PROFESSIONAL SERVICES AGREEMENT

RE-ENGINEERING AND ONBASE SYSTEM IMPLEMENTATION

BETWEEN

COOK COUNTY GOVERNMENT

BOARD OF REVIEW

AND

DATABANK IMX, LLC

CONTRACT NO. 1388-12983

APPROVED BY THE BOARD OF
COOK COUNTY COMMISSIONERS

JUL 23 2014

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PROFESSIONAL SERVICES AGREEMENT

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AGREEMENT

This Agreement is made and entered into by and between the County of Cook, a public body corporate of the State of Illinois, on behalf of Office of the Chief Procurement Officer hereinafter referred to as "County" and DataBank IMX, LLC doing business as a limited liability company of the State of Delaware, hereinafter referred to as "Consultant", pursuant to authorization by the Cook County Board of Commissioners on July 23, 2014, as evidenced by Board Authorization letter attached hereto as EXHIBIT "3".

BACKGROUND

The County of Cook issued a Request for Proposals "RFP" for Board of Review Re-engineering and OnBase System Implementation. Proposals were evaluated in accordance with the evaluation criteria published in the RFP. The Consultant was selected based on the proposal submitted and evaluated by the County representatives.

Consultant represents that it has the professional experience and expertise to provide the necessary services and further warrants that it is ready, willing and able to perform in accordance with the terms and conditions as set forth in this Agreement.

NOW, THEREFORE, the County and Consultant agree as follows:

TERMS AND CONDITIONS

ARTICLE 1) INCORPORATION OF BACKGROUND
The Background information set forth above is incorporated by reference as if fully set forth here.

ARTICLE 2) DEFINITIONS
a) Definitions

The following words and phrases have the following meanings for purposes of this Agreement:

"**Additional Services**" means those services which are within the general scope of Services of this Agreement, but beyond the description of services required under Article 3, and all services reasonably necessary to complete the Additional Services to the standards of performance

required by this Agreement. Any Additional Services requested by the Department require the approval of the Chief Procurement Officer in a written modification to this Agreement before Consultant is obligated to perform those Additional Services and before the County becomes obligated to pay for those Additional Services.

"**Agreement**" means this Professional Services Agreement, including all exhibits attached to it and incorporated in it by reference, and all amendments, modifications or revisions made in accordance with its terms.

"**Chief Procurement Officer**" means the Chief Procurement Officer for the County of Cook and any representative duly authorized in writing to act on his behalf.

"**Department**" means the Cook County Using Department.

"**Services**" means, collectively, the services, duties and responsibilities described in Article 3 of this Agreement and any and all work necessary to complete them or carry them out fully and to the standard of performance required in this Agreement.

"**Subcontractor**" means any person or entity with whom Consultant contracts to provide any part of the Services, including subcontractors and subconsultants of any tier, suppliers and materials providers, whether or not in privity with Consultant.

b) Interpretation

i) The term "**include**" (in all its forms) means "include, without limitation" unless the context clearly states otherwise.

ii) All references in this Agreement to Articles, Sections or Exhibits, unless otherwise expressed or indicated are to the Articles, Sections or Exhibits of this Agreement.

iii) Words importing persons include firms, associations, partnerships, trusts, corporations and other legal entities, including public bodies, as well as natural persons.

iv) Any headings preceding the text of the Articles and Sections of this Agreement, and any table of contents or marginal notes appended to it, are solely for convenience or reference and do not constitute a part of this Agreement, nor do they affect the meaning, construction or effect of this Agreement.

v) Words importing the singular include the plural and vice versa. Words of the masculine gender include the correlative words of the feminine and neuter genders.

vi) All references to a number of days mean calendar days, unless expressly indicated otherwise.

c) Incorporation of Exhibits

The following attached Exhibits are made a part of this Agreement:

Exhibit 1	Scope of Services/Compensation
Exhibit 2	Evidence of Insurance
Exhibit 3	Board Authorization
Exhibit 4	Economic Disclosure Statement/Signature Pages

ARTICLE 3) DUTIES AND RESPONSIBILITIES OF CONSULTANT

a) Scope of Services

This description of Services is intended to be general in nature and is neither a complete description of Consultant's Services nor a limitation on the Services that Consultant is to provide under this Agreement. Consultant must provide the Services in accordance with the standards of performance set forth in Section 3c. The Services that Consultant must provide include, but are not limited to, those described in Exhibit 1, Scope of Services and Time Limits for Performance, which is attached to this Agreement and incorporated by reference as if fully set forth here.

b) Deliverables

In carrying out its Services, Consultant must prepare or provide to the County various Deliverables. "**Deliverables**" include work product, such as written reviews, recommendations, reports and analyses, produced by Consultant for the County.

The County may reject Deliverables that do not include relevant information or data, or do not include all documents or other materials specified in this Agreement or reasonably necessary for the purpose for which the County made this Agreement or for which the County intends to use the Deliverables. If the County determines that Consultant has failed to comply with the foregoing standards, it has 30 days from the discovery to notify Consultant of its failure. If Consultant does not correct the failure, if it is possible to do so, within 30 days after receipt of notice from the County specifying the failure, then the County, by written notice, may treat the failure as a default of this Agreement under Article 9.

Partial or incomplete Deliverables may be accepted for review only when required for a specific and well-defined purpose and when consented to in advance by the County. Such Deliverables will not be considered as satisfying the requirements of this Agreement and partial or incomplete Deliverables in no way relieve Consultant of its commitments under this Agreement.

c) Standard of Performance

Consultant must perform all Services required of it under this Agreement with that degree of skill, care and diligence normally shown by a consultant performing services of a scope and purpose and magnitude comparable with the nature of the Services to be provided under this Agreement. Consultant acknowledges that it is entrusted with or has access to valuable and confidential information and records of the County and with respect to that information, Consultant agrees to be held to the standard of care of a fiduciary.

Consultant must assure that all Services that require the exercise of professional skills or judgment are accomplished by professionals qualified and competent in the applicable discipline and appropriately licensed, if required by law. Consultant must provide copies of any such licenses. Consultant remains responsible for the professional and technical accuracy of all Services or Deliverables furnished, whether by Consultant or its Subcontractors or others on its behalf. All Deliverables must be prepared in a form and content satisfactory to the Department and delivered in a timely manner consistent with the requirements of this Agreement.

If Consultant fails to comply with the foregoing standards, Consultant must perform again, at its own expense, all Services required to be re-performed as a direct or indirect result of that failure. Any review, approval, acceptance or payment for any of the Services by the County does not relieve Consultant of its responsibility for the professional skill and care and technical accuracy of its Services and Deliverables. This provision in no way limits the County's rights against Consultant either under this Agreement, at law or in equity.

d) Personnel

i) **Adequate Staffing**

Consultant must, upon receiving a fully executed copy of this Agreement, assign and maintain during the term of this Agreement and any extension of it an adequate staff of competent personnel that is fully equipped, licensed as appropriate, available as needed, qualified and assigned exclusively to perform the Services. Consultant must include among its staff the Key Personnel and positions as identified below. The level of staffing may be revised from time to time by notice in writing from Consultant to the County and with written consent of the County, which consent the County will not withhold unreasonably. If the County fails to object to the revision within 14 days after receiving the notice, then the revision will be considered accepted by the County.

ii) **Key Personnel**

Consultant must not reassign or replace Key Personnel without the written consent of the County, which consent the County will not unreasonably withhold. "**Key Personnel**" means those job titles and the persons assigned to those positions in accordance with the provisions of this Section 3.d(ii). The Department may at any time in writing notify Consultant that the County will no longer accept performance of Services under this Agreement by one or more Key Personnel listed. Upon that notice Consultant must immediately suspend the services of the key

person or persons and must replace him or them in accordance with the terms of this Agreement. A list of Key Personnel is found in Exhibit 1, Scope of Services.

iii) **Salaries and Wages**

Consultant and Subcontractors must pay all salaries and wages due all employees performing Services under this Agreement unconditionally and at least once a month without deduction or rebate on any account, except only for those payroll deductions that are mandatory by law or are permitted under applicable law and regulations. If in the performance of this Agreement Consultant underpays any such salaries or wages, the Comptroller for the County may withhold, out of payments due to Consultant, an amount sufficient to pay to employees underpaid the difference between the salaries or wages required to be paid under this Agreement and the salaries or wages actually paid these employees for the total number of hours worked. The amounts withheld may be disbursed by the Comptroller for and on account of Consultant to the respective employees to whom they are due. The parties acknowledge that this Section 3.d(iii) is solely for the benefit of the County and that it does not grant any third party beneficiary rights.

e) Minority and Women's Business Enterprises Commitment

In the performance of this Agreement, including the procurement and lease of materials or equipment, Consultant must abide by the minority and women's business enterprise commitment requirements of the Cook County Ordinance, (Article IV, Section 34-267 through 272) except to the extent waived by the Compliance Director. Consultant's completed MBE/WBE Utilization Plan evidencing its compliance with this requirement are a part of this Agreement, in Section 1 of the Economic Disclosure Statement, upon acceptance by the Compliance Director. Consultant must utilize minority and women's business enterprises at the greater of the amounts committed to by the Consultant for this Agreement in accordance with Section 1 of the Economic Disclosure Statement .

f) Insurance

Consultant must provide and maintain at Consultant's own expense, during the term of this Agreement and any time period following expiration if Consultant is required to return and perform any of the Services or Additional Services under this Agreement, the insurance coverages and requirements specified below, insuring all operations related to this Agreement.

i) Insurance To Be Provided

(1) Workers Compensation and Employers Liability

Workers Compensation Insurance, as prescribed by applicable law, covering all employees who are to provide a service under this Agreement and Employers Liability coverage with limits of not less than $500,000 each accident or illness.

(2) Commercial General Liability (Primary and Umbrella)

Commercial General Liability Insurance or equivalent with limits of not less than $2,000,000 per occurrence for bodily injury, personal injury and property damage liability. Coverages must include the following: All premises and operations, products/completed operations, separation of insureds, defense and contractual liability (with no limitation endorsement). Cook County is to be named as an additional insured on a primary, non-contributory basis for any liability arising directly or indirectly from the Services.

Subcontractors performing Services for Consultant must maintain limits of not less than $1,000,000 with the same terms in this Section 3.i.(2).

(3) Automobile Liability (Primary and Umbrella)

When any motor vehicles (owned, non-owned and hired) are used in connection with Services to be performed, Consultant must provide Automobile Liability Insurance with limits of not less than $1,000,000 per occurrence limit, for bodily injury and property damage. The County is to be named as an additional insured on a primary, non-contributory basis.

(4) Professional Liability

When any professional consultants perform Services in connection with this Agreement, Professional Liability Insurance covering acts, errors or omissions must be maintained with limits of not less than $1,000,000. Coverage must include contractual liability. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede, start of Services on this Agreement. A claims-made policy which is not renewed or replaced must have an extended reporting period of 2 years.

Subcontractors performing Services for Consultant must maintain limits of not less than $1,000,000 with the same terms in this Section.

(5) Valuable Papers

When any designs, drawings, specifications and documents are produced or used under this Agreement, Valuable Papers Insurance must be maintained in an amount to insure against any loss whatsoever, and must have limits sufficient to pay for the re-creation and reconstruction of such records.

ii) **Additional Requirements**

Consultant must furnish the County of Cook, Cook County, Office of the Chief Procurement Officer, 118 N, Clark St., Room 1018, Chicago, IL 60602, original Certificates of Insurance, or such similar evidence, to be in force on the date of this Agreement, and Renewal Certificates of Insurance, or such similar evidence, if the coverages have an expiration or renewal date occurring during the term of this Agreement. Consultant must submit evidence of insurance on the County Insurance Certificate Form (copy attached as Exhibit 2) or equivalent prior to

Agreement award. The receipt of any certificate does not constitute agreement by the County that the insurance requirements in this Agreement have been fully met or that the insurance policies indicated on the certificate are in compliance with all Agreement requirements. The failure of the County to obtain certificates or other insurance evidence from Consultant is not a waiver by the County of any requirements for Consultant to obtain and maintain the specified coverages. Consultant must advise all insurers of the provisions in this Agreement regarding insurance. Non-conforming insurance does not relieve Consultant of the obligation to provide insurance as specified in this Agreement. Nonfulfillment of the insurance conditions may constitute a violation of this Agreement, and the County retains the right to terminate this Agreement or to suspend this Agreement until proper evidence of insurance is provided.

(1) The insurance must provide for 60 days prior written notice to be given to the County in the event coverage is substantially changed, canceled or non-renewed. All deductibles or self-insured retentions on referenced insurance coverages must be borne by Consultant. Consultant agrees that insurers waive their rights of subrogation against the County of Cook, its employees, elected officials, agents or representatives.

(2) The coverages and limits furnished by Consultant in no way limit Consultant's liabilities and responsibilities specified within this Agreement or by law. Any insurance or self-insurance programs maintained by the County of Cook apply in excess of and do not contribute with insurance provided by Consultant under this Agreement.

(3) The required insurance is not limited by any limitations expressed in the indemnification language in this Agreement or any limitation placed on the indemnity in this Agreement given as a matter of law.

(4) Consultant must require all Subcontractors to provide the insurance required in this Agreement, or Consultant may provide the coverages for Subcontractors. All Subcontractors are subject to the same insurance requirements as Consultant unless otherwise specified in this Agreement. If Consultant or Subcontractor desires additional coverages, the party desiring the additional coverages is responsible for its acquisition and cost.

(5) The County's Risk Management Office maintains the right to modify, delete, alter or change these requirements. "**Risk Management Office**" means the Risk Management Office, which is under the direction of the Director of Risk Management and is charged with reviewing and analyzing insurance and related liability matters for the County.

g) Indemnification

The Contractor covenants and agrees to indemnify and save harmless the County and its commissioners, officials, employees, agents and representatives, and their respective heirs, successors and assigns, from and against any and all costs, expenses, attorney's fees, losses, damages and liabilities incurred or suffered directly or indirectly from or attributable to any claims arising out of or incident to the performance or nonperformance of the Contract by the Contractor, or the acts or omissions of the officers, agents, employees, contractors, subcontractors, licensees or invitees of the Contractor. The Contractor expressly understands and

agrees that any insurance protection required of the Contractor, or otherwise provided by the Contractor, shall in no way limit the responsibility to indemnify the County as hereinabove provided.

h) Confidentiality and Ownership of Documents

Contractor acknowledges and agrees that information regarding this Contract is confidential and shall not be disclosed, directly, indirectly or by implication, or be used by Contractor in any way, whether during the term of this Contract or at any time thereafter, except solely as required in the course of Contractor's performance hereunder. Contractor shall comply with the applicable privacy laws and regulations affecting County and will not disclose any of County's records, materials, or other data to any third party. Contractor shall not have the right to compile and distribute statistical analyses and reports utilizing data derived from information or data obtained from County without the prior written approval of County. In the event such approval is given, any such reports published and distributed by Contractor shall be furnished to County without charge.

Contractor will retain all right, title and interest in and to all Intellectual Property developed under this Agreement. The County acknowledges that its possession, installation or use of Intellectual Property will not transfer to it any title to such property.

Contractor grants to the County, a fully-paid, royalty-free, non-exclusive, non-transferable, worldwide, irrevocable, perpetual, assignable license to make, have made, use, reproduce, distribute, modify, publicly display, publicly perform, digitally perform, transmit, copy, sublicense to any County subcontractor for purposes of creating, implementing, maintaining or enhancing a Deliverable, and create derivative works for the County, based upon Intellectual Property, in any media now known or hereafter known, to the extent the same are embodied in the Deliverables, or otherwise required to exploit the Deliverables. During the term of this Agreement and immediately upon any expiration or termination thereof for any reason, Contractor will provide to the County the most current copies of any Intellectual Property to which the County has rights pursuant to the foregoing, including any related documentation.

Notwithstanding anything contained herein to the contrary, and notwithstanding the County's use of Intellectual Property under the license created herein, Contractor shall have all the rights and incidents of ownership with respect to Intellectual Property, including the right to use such property for any purpose whatsoever and to grant licenses in the same to third parties. Contractor shall not encumber or otherwise transfer any rights that would preclude a free and clear license grant to the County.

i) Patents, Copyrights and Licenses

If applicable, Contractor shall furnish the Chief Procurement Officer with all licenses required for

the County to utilize any software, including firmware or middleware, provided by Contractor as part of the Deliverables. Such licenses shall be clearly marked with a reference to the number of this County Contract. Contractor shall also furnish a copy of such licenses to the Chief Procurement Officer.

Contractor agrees to hold harmless and indemnify the County, its officers, agents, employees and affiliates from and defend, at its own expense (including reasonable attorneys', accountants' and consultants' fees), any suit or proceeding brought against County based upon a claim that the ownership and/or use of equipment, hardware and software or any part thereof provided to the County or utilized in performing Contractor's services constitutes an infringement of any patent, copyright or license or any other property right.

j) Examination of Records and Audits

The Contractor agrees that the Cook County Auditor or any of its duly authorized representatives shall, until expiration of three (3) years after the final payment under the Contract, have access and the right to examine any books, documents, papers, canceled checks, bank statements, purveyor's and other invoices, and records of the Contractor related to the Contract, or to Contractor's compliance with any term, condition or provision thereof. The Contractor shall be responsible for establishing and maintaining records sufficient to document the costs associated with performance under the terms of this Contract.

The Contractor further agrees that it shall include in all of its subcontracts hereunder a provision to the effect that the subcontractor agrees that the Cook County Auditor or any of its duly authorized representatives shall, until expiration of three (3) years after final payment under the subcontract, have access and the right to examine any books, documents, papers, canceled checks, bank statements, purveyor's and other invoices and records of such subcontractor involving transactions relating to the subcontract, or to such subcontractor's compliance with any term, condition or provision thereunder or under the Contract.

In the event the Contractor receives payment under the Contract, reimbursement for which is later disallowed by the County, the Contractor shall promptly refund the disallowed amount to the County on request, or at the County's option, the County may credit the amount disallowed from the next payment due or to become due to the Contractor under any contract with the County.

To the extent this Contract pertains to Deliverables which may be reimbursable under the Medicaid or Medicare Programs, Contractor shall retain and make available upon request, for a period of four (4) years after furnishing services pursuant to this Agreement, the contract, books, documents and records which are necessary to certify the nature and extent of the costs of such services if requested by the Secretary of Health and Human Services or the Comptroller General of the United States or any of their duly authorized representatives. If Contractor carries out any of its duties under the Agreement through a subcontract with a related organization involving a value of cost of $10,000.00 or more over a 12 month period, Contractor will cause such subcontract to contain a clause to the effect that, until the expiration of four years after the

furnishing of any service pursuant to said subcontract, the related organization will make available upon request of the Secretary of Health and Human Services or the Comptroller General of the United States or any of their duly authorized representatives, copies of said subcontract and any books, documents, records and other data of said related organization that

are necessary to certify the nature and extent of such costs. This paragraph relating to the retention and production of documents is included because of possible application of Section 1861(v)(1)(I) of the Social Security Act to this Agreement; if this Section should be found to be inapplicable, then this paragraph shall be deemed inoperative and without force and effect.

k) Subcontracting or Assignment of Contract or Contract Funds

Once awarded, this Contract shall not be subcontracted or assigned, in whole or in part, without the advance written approval of the Chief Procurement Officer, which approval shall be granted or withheld at the sole discretion of the Chief Procurement Officer. In no case, however, shall such approval relieve the Contractor from its obligations or change the terms of the Contract. The Contractor shall not transfer or assign any Contract funds or any interest therein due or to become due without the advance written approval of the Chief Procurement Officer. The unauthorized subcontracting or assignment of the Contract, in whole or in part, or the unauthorized transfer or assignment of any Contract funds, either in whole or in part, or any interest therein, which shall be due or are to become due the Contractor shall have no effect on the County and are null and void.

Prior to the commencement of the Contract, the Contractor shall identify in writing to the Chief Procurement Officer the names of any and all subcontractors it intends to use in the performance of the Contract. The Chief Procurement Officer shall have the right to disapprove any subcontractor. Identification of subcontractors to the Chief Procurement Officer shall be in addition to any communications with County offices other than the Chief Procurement Officer. All subcontractors shall be subject to the terms of this Contract. Contractor shall incorporate into all subcontracts all of the provisions of the Contract which affect such subcontract. Copies of subcontracts shall be provided to the Chief Procurement Officer upon request.

The Contractor must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Contractor has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Contractor is not required to disclose employees who are paid or estimated to be paid. The Contractor is not required to disclose employees who are paid solely through the contractor's regular payroll. "Lobbyist" means any person or entity who undertakes to influence any legislation or administrative action on behalf of any person or entity other than:1) a not-for-profit entity, on an unpaid basis, or (2), himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action. If the Contractor is uncertain whether a disclosure is required under this Section, the Contractor must either ask the County, whether disclosure is required or make the disclosure.

The County reserves the right to prohibit any person from entering any County facility for any reason. All contractors and subcontractors of the Contractor shall be accountable to the Chief Procurement Officer or his designee while on any County property and shall abide by all rules and regulations imposed by the County.

l) Professional Social Services

In accordance with 34-146, of the Cook County Procurement Code, all Consultants or providers providing services under a Professional Social Service Contracts or Professional Social Services Agreements, shall submit an annual performance report to the Using Agency, i.e., the agency for whom the Consultant or provider is providing the professional social services, that includes but is not limited to relevant statistics, an empirical analysis where applicable, and a written narrative describing the goals and objectives of the contract or agreement and programmatic outcomes. The annual performance report shall be provided and reported to the Cook County Board of Commissioners by the applicable Using Agency within forty-five days of receipt. Failure of the Consultant or provider to provide an annual performance report will be considered a breach of contract or agreement by the Consultant or provider, and may result in termination of the Contract or agreement.

For purposes of this Section, a Professional Social Service Contract or Professional Social Service Agreement shall mean any contract or agreement with a social service provider, including other governmental agencies, nonprofit organizations, or for profit business enterprises engaged in the field of and providing social services, juvenile justice, mental health treatment, alternative sentencing, offender rehabilitation, recidivism reduction, foster care, substance abuse treatment, domestic violence services, community transitioning services, intervention, or such other similar services which provide mental, social or physical treatment and services to individuals. Said Professional Social Service Contracts or Professional Social Service Agreements do not include CCHHS managed care contracts that CCHHS may enter into with health care providers.

ARTICLE 4) TERM OF PERFORMANCE

a) Term of Performance

This Agreement takes effect when approved by the Cook County Board and its term shall begin on August 1, 2014 ("**Effective Date**") and continue until July 31, 2017 or until this Agreement is terminated in accordance with its terms, whichever occurs first.

b) Timeliness of Performance

i) Consultant must provide the Services and Deliverables within the term and within the time limits required under this Agreement, pursuant to the provisions of Section 4.a and Exhibit 1. Further, Consultant acknowledges that TIME IS OF THE ESSENCE and that the failure of

ii) Neither Consultant nor Consultant's agents, employees or Subcontractors are entitled to any damages from the County, nor is any party entitled to be reimbursed by the County, for damages, charges or other losses or expenses incurred by Consultant by reason of delays or hindrances in the performance of the Services, whether or not caused by the County.

c) Agreement Extension Option

The Chief Procurement Officer may at any time before this Agreement expires elect to extend this Agreement for up to two (2) additional one-year periods under the same terms and conditions as this original Agreement, except as provided otherwise in this Agreement, by notice in writing to Consultant. After notification by the Chief Procurement Officer, this Agreement must be modified to reflect the time extension in accordance with the provisions of Section 10.c.

ARTICLE 5) COMPENSATION

a) Basis of Payment

The County will pay Consultant according to the Schedule of Compensation in the attached Exhibit1 for the successful completion of services.

b) Method of Payment

All invoices submitted by the Contractor shall be in accordance with the cost provisions according to the Schedule of Compensation in the attached Exhibit1. The invoices shall contain a detailed description of the Deliverables for which payment is requested. All invoices shall reflect the amounts invoiced by and the amounts paid to the Contractor as of the date of the invoice, and shall be submitted together with a properly completed County Voucher form (29A). Invoices for new charges shall not include "past due" amounts, if any, which amounts must be set forth on a separate invoice. No payments shall be made with respect to invoices which do not include the County Voucher form or which otherwise fail to comply with the requirements of this paragraph. Contractor shall be entitled to invoice the County for any late fees or other related penalties if not paid within 120 days and the late fee shall not exceed 1.5% of the invoice(s) in question.

c) Funding

The source of funds for payments under this Agreement is identified in Exhibit 1, Schedule of Compensation. Payments under this Agreement must not exceed the dollar amount shown in Exhibit 1 without a written amendment in accordance with Section 10.c.

d) Non-Appropriation

If no funds or insufficient funds are appropriated and budgeted in any fiscal period of the County for payments to be made under this Agreement, then the County will notify Consultant in writing

of that occurrence, and this Agreement will terminate on the earlier of the last day of the fiscal period for which sufficient appropriation was made or whenever the funds appropriated for payment under this Agreement are exhausted. Payments for Services completed to the date of notification will be made to Consultant. No payments will be made or due to Consultant and under this Agreement beyond those amounts appropriated and budgeted by the County to fund payments under this Agreement.

e) Taxes

Federal Excise Tax does not apply to materials purchased by the County by virtue of Exemption Certificate No. 36-75-0038K. Illinois Retailers' Occupation Tax, Use Tax and Municipal Retailers' Occupation Tax do not apply to deliverables, materials or services purchased by the County by virtue of statute. The price or prices quoted herein shall include any and all other federal and/or state, direct and/or indirect taxes which apply to this Contract. The County's State of Illinois Sales Tax Exemption Identification No. is E-9998-2013-05.

f) Price Reduction

If at any time after the contract award, Contractor makes a general price reduction in the price of any of the Deliverables, the equivalent price reduction based on similar quantities and/or considerations shall apply to this Contract for the duration of the Contract period. For purposes of this Section 5.f., Price Reduction, a general price reduction shall include reductions in the effective price charged by Contractor by reason of rebates, financial incentives, discounts, value points or other benefits with respect to the purchase of the Deliverables. Such price reductions shall be effective at the same time and in the same manner as the reduction Contractor makes in the price of the Deliverables to its prospective customers generally.

g) Contractor Credits

To the extent the Contractor gives credits toward future purchases of goods or services, financial incentives, discounts, value points or other benefits based on the purchase of the materials or services provided for under this Contract, such credits belong to the County and not any specific using department. Contractor shall reflect any such credits on its invoices and in the amounts it invoices the County.

ARTICLE 6) DISPUTES

Any dispute arising under the Contract between the County and Contractor shall be decided by the Chief Procurement Officer. The complaining party shall submit a written statement detailing the dispute and specifying the specific relevant Contract provision(s) to the Chief Procurement Officer. Upon request of the Chief Procurement Officer, the party complained against shall respond to the complaint in writing within five days of such request. The Chief Procurement Officer will reduce her decision to writing and mail or otherwise furnish a copy thereof to the Contractor. The

decision of the Chief Procurement Officer will be final and binding. Dispute resolution as provided herein shall be a condition precedent to any other action at law or in equity. However, unless a notice is issued by the Chief Procurement Officer indicating that additional time is required to review a dispute, the parties may exercise their contractual remedies, if any, if no decision is made within sixty (60) days following notification to the Chief Procurement Officer of a dispute. No inference shall be drawn from the absence of a decision by the Chief Procurement Officer. Notwithstanding a dispute, Contractor shall continue to discharge all its obligations, duties and responsibilities set forth in the Contract during any dispute resolution proceeding unless otherwise agreed to by the County in writing.

ARTICLE 7) COMPLIANCE WITH ALL LAWS

The Contractor shall observe and comply with the laws, ordinances, regulations and codes of the Federal, State, County and other local government agencies which may in any manner affect the performance of the Contract including, but not limited to, those County Ordinances set forth in the Certifications attached hereto and incorporated herein. Assurance of compliance with this requirement by the Contractor's employees, agents or subcontractors shall be the responsibility of the Contractor.

The Contractor shall secure and pay for all federal, state and local licenses, permits and fees required hereunder.

ARTICLE 8) SPECIAL CONDITIONS

a) Warranties and Representations

In connection with signing and carrying out this Agreement, Consultant:

i) warrants that Consultant is appropriately licensed under Illinois law to perform the Services required under this Agreement and will perform no Services for which a professional license is required by law and for which Consultant is not appropriately licensed;

ii) warrants it is financially solvent; it and each of its employees, agents and Subcontractors of any tier are competent to perform the Services required under this Agreement; and Consultant is legally authorized to execute and perform or cause to be performed this Agreement under the terms and conditions stated in this Agreement;

iii) warrants that it will not knowingly use the services of any ineligible consultant or Subcontractor for any purpose in the performance of its Services under this Agreement;

iv) warrants that Consultant and its Subcontractors are not in default at the time this Agreement is signed, and have not been considered by the Chief Procurement Officer to have, within 5 years immediately preceding the date of this Agreement, been found to be in default on any contract awarded by the County ;

v) represents that it has carefully examined and analyzed the provisions and requirements of this Agreement; it understands the nature of the Services required; from its own analysis it has satisfied itself as to the nature of all things needed for the performance of this Agreement; this Agreement is feasible of performance in accordance with all of its provisions and requirements, and Consultant warrants it can and will perform, or cause to be performed, the Services in strict accordance with the provisions and requirements of this Agreement;

vi) represents that Consultant and, to the best of its knowledge, its Subcontractors are not in violation of the provisions of the Illinois Criminal Code, 720 ILCS 5/33E as amended; and

vii) acknowledges that any certification, affidavit or acknowledgment made under oath in connection with this Agreement is made under penalty of perjury and, if false, is also cause for termination under Sections 9.a and 9.c.

b) Ethics

i) In addition to the foregoing warranties and representations, Consultant warrants:

(1) no officer, agent or employee of the County is employed by Consultant or has a financial interest directly or indirectly in this Agreement or the compensation to be paid under this Agreement except as may be permitted in writing by the Board of Ethics.

(2) no payment, gratuity or offer of employment will be made in connection with this Agreement by or on behalf of any Subcontractors to the prime Consultant or higher tier Subcontractors or anyone associated with them, as an inducement for the award of a subcontract or order.

c) Joint and Several Liability

If Consultant, or its successors or assigns, if any, is comprised of more than one individual or other legal entity (or a combination of them), then under this Agreement, each and without limitation every obligation or undertaking in this Agreement to be fulfilled or performed by Consultant is the joint and several obligation or undertaking of each such individual or other legal entity.

d) Business Documents

At the request of the County, Consultant must provide copies of its latest articles of incorporation, by-laws and resolutions, or partnership or joint venture agreement, as applicable.

e) Conflicts of Interest

i) No member of the governing body of the County or other unit of government and no other officer, employee or agent of the County or other unit of government who exercises any

functions or responsibilities in connection with the Services to which this Agreement pertains is permitted to have any personal interest, direct or indirect, in this Agreement. No member of or delegate to the Congress of the United States or the Illinois General Assembly and no Commissioner of the Cook County Board or County employee is allowed to be admitted to any share or part of this Agreement or to any financial benefit to arise from it.

ii) Consultant covenants that it, and to the best of its knowledge, its Subcontractors if any (collectively, "**Consulting Parties**"), presently have no direct or indirect interest and will not acquire any interest, direct or indirect, in any project or contract that would conflict in any manner or degree with the performance of its Services under this Agreement.

iii) Upon the request of the County, Consultant must disclose to the County its past client list and the names of any clients with whom it has an ongoing relationship. Consultant is not permitted to perform any Services for the County on applications or other documents submitted to the County by any of Consultant's past or present clients. If Consultant becomes aware of a conflict, it must immediately stop work on the assignment causing the conflict and notify the County.

iv) Without limiting the foregoing, if the Consulting Parties assist the County in determining the advisability or feasibility of a project or in recommending, researching, preparing, drafting or issuing a request for proposals or bid specifications for a project, the Consulting Parties must not participate, directly or indirectly, as a prime, subcontractor or joint venturer in that project or in the preparation of a proposal or bid for that project during the term of this Agreement or afterwards. The Consulting Parties may, however, assist the County in reviewing the proposals or bids for the project if none of the Consulting Parties have a relationship with the persons or entities that submitted the proposals or bids for that project.

v) The Consultant further covenants that, in the performance of this Agreement, no person having any conflicting interest will be assigned to perform any Services or have access to any confidential information, as defined in Section 3.h of this Agreement. If the County, by the Chief Procurement Officer in his reasonable judgment, determines that any of Consultant's Services for others conflict with the Services Consultant is to render for the County under this Agreement, Consultant must terminate such other services immediately upon request of the County.

vi) Furthermore, if any federal funds are to be used to compensate or reimburse Consultant under this Agreement, Consultant represents that it is and will remain in compliance with federal restrictions on lobbying set forth in Section 319 of the Department of the Interior and Related Agencies Appropriations Act for Fiscal year 1990, 31 U.S.C. § 1352, and related rules and regulations set forth at 54 Fed. Reg. 52,309 ff. (1989), as amended. If federal funds are to be used, Consultant must execute a Certification Regarding Lobbying, which will be attached as an exhibit and incorporated by reference as if fully set forth here.

f) Non-Liability of Public Officials

Consultant and any assignee or Subcontractor of Consultant must not charge any official, employee or agent of the County personally with any liability or expenses of defense or hold any official, employee or agent of the County personally liable to them under any term or provision of this Agreement or because of the County's execution, attempted execution or any breach of this Agreement.

ARTICLE 9) EVENTS OF DEFAULT, REMEDIES, TERMINATION, SUSPENSION AND RIGHT TO OFFSET

a) Events of Default Defined

The following constitute events of default:

i) Any material misrepresentation, whether negligent or willful and whether in the inducement or in the performance, made by Consultant to the County.

ii) Consultant's material failure to perform any of its obligations under this Agreement including the following:

(a) Failure due to a reason or circumstances within Consultant's reasonable control to perform the Services with sufficient personnel and equipment or with sufficient material to ensure the performance of the Services;

(b) Failure to perform the Services in a manner reasonably satisfactory to the Chief Procurement Officer or inability to perform the Services satisfactorily as a result of insolvency, filing for bankruptcy or assignment for the benefit of creditors;

(c) Failure to promptly re-perform within a reasonable time Services that were rejected as erroneous or unsatisfactory;

(d) Discontinuance of the Services for reasons within Consultant's reasonable control; and

(e) Failure to comply with any other material term of this Agreement, including the provisions concerning insurance and nondiscrimination.

iii) Any change in ownership or control of Consultant without the prior written approval of the Chief Procurement Officer, which approval the Chief Procurement Officer will not unreasonably withhold.

iv) Consultant's default under any other agreement it may presently have or may enter into with the County during the life of this Agreement. Consultant acknowledges and agrees that in

the event of a default under this Agreement the County may also declare a default under any such other Agreements.

(v) Failure to comply with Article 7 in the performance of the Agreement.

(vi) Consultant's repeated or continued violations of County ordinances unrelated to performance under the Agreement that in the opinion of the Chief Procurement Officer indicate a willful or reckless disregard for County laws and regulations.

b) Remedies

The occurrence of any event of default permits the County, at the County's sole option, to declare Consultant in default. The Chief Procurement Officer will give Consultant an opportunity to cure the default within a certain period of time, which period of time must not exceed 30 days, unless extended by the Chief Procurement Officer. Whether to declare Consultant in default is within the sole discretion of the Chief Procurement Officer and neither that decision nor the factual basis for it is subject to review or challenge under the Disputes provision of this Agreement.

The Chief Procurement Officer will give Consultant written notice of the default, either in the form of a cure notice ("**Cure Notice**"), or, if no opportunity to cure will be granted, a default notice ("**Default Notice**"). If the Chief Procurement Officer gives a Default Notice, he will also indicate any present intent he may have to terminate this Agreement, and the decision to terminate (but not the decision not to terminate) is final and effective upon giving the notice. The Chief Procurement Officer may give a Default Notice if Consultant fails to effect a cure within the cure period given in a Cure Notice. When a Default Notice with intent to terminate is given as provided in this Section 9.b and Article 11, Consultant must discontinue any Services, unless otherwise directed in the notice, and deliver all materials accumulated in the performance of this Agreement, whether completed or in the process, to the County. After giving a Default Notice, the County may invoke any or all of the following remedies:

i) The right to take over and complete the Services, either directly or through others.

ii) The right to terminate this Agreement as to any or all of the Services yet to be performed effective at a time specified by the County;

iii) The right of specific performance, an injunction or any other appropriate equitable remedy;

iv) The right to money damages;

v) The right to withhold all or any part of Consultant's compensation related to the deliverable in question;

vi) The right to consider Consultant non-responsible in future contracts to be awarded by the County.

If the Chief Procurement Officer considers it to be in the County's best interests, he may elect not to declare default or to terminate this Agreement. The parties acknowledge that this provision is solely for the benefit of the County and that if the County permits Consultant to continue to provide the Services despite one or more events of default, Consultant is in no way relieved of any of its responsibilities, duties or obligations under this Agreement, nor does the County waive or relinquish any of its rights.
The remedies under the terms of this Agreement are not intended to be exclusive of any other remedies provided, but each and every such remedy is cumulative and is in addition to any other remedies, existing now or later, at law, in equity or by statute. No delay or omission to exercise any right or power accruing upon any event of default impairs any such right or power, nor is it a waiver of any event of default nor acquiescence in it, and every such right and power may be exercised from time to time and as often as the County considers expedient.

c) Early Termination

In addition to termination under Sections 9.a and 9.b of this Agreement, the County may terminate this Agreement, or all or any portion of the Services to be performed under it, at any time by a notice in writing from the County to Consultant. The County will give notice to Consultant in accordance with the provisions of Article 11. The effective date of termination will be the date the notice is received by Consultant or the date stated in the notice, whichever is later. If the County elects to terminate this Agreement in full, all Services to be provided under it must cease and all materials that may have been accumulated in performing this Agreement, whether completed or in the process, must be delivered to the County effective 10 days after the date the notice is considered received as provided under Article 11 of this Agreement (if no date is given) or upon the effective date stated in the notice.

After the notice is received, Consultant must restrict its activities, and those of its Subcontractors, to winding down any reports, analyses, or other activities previously begun. No costs incurred after the effective date of the termination are allowed. Payment for any Services actually and satisfactorily performed before the effective date of the termination is on the same basis as set forth in Article 5, but if any compensation is described or provided for on the basis of a period longer than 10 days, then the compensation must be prorated accordingly. No amount of compensation, however, is permitted for anticipated profits on unperformed Services. The County and Consultant must attempt to agree on the amount of compensation to be paid to Consultant, but if not agreed on, the dispute must be settled in accordance with Article 6 of this Agreement. The payment so made to Consultant is in full settlement for all Services satisfactorily performed under this Agreement.

Consultant must include in its contracts with Subcontractors an early termination provision in form and substance equivalent to this early termination provision to prevent claims against the County arising from termination of subcontracts after the early termination. Consultant will not be entitled to make any early termination claims against the County resulting from any

Subcontractor's claims against Consultant or the County to the extent inconsistent with this provision.

If the County's election to terminate this Agreement for default under Sections 9.a and 9.b is determined in a court of competent jurisdiction to have been wrongful, then in that case the termination is to be considered to be an early termination under this Section 9.c.

d) Suspension

The County may at any time request that Consultant suspend its Services, or any part of them, by giving 15 days prior written notice to Consultant or upon informal oral, or even no notice, in the event of emergency. No costs incurred after the effective date of such suspension are allowed. Consultant must promptly resume its performance of the Services under the same terms and conditions as stated in this Agreement upon written notice by the Chief Procurement Officer and such equitable extension of time as may be mutually agreed upon by the Chief Procurement Officer and Consultant when necessary for continuation or completion of Services. Any additional costs or expenses actually incurred by Consultant as a result of recommencing the Services must be treated in accordance with the compensation provisions under Article 5 of this Agreement.

No suspension of this Agreement is permitted in the aggregate to exceed a period of 45 days within any one year of this Agreement. If the total number of days of suspension exceeds 45 days, Consultant by written notice may treat the suspension as an early termination of this Agreement under Section 9.c.

e) Right to Offset

i) In connection with performance under this Agreement:

The County may offset any excess costs incurred:

(i) if the County terminates this Agreement for default or any other reason resulting from Consultant's performance or non-performance;

(ii) if the County exercises any of its remedies under Section 9.b of this Agreement; or

(iii) if the County has any credits due or has made any overpayments under this Agreement.

The County may offset these excess costs by use of any payment due for Services completed before the County terminated this Agreement or before the County exercised any remedies. If the amount offset is insufficient to cover those excess costs, Consultant is liable for and must promptly remit to the County the balance upon written demand for it. This right to offset is in addition to and not a limitation of any other remedies available to the County.

f.) Delays

Contractor agrees that no charges or claims for damages shall be made by Contractor for any delays or hindrances from any cause whatsoever during the progress of any portion of this Contract.

g.) Prepaid Fees

In the event this Contract is terminated by either party, for cause or otherwise, and the County has prepaid for any Deliverables, Contractor shall refund to the County, on a prorated basis to the effective date of termination, all amounts prepaid for Deliverables not actually provided as of the effective date of the termination. The refund shall be made within fourteen (14) days of the effective date of termination.

ARTICLE 10) GENERAL CONDITIONS

a) Entire Agreement

i) **General**

This Agreement, and the exhibits attached to it and incorporated in it, constitute the entire agreement between the parties and no other warranties, inducements, considerations, promises or interpretations are implied or impressed upon this Agreement that are not expressly addressed in this Agreement.

ii) **No Collateral Agreements**

Consultant acknowledges that, except only for those representations, statements or promises expressly contained in this Agreement and any exhibits attached to it and incorporated by reference in it, no representation, statement or promise, oral or in writing, of any kind whatsoever, by the County, its officials, agents or employees, has induced Consultant to enter into this Agreement or has been relied upon by Consultant, including any with reference to: (i) the meaning, correctness, suitability or completeness of any provisions or requirements of this Agreement; (ii) the nature of the Services to be performed; (iii) the nature, quantity, quality or volume of any materials, equipment, labor and other facilities needed for the performance of this Agreement; (iv) the general conditions which may in any way affect this Agreement or its performance; (v) the compensation provisions of this Agreement; or (vi) any other matters, whether similar to or different from those referred to in (i) through (vi) immediately above, affecting or having any connection with this Agreement, its negotiation, any discussions of its performance or those employed or connected or concerned with it.

iii) **No Omissions**

Consultant acknowledges that Consultant was given an opportunity to review all documents forming this Agreement before signing this Agreement in order that it might request inclusion in this Agreement of any statement, representation, promise or provision that it desired or on that it wished to place reliance. Consultant did so review those documents, and either every such statement, representation, promise or provision has been included in this Agreement or else, if omitted, Consultant relinquishes the benefit of any such omitted statement, representation, promise or provision and is willing to perform this Agreement in its entirety without claiming reliance on it or making any other claim on account of its omission.

b) Counterparts

This Agreement is comprised of several identical counterparts, each to be fully signed by the parties and each to be considered an original having identical legal effect.

c) Modifications and Amendments

The parties may during the term of the Contract make modifications and amendments to the Contract but only as provided in this section. Such modifications and amendments shall only be made by mutual agreement in writing.

In the case of Contracts not approved by the Board, the Chief Procurement Officer may amend a contract provided that any such amendment does not extend the Contract by more than one (1) year, and further provided that the total cost of all such amendments does not increase the total amount of the Contract beyond $150,000. Such action may only be made with the advance written approval of the Chief Procurement Officer. If the amendment extends the Contract beyond one (1) year or increases the total award amount beyond $150,000, then Board approval will be required.

No County department or employee thereof has authority to make any modifications or amendments to this Contract. Any modifications or amendments to this Contract made without the express written approval of the Chief Procurement Officer is void and unenforceable.

Consultant is hereby notified that, except for modifications and amendments which are made in accordance with this Section10.c., Modifications and Amendments, no County department or employee thereof has authority to make any modification or amendment to this Contract.

d) Governing Law and Jurisdiction

This Contract shall be governed by and construed under the laws of the State of Illinois. The Contractor irrevocably agrees that, subject to the County's sole and absolute election to the contrary, any action or proceeding in any way, manner or respect arising out of the Contract, or arising from any dispute or controversy arising in connection with or related to the Contract, shall be litigated only in courts within the Circuit Court of Cook County, State of Illinois, and the Contractor consents and submits to the jurisdiction thereof. In accordance with these provisions,

Contractor waives any right it may have to transfer or change the venue of any litigation brought against it by the County pursuant to this Contract.

e) Severability

If any provision of this Agreement is held or considered to be or is in fact invalid, illegal, inoperative or unenforceable as applied in any particular case in any jurisdiction or in all cases because it conflicts with any other provision or provisions of this Agreement or of any constitution, statute, ordinance, rule of law or public policy, or for any other reason, those circumstances do not have the effect of rendering the provision in question invalid, illegal, inoperative or unenforceable in any other case or circumstances, or of rendering any other provision or provisions in this Agreement invalid, illegal, inoperative or unenforceable to any extent whatsoever. The invalidity, illegality, inoperativeness or unenforceability of any one or more phrases, sentences, clauses or sections in this Agreement does not affect the remaining portions of this Agreement or any part of it.

f) Assigns

All of the terms and conditions of this Agreement are binding upon and inure to the benefit of the parties and their respective legal representatives, successors and assigns.

g) Cooperation

Consultant must at all times cooperate fully with the County and act in the County's best interests. If this Agreement is terminated for any reason, or if it is to expire on its own terms, Consultant must make every effort to assure an orderly transition to another provider of the Services, if any, orderly demobilization of its own operations in connection with the Services, uninterrupted provision of Services during any transition period and must otherwise comply with the reasonable requests and requirements of the Department in connection with the termination or expiration.

h) Waiver

Nothing in this Agreement authorizes the waiver of a requirement or condition contrary to law or ordinance or that would result in or promote the violation of any federal, state or local law or ordinance.

Whenever under this Agreement the County by a proper authority waives Consultant's performance in any respect or waives a requirement or condition to either the County's or Consultant's performance, the waiver so granted, whether express or implied, only applies to the particular instance and is not a waiver forever or for subsequent instances of the performance, requirement or condition. No such waiver is a modification of this Agreement regardless of the number of times the County may have waived the performance, requirement or condition. Such waivers must be provided to Consultant in writing.

i) Independent Contractor

This Agreement is not intended to and will not constitute, create, give rise to, or otherwise recognize a joint venture, partnership, corporation or other formal business association or organization of any kind between Consultant and the County. The rights and the obligations of the parties are only those expressly set forth in this Agreement. Consultant must perform under this Agreement as an independent contractor and not as a representative, employee, agent, or partner of the County.

This Agreement is between the County and an independent contractor and, if Consultant is an individual, nothing provided for under this Agreement constitutes or implies an employer-employee relationship such that:

i) The County will not be liable under or by reason of this Agreement for the payment of any compensation award or damages in connection with the Consultant performing the Services required under this Agreement.

ii) Consultant is not entitled to membership in the County Pension Fund, Group Medical Insurance Program, Group Dental Program, Group Vision Care, Group Life Insurance Program, Deferred Income Program, vacation, sick leave, extended sick leave, or any other benefits ordinarily provided to individuals employed and paid through the regular payrolls of the County.

iii) The County is not required to deduct or withhold any taxes, FICA or other deductions from any compensation provided to the Consultant.

j) Governmental Joint Purchasing Agreement

Pursuant to Section 4 of the Illinois Governmental Joint Purchasing Act (30 ILCS 525) and the Joint Purchase Agreement approved by the Cook County Board of Commissioners (April 9, 1965), other units of government may purchase goods or services under this contract.

ARTICLE 11) NOTICES

All notices required pursuant to this Contract shall be in writing and addressed to the parties at their respective addresses set forth below. All such notices shall be deemed duly given if hand delivered or if deposited in the United States mail, postage prepaid, registered or certified, return receipt requested. Notice as provided herein does not waive service of summons or process.

If to the County: Board of Review
118 N. Clark Street, 6th Floor
Chicago, Illinois 60602
Attention: Chief Deputy Commissioner

and

Cook County Chief Procurement Officer
118 North Clark Street. Room 1018

Chicago, Illinois 60602
(Include County Contract Number on all notices)

If to Consultant: Databank IMX, LLC
620 Freedom Center, Suite 120
King of Prussia, PA 19406
Attention: Vince Hanson

Changes in these addresses must be in writing and delivered in accordance with the provisions of this Article 11. Notices delivered by mail are considered received three days after mailing in accordance with this Article 11. Notices delivered personally are considered effective upon receipt. Refusal to accept delivery has the same effect as receipt.

ARTICLE 12) AUTHORITY

Execution of this Agreement by Consultant is authorized by a resolution of its Board of Directors, if a corporation, or similar governing document, and the signature(s) of each person signing on behalf of Consultant have been made with complete and full authority to commit Consultant to all terms and conditions of this Agreement, including each and every representation, certification and warranty contained in it, including the representations, certifications and warranties collectively incorporated by reference in it.

EXHIBIT 1

Scope of Services/Compensation

Contract 1388-12983, Exhibit [1]
Scope of Work/Compensation

Date: 06/23/14

Parties

Vendor: DataBank, LLC

Client: Cook County Illinois
Business Owner: Board of Review (BOR)
Technical Management: Bureau of Technology (BOT)
Contract Management: Purchasing Office (Purchasing)

Contact Persons

Vendor Staff: David Godiksen, Vice President of Software Solutions
Vince Hanson, Vice President of Sales
Paul Gorman, Senior Solutions Consultant

Cook County: Olga Franceschini, Cook County Consultant
Renee Milton, Purchasing
Edward Smith, BOR
Joy Logan, BOT
Derrick Thomas, BOT
Edward Paddock, BOT
Renee Milton, Purchasing
Jacinta Epting, Purchasing
Cynthia Park, Purchasing

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1. Background

In August 15, 2013, The Board of Review (BOR) through the Office of the Chief Procurement Officer ("Procurement"), issued an RFP (No. 1388-12983) to re-engineer its current state and automate the reengineered processes through the implementation of the OnBase software solution.

2. Business Goals and Objectives

Databank shall deliver BOR complete process improvements and automation via the OnBase software implementation. Databank shall implement an on premise OnBase solution that is scalable enough to accommodate users countywide in the future. Upon completing this initiative, Databank's deliverables shall enable the County to meet the following business goals and objectives:

A. Simplify the BOR online filing process;
B. Reduce repetitive work;
C. Reduce human error;
D. Reduce cost associated with manual work and paper printing;
E. Increase transparency to management and the citizens of Cook County;
F. Increase efficiency.

3. High Level Project Description

To meet the stated objectives Databank shall automate the BOR processes following a scrum methodology and satisfying the functionality marked "in scope" in the "System Requirements Matrix." Databank shall deliver all functionality marked as in-scope within the total cost of this fixed fee Agreement regardless of whether such functionality is met "out-of-the-box" or through customizations except for support and maintenance services. In summary, Databank shall deliver at minimum the following major components:

1. Web Portal – This portal will provide web based access to the public and third party stakeholders to submit appeals and supporting documents as well as interact with the OnBase Workflows and get status information about claims in real time.
2. Electronic Forms – These forms will replace the PDF and paper-based forms which have been used in the current process and will contain all of the information the existing forms contain. Various automated tools will be used to streamline the completion of the forms and automated help information will be available.
3. Workflow – This automated workflow will route the documents to the appropriate work queues where the system tasks, ad hoc user tasks and timers will enforce business rules and automate administrative tasks. The workflow will be designed to capture information and for reporting on processes.
4. WorkView – The OnBase WorkView module will be utilized to replace the functionality that exists in the MS Access databases including the Internal Analysis tool. This module allows OnBase to manage data objects with the same level of control and functionality that it is capable of managing documents.

5. Integrations – OnBase will be integrated to Outlook, MS Office, Active Directory, and the YTD File in the mainframe. Data and documents that exist in these products can be automatically ingested and added to the user interfaces and case folders.
6. Case Folders – The case folders will be customized to have a jacket with case information and organized with a tabbed interface to standardize finding documents and content within the folders. Folders will also be organized by PIN and year so that past years activity will be available to current year analysts and decision makers.
7. Reporting – The Report Services and Business Activity Monitoring modules have been included to provide customized detailed management level reporting on processes and volumes as well as executive dashboard reporting using a graphical interface with drill-down capability, to provide real-time visibility into workflow processes.

4. Project Management Methodology

Project Management refers to the overall governance and monitoring of the project health, budget, schedule and scope. This document shall also reference Implementation Methodology. The Implementation Methodology is centered on solution delivery and execution. Scrum is the proposed Implementation Methodology that shall drive discovery, design, development, testing and delivery.

DataBank shall use its project control system which is a formal best practice project management methodology, and shall focus on developing a quality product, maintaining schedule integrity, cost controls, and the effective use of DataBank's resources and County resources. Databank shall manage the contractual requirements with a special emphasis on the following management areas:

a. Scope Management;
b. Quality Management;
c. Project Schedule Management;
d. Contract Change Management;
e. Integration Management;
f. Time Management;
g. Project Cost Management;
h. Risk Management.

DataBank shall provide a Project Manager with a proven track record of successfully managing the deployment of many Enterprise Content Management Systems for government clients. The Project Manager shall adhere to the management methodology described above (a thru h) and shall be responsible for:

A. Project implementation, managing the day-to-day technical activities of the project, and coordination with the Cook County Project Manager. Responsibilities include:
   - Ongoing planning and coordination;
   - Preparation of status reports;
   - Status reporting to client Project Manager;
   - Coordinate DataBank technical team personnel and schedules;
   - Management on project scope;
   - Technical issue tracking and resolution;
   - Change management;
   - Perform Risk Assessment with Project Team;
   - Assist with both high level and detailed design.

B. Progress Documentation
   - Project Manager shall prepare and submit weekly progress reports to Cook County's project manager The status reports shall provide a status update on the progress of the Project indicating the following:
     - Project tasks completed during the current reporting period. Identify tasks that have fallen behind schedule, the reason and mitigation measures;
     - Project tasks planned for the next reporting period;
     - Updated Project Schedule;
     - Project Budget Status;
     - Identify and summarize all risks and problems identified that may affect the Project;

- Identify the action and resource(s) responsible for mitigating the risk and resolving the problem.

A sample Project Report and Work Acceptance form are included in the Appendix section of this SOW document.

4.1 Contract Change Management Process

DataBank shall effectively manage the scope in order to prevent change orders. DataBank's pricing is based on the pricing details described in the Final Pricing Section of this SOW. Should the project team identify work that may be outside the stated scope of work and/or responsibilities of both parties, DataBank shall start its Change Management process to ensure that the identified work is definitively required and out of scope. If the identified work is confirmed ***required and out of scope***, a written Change Order shall be executed by the Cook County Chief Procurement Officer that will reflect the additional work, any changes to the project schedule, along with an associated estimated price. When additional work is requested, it shall be priced at the contractual rates.

4.2 Critical Success Factors

1. Executive Sponsors from both Cook County and DataBank are involved with the project in order to clear obstacles to project success.
2. Project schedule assumes availability, engagement and timely responsiveness of appropriate, authorized and knowledgeable client resources throughout the scrum delivery cycle for user story workshop, backlog review and prioritization, sprint planning, continuous backlog grooming, demo review and demo testing. If the client resources do not fit the criteria above as it relates to both the BOR process and agile development, the project scope, schedule and budget may be impacted.
3. Work must be coordinated to reduce impact to the BOR appeal session and its SMEs.
4. Effective coordination of the project timeline and BOR appeals session. Note that the BOR appeals session cannot be altered.
5. Timely review and acceptance of deliverables and sprint work is critical to meeting the project schedule.
6. Client team participation especially subject matter experts is essential to meeting the project goals and objective.
7. DataBank is allowed to execute the delivery and development in a manner consistent with current Scrum practices.
8. Close management on project scope and limited Change Order Requests.
9. Minimal turnover of Cook County project resources.

4.3 Assumptions and Constraints

1. Cook County shall provide user accounts with proper access rights to the network and hardware as needed for both onsite and remote work.
2. Cook County shall provide DataBank project staff with access to all printed and electronic information relevant to this project at the beginning of the project.
3. Cook County shall supply a safe and functional workspace for DataBank personnel to work at while on site.

4. Cook County shall provide one point of contact to work with DataBank to coordinate the work effort on this project and provide clarification of project-related issues and all other relevant communication.
5. Cook County shall allocate the appropriate internal staff for the project.
6. DataBank shall be paid upon County acceptance of each milestone based on the costs described in the Final Pricing Section of this document.
7. The start and end dates in the project plan are subject to change based on when the contract is finalized, availability of resources and an agreed to scope by both parties.
8. DataBank assumes no responsibility or liability due to changes made in a production environment without prior testing of those changes within a test environment.
9. DataBank assumes no liability or responsibility for any changes made in the production environment that are not made by a DataBank employee.
10. Software Manufacturers occasionally publish a schedule that indicates which versions or functionality is no longer supported or being phased into an end-of-life status. DataBank assumes that the client is taking responsibility for monitoring such end-of-life, deprecation, or sunset schedules and taking necessary precautions. If DataBank encounters a condition in the course of its project work that requires action or modification to resolve such an issue, it may result in a change order.
11. All activity identified in the Project Plan to be performed by Cook County must adhere to the timelines identified in the Project Plan. Deadlines missed by Cook County may impact the scheduled timeline and could result in a Change Order. DataBank shall notify Cook County of the need for a Change Order within 5 business days of a missed deadline and/or impacted deliverable. All Change Orders are subject to Article 10 c of the Professional Services Agreement included in Exhibit X and must be executed by the County's Chief Procurement Officer.

5. Overview of the Implementation Methodology

Databank shall use Scrum, the leading agile framework for project and software delivery, to develop the solution to automate the BOR business processes and implement the OnBase solution at Cook County.

DataBank shall perform six (6) Sprints and three (3) Releases to successfully reengineer and automate the BOR business processes. A sprint is a predefined "time span" to define and dynamically develop user stories (requirements). Sprints will not be aligned one-to-one with the BOR appeals processes (Website registration, Complaint Registration Processing, Void of Duplicate Processing, Complaint Pre-Registration Processing, Exemption Complaints Processing, Complaint Analysis Processing, Individual Hearings Processing, Attorney Hearings Processing, Re-Review Processing, PTAB Processing) , instead the scrum team shall define a strategy to develop user stories across multiple business processes during one sprint (all business processes will be automated, but not in the order defined in above). The Scrum length varies with a mixture of two (2) week and four (4) week sprints.

Databank shall conduct visioning sessions to map out the current state, create an envisioned end state, and develop user stories. Databank shall document the user stories on a backlog (AXOSOFT) and continuously update the backlog (backlog grooming) to accommodate ongoing requirements gathering, refinement and validation for requirements listed in the System Requirements Matrix in Exhibit C of this document. Databank shall conduct ongoing Sprints (repetitive iterations) until required work is complete.

The functionality captured in the backlog and executed during the sprint, shall be turned over to business owner for UAT, and DataBank shall track and fix defects until the County's business owner accept each user story. Databank shall work with the County's business owner to determine an acceptable minimum viable product (MVP) per sprint and Databank shall provide continuous access to the project backlog for up to five (5) County users. Databank shall ensure that the County has sufficient rights to access Customer Portal, BOR stories and back logs, either online via Axosoft or through an MS Excel export, at no additional cost.

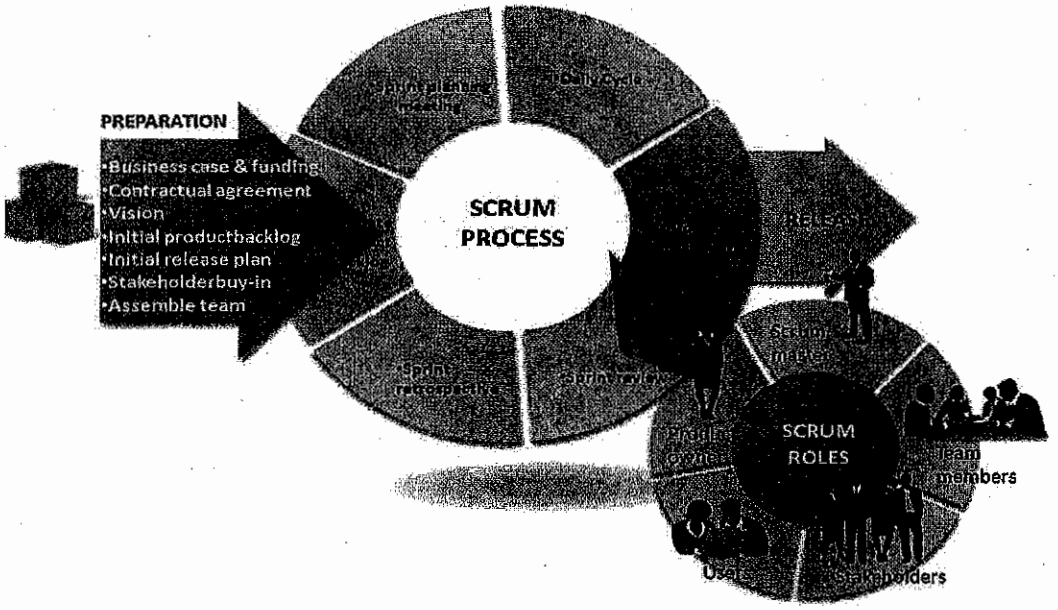
Databank shall work with the County's business owner to choose and reprioritize stories, and possibly add stories discovered later in the process. Databank shall demonstrate the software on a regular iterative basis to determine that a level of work in progress is sufficient to meet the business needs.

DataBank shall staff the project with Doug Belsaas who is a Certified Scrum Master. Mr. Belsaas shall facilitate DataBank Scrum teams' Release and Iteration Planning, Sprint Planning, Daily Stand-ups, Client Demos and regular team Retrospectives that provide the opportunity for tuning and improvements based on the demands of the project. DataBank's Scrum team shall include at least one Business Analyst, a Solution Engineer, a Developer, a Tester and a Technical Lead. This team shall work with the BOR SMEs at different times during a sprint.

Databank's use of Scrum doesn't eliminate documentation, but it focuses on collaboration, communication, frequent review of usable software. Databank shall still include documentation that adds value.

The process diagram below shall be followed for each Scrum/Release process.

SCRUM PROCESS



Credit: cPrime Consulting

5.1 DataBank Scrum Process Responsibilities

Databank shall use the following high level scrum process for this project:

1. **Perform six (6) Sprints (Repetitive Iterations) and three (3) Releases** – DataBank shall utilize 2 week and 4 week sprints. The length of each iteration can be evaluated once the complete project backlog and schedule is finalized after award.
2. Sprint Planning – Databank shall organize a planning meeting that kicks-off the start of each sprint. The development team activates the backlog, enters each story on the backlog and reviews the proposed sprint backlog. The County's business owner shall accept or reject stories from the sprint as captured in the backlog. The team also ensures the "what" of the user story is clear and that there is an approach as to "how" to accomplish the story.
3. Backlog Grooming – Databank shall dedicate time in each sprint to look ahead 2-3 sprints to validate that details and acceptance criteria are known. This process reinforces continuous requirements refinement and validation.
4. Sprint Development – The approximately two (2) week period in which DataBank shall design, develop, test and demo Cook County user stories to Cook County representatives.
5. Daily Stand Ups – Daily 15 minute planning meetings that are used to keep the development team in sync and aware as to work done, to be done and any impediments that may be impairing sprint success.
6. Client Demo - At the conclusion of each sprint, the work done by DataBank in that sprint shall be demoed to Cook County's business owner to validate work with solution vision and business needs.
7. Client Testing - The County shall be expected to use the work created each sprint and provide accept/reject feedback regarding the sprint development work. DataBank shall provide the script to be tested by BOR staff.

8. Client Acceptance – Approval of the user stories that meet the client defined acceptance criteria following each sprint.
9. Sprint Retrospective – Since Scrum values consistent process improvement and efficiency, after each sprint, DataBank's team shall review the execution for the previous sprint and look for opportunities to improve, increase quality and provide more value for the County.
10. Release Reviews – Milestone – Releases are a collection of sprints that are elevated from DEV to CAT together. While the sprints and functions within the sprint can often be accepted as standalone pieces, often users have a better experience acceptance testing whole processes complete with all business functions. The release will serve to provide a more complete testing experience.
11. Client Demo - Aside from sprint demos, if the audience differs, DataBank shall demo the key functionality in the entire release.
12. Solution Migration to Customer Acceptance Testing Environment (CAT) – Databank shall migrate the solution components from the DEV environment to the CAT environment.
13. Client UAT – the County's business owner shall perform user testing of client-defined test scenarios and plans to validate that the solution meets business needs and support business processes.
14. Client Acceptance – A County's business owner representative shall accept/reject the release content.

5.2 Agile Principles

Following are the 12 Principles of Agile Project Management. Databank shall adhere to these principles.

1. The highest priority is to satisfy the customer through early and continuous delivery of valuable software.
2. Welcome changing requirements, even late in development. Agile processes harness change for the customer's competitive advantage.
3. Deliver working software frequently, from a couple of weeks to a couple of months, with a preference to the shorter timescale.
4. Business people and developers must work together daily throughout the project.
5. Build projects around motivated individuals. Give them the environment and support they need, and trust them to get the job done.
6. The most efficient and effective method of conveying information to and within a development team is face-to-face conversation.
7. Working software is the primary measure of progress.
8. Agile processes promote sustainable development. The sponsors, developers, and users should be able to maintain a constant pace indefinitely.
9. Continuous attention to technical excellence and good design enhances agility.
10. Simplicity — the art of maximizing the amount of work not done — is essential.
11. The best architectures, requirements, and designs emerge from self-organizing teams.
12. At regular intervals, the team reflects on how to become more effective, then tunes and adjusts its behavior accordingly.

6. Project Plan and Timeline

Databank shall begin the project following the project plan and estimated timeline below. DataBank shall update the actual dates when a start date is approved by Cook County. DataBank shall coordinate and schedule all work in alignment with the BOR's appeals schedule. DataBank shall keep the overall project plan and schedule updated to reflect actual project conditions and project change orders throughout the project execution.

ID	Name	Duration	Predecessors	Phase
1	**Award and Agree to Contract**	**20 days**	-	-
2	Award Contract	2 wks		
3	Contract Negotiation	2 wks	2	
4	**Team Formation, Introductions, Discovery Scheduling**	**10 days**	**3**	
-	-	-	-	
5	**Formal Discovery and Kickoff**	**15 days**	**4**	-
6	Project Kickoff	5 days	4	Phase 1 - Project Initiation and Planning
7	Business/User Requirement Validation	15 days		
8	Technical/Architectural Requirements Validation	15 days		Phase 1 - Business/User Requirements Discovery and Validation
9	User Story Workshop	10 days		Phase 1 - Technical/Architectural Requirements Discovery and Validation
10	**Solution Architecting**	**15 days**	**5**	-
11	Review approved "Future State" business and technical requirements	2 days		Phase 1 - Solution Design Discovery and Validation
12	Identify gaps (if any) associated with requirements documentation	5 days		
13	Correspond with Cook County to clarify outstanding questions, assumptions and details	10 days	12	
14	Create initial prototype of proposed solution design	3 days		
15	Create Project Backlog	4 days	11	
16	Create Statement of	15 days		

	Requirements (SOR)			
17	**Solution Documentation Delivery, Walkthrough and Approval**	**8 days**	**10**	
18	Documentation Delivery and Walkthrough	2 days		
19	Exchange of edit requests and replies	1 wk	18	
20	Approve SOR and Project Backlog	1 day	19	
21	Close out Initial Discovery Phase	1 day	19	
22	**Iteration Zero**	**5 days**	**21**	Phase 1 - Planning Phase Closure
23	Define MVP	3 days	21	
24	Release Planning	5 days		
25	Iteration Planning	5 days		Phase 2 - Execution Phase - Initial Solution Development and Testing
26	Backlog Grooming	5 days		
27	**Architecture Sprint**	**10 days**	-	-
28	Stand Up Environments	10 days	26	Phase 2 - Execution Phase - Infrastructure Deployment
29	Server Installation	10 days	26	
30	Connectivity	10 days	26	
31	Install OnBase	10 days	26	Phase 2 - Execution Phase - Software Installation and Testing
32	Basic Testing	10 days	26	
33	**Sprint 1**	**15 days**	-	-
34	Sprint Planning	4 hrs	32	Phase 2 - Execution Phase - BOR User Story Development and Testing (Sprint One)
35	Sprint Development	2 wks	32	
36	Backlog Grooming	1 day	32	
37	Sprint Demo	1 day	36	
38	Sprint Acceptance	1 wk	37	
39	**Legacy Database Migration (Parallel Process to Sprints/Release 2)**	**58 days**	-	Legacy DB Migration Planning
40	**Migration Planning**	**2.6 wks**		Legacy DB Migration Execution and Testing
41	Conversion Workshop	3 days	37	
42	Discovery	2 wks	37	
43	Create Migration Plan	3 days	42	

44	**Migration Execution and Testing**	**38 days**		Legacy DB Production Migration and Closeout
45	Development and Configuration	3.6 wks	43	
46	Migrate to UAT	2 days	45	
47	UAT Testing and Validation	3 wks		
48	UAT Signoff	1 day	47	
49	**Migration Testing and Closeout**	**7 days**		
50	Migrate to Production	3 days	48	
51	Production Validation	3 days	50	
52	Conversion Sign-off	1 day	51	
53	**Sprint 2**	**15 days**	**38**	-
54	Sprint Planning	4 hrs	37	Phase 2 - Execution Phase – Sprint Two to Sprint Six
55	Sprint Development	2 wks	37	
56	Backlog Grooming	1 day		
57	Sprint Demo	1 day		
58	Sprint Acceptance	1 wk	57	
59	**Release 1**	**15 days**	**57**	-
60	Migrate from DEV to CAT	2 days	57	Release **1** and UAT
61	Test CAT updates	1 day	60	
62	Demo to Business Users	3 hrs	61	
63	UAT	1 wk	62	
64	UAT Feedback and Defect Mgmt	1 wk	62	
65	UAT Acceptance	1 day	64	
66	**Sprint 3**	**15 days**	**65**	-
67	Sprint Planning	4 hrs		Phase 2 - Execution Phase – Sprint Two to Sprint Six
68	Sprint Development	1.9 wks	67	
69	Backlog Grooming	1 day		
70	Sprint Demo	3 hrs		
71	Sprint Acceptance	1 wk	70	
72	**Sprint 4**	**10 days**	**70**	-
73	Sprint Planning	4 hrs		Phase 2 - Execution Phase – Sprint Two to Sprint Six
74	Sprint Development	1.9 wks	73	
75	Backlog Grooming	1 day		
76	Sprint Demo	3 hrs		
77	Sprint Acceptance	1 wk	76	

78	**Release 2**	**10 days**	**76**	-
79	Migrate from DEV to CAT	2 days	76	Release 2 and UAT
80	Test CAT updates	1 day	79	
81	Demo to Business Users	3 hrs	80	
82	UAT	1 wk	81	
83	UAT Feedback and Defect Mgmt	1 wk	81	
84	UAT Acceptance	1 day	83	
85	**Sprint 5**	**10 days**	**84**	-
86	Sprint Planning	4 hrs	84	Phase 2 - Execution Phase – Sprint Two to Sprint Six
87	Sprint Development	2 wks	86	
88	Backlog Grooming	1 day		
89	Sprint Demo	1 day		
90	Sprint Acceptance	1 wk	89	
91	**Sprint 6 (Enhancements)**	**15 days**	**89**	-
92	Sprint Planning	4 hrs		Phase 2 - Execution Phase – Sprint Two to Sprint Six
93	Sprint Development	2 wks		
94	Sprint Demo	1 day		
95	Sprint Acceptance	1 wk	94	
96	**Release 3**	**10 days**	**95**	-
97	Migrate from DEV to CAT	2 days	95	Release 3 and UAT
98	Test CAT updates	1 day	97	
99	Demo to Business Users	3 hrs	98	
100	UAT	1 wk	99	
101	UAT Feedback and Defect Mgmt	1 wk	99	
102	UAT Acceptance	1 day	101	
103	**Training and Go-Live Materials**	**20 days**	**83**	-
104	Train the Trainer	3 days	89	Phase 2 - Execution Phase - Knowledge transfer, Training and Transition
105	Training Classes	15 days	104	
106	**Go live**	**50 days**	-	-
107	Prep Production Environment	2 wks		Phase 2 - Execution Phase - Production Deployment
108	Other go live activities	2 wks		
109	Go Live	1 day		
110	Go Live Support	30 days	109	Phase 2 - Go-Live Support

111	Post Implementation Review	4 days	110	Phase 2 - Closeout - Sign off and move to On-Going Support mode
-	-	-	-	-
112	Six Month Review	1 day?	109	-

7. Implementation Approach Activities and Deliverables

7.1 Discovery, Change Management, and Reengineering Approach

As dictated by Scrum, Databank shall initiate the discovery and reengineering phases, but these will be continually refined and rolled out throughout the project lifecycle. During the initial discovery the goal is to validate the understanding of the current business process and high-level requirements. This will lead to a proposed future state process (see next section) that is a big picture view of the solution and the updated way of doing business which will serve as the basis of reengineering (see next section). Routine backlog grooming will continue to refine and clarify the finite details around requirements and the sprint execution will provide updated solution functionality every two weeks that will reveal the reengineering at a tactical and operational level.

Since Databank shall use scrum, this project shall not experience the lengthy detail-driven Business Requirements gathering process seen in traditional waterfall projects, DataBank shall instead focus on getting a feel for the larger picture at the BOR, and break the work out in to larger blocks.

7.1.1 Organizational (Human) Change Approach

Databank's change management strategy is to keep the learning population informed about every aspect of the project. The goal is to provide details during the entire project life cycle. The objective is to accomplish a transfer of learning so learners can transition quickly into the new system without frustration.

Databank shall leverage the **PROSCI's ADKAR methodology** (Awareness, Desire, Knowledge, Ability, and Reinforcement) to deliver the following components:

1. Identify Audience Profile;
2. Identify Employees as Supporters;
3. Identify Written Communication Types;
4. Implement "Lunch-and-Learn" Sessions;
5. Conduct a Training Pilot;
6. Conduct Go-Live Training Kickoff;
7. Evaluate Learner Outcomes;
8. Post Go-Live Support.

1. **Audience Profile** *(Addresses Ability)*

Databank shall conduct a brief *Audience Profile* of the learning population. This will identify BOR's current tasks and skill levels to ensure they are sufficient for the training requirements/transition of the new system. If prerequisite skills are not present, this shall allow Databank to identify if learning gaps and barriers exist prior to Go-Live and request the necessary adjustments by the County's business owner. Our goal is to ensure that entry level skills are present for a successful training intervention. Note that the County is responsible for the timely training or guidance needed to address any identified

prerequisite skills that are not related to the OnBase Solution. Databank shall provide a brief report identifying any gaps in this area.

End Users are expected to have basic computer knowledge and know how to operate a personal computer. System Administrators are expected to have basic knowledge and understanding of MS Active Directory, Servers, IIS, SQL and MS Office.

2. **Employees as Supporters** *(Addresses Reinforcement and Awareness)*
Databanks shall identify selected employees as resources and influences to their peer groups. These individuals must be representatives of the learning population. They can assist with explaining the benefits of the new change to make the transition an easier process. Databank shall incorporate these resources in the simple communications plan RACI Chart.

3. Written Communication Types *(Addresses Awareness)*

1. Databank shall create 6 monthly written communication/newsletters regarding completed tasks, new functionality and timeline (not the same as the weekly status reports).

2. Databank shall create two "What's New With OnBase?" flyers that describes the features, functions, and benefits of the new system. The timing shall be agreed to jointly by DataBank and the County's business owner in order to align key milestones such as training and go-live dates.

3. Databank shall provide information about the new system to the County's BOR Web Master to appear on the Internet, including articles of interest, links, and screen prototypes. This shall be a onetime publication with up to 6 updates throughout the life of the project.

4. Implement "Lunch-and-Learn" Sessions (Addresses Knowledge)

1. Databank shall create a *Drop-in Training Room* for users to practice the new system features. DataBank shall create a test environment with real-life scenarios.

2. Databank shall create three videos (up to three minutes) to provide a visual display of the new system.

3. Databank shall conduct monthly product demonstrations of the new system following the acceptance of Release 1 through the Project Go-Live date, and not to exceed 5 months/demonstrations. Use a *comparison learning approach* by demonstrating "this is how you did it in the old system vs. this is how you will do it in the new system."

5. Conduct a Training Pilot Session (Addresses Knowledge)
Databank shall implement a training pilot to allow a few members of the learning population to evaluate the training format, new system, facility, and learning materials prior to the Go-Live date. Participants shall provide feedback and identify issues prior to the full scale deployment. Any modifications, additions, or revisions shall be made before the training begins. The pilot session shall include the following:
1. Training database with simulated County data.

2. Final draft of the learning materials (training manual, instructor PowerPoint, handouts, job aids, etc.)

5.1 Debrief the Pilot Training

After the pilot, Databank shall conduct a debriefing session. Databank shall evaluate every aspect of the pilot and ask the following questions:

1. Were there any system or data issues?
2. Did the functionality work?
3. Did the learning materials work?
4. Was the training effective?

6. Go-Live Training Kickoff (Addresses Knowledge, Ability, and Awareness)

For all training sessions (See training section of this SOW for complete list of training types), Databank shall:

- Provide a quick three-minute welcome;
- Have one System Trainer in the session to address any quick issues;
- Have one floor support staff member to assist trainees (similar to a teacher's assistant);
- Provide refreshments;
- Place celebratory balloons where appropriate (balloons are typically placed in areas where user groups have successfully completed training and/or are ready to use the system in production);
- Provide takeaways (pencils, cups, or mouse pad)

7. Evaluation of Learner Outcomes (Addresses Ability and Reinforcement)

Databank shall evaluate the effectiveness of training and determine the impact of the instruction, by providing an evaluation form at the end of each training session. Databank shall use the evaluation results to determine whether or not the instructional goals were met. For example, *"Was there a transfer of learning? Were the learning objectives achieved? Can learners perform the tasks learned during training? Did learning barriers exist?"* Databank shall therefore provide a training evaluation form via (online?) and shall provide the summary results to the BOR. Additional training needs may be identified as a result but additional training sessions are not in scope. See the training section for a complete list of in-scope training sessions.

Databank shall use the **Kirkpatrick Model** which is a four-level evaluation model used to assess the effectiveness of a training program. Databank shall:

- Level 1 (capture reaction) – capture participants' feedback about the training they received. Databank shall provide a course evaluation to learners at the end of each training session to gather opinions about the training, facilities, materials, and trainer.

- Level 2 (measure learning) – measure the increase in knowledge or skill. Databank shall use instruments to measure level two including classroom assignments, demonstration of a task (hands-on exercises), question/answer, or problem solving cases.

8. Post Go-Live *(Addresses Ability)*

Databank shall provide onsite floor support. See the Post Implementation Support Section under knowledge transfer.

7.1.2 Key Activities, Deliverable and Responsibilities

DataBank Project Team is responsible for developing all the Deliverables.
Cook County Project Team is responsible for reviewing and formally approving each deliverable unless otherwise noted.

Key Activity	Expected Deliverable(s) – Approver	Acceptance Criteria
Planning Phase - Project Initiation and Planning 1. Assigned Customer Project Team 2. Formal kickoff meeting 3. Introduce project teams: DataBank Team and Cook County Team 4. Review primary solution requirements per SRM and project team feedback 5. Validate that overall requirements are in alignment with the SRM and SOW 6. Discuss agile approach to project discovery and deployment, based on review of primary requirements 7. Finalize Discovery Phase Objectives/Requirements 8. Define discovery phases (Sprints) 9. Align discovery phase(s) with agile approach 10. Establish general timeline for Solution Discovery 11. Schedule Formal Solution Discovery	1. Revised Project Plan – **County PM** 2. Project Charter – **County PM** Project Schedule for Discovery Phases– **County PM** 3. Project reporting schedule, frequency and format– **County PM** 4. County/vendor resource and communications plan including RACI and meeting logistics– **County PM** 5. Organizational Change Management Plan listing the events/activities, schedule, frequency and format. These events/activities shall become deliverables – **County PM**	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment

7.2 Requirements Validation and System Design

Databank through the scrum process shall focus on some key deliverables during discovery and requirements validation that shall guide the project and solution, mainly:

1. Current Business Process Diagrams – Databank shall create a visual medium to communicate and validate a common understanding of how things are currently operating. This shall ensure that the original premises and assumptions used to guide solution development and process improvement are accurate.
2. Proposed Future State Diagrams – Databank shall create process flows and documents to capture how the high-level process would operate when the project is complete. This provides the opportunity to visualize process changes due to opportunities to automate, facilitate, eliminate or recalibrate business process tasks and functions that exist in the current state.
3. Project Backlog – Databank shall create, prioritize and maintain a list of business requirements (user stories) that represent the users and necessary business functions that need to be incorporated into the solution in order to deliver a successful project.
4. Sprint Backlog – Databank shall create, prioritize and maintain a subset of the project backlog that shall define each sprint and related user stories that shall be delivered for that 2-week cycle. Each sprint, a user story is completely designed, developed, unit tested and prepared for client demo. The

goal is to produce a "production ready component" that is complete and usable after those two weeks.

Databank shall start the sprint execution process by defining and delivering an MVP (minimum viable product). The goal is to provide a shelled out, end-to-end solution that provides the most critical, and highest value, business components in the first two weeks. Databank may not be able to align the BOR appeals processes with a specific sprint since it shall utilize an agile approach, and there will likely be user stories and functionality from all nine BOR business processes incorporated into the MVP. Client feedback, as well as the prioritized project backlog, drives the order of delivery and the content for following sprints. This provides for the greatest delivery of value and high-visibility functionality early throughout the process.

The table below provides a detail list of tasks and deliverables to be performed and provided by Databank (and or Cook County where applicable) including corresponding acceptance criteria.

7.2.1 Key Activities, Deliverable and Responsibilities

DataBank is responsible for developing all the Deliverables.
Cook County's Business Owner and/or Technical Management resources are responsible for reviewing and formally approving each deliverable unless otherwise noted.

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Business/User Requirements Discovery and Validation (Solution Architecting) 1. Solution Architecting 2. Business/User Requirements Validation 3. Review current "As Is" business environment a. Interview stakeholders b. Perform deep dive and process observation of current environment 4. Discuss and document limitations and concerns with current environment 5. Perform "Future State" brainstorming session a. User Workshop b. Identify Epics and Themes that should be included in the solution	1. Notes/Action Items - County PM 2. DRAFT Current State and Future State Diagrams - BOR Business SME	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Technical/Architectural Requirements Discovery and Validation 1. Review current "As Is" technical infrastructure 2. Interview technical team 3. Perform thorough review of current environment 4. Discuss and document limitations and anticipated/required changes to current technical environment 5. Perform "Future State" brainstorming session 6. Discuss, validate, and document desired solution architecture as it relates to defined business requirements 7. Capture intended future state	1. Technical/Architectural Requirements Report – BOT Rep. 2. Future state solution architecture diagram – BOT Rep.	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOT shall signoff to approve payment.
Solution Design Discovery and Validation 1. Reviewed approved "Future State" business and technical requirements gathered during previous Solution Discovery sessions. 2. Identify gaps (if any) associated with requirements documentation. 3. Work with Cook County to clarify outstanding questions, assumptions and details. 4. Create initial prototype of proposed solution design. 5. Create Product Backlog 6. Create Statement of Requirements (SOR) 7. Finalize software purchase (Cook County)	1. Statement of Requirements (SOR) – County PM 2. Business Process Design Document – BOR Rep. 3. Technical Design Document - BOT Rep. 4. Product Backlog Report – BOR Rep. 5. Software Purchased – BOT 6. Backlog stories in AXOSOFT – BOR Business 7. Sprint monitoring dashboard (as demonstrated) configured for County Access - County PM	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment
Planning Phase Closure 1. Iteration Zero 2. Define MVP 3. Release Planning 4. Iteration Planning 5. Backlog Grooming 6. Weekly meeting to address completion.	1. Updated Product Backlog including MVP – BOR Rep. 2. Updated project plan and schedule – County PM.	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Execution Phase - Infrastructure Deployment 1. Procure and installed applicable hardware and operating systems per approved Technical Design Documentation a. Install System Servers b. Install Server Operating Systems and Software c. Install Client Operating Systems and Software d. Install Capture Devices e. Install Storage architecture expansion to accommodate file storage 2. Create applicable administrator accounts for administrative and processing functions a. Server access and administration b. Service accounts – with administrative rights to process timers and access OnBase disk group c. Distributed Disk Services User Account 3. Test System Infrastructure	1. Installation of hardware requirements per approved Technical Design Documentation for 3 proposed environments – BOT Rep a. System Servers installed b. Server Operating Systems and Software installed c. Client Operating Systems and Software installed d. Capture Devices installed e. Storage architecture expansion to accommodate file storage installed 2. Infrastructure Layout and Design (as-built) – BOT Rep 3. Configured/setup infrastructure (servers) for the following – BOT Rep. a. Primary site (development, QA and Production); b. Secondary site (development, QA and Production).	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment
Execution Phase - Software Installation and Testing 1. Install Applicable OnBase software 2. License OnBase software 3. Test OnBase internal user access from various workstations and access points using default administrative user account 4. Validate successful licensing and login 5. Test login from all deployed user interfaces via user accounts for each configured OnBase user group 6. Test general Document capture (scan, import) 7. Test client access rights and privileges via pre-defined user accounts representing each user group 8. Test Administrative OnBase functions via newly configured administrative user account	1. Core OnBase software installed and accessible by all user groups – County PM.	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOT shall Signoff to approve Payment.

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Execution Phase - Initial Solution Development and Testing 1. Develop QA Plan – See QA Section for full Details.	1. QA Plan – BOR and County PM	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.
Execution Phase - BOR User Story Development and Testing (Sprint One) 1. Databank and BOR SMEs shall define user stories per sprint and shall address sub stories of the overall business process. Sub stories shall continue to be built until a complete story is ready for production. The user stories may at any given sprint automate requirements from one or multiple BOR business processes. Thus, sprints may automate steps from one or more business flows (Website registration, Complaint Registration Processing, Void of Duplicate Processing, Complaint Pre-Registration Processing, Exemption Complaints Processing, Complaint Analysis Processing, Individual Hearings Processing, Attorney Hearings Processing, Re-Review Processing, PTAB Processing). 2. Develop user stories with the appropriate BOR SMEs and document (develop the backlog) 3. Test functionality for defined user story scenarios 4. Create Test Scripts (per QA Plan) 5. Conduct Client Demo/Review 6. Make Modifications if Required per Demo/Review 7. Allow time for BOR SMEs to test and provide acceptance 8. Capture user acceptance 9. Migrate Solution from DEV to QA 10. Conduct audience profile (OCM activity) 11. Prepare newsletter 12. Prepare OCM Flyer 13. Prepare website communication	1. Test scripts/Scenarios – BOR SME 2. UAT Form – BOR testers 3. Backlog Report – BOR SME and County PM 4. OCM Newsletter (up to six of ~one per sprint) – County PM 5. Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 6. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 7. Website publication (up to 6 updates)	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Execution Phase - Legacy Database Migration 1. Conduct concurrent user story development and databases migration 2. Develop data migration plan 3. Validate migration processes 4. Migrate and test data accuracy 5. Capture County's testing and approval 6. Conduct Client Demo/Review 7. Modifications if Required per Demo/Review 8. Migrated Solution from DEV to QA	1. Migration checklist – BOT Rep. 2. Migration test results – BOT rep 3. Migration UAT script - to be tested by BOR 4. The above for each of the following databases: a. Online complaint web application; b. PTAB applications c. Exemptions d. CR2 e. Re-review process Certificate of Error f. Comparable Tool 5. UAT Form - approved by BOR and BOT Representative	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.
Execution Phase - Interface and Integration Development 1. Develop integration plan 2. Build interfaces 3. Test interfaces 4. Develop interfaces test script 5. Conduct Client Demo/Review 6. Make Modifications if Required per Demo/Review 7. Migrated Solution from DEV to QA	1. Integration Plan – County PM 2. Integrations technical test results – BOT Rep. 3. Integrations UAT script - to be tested by BOR and approved by BOR Rep. 4. The above for each of the following: a. YTD file in the mainframe; b. MS Active Directory; c. MS Office tools; 5. UAT Form - approved by BOR Representative	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.
Execution Phase – Sprint Two to Sprint Six 1. Update user stories with the appropriate BOR SMEs and document (update the backlog) 2. Update SRM to make sure requirements are begin met or traded off. 3. Test functionality for defined user story scenarios 4. Create Test Scripts (per QA Plan) 5. Conduct Client Demo/Review 6. Make Modifications if Required per Demo/Review 7. Allow time for BOR SMEs to test and provide acceptance 8. Capture user acceptance 9. After each Release (3 Releases are planned), migrate solution from DEV to CAT	1. Test scripts/Scenarios – BOR SME 2. UAT Form – BOR testers 3. Update SRM – County PM 4. Backlog Report – BOR SME and County PM	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
10. Perform and deliver backlog grooming of future sprints Note: Sprint Six will probably be used for enhancements. DataBank estimates that all work will be completed in five Sprints.		

7.3 Quality Assurance (QA)

DataBank shall perform continuous project health monitoring to ensure all milestones and deliverables are successfully accomplished. This section however focuses on the quality and integrity of the software solution (functionality and data), and describes two similar but distinct quality assurance processes:

1. QA of migrated databases and built interfaces;
2. QA of developed business functionality.

7.3.1 QA of Migrated Databases and Built Interfaces

DataBank shall create a data migration plan indicating the schedule to, migrate, test and approve prior to promoting to data to CAT. DataBank shall conduct data regression and data accuracy testing via SQL Queries.

DataBank shall prepare a testing checklist for the BOR to test the databases in CAT. DataBank shall address issues in Dev until all issues are addressed and the databases are fully functional in PROD.

DataBank shall create a testing plan to test interfaces, indicating the schedule to test and approve the interfaces. DataBank shall conduct data accuracy testing via SQL Queries.

DataBank shall prepare a testing checklist for the BOR to test the interfaces. DataBank shall address issues in Dev until all issues are addressed and the interfaces are fully functional in PROD.

DataBank shall ensure complete migration of provided data.

Cook County shall be responsible for providing clean data intended to be migrated to their OnBase solution.

7.3.2 QA of Developed Business Functionality

There shall be several points of solution testing during which the Cook County project team shall be able to review the delivered solution work prepared by DataBank. These testing points are identified within the Project Plan document.

During sprint execution, DataBank shall ensure technical completeness.

Databank shall end each sprint with a demo to the BOR. BOR process experts shall provide initial acceptance and validation that the work done and demonstrated meets the business need requested in the user story. Following each Release (every two sprints), DataBank shall migrate solution work from a DEV environment to a TEST/UAT environment where BOR business users shall get their hands on the

solution and work through test scenarios in a manner consistent with how they would process their business.

DataBank shall create a quality plan to manage project quality encompassing quality plan processes, quality standards, and quality tools.

DataBank shall then follow these quality assurance best practices.

1. Databank shall setup three distinct and segregated environments to minimize interference between development, user acceptance testing, and production processes. DataBank shall create a backup of the destination environment prior to any promotion or before a migration is made. The DataBank engineer shall be responsible for providing documentation of any migration, including environmental differences, before and after the migration. See the System Solution Section of this SOW for further details.
    a. Development environment - Databank's developers/engineers shall configure functionality (user stories) and if necessary customize the solution, in the development environment. Databank's developers or engineers shall complete system testing in the development environments to ensure that the application is accessible, working properly, and all integration points are working as expected. Only after the development testing has occurred and has been documented shall it be migrated to the UAT environment.
    b. UAT (testing) environment – Databank shall promote/migrate approved user stories from development to the testing environment where BOR users can test the predefined test cases/scenarios/scripts. Databank shall fix identified bugs/issues in the development environment and promote to UAT. The UAT environment shall not be accessible by developers and/or engineers with the exception of exclusively migrating or promoting development changes or enhancements. Migrations/promotions shall be scheduled at pre-defined periods to prevent impact to any UAT testing that may be in process. Prior to migrating to production DataBank shall document user acceptance.
    c. Production environment. Databank shall promote/migrate the tested and approved user stories to the production environment. Production is the environment where users can process real world BOR appeals.
2. DataBank shall communicate defined testing procedures, responsibilities, schedule, test cases, and promotion documentation to all County key stakeholders. The County shall provide prompt and substantive review when necessary and/or approval immediately after. This communication shall outline any expected behavior or interface changes that may be part of the testing and promotion process.
3. DataBank shall update changes made within each environment on the System Configuration Document and shall email or post to the County's project SharePoint site and/or emailed to BOR and BOT representatives.
4. DataBank shall create UAT scripts and scenarios utilizing a tool to track UAT results, and ensure that these are visible to quality control team members and management. Databank shall develop the scripts for both changes and development efforts in the development environment similar to those that are established in the UAT system. The County shall provide prompt and substantive review when necessary and/or approval immediately after.

5. DataBank shall provide a method via Axosoft where UAT testing can be reported by BOR, and issues can be addressed/fixed by DataBank. The County shall provide prompt and substantive review when necessary and/or approval immediately after. The user acceptance process shall include the ability for the Cook County team members to easily perform step by step instructions for each function that must be evaluated including the ability to document actual results vs. expected results, pass or fail any step within a test script, communicate results back to quality assurance management, and cover all regression testing for new changes or enhancements. Logs and/or reports of any identified issues shall be kept and tracked to their completion. Issues shall be catalogued by area of use, source, and severity. Issue statuses shall be updated weekly during the project management meetings. The
6. DataBank shall provide a checklist and simple process descriptions that easily identify the promotion and / or migration process between environments. The County shall provide prompt and substantive review when necessary and/or approval immediately after. This process shall include the following:
    a. DataBank shall provide a promotion schedule to minimize downtime. DataBank shall carefully schedule code promotion into the production environment during a pre-defined schedule as to minimize production downtime.
    b. DataBank shall communicate changes to end users that will be affected by any promotions or changes. Similar to the code that is promoted from the development environment to the UAT environment, each code change shall be documented and environmental difference, including roll back changes, shall be documented on the destination system prior to and after the migration.
    c. DataBank shall provide a strict, testing, reporting, and approval process outlined through pre-determined responsibilities where approvers clearly understand what is being promoted.
7. DataBank shall provide a method to refresh testing environments from the production system if necessary. The County shall provide prompt and substantive review when necessary and/or approval immediately after.

7.3.3 Quality Plan Responsibilities

DataBank shall provide a Quality Manager for the project. The Quality Manager shall be responsible to ensure that the solution meets the requirements outlined in the project documents.
DataBank and Cook County may have a shared responsibility within any of the roles defined below.
DataBank shall work with the BOR business owners in the planning and execution of UAT to ensure all aspects of the testing and promotion process are covered.

Role	Responsibilities
Quality Manager	• Formulate and manage the development and implementation of goals, objectives, policies, procedures and systems pertaining to the quality assurance and regulatory requirements. • Develop, implement, communicate and maintain a quality plan to bring the Quality Systems and Policies into compliance with quality system requirements.

	• Manage documentation related to Quality System guidelines. • Develop and Direct Quality Assurance initiatives (Cost-of-Quality reductions, Audit system, etc.) for all in-scope products, processes and services. • Provide leadership for developing and directing Quality Assurance and Quality improvement initiatives (Cost-of-Quality reductions, Audit system, etc.) for all products, processes and services. • Manage and maintain the Agency's internal quality audit program and assess improvement initiatives resulting from all Quality Audits - internal and external. • Effectively interact with Production and Development teams to maintain product supply and help introduce new products. • Manage and maintain the Agency's quality inspection for new and in-process development and finished releases. • Report on timely basis to project management on the performance of the quality system, any non-compliance issues and recommended actions.
Solution engineer/developer	• Documents, develops, changes configuration or set up • conducts a system test of changes made and validating these meet the request or requirements
Quality Manager	• Reviews and validates the changes that the solution engineer completed. • Validates that the changes meet the request or requirements. • Distribute and communicate all activities with testing • Document all testing issues and communicate to the development team for resolution. • Ensure that system bugs or issues identified during testing are logged in the Issue Log • Ensure that a detailed test plan is available for test users • Ensure all testers have designated scripts for testing • Ensure testing takes place within agreed timeframes • Assists the testing facilitator as needed
Cook County Testing Users	• Selected to run test scripts during testing. • Testers shall note any issues with the scripts, they shall comment accordingly. • State each script run as pass, fail, or retest. • Recommend changes to scripts where appropriate, date and signoff on each. • All testers shall note issues and have issues logged by testing facilitator.

7.3.4 Key Activities, Deliverable and Responsibilities

DataBank Project Team is responsible for developing all the Deliverables.
Cook County Project Team is responsible for reviewing and formally approving each deliverable unless otherwise noted.

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
1. Define testing procedures, responsibilities, schedule, test cases, and promotion documentation 2. Develop the scripts for both changes and development efforts in the development environment similar to those that are established in the UAT system 3. Create checklist and simple process descriptions that easily identify the promotion and / or migration process between environments 4. Develop QA Plan 5. Develop test scripts/scenarios 6. Capture testing results (UAT)	1. QA Plan including promotion process (from Dev to CAT and PROD) 2. Test scripts/scenarios 3. UAT forms 4. Backlog Reports/Updates 5. All of the above for: a. Business Requirements b. Technical Requirements c. Interfaces d. Data migrations	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment

7.4 Knowledge Transfer, Training and Transition (Cutover)

Databank shall provide the following training:

1. Certified System Administration;
2. Certified Workflow Administration;
3. OnBase Full Client;
4. Capture.

7.4.1 System Administration and Introduction to Workflow

An integral part of the on-site installation and implementation effort shall be the ad hoc training provided by DataBank engineers. Administrator training shall be provided throughout the effort as your administrator participates in the installation process, culminating in summary sessions.

The OnBase System Administration and the Introduction to Workflow courses are designed to instruct system administrators how to manage and maintain their OnBase system. Hands-on labs provide valuable experience in security, adding and removing indexes, system structure, and data storage systems. These two five-day courses also cover the features and functionality of the core OnBase modules including COLD, Document Imaging, and Document Import Processor. In addition, there is discussion concerning managing databases, Workflow, CD Authoring/Publishing, and Export.

This training shall provide the County designated administrators with a comprehensive review of how to administer the OnBase solution so that the identified County staff shall have the knowledge and skills necessary to maintain and support an enterprise document management system. This course shall include administrative functions including how to perform system start-up and shutdown, perform data, document, and application software back-ups, perform system configuration, perform tuning, install patches and upgrades, and administer user accounts including functions such as adding users, modifying account privileges, synchronizing ID's and passwords with Active Directory, suspending account access, and deleting accounts.

7.4.2 End User Training

In order to have a successful deployment of an OnBase solution, proper training of end-users is essential. DataBank shall provide User Training for all Board of Review operational staff (approximately 75 individuals) and they shall receive sufficient system management and operations training to provide daily operational proficiency. Training shall be conducted by DataBank at the County's facility.

7.4.3 Capture User Training

DataBank shall provide this specialized training on-site for any staff that will be operating production scan stations.

7.4.4 Training and Knowledge Transfer Responsibilities

1. DataBank shall provide the County with six (6) free passes to the DataBank annual ECM training conference for the first year. This conference is a DataBank event. Each year thereafter DataBank shall provide the County with two free passes for the life of the contract.

2. DataBank shall provide all training on-site prior to system go-live date based on the Training Plan below. On-site training classes are normally 1 day in length.
3. DataBank shall work with the end user group (BOR) to finalize the timeframe and schedule for DataBank to conduct the specified training courses. DataBank shall work with the end user group to reschedule when necessary and ensure full training for all identified trainees. Should Less than eight (8) users be available for each OnBase Full Client class, DataBank shall reschedule training until at least eight users are available.
4. DataBank shall develop and provide a detailed curriculum, hands-on exercises, case studies and reference materials, designed specifically for the County's integrated software environment, to support the training program for all system training.
5. DataBank shall provide Administrator and End-User training manuals for review by BOR and BOT project leads prior to training. Each attendee shall receive an End-User manual. The County shall receive electronic copies of the documentation in Microsoft Word format.
6. Additionally, OnBase has in depth help included for all modules of the software.
7. DataBank shall provide all knowledge transfer and training necessary to operate and administer OnBase prior to go-live.

7.4.5 Summary of Training Plan

Class	Description	Length	Sessions	Total
OnBase Full Client	End User onsite training for all 75 users. Session should have a minimum of eight (8) users, or a maximum of ten (10) users per session.	1 Day Each	8 one-day classes	
Capture	End User Training For all Capture Users	½ Day	1 – All Capture Users	4 Hours
Certified System Administration	Online or Classroom Training for two Administrators	5 Days	1 Each (2 Tech Staff)	80 Hours
Certified Workflow Administration	Online or Classroom Training for two WF Administrators	5 Days	1 Each (2 Tech Staff)	80 Hours
Admin Shadowing our installation/configuration activity	Proactive knowledge transfer	Life of the project	N/A	N/A

7.4.6 Transition Cutover

DataBank shall work with the County's business owner to secure and sign off on the bug list and enhancements list. The two shall come to a common agreement and go forward plan for this list. The result of this list shall lead to the close of the project.

DataBanks shall update the migration/promotion to Production checklist and follow the procedure established in the QA section (see that section for details), where the DataBank QA manager shall coordinate all testing and data accuracy validations necessary to ensure that the Production environment is operational and available to all BOR users.

The QA manager shall also ensure that all users are ready to use the solutions and have been properly trained.

County shall provide skilled IT staff for Administrator training.

Last, DataBank shall elevate its OCM events and communications to ensure that the BOR, and the rest of the County are ready and aware of the expected next steps and definitive Go-live date.

7.4.7 Transition/Cutover Deliverables and Responsibilities

Key Activities per Phase	Expected Deliverable(s) /Approver	Acceptance Criteria
Phase 2 - Execution Phase - Production Deployment 1. Configure PROD 2. Develop Production Deployment Migration Plan 3. Migrate from QA to PROD 4. Perform database backup and restore 5. Perform verification and validation 6. Perform end to end testing of final solution 7. Perform modifications if required per end to end testing 8. Generation/review of OnBase configuration reports 9. Generation of documentation from Workflow Studio 10. Detailed Training Schedule based on implementation timeline 11. Prepare System Configuration Reports 12. Prepare Workflow Configuration Reports 13. Prepare End User Documentation 14. Prepare Workflow Documentation 15. Finalize Disaster Recovery Plan 16. Go-Live	1. Promotion and cutover checklist/plan – County PM. 2. Production testing results - technical (data promoted successfully to prod from staging/QA) – BOT Rep. 3. Business user production test scripts/plan – County PM 4. Organizational Change Management key activity – County PM 5. Replication of production to backup site test results – BOT Rep 6. Disaster recovery document – BOT Rep 7. System Configuration Reports – System Admin 8. Workflow Configuration Reports – System Admin 9. End User Documentation – County PM 10. Workflow Documentation- County PM 11. Disaster Recovery Plan – BOT Rep. 12. Successful cutover (Go-live) - Approval form – County PM	Work Acceptance Form per Deliverable (if different approvers) or list of deliverables. The Acceptance form must describe what is being delivered. The BOR and BOT shall Signoff to approve Payment.

7.4.8 Onsite Rollout Support

Databank shall provide at three onsite resources available to answer questions, assist end users, survey the floor and address any issues. DataBank's onsite resources shall be available for rollout support for five (5) business days after go live.

System and/or configuration issues/bugs identified during rollout support shall be prioritized and addressed by DataBank following the QA processed described in this SOW (fixed in Dev and promoted to UAT and then to Production), prior to final approval of the Go-live/cutover by the County.

7.5 Support and Maintenance

DataBank shall provide 500 hours of block time (Managed Services Support) and a Gold Level support agreement (48 Instances per year).

7.5.1 Managed Services Support

OnBase is sold with Software Maintenance. Customers under a Software Maintenance Agreement are provided access to the OnBase product upgrades and bug fixes. It is important to take note that while Software Maintenance provides access to the bug fixes ('patches') and product upgrades, it does not cover support time to implement or install them. Therefore DataBank has included 500 Managed Services support hours per year to provide this and other support services as necessary. Unused hours shall rollover to the next year and DataBank shall only invoice for services rendered under this type of support. Cook County is not obligated to use any of the 500 hours.

DataBank shall also assist the County with testing of the software, especially in regards to the customized features and processes developed for the organization.

DataBank shall support the installation of bug fixes or product upgrades.

7.5.2 Gold Level Support Agreement

Databank developed an additional program that may also be used for technical support. This program is based on the number of actual issues rather than the amount of time spent on resolution. The Instance Based Support Program shall prevent the County from having to estimate the amount of time needed to resolve future support issues. Instead, the County can simply estimate how many calls it would like to have available for issue resolution. If the County calls with an issue, then it shall be charged for one issue, regardless of the amount of time it takes to resolve the call.

DataBank shall provide the Gold Level Support Agreement as follows:

1. $24,500 per year;
2. 48 instances per year;
3. 1 Databank OnBase Administration Course;
4. 1 Databank Offered Course – From Databank course catalogue.

To aid customer understanding, the following is a listing of terms and definitions as they relate to technical support and maintenance support within this document.

Instances - A single support issue covered by an Instance Based Support contract. This shall include basic support calls (e.g.: can't find a document, issues with permissions, etc.). Multiple issues reported that arise from the same root cause shall be treated as a single instance.

Issues - Technical problems experienced by the Customer. "Issues" is a broad term covering the range from downed systems to unexpected solution behaviors to general questions posed by a Customer requiring the engagement of and Databank technical resource. Issues do not refer to work done as part of a project. An issue may make up an instance.

Software Maintenance - Annual support offered through Databank by third party software vendors to provide Customers with software updates and software bug fixes.
Unexpected Behavior - Software provided is not behaving in an expected manner. Patching the application may be included as a resolution step.
Script/API Assistance - Assistance with developing a small piece of a solution. If the assistance required is of a significant depth, the County may be directed to work with their account manager to determine the appropriate course of action including the need for a potential change order.
Minor Alteration of Workflow or Workview Solutions - Assistance with the alteration of an existing Workflow or WorkView solution. If the assistance required is of a significant depth, the Customer may be directed to work with their Databank Account Manager to determine the appropriate course of action including the need for a potential change order.

7.5.3 Help Desk Service, Service Level Agreements

In order to better serve our customers, DataBank has set up levels of priority for each issue. DataBank shall determine the condition of each issue and assign a priority level accordingly. The description and associated response times are as follows:

1. Critical: Complete failure of the system to perform correctly. This includes severe slowdowns of productivity or throughput. DataBank should acknowledge receipt of the problem reported within 5 minutes. DataBank shall assign the appropriate resources within approximately one (1) hour. If Customer agrees, the response time may be later, but in no event later than one (1) hour.
2. High: Serious failure of software/hardware component, which does not result in complete system failure, but does impact productivity and/or throughput. DataBank shall provide one (1) hour telephone response. DataBank shall assign the appropriate resources within one (1) hour.
3. Medium: Recurrent problem, which affects productivity or the throughput of the system. DataBank shall respond by telephone or email within four (4) hours. Research toward issue resolution should be started within twenty-four (24) hours.
4. Low: Cosmetic error not impacting production. DataBank shall respond by telephone or email within eight (8) hours.
5. As issues may be caused by factors external to DataBank (third party software, hardware, bandwidth, customer actions, etc.), DataBank is unable to guarantee a time to resolution. Most issues are resolved in less than 4 hours.
6. DataBank regular business hours are 8:00 a.m. – 8:00 p.m. Easter Standard Time Monday through Friday. Hyland Software backs up DataBank support with 24 x 7 support service. Both active and scheduled services may be completed during subsequent hours.

7. Any service outside of normal business hours not scheduled at least seventy-two (72) hours in advance shall be billed at time and a half.

7.5.4 Helpdesk Information

This section defines the following:

- Contact Information
- When to engage the support team
- How to Report an Incident
- How to define issue severity
- Responsibilities (our support team and our customers)
- Hours of operation
- Tiered Support Structure

Management Escalation Contacts

If at any point during the resolution process the County is unsatisfied with the progress or needs to emphasize the priority level of a particular issue, it may contact DataBank's Director of National Support, Scott Hirsch, to discuss the specific details. Scott shall engage the appropriate resources (if not already engaged) in order to resolve the issue in the timeliest and most direct manner.
DataBank's technical management team is referenced below in the event Scott is unavailable.

Scott Hirsch, Director of National Support
Office: 612-255-0624
Cell: 763-229-8564
Email: shirsch@databankimx.com

Jason "Beeker" King, Vice President of Operations, Software Solutions
Office: 330-474-3496
Cell: 330-592-7049
Email: jking@databankimx.com

David Godiksen, Vice President of Software Solutions
Office: 321-445-1680
Cell: 407-592-3076
Email: dgodiksen@databankimx.com

Contacting DataBank

Support Contacts

Name	method of contact	Office Phone	Other
Main Support Line	This is the main Support line available M-F, 8am-8pm Eastern Excluding holidays, or as otherwise provided by DataBank to its end users who have a current Maintenance and Support Services Plan. Holidays include New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and day after, and Christmas Day.	(866) 590-5545	After hours *Critical Issues Only*

ONLINE & Support Portal	Online Portal - available 24/7 for incident submission http://support.databankimx.com Website Submission http://www.databankimx.com/support/		
Support Email	support@databankimx.com		

Customer Expectations

How to Report Issues

During normal business hours, DataBank National Support is available by phone at: (866) 590-5545, or email at: support@databankimx.com

The preferred means to contact DataBank National Support is through Portal submission. This provides additional information required to quickly address issues. It can be found here: http://support.databankimx.com

Troubleshooting

At a minimum, customers will be asked the following when contacting Support. This information is used to determine issue severity and prioritization:

- Is this happening in PROD or TEST?
- Where is the issue happening?
- Did you receive an error message of any kind?
- Was this ever working correctly?
- Is this the first time you have received this message?
- What were you attempting to do when you received the issue (step-by-step)?
- Can you replicate this issue every time or is it sporadic?
- Are you aware of others in your office experiencing the same issue?
- Have any troubleshooting steps already been taken?
- Are Diagnostic Console, Event viewer or IIS logs available?

After gathering this information, the technician will enter it into the incident along with any relevant screenshots. Follow-up and update communication by phone, or email will be disseminated based on the severity of the incident (see Severity Definitions below). Weekly updates of all open issues can be automatically generated and sent to the customer. These updates include a description of the incident, the severity, and the current status. Once an issue has been closed, a notification will be emailed to the customer. A survey is also sent for each issue upon closure to provide an opportunity for feedback.

Severity Definition: DataBank National Support will assign each issue a severity based off the information provided. Priority is given to those issues critical in nature.

Urgent: The supported solution is completely unavailable for all critical business units, or greater than 75 percent of all production users. Only a Production incident can be classified this severely. We strive to acknowledge receipt of the problem reported immediately. DataBank National Support will assign the appropriate resources within approximately one (1) hour. If Customer agrees, the response time may be later, but in no event later than twenty-four (24) hours.

- *Example: All users are unable to access the DataBank solution.*

High: The supported solution is intermittently unavailable for all users, or there is serious performance degradation to the point where the system is unusable. A critical module is unavailable, or over 50 percent of all end users are experiencing the same symptoms. Single-user, or single-processing workstation issues can be escalated to this severity if the issue is preventing a critical business function. Only a Production incident can be classified this severely. DataBank National Support will assign the appropriate resources within approximately one (1) hour. If Customer agrees, the response time may be later, but in no event later than twenty-four (24) hours.

- *Example: Web client users attempt to retrieve documents receive an error message. Users with access to the Thick Client are still able to access documents.*

Normal: The supported solution is experiencing minor to moderate issues. Single-user, or single-processing workstation issues can be escalated to this severity if it is preventing a critical business function at the client site. An Urgent or High issue could be downgraded to this severity if a temporary work-around is available.
DataBank National Support shall provide four (4) hour response. DataBank will assign the appropriate resources within twenty-four (24) hours. This severity rating is the highest severity escalation for Non-Production environment (TEST) issues.

Low: Non-critical issue typically impacting a single user that does not require immediate attention. DataBank agrees to respond within one (1) business day.

- *Example: File Download Requests*

Response Expectations

A qualified County contact should respond to follow-up attempts made by DataBank National Support within three attempts. If a response has not been received in this timeframe, then the incident will be closed.

Client Contact(s)

It is anticipated that DataBank National Support will work with a contact(s) that has a basic knowledge of the DataBank solution being used and has, or is able to provide access to the resources necessary to resolve issues (ex. Disk Group locations, OnBase database, OnBase Configuration, workstation PCs, web and application servers, database servers, etc.). This person(s) would be an internal escalation point(s) for technical issues at the client location. If an issue classified as **Urgent** or **High** is opened, DataBank National Support would reach out to this point-of-contact first to begin the troubleshooting process. If an established point-of-contact is no longer available, then it is the client's responsibility to inform DataBank National Support to update their records and inform the Account Manager. DataBank National Support would typically ask that another Support Handoff take place to introduce the new point-of-contact to the support process.

- *Absence of a trained/certified OnBase Admin may affect resolution times.*

In addition to being the primary contact for issues with the DataBank solution, it is also assumed this person(s) has permission to authorize changes to the DataBank solution in order to resolve any issues the client may be experiencing.

Preferred Skills

It is the assumption that the County contact has the following skills at minimum:

- Knowledge of computer/scanner operation

- Basic troubleshooting skills
- Understanding of the business process in question
- Ability to facilitate user assistance in troubleshooting user specific issues
- Follow instructions and provide detailed issue descriptions and screenshots

Contact and Chargeable Activities

In the event the work being performed by DataBank is billable, and the county has purchased blocks of support time, it is assumed county contact(s) who utilize DataBank Help Desk resources are able to approve use of any of said block time in order to resolve the particular issue the customer may be experiencing.

If the customer has not purchased block support time, and the work needing to be performed is deemed chargeable, this contact will work with the appropriate resource at the client site to get approval in an appropriate period of time based on Severity Definitions.

For critical issues (**Urgent** or **High**) needing approval, DataBank will provide reasonable support while approval is being obtained to allow issue to be downgraded in severity at minimum.

- *All Approval for DataBank to perform chargeable work must be in writing.*

- *DataBank reserves the right to bill for services tendered in the event the issue was not the result of a software bug, or the issue was not a warranty issue.*

Issue Prioritization:

Support calls are prioritized on two criteria:

- The severity of the issue against other client software solutions in production
- The order in which they are received. Customer emergencies always take precedence over non-emergencies.

- *Method of submission does not dictate the severity of the submitted issue*
- *Critical issues should **ALWAYS** be called in to (866) 590-5545*

Clarifying Support Activities

The purpose of this section is to solidify the activities of the Support Team. The following assumes that the customer is in good standing with software/hardware maintenance. If maintenance is not active, or a mutually agreed upon plan to activate maintenance is not in place, then all activity pertaining to the software/hardware is billable. If the customer has never purchased the software/hardware in question, the responsibility to address the question, or issue is held with the DataBank Sales team.

Incidents requiring additional fee-based resources will be coordinated by the client's Account Manager.

- *DataBank National Support will spend a reasonable amount of time triaging the issue(s) to determine the root cause and report to the customer regarding whether the incident*

can be covered under normal support or if the work will require additional fee-based resources.

- *As issues may be caused by factors external to DataBank (third party software, hardware, bandwidth, customer actions, etc.), DataBank is unable to guarantee a time to resolution.*

- *DataBank reserves the right to bill for services tendered in the event the issue was not the result of a software bug, or the issue was not a warranty issue.*

Included activities (per the "Support Guide" and "Maintenance Agreement"):

- Software defects that surface in the form of an error message and/or resulting in either a data integrity and/or data loss issue
- Production issue is being experienced and a specific error message is being displayed.
- Non Production issue is being experienced and a specific error message is being displayed.
- Published documentation contradicts actual behavior of the software (not to be confused with cases where documentation does not exist).

Conditions that can cause the activity to involve fee-based resources:

- Error message is determined to be related to system performance (network, database, resources, etc)
- Error message is determined to be related to an external application, or system (Windows Operating System, Hardware, 3rd party application)
- DataBank solution will need to be modified to achieve desired results
- The work was accepted by the customer (sign off sheet) and now the work is required to be changed, or changes are requested by the customer.
- Consulting, how to, and Training type questions:
    - Customer is inquiring how to design, create or configure a new solution for specific business problems.
    - Customer is asking DataBank to explain how a particular software component functions, when documentations is typically available online.

- *Customer is encouraged to utilize readily available online resources to receive documentation, review blog posts, etc.*

Other Activities involving fee-based resources:

- Configuration: no specific error message, however specific configuration is required in order to resolve the request and/or achieve the desired result. For instance, OnBase Folders need to be set up, Workflow needs to be developed, and security needs to be set up. In this case, the OnBase system didn't produce the desired result
- Workflow logic: the team is being faced with the possibility of troubleshooting workflow logic and can see that it may be flawed or that the solution is not configured properly to address the scenario the customer is anticipating.
- API: The customer is asking DataBank to review custom code. The code is not behaving the way the customer would expect, but no real err message is appearing
- Performance: no specific error message, however performance degradation has been noticed and continues to get worse over a period of time.
- Database (Business Intelligence): reports are required to be generated in order to provide customer the business data requested.
- Database (Other): Database administration tasks (performance tuning, index creation, maintenance tasks, etc.)
- Maintenance of other software and/or infrastructure: the customer is asking DataBank to perform maintenance related activity on the operating system or SQL Server.
- Customer environment changes: Customer upgrades or modifies their environment to a configuration that is not tested or not supported.
- Installation tasks: there are no errors or specific business continuity issue, however the customer is asking DataBank to install and/or configure software (new modules, existing modules, other environments)
- Data recovery tasks: in this case the error or issue is data loss, but the cause was lack of maintenance or caused by a failure in the maintenance process (backups, other maintenance best practices per manufacturer or DataBank documentation).
- Go Live Support: Go Live support for a project launch or an upgrade where DataBank was not previously involved in (contract or project).

7.6 Contract Performance Review and Acceptance

7.6.1 Final Documentation

DataBank shall deliver the following documents after Post Implementation (Rollout) Support:

1. Report listing all provided documentation, last updates and location of electronic files.
2. Updated System Configuration/Customization Document (As-Built)
3. UAT signed forms (captured through the process)
4. Lessons Learned Report
5. Issues/bugs Final Status Report
6. Report of User Story Status
7. Traceability report to SRM
8. Declaration of Satisfaction Form

7.6.2 Close out dates, locations and required attendance; include a review session 6 months after implementation completion

Databank shall schedule and coordinate a closeout meeting with the BOR and BOT approximately 6 months post go-live date to assess the state of the solution environment to ensure everything is functioning as expected, and address any outstanding or discovered issues (issues discovered and reported after go-live) and discuss lessons learned.

7.6.3 Final Project Lessons Learned expectations

Following final project implementation, DataBank shall conduct, in concert with the Cook County Project Team, a final Project Lessons Learned session. Each project team (DataBank and Cook County) shall perform their individual assessments by completing the Lessons-Learned Document (see sample in Appendix). The DataBank Project Manager shall collate all responses and bring all resources together to create one final document, agreed upon by all parties. It is expected that this document shall contain objective feedback from all parties, including feedback around the following criteria.

1. Strategies and Processes that led to Success.
   Criteria that may be considered during this section include how communication was handled (effectively, discussion of issue escalation, risk identification), if major problems were found and/or prevented; were technical and business needs met; were all resources available for continued team success.
2. Areas of Potential Improvement
   What were the pieces that could have worked better? Again, different project aspects such as communication, team participation, resource availability, and overall project management shall be reviewed here. All criteria are to be determined by the team, based on feedback.
3. Project Close-Out Discussion
   During this discussion, the biggest successes (top three) shall be identified, as well as the factors that promoted the success. If there are other successes that the team would like to highlight, they can be brought up at this time.
4. Potential improvement, along with high-impact improvement strategies shall be discussed. For example, if there was confusion around each team member's role and responsibility, this would be discussed, along with the best way to handle that issue and avoid it in the future.

Once reviewed and discussed by the project team, sign off shall be required by appropriate parties, and included as part of the final documentation for the project.

7.6.4 Sample documents such as "Declaration of Satisfaction Form" and Project Performance Ranking forms

DataBank shall use the "Project – Final Acceptance Form" as part of its project closeout and final customer acceptance process. The Final Acceptance Form (see Appendix for sample) outlines the overall project and lists the overall project acceptance criteria, outlined at project initiation. Should the acceptance criteria change (as agreed upon by both parties); the Final Acceptance Form would correspondingly be updated.

Completed after final rollout, The Acceptance Criteria section also outlines specific areas that both parties would like to call out, for example the testing process, training, or system issues. The separate comment section is the opportunity for both parties to add additional commentary as they see fit. Approval shall be required by identified project participants/stakeholders.

7.6.5 Schedule of Performance Credits for failing to meet SLAs and project milestones

DataBank shall provide a monthly report during implementation and a quarterly report after Go Live for the life of the contract. The report shall document DataBank's performance measures towards the following Service Requirements. Failure to provide this report is deemed a service level violation. In the event that DataBank fails to meet the service level requirement outlined below, it shall investigate the root cause to determine if any trends exist. If any trends exist, it shall create a corrective plan of action. DataBank shall present the County with the data on such trends, a copy of the corrective plan of action and regular updates on the success of the plan of action.

For the purposes of the helpdesk SLAs a "Failure to Respond" occurs when DataBank is in receipt of a service ticket and DataBank fails to respond to the County within the timeframe defined in the SLA. DataBank's receipt of the service ticket shall be at step 1 in the helpdesk process. DataBank's response to the service ticket shall be the initial contact the helpdesk has with the County. The elapsed time between these two (2) events represents the response time.

Helpdesk and other response credits due to the County shall be applied on the following month invoice. If the County is entitled to two separate credits, the credits shall be independent from each other. For example, if the County is entitled to two 50% credits (Vendor's failure to meet number 1 below), the two credits are from the base monthly amount and thus the County shall receive two credits in the amount of $1020 or a total of $2,041.

The service level agreements (SLAs) and corresponding credits below and throughout this Agreement do not limit the County's available remedies for a material breach of this Agreement. For each of the below SLAs: (1) measurements are monthly during implementation and quarterly after go-live, (2) DataBank shall affirmatively monitor for SLA compliance and notify County of SLA violations, and (3) DataBank shall give County sufficient data to validate SLA compliance and calculation of credits.

Service Requirements	***Service Level***	***Credits***
1. DataBank helpdesk response time shall be at or below the response times listed as Critical 95% of the time in any given month.	DataBank should acknowledge receipt of the problem reported within 5 minutes for all calls submitted through the national support team. DataBank shall assign the appropriate resources within approximately one (1) hour. If Customer agrees, the response time may be later, but in no event later than twenty-four (24) hours.	For any month that DataBank fails to respond and meet this service level, it shall credit the County's account 50% of the monthly support and maintenance fee. (Gold Level Support is priced at $24,500 per year).
2. DataBank helpdesk	DataBank should acknowledge	For any month that DataBank

response time shall be at or below the response times listed as High 95% of the time in any given month.	receipt of the problem reported within 5 minutes for all calls submitted through the national support team. DataBank shall provide one (1) hour telephone response. DataBank shall assign the appropriate resources within twenty-four (24) hours.	fails to respond and meet this service level, it shall credit the County's account 50% of the monthly support and maintenance fee. (Gold Level Support is priced at $24,500 per year).
3. DataBank helpdesk response time shall be at or below the response times listed as Medium 95% of the time in any given month.	DataBank should acknowledge receipt of the problem reported within 5 minutes for all calls submitted through the national support team. DataBank shall respond by telephone or email within four (4) hours. Research toward issue resolution should be started within forty-eight (48) hours.	For any month that DataBank fails to respond and meet this service level, it shall credit the County's account 50% of the monthly support and maintenance fee. (Gold Level Support is priced at $24,500 per year).
4. DataBank helpdesk response time shall be at or below the response times listed as Low 95% of the time in any given month.	DataBank should acknowledge receipt of the problem reported within 5 minutes for all calls submitted through the national support team. DataBank shall respond by telephone or email within eight (8) hours.	For any month that DataBank fails to respond and meet this service level, it shall credit the County's account 50% of the monthly support and maintenance fee. (Gold Level Support is priced at $24,500 per year).
5. DataBank completion of "deliverables."	DataBank shall provide all identified deliverables in a reasonably timely manner and accepted* by the appropriate (identified) County representative. Adhering to time and quality requirements is considered successful delivery.	For any deliverable that Cook County does not accept, or conditionally accept*, DataBank shall credit the County's account 15% of the cost estimated in the Pricing Section of this SOW to produce the deliverable.
6. DataBank contract performance	DataBank shall meet all identified contract performance expectations, based on the identified acceptance criteria.	For any expectation not met, DataBank shall credit the County's account .5% of the total contract value (~$4,543 based on the current contract value, which shall not exceed $25,000).

The following definitions govern project deliverable acceptance:

Accepted – County accepts material content, concepts and execution of deliverable. Some cosmetic updates may be requested and agreed to, but no material changes or additions are necessary.

Conditionally Accepted – No significant, material issues with content, concepts or execution of the deliverable. County has noted updates it would like to see adopted as part of this deliverable. County and Vendor review and mutually agree to documented County updates and their corresponding acceptance criteria. County agrees to accept on the basis of Vendor's agreement to implement documented updates.

Not Accepted – Deliverable is rejected in whole by County.

The County deeming a deliverable as Not Accepted may require the adjustment of the project schedule, and possibly the project go-live date. When the County deems a deliverable as Not Accepted, DataBank receives the right to produce an acceptable deliverable without harm and penalty to subsequent deliverables and their respective, previously documented timelines and commitments.

DataBank shall adhere to Performance Review expectations as follows:

Contract Performance Review Item	**Description – Acceptance Criteria**	**Acceptance via**
1. Project Goals and Objectives:		
a. Simplify the online filing process	Intuitive User Interface and cohesive information architecture that interfaces with OnBase	Acceptance Form approved/signed by County PM and Project Sponsor
b. Reduce repetitive work	Reengineering effort report showing elimination, automation and/or facilitation of repetitive work	Acceptance Form approved/signed by County PM
c. Reduce human error	Solution reduces the number of manual touch points in which 1) a human could add incorrect information to documents and the process and 2) could incorrectly record a decision that would impact the routing and approval process of an appeal.	Acceptance Form approved/signed by County PM
d. Reduce cost associated with manual work and paper printing	Solution provides search, retrieval and query functions not available to Cook County employees today.	Acceptance Form approved/signed by County PM
e. Increase transparency to management and the citizens of Cook County	Solution provides search, retrieval, query and functions not available to Cook County citizens today.	Acceptance Form approved/signed by County PM
f. Increase efficiency	System provides management real-time access to system data/dashboards that usually display work allocation.	Acceptance Form approved/signed by County PM
2. System Reliability	System architecture supports automatic load balancing, mirroring,	Acceptance Form approved/signed by

Contract Performance Review Item	Description – Acceptance Criteria	Acceptance via
	and failover to backup location.	County PM and Director of Application Development
	Limited defects in projects released into production. (Less than four high-impact problems in the first 30 days.) High impact problems directly affect core functionality of the solution.	Acceptance Form approved/signed by County PM and Director of Application Development
3. System Scalability	Initial design efforts can be replicated most places in the organization ("Design once, deploy anywhere").	Acceptance Form approved/signed by County PM and Director of Application Development
4. System Functionality	Complete User Story Backlog with stories listed by Workflow Step and meeting the defined MVP.	Acceptance Form approved/signed by County PM
5. System front-end (Portal) functionality	Portal is fully functional and meets or exceeds existing functionality	Acceptance Form approved/signed by County PM
6. System integrates with the mainframe	System can successfully and reliably integrate with the mainframe.	Acceptance Form approved/signed by County PM
7. Critical data is available in the new system	Data in the existing access databases listed in the current technology section is successfully migrated to the new system, and reliably integrates with all other system components.	Acceptance Form approved/signed by County PM
8. Project Transition	DataBank submits all acceptance forms for all deliverables – as accepted and signed at each phase.	Acceptance Form signed by PM
9. Budget and Schedule	Key deliverables were executed on time and on budget as defined in the SOW. Project costs were contained around (+-10%) the originally agreed amount. Variance to schedule was within +/- 5% of schedule for completion. Should the project team identify scope changes, the County shall take into consideration approved Change Orders in the evaluation of this performance metric (See Contract Change Management process). A final report shall be presented for signoff.	Project – Final Acceptance Form signed by PM

8. System Solution Overview

8.1 Solution Architecture Diagram

Databank shall implement an OnBase on premise solution. DataBank shall create an architectural diagram depicting the actual infrastructure and related virtualization at two distant sides. Cook County shall review and approve the diagram prior to deployment of the infrastructure. The diagram shall include:

1. Number of environments with at minimum development, testing, staging, production;
2. Minimum requirements for web applications (front end) based on the stated requirements;
3. Minimum requirements for backend based on the stated requirements;
4. Proposed destination for migrated data (access databases),
5. Interfaces/integration points;
6. Backup and Recovery components;
7. 3rd party tools;
8. Other key elements shall help Cook County better understand your proposed system design.

Cook County shall secure all required hardware via its Countywide Hardware Contract.

Below is a description of the components that have already been described and that DataBank shall incorporate into its final architecture diagram.

8.1.1 Number of Sites and Environments

Databank shall setup the following:

a. One primary site.
   i. Development environment
   ii. Testing environment
   iii. Production environment
b. One secondary (recovery) site.
   i. Development environment
   ii. Testing environment
   iii. Production environment.

As allowed by Hyland Software, DataBank shall provide a Production, Test and Development set of OnBase Software licenses as well as a Disaster Recovery environment at no additional charge.

8.1.2 Front End Requirements

DataBank shall include the development of a BOR external facing portal that shall allow constituents and other approved outside entities to submit complaints and other supporting documentation on-line. The primary goal shall be to create a user friendly front end interface that integrates with the existing Cook County web site, but is also tightly integrated with the proposed OnBase solution. To this end, DataBank shall make sure that the integrated infrastructure and software design accomplishes the above goals.

8.1.3 Back end Requirements

Below is a description and breakdown of the supported operating systems for the back end web and applications servers, as well as the client side operating systems. Please reference the Hardware Environment Section of this document for minimum hardware specifications.

Application Server and Web Server Supported Operating Systems:

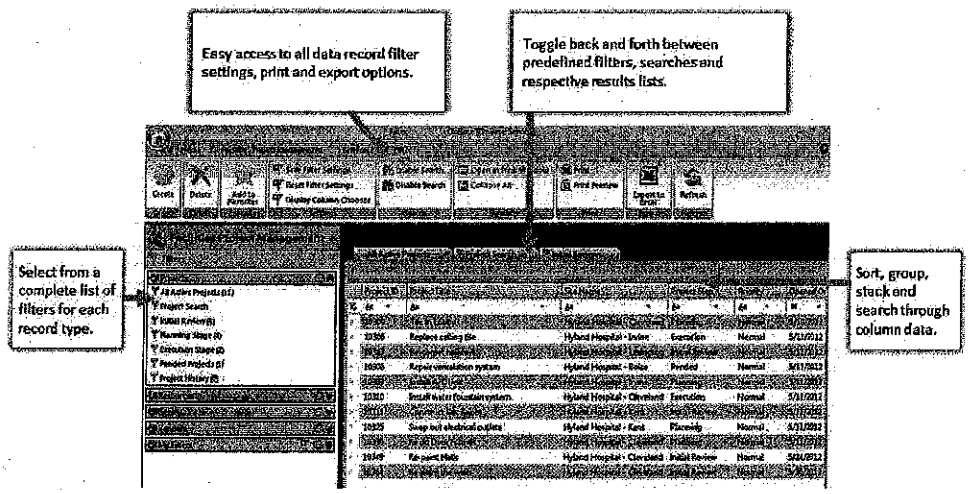
- Microsoft Windows Server 2003 SP2 or later service pack (x86, x64)
- Microsoft Windows Server 2008 SP2 or later service pack (x86, x64)
- Microsoft Windows Server 2008 R2 SP1 or later service pack (x64)
- Microsoft Windows Server 2012 (x64)

Web and Application Servers must be dedicated purpose servers; not used as a domain controller, DNS server, non-OnBase Web server, e-mail server, print/database/file server, index server, proxy server, network backup server, jukebox manager, network performance monitor, OnBase Client processing workstation, or Workflow/API OnBase Client broker. Network and disk I/O hardware should be optimized for performance and redundancy.
Two network ports can reduce server bottlenecks by using a segmented network for external and internal requests, where external requests are sent to the Web clients and internal requests are sent to the file and database servers.
A Gigabit Ethernet connection to the file server and minimal latency connection to the database server are recommended. SSL Web servers will typically run at a lesser percentage of a non-SSL Web server's throughput due to the SSL encryption demands placed on the CPUs.

Web Client Workstation Supported Operating Systems:
Apple® Mac OS X version 10.6 or later—Supported only by the HTML Web Client.
Windows XP SP3 or later service pack
Windows Server 2003 SP2 or later service pack
Windows Vista SP1 or later service pack
Windows Server 2008 SP2 or later service pack
Windows Server 2008 R2 SP1 or later service pack
Windows 7 SP1 or later service pack
Windows 8
Windows Server 2012

8.1.4 Proposed destination for migrated data (access databases)

Databank shall be using the OnBase WorkView module to replace the identified MS Access databases. The WorkView module provides means for Organizations to eliminate disparate data management methods, such as spreadsheets and departmental databases. This module provides the flexibility to map one-to-many and many-to-many tables of data and manage the data objects with the same control the OnBase manages digital documents.



WorkView provides completely customizable data elements and screens which can be configured without programming to replace the MS Access databases and contain all data and documents within the same OnBase solution. Below are some additional benefits:

1. Provides a consolidated, 360° view of all data records, related documents and processes
2. Enables creation of high-value, low cost, rapidly deployable solutions without custom application programming
3. Maximizes knowledge worker productivity by reducing the need to search for information across multiple data sources
4. Natively integrated with the OnBase product suite and able to leverage all enterprise-class content management capabilities
5. Scales to any size solution, with the ability to create business applications that range from departmental to enterprise-wide

The custom WorkView applications for the County shall be configured based on defined user requirements, and shall replace the existing Access databases. They shall be accessible to appropriate users as part of their standard OnBase use rights. This shall include end user access, as well as administrative rights to perform applicable updates and enhancements.

8.1.5 Interfaces/integration points

The proposed solution offers various methods for accessing OnBase. However, we anticipate two primary user interfaces shall be used for internal Cook County employees. The first is the Web (Thin) Client, which is an ActiveX or HTML only client that provides easy deployment because there is no client side instance of OnBase required. The other option is the feature rich Unity Client, which is a click once deployment which accesses OnBase via the Application Server. The OnBase thick client shall only be used for back-end processing functions such as COLD and DIP.

8.1.6 Other key elements of the proposed system design

The primary solution design methodology that DataBank recommends for all OnBase deployments is to leverage inherent software capabilities to their fullest extent. We always strive to use core functionality over custom scripting whenever possible when designing and developing ECM solutions. The goal is to minimize points of failure to a single application whenever possible. To this end, we take advantage of

OnBase modules and functionality whenever possible to meet business requirements. This methodology fosters the highest level of quality control when developing solutions.

In line with the development methodology described above, our proposed solution leverages inherent OnBase modules and configuration capabilities for everything except the external facing web site. However, even the web site leverages the Unity API to communicate directly with the OnBase system via web services. Thus, the only real custom piece is the look and feel of