

# Government of the District of Columbia

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Office of the Chief Technology Officer (OCTO)  
Human Services Modernization Program (HSMP)

Health Emergency Preparedness and Response Administration  
Department of Health  
District of Columbia  
HECC Situational Awareness Dashboard

## **Business Processes and System Requirements**

July 11, 2008  
Rev. 0.3

## Revision History

<b>Date</b>	<b>Version</b>	<b>Description</b>	<b>Author</b>
May 30, 2008	0.1	Created the Initial Draft	HSMP Team
July 7, 2008	0.2	Updated the document with HEPRA needs, Product Features, and Dashboard requirements	HSMP Team
July 11, 2008	03	Updated the data integration requirements and other cosmetic changes	HSMP Team

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## 1. Introduction

### 1.1 Purpose

The purpose of this document is to identify, analyze, and define high-level business requirements and system features for the new District of Columbia Health and Emergency Preparedness and Response Administration’s (HEPRA) HECC Collaborative Tool. This document focuses on the required capabilities of the system as articulated and documented by both the stakeholders and the target users, and explains why these requirements exist.

### 1.2 Scope

This document defines HEPRA’s high-level day-to-day core operations and processes as well as its programmatic oversight of emergency awareness and preparedness services delivered to the city’s population.

### 1.3 Background

The US Department of Health and Human Services has announced availability of funds to assist the DOH with preparing the District of Columbia for public health emergencies. This project is a component of one of the District’s priority projects for the current grant year. This project will allow the District to connect multiple information systems into one standardized dashboard.

The District of Columbia Department of Health (DOH), Health Emergency Preparedness and Response Administration (HEPRA) hired OCTO HSMP to provide planning and management for the integration of various public health emergency preparedness information management systems.

As part of the contract, HSMP shall

1. Ensure the completion and integration of all technical tasks necessary for the design, test, introduction, and support of the Integrated Public Health Emergency Collaboration System (IPHECS).
2. Provide the management effort necessary to ensure the on-schedule completion of IPHECS project planning and execution, and shall develop and utilize a performance measurement approach to continually assess status and trends in realizing the program objectives of maximizing operational effectiveness and minimizing total ownership cost while carrying out contract tasks.
3. Identify and maintain visibility of all problems and potential problems arising during contract performance that could impact the on-schedule completion of the introduction of various components of IPHECS in accordance with the Contractor generated implementation plan or otherwise pose risk to project cost, schedule, and performance objectives and overall project success.

### 1.4 Definitions, Acronyms, and Abbreviations

The following terms and acronyms are used throughout this document:

*Table 1: Acronyms Used in this Document*

Acronym	Acronym Definition
AVL	Ambulance Vehicle Locator
CAD	Computer Aided Dispatch

CIO	Chief Information Officer
DOH	Department of Health
DOH	Department of Health
EMS	Emergency Medical Services
EMS	Emergency Management Services
ESF	Emergency Support Functions
FEMS	Fire Emergency Management Services
GER	Global Emergency Resources
GIS	Geographical Information System
GPS	Global Positioning System
GSS	Global Secure Systems
HAN	Health Alert Network
HAvBED	Hospital Available Beds for Emergencies and Disasters
HECC	Health Emergency Command Center
HEOC	Health Emergency Operations Center
HEPRA	Health Emergency Preparedness and Response Administration
HL 7	Health Level 7
HSMP	Human Services Modernization Program
LDAP	Lightweight Directory Access Protocol
LIMS	Laboratory Information Management System
MPD	Metropolitan Police Department
MUM	Move up Modules
OCTO	Office of the Chief Technology Officer
OUC	Office of Unified Communications
PHL	Public Health Laboratory
SNS	Strategic National Stockpile
XML	Extensible Markup Language
DCHA	District of Columbia Hospital Association

### 1.5 Structure of the Document

This document reflects the results of the high-level business requirements gathering process and analysis effort of HEPRA Dashboard.

The remainder of this document is organized as follows.

- **Section 2:** Identifies all the HEPRA dashboard stakeholders. It classifies the stakeholders into two broad groups, Dashboard Users and Data contributor. It includes information about the sponsor profiles, HEPRA staff, Partner Agencies, and non-user stakeholders
- **Section 3:** Presents the approach the HSMP team followed to extract the requirements for the dashboard system
- **Section 4:** Provides the overview of HEPRA business, organizational structure, Emergency Support Functions (ESF) and key activities
- **Section 5:** Presents the key stakeholder needs and outlines the features required for the replacement solution
- **Section 6:** Presents the primary features and high level requirements to support migration of HC Standard 2.0 to 3.0, Data Integration (Data Exchange, Data Matching, Data Access Rules), Dashboard capabilities, User Roles and Dashboard Administration

- **Appendix A-C:** Presents the collection of data elements for each source system that need to be integrated into the HEPRA Dashboard

## 2. Dashboard Stakeholders

### 2.1 Sponsor Profile

The HEPRA Dashboard is funded by US Department of Health and Human Services for assisting the DOH-HEPRA with preparing the District of Columbia for public health emergencies. Beverly Pritchett, Senior Deputy Director for HEPRA represents the sponsor community

#### 2.1.1 Senior Deputy Director

*Table 2: Beverly Pritchett - Profile*

<b>Representative:</b>	Beverly Pritchett
<b>Job Title:</b>	Senior Deputy Director for HEPRA
<b>Role:</b>	Primary Stakeholder and Sponsor of HEPRA Dashboard
<b>Contact Details:</b>	beverly.pritchett@dc.gov
<b>Involvement:</b>	Beverly Pritchett will serve as the decision maker in the selection of proposed solution, and vendors and as a high-level Requirements Reviewer
<b>Comments/Issues:</b>	

### 2.2 Stakeholder Summary

The potential users for the HEPRA Dashboard are all the individuals who have responsibilities in Emergency Management, Mass Casualty and Situational Awareness.

- Executive Office of the Mayor, City Administration
- Deputy Mayor for Public Safety and Justice
- Emergency Management Agencies
- HEPRA Emergency Support Functions
- Council of the District of Columbia
- National Capital Region (NCR) Partners
- Federal Partner
- Military

### 2.3 Non-User Summary

Stakeholders with an interest in the project, but who are not users are:

*Table 3: Non User Summary*

<b>Name</b>	<b>Description</b>	<b>Contact Details</b>	<b>Responsibilities</b>
Vivek Kundra	Chief Technology Officer of the District of Columbia government	Vivek.kundra@dc.gov	Oversees the activities of OCTO to achieve its mission to guide technology policies in support of the District's goals.
Tommy Jones	OCTO Deputy Chief Technology Officer	ThomasT.Jones@dc.gov	Provide the District's Health and Human Services Cluster with value-added IT services and

Name	Description	Contact Details	Responsibilities
			products.
Darryl Carter	HSMP PMO Program Manager	Darryl.carter@dc.gov	Provides day-to-day oversight and management of Case Management implementations for Health and Human Services cluster.

### 3. Approach

To begin the HEPRA Dashboard Business Requirements Analysis effort, the project team conducted a kick-off meeting with HEPRA and its partner agencies. It provided the opportunity to obtain agreement on the scope of the effort, and the approach to defining the requirements. The following sections summarize the activities performed by the team to complete the business requirements definition component of the HEPRA Dashboard System project.

#### 3.1 Fact-finding Tours and System Demos

The HSMP project team asked HEPRA management to identify key systems that need to be integrated into the HEPRA Dashboard and respective point of contacts for both functional and vendor side. HEPRA identified 8 systems and provided information about functional point of contacts for each system. The project team scheduled meetings with each functional POC and got high level overview on each system. The information gather from each meeting is documented in the meeting minute documents. The source system vendor information is gathered from them. Follow-on meeting are schedule with the functional and vendor POCs to get system demos. Out of the 8 systems initially planned, only 4 of them finally made it to the list of systems that will be integrated in the first release. The following tables provide a brief profile of each organization that participated in the requirements interview sessions

Table 4: Interviewed List

Name	Position	Contact Details
Nitin Natarajan	HEPRA Coordinator/ DOH-HEPRA	Nitin.natarajan@dc.gov
Artensie Flowers	Training & Exercise/DOH-HEPRA	Artensie.flowers@dc.gov
John Rowell	HEPRA IT Manager	John.rowell@dc.gov
Kia King	PH Analyst	Kia.king@dc.gov
Candace Norwood-Wilson	Public Health Analyst/DOH-HEPRA	Candace.wilson@dc.gov
Kerda Dehaan	EPI/DOH-CPPE	Kerda.dehaan@dc.gov
Steven B. Chasin	EPCR IT Manager/FEMS	Steven.chasin@dc.gov
Roberto Hernandez, Jr.	Special Projects Mgr./DC Fire & EMS	Roberto.hernandez@dc.gov
Kevin Brown, Jr.	Acting CIO/DOH	Kevin.brown@dc.gov
Karla Abney		
Sean O'Donnell	SNS Coordinator for HEPRA	<a href="mailto:SeanM.ODonnell@dc.gov">SeanM.ODonnell@dc.gov</a>
Caroline Molivadas	IT Operations Mgr - FEMS	Caroline.molivadas@dc.gov
Rafael Sa'Adah	AFC - FEMS	Rafael.sa'adah@dc.gov

## Appendix A: HEPRA Business Processes and System Requirements

Name	Position	Contact Details
Mario Field	IT Specialist (GIS)	Mario.field@dc.gov
Robert Horne	Program Manager	Robert.horne@dc.gov
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Ethan Goldberg	CAD Admin	Ethan.goldberg@dc.gov
Todd Bianchi	FEMS Tech	Todd.bianchi@dc.gov
Geo George	OCTO PMO	Geo.george@dc.gov
Dr. Mike Williams	FEMS Medical Director	Michael.williams@dc.gov
Maurice Knuckles	Lab Director/DOH-PHL	Maurice.knuckles@dc.gov
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Jason Best	GSS-Engineering Team	<a href="mailto:jbest@globalsecurecorp.com">jbest@globalsecurecorp.com</a>
James Paul Laich	Program Director	<a href="mailto:jlaich@irmswms.com">jlaich@irmswms.com</a>

### 3.2 Stakeholder Needs Assessment

The HSMP project team scheduled meetings with the Senior Deputy Director for HEPRA to identify stakeholder needs, assess different options and solutions. Once the initial needs are identified, started gathering information based on the stakeholder interests (data). The project team worked closely with the system point of contacts and vendors to understand the source systems data. Interested data sets are identified by the project team, which are later validated by the HEPRA's Senior Deputy Director.

### 3.3 Develop System Analysis Documents

Information gather from the Fact-finding tours, system demos, stakeholder needs assessment is formatted and drafted into System Analysis Document. Developed the following four system analysis documents

- HAvBED System Analysis Document
- HAN System Analysis Document
- CAD System Analysis Document
- SafetyPad System Analysis Document

## 4. Business Overview

### 4.1 Business Background

#### HEPRA (Health Emergency Preparedness Administration)

It provides accurate and timely information about the prevention and control of biological threats to the residents of the District of Columbia. This information is presented by the Health Emergency Preparedness and Response Administration (HEPRA) under the DC Department of Health (DOH). During Emergency event, HEPRA is working with their partner agencies to make informed decisions based on information received from HEPRA'S Partner Agencies.

The Department of Health is organized into administrations and offices. An additional information concerning the various services that are provided by the administration or office, and tell you how to contact them for further assistance

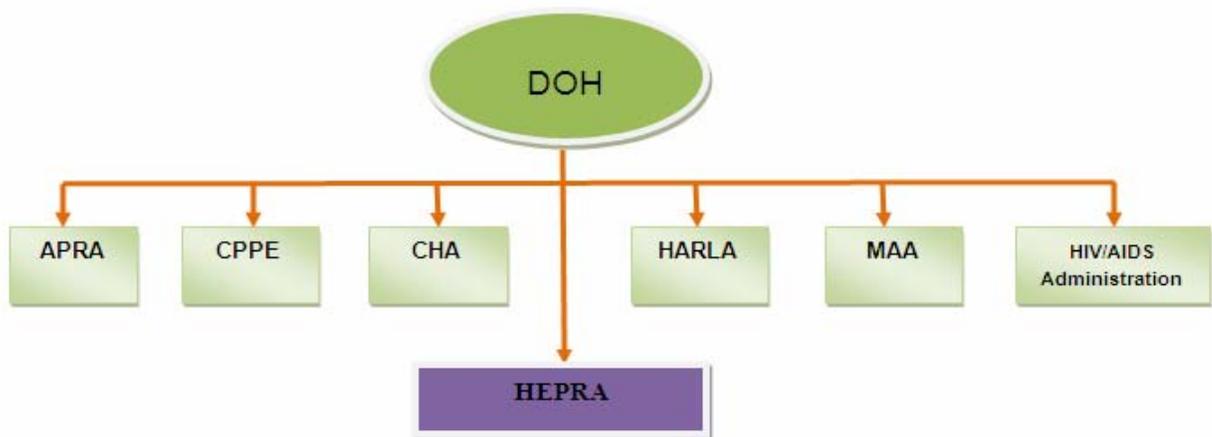


Figure 1:DOH Org Chart

<b>HEPRA</b>	: Health Emergency Preparedness and Response Administration
<b>APRA</b>	: Addiction Prevention and Recovery Administration
<b>CPPE</b>	: Center for Policy, Planning and Epidemiology
<b>CHA</b>	: Community Health Administration
<b>HARLA</b>	: Health Regulation and Licensing Administration
<b>MAA</b>	: Medical Assistance Administration

### 4.2 Mission:

HEPRA's functions encompass both a state oversight role and the operational response role of a local health department. As the State Emergency Medical Services Agency for the District

- HEPRA's first mission is to plan and coordinate timely delivery of ongoing emergency services through regulatory guidance and oversight. In this role, it is HEPRA who has the legal authority to certify Emergency Medical Service providers and to license ambulances. It is required to

provide regulatory oversight of the entire EMS system, including the Fire and Emergency Medical Services Department as well as the commercial ambulance companies.

- HEPRA’s other key mission, as the District’s Health Emergency Preparedness agency, is to plan for and respond to city-wide medical emergencies, such as those resulting from terrorist attacks or accidents that result in a large number of casualties. The combination of those two roles is intended to provide a safety net for the city's residents both in daily operations and in times of crisis.

### 4.3 HEPRA Operations:

HEPRA identified 16 areas of functional responsibility called Emergency support functions. Each ESF is headed by District agency designated on the basis of its authorities, resources, and capabilities in the particular functional areas. Each of the 16 ESFs are mention below.

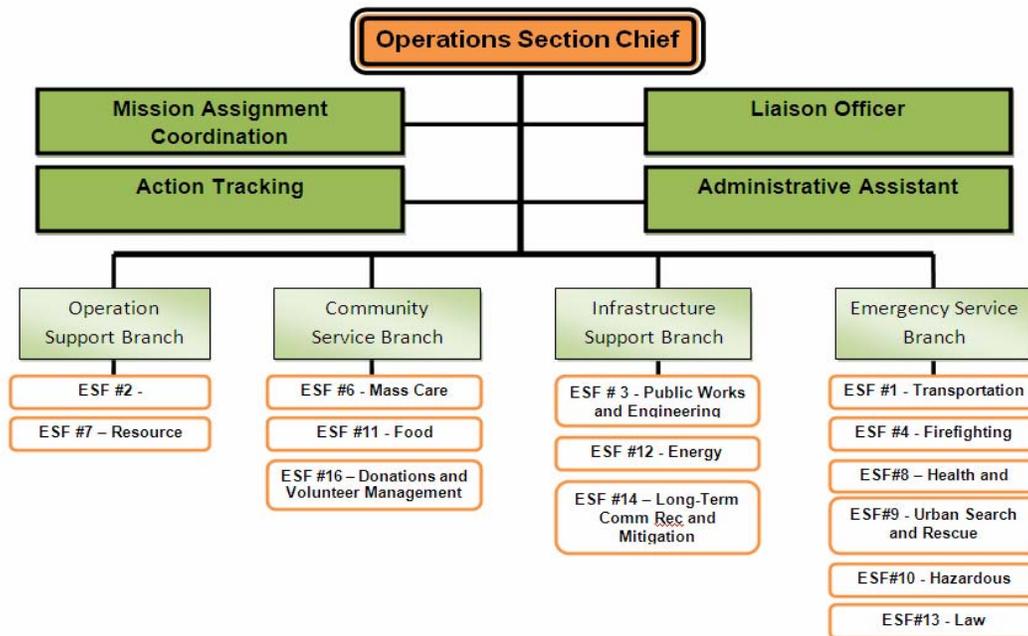


Figure 2: HEPRA Operation

- *ESF#1: Transportation*
- *ESF #2: Communications*
- *ESF #3: Public Works and Engineering*
- *ESF #4: Firefighting*
- *ESF #5: Information and planning*
- *ESF #6: Mass Care*
- *EMS #7: Resource Support*
- *ESF #8: Health and Medical Services*
- *ESF #9: Urban Search and Rescue*
- *ESF #10: Hazardous Materials*
- *ESF #11: Food*
- *ESF #12: Energy*
- *ESF #13: Law Enforcement,*
- *ESF #14: Long Term Community Recovery and Mitigation,*
- *ESF #15: Media Relations and Community Outreach,*
- *ESF #16: Donations and Volunteer Management*

## 5. Key Stakeholder Needs and Product Features

### 5.1 Stakeholder Needs

The key problems with the existing system, as perceived by the stakeholder or user, are presented in Table below.

