions in Force Plans		Year				N	H	Y	
		Work Schedules		Pay Period				Y	H	Y	
	<b>Affirmative Action</b>	Affirmative Forms		Year				Y	H	Y	Y
	<b>Applications</b>	Advertisements		Year				Y	H	Y	
		Aptitude and Skills Test Records		Name				Y	H	Y	
		Certifications		Name				Y	H	Y	
		Letters of Reference		Name				Y	H	Y	
		Licenses		Name				Y	H	Y	
		Postings Relating to Job Openings		Year				Y	H	Y	
		Resumes		Name	Empl. ID No.			Y	H	Y	
		Transcripts		Name	Empl. ID No.			Y	H	Y	
	<b>Background Check</b>	Criminal Background Check		Name	Empl. ID No.			Y	H	Y	Y
		Driver License Check		Name	Empl. ID No.			Y	H	Y	Y
	<b>Confidential File</b>	Beneficiary Forms		Name	Empl. ID No.			Y	H	Y	Y
		Benefit Forms	Deferred Compen. Plans	Name	Empl. ID No.			Y	H	Y	Y
			Disability Insurance	Name	Empl. ID No.			Y	H	Y	Y
			Health	Name	Empl. ID No.			Y	H	Y	Y
			Life	Name	Empl. ID No.			Y	H	Y	Y
			Pension	Name	Empl. ID No.			Y	H	Y	Y
		Direct Deposit Forms		Name	Empl. ID No.			Y	H	Y	Y
		FMLA		Name	Empl. ID No.			Y	H	Y	Y
		Garnishments	Child Support	Name	Empl. ID No.			Y	H	Y	Y

Figure 8.1.1: Human Resources Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		HRA Verification Form		Name	Empl. ID No.			Y	H	Y	Y
		No Show Deduction Form		Name	Empl. ID No.			Y	H	Y	Y
		Physical Exam Reports or Certif.	IRS	Name	Empl. ID No.			Y	H	Y	Y
			Student Loans	Name	Empl. ID No.			Y	H	Y	Y
		SS Card copy		Name	Empl. ID No.			Y	H	Y	Y
		Unemployment Hearing Notices		Name	Empl. ID No.			Y	H	Y	Y
		W4 Forms		Name	Empl. ID No.			Y	H	Y	Y
		Workers Compensation		Name	Empl. ID No.			Y	H	Y	Y
	<b>DOT File</b>	Counseling Program Files		Name	Empl. ID No.			Y	H	Y	Y
		Drug Screen		Name	Empl. ID No.			Y	H	Y	Y
		Policy Acknowledgement Form		Name	Empl. ID No.			Y	H	Y	Y
	<b>I9 File</b>	Driver Lic. Copy		Name	Empl. ID No.			Y	H	Y	Y
		E-Verify Form		Name	Empl. ID No.			Y	H	Y	Y
		SS Card copy		Name	Empl. ID No.			Y	H	Y	Y
	<b>Personnel File</b>	Amendments		Name	Empl. ID No.			Y	H	Y	
		Application		Name	Empl. ID No.			Y	H	Y	
		Certificates		Name	Empl. ID No.			Y	H	Y	
		Disciplinary Docs		Name	Empl. ID No.			Y	H	Y	
		Evaluations		Name	Empl. ID No.			Y	H	Y	
		Grievances		Name	Empl. ID No.			Y	H	Y	
		HR Policy Manual Acknowledgement Form		Name	Empl. ID No.			Y	H	Y	
		Job Description		Name	Empl. ID No.			Y	H	Y	
		Oaths of Office		Name	Empl. ID No.			Y	H	Y	
		Open Records Form		Name	Empl. ID No.			Y	H	Y	
		Personnel Action Form		Name	Empl. ID No.			Y	H	Y	
		Termination Form		Name	Empl. ID No.			Y	H	Y	
	<b>Retiree File</b>	Beneficiary Forms		Name	Empl. ID No.			Y	H	Y	Y
		Benefit Forms		Name	Empl. ID No.			Y	H	Y	Y
		Direct Deposit Forms		Name	Empl. ID No.			Y	H	Y	Y
		Retiree Option Form		Name	Empl. ID No.			Y	H	Y	Y
		SS Card copy		Name	Empl. ID No.			Y	H	Y	Y
		W4 Forms		Name	Empl. ID No.			Y	H	Y	Y
	<b>Terminated Confidential File</b>	Beneficiary Forms		Name	Empl. ID No.			Y	H	Y	Y
		Benefit Forms	Deferred Compen. Plans	Name	Empl. ID No.			Y	H	Y	Y
			Disability Insurance	Name	Empl. ID No.			Y	H	Y	Y
			Health	Name	Empl. ID No.			Y	H	Y	Y
			Life	Name	Empl. ID No.			Y	H	Y	Y

Figure 8.1.1: Human Resources Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
			Pension	Name	Empl. ID No.			Y	H	Y	Y
		Direct Deposit Forms		Name	Empl. ID No.			Y	H	Y	Y
		FMLA		Name	Empl. ID No.			Y	H	Y	Y
		Garnishments	Child Support	Name	Empl. ID No.			Y	H	Y	Y
		HRA Verification Form		Name	Empl. ID No.			Y	H	Y	Y
		No Show Deduction Form		Name	Empl. ID No.			Y	H	Y	Y
		Physical Exam Reports or Certif.	IRS	Name	Empl. ID No.			Y	H	Y	Y
			Student Loans	Name	Empl. ID No.			Y	H	Y	Y
		SS Card copy		Name	Empl. ID No.			Y	H	Y	Y
		Unemployment Hearing Notices		Name	Empl. ID No.			Y	H	Y	Y
		W4 Forms		Name	Empl. ID No.			Y	H	Y	Y
		Workers Compensation		Name	Empl. ID No.			Y	H	Y	Y
	<b>Terminated Personnel File</b>	Amendments		Name	Empl. ID No.			Y	H	Y	
		Application		Name	Empl. ID No.			Y	H	Y	
		Certificates		Name	Empl. ID No.			Y	H	Y	
		Disciplinary Docs		Name	Empl. ID No.			Y	H	Y	
		Evaluations		Name	Empl. ID No.			Y	H	Y	
		Grievances		Name	Empl. ID No.			Y	H	Y	
		HR Policy Manual Acknowledgement Form		Name	Empl. ID No.			Y	H	Y	
		Job Description		Name	Empl. ID No.			Y	H	Y	
		Oaths of Office		Name	Empl. ID No.			Y	H	Y	
		Open Records Form		Name	Empl. ID No.			Y	H	Y	
		Personnel Action Form		Name	Empl. ID No.			Y	H	Y	
		Termination Form		Name	Empl. ID No.			Y	H	Y	
	<b>Training</b>	Certificates		Name	Empl. ID No.			Y	H	Y	
		Manuals		Year	Subject			Y	H	Y	
		Presentation		Year	Subject			Y	E	Y	
		Sign-in Sheets		Year	Subject			Y	H	Y	

Figure 8.1.1: Human Resources Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>HR</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Administrative			1	Date						
2	Affirmative Action			2	Dept.						
3	Applications			3	Empl. ID No.						
4	Background Check			4	Name						
5	Confidential File			5	Pay Period						
6	DOT File			6	Vendor						
7	I9 File			7	Year						
8	Personnel File										
9	Retiree File										
10	Terminated Confidential File										
11	Terminated Personnel File										
12	Training										



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## Section 9

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# Juvenile Probation Records Taxonomy

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### 9.1 Juvenile Probation Taxonomy

The following pages contain MS Excel spreadsheet of the Juvenile Probation document / records taxonomy.

Figure 9.1.1: Juvenile Probation Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
Juvenile Probation											
	<b>Adjudication Order</b>	Adjudication		Name	PID	Cause No.		Y	H	Y	Y
		Disposition		Name	PID	Cause No.		Y	H	Y	Y
		Restitution		Name	PID	Cause No.		Y	H	Y	Y
		Rules of Probation		Name	PID	Cause No.		Y	H	Y	Y
	<b>Administrative</b>	Accounting (?)						Y	H / E	Y	
		Board Docs		Date				Y	H	Y	
		Budgets / Contracts		Name	Vendor			Y	H	Y	
		Business Contracts		Name	Vendor			Y	H	Y	
		Contracts		Name	Vendor			Y	H	Y	
		Deposit Warrants		Date				Y	H / E	Y	
		Food Services		Date				Y	H	Y	
		Forms		Name	Form Type			Y	H	Y	Y
		Grants		Name of Grant				Y	H	Y	
		Maintenance (?)						Y	H	Y	
		Manuals		Name of Policy				Y	H	Y	
		Payroll Claims		Date				Y	H	Y	
		Personnel Files		Name	DOB			Y	H	Y	Y
		Property Report		Date				Y	H	Y	
		Purchasing	Insert same as Purchasing					Y	H	Y	
		Sick / Vacation		Name	Date			Y	H	Y	Y
		Standards (Admin. Fami Code)		Statute No.				Y	H	Y	
	<b>Court Orders</b>	Community Services		Name	PID	Cause No.		Y	H	Y	Y
		Court Order		Name	PID	Cause No.		Y	H	Y	Y
		Detention Order		Name	PID	Cause No.		Y	H	Y	Y
		Directive to Apprehend (DTA)		Name	PID	Cause No.		Y	H	Y	Y
		Order to Waive Fees		Name	PID	Cause No.		Y	H	Y	Y
	<b>Detention</b>	Admissions Reports		Name	PID			Y	H	Y	Y
		Behavioral Report		Name	PID			Y	H	Y	Y
		Case History Report		Name	PID			Y	E	Y	Y
		CJIS		Name	DOB			Y	H	Y	Y
		Detention Log		Date				Y	H	Y	Y
		Forms		Name	Form Type			Y	H	Y	Y
		Juvenile Grievance		Name				Y	H	Y	Y
		Medical History		Name	DOB			Y	H	Y	Y

Figure 9.1.1: Juvenile Probation Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
		Police Offence Report		Name	DOB			Y	H	Y	Y
		Receipt for Child		Name				Y	H	Y	Y
		Serious Incident Reports		Name				Y	H	Y	Y
	<b>JJAEP</b>	Forms		Name				Y	H	Y	Y
		Medical History		Name	DOB			Y	H / E	Y	Y
	<b>Medical</b>	Behavior Health		Name	PID			Y	H	Y	Y
		Forms		Name	Form Type			Y	H	Y	Y
		Maysi		Name	Referral No.			Y	H	Y	Y
		Psychiatric Evaluation		Name	Cause No.			Y	H	Y	Y
		Psychological Evaluation		Name	Cause No.			Y	H	Y	Y
		Suicide Assessment		Name	Date			Y	H	Y	Y
	<b>Petitions</b>	District Attorney Petition		Name	PID	Cause No.		Y	H	Y	Y
	<b>Restitution Agreements</b>	Restitution Agreement		Name				Y	H	Y	Y
	<b>Supervision</b>	Deferred	Case Files	Name	PID			Y	H	Y	Y
			Court Orders	Name	PID			Y	H	Y	Y
			Deferred Prosecution Agreement	Name	PID			Y	H	Y	Y
			Forms	Name	Form Type			Y	H	Y	Y
			Offense Reports	Name	DOB			Y	H	Y	Y
			Photographs	Name	DOB			Y	H	Y	Y
		Formal	Case Files	Name	PID	Cause No.		Y	H	Y	Y
			Court Orders	Name	PID	Cause No.		Y	H	Y	Y
			Forms	Name	Form Type			Y	H	Y	Y
			Photographs	Name				Y	H	Y	Y
			Victim Impact	Name				Y	H	Y	Y
			Violation Report	Name	PID	Cause No.		Y	H	Y	Y
	<b>TLC Program</b>	Forms		Name	Form Type			Y	H	Y	Y
		Medical History		Name	DOB			Y	H	Y	Y
		TLC Log		Date				Y	H	Y	Y
	<b>Training</b>	Certification Training		Name	TJPC No.			Y	H / E	Y	N



# **COUNTY OF GALVESTON REQUEST FOR PROPOSAL**



## **Back-file Conversion Specification County ECMS Program**

### **Exhibit E**



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## **1. BACKGROUND INFORMATION**

### **1.1 County of Galveston**

The County of Galveston is a public corporation and political subdivision, organized and existing under the constitution and laws of the State of Texas. It was established on May 15, 1838, by an article approved by the President of the Republic of Texas, Sam Houston. It is located on the upper Texas coast of the Gulf of Mexico and comprises a land area of 430 square miles and a population that is approaching 300,000. The land area includes: Galveston Island (the "Island"), thirty-two miles long and situated two miles from the coast; a portion of the nearby mainland; and the Bolivar Peninsula, just northeast of the Island across the entrance to Galveston Bay.

The county seat is the City of Galveston, located on the northern end of the Island and covering slightly more than forty-seven square miles. The county has no legislative, and only restricted administrative and judicial, powers. The Galveston County, Texas, Commissioners' Court is the county's governing body. The Commissioners' Court is elected by county voters for staggered four-year terms and comprises the County Judge (the presiding officer) and four County Commissioners. Each of the four commissioners represents one of the four geographical precincts into which the county is divided.

The County has approximately 1,200 (twelve hundred) employees and provides a full range of services with regard to public safety, health and social welfare, culture and recreation, conservation, and roads, bridges, and rights-of-way.

### **1.2 Galveston County ECMS Program Background**

County documents / records are an important resource for its staff, residents and public officials. Documents / records are currently kept in numerous formats including paper, imaged copies, Kodak film reels, on-line computer systems, desktop hard drives, and optical media. County documents can include everything from timesheets, e-mails, correspondence, contracts, drawings, subdivision plans, reports, minutes and blueprints to digital photographs, videotapes, databases and electronic recordings.

An Enterprise Content Management System (ECMS) strategy was developed in 2010 to implement consistent operating principles, processes, procedures and standards for managing documents / records on a County-wide basis. The imaging of existing County hardcopy documents, via a back-file conversion effort, was identified as a key component of the Countywide ECMS strategy. Therefore, the County is interested in retaining the services of a highly qualified ECMS Service Provider to assist in this effort, as part of the successful execution of a County-wide ECMS implementation and back-file conversion project.

While the County has an enterprise strategy for the deployment of an ECMS across all County departments, the work identified in this document reflects the unique ECMS deployment and back-file conversion requirements for eight (8) departments identified in Phase 1 of a multiple year enterprise deployment.



## 2. GENERAL REQUIREMENTS

The objective of this document is to provide a specification for the County's back-file conversion services of selected documents / records for Phase 1 Departments, which will allow scanned documents to become readily available to multiple users in various departments across the County. Additionally, scanned documents will ultimately be bulk loaded and stored in the proposed ECMS, providing a permanent and more secure storage media should there be a loss due to day to day handling of the files or in the event of a natural or man-made disaster.

## 3. SCOPE OF WORK

The following provides an overview of the proposed Scope of Work.

### 3.1 Project Management

The Service Provider shall designate a Project Manager who will be the Service Provider's primary contact for all Project activities. The County will also designate a County Project Manager who will be the County primary contact. The Project shall be managed per a Project Plan developed and maintained by the back-file conversion Service Provider. A detailed Project Plan shall be submitted with the Proposal in Microsoft Project format including timeline, tasks, key milestones and deliverables.

#### 3.1.1 Progress Reports

Throughout the back-file conversion process, the Service Provider shall prepare and submit weekly or bi-weekly written reports to the County Project Manager (as agreed to by the County). The weekly reports shall:

- Update the Project Plan indicating progress for current tasks;
- Identify and report the status of all tasks that have fallen behind schedule, the reason and resolution period;
- Identify and summarize all risks and problems identified by the Service Provider that may affect the Project;
- For each risk and problem, identify the action and person(s) responsible for mitigating the risk and resolving the problem;
- For each risk and problem identified, state the impact on the Project Plan;
- Identify all changes in the Project Plan that affect personnel, equipment, facilities and resources of the County which will be required for the Service Provider to perform the Services two (2) weeks in advance of the need.

### 3.2 Service Provider Responsibilities / Scope of Work

The following is a list of responsibilities the County expects the Service Provider to accept as part of the Services. The Service Provider's proposed solution may supplement this list. At a minimum, the Service Provider shall be responsible for the following tasks:



- 3.2.1 Prepare and execute a Quality Plan  
In accordance with a written plan, the Service Provider shall perform quality control on each scanned page to verify readability, de-skew, de-speckle, and preparation defects, and will rescan as necessary to correct all issues.
- 3.2.2 Prepare and execute a Security Plan.  
County files may contain confidential information and sensitive data protected by law (e.g. HIPAA). The Service Provider shall propose a Security Plan that ensures the security of the files and the data contained therein throughout the project workflow.
- 3.2.3 Supply boxes and document separator sheets to the County.
- 3.2.4 Cooperative end-to-end pilot testing of the complete back-file scan process in cooperation with the County. Prepare and submit a proposed solution Test Plan with your proposal.
- 3.2.5 Pickup and secure transport of documents to the scanning site.
- 3.2.6 Prepare documents for scanning. Document preparation shall include the following:
- Receipt of document files from County staff;
  - Maintaining integrity and chain of custody of document files throughout the vendor process;
  - Establishing and documenting specific procedures for handling County document files that:
    - minimize the risk for an original document to be misfiled, misplaced, damaged or lost; and
    - assures all documents presented for scanning are imaged, indexed and stored in the deliverable image library.
  - Removing documents from storage container (e.g., file box, file drawer, file folder or film container);
  - Preparing paper documents for scanning by:
    - making no changes to original records and documents;
    - removing staples, paper clips or other extraneous items;
    - unfolding, smoothing or other actions to make document ready for scanning;
    - using clear plastic sheaths for small, odd-sized or delicate documents to protect original and produce useable image;
    - evaluating condition and quality of original paper document and determining the scan method to produce the best image;
    - coordinating any other changes or actions for the paper documents with County officials.
  - Preparing filmed documents for scanning by:
    - insuring no damage to original documents on film reels;
    - loading film reels on devices to retrieve filmed documents;
    - evaluating condition and quality of original filmed document and determining the scan method to produce the best image;
    - coordinating any other actions for the filmed documents with County officials.



- 3.2.7 Scan, index, Quality Control, and re-box documents. The vendor shall provide on-site equipment and services to prepare and scan designated documents (paper files or film reels), create specified Indices for the documents and produce an image library of scanned documents for use by the County, as follow:
- Documents shall be scanned and indexed by one or more of the following:
    - Using the taxonomy provided by the County, and attached to this RFP;
    - Using information on the document itself, its file folder or film reel, an associated bar code or other source provided by the County;
    - Extracting data from fields / areas in the document (this may be done manually or by machine means (e.g. Optical Character Recognition).
  - Affixing index information to scanned image file and, as a cross reference, to the original document or a listing of original documents (use of Bar Codes is desired);
  - Scanning original document (paper or film) to digital Image, TIFF Group 6 and rendered to a PDF format;
  - QA/QC process by comparing scanned image for legibility, completeness and quality;
  - Making adjustments and re-scanning if necessary to produce a complete and legible image;
  - Documenting and calling to the attention of County staff any discrepancies between the original document and the scanned image;
  - Saving the imaged document with appropriate index and catalog information in a image library for delivery to the County;
  - Returning the original document (paper or film) to its original storage condition (file folder, file box, film container, et al.) or as otherwise directed by the County;
  - Production of an Image Library shall include the following:
    - Using cataloged index information to generate library listings for County review;
    - Organizing the scanned images into cohesive groups (sub-libraries) as directed by the County;
    - Copying the Library of imaged documents to the prescribed media (CD, DVD or other digital storage media) for delivery to the County.
- 3.2.8 Deliver scanned document electronic files to the County. Bulk load scanned documents into the selected Enterprise Content Management System as a result of this RFP.
- 3.2.9 Deliver re-boxed documents to the County in the exact same order and condition in which they were provided by the County.
- 3.2.10 Document Retention.  
The Service Provider must retain a copy of all images and data for six months after Contract termination or expiration. In the event of disaster or data loss at the County, on request, the Service Provider shall transmit a copy of the missing images to the County.
- 3.2.11 Ensure the destruction of the copies of County documents at the end of the six month Service Provider retention period. A destruction certificate or letter listing all destroyed documents shall be provided by the Service Provider to the County.



### 3.3 County Responsibilities

Following is a list of responsibilities the County expects to accept as part of the back-file conversion services. The Service Provider's proposed solution may identify additional responsibilities to supplement this list for the consideration of the County. The County shall be responsible for the following tasks:

- 3.3.1 Review and approval of the Service Provider Project Plan, Quality Plan, and Security Plan.
- 3.3.2 Supply an Excel spreadsheet of document types, classes and their associated index scheme (taxonomy) for all documents / records to be scanned.
- 3.3.3 Initial checking and pre-preparation of hardcopy files, insertion of document separator sheets, and boxing files for transport.
- 3.3.4 Cooperative end-to-end pilot testing of the complete back-file scan process in cooperation with the Service Provider.
- 3.3.5 Quality assurance spot checking of scanned document files and re-boxed paper documents to verify that Service Provider procedures have been followed properly.

### 3.4 Project Workflow

The Service Provider shall propose a project workflow following the general guidelines shown below, with modifications based on the Service Provider's prior experience and best practices.

- 3.4.1 The Service Provider and the County will collaborate to finalize project, security, and quality plans, and data file formats.
- 3.4.2 The County will deliver to the Service Provider an electronic MS Excel file containing the taxonomy information for all documents / records to be converted.
- 3.4.3 The Service Provider will deliver to the County bar coded document separator sheets to be inserted into the files. The number and use of the separator sheets will be determined based on the department and document types to be scanned.
- 3.4.4 The Service Provider will perform an end-to-end test of the document pre-preparation, boxing, transport, scanning, delivery, and file loading on a small sample of documents.
- 3.4.5 Based on a successful test, execution of the back-file conversion project will be carried out per the schedule documented in the Project Plan.

### 3.5 Definition of Batch

For practical purposes a batch shall be considered a unit of work, typically a full box. Each batch will include multiple document files. A batch will enable the County to ensure accountability, performance measures, and referencing in maintaining the integrity of its



property. All documents in each batch must be returned as a unit, with identification of the BatchID prominently marked.

### **3.6 Turnaround Criteria**

The County expects to have a turnaround time of two (2) to three (3) working days (unless otherwise specified and agreed to by the County) from the time the files are picked up by the Service Provider until the time the boxed files are returned and the electronic files are delivered to the County. The County shall have the ability to request work prioritization based on operational needs. This may include the scanning of a specific batch or file. The Service Provider shall also propose a procedure for returning a file to the County rapidly in the event of an emergency.

### **3.7 Reporting**

Upon each delivery of returned documents, the Service Provider shall provide a cumulative report indicating all box numbers returned, the date of return, and the boxes and documents contained on every batch. The Service Provider shall provide this report in an Excel spreadsheet and printed copy. The Service Provider shall include a sample report with the proposal along with a copy of any shipping or other inventory control documents to be used.

### **3.8 Quality Control**

In accordance with a written plan, the Service Provider shall perform quality control on each scanned page to verify readability, de-skew, de-speckle, and preparation defects, and will rescan as necessary to correct all issues. The Service Provider shall submit the quality control plan with its proposal. The plan shall specify the level of checking performed, the pass/fail criteria, and the defect correction process.

### **3.9 Quality Assurance**

The County will perform spot checks on each batch. In the event that there are unreadable or damaged images (fuzzy, unclear, wrong orientation, miss scanned, miss indexed) the Service Provider shall incur the cost of reprocessing, and deliver the reprocessed documents within five (5) working days of notification by email.

### **3.10 Format of Batch Identification (BatchID)**

The Service Provider shall identify each batch with a unique number. The numbering scheme shall provide proper identification of the batch during processing by the Service Provider and upon return to the County.

Example of a completed BatchID: DC-VEND-yyyymmddbbb

1. DC: Department identification, DC (for District Clerk)
2. VEND: Service Provider identification, County's Service provider code
3. yyyymmddbbb: Batch Serial Number, a unique number identifying the batch composed of the batch date and a 3 digit serial number



### 3.11 Labeling

The Service Provider shall label each box on the top and on at least two adjacent sides with the BatchID, appended with a two-digit sequence number of the box within the batch (example: DC-VEND-yyyymmddbbb-nn). If there is only one box in the batch, the number will be 01. The labeling shall be in characters at least one (1") inch high.

### 3.12 Electronic File Delivery

The Service Provider shall deliver the electronic files in one of two methods, as mutually agreed upon by the County and Service Provider.

1. On CD ROM, with the contents of the CD ROM noted using the labeling standard identified in subsection 3.11 above.
2. The Service Provider shall transmit the electronic file library on a CD / DVD as a set of image files plus a batch file. The image files shall be in multi-page Tiff and PDF formats. The batch file shall be a standard ASCII text file that contains the necessary index and metadata as required to be imported into the selected ECMS.
3. The Service Provider shall "bulk load" the electronic file library into the selected ECMS.

### 3.13 Indexing

All scanned documents shall be indexed in accordance with the Data Fields Table included in Exhibit D: ECMS RFP Unified County Taxonomy (July 21, 2010), which is provided as part of this document. Necessary index values will be bar-coded onto document separator sheets from which they can be read by the scanner.

### 3.14 Company Personnel Removal, Replacement or Promotion

The County will have the right to require the removal and replacement of Key Personnel, or any personnel, of the Service Provider (or the Service Provider's subcontractors) who are assigned to provide services to the County. As used in the Agreement, the term "Key Personnel" shall mean the Service Provider's Project Manager and any other personnel of the Service Provider or its subcontractors fulfilling a key role in the Project, whom the County designates to the Service Provider as "Key Personnel."

Unless approved by the County in writing, the Service Provider will not: (i) remove the Service Provider's Key Personnel from the Project or permit its subcontractors to remove Key Personnel from the Project; or (ii) materially reduce the involvement of the Service Provider's Key Personnel in the Project or allow its subcontractors to materially reduce the involvement of Key Personnel in the Project. The Service Provider will replace any personnel who leave the Project with equivalently qualified persons. Such replacement will occur within thirty (30) days after the Service Provider first learns that an individual will be leaving the Project. All replacement personnel must be approved by the County in writing, and the County shall have the right to interview and approve all replacement personnel proposed by the Service Provider for positions on the Project.



## 4. REQUIRED PROPOSAL SUBMISSION CONTENTS

Each Service Provider is expected to fully respond to each of the following back-file conversion proposal sections and submit responses in the same order. Additional supporting documentation is to be included as appendices to the submission and must be as concise as possible.

### 4.1 Introduction to Back-file Conversion Services

This will summarize, in a brief and concise manner, the Service Provider's understanding of the requested services, the vendor's qualifications, proposed approach, and the commitment to perform the back-file conversion work in a timely manner.

### 4.2 Table of Contents

Include a clear identification of the proposal by section and page number.

### 4.3 Executive Summary

The Service Provider will provide an executive summary that presents in brief, concise terms a summary level description of the contents of the proposal. In addition, the Service Provider must clearly and specifically detail all exceptions to the back-file conversion requirements of this RFP.

### 4.4 Section 1: Company Background of Back-file Conversion Firm

The Service Provider will provide a profile of its back-file conversion subcontractor, if applicable. At a minimum the Service Provider will provide the following information:

- Company background: business organization, year the firm was established, locations, number of employees, and the number of employees focused on this type of engagement;
- Products and services provided.

If the Service Provider will carry out the ECMS deployment **and** back-file conversion, use this section to describe the firm's background with back-file conversion services.

### 4.5 Section 2: Firm's Document Conversion Qualifications

The Service Provider shall include qualifications and experience of the firm and the proposed conversion team. The Service Provider must provide a description of capabilities related to enterprise back-file conversion projects of a similar size, i.e., 10,000,000+ (10 million) pages, complexity and business organization. Provide resumes of the proposed Project Manager and Key Project staff who will be assigned to this project.

### 4.6 Section 3: Similar Document Conversion Projects

The Service Provider shall provide a minimum of **five (5) similar projects** performed for clients of a similar size, complexity and business, preferably in the public sector. The Service Provider



will provide the following information for each similar project:

- Client Name;
- Size of the Organization;
- Brief Project Description: Project Scope of Work, number of departments, number of documents converted, project cost, date and duration of the project.

#### **4.7 Section 4: Client References**

The Service Provider shall provide a minimum of **five (5) client references** for similar work performed for clients of a similar size, complexity and business. The Service Provider will provide the following information about client references: client name, project name and client project manager contact information (mailing address, phone number and email address).

The Service Provider shall provide information regarding past, ongoing or pending litigation with clients and/or regulatory agencies. Please provide this information for the last five (5) years.

#### **4.8 Section 5: Approach to the Project**

This portion of the proposal will explain the approach to the project based on the scope of work, as understood by the Service Provider, including innovative ideas / approaches; cost saving ideas / methods; and any other information the Service Provider may deem advantageous to demonstrate understanding and approach to the work. The Service Provider Proposal will, at a minimum, provide the following information:

- Project Organization: Service Provider roles & responsibilities (including subconsultants if applicable), staffing plan; and the roles / responsibilities of the County;
- Technical Approach:
  - Conversion Process;
  - QA / QC Process;
  - Bulk Loading scanned documents into the Odyssey Case Management System.
- Project Management Approach: including project planning and management approach;
- Assumptions related to the proposal, such as use of County office space.

#### **4.9 Section 6: Scope of Work & Deliverables**

The Service Provider Proposal shall provide a detailed description of the proposed work plan to be followed during the course of the project including: Phase, Task, Subtask and Deliverables for all activities required to execute the Scope of Work. The Service Provider will describe the following project activities, and any other tasks deemed necessary for the successful execution of the proposed work:

- Project Initiation:
  - Detailed Project Plan and MS Project Schedule;
  - Quality Plan;
  - Security Plan;
  - Project Kick-off Meeting.
- Conversion;
- QA/QC;



- Bulk Loading;
- Testing;
- Acceptance.

Project assumptions made by the Service Provider should also be noted for each Phase, Task and Subtask, as appropriate.

#### **4.10 Section 7: Project Schedule**

The Service Provider Proposal shall provide an overview of the proposed Project Schedule via a MS Project Schedule. The Project Schedule will indicate all tasks, subtasks, key milestones and deliverables. The detailed Gantt chart should identify task durations; start and completion dates; and tasks where County staff is required to support the task. Project schedule assumptions made by Service Provider should also be noted.

#### **4.11 Section 8: Cost Proposal**

The Service Provider shall provide a detailed cost breakdown, showing the total cost to the County for the performance of all services, expenses, materials and deliverables, to be used for completion of this project. The Service Provider shall provide pricing information for this project in the form provided in *Exhibit B: ECMS Proposal Cost Summary & Payment Schedule Template*, including:

- A breakdown of costs by project task, deliverables, or other appropriate measures;
- A price list of unit conversion rates to be charged per each document size and media, in addition to document preparation costs. **Service Providers shall assume that the conversion work will be done onsite at the County;**
- A unit cost for pulling files from a batch being converted in the event it is required by the County;
- A list of hourly rates to be charged per each staff person that will be assigned to the project;
- An estimate of Direct Cost and/or Travel Expenses (if applicable);
- A description of cost assumptions used in the preparation of the Proposal.

#### **4.12 Section 9: Conversion Vendor Standard Services Agreement**

The Service Provider will submit a copy of their standard back-file conversion services agreement as part of the proposal submittal.



## 5. EVALUATION CRITERIA

The evaluation of back-file conversion work, and the construction of a recommendation of how to proceed with any contract award, will be performed by the County's Project Manager and an Evaluation Committee composed of technical and managerial personnel; which may involve further discussions with Service Provider's to clarify items contained within written proposals. The evaluation criteria to be used for comparing and ranking proposals submitted under this RFP will include the following:

- Compliance with RFP Specifications;
- Service Provider Back-file Conversion Qualifications;
- Service Provider Customer References;
- Overall Back-file Conversion Price & Best Value.

### 5.1 Compliance with RFP Specifications

The Evaluation Committee will rate the completeness and responsiveness of the written proposal, specifically *Section 4. REQUIRED PROPOSAL SUBMISSION CONTENTS*.

### 5.2 Service Provider Back-file Conversion Qualifications

The Evaluation Committee will rate the demonstrated back-file conversion capabilities of Service Providers with regards to:

- Experience and success on past projects of similar scale and complexity, successful imaging of large volumes of hardcopy documents / records, i.e., more than 10,000,000 (10 million) documents, as validated by customer references;
- Previous experience working with diverse government agencies and specifically County District Clerks, as validated by customer references;
- The proven ability to carry out large conversion projects at the client's site;
- Previous experience in scanning and bulk loading scanned documents directly into enterprise systems, i.e., case management systems.

### 5.3 Service Provider Customer References

The Evaluation Committee will contact the Service Provider References provided in Section 4 of the Service Provider's response. The input provided by the Service Provider's client references (and Service Provider's Subconsultants, if applicable) will be considered in the overall evaluation.

### 5.4 Overall Price & Best Value

The proposals will be evaluated on their economic and technical merit and value to the County (e.g., in terms of price, quality and technical support services). Cost will be a very important consideration; however, the final selection will be based on an overall best value to the County.



**5.5 Evaluation Criteria Matrix**

The following evaluation matrix will be used to evaluate back-file conversion proposals:

1.	Compliance with RFP Specifications.....	20 pts.
2.	Service Provider Back-file Conversion Qualifications .....	25 pts.
2.1	Scanning more than 10,000,000 documents	
2.2	Working with government customers, preferably Counties / District Clerks	
2.3	Experience carrying out large conversion projects at client's site	
2.4	Experience scanning / bulk loading documents into enterprise systems	
3.	Service Provider Customer References .....	25 pts.
4.	Overall Price & Best Value.....	30 pts.
<b>TOTAL SCORE</b>		<b>100 pts.</b>

If required, at the discretion of the County, interviews will be held with Service Providers.

**6. BACKFILE CONVERSION REQUIREMENTS**

The back-file conversion work will entail documents produced and/or processed by the eight (8) County Departments identified in the Phase 1 of a multi-year enterprise deployment, as identified in the table below.

**Paper Document Specifications:**

- Documents are typically black print on white background letter (8 ½ by 11 inches) or legal (8 ½. by 14 inches) in size;
- Other print colors, background colors and document sizes are also included to be scanned;
- Documents may include signatures and seals (foil or imprint) on them that must be included in the scanned Image;
- Documents may be single sheet or multiple-sheets with clips, staples or other binding devices;
- Documents may be flat or folded in various ways due to handling and storage;
- Documents may be in envelopes, file folders, binders, file boxes and/or file cabinets;
- Documents may have holes for file folders or binders or tractor-fed printers or other purposes;
- Documents to be scanned cover varying years of operation and may exhibit conditions associated with age (e.g., faded, fragile) that require special handling.

**Filmed Document Specifications:**

- Document images are on Kodak film reels;
- Film Reel Maximum Capacity is 5.000 frames (imaged documents);
- Typically, Film Reels have Duplex Configuration that allows 2,500 frame images (each image is followed by a blank frame) per reel;
- Each image on a film reel has a recording reference on the far right side consisting of numerical characters in a vertical alignment;
- Film reels are in categories Public and Non-Public.



The following list provides an approximate document count, based on document size and media type.

**Table 1: Back-file Conversion Document Counts**

	<b>Phase / Department</b>	<b>Total Estimated Hardcopy Pages</b>	<b>Backfile Conversion Quantity Assumption</b>
<b>Phase 1 Group</b>			
1	Purchasing: PILOT	583,838	100,000
2	Parks & Senior Citizens: PILOT	587,325	100,000
3	District Clerk (IN PROGRESS)	NA	NA
4	Human Resources	1,470,000	100,000
5	District Attorney	8,677,200	100,000
6	Juvenile Justice	2,843,100	100,000
7	Justice of the Peace District 1	219,300	10,000
	Justice of the Peace District 2	155,850	10,000
	Justice of the Peace District 3	789,750	10,000
	Justice of the Peace District 4	1,548,375	20,000
	Justice of the Peace District 5	688,800	10,000
	Justice of the Peace District 6	345,600	10,000
	Justice of the Peace District 7	647,175	10,000
	Justice of the Peace District 8	915,600	10,000
	Justice of the Peace District 9	76,800	10,000
8	Information Technology	70,200	50,000
9	Auditors Office	2,168,025	50,000
		<b>21,786,938</b>	<b>700,000</b>

Figure 9.1.1: Juvenile Probation Taxonomy

Process / Activity	Document Classification			Index Values				Backfile Conversion Data			
	Document Type (Record Series)	Document Class	Sub-classes	Index 1	Index 2	Index 3	Index 4	Owner? (Y/N)	Media	Scan? (Y/N)	Confid? (Y/N)
<b>Juvenile Probation</b>	<b>Document Types</b>			<b>Index Values</b>				<b>Footnotes</b>			
1	Adjudication Order			1	Cause No.			1	Redaction: document, paragraph, sentence, down To a word. Various levels of security; by Activity, Doc. Type, Sub-type , down To the page.		
2	Administrative			2	Date						
3	Court Orders			3	DOB						
4	Detention			4	Form Type						
5	JJAEP			5	Name						
6	Medical			6	Name of Grant						
7	Petitions			7	Name of Policy						
8	Restitution Agreements			8	PID						
9	Supervision			9	PID						
10	TLC Program			10	Referral No.						
11	Training			11	Statute No.						
				12	TJPC No.						
				13	Vendor						



## Exhibit F: Existing County of Galveston Systems Environment

The following provides a list of the County's existing IT infrastructure, workstations, peripherals, enterprise applications software, office automation software, and database engines.

### Network / Communication Infrastructure (LAN's/WAN'S)

1. Wide Area Networks (T1, T3, DS3...)
2. Hubs, Concentrator Switches, Routers
3. WAN connection technologies: MPLS, ATM
4. Protocols: TCP/IP, Ethernet 802.x
5. Virtual Private Network: remote offices and vendor connections

### Servers / CPU's

1. eMail Servers / OS – (1 each) Exchange 2003/2010, MS Server 2003/2008
2. Application Servers / OS – (80) MS Server 2003/2008
3. Database Servers / OS – (10) MS Server 2003/2008, (2) MS SQL Server 2005/2008
4. Web Servers / OS – (45) MS Server 2003/2008, IIS6/IIS7
5. Domain Controllers/OS - (17) MS Server 2003, (3) MS Server 2008

### Workstation's

1. Terminals: (20) NeoWare
2. Desktop PCs / OS: (975) Windows XP, (30) Windows 2000, (16) Windows 7
3. Notebook Computers / OS: (100) Windows XP, (15) Windows 7

### Printers / Copiers / Scanners

1. Printers:
2. Copiers: (80 +) Xerox MFD ,
3. Scanner: (small format) Fujitsu, Canon 4010
4. Imaging Software: Kofax, SunGard, eRemit, Manatron (formerly Hart Intercivic), Odyssey

### Storage Management

1. NetApp filer, known also as NetApp Fabric-Attached Storage (FAS). There are 2 FAS Storage servers with 15 Terabytes (TB) configured with an additional 5 TB ordered. The current storage utilization is not available.

### Office Automation Software

1. Microsoft Office Suite

### Data Base Management Systems (DBMS)

1. MS Access
2. MS SQL Server- Server 2005
3. Oracle
4. IBM DB2

### Enterprise Applications (ERP)

1. ERP: IFAS (SUNGARD Bi-Tech)
2. Odyssey Case Management (Courts)



3. JIMS (GDT)
4. OSSI (SUNGARD)
5. Engineering
  - CAD: AutoCAD, Microstation
  - GIS:
7. WebTMA (Work Order Systems)
8. Docushare / Flowport
9. Permitting