*Table 5: Stakeholder Needs*

<b>ID</b>	<b>Need</b>	<b>Proposed Solutions</b>
N00 1	Need an executive level collaborative tool to share information from different Health emergency command units	To have a executive dashboard with data feeds from different systems transmitting data real time or near real time
N00 2	The system should be specific to each user's domain of responsibility, privileges, data restrictions and capabilities	The dashboard will be personalized based on the user. The user dashboard can be customized by subscribing to different workspaces
N00 3	Need seamless process of alerts on abnormalities, bio-watch, weather, Homeland security, and surveillance spikes	Data feeds from different state and federal agencies will provide continuous alerts on abnormalities.
N00 4	Need online communication tools like message board, chat, email capability to communicate with the command unit	The dashboard will provide messaging board capability for user to publish messages. The messages can be posted for users within the workspace or can be posted to all users. There will also have the option to post it on WebEOC from the dashboard and view WebEOC messages. The dashboard will also provide email and chat capability to communicate with other dashboard users

ID	Need	Proposed Solutions
N005	Need accurate and real time tracking of emergency and health products, hospitals, response units, crew	The dashboard will be integrated with data sources from FEMS, OUC, IRMS and the dashboard will report the most up-to-dated stats from the source systems
N006	Need aggregate number of resources contacted while at emergencies and number of them responded and not responded	The dashboard will be integrated with Health Alert Network and DC Response and data is transmitted on a regular basis and the dashboard will display accurate aggregates
N007	Need alerting capability to trigger automatic/manual alerts on all tracking elements	The dashboard will have an alerting capability that will trigger automatic notifications once the thresholds are exceeded. The notifications can be customized to specific user groups (basically notify to users subscribe to the specific workspace or multiple work spaces)
N008	Need the capability to view data in a graphical presentation	The dashboard will have an advance graphical presentation layer which will allow the users to view data in more than one graphical form. The dashboard will also provide predetermined
N009	Need to be integrated with mobile and hand held devices to capture and send data seamlessly to the dashboard	The dashboard will have the Mobile Extension, which will allow the user to access and send data to the HEPRA dashboard through handheld and mobile devices
N010	Need to see HEPRA stockpile and the complete Pharmacy stockpile at the time of emergencies.	IRMS SNS will be integrated to the Dashboard which will constantly feed data to the dashboard on the status of the HEPRA and Pharmacy stockpile
N011	Need the capability to turn On and Off the data transfers capability in off-peaks	The dashboard provides the capability to the system administrator to control the data transfers to and from the dashboard

## 5.2 Product Features

The system shall support the following client management services:

*Table 6: Product Features*

ID	Description
F001	Personalization: The dashboard presentation shall be specific to each user's domain of responsibility, privileges, data restrictions and capabilities
F002	Visualization: The dashboard system shall allow the users to choose the graphical representation they want to apply to their dashboard data object, allow with the default "predefined for all" visual views
F003	Trackability: The dashboard system shall allow the user to track health and emergency entities. The dashboard shall allow customizing the

ID	Description
	metrics/thresholds for the entities. Such customized tracking could then be incorporated within the default dashboard view presented to the user after login.
F004	Interactive: The dashboard system shall allow the user to drill down from presentations (graphs, maps, tables) and get to details, and root causes.
F005	Analytical: The dashboard system shall allow users to perform guided analysis such as what-if analysis. The dashboard shall make it effortless for a user to visually navigate through different drill-down paths, compare, contrast, and make analytical inferences.
F006	Notification: The dashboard system shall allow the users to trigger notifications to specific target groups. The dashboard system shall trigger automated notifications based on the metrics and thresholds
F007	Collaboration: The dashboard shall facilitate users' ability to exchange notes regarding specific observations on their dashboards and may be adopted to accomplish workflow checks and process controls. The dashboard shall serve as a communication platform for task management and compliance control.
F008	Reports: The dashboard shall provide the users to generate predefined ad hoc reports, export it and print it
F009	Remote and Hand held Extension: The dashboard shall provide the capability to interface remote and hand held extensions
F010	User Management: The dashboard shall provide the capability to administer the user accounts, access and privileges
F011	Data Transfer: The dashboard should allow the users to configure the data transfer and capability to customize the frequency of the data transfer
F012	Matching and Reconciliation: The dashboard shall match the data and display the reconciliation data

## 6. Specific Requirements

Dashboard is an easy way to enhance visibility to the operations by monitoring critical operation data in real time

- To drive intra-day business and operational decision and actions.
- Not only for executives, but for all levels of an operation to help them manage their roles

After thorough analysis by the HSMP project team on the HC Standard 3.0 capabilities and HC Standard demo in the HCS 3.0 User conference, the HSPM team and HEPRA management agreed HCS 3.0 will meet all the HEPRA dashboard needs.

The current HCS version that HEPRA is using for their Hospital Bed Availability should be upgraded to HCS 3.0 and need further customizations and configuration of the system to meet the HEPRA needs. The level of customization depends on the HCS 3.0 capabilities. The requirements in this section

The high level requirements in this section basically capture requirements on

- Upgrading HCS 2.0 to HCS 3.0,
- Dashboard requirements, which include requirements on My Dashboard, data visualization utilities, and data interactive capabilities

- Manage Data Tracking requirements, which includes requirements on creating new data tracking sheets, entering data and deleting sheets and data capabilities
- System Administration requirements, which includes user accounts, and other administrative activities
- Data exchange and process requirements, which includes source systems integrating into HEPRA dashboard and their data, propagation timings, processing timings, and data matching requirements
- Configuring HCS 3.0, which includes creating user roles, Functional Areas, setting role based privileges and user based privileges, creating predefined data matrixes and graphs.

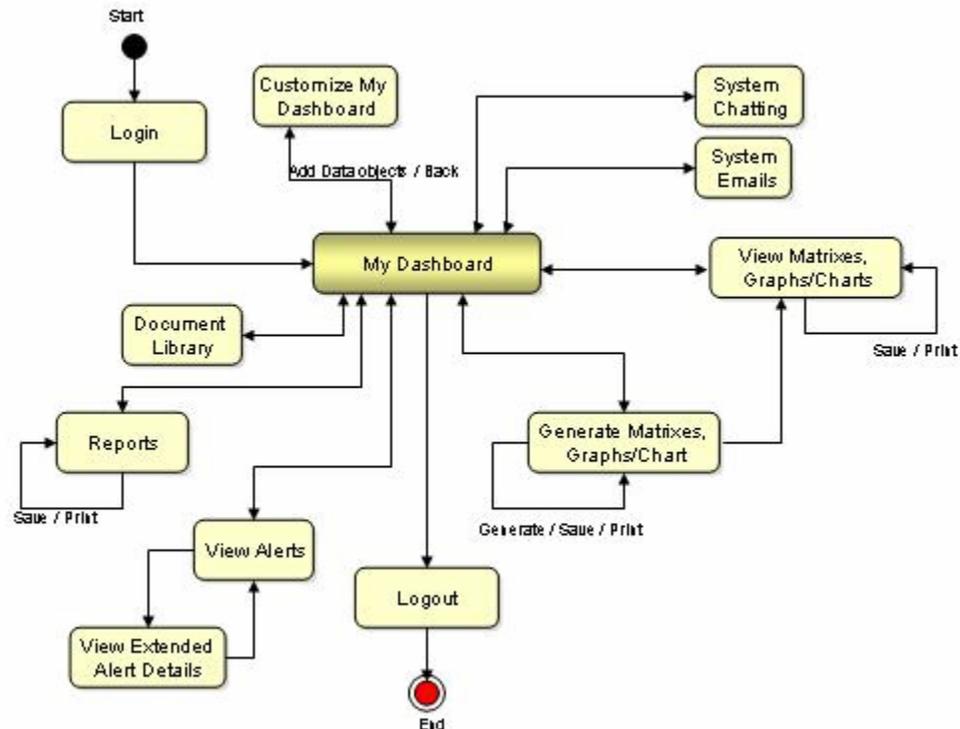
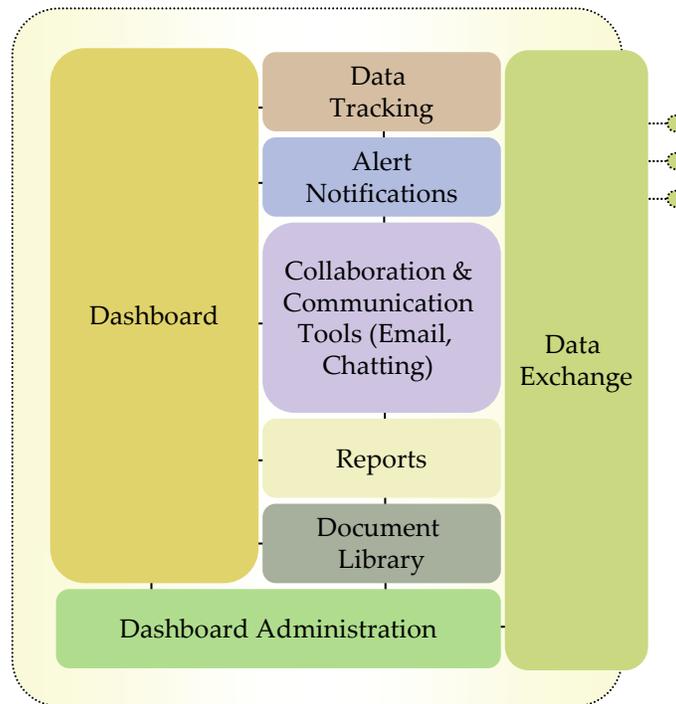


Figure 3: Dashboard Storyboard

The requirements documented on component basis, the diagram below describes the major components within the HEPRA Dashboard

- **Dashboard**
- **Data Tracking:**
- **Alert Notifications:**
- **Collaboration & Communication Tools:**
- **Reporting:**
- **Document Library:**

- **System Administration:**
- **Data Exchange:**



## 6.1 Migrate HCS 2.0 to HCS 3.0

The system shall support the following Requirements:

ID	Requirement
MR001	HCS 2.0 must be upgraded to HCS 3.0
MR001.1	While upgrading to HCS 3.0, all the data, data matrixes, data tracking sheets, forms, documents, reports should be migrated to HCS 3.0 without losing the integrity of the data and content
MR001.2	While upgrading to HCS 3.0, all the HCS 2.0 Users, Roles, Access privileges, must be migrated to HCS 3.0
MR001.3	Migration process must not alter any of the current external data integration points, data and processing of data.

## 6.2 Dashboard

### 6.2.1 My Dashboard

My Dashboard is the customized view of the user HEPRA dashboard. The HEPRA dashboard uses a standard template to display the data objects specific to each Functional Areas. These objects can be altered and customizable the user. The user privileges and access rules will limit the user selection of the data objects.

6.2.1.1 *The system shall provide the following Features:*

ID	Feature
MDF001	The dashboard users should be able to customize their dashboards

6.2.1.2 *The system shall support the following Requirements:*

ID	Requirement
MDR001	Upon successful login the dashboard system shall display default dashboard (My Dashboard) based on their privileges and access to the Functional Area workspaces.
MDR001.1	HEPRA dashboard shall use standard dashboard template to display the data objects specific to the each Functional Area
MDR002	The dashboard system shall allow the user to customize their dashboards (My Dashboard)
MDR002.1	The dashboard system shall allow easy to use options to customize their My Dashboards. The options should include drag and drop option, sizing the my dashboard zones and scroll bars
MDR002.2	The dashboard objects that the dashboard shall allow the user to add it to their My Dashboards are previously created data matrices, graphs, chart, communication tools (including email, message board, chatting), alerts, document library, and maps
MDR002.3	The selection of data object that can be added to the users My Dashboard depends on the access right to data objects
MDR004	The dashboard system shall allow the system administrator to manage Dashboard Templates and the roles who can access it

## 6.2.2 Data Visualization

The HEPRA Dashboard should provide various visualization utilities to view data. The possible utilities are not just limited to representing data in the form of Grid and Matrixes but also in Graphs and Chart. The available graph and chart types vary based on the data that is being represented. The section below captures requirements on the dashboard data visualization capabilities

6.2.2.1 *The system shall provide the following Features:*

ID	Feature
DVF001	The dashboard system must provide various visual tools (Tables, Graphs, Chart) to enable viewing data
DVF002	The dashboard system must allow the users to manage data matrices, graphs and charts

6.2.2.2 *The system shall support the following Requirements:*

ID	Requirement
DVR001	The dashboard user shall be able to create data matrices. The data on which the user should able to generate data matrices is based on the user access to the Functional Areas
DVR001.1	The dashboard shall provide the user a easy to use querying utility to select the data on which data matrices must be generated
DVR001.2	The dashboard shall provide MS Excel type options like sort, filters on the data matrices
DVR002	The dashboard shall allow the dashboard user to select specific data on the data

ID	Requirement
	matrixes to create charts and graphs on the selected data
DVR003	The dashboard shall allow the user to create new Charts/Graphs using the easy to use querying utility. The data on which the user can create charts/graphs is based on the access to the Functional Area.
DVR004	The dashboard shall allow the user to create charts/graphs from existing data matrices
DVR005	The dashboard shall allow the users to save the data matrices, charts, graphs to My dashboard
DVR006	The dashboard user shall be able to trigger a scheduler to refresh the data matrices, charts and graphs
DVR006	The dashboard shall provide the option to export the data matrices, charts and graphs to MS suite (Word, Excel, PowerPoint), CVS (only data matrices) and text
DVR007	The dashboard shall allow the user to delete the data matrixes, charts and graphs created by the user
DVR007	The dashboard shall allow only the system administrator or to delete any the data matrices, charts and graphs generated by the system users

### 6.2.3 Data Interactivity

The HEPRA Dashboard provides the capability to link Data Matrices, Graphs, and Charts to drill down to the detail level. There is no limit in the number of levels. The section below captures requirements on the dashboard data interactivity capabilities

#### 6.2.3.1 The system shall provide the following Features:

ID	Feature
DIF001	Should provide the options to drill down from the data matrices level (aggregates) to details level. This should be subjected to access rules restrictions

#### 6.2.3.2 The system shall support the following Requirements:

ID	Requirement
DIR001	The dashboard system shall allow the users to connect data matrices, Graphs and Charts with each other forming a hierarchical view of data so as to drill down to the details view.
DIR002	There should not be any limits on the number of level the user can create the links
DIR003	The dashboard system shall allow the user to delete the links created between the data matrices, graphs and charts.
DIR004	When a data matrixes, charts and graphs are deleted, the system shall delete the links automatically

### 6.3 User Login

HEPRA Dashboard requires user logging in to access the data and contents. The section below captures requirements on the user logins and user authentications

#### 6.3.1.1 The system shall provide the following Features:

ID	Feature
ULF001	The dashboard system must provide access to successfully authenticated user only
ULF 002	The dashboard system should provide the capability to auto retrieve the password

ID	Feature
	information
ULF 002	The dashboard system should allow the users to update their profile

6.3.1.2 *The system shall support the following Requirements:*

ID	Requirement
ULR001	The dashboard system shall allow the users with valid account to log-in to the dashboard. The dashboard system authenticates the entered log-in password credentials and shall provide access to all successful authentications.
ULR001.1	Authentication for both DC Government users and non-DC Government users must be done through the DC Government LDAP
ULR002	Upon opting for login/password retrieval, the system shall requests for identification data and authenticates the data and resets the password and generates a temporary password and displays the data
ULR003	The dashboard system shall allow the users to update their profiles. Apart for the user the only other person who can update the user profile is the system admin
ULR004	The system shall allow no more than three un-successful login attempts after which the user had to wait for 30 minutes to retry or request a auto retrieve

## 6.4 User Communications & Collaborations

The dashboard should be a collaborative tool between different HEPRA operating partners and should able to provide different means to communicate among them. The possible means of communication should be system mails, chat capabilities. The section below captures requirements on the communication utilities.

6.4.1.1 *The system shall provide the following Features:*

ID	Feature
UCF001	The dashboard system should provide System mails capability to communicate among the users
UCF002	The dashboard system should provide chat capability to communicate among the users

6.4.1.2 *The system shall support the following Requirements:*

ID	Requirement
UCR002	The dashboard system shall provide the dashboard users to send system mails to other dashboard users
UCR002.1	The dashboard system shall provide full mailing capability for the dashboard users which includes Send Messages, Read Messages, Reply/Forward Messages, etc
UCR002.2	The dashboard system shall restrict the system mail recipients based on the user role privileges.
UCR003	The dashboard system shall provide the dashboard user to chat online with other dashboard users
UCR003.1	The dashboard users with whom a dashboard user can chat shall be restricting based on the user role privileges.

## 6.5 Alert & Notifications

The dashboard system will provide the capability to set thresholds and trigger automatic alerting on the data. The alerts can be user initiated or system triggered notifications. The dashboard displays the alert to all users within the Functional Area to which it belongs to. The section below captures requirements on Thresholds, Alerts and Notifications

6.5.1.1 *The system shall provide the following Features:*

ID	Feature
ARF001	The dashboard system must provide the alerting and notification capability

6.5.1.2 *The system shall support the following Requirements:*

ID	Requirement
ARR001	The dashboard system shall generated automatic alert notifications
ARR002	The dashboard user shall be able to generate alerts on the data changes
ARR002.1	The dashboard system shall allow the users to set thresholds limit on any specific data element.
ARR002.2	The dashboard user should able to set thresholds to only those data element to which the user has access to.
ARR002.3	The dashboard shall allow the user to set automated alert notification upon reaching or exceeding the threshold values
ARR003	The dashboard shall allow the user to select the priority of alert
ARR004	While setting an automatic alert or sending an alert, the dashboard system shall allow the user to set the means to notification. The means of notification is should allow are <ol style="list-style-type: none"> <li>1. Email only</li> <li>2. Dashboard Only</li> <li>3. Both Email and Dashboard</li> </ol>
ARR005	The dashboard system shall allow the user to select the recipients of the alert
ARR006	The dashboard should display all unseen dashboard alerts the next time the user log into his account
ARR007	The dashboard shall allow the user to cancel the dashboard alert

## 6.6 Reports

The dashboard should provide automatic alerting capability to specific target population. The alerts can be user initiated or system triggered notifications. The section below captures requirements on the reports.

6.6.1.1 *The system shall provide the following Features:*

ID	Feature
RF001	The dashboard system should display CAN reports
RF002	The dashboard system should allow the user to generate ad hoc report

6.6.1.2 *The system shall support the following Requirements:*

ID	Requirement
RR001	The dashboard system shall allow the users based on their access rules to view pre-defined (CAN) reports.

ID	Requirement
RR002	The dashboard system shall provide the capability to generate pre-defined reports
RR003	The system administrator and dashboard users should able to generate reports (both private and public). The reports type and data on which the report can be generated is subjected to user privileges and the access to the Functional Area
RR004	The dashboard shall allow the user to generate private reports and save it to is dashboard
RR005	The pre-defined report can be a schedule report or a non-scheduled report
RR006	The pre-defined reports shall be available as default reports for the dashboard users based on the access to the functional areas
RR007	The system shall allow the administrator/creator of the report to modify the report
RR008	The system shall allow the administrator/creator of a report to delete the report
RR009	The system shall allow the administrator and users with “Executive” user role to generate reports specific to a FA or/and across FAs

## 6.7 Dashboard Administration

### 6.7.1 Account Management

All user and access related assignments are performed using the User Management module. Only system administrator should able to perform all user and access related tasks.

6.7.1.1 *The system shall provide the following Features:*

ID	Feature
AMF001	The dashboard system should allow the admin to create and manager dashboard user accounts, roles and their profiles

6.7.1.2 *The system shall support the following Requirements:*

ID	Requirement
AMR001	The system shall allow the system administrator (SA) to create a new user account for the dashboard user.
AMR001.1	Allow the system administrator to associate a user with a role that provides access to the functionality allowed for that user
AMR002	The system shall allow the SA to create manager user roles (includes Add new, modify, and delete user roles). The default roles available are Executive, Staff, Guest and Administrator
AMR003	The system shall allow the SA to delete a dashboard user account
AMR004	The system shall allow the system administrator to modify the existing user profile
AMR005	The system shall allow the system administrator to re-set the user password

### 6.7.2 Access and Privileges

The section below captures requirements on the Functional privileges, Functional Area privileges. Functional privileges can be either a roles basis or user (Individual) basis.

6.7.2.1 The system shall provide the following Features:

ID	Feature
APF001	The dashboard system must provide capabilities to assign user privileges

6.7.2.2 The system shall support the following Requirements:

ID	Requirement
APR001	The dashboard system admin shall be able to set roles based and user based Functional privileges
APR002	The dashboard system admin shall be able to set Functional Areas privileges to the users
APR003	The system shall allow the System administrator to modify the existing user privileges

6.7.2.3 The system shall include the following Business Rules:

6.7.2.3.1 The following are the functional privileges assigned to a role

Table 7: Functional Privileges

Privileges	User Roles			
	Staff	Executive	Administrator	Guest
Manage My Dashboard	√	√	√	
Send Emails	√	√	√	
Chatting	√	√	√	
Generate Data Matrices, Graph/Charts	√	√	√	
View Data Matrices, Graph/Charts	√	√	√	√
Create New Data Tracking Sheet	√	√	√	
Update/Enter Data in the Tracking Sheet	√	√	√	
Set Automated Alerts	√	√	√	
Create folders, upload and delete documents	√	√	√	
Manage User Account			√	
Manage Workspaces			√	
Manage User Privileges			√	
View Audit Logs			√	
Generate Reports			√	
Modify Data Exchange Configurations			√	
<b>Legend</b>	√	Privileges limited within the Functional Areas assigned to the user		

6.7.2.3.2 The following are the Functional Areas to which user can be allocated to

Table 8: Functional Areas

**Functional Area**

Firefighting
Resources Support

### 6.7.3 Manage Functional Area workspaces

Separate workspaces for each Functional Areas should be created by the system administrator. Each user will have access to one or more Functional Areas (FA), the access to data objects depends on the access to the FAs

#### 6.7.3.1 The system shall provide the following Features:

ID	Feature
FAR001	Should allow the administrator to manage workspaces

#### 6.7.3.2 The system shall support the following Requirements:

ID	Requirement
FAR001	The system shall allow the system administrator to create workspaces specific to each Functional Area. Separate Functional Areas shall be created to each HEPRA Emergency Support Function
FAR001.1	The access to the work spaces are subject to the Functional Area access given to each user
FAR001.2	The current Functional Areas that the dashboard shall support are <ol style="list-style-type: none"> <li>1. Firefighting</li> <li>2. Resource Support</li> </ol>
FAR001.3	The system shall allow the administrator to create sub-workspaces under each Functional Areas
FAR002	The system shall allow the administrator to delete a workspace
FAR003	The system shall allow the administrator to assign Functional Areas to users

#### 6.7.3.3 Data sources mapping to Functional Areas

Table 9: Functional Areas Mapped to Data Sources

Data Source	Functional Area
SafetyPad (FEMS)	Firefighting
CAD (OUC)	
HAN	Resources Support
HAvBED	

## 6.8 Data Integration

Data from external systems is transmitted on a regular basis for the HEPRA Dashboard, this data is parsed, processed (matched) and then stored in the HEPRA dashboard, which is used in the creation of data matrixes, graphs and chart. This section captures requirement on the data exchange, data matching, data access rules, and audit trails

**6.8.1 Data Exchange (DE)**

The system shall support the following Requirements:

ID	Requirements
DER01	The HEPRA Dashboard system should import Source System Data. The following source system data is transmitted to the HEPRA Dashboard System <ul style="list-style-type: none"> <li>• Office of Unified Communications’ Computer Aided Dispatch (CAD)</li> <li>• Fire Emergency Management Services’ SafetyPAD</li> <li>• Health Alert Network</li> <li>• Hospital Available Beds for Emergencies and Disasters (HAVBED)</li> </ul> Specific data from the Source Systems is identified in the Appendix section
DER01.1	The system administrator, system/scheduled event extracts the Source System data, subject to the agreement with the agency as specified in their attachment to the MOU.
DER01.2	The system imports relevant Source System Data (different methodologies could be used for various Agency information systems).
DER01.3	The system makes the CAD and SafetyPAD data available as input to Data Matching.
DER002	The availability of Source System data must be controlled by the Agency’s database administrator.
DER003	Data extraction process should not impact the functionality of the source system
DER004	Extracted data from participating Source Systems that is placed in the system database must be consistent with the Source System’s database.
DER005	The Source System data propagation start time from the source system database to the HEPRA Dashboard shall be configurable based on the needs and circumstances of the agency.
DER005.1	The data propagation from CAD to HEPRA Dashboard is done every 15 minutes
DER005.2	The data propagation from SafetyPad to HEPRA Dashboard is done every 15 minutes
DER005.3	The data propagation from HAN to HEPRA Dashboard is done every 15 minutes
DER005.4	The data propagation from HAVBED to HEPRA Dashboard is done every 15 minutes
DER006	The actual time required to propagate Source System data from the source system database to the HEPRA dashboard database and processing (includes address processing, matching and reconciliation) this data shall depend on the size of the data transferred. The average time for each agency/system with the current sample size is as given in the below requirements
DER006.1	Time required for data propagation from CAD to the Dashboard system is 3 minutes
DER006.2	Time required for data propagation from SafetyPad to the Dashboard system is 3 minutes
DER006.3	Time required for data propagation from HAN to the Dashboard system is 2 minutes
DER006.4	Time required for data propagation from HAVBED to the Dashboard system is 2 minutes
DER007	The DE process will not significantly affect performance of existing source system software systems or block their users from accessing their own Source system.
DER008	The Agency’s requirement for what information will be available in the database is specified in the MOU executed with HEPRA and the Data Sharing Charter executed by the Participating Source System’s Agencies. The limits imposed by these agreements are reflected in the data available in the dashboard system database.
DER009	For Data Transfer, the system supports the requirements of the agencies using

ID	Requirements
	common industry standards as negotiated and determined with the agencies
DER0010	If a particular Source System database is not available, it should not affect the transfer of data from other Agency Source System's database
DER0011	The backup of the data received is kept indefinitely for the near future until a shorter period is determined to be acceptable.
DER0012	Data propagation shall not significantly hamper the performance and functionality of the dashboard system
DER0013	The data values that are brought into the system should be trimmed from unreadable characters, which do not alter the meaning of the value (i.e. space, underscore, etc.)
DER0014	Receipt of a Source System's data will be recorded in the Data Access Audit log every time data is transferred from the Source System to HEPRA Dashboard.
DER0015	The Dashboard System should record in the Data Access Audit log in the event of Source System data not consistent, Source System data extract is corrupted, and if the connection to an Source System is lost

### 6.8.2 Data Matching (DM)

The system shall support the following Requirements:

ID	Requirements
DMR001	The Dashboard System should accommodate data matching service between different source system data
DMR002	Data from CAD and Safety PAD should be matched based on the Event Matching Algorithm
DMR003	<p>Event Matching Algorithm</p> <ul style="list-style-type: none"> <li>• Step1:                             <ol style="list-style-type: none"> <li>1. Match Event ID ("eid") from the CAD data to that of Incident ID (Incident N2) from the SafetyPAD data. In the case of incomplete Incident N2 values (Usually 6 digits), the Incident N2 value is matched with last 6 digits of the CAD "eid"</li> <li>2. Match Location information from CAD data to that of Location information from SafetyPad.</li> </ol> </li> <li>• Step2: If no matches are identified, this data is again matched with data in the next propagation</li> </ul>
DMR004	The matching process should be automatically scheduled after data propagation from the CAD and SafetyPAD
DMR005	The Dashboard system Administrator should manage the automated Event Matching process, including starting and stopping the automated matching process.

### 6.8.3 Data Access Rules

The system shall support the following Data Access Requirements:

Table 10: Data Access Rules

Req No.	Data		User Roles			
	Data Component Level	Data Object Level	Executive	Firefighting FA Staff	Resources Support FA Staff	Guest
DAR001	Units Data	All Units Matrix	√	√		
DAR001.1		Aggregate # of unit in Assign/Unassigned Status	√			
DAR001.2		Assigned Units Matrix	√			
DAR001.3		Unassigned Units Matrix	√			
DAR001.4		Unit Details Matrix	√			
DAR002	Crew Data	All Crew Matrix	√	√		
DAR002.1		Aggregate # of crew in Assign/Unassigned Status	√			
DAR002.2		Crew Details Matrix	√			
DAR003	Events Data	All Events Matrix (Daily table)	√	√		
DAR003.1		Event by Type	√			
DAR003.2		Event by Sub-types	√			
DAR003.3		Event Details Matrix	√			
DAR003.4		Unit Transport/Hospital	√			
DAR004	Patients Data	Patients Metric	√			
DAR004.1		Complaints/Type	√			
DAR004.2		Symptoms/Type	√			
DAR004.3		Treatment/Type	√			
DAR004.4		Transportation Reasons	√			
DAR004.5		Number of patients/Event	√			
DAR005	Hospital Divert status	Hospital Divert status	√	√		
DAR006	Bed Availability	Hospital Bed Availability	√		√	
DAR007	Alerts Data	Alerts Matrix	√		√	

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DAR007.1		Alerts /priority	√			
DAR008	Notified Users (Alerts)	Notified Users (Alerts)	√			
DAR008.1		Confirmed Users (Alerts)	√			
DAR008.2		Unconfirmed Users (Alerts)	√			

**6.8.4 Data Access Audit Log**

The system shall support the following Audit Requirements:

<b>ID</b>	<b>Requirements</b>
AAR001	Any interaction between external actor (user or system) shall be logged by the system.
AAR002	The system shall maintain audit logs of all interactions between actors and the system
AAR003	The following information shall be extractable out of log entries: - Action/Event type, - Identifier of a record (CCID if pertains to a client), - Actor Identity (user or system), - Date and time of the event/action, - Before and after images of the affected system data, and - Flag of successful/unsuccessful completion of the change.
AAR004	The transactions within the following internal processes shall be logged: - Matching process, - Data transfer process.
AAR005	Every user login will cause the creation of an audit log record and the data access, activities performed and log-out timestamp will be registered
AAR006	Every data transmission event is included in the Audit Log. This information includes the timestamp at the start and end of the transmission, the sending agency, the number of records transmitted.
AAR007	The system will log all system administrator activities.
AAR008	The Data Access Audit log must be kept indefinitely, and backed up to long-term storage, to support possible investigations and legal proceedings for the near future.
AAR009	To prevent loss of critical system user activity and client information usage and viewing, the Data Access Audit log file must be backed up daily.
AAR010	To ensure security of the audit trail files, these logs must be: <ul style="list-style-type: none"> <li>o protected,</li> <li>o encrypted,</li> <li>o controlled and</li> <li>o backed-up.</li> </ul>



**6.8.5 Data Matrixes, Graphs and Charts**

The system shall support the following Data Matrixes, Graphs/Charts Requirements:

*Table 11: Data Tables, Graphs and Chart*

Data Component Level	Source	Data Object Level	Description	Data	Default Graph	Conditions
Unit Data	Computer Aided Dispatch, SafetyPAD	Units Matrix	Table with all the Units, consider to be master Units table	Unit ID, Unit Type, Vehicle ID, Unit Time in, Unit Timeout, Unit Status, Time stamp, Station ID, Event ID, Event Type, Event Sub-type, Current Location, Transport destination, Dispatch ID, Out of Service code	Bar chart on the unit statuses	
	Computer Aided Dispatch, SafetyPAD	Aggregate number of units with Assign and Unassigned Status	Aggregate number of units segregated by unit types that in assigned and unassigned status	Unit Type, Assigned Units/type, Unassigned Units/type, Totals	Bar Chart on Unit types	Business Rules 1. Units with status=AQ are considered as Unassigned
	Computer Aided Dispatch, SafetyPAD	Assigned Units Matrix	Units with Assigned statuses	Unit ID, Unit Type, Event ID, Event Type, Event Sub-type, Current Location, Transport destination, Unit Status	Bar chart on Unit status	Business Rules 1. Should display only Assigned Units
	Computer Aided Dispatch, SafetyPAD	Unassigned Units Matrix	Units with Unassigned statuses	Unit ID, Unit Type, Current Location,, Station ID, Unit Status	Bar chart on the current location of the units	Business Rules 1. Should display only Unassigned Units

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	Computer Aided Dispatch, SafetyPAD	Unit Details Matrix	Matrix on each Unit with details	Unit ID, Unit Type, Vehicle ID, Unit Time in, Unit Timeout, Unit Status, Time stamp, Station ID, Current Location, Transport destination, Dispatch ID, Out of Service code, Unit Status		Business Rules 1. Should display details for each unit
Crew Data	Computer Aided Dispatch	All Crew Matrix	Table with all the Crew, consider to be master Crew table	Crew ID, Crew Status, Dgroup, Station ID, Unit ID, Available station time	Bar chart on status	
	Computer Aided Dispatch	Aggregate number of crew with Assign and Unassigned Status	Aggregate number of Crew segregated by Crew types that in assigned and unassigned status	Crew ID, Crew Status, Dgroup, Station ID, Available station time	Bar Chart on the Crew type values	1. BRs for identifying Un assigned status
	Computer Aided Dispatch	Crew Details Matrix	Detailed view of the Crew information	Crew ID, Crew Type Crew Status, D Group, station ID,		
	Computer Aided Dispatch	Crew Assigned to Units Matrix	Crew to Units assignments	Crew ID, Crew Status, Unit ID, Dgroup, Station ID, Available station time		
Events Data	Computer Aided Dispatch, SafetyPAD	All Events Matrix (Daily table)	Master Events table	Event ID, Type, Sub-type, Priority, Event Location, Event Status with timestamp, Number of Patients involved, Dispatch Group, Event Time, Units assigned, Event priority	Bar chart on Event Status	
	Computer Aided Dispatch, SafetyPAD	Event by Type	List of event segregated by Event Types	Event type, Event ID, Event Status, Event Time, Event Location	Pie Chart on the Event Types	
	Computer Aided Dispatch, SafetyPAD	Event by Sub-types	List of Event types segregated by Sub-event type	Event type, Event Sub-Type, Event ID, Event Status, Event Time, Event Location	Pie Chart on the Sub-Event Types	

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	Computer Aided Dispatch, SafetyPAD	Units/type Assigned to Events	List of units assigned to an event. The units should be categorized by unit type	Event ID, Event Time, Event Location, Units Assigned, Dispatch group ID, Type of Units	Bar Chart on the Units/Event	
	Computer Aided Dispatch, SafetyPAD	Units-Crew-Assigned to Events	List of Crew, and unties assigned to a event	Event ID, Event Time, Event Location, Units Assigned, Dispatch group ID, Type of Units, Crew ID, Crew Type(ALS, BLS)		
	Computer Aided Dispatch, SafetyPAD	Event Details Matrix	Detailed view of the Event details	Event ID, Type, Sub-type, Priority, Event Location, Event Status with timestamp, Number of Patients involved, Dispatch Group, Event Time, Units assigned, Event priority		
	Computer Aided Dispatch, SafetyPAD	Units Transported/Hospital	List of Units who are on route to destination/destination	Unit ID, Unit Destination, Unit Type	Bar Chart on Hospital/Unit trans destination	
Hospital Divert Status	Computer Aided Dispatch	Hospital Divert status	List of hospitals with divert status	Hospital Location, diversion type, diversion location, Active/Inactive status, creation date, close date, updated ate	Bar Chart on Number of active hospital to that of inactive hospital	
	Computer Aided Dispatch	Assigned units heading to the hospital with inactive status	List of units with destination with Hospital	Unit Id, Unit Type, Destination Location	Bar Chart on the Units/ destination	CAD data has only Destination code. Need to identify what these codes mean
Patient Data	SafetyPAD	Patients Matrix	List of patients that FEMS transported to hospitals	Patient Name, Gender, DOB, Age, Address, Patient Number, Complaint, Symptoms, Treatment, Unit ID, Patient Priority		

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	SafetyPAD	List of complaints (types) with 5 or more patients in each type (per day)	no. of patients with each type of Complaint (Per day)	Patient Name, Gender, DOB, Age, Address, Patient Number, Complaint code, Destination name, Destination type	Bar Chart on Patient complaint types	Compliant should be one for each case.
	SafetyPAD	List of Symptoms (types) with 5 or more patients in each type/ (per day)	no. of patients with each type of Symptoms(Per day)	Patient Name, Gender, DOB, Age, Address, Patient Number, Treatment code, Destination name, destination type	Bar Chart on Patient Symptoms types	Multiple Symptoms can be identified.
	SafetyPAD	List of Treatment (types) with 5 or more patients in each type/ (per day)	no. List of patient with each type of Treatment taken.(Per day)	Patient Name, Gender, DOB, Age, Address, Patient Number, Treatment code, Destination name, destination type	Bar Chart on Patient Treatments types	
	SafetyPAD	Transport Reasons	Result of end call where patient was taken to	Reason for transport, Reason for Destination Code, Patient priority Code, Patient Name, Patient Number, Disposition Code, Destination Name	Bar chart on Call Disposition Code.	
	SafetyPAD	Number of patients per Event	List of Event with 3 or more patients	Event ID, Event Type, Event Time, Event Location, Number of Patients, Patient Status	Bar Char on the Patients/Event	Business Rules 1. Should display all the events within that particular day with more than 3 patients/event 2. Should trigger an automatic high priority alert if the number of patients exceeds 10 for a event.
Bed Availability	HAvBED	Hospital Bed Availability	Hospitals with Bed Availability per type	Hospital Name, Bed type category, Number of beds availability, last updated	Bar Chart on Hospital/Available Beds	

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	HAvBED	Unit Transport to a Hospital to that of no. of Available Beds	List of hospitals with hospital bed availability to that of number of units transporting patients to the each hospital	Bar Chart on the Hospitals Bed Availability to that of Unit patient transport destination	Bar Chart on the Hospitals Bed Availability to that of Unit patient transport destination	Generate an alert if the number of available bed for a hospital is less than the number of units with the same hospital destination
Alert Data	Health Alert Network	Alerts Matrix	List of all the active Alerts in a chronological order	Alert ID, Alert Priority, Time Sent, Expires, From, Message, Status, Alert Type, Event Status, Sensitive, number of them contacted, number of them responded	1. Bar chart with number of users contacted and number of them responded 2. Pie Chart with alerts(active)/ Priority	
Alerts Notified	Health Alert Network	Notified Users (Alerts)	List of all the users who are notified	Contact Name, User Id, Type, Location, Status, Reason, Attempts, Alert Priority		
	Health Alert Network	Confirmed Users (Alerts)	List of users who confirmed to the alert notification	Contact Name, User Id, Type, Location, Status, Reason, Attempts, Alert Priority		
	Health Alert Network	Unconfirmed Users (Alerts)	List of users unconfirmed to the alert notification	Contact Name, User Id, Type, Location, Status, Reason, Attempts, Alert Priority		

## 6.9 Supplemental Requirements

Supplemental requirements include requirements that affect usability, such as required training time, measurable task times or user interface standards; reliability as these relate to system availability, mean time between failure or accuracy; performance as these relate to response time throughput, or capacity; supportability as these relate to coding standards, naming conventions or maintenance access.

### 6.9.1 Usability

6.9.1.1 *The system shall provide the following Requirements:*

ID	Requirements
USR001	The User interface shall not require installation of any components on a local machine (user's).
USR002	The web pages shall be designed with consideration of correct rendering in primary web browsers:
USR002.1	Internet Explorer v.5 and higher
USR002.2	Netscape v.6 and higher
USR003	Internet and intranet web interfaces shall comply with the District Web standards
USR003.1	Disability Act 508: All reasonable efforts will be made to provide the same content and service to visitors with visual and/or hearing impairments.
USR004	The UI shall comply with the following:
USR004.1	Pages are designed with consideration of 800 x 600 screen resolution and 256 colors.
USR004.2	Pages are organized in tabs, no more than 7 tabs per page
USR004.3	Tabs contain minimum of necessary information, no more than 15 data elements
USR004.4	Information displayed on popup windows shall be available through regular screens for later review
USR004.5	Data elements not authorized for access/view shall be disabled and present stub values (i.e. "####") or not displayed at all
USR004.6	Data elements not authorized for access/view can be hidden but shall not distort the layout of the form
USR005	Actual deletion of data is prohibited; the data shall be marked as inactive and available for authorized personnel for confirmation, archival procedures and/or restoring.

## 6.9.2 Reliability

6.9.2.1 *The system shall provide the following Requirements:*

ID	Requirements
REL001	The system shall be available for use for 24 hours at 99% of time.
REL002	The switch to a second backup instance during outage of the first instance shall be performed within 5 minutes; preferably the switch should be instantaneous and transparent to the user.
REL003	The system outages shall not exceed 1 hour a month.
REL004	After an outage, the system shall restore the state prior the outage.
REL005	Backup of the system data shall be performed every night.
REL006	Backup data shall be performed:
REL006.1	Daily, backup data shall be kept for last 30 days.
REL006.2	Weekly, backup data shall be kept for 6 months.
REL006.3	Monthly, backup data shall be kept for 3 years.
REL006.4	Yearly, backup data shall be kept for 7 years.
REL007	Backups should be kept in separate locations and should be available for authorized personnel only.
REL008	Backup activities shall not affect the availability of the system.

## 6.9.3 Performance

6.9.3.1 *The system shall provide the following Requirements:*

ID	Requirements
PER001	Response time to user's request (through user interface) should not exceed 3 sec for 99% of the requests.
PER002	Response time should not exceed 10 sec for any request.
PER003	The rendering of the web page should not exceed 10 sec for the highly loaded page.

## 6.9.4 Supportability

6.9.4.1 *The system shall provide the following Requirements:*

ID	Requirements
SUPR001	The system framework should support additional systems integration
SUPR002	The dashboard system should support standard data exchange utilities to exchange data from external system
SUPR003	The system shall support functionality to convert or import legacy system data into the new system's database.

**Appendix A: CAD Data**

Table 12: CAD Data Elements

From CAD table - aeven	
Field	Description
eid	Unique Event Id Number generated by the system
Assigned_units	This column is used to keep track of the number of units assigned to the event
num_1	Agency event number
tycod	Agency specified event type used to describe the event which has occurred
ds_ts	Dispatched Time Stamp. Time that the first unit was dispatched to the event.
en_ts	Time first unit was enroute to event
eta	Estimated time of Arrival as defined in CADDDBM based on the hour/day of day/week
event_status	Current event status (dispatched, pending, etc). Values are defined in the parameter file.
majevt_evty	Major event Type
priority	Event Priority (0-9) for agency from ev_ty table.
scdts	This column represents the event status change date time stamp
sitfnd	Situation found. Event type that is found at the scene if it differs from the event type that was initially reported
sub_eng	Verbose description of the sub type
sub_sitfnd	The sub-type of the sitfnd event type.
sub_tycod	The sub-type of the event type.
ag_id	Unique id (from agenc table) for the agency associated with the event
dgroup	Dispatch Group handling event
ad_ts	Time event was actually added into system
ar_ts	Time that the first unit arrived on the scene
curent	Current Record Indicator
typ_eng	Verbose description of the event type
esz	Emergency Service Zone for verified location. Level 1 area code from deployment table.
lev3	Beat (Level 3 area code from the deployment table)
xcmt	Closing comments
ta_ts	Transport Arrived Time Stamp. Time that the first unit transport arrived for the event.
tr_ts	Transport Time Stamp. Time that the first unit transported for the event.

Appendix A: HEPRA Business Processes and System Requirements

xdts	Closing Date/Time Stamp

From CAD table - agenc	
Field	Description
ag_id	Unique Agency Identifier
ag_nme	Full Agency name
ag_typ	Agency type (police, fire, etc.)
ag_city	Agency City
ag_st	Agency State
ag_zip	Agency Zip

From CAD table - cd_crew	
Field	Description
ag_id	Agency ID for which the crew is defined. This column links to the ag_id column in the def_station_crew table.
avail_stn_dts	Available Station Date Time. Date and time when crew last became available at station headquarters.
crew_id	Crew ID. This column links to the crew_id column in the def_station_crew table.
crew_status	Crew Status. Values are ASSGN, UNASSGN.
dgroup	Dispatch Group for which the crew is defined. This column links to the dgroup column in the def_station_crew table.
station	Station ID
unid	Unit ID of assigned unit.

From CAD table - cd_units	
Field	Description
ag_id	Agency ID for which the crew is defined. This column links to the ag_id column in the def_station_crew table.
avail_stn_tm	Available Station Time. Time a unit was available at station headquarters.
carid	Agency vehicle id number.
crew_id	ID of crew assigned to unit.
dgroup	Dispatch Group for which the crew is defined. This column links to the dgroup column in the def_station_crew table.
eid	Event number to which the unit is dispatched
unid	Unit ID of assigned unit.

Appendix A: HEPRA Business Processes and System Requirements

group_id	This column represents the unit id (group leader) of the unit for which this unit is a member of. If this unit is a group leader, this column will contain his own unit id.
lastxor	Last known x-coordinate of the unit.
lastyor	Last known y-coordinate of the unit.
location	Last known location of unit.
lon_dts	Date-time stamp of when the unit was logged on.
num_1	Agency event number that the unit is currently assigned to.
outtype	Out of service type code.
perm_station	Permanent station id.
station	Current station/post id.
tycod	Event or out of service type code.
sub_tycod	The sub-type of the event type.
unit_status	The current status of the unit.
unityp	Unit type ( patrol, pumper, etc).

From CAD table - event	
Field	Description
dow	Day of week on which the event was reported
eid	Unique Event Id Number generated by the system
curent	Current Record Indicator
ani_num	Ani/ali number read in from the an_al table
ecompl	Commonplace name associated with the event's location
eapt	Apartment number component of event's location
earea	Area component of the event's location
edirpre	Direction prefix component of the event's location
edirsuf	Direction suffix component of the event's location
efeanme	Feature name component (street name) of the event's location
efeatyp	Feature type component of the event's location
emun	Municipality component of the event's location
estnum	Street number (house number) component of the event's location
x_cord	X map coordinate for the event's location
xstreet1	Feature name and type of one street which intersects the event's location
xstreet2	Feature name and type of one street which intersects the event's location
y_cord	Y map coordinate for the event's location

Appendix A: HEPRA Business Processes and System Requirements

<b>From CAD table - trans_desc</b>	
Field	Description
cdts	Create date time stamp.
eid	Unique Event Id Number generated by the system
location	Transport location text.
num_1	Agency event number.
origin_location	Origin location text.
origin_x_coord	X coordinate of the node associated with the origin
origin_y_coord	Y coordinate of the node associated with the origin
x_coord	This column represents the X coordinate of the node associated with the transport destination.
y_coord	This column represents the Y coordinate of the node associated with the transport destination.

<b>From CAD table UN_HI</b>	
Field	Description
num_1	Agency "event" number
ag_id	Agency ID
tycod	Event Type Code. The type of the event if the current record was generated while the unit was assigned to an event. It links to the tycod column in the ev_ty and event tables.
sub_tycod	The sub-type of the event type.
cdts	Creation Date/Time Stamp. Stores the date/time stamp (yyyymmddhhmmss) of when the record was created.
sdts	Time stamp when the user enters the initial location or event type for a new event to indicate the beginning of event data entry
csec	cdts time stamp stored in epoch seconds
eid	Unique Event Id Number generated by the system
cpers	Creating person empid number
cterm	Terminal on which the record was created
cdts	Date/time this record was inserted
unid	Unit ID. The unit name that is associated with this history record. It links to the unid column in the cd_units and roster tables.
unit_status	Unit's Current Status. The current status of the unit as it is defined in the parameter file. For example, "AV" for "available on radio", "ER" for "enroute", and so on.
location	Unit Location. This column contains the last known location of the unit. This value is displayed on the status monitor.

Appendix A: HEPRA Business Processes and System Requirements

<b>From CAD table XREF</b>	
<b>Field</b>	<b>Description</b>
cdts	Create Date/Time Stamp. This column contains the current date/time stamp that is set to the date and time when the record was created.
current	Current Record Indicator Flag. This column contains the current record indicator flag. (T) denotes current record whereas (F) indicates an older record.
delete_id	A value that uniquely identifies deleted rows
p_eid	Primary Event Number.
p_type	Primary Event Type.
pers	Operator Identifier. This column contains the unique ID of the operator who last updated the case number record.
recovery_unique_id	This column is used by DBRecover and DBCopy to temporarily disable the unique constraints on the table. This column is included in the unique constraint definition.
s_eid	Secondary Event Number.
s_type	Secondary Event Type.
term	Terminal Node Identifier. This column contains the name of the terminal node where the case number record is created.
udts	Update Date/Time Stamp. This column contains the update date/time stamp that records the date and time when this record was created.
unique_id	Uniquely identifies a row
x_type	Type of Cross Reference Row.

<b>From CAD table divert</b>	
<b>Field</b>	<b>Description</b>
cdts	Creation Date/Time Stamp
d_type	Diversion type.
d_comm	Diversion Comment.
location	Hospital location
open_record	T indicates the diversion is active, F indicates it has been closed
udts	Update Date/Time Stamp
xdts	Close Date/Time Stamp

**Appendix B: SafetyPAD Data**

Table 13: SafetyPAD Data Elements list

<b>Table :INCIDENT</b>	
Fields	Description
<i>IncidentTypeDisp</i>	Type of Dispatch received from CAD or entered by end user
<i>IncidentN</i>	Incident No assigned by SafetyPAD
<i>Incident N2</i>	Incident no assigned by CAD
<i>CreatedDate</i>	Date when incident occurred
<i>NumberofPTs</i>	No of patient involved in incident.
<b>Table :LOCATION</b>	
Fields	Description
<i>LocationType</i>	The type of location the incident is occurring
<i>Address</i>	Incident address
<i>StNumbe</i>	St no. where incident occurred.
<i>CityCode</i>	The city the incident the is occurring in
<i>StateCode</i>	The state the incident the is occurring in
<i>PostCode</i>	Post code of city where incident occured
<i>LocationType</i>	The type of location the incident is occurring
<i>Address</i>	Incident address
<i>StNumbe</i>	St no. where incident occurred.
<i>CityCode</i>	The city the incident the is occurring in
<i>StateCode</i>	The state the incident the is occurring in
<b>Table: PATIENT</b>	
Fields	Description
<i>LastName</i>	Last name of patient
<i>FirstName</i>	First name of patient
<i>Title</i>	Title of patient name.
<i>MI</i>	Middle initial of patient name
<i>Gender</i>	Gender type
<i>DOB</i>	Patient's Date of birth
<i>SSN</i>	Patient's social security number
<i>Address</i>	Patient Address
<i>HomePhone no</i>	Patient's home phone no.
<i>WorkPhoneno</i>	Patient's work Phone no..
<i>Ptnumber</i>	Patient's no assigned by SafetyPAD.
<b>Table: UNIT</b>	
Fields	Description
<i>AgencyCode</i>	Agency that using SafetyPAD assigned to Patient.
<i>StationCode</i>	Unit responding to incident (unit code of CAD)
<i>SkillSetCode</i>	Skill of the unit assigned to the patient(ALS/BLS/BLS 2002)

Appendix A: HEPRA Business Processes and System Requirements

<b>ShiftCode</b>	Shift of unit assigned to incident.
<b>Table: CREW</b>	
<b>Fields</b>	<b>Description</b>
<i>EmployeeID</i>	Employee id of Crew employee.
<i>LastName</i>	Last name of crew who responded to incident
<i>FirstName</i>	first name of crew who responded to incident
<i>CrewType</i>	Type of crew responded to incident
<b>Table Name - TREATMENT</b>	
<b>Fields</b>	<b>Description</b>
<i>AnswerCode</i>	Description of the destination patient was taken to
<b>Table Name - COMPLIANT</b>	
<b>Fields</b>	<b>Description</b>
<i>AnswerCode</i>	The code for patient chief complaint
<b>Table Name - SYMPTOM</b>	
<b>Fields</b>	<b>Description</b>
<i>AnswerCode</i>	The reason given for the destination the patient was taken
<b>Table Name - RESULT</b>	
<b>Fields</b>	<b>Description</b>
<i>DispositionCode</i>	The end result of the call
<b>Table Name-DESTINATION</b>	
<b>Fields</b>	<b>Description</b>
<i>DestinType</i>	The end result of the call
<i>DestinName</i>	The description of the destination the patient was taken to

## Appendix C: Health Alert Network Data

Table 14: HAN Data Elements List

<b>Alert Details</b>	
<b>Field</b>	<b>Description</b>
Alert Name	Name of the alert
Alert Message	Description of the alert message
Time Sent	Date and time when the alert is sent out
Expires	Date and time when the alert is no more active
From	Name of the person who sent the alert
Status	Status of the alert
Alert Type	Type of Alert (Profile No Security Code,...)
Event Status	Status of the Event (Test, Exercise,..)
Jurisdictional Level	Level of the jurisdiction the alert belongs to (Nation, State, Local)
Sensitivity (Y/N)	Sensitivity of the event on which the alert is sent out
Number Contacted	Number of user contacted
Number Confirmed	Number of users acknowledge the alert
Roles Notified	Roles to which alert is notified
<b>Alerted Individuals Information</b>	
<b>Field</b>	<b>Description</b>
Contact	Name of the user to whom alert is sent out
User ID	HAN User identification of the user
Type	Notification means (Phone/E-mail, Numeric Pager,..)
Location	Email address, Phone number and pager address
Status (Confirmed/In Progress/Cancelled)	Current status of the alert (Confirmed/In Progress/Cancelled/Not Sent)
Reason	Reason for status
Attempts	Number of attempts
Time Stamp	Time stamp of the last action on the alert
Alert Priority	Priority of the Alert in the scale of 1 to 10, 10 being the highest

## **Appendix B**

### **Department of Health Health Emergency Preparedness and Response Administration (HEPRA) Dashboard Management System Requirements Workbook**

**About This Document**

The Contractor’s proposal shall specify in this workbook whether the proposed system satisfies each requirement “out-of-the-box” or with significant modifications. If a modification will be necessary, the Contractor must identify the scope of the modification to satisfy the requirement. The “Mandatory” column indicates that a system feature or functional requirement must be completely satisfied by the Contractor’s system.

The Level of Effort (LoE) indicators should be indicated in this workbook as well. The following are the values to use when evaluating a requirement’s level of effort as it relates to the Contractor’s proposed system:

Rating	Description
3	Requires minimal or no special enhancements; can meet the requirement as part of its standard implementation/customization effort.
2	Requires special consideration to fulfill the requirement; may require advanced configuration or development efforts using a proprietary SDK and minor code modifications.
1	Requires significant customization and/or development using a software development kit (SDK) or the direct modification of source code; however, the Contractor is not required to fulfill the requirements through a software release.
0	Unable to fulfill the requirement.

**Note:** Additionally, brief comments can be provided to clarify a response to a requirement.

## System Features

ID	Description	Mandatory	Level of Effort	Comments
<b>Client Intake and Service Management</b>				
F001	Personalization: The dashboard presentation shall be specific to each user's domain of responsibility, privileges, data restrictions and capabilities	√		
F002	Visualization: The dashboard system shall allow the users to choose the graphical representation they want to apply to their dashboard data object, allow with the default "predefined for all" visual views	√		
F003	Tracking: The dashboard system shall allow the user to track health and emergency entities. The dashboard shall allow customizing the metrics/thresholds for the entities. Such customized tracking could then be incorporated within the default dashboard view presented to the user after login.	√		
F004	Interactive: The dashboard system shall allow the user to drill down from presentations (graphs, maps, tables) and get to details, and root causes.	√		
F005	Analytical: The dashboard system shall allow users to perform guided analysis such as what-if analysis. The dashboard shall make it effortless for a user to visually navigate through different drill-down paths, compare, contrast, and make analytical inferences.	√		
F006	Notification: The dashboard system shall allow the users to trigger notifications to specific target groups. The dashboard system shall trigger automated notifications based on data metrics and thresholds	√		
F007	Collaboration: The dashboard shall facilitate users' ability to exchange notes regarding specific observations on their dashboards and may be	√		

ID	Description	Mandatory	Level of Effort	Comments
	adopted to accomplish workflow checks and process controls. The dashboard shall serve as a communication platform for task management and compliance control.			
F008	Reports: The dashboard shall provide the users to generate predefined ad hoc reports, export it and print it	√		
F009	User Management: The dashboard shall provide the capability to administer the user accounts, access and privileges	√		
F010	Data Transfer: The dashboard should allow the users to configure the data transfer and capability to customize the frequency of the data transfer	√		
F011	Matching and Reconciliation: The dashboard shall match the data and display the reconciliation data	√		

## Requirements

Migrate HCS 2.0 to HCS 3.0				
ID	Requirement	Mandatory	Level of Effort	Comments
MR001	HCS 2.0 must be upgraded to HCS 3.0	√		
MR001.1	While upgrading to HCS 3.0, all the data, data matrixes, data tracking sheets, forms, documents, reports should be migrated to HCS 3.0 without losing the integrity of the data and content	√		
MR001.2	While upgrading to HCS 3.0, all the HCS 2.0 Users, Roles, Access privileges, must be migrated to HCS 3.0	√		
MR001.3	Migration process must not alter any of the current external data integration points, data and processing of data.	√		

Dashboard				
My Dashboard				
ID	Requirement	Mandatory	Level of Effort	Comments
MDR001	Upon successful login the dashboard system shall display default dashboard (My Dashboard) based on their privileges and access to the Functional Area workspaces.	√		
MDR001.1	HEPRA dashboard shall use standard dashboard template to display the data objects specific to the each Functional Area	√		
MDR002	The dashboard system shall allow the user to customize their dashboards (My Dashboard)	√		
MDR002.1	The dashboard system shall allow easy to use options to customize their My Dashboards. The options should include drag and drop option, sizing the my dashboard zones and scroll bars	√		

MDR002.2	The dashboard objects that the dashboard shall allow the user to add it to their My Dashboards are previously created data matrices, graphs, chart, communication tools (including email, message board, chatting), alerts, document library, and maps	√		
MDR002.3	The selection of data object that can be added to the users My Dashboard depends on the access right to data objects	√		
MDR004	The dashboard system shall allow the system administrator to manage Dashboard Templates and the roles who can access it	√		
<b>Data Visualization</b>				
<b>ID</b>	<b>Requirement</b>	<b>Mandatory</b>	<b>Level of Effort</b>	<b>Comments</b>
DVR001	The dashboard user shall be able to create data matrices. The data on which the user should able to generate data matrices is based on the user access to the Functional Areas	√		
DVR001.1	The dashboard shall provide the user a easy to use querying utility to select the data on which data matrices must be generated	√		
DVR001.2	The dashboard shall provide MS Excel type options like sort, filters on the data matrices	√		
DVR002	The dashboard shall allow the dashboard user to select specific data on the data matrixes to create charts and graphs on the selected data	√		
DVR003	The dashboard shall allow the user to create new Charts/Graphs using the easy to use querying utility. The data on which the user can create charts/graphs is based on the access to the Functional Area.	√		
DVR004	The dashboard shall allow the user to create charts/graphs from existing data matrices	√		
DVR005	The dashboard shall allow the users to save the data matrices, charts, graphs to My dashboard	√		
DVR006	The dashboard user shall be able to trigger a scheduler to refresh the data matrices, charts and graphs	√		

DVR007	The dashboard shall provide the option to export the data matrices, charts and graphs to MS suite (Word, Excel, PowerPoint), CVS (only data matrices) and text	√		
DVR008	The dashboard shall allow the user to delete the data matrixes, charts and graphs created by the user	√		
DVR009	The dashboard shall allow only the system administrator or to delete any the data matrices, charts and graphs generated by the system users	√		
<b>Data Interactivity</b>				
<b>ID</b>	<b>Requirement</b>	<b>Mandatory</b>	<b>Level of Effort</b>	<b>Comments</b>
DIR001	The dashboard system shall allow the users to connect data matrices, Graphs and Charts with each other forming a hierarchical view of data so as to drill down to the details view.	√		
DIR002	There should not be any limits on the number of level the user can create the links	√		
DIR003	The dashboard system shall allow the user to delete the links created between the data matrices, graphs and charts.	√		
DIR004	When a data matrixes, charts and graphs are deleted, the system shall delete the links automatically	√		

<b>User Login</b>				
<b>ID</b>	<b>Requirement</b>	<b>Mandatory</b>	<b>Level of Effort</b>	<b>Comments</b>
ULR001	The dashboard system shall allow the users with valid account to log-in to the dashboard. The dashboard system authenticates the entered log-in password credentials and shall provide access to all successful authentications.	√		
ULR001.1	Authentication for both DC Government users and non-DC Government users must be done through the DC Government LDAP			

ULR002	Upon opting for login/password retrieval, the system shall requests for identification data and authenticates the data and resets the password and generates a temporary password and displays the data	√		
ULR003	The dashboard system shall allow the users to update their profiles. Apart for the user the only other person who can update the user profile is the system admin	√		
ULR004	The system shall allow no more than three un-successful login attempts after which the user had to wait for 30 minutes to retry or request a auto retrieve	√		

**User Communications & Collaborations**

ID	Requirement	Mandatory	Level of Effort	Comments
UCR002	The dashboard system shall provide the dashboard users to send system mails to other dashboard users	√		
UCR002.1	The dashboard system shall provide full mailing capability for the dashboard users which includes Send Messages, Read Messages, Reply/Forward Messages, etc	√		
UCR002.2	The dashboard system shall restrict the system mail recipients based on the user role privileges.	√		
UCR003	The dashboard system shall provide the dashboard user to chat online with other dashboard users	√		
UCR003.1	The dashboard users with whom a dashboard user can chat shall be restricting based on the user role privileges.	√		

**Alerts & Notifications**

ID	Requirement	Mandatory	Level of Effort	Comments
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Appendix B: HEPRA DMS Requirements Workbook

ARR001	The dashboard system shall generated automatic alert notifications	√		
ARR002	The dashboard user shall be able to generate alerts on the data changes	√		
ARR002.1	The dashboard system shall allow the users to set thresholds limit on any specific data element.	√		
ARR002.2	The dashboard user should able to set thresholds to only those data element to which the user has access to.	√		
ARR002.3	The dashboard shall allow the user to set automated alert notification upon reaching or exceeding the threshold values	√		
ARR003	The dashboard shall allow the user to select the priority of alert	√		
ARR004	While setting an automatic alert or sending an alert, the dashboard system shall allow the user to set the means to notification.			
	The means of notification is should allow are			
	1. Email only			
	2. Dashboard Only			
	3. Both Email and Dashboard			
ARR005	The dashboard system shall allow the user to select the recipients of the alert	√		
ARR006	The dashboard should display all unseen dashboard alerts the next time the user log into his account	√		
ARR007	The dashboard shall allow the user to cancel the dashboard alert	√		

Reports				
ID	Requirement	Mandatory	Level of Effort	Comments

RR001	The dashboard system shall allow the users based on their access rules to view pre-defined reports.	√		
RR002	The dashboard system shall provide the capability to generate pre-defined reports	√		
RR003	The system administrator and dashboard users should able to generate reports (both private and public). The reports type and data on which the report can be generated is subjected to user privileges and the access to the Functional Area	√		
RR004	The dashboard shall allow the user to generate private reports and save it to is dashboard	√		
RR005	The pre-defined report can be a schedule report or a non-scheduled report	√		
RR006	The pre-defined reports shall be available as default reports for the dashboard users based on the access to the functional areas	√		
RR007	The system shall allow the administrator/creator of the report to modify the report	√		
RR008	The system shall allow the administrator/creator of a report to delete the report	√		
RR009	The system shall allow the administrator and users with “Executive” user role to generate reports specific to a FA or/and across FAs	√		

Dashboard Administration				
Account Management				
ID	Requirement	Mandatory	Level of Effort	Comments
AMR001	The system shall allow the system administrator (SA) to create a new user account for the dashboard user.	√		

AMR001.1	Allow the system administrator to associate a user with a role that provides access to the functionality allowed for that user	√		
AMR002	The system shall allow the SA to create manager user roles (includes Add new, modify, and delete user roles). The default roles available are Executive, Staff , Guest and Administrator	√		
AMR003	The system shall allow the SA to delete a dashboard user account	√		
AMR004	The system shall allow the system administrator to modify the existing user profile	√		
AMR005	The system shall allow the system administrator to re-set the user password	√		
<b>Access and Privileges</b>				
ID	Requirement	Mandatory	Level of Effort	Comments
APR001	The dashboard system admin shall be able to set roles based and user based Functional privileges	√		
APR002	The dashboard system admin shall be able to set Functional Areas privileges to the users	√		
APR003	The system shall allow the System administrator to modify the existing user privileges	√		
<b>Manage Functional Area workspaces</b>				
ID	Requirement	Mandatory	Level of Effort	Comments
FAR001	The system shall allow the system administrator to create workspaces specific to each Functional Area. Separate Functional Areas shall be created to each HEPRA Emergency Support Function	√		
FAR001.1	The access to the work spaces are subject to the Functional Area access given to each user			

FAR001.2	The current Functional Areas that the dashboard shall support are			
	1. Firefighting			
	2. Resource Support			
FAR001.3	The system shall allow the administrator to create sub-workspaces under each Functional Areas			
FAR002	The system shall allow the administrator to delete a workspace			
FAR003	The system shall allow the administrator to assign Functional Areas to users	√		

Data Integration				
Data Exchange (DE)				
ID	Requirements	Mandatory	Level of Effort	Comments
DER01	The HEPRA Dashboard system should import Source System Data. The following source system data is transmitted to the HEPRA Dashboard System	√		
	• Office of Unified Communications' Computer Aided Dispatch (CAD)	√		
	• Fire Emergency Management Services' SafetyPAD	√		
	• Health Alert Network	√		
	• Hospital Available Beds for Emergencies and Disasters (HAVBED)	√		
	Specific data from the Source Systems is identified in the Appendix section	√		
DER01.1	The system accepts the Source System data, subject to a separate agreement with the owning agency.	√		

Appendix B: HEPRA DMS Requirements Workbook

DER01.2	The system makes the CAD and SafetyPAD data available as input to Data Matching.	√		
DER004	Accepted data from the participating Source Systems that is placed in the system database must be consistent with the Source System's database.	√		
DER005	The Source System data propagation start time from the source system database to the HEPRA Dashboard shall be configurable based on the needs and circumstances of the owning agency.	√		
DER005.1	The data propagation from CAD to HEPRA Dashboard is anticipated to be done every 15 minutes.	√		
DER005.2	The data propagation from SafetyPad to HEPRA Dashboard is anticipated to be done every 15 minutes.	√		
DER005.3	The data propagation from HAN to HEPRA Dashboard is is anticipated to be done every 15 minutes.	√		
DER005.4	The data propagation from HAvBED to HEPRA Dashboard is is anticipated to be done every 15 minutes	√		
DER006	The actual time required to propagate Source System data from the source system database to the HEPRA dashboard database and processing (includes address processing, matching and reconciliation) this data shall depend on the size of the data transferred. The average time for each agency/system with the current sample size is as given in the below requirements	√		
DER006.1	Time required for data propagation from CAD to the Dashboard system is 3 minutes	√		
DER006.2	Time required for data propagation from SafetyPad to the Dashboard system is 3 minutes	√		
DER006.3	Time required for data propagation from HAN to the Dashboard system is 2 minutes	√		

Appendix B: HEPRA DMS Requirements Workbook

DER006.4	Time required for data propagation from HAvBED to the Dashboard system is 2 minutes	√		
DER008	For Data Transfer, the system supports the requirements of the agencies using common industry standards as negotiated and determined with the owning agencies.	√		
DER0010	If a particular Source System database is not available, it should not affect the transfer of data from other Agency Source System's database	√		
DER0011	The backup of the data received is kept indefinitely until a shorter period is determined to be acceptable.	√		
DER0012	Data propagation shall not significantly hamper the performance and functionality of the dashboard system	√		
DER0013	The data values that are brought into the system should be trimmed from unreadable characters, which do not alter the meaning of the value (i.e. spaces, underscores, etc.)	√		
DER0014	Receipt of a Source System's data will be recorded in the Data Access Audit log each time data is transferred from the Source System to HEPRA Dashboard.	√		
DER0015	The Dashboard System shall record in the Data Access Audit log in the event of Source System data not consistent, Source System data extract is corrupted, and if the connection to an Source System is lost	√		
<b>Data Matching (DM)</b>				
ID	Requirements	Mandatory	Level of Effort	Comments
DMR001	The Dashboard System should accommodate data matching service between different source system data	√		
DMR002	Data from CAD and Safety PAD should be matched based on the Event Matching Algorithm	√		
DMR003	Event Matching Algorithm	√		
	• Step1:	√		

	1. Match Event ID (“eid”) from the CAD data to that of Incident ID (Incident N2) from the SafetyPAD data. In the case of incomplete Incident N2 values (Usually 6 digits), the Incident N2 value is matched with last 6 digits of the CAD “eid”	√		
	2. Match Location information from CAD data to that of Location information from SafetyPad.	√		
	• Step2: If no matches are identified, this data is again matched with data in the next propagation	√		
DMR004	The matching process should be automatically scheduled after data propagation from the CAD and SafetyPAD	√		
DMR005	The Dashboard system Administrator should manage the automated Event Matching process, including starting and stopping the automated matching process.	√		
<b>Data Access Audit Log</b>				
ID	Requirements	Mandatory	Level of Effort	Comments
AAR001	Any interaction between external actor (user or system) shall be logged by the system.	√		
AAR002	The system shall maintain audit logs of all interactions between actors and the system	√		
AAR003	The following information shall be extractable out of log entries:	√		
	- Action/Event type,	√		
	- Identifier of a record (CCID if pertains to a client),	√		
	- Actor Identity (user or system),	√		
	- Date and time of the event/action,	√		
	- Before and after images of the affected system data, and	√		
	- Flag of successful/unsuccessful completion of the change.	√		

Appendix B: HEPRA DMS Requirements Workbook

AAR004	The transactions within the following internal processes shall be logged:	√		
	- Matching process,	√		
	- Data transfer process.	√		
AAR005	Every user login will cause the creation of an audit log record and the data access, activities performed and log-out timestamp will be registered	√		
AAR006	Every data transmission event is included in the Audit Log. This information includes the timestamp at the start and end of the transmission, the sending agency, the number of records transmitted.	√		
AAR007	The system will log all system administrator activities.	√		
AAR008	The Data Access Audit log must be kept indefinitely, and backed up to long-term storage, to support possible investigations and legal proceedings for the near future.	√		
AAR009	To prevent loss of critical system user activity and client information usage and viewing, the Data Access Audit log file must be backed up daily.	√		
AAR010	To ensure security of the audit trail files, these logs must be:	√		
	o protected,	√		
	o encrypted,	√		
	o controlled and	√		
	o backed-up.	√		

## Supplemental Requirements

Usability				
ID	Requirements	Mandatory	Level of Effort	Comments
USR001	The User interface shall not require installation of any components on a local machine (user's).	√		
USR002	The web pages shall be designed with consideration of correct rendering in primary web browsers:	√		
USR002.1	Internet Explorer v.5 and higher	√		
USR003	Internet and intranet web interfaces shall comply with the District Web standards			
USR003.1	Disability Act 508: All reasonable efforts will be made to provide the same content and service to visitors with visual and/or hearing impairments.			
USR004	The UI shall comply with the following:			
USR004.1	Pages are designed with consideration of 800 x 600 screen resolution and 256 colors.			
USR004.2	Pages are organized in tabs, no more than 7 tabs per page			
USR004.3	Tabs contain minimum of necessary information, no more than 15 data elements			
USR004.4	Information displayed on popup windows shall be available through regular screens for later review			
USR004.5	Data elements not authorized for access/view shall be disabled and present stub values (i.e. "####") or not displayed at all			
USR004.6	Data elements not authorized for access/view can be hidden but shall not distort the layout of the form			

USR005	Actual deletion of data is prohibited; the data shall be marked as inactive and available for authorized personnel for confirmation, archival procedures and/or restoring.	√		
Reliability				
ID	Requirements	Mandatory	Level of Effort	Comments
RELR001	The system shall be available for use for 24 hours at 99% of time.	√		
RELR002	The switch to a second backup instance during outage of the first instance shall be performed within 5 minutes; preferably the switch should be instantaneous and transparent to the user.	√		
RELR003	The system outages shall not exceed 1 hour a month.	√		
RELR004	After an outage, the system shall restore the state prior the outage.	√		
RELR005	Backup of the system data shall be performed every night.	√		
RELR006	Backup data shall be performed:	√		
RELR006.1	Daily, backup data shall be kept for last 30 days.			
RELR006.2	Weekly, backup data shall be kept for 6 months.			
RELR006.3	Monthly, backup data shall be kept for 3 years.			
RELR006.4	Yearly, backup data shall be kept for 7 years.			
RELR007	Backups should be kept in separate locations and should be available for authorized personnel only.	√		
REL008	Backup activities shall not affect the availability of the system.	√		
Performance				
ID	Requirements	Mandatory	Level of Effort	Comments
PER001	Response time to user's request (through user interface) should not exceed 3 sec for 99% of the requests.	√		
PER002	Response time should not exceed 10 sec for any request.	√		

PER003	The rendering of the web page should not exceed 10 sec for the highly loaded page.	√		
<b>Supportability</b>				
<b>ID</b>	<b>Requirements</b>	<b>Mandatory</b>	<b>Level of Effort</b>	<b>Comments</b>
SUPR001	The system framework should support additional systems integration	√		
SUPR002	The dashboard system should support standard data exchange utilities to exchange data from external system	√		
SUPR003	The system shall support functionality to convert or import legacy system data into the new system's database.	√		

## Technical Architecture Requirements

ID	Description	Mandatory	Level of Effort	Comments
TAR001	The system shall be implemented based on web-based architecture.	√		
TAR002	The system shall support XML with defined data schemas (XSD) used as the format for data transport.	√		
TAR003	The system shall support Active Directory, for authentication of users to support single-sign-on mechanisms.	√		
TAR004	The system shall be able to integrate with DC-wide integration solutions. At a minimum, the system shall support web services and Oracle 9i/10g or MS SQL Server 2000 or higher databases.	√		

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
OFFICE OF THE CHIEF FINANCIAL OFFICER  
OFFICE OF TAX AND REVENUE



**TAX CERTIFICATION AFFIDAVIT**

**THIS AFFIDAVIT IS TO BE COMPLETED ONLY BY THOSE WHO ARE REGISTERED TO CONDUCT BUSINESS IN THE DISTRICT OF COLUMBIA.**

Date: \_\_\_\_\_  
Name of Organization/Entity: \_\_\_\_\_  
Address: \_\_\_\_\_  
Business Telephone No.: \_\_\_\_\_  
Principal Officer:  
Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Soc. Sec. No.: \_\_\_\_\_  
Federal Identification No.: \_\_\_\_\_  
Contract No.: \_\_\_\_\_  
Unemployment Insurance Account No.: \_\_\_\_\_

I hereby certify that:

- 1. I have complied with the applicable tax filing and licensing requirements of the District of Columbia.
- 2. The following information is true and correct concerning tax compliance for the following taxes for the past five (5) years:

	Current	Not Current	Not Applicable
District: Sales and Use	( )	( )	( )
Employer Withholding	( )	( )	( )
Ball Park Fee	( )	( )	( )
Corporation Franchise	( )	( )	( )
Unincorporated Franchise	( )	( )	( )
Personal Property	( )	( )	( )
Real Property	( )	( )	( )
Individual Income	( )	( )	( )

**The Office of Tax and Revenue is hereby authorized to verify the above information with the appropriate government authorities. The penalty for making false statements is a fine not to exceed \$5,000.00, imprisonment for not more than 180 days, or both, as prescribed by D.C. Official Code § 47-4106.**

**This affidavit must be notarized and becomes void if not submitted within 90 days of the date notarized.**

\_\_\_\_\_  
Signature of Authorizing Agent Title

\_\_\_\_\_  
Print Name

Notary: DISTRICT OF COLUMBIA, ss:

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_ Month and Year

Notary Public: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**FIRST SOURCE EMPLOYMENT AGREEMENT**

Contract Number: \_\_\_\_\_

Contract Amount: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Address: \_\_\_\_\_ Ward: \_\_\_\_\_

Nonprofit Organization with 50 Employees or Less: (Yes) \_\_\_\_ (No) \_\_\_\_

This First Source Employment Agreement, in accordance with D. C. Law 14-24, D.C. Law 5-93, and Mayor's Order 83-265 for recruitment, referral, and placement of District of Columbia residents, is between the District of Columbia Department of Employment Services, hereinafter referred to as DOES, and \_\_\_\_\_, hereinafter, referred to as EMPLOYER. Under this Employment Agreement, the EMPLOYER will use DOES as its first source for recruitment, referral, and placement of new hires or employees for the new jobs created by this project and will hire 51% District of Columbia residents for all new jobs created, as well, as 51% of apprentices employed in connection with the project shall be District residents registered in programs approved by the District of Columbia Apprenticeship Council.

**I. GENERAL TERMS**

- A. The EMPLOYER will use DOES as its first source for the recruitment, referral and placement of employees.
- B. The EMPLOYER shall require all contractors and subcontractors, with contracts totaling \$100,000 or more, to enter into a First Source Employment Agreement with DOES.
- C. DOES will provide recruitment, referral and placement services to the EMPLOYER subject to the limitations set out in this Agreement.
- D. DOES participation in this Agreement will be carried out by the Office of the Director, with the Office of Employer Services, which is responsible for referral and placement of employees, or such other offices or divisions designated by DOES.

- E. This Agreement shall take effect when signed by the parties below and shall be fully effective for the duration of the contract and any extensions or modifications to the contract.
- F. This Agreement shall not be construed as an approval of the EMPLOYER'S bid package, bond application, lease agreement, zoning application, loan, or contract/subcontract.
- G. DOES and the EMPLOYER agree that for purposes of this Agreement, new hires and jobs created (both union and nonunion) include all EMPLOYER'S job openings and vacancies in the Washington Standard Metropolitan Statistical Area created as a result of internal promotions, terminations, and expansions of the EMPLOYER'S workforce, as a result of this project, including loans, lease agreements, zoning applications, bonds, bids, and contracts.
- H. For purposes of this Agreement, apprentices as defined in D.C. Law 2-156, as amended, are included.
- I. The EMPLOYER shall register an apprenticeship program with the D.C. Apprenticeship Council for construction or renovation contracts or subcontracts totaling \$500,000 or more. This includes any construction or renovation contract or subcontract signed as the result of, but is not limited to, a loan, bond, grant, Exclusive Right Agreement, street or alley closing, or a leasing agreement of real property for one (1) year or more.
- J. All contractors who contract with the Government of the District of Columbia to perform information technology work with a single contract or cumulative contracts of at least \$500,000, let within any twelve (12) month period shall be required to register an apprenticeship program with the District of Columbia Apprenticeship Council.
- K. The term "information technology work" shall include, but is not limited to, the occupations of computer programmer, programmer analyst, desktop specialist, technical support specialist, database specialist, network support specialist, and any other related occupations as the District of Columbia Apprenticeship Council may designate by regulation.

## II. RECRUITMENT

- A. The EMPLOYER will complete the attached Employment Plan, which will indicate the number of new jobs projected, salary range, hiring dates, and union requirements. The EMPLOYER will notify DOES of its specific need for new employees as soon as that need is identified.

- B. Notification of specific needs, as set forth in Section II.A. must be given to DOES at least five (5) business days (Monday - Friday) before using any other referral source, and shall include, at a minimum, the number of employees needed by job title, qualification, hiring date, rate of pay, hours of work, duration of employment, and work to be performed.
- C. Job openings to be filled by internal promotion from the EMPLOYER'S current workforce need not be referred to DOES for placement and referral.
- D. The EMPLOYER will submit to DOES, prior to starting work on the project, the names, and social security numbers of all current employees, including apprentices, trainees, and laid-off workers who will be employed on the project.

### III. REFERRAL

DOES will screen and refer applicants according to the qualifications supplied by the EMPLOYER.

### IV. PLACEMENT

- A. DOES will notify the EMPLOYER, prior to the anticipated hiring dates, of the number of applicants DOES will refer. DOES will make every reasonable effort to refer at least two qualified applicants for each job opening.
- B. The EMPLOYER will make all decisions on hiring new employees but will in good faith use reasonable efforts to select its new hires or employees from among the qualified persons referred by DOES.
- C. In the event DOES is unable to refer the qualified personnel requested, within five (5) business days (Monday - Friday) from the date of notification, the EMPLOYER will be free to directly fill remaining positions for which no qualified applicants have been referred. Notwithstanding, the EMPLOYER will still be required to hire 51% District residents for the new jobs created by the project.
- D. After the EMPLOYER has selected its employees, DOES will not be responsible for the employees' actions and the EMPLOYER hereby releases DOES, and the Government of the District of Columbia, the District of Columbia Municipal Corporation, and the officers and employees of the District of Columbia from any liability for employees' actions.

## V. TRAINING

DOES and the EMPLOYER may agree to develop skills training and on-the-job training programs; the training specifications and cost for such training will be mutually agreed upon by the EMPLOYER and DOES and set forth in a separate Training Agreement.

## VI. CONTROLLING REGULATIONS AND LAWS

- A. To the extent this Agreement is in conflict with any labor laws or governmental regulations, the laws or regulations shall prevail.
- B. DOES will make every effort to work within the terms of all collective bargaining agreements to which the EMPLOYER is a party.
- C. The EMPLOYER will provide DOES with written documentation that the EMPLOYER has provided the representative of any involved collective bargaining unit with a copy of this Agreement and has requested comments or objections. If the representative has any comments or objections, the EMPLOYER will promptly provide them to DOES.

## VII. EXEMPTIONS

- A. Contracts, subcontracts or other forms of government-assistance less than \$100,000.
- B. Employment openings the contractor will fill with individuals already employed by the company.
- C. Job openings to be filled by laid-off workers according to formally established recall procedures and rosters.
- D. Suppliers located outside of the Washington Standard Metropolitan Statistical Area and who will perform no work in the Washington Standard Metropolitan Statistical Area.

## VIII. AGREEMENT MODIFICATIONS, RENEWAL, MONITORING, AND PENALTIES

- A. If, during the term of this Agreement, the EMPLOYER should transfer possession of all or a portion of its business concerns affected by this Agreement to any other party by lease, sale, assignment, merger, or otherwise, the EMPLOYER as a condition of transfer shall:
  - 1. Notify the party taking possession of the existence of the EMPLOYER'S Agreement.
  - 2. Notify the party taking possession that full compliance with this Agreement is required in order to avoid termination of the project.

3. EMPLOYER shall, additionally, advise DOES within seven (7) business/calendar days of the transfer. This advice will include the name of the party taking possession and the name and telephone of that party's representative.
- B. DOES shall monitor EMPLOYER'S performance under this Agreement. The EMPLOYER will cooperate in DOES' monitoring effort and will submit a Contract Compliance Form to DOES monthly.
  - C. To assist DOES in the conduct of the monitoring review, the EMPLOYER will make available payroll and employment records for the review period indicated.
  - D. If additional information is needed during the review, the EMPLOYER will provide the requested information to DOES.
  - E. With the submission of the final request for payment from the District, the EMPLOYER shall:
    1. Document in a report to the Contracting Officer its compliance with the requirement that 51% of the new employees hired by the project be District residents; or
    2. Submit a request to the Contracting Officer for a waiver of compliance with the requirement that 51% of the new employees hired by the project be District residents and include the following documentations:
      - a. Material supporting a good faith effort to comply;
      - b. Referrals provided by DOES and other referral sources; and
      - c. Advertisement of job openings listed with DOES and other referral sources.
  - F. The Contracting Officer may waive the requirement that 51% of the new employees hired by the project be District residents, if the Contracting Officer finds that:
    1. A good faith effort to comply is demonstrated by the contractor;
    2. The EMPLOYER is located outside the Washington Standard Metropolitan Statistical Area and none of the contract work is performed inside the Washington Standard Metropolitan Statistical Area;

The Washington Standard Metropolitan Statistical Area includes the District of Columbia, the Virginia Cities of Alexandria, Falls Church, Manassas, Manassas Park, Fairfax, and Fredericksburg; the Virginia Counties of Fairfax, Arlington, Prince William, Loudoun, Stafford, Clarke, Warren, Fauquier, Culpeper, Spotsylvania, and King George; the Maryland Counties of Montgomery, Prince Georges, Charles, Frederick, and Calvert; and the West Virginia Counties of Berkeley and Jefferson.

- 3. The EMPLOYER enters into a special workforce development training or placement arrangement with DOES; or
- 4. DOES certifies that insufficient numbers of District residents in the labor market possess the skills required by the positions created as a result of the contract.

G. Willful breach of the First Source Employment Agreement by the EMPLOYER, or failure to submit the Contract Compliance Report, or deliberate submission of falsified data, may be enforced by the Contracting Officer through imposition of penalties, including monetary fines of 5% of the total amount of the direct and indirect labor costs of the contract.

H Nonprofit organizations with 50 or less employees are exempted from the requirement that 51% of the new employees hired on the project be District residents.

I. The EMPLOYER and DOES, or such other agent as DOES may designate, may mutually agree to modify this Agreement.

J. The project may be terminated because of the EMPLOYER'S non-compliance with the provisions of this Agreement.

IX. Is your firm a certified Local, Small, Disadvantaged Business Enterprise (LSDBE)?  
 YES NO  
 If yes, certification number: \_\_\_\_\_

X. Do you have a registered Apprenticeship program with the D.C. Apprenticeship Council?  
 YES NO  
 If yes, D.C. Apprenticeship Council Registration Number: \_\_\_\_\_

XI. Indicate whether your firm is a subcontractor on this project: YES NO  
 If yes, name of prime contractor: \_\_\_\_\_

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

\_\_\_\_\_  
 Signature Dept. of Employment Services

\_\_\_\_\_  
 Signature of Employer

\_\_\_\_\_  
 Name of Company

\_\_\_\_\_  
 Address

\_\_\_\_\_  
 Telephone

\_\_\_\_\_  
 E-mail

**EMPLOYMENT PLAN**

NAME OF FIRM \_\_\_\_\_

ADDRESS \_\_\_\_\_

TELEPHONE NUMBER \_\_\_\_\_ FEDERAL IDENTIFICATION NO. \_\_\_\_\_

CONTACT PERSON \_\_\_\_\_ TITLE \_\_\_\_\_

E-mail: \_\_\_\_\_ TYPE OF BUSINESS: \_\_\_\_\_

ORIGINATING DISTRICT AGENCY \_\_\_\_\_

CONTRACTING OFFICER: \_\_\_\_\_ TELEPHONE NUMBER: \_\_\_\_\_

TYPE OF PROJECT \_\_\_\_\_ FUNDING AMOUNT \_\_\_\_\_

PROJECTED START DATE \_\_\_\_\_ PROJECT DURATION \_\_\_\_\_

NEW JOB CREATION PROJECTIONS (Attach additional sheets, as needed.) Please indicate the new position(s) your firm will create as a result of this project.

	JOB TITLE	# OF JOBS F/T P/T	SALARY RANGE	UNION MEMBERSHIP REQUIRED NAME LOCAL#	PROJECTED HIRE DATE
A					
B					
C					
D					
E					
F					
G					
H					
I					
J					
K					



# YOUR LETTERHEAD

## EQUAL EMPLOYMENT OPPORTUNITY (EEO) POLICY STATEMENT

\_\_\_\_\_ SHALL NOT DISCRIMINATE AGAINST ANY EMPLOYEE OR APPLICANT FOR EMPLOYMENT BECAUSE OF RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, AGE, MARITAL STATUS, PERSONAL APPEARANCE, SEXUAL ORIENTATION, FAMILY RESPONSIBILITIES, MATRICULATION, POLITICAL AFFILIATION, OR PHYSICAL HANDICAP.

\_\_\_\_\_ AGREES TO AFFIRMATIVE ACTION TO ENSURE THAT APPLICANTS ARE EMPLOYED, AND THAT EMPLOYEES ARE TREATED DURING EMPLOYMENT, WITHOUT REGARD TO THEIR RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, AGE, MARITAL STATUS, PERSONAL APPEARANCE, SEXUAL ORIENTATION, FAMILY RESPONSIBILITIES, MATRICULATION, POLITICAL AFFILIATION, OR PHYSICAL HANDICAP. THE AFFIRMATIVE ACTION SHALL INCLUDE, BUT NOT BE LIMITED TO THE FOLLOWING: (A) EMPLOYMENT, UPGRADING, OR TRANSFER; (B) RECRUITMENT OR RECRUITMENT ADVERTISING; (C) DEMOTION, LAYOFF, OR TERMINATION; (D) RATES OF PAY, OR OTHER FORMS OF COMPENSATION; AND (E) SELECTION FOR TRAINING AND APPRENTICESHIP.

\_\_\_\_\_ AGREES TO POST IN CONSPICUOUS PLACES THE PROVISIONS CONCERNING NON-DISCRIMINATION AND AFFIRMATIVE ACTION.

\_\_\_\_\_ SHALL STATE THAT ALL QUALIFIED APPLICANTS WILL RECEIVE CONSIDERATION FOR EMPLOYMENT PURSUANT TO SUBSECTION 1103.2 THROUGH 1103.10 OF MAYOR'S ORDER 85-85; "EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS IN CONTRACTS."

\_\_\_\_\_ AGREES TO PERMIT ACCESS TO ALL BOOKS PERTAINING TO ITS EMPLOYMENT PRACTICES, AND TO REQUIRE EACH SUBCONTRACTOR TO PERMIT ACCESS TO BOOKS AND RECORDS.

\_\_\_\_\_ AGREES TO COMPLY WITH ALL GUIDELINES FOR EQUAL EMPLOYMENT OPPORTUNITY APPLICABLE IN THE DISTRICT OF COLUMBIA.

\_\_\_\_\_ SHALL INCLUDE IN EVERY SUBCONTRACT THE EQUAL OPPORTUNITY CLAUSES, SUBSECTION 1103.2 THROUGH 1103.10 SO THAT SUCH PROVISIONS SHALL BE BINDING UPON EACH SUBCONTRACTOR OR VENDOR.

\_\_\_\_\_  
AUTHORIZED OFFICIAL AND TITLE

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
FIRM/ORGANIZATION NAME

\_\_\_\_\_  
DATE

# YOUR LETTERHEAD

## ASSURANCE OF COMPLIANCE WITH EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS

MAYOR'S ORDER 85-85, EFFECTIVE JUNE 10, 1985, AND THE RULES IMPLEMENTING MAYORS ORDER 85-85, 33 DCR 4952, (PUBLISHED AUGUST 15, 1986), "ON COMPLIANCE WITH EQUAL OPPORTUNITY REQUIREMENTS IN DISTRICT GOVERNMENT CONTRACTS," ARE HEREBY INCLUDED AS PART OF THIS BID/PROPOSAL. THEREFORE, EACH BIDDER/OFFEROR SHALL INDICATE BELOW THEIR WRITTEN COMMITMENT TO ASSURE COMPLIANCE WITH MAYOR'S ORDER 85-85 AND THE IMPLEMENTING RULES. FAILURE TO COMPLY WITH THE SUBJECT MAYOR'S ORDER AND THE IMPLEMENTING RULES SHALL RESULT IN REJECTION OF THE RESPECTIVE BID/PROPOSAL.

I, \_\_\_\_\_, THE AUTHORIZED REPRESENTATIVE OF \_\_\_\_\_, HEREINAFTER REFERRED TO AS "THE CONTRACTOR," CERTIFY THT THE CONTRATOR IS FULLY AWARE OF ALL OF THE PROVISIONS OF MAYOR'S ORDER 85-85, EFFECTIVE JUNE 10, 1985, AND OF THE RULES IMPLEMENTING MAYOR'S ORDER 85-85, 33 DCR 4952. I FURTHER CERTIFY AND ASSURE THAT THE CONTRACTOR WILL FULLY COMPLY WITH ALL APPLICABLE PROVISIONS OF THE MAYOR'S ORDER AND IMPLEMENTING RULES IF AWARDED THE D.C. GOVERNMENT REFERENCED BY THE CONTRACT NUMBER ENTERED BELOW. FURTHER, THE CONTRACTOR ACKNOWLEDGES AND UNDERSTANDS THAT THE AWARD OF SAID CONTRACT AND ITS CONTINUATION ARE SPECIFICALLY CONDITIONED UPON THE CONTRACTOR'S COMPLIANCE WITH THE ABOVE-CITED ORDER AND RULES.

\_\_\_\_\_  
CONTRACTOR

\_\_\_\_\_  
NAME

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
CONTRACT NUMBER

\_\_\_\_\_  
DATE



**SECTION D – EMPLOYMENT DATA**

Employment at this establishment – Report all permanent, temporary, or part-time employees including apprentices and on-the-job trainees unless specifically excluded as set forth in the instructions. Enter the appropriate figures on all lines and in all columns. Blank spaces will be considered as zero. *In columns 1, 2, and 3, include ALL employees in the establishment including those in minority groups*

JOB CATEGORIES	TOTAL EMPLOYEES IN ESTABLISHMENT			MINORITY GROUP EMPLOYEES								
	Total Employees Including Minorities (1)	Total Male Including Minorities (2)	Total Female Including Minorities (3)	MALE				FEMALE				
				Black (4)	Oriental (5)	American Indian (6)	Spanish Surname American (7)	Black (8)	Oriental (9)	American Indian (10)	Spanish Surname American (11)	
Officials and Managers												
Professionals												
Technicians												
Sales Workers												
Office and Clerical												
Craftsman (Skilled)												
Operative (Semi-Skilled)												
Laborers (Unskilled)												
Service Workers												
TOTAL												
Total employ reported in previous report												

(The trainee below should also be included in the figures for the appropriate occupation categories above)

Formal On-The-Job Trainee	White collar	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Production											

1. How was information as to race or ethnic group in Section D obtained?  
 a.  Visual Survey                      c.  Other Specify \_\_\_\_\_  
 b.  Employment Record                      \_\_\_\_\_  
 2. Dates of payroll period used  
 3. Pay period of last report submitted for this establishment. \_\_\_\_\_

Section E – REMARKS Use this Item to give any identification data appearing on last report which differs from that given above, explain major changes in composition or reporting units, and other pertinent information.

**Section F - CERTIFICATION**

- Check One 1.  All reports are accurate and were prepared in accordance with the instructions (check on consolidated only)  
 2.  This report is accurate and was prepared in accordance with the instructions.

Name of Authorized Official	Title	Signature	Date
Name of person contact regarding This report (Type of print)	Address (Number and street)	City and State	Zip Code      Telephone Number      Extension

INFORMATION CITED HEREIN SHALL BE HELD IN CONFIDENCE.



SOLICITATION NO: \_\_\_\_\_

**PROJECTED GOALS AND TIMETABLES FOR FUTURE HIRING**

MINORITY GROUP EMPLOYES GOALS					TIMETABLES				
JOB CATEGORIES	MALE				FEMALE				
	BLACK	ASIAN	AMERICAN INDIAN	HISPANIC	BLACK	ASIAN	AMERICAN INDIAN	HISPANIC	
OFFICIALS & MANAGERS									
PROFESSIONALS									
TECHNICIANS									
SALES WORKERS									
OFFICE AND CLERICAL									
CRAFTSMANS (SKILLELD)									
OPERATIVE (SEMI-SKILLED)									
LABORERS (UNSKILLED)									
SERVICE WORKERS									
TOTALS									
NAME OF AUTHORIZED OFFICIAL:				TITLE:			SIGNATURE:		
FIRM NAME:					TELEPHONE NO:		DATE:		
INDICATE IF THE PRIME UTILIZES A <u>“MINORITY FINANCIAL INSTITUTION”</u> _____ Yes    _____ No  NAME:  ADDRESS:  TYPE OF ACCOUNT/S:									

**District of Columbia Register**  
**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

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**ADMINISTRATIVE ISSUANCE SYSTEM**

SUBJECT: Compliance with Equal Opportunity Obligations in Contracts

ORIGINATING AGENCY: Office of the Mayor

By virtue of the authority vested in me as Mayor of the District of Columbia by Section 422 of the District of Columbia self-government and Government Reorganization Act of 1973 as amended, D.C. Code section 1-242 (1981-Ed.), it is hereby ORDERED that Commissioner's Order No. 73-51, dated February 28, 1973, is hereby rescinded and reissued in its entirety to read as follows:

1. Establishment of Policy: There is established a policy of the District of Columbia Government to:
  - (a) provide equal opportunity in employment for all persons with respect to any contract by and with the Government of the District of Columbia.
  - (b) prohibit discrimination in employment because of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, or physical handicap;
  - (c) provide equal opportunity to all persons for participation in all District of Columbia Government contracts, including but not limited to lease agreements, Industrial Revenue Bond financing, and Urban Development Action grants;
  - (d) provide equal opportunity to minority business enterprises in the performance of District of Columbia Government contracts in accordance with Mayor's Orders, District of Columbia laws, and rules and regulations promulgated by the Minority Business Opportunity Commission; and
  - (e) promote the full realization of equal employment through affirmative, continuing programs by contractors and subcontractors in the performance of contracts with the District of Columbia Government.
2. Delegation of Authority: The Director of the Office of Human Rights (hereinafter "Director") is delegated the authority vested in the Mayor to implement the provisions of this order as set forth herein, and any rules, regulations, guidelines, and procedures adopted pursuant thereto.
3. Responsibilities: The Director of the Office of Human Rights shall be responsible for establishing and ensuring agency compliance with the policy set forth in this Order, any rules, regulations, and procedures that may be adopted by the Office of Human Rights pursuant to this Order, and any other equal opportunity provisions as may be added as a part of any contract.
4. Powers and Duties: The Director of the Office of Human Rights shall have the following powers and duties:
  - (a) to establish standards and procedures by which contractors and subcontractors who perform under District of Columbia Government contracts shall comply with the equal opportunity provisions of their contracts; to issue all orders, rules, regulations, guidelines, and procedures the Director may deem necessary and proper for carrying out and implementing the purposes of this Order;
  - (b) to assume equal opportunity compliance jurisdiction over any matter pending before a contracting agency where the Director considers it necessary or appropriate for the achievement of the purposes of

this Order, keep the contracting agency informed of all actions taken, and act through the contracting agency to the extent appropriate and practicable;

- (c) to examine the employment practices of any District of Columbia Government contractor or subcontractor, or initiate the examination by the appropriate contracting agency to determine whether or not the contractual provisions specified in any rules and regulations adopted pursuant to this Order have been violated, and notify the contracting agency of any action taken or recommended;
- (d) to monitor and evaluate all District of Columbia Government agencies, including those independent agencies and commissions not required to submit the Affirmative Action Programs of their contractors to the Office of Human Rights for approval, to ensure compliance with the equal opportunity obligations in contracts;
- (e) to use his or her best efforts to cause any labor union engaged in work under District of Columbia Government contracts, any referral, recruiting or training agency, or any other representative of workers who are or may be engaged in work under contracts and subcontracts to cooperate in and to comply with the implementation of the purposes of this Order;
- (f) to notify, when appropriate, the concerned contracting agencies, the Office of Federal Contract Compliance Programs, the U.S. Department of Justice, or other appropriate Federal, State, and District agencies, whenever the Director has reason to believe that practices of any contractor, labor organization, lending institution, insurance firm, or agency violate provisions of Federal, State, or District, laws;
- (g) to enter, where the determinations are made by Federal, State, or District agencies, into reciprocal agreements with those agencies to receive the appropriate information;
- (h) to hold hearings, public or private, as necessary to obtain compliance with any rules, regulations, and procedures promulgated pursuant to this Order, and to issue orders relating thereto. No order to terminate or cancel a contract, or to withhold from any contractor further District of Columbia Government contractors shall be issued without affording the contractor an opportunity for a hearing. Any order to terminate or cancel a contract or to withhold from any contractor further District of Columbia Government contracts shall be issued in accordance with rules, and regulations pursuant to the Administrative Procedure Act, as amended and;
- (i) to grant waivers from the minimum standards for the employment of minorities and women in Affirmative Action Programs in exceptional cases, as circumstances may warrant.

5. Duties of Contracting Agencies: Each contracting agency shall have the following duties:

- (a) the initial responsibility for ensuring that contractors and subcontractors are in compliance with any rules, regulations, and procedures promulgated pursuant to this Order;
- (b) to examine the employment practices of contractors and subcontractors in accordance with procedures established by the Office of Human Rights, and report any compliance action to the Director of the Office of Human Rights;
- (c) to comply with the terms of this Order and of the orders, rules, regulations, guidelines, and procedures of the Office of Human Rights issued pursuant thereto in discharging their responsibility for securing contract compliance; and
- (d) to secure compliance with any rules, regulations, and procedures promulgated pursuant to this Order before or after the execution of a contract by methods, of conference, conciliation and persuasion. No enforcement proceedings shall be initiated, nor shall a contract be cancelled or terminated in whole or in part, unless such methods have first been attempted.

6. Procedures: The procedures to be followed in implementing this Order shall be those set forth in

Orders, rules, regulations, and guidelines as may be promulgated by the Office of Human Rights.

7. Severability: If any section, subsection, sentence, clause, phrase, or portion of the provisions in this Order is for any reason declared by any court of competent jurisdiction to be invalid or unconstitutional, such section, subsection, sentence, clause, phrase, or portion shall be deemed a separate, distinct, and independent provision, and such holding shall not affect the validity of the remaining provisions of this order.
8. Effective Date: This Order shall become effective immediately.

Signed by Marion Barry, Jr.  
Mayor

ATTEST: Signed by Clifton B. Smith  
Secretary of the District of Columbia

**OFFICE OF HUMAN RIGHTS**

**NOTICE OF FINAL RULEMAKING**

The Director of the Office of Human Rights hereby gives notice of the adoption of the following final rules governing standards and procedures for equal employment opportunity applicable to contractors and subcontractors under District of Columbia Government Contracts. Notice of Proposed Rulemaking was published for public comment in the D.C. Register on April 11, 1986 at 33 DCR 2243. Based on some the comments received and upon further review by the Office of Human Rights, minor revisions were made in the rules at the following subsections: 1104.1, 1104.2, 1104.4, 1104.13, 1104.17(e) (5), 1104.28, 1107.1, 1199.1, and at page 15 the definition of minority was written out in addition to citing its D.C. Code. None of the revisions change the intent of the proposed final rules. Final action to adopt these final rules was taken on August 4, 1986, and will be effective upon publication of this notice in the Register.

**CHAPTER 11 EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS IN CONTRACTS**

1100. PURPOSE

1100.1 These rules shall govern standards and procedures to be followed by contractors and subcontractors performing under District of Columbia Government contracts for goods and services, including construction contracts, for the purpose of assuring equal employment opportunity for minorities and women.

1100.2 These rules establish requirements for contractors and subcontractors regarding their commitment to observe specific standards for the employment of minorities and women and to achieve affirmative action obligations under District of Columbia contracts. These rules are not intended nor shall be used to discriminate against any qualified applicant for employment or employee.

1101 SCOPE

1101.1 Except as hereinafter exempted, the provisions of this chapter shall apply to all District of Columbia Government contracts subject to Mayor's Order No. 85-85, and any rules, regulations, and procedures promulgated pursuant to that Mayor's Order.

1102 COVERAGE

1102.1 The provisions of this chapter shall govern the processing of any matter before the Office Human Rights involving the following:

- (a) Discrimination in employment on grounds of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, or physical handicap by any District of Columbia Government contractor; and
- (b) Achievement of affirmative action obligations under District of Columbia contracts.

1103 CONTRACT PROVISIONS

1103.1 Each contract for goods and services, including construction contracts, except construction subcontracts for standard commercial supplies or raw materials, shall include as express contractual provisions the language contained in subsections 1103.2 through 1103.10.

1103.2 The contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, or physical handicap.

- 1103.3 The contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, or physical handicap. The affirmative action shall include, but not be limited to the following:
- (a) Employment, upgrading, or transfer;
  - (b) Recruitment or recruitment advertising;
  - (c) Demotion, layoff, or termination;
  - (d) Rates of pay, or other forms of compensation; and
  - (e) Selection for training and apprenticeship.
- 1103.4 The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Contracting Agency, setting forth the provisions in subsections 1103.2 and 1103.3 concerning non-discrimination and affirmative action.
- 1103.5 The contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment pursuant to the non-discrimination requirements set forth in subsection 1103.2
- 1103.6 The contractor agrees to send to each labor union or representative of workers with which it has a collective bargaining agreement, or other contract or understanding, a notice to be provided by the Contracting Agency, advising each labor union or workers' representative of the contractor's commitments under this chapter, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- 1103.7 The contractor agrees to permit access to all books, records, and accounts, pertaining to its employment practices, by the Director and the Contracting Agency for purposes of investigation to ascertain compliance with this chapter, and to require under terms of any subcontractor agreement each subcontractor to permit access of such subcontractors, books, records, and accounts for such purposes.
- 1103.8 The contractor agrees to comply with the provisions of this chapter and with all guidelines for equal employment opportunity applicable in the District of Columbia adopted by the Director, or any authorized official.
- 1103.9 The prime contractor shall include in every subcontract the equal opportunity clauses, subsections 1103.2 through 1103.10 of this section, so that such provisions shall be binding upon each subcontractor or vendor.
- 1103.10 The prime contractor shall take such action with respect to any subcontractor as the Contracting Officer may direct as a means of enforcing these provisions, including sanctions for non-compliance; provided, however, that in the event the prime contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the prime contractor may request the District to enter into such litigation to protect the interest of the District.
- 1104 **AFFIRMATIVE ACTION PROGRAM**
- 1104.1 Each apparent low bidder for a construction contract shall complete and submit to the Contracting Agency, prior to the execution of any contract in the amount of twenty-five thousand dollars (\$25,000) or more, and each contractor covered under subsection 1105.1, an Affirmative Action Program to ensure equal opportunity which shall include specific standards for the utilization of minorities and women in the trades, crafts and skills to be used by the contractor in the performance of the contract.

- 1104.2 Each apparent low bidder or offeror for a non-construction contract shall complete and submit to the Contracting Agency, prior to the execution of any contract in the amount of ten thousand dollars (\$10,000) or more, and each contractor covered under subsection 1105.2 , an Affirmative Action Program to ensure equal opportunity which shall include specific standards for the utilization of minorities in the job categories specified in subsection 1108.4.
- 1104.3 To ensure equal opportunity each Affirmative Action Program shall include the following commitments:
- (a) With respect to construction contracts, each contractor shall certify that it will comply with the provisions of this chapter, and submit a personnel utilization schedule for all the trades the contractor is to utilize, indicating the actual numbers of minority and female workers that are expected to be a part of the workforce performing under the contract; and
  - (b) With respect to non-construction contracts, each contractor shall certify that it will comply with the provisions of this chapter, and shall submit a personnel utilization schedule indicating by craft and skill, the minority composition of the workforce related to the performance of the work under the contract. The schedule shall include all workers located in the facility from which the goods and services are produced and shall include the same information for other facilities which have a significant relationship to the performance of work under the contract.
- 1104.4 If the experience of the contractor with any local union from which it will secure employees indicates that the union will not refer sufficient minorities or women to meet minority or female employment commitments, the contractor shall, not less than ten (10) days prior to the employment of any person on the project subject to the jurisdiction of that local union, do the following:
- (a) Notify the District of Columbia Department of Employment Services and at least two (2) minority and two (2) female referral organizations of the contractor's personnel needs, and request referral of minority and female workers; and
  - (b) Notify any minority and female workers who have been listed with the contractors as awaiting vacancies.
- 1104.5 If, within five (5) working days prior to commencement of work, the contractor determines that the Department of Employment Services or the minority or female referral organizations are unable to refer sufficient minorities or women to meet its commitments, the contractor may take steps to hire, by referral or otherwise, from the local union membership to fill the remaining job openings, provided that it notifies the local union of its personnel needs and of its employment commitments. Evidence of the notification shall be provided to the Contracting Agency.
- 1104.6 The contractor shall have standing requests for additional referrals of minority and female workers with the local union, the Department of Employment Services, and the other referral sources, until such time as the contractor has met its minority and female employment commitments.
- 1104.7 If the contractor desires to lay off some of its employees in a given trade on a construction site, it shall ensure that the required number of minority and female employees remain on the site to meet the minority and female commitments.
- 1104.8 No contractor shall refuse employment to any individual who has minimal facility to speak English except where the contractor can demonstrate that the facility to speak English is necessary for the performance of the job.

- 1104.9 No union with which the contractor has a collective bargaining agreement shall refuse to refer minority and female employees to such contractor.
- 1104.10 To the extent that contractors have delegated the responsibility for some of their employment practices to some other organization or agency which prevents them from meeting their equal opportunity obligations, those contractors shall not be considered to be in compliance with this chapter.
- 1104.11 The obligations of the contractor shall not be reduced, modified, or subject to any provision in any collective bargaining agreement with labor organization which provides that the labor organizations shall have the exclusive or primary opportunity to refer employees.
- 1104.12 When any contractor employs a minority person or woman in order to comply with this chapter, those persons shall be advised of their right to seek union membership, the contractor shall provide whatever assistance may be appropriate to enable that person to obtain membership, and the contractor shall notify the appropriate union of that person's employment.
- 1104.13 The contractor shall not discharge, refuse to employ, or otherwise adversely affect any minority person or woman because of any provision in any collective bargaining agreement, or any understanding, written or oral that the contractor may have with any labor organization.
- 1104.14 If at any time, because of lack of cooperation or overt conduct, a labor organization impedes or interferes with the contractor's Affirmative Action Program, the contractor shall notify the Contracting Agency and the Director immediately, setting forth the relevant circumstances.
- 1104.15 In any proceeding involving a disagreement between a labor organization and the contractor over the implementation of the contractor's Affirmative Action Program, the Contracting Agency and the Office of Human Rights may become a party to the proceeding.
- 1104.16 In determining whether or not a contractor is utilizing minorities and females pursuant to Section 1108, consideration shall be given to the following factors:
- (a) The proportion of minorities and women employed in the trades and as laborers in the construction industry within the District of Columbia;
  - (b) The proportion of minorities and women employed in the crafts or as operatives in non-construction industries within the District of Columbia;
  - (c) The number and ratio of unemployed minorities and women to total unemployment in the District of Columbia;
  - (d) The availability of qualified and qualifiable minorities and women for employment in any comparable line of work, including where they are now working and how they may be brought into the contractor's workforce;
  - (e) The effectiveness of existing training programs in the area, including the number who complete training, the length and extent of training, employer experience with trainees, and the need for additional or expanded training programs; and
  - (f) The number of additional workers that could be absorbed into each trade or line of work without displacing present employees, including consideration of present employee shortages, projected growth of the trade or line of work, and projected employee turnover.
- 1104.17 The contractor's commitment to specific standards for the utilization of minorities and females as required under this chapter shall include a commitment to make every good faith effort to meet

those standards. If the contractor has failed to meet the standards, a determination of “good faith” shall be based upon the contractor’s documented equal opportunity efforts to broaden its equal employment program which shall include, but may not necessarily be limited to, the following requirements:

- (a) The contractor shall notify the community organizations that the contractor has employment opportunities available and shall maintain records of the organizations’ responses;
- (b) The contractor shall maintain a file of the names and addresses of each minority and female worker referred to it and what action was taken with respect to each referred worker. If that worker was not sent to the union hiring hall for referral or if the worker was not employed by the contractor, the contractor’s file shall be documented and the reasons therefore;
- (c) The contractor shall notify the Contracting Agency and the Director when the union or unions with which the contractor has a collective bargaining agreement has not referred to the contractor a minority or female worker originally sent to the union by the contractor for union registration, or the contractor has other information that the union referral process has impeded the contractor’s efforts to meet its goals;
- (d) The contractor shall participate in training programs related to its personnel needs;
- (e) The contractor shall disseminate its EEO policy internally by doing the following:
  - (1) Including it in any organizational manual;
  - (2) Publicizing it in company newspapers, annual report, etc.;
  - (3) Conducting staff, employee, and union representatives meetings to explain and discuss the policy;
  - (4) Posting; and
  - (5) Reviewing the policy with minority and female employees.
- (f) The contractor shall disseminate its EEO policy externally by doing the following:
  - (1) Informing and discussing it with all recruitment sources;
  - (2) Advertising in news media, specifically including news media directed to minorities and women;
  - (3) Notifying and discussing it with all known minority and women’s organizations; and
  - (4) Notifying and discussing it with all subcontractors and suppliers.

1104.18 The contractor shall make specific recruitment efforts, both written and oral, directed at all minority and women’s training organizations within the contractor’s recruitment area.

1104.19 The contractor shall encourage present employees to assist in the recruitment of minorities and women for employment.

1104.20 The contractor shall validate all qualifications, selection requirements, and tests in accordance with the guidelines of the Equal Employment Opportunity Commission.

- 1104.21 The contractor shall make good faith efforts to provide after school, summer and vacation employment to minority youths and young women.
- 1104.22 The contractor shall develop on-the-job training opportunities, and participate and assist in any association or employer group training programs relevant to the contractor's employee needs.
- 1104.23 The contractor shall continually inventory and evaluate all minority and female personnel for promotion opportunities.
- 1104.24 The contractor shall make sure that seniority practices, job classifications, qualifications, etc. do not have a discriminatory effect on minorities and women.
- 1104.25 The contractor shall make certain that all facilities and company activities are nonsegregated.
- 1104.26 The contractor shall continually monitor all personnel activities to ensure that its EEO policy is being carried out.
- 1104.27 The contractor may utilize minority banking facilities as depositories for funds which may be involved, directly or indirectly, in the performance of the contract.
- 1104.28 The contractor shall employ minority and female workers without respect to union membership in sufficient numbers to meet the minority and female employment standards, if the experience of the contractor with any labor union from which it will secure employees does not indicate that it will refer sufficient minorities and females to meet its minority and female employment standards.
- 1104.29 The contractor shall ensure that all of its employees as well as those of its subcontractors are made knowledgeable about the contractor's equal opportunity policy.
- 1104.30 [Reserved]
- 1104.31 Each contractor shall include in all bid invitations or other pre-bid communications, written or otherwise, with respect to prospective subcontractors, the standards, as applicable, which are required under this chapter.
- 1104.32 Whenever a contractor subcontracts a portion of the work in any trade, craft or skill it shall include in the subcontract, its commitment made under this chapter, as applicable, which shall be adopted by its subcontractors who shall be bound thereby and by the regulations of this chapter to the full extent as if it were the prime contractor.
- 1104.33 The prime contractor shall give notice to the Director and the Contracting Agency of any refusal or failure of any subcontractor to fulfill its obligations under this chapter.
- 1104.34 Failure of compliance by any subcontractor shall be treated in the same manner as a failure by the prime contractor.
- 1105 EXEMPTIONS
- 1105.1 Prospective construction contractors shall be exempt from submitting Affirmative Action Programs for contracts amounting to less than twenty-five thousand dollars (\$25,000); provided, that when a construction contractor accumulates contracts amounting to twenty-five thousand dollars (\$25,000) or more within a period of twelve (12) months that contractor shall be required to submit an Affirmative Action Program for each contract executed thereafter.
- 1105.2 Prospective non-construction contractors shall be exempt from submitting Affirmative Action Programs for contracts amounting to less than ten thousand dollars (\$10,000); provided, that when

a non-construction contractor accumulates contracts amounting to ten thousand dollars (\$10,00) or more during a period of twelve (12) months that contractor shall be required to submit an Affirmative Action Program for each contract executed thereafter.

#### 1106 NONRESPONSIBLE CONTRACTORS

1106.1 If a bidder or offeror fails either to submit a complete and satisfactory Affirmative Action Program or to submit a revised Affirmative Action Program that meets the approval of the Director, as required pursuant to this chapter, the Director may direct the Contracting Officer to declare the bidder or offeror to be nonresponsible and ineligible for award of the contract.

1106.2 Any untimely submission of an Affirmative Action Program may, upon order of the Director, be rejected by the Contracting Officer.

1106.3 In no case shall there be any negotiation over the provision of specific utilization standards submitted by the bidder or offeror after the opening of bids or receipt of offer and prior to award.

1106.4 If any directive or order relating to nonresponsibility is issued under this section, the Director shall afford the bidder or offeror a reasonable opportunity to be heard in opposition to such action in accordance with subsection 1118.1, or in support of a request for waiver under section 1109.

#### 1107 NOTICE OF COMPLIANCE

1107.1 Each Contracting Agency shall include, or require the contract bidder or offeror to include, in the invitation for bids or other solicitation used for a D.C. Government-involved contract, a notice stating that to be eligible for consideration, each bidder or offeror shall be required to comply with the provisions of this chapter for the trades, crafts and skills to be used during the term of the performance of the contract whether or not the work is subcontracted.

#### 1108 MINIMUM STANDARDS FOR MINORITY AND FEMALE EMPLOYMENT

1108.1 The minimum standards for the utilization of minorities in the District of Columbia Government construction contracts shall be forty-two percent (42%) in each trade for each project, and an aggregate workforce standard of six and nine-tenths percent (6.9%) for females in each project. Any changes in Federal standards pertaining to minority group and female employment in Federally-involved construction contracts shall be taken into consideration in any review of these requirements.

1108.2 The construction contractor's standards established in accordance with subsection 1108.1 shall express the contractor's commitment of the forty-two percent (42%) of minority personnel who will be working in each specified trade on each of the contractor's District of Columbia Government projects, and the aggregate standard of six and nine-tenths percent (6.9%) for the employment of females in each District of Columbia Government contract.

1108.3 The hours for minority and female workers shall be substantially uniform throughout the entire length of the construction contract for each trade used, to the effect that the same percentage of minority workers in the trades used shall be working throughout the length of work in each trade on each project, and the aggregate percentage in each project for females.

1108.4 The minimum standard for the utilization of minorities in non-construction contracts shall be twenty-five percent (25%) in each of the following nine (9) job categories:

- (a) Officials and managers;
- (b) Professionals;

- (c) Technicians;
- (d) Sales workers;
- (e) Office and clerical workers;
- (f) Craftpersons (Skilled);
- (g) Operative (Semi-skilled);
- (h) Laborers (Unskilled); and
- (i) Service workers.

1108.5 With respect to non-construction contracts the contractor's standards established in accordance with subsection 1108.4 shall express the contractor's commitment of the twenty-five percent (25%) of minority personnel who will be working in each specified craft or skill in each contract.

1109 WAIVERS

1109.1 The Director may grant a waiver to a prospective contractor from the requirement to submit a set of minimum standards for the employment of minorities and women in a particular contract, if before the execution of the contract and approval of the Affirmative Action Program, the contractor can document and otherwise prove it is unable to meet the standards in the performance of the contract.

1110 SOLICITATION OF CONTRACT

1110.1 Each solicitation for contract covered by section 1104 shall contain a statement that contractors shall comply with the minimum standards established pursuant to these rules for ensuring equal opportunity.

1110.2 The contract solicitation shall require that each bidder or offeror certify that it intends to meet the applicable minimum standards in section 1108 in order to be considered for the contract.

1111 PRIOR TO EXECUTION OF CONTRACT

1111.1 Upon being designated the apparent low bidder or offeror, that contractor shall submit a detailed Affirmative Action Program that sets forth the following:

- (1) The composition of its current total workforce; and
- (2) The composition of the workforce by race, color, national origin, and sex to be used in the performance of the contract and that of all known subcontractors that will be utilized to perform the contract.

1111.2 The apparent low bidder or offeror shall submit an Affirmative Action Program in accordance with section 1104 describing the actions it will take to ensure compliance with this chapter which shall be subject, prior to the execution of any contract, to the approval of the Director.

1111.3 If the Office of Human Rights does not act within ten (10) working days after the receipt of the Affirmative Action Program sent for approval, the Contracting Agency may proceed on its own determination to execute the contract.

1111.4 The apparent low bidder or offeror shall submit an Affirmative Action Program within a period of time to specified by each Contracting Agency, but which shall not exceed ten (10) working days after becoming the apparent contractor.

1111.5 The apparent low bidder or offeror shall furnish all information and reports to the Contracting Agency as required by this chapter, and shall permit access to all books or records pertaining to its employment practices or worksites.

1111.6 No contract subject to section 1104 shall be executed by the Contracting Agency, if the apparent low bidder or offeror does not submit an Affirmative Action Program, or if the Program has been disapproved in writing by the Director.

1111.7 If there is disagreement between the contractor and the Contracting Officer as to the adequacy of the Affirmative Action Program, the matter shall be referred to the Director for a decision.

#### 1112 AFTER EXECUTION OF CONTRACT

1112.1 Each contractor shall maintain throughout the term of the contract the minimum standards for the employment of minorities and women, as set forth in the approved Affirmative Action Program.

1112.2 Each contractor shall require that each subcontractor, or vendor under the contract comply with the provision of the contract and the Affirmative Action Program.

1112.3 Each contractor shall furnish all information as required by this chapter, and permit access to all books and records pertaining to the contractor's employment practices and work sites by the Director and the Contracting Agency for purposes of investigation to ascertain compliance with this chapter.

#### 1113 MONITORING AND EVALUATION

1113.1 The Director shall, from time to time, monitor and evaluate all District of Columbia Government agencies, including those independent agencies and commissions not required to submit the Affirmative Action Program of their contractors, to ensure compliance with the equal opportunity obligations in contracts, as provided for in this chapter.

#### 1114 AFFIRMATIVE ACTION TRAINING PROGRAM

1114.1 Each contractor, in fulfilling its affirmative action responsibilities under a contract with the District of Columbia Government, shall be required to have, as part of its Affirmative Action Program, an existing training program for the purpose of training, upgrading, and promotion of minority and female employees or to utilize existing programs. Those programs shall include, but not be limited to, the following:

- (a) To be consistent with its personnel requirements, the contractor shall make full use of the applicable training programs, including apprenticeship, on-the job training, and skill refinement training for journeymen. Recruitment for the program shall be designed to provide for appropriate participation by minority group members and women;
- (b) The contractor may utilize a company-operated skill refinement training program. This program shall be formal and shall be responsive to the work to be performed under the contract;
- (c) The contractor may utilize formal private training institutions that have as their objective training and skill refinement appropriate to the classification of the workers employed. When training is provided by a private organization the following information shall be supplied:

- (1) The name of the organization;
- (2) The name, address, social security number, and classification of the initial employees and any subsequent employees chosen during the course of the contract; and
- (3) The identity of the trades, and crafts or skills involved in the training.

1114.2 If the contractor relies, in whole or in part, upon unions as a source of its workforce, the contractor shall use its best efforts, in cooperation with unions, to develop joint training programs aimed toward qualifying more minorities and females for membership in the union, and increasing the skills of minority and female employees so that they may qualify for higher paying employment.

1114.3 Approval of training programs by the Contracting Agency shall be predicated, among other things, upon the quality of training, numbers of trainees and trades, crafts or skills involved, and whether the training is responsive to the policies of the District of Columbia and the needs of the minority and female community. Minority and female applicants for apprenticeship or training should be selected in sufficient numbers as to ensure an acceptable level of participation sufficient to overcome the effects of past discrimination.

#### 1115 COMPLIANCE REVIEW

1115.1 The Director and the Contracting Agency shall review the contractor's employment practices during the performance of the Contract. Routine or special reviews of contractors shall be conducted by the Contracting Agency or the Director in order to ascertain the extent to which the policy of Mayor's Order No. 85-85, and the requirements in this chapter are being implemented and to furnish information that may be useful to the Director and the Contracting Agency in carrying out their functions under this chapter.

1115.2 A routine compliance review shall consist of a general review of the practices of the contractor to ascertain compliance with the requirements of this chapter, and shall be considered a normal part of contract administration.

1115.3 A special compliance review shall consist of a comprehensive review of the employment practices of the contractor with respect to the requirements of this chapter, and shall be conducted when warranted.

#### 1116 ENFORCEMENT

1116.1 If the contractor does not comply with the equal opportunity clauses in a particular contract, including subsections 1103.2 through 1103.10 of this chapter, that contract may be cancelled in whole or in part, and the contractor may be declared by the Director or the Contracting Officer to be ineligible for further District of Columbia Government Contracts subject to applicable laws and regulations governing debarment.

1116.2 If the contractor meets its goals or if the contractor can demonstrate that it has made every good faith effort to meet those goals, the contractor will be presumed to be in compliance with this chapter, and no formal sanction shall be instituted unless the Director otherwise determines that the contractor is not providing equal employment opportunity.

1116.3 When the Director proceeds with a formal hearing she or he has the burden of proving that the contractor has not met the requirements of this chapter, but the contractor's failure to meet its goals shall shift to it the requirement to come forward with evidence to show that it has met the good faith requirements of this chapter.

1117 COMPLAINTS

1117.1 The Director may initiate investigations of individual instances and patterns of discriminatory conduct, initiate complaints thereupon and keep the Contracting Agency informed of those actions.

1117.2 If the investigation indicates the existence of an apparent violation of the non-discrimination provisions of the contract required under section 1103 of this chapter the matter may be resolved by the methods of conference, conciliation, mediation, or persuasion.

1117.3 If an apparent violation of the non-discrimination provisions of the contract required under section 1103 of this chapter is not resolved by methods of conference, conciliation, mediation, or persuasion, the Director of the Contracting Officer may issue a notice requiring the contractor in question to show cause, within thirty (30) days, why enforcement proceedings or other appropriate action should not be initiated.

1117.4 Any employee of any District of Columbia Government contractor or applicant for employment who believes himself or herself to be aggrieved may, in person or by an authorized representative, file in writing, a complaint of alleged discrimination with the Director.

1118 HEARINGS

1118.1 In the event that a dispute arises between a bidder, offeror or prospective contractor and the Director or the Contracting Officer as to whether the proposed program of affirmative action for providing equal employment opportunity submitted by such bidder, offeror or prospective contractor complies with the requirements of this chapter and cannot be resolved by the methods of conference, conciliation, mediation, or persuasion, the bidder, offeror or prospective contractor in question shall be afforded the opportunity for a hearing before the Director.

1118.2 If a case in which an investigation by the Director or the Contracting Agency has shown the existence of an apparent violation of the non-discrimination provisions of the contract required under section 1103 is not resolved by the methods specified in subsection 1117.2, the Director may issue a notice requiring the contractor in question to show cause, within thirty (30) days, why enforcement proceedings or other appropriate action should not be initiated. The contractor in question shall also be afforded the opportunity for a hearing before the Director.

1118.3 The Director may hold a hearing on any complaint or violation under this chapter, and make determinations based on the facts brought before the hearing.

1118.4 Whenever the Director holds a hearing it is to be held pursuant to the Human Rights Act of 1977, a notice of thirty (30) working days for the hearing shall be given by registered mail, return receipt requested, to the contractor in question. The notice shall include the following:

- (a) A convenient time and place of hearing;
- (b) A statement of the provisions in this chapter or any other laws or regulations pursuant to which the hearing is to be held; and
- (c) A concise statement of the matters to be brought before the hearing.

1118.5 All hearings shall be open to the public and shall be conducted in accordance with rules, regulations, and procedures promulgated pursuant to the Human Rights Act of 1977.

1119 SANCTIONS

- 1119.1 The Director, upon finding that a contractor has failed to comply with the non-discrimination provisions of the contract required under section 1103, or has failed to make a good faith effort to achieve the utilization standards under an approved Affirmative Action Program, may impose sanctions contained in this section in addition to any sanction or remedies as may be imposed or invoked under the Human Rights Act of 1977.
- 1119.2 Sanctions imposed by the Director may include the following:
- (a) Order that the contractor be declared ineligible from consideration for award of District of Columbia Government contracts or subcontracts until such time as the Director may be satisfied that the contractor has established and will maintain equal opportunity policies in compliance with this chapter; and
  - (b) Direct each Contracting Officer administering any existing contract to cancel, terminate, or suspend the contract or any portion thereof, and to deny any extension, modification, or change, unless the contractor provides a program of future compliance satisfactory to the Director.
- 1119.3 Any sanction imposed under this chapter may be rescinded or modified upon reconsideration by the Director.
- 1119.4 An appeal of any sanction imposed by order of the Director under this chapter may be taken pursuant to applicable clauses of the affected contract or provisions of law and regulations governing District of Columbia Government contracts.
- 1120 NOTIFICATIONS
- 1120.1 The Director shall forward in writing notice of his or her findings of any violations of this chapter to the Contracting Officer for appropriate action under the contract.
- 1120.2 Whenever it appears that the holder of or an applicant for a permit, license or franchise issued by any agency or authority of the Government of the District of Columbia is a person determined to be in violation of this chapter the Director may, at any time he or she deems that action the Director may take or may have taken under the authority of this chapter, refer to the proper licensing agency or authority the facts and identities of all persons involved in the violation for such action as the agency or authority, in its judgement, considers appropriate based upon the facts thus disclosed to it.
- 1120.3 The Director may publish, or cause to be published, the names of contractors or unions which have been determined to have complied or have failed to comply with the provisions of the rules in this chapter.
- 1121 DISTRICT ASSISTED PROGRAMS
- 1121.1 Each agency which administers a program involving leasing of District of Columbia Government owned or controlled real property, or the financing of construction under industrial revenue bonds or urban development action grants, shall require as a condition for the approval of any agreement for leasing, bond issuance, or development action grant, that the applicant undertake and agree to incorporate, or cause to be incorporated into all construction contracts relating to or assisted by such agreements, the contract provisions prescribed for District of Columbia Government contracts by section 1103, preserving in substance the contractor's obligation under those provision.
- 1199 DEFINITIONS

1199.1

The following words and phrases set forth in this section, when used in this chapter, shall have the following meanings ascribed:

**Contract** – any binding legal relationship between the District of Columbia and a contractor for supplies or services, including but not limited to any District of Columbia Government or District of Columbia Government assisted construction or project, lease agreements, Industrial Revenue Bond financing, and Urban Development Action grant, or for the lease of District of Columbia property in which the parties, respectively, do not stand in the relationship of employer and employee.

**Contracting Agency** – any department, agency, or establishment of the District of Columbia which is authorized to enter into contracts.

**Contracting Officer** – any official of a contracting agency who is vested with the authority to execute contracts on behalf of said agency.

**Contractor** – any prime contractor holding a contract with the District of Columbia Government. The term shall also refer to subcontractors when the context so indicates.

**Director** – the Director of the Office of Human Rights, or his or her designee.

**Dispute** – any protest received from a bidder or prospective contractor relating to the effectiveness of his or her proposed program of affirmative action for providing equal opportunity.

**Minority** – Black Americans, Native Americans, Asian Americans, Pacific Islander Americans, and Hispanic Americans. In accordance with D.C. Code, Section 1-1142(1) (Supp. 1985).

**Subcontract** – any agreement made or executed by a prime contractor or a subcontractor where a material part of the supplies or services, including construction, covered by an agreement is being obtained for us in the performance of a contract subject to Mayor's Order No. 85-85, and any rules, regulations, and procedures issued pursuant thereto.

**Subcontractor** – any contractor holding a contract with a District prime contractor calling for supplies or services, including construction, required for the performance of a contract subject to Mayor's Order No. 85-85, and any rules, regulations, and procedures promulgated pursuant thereto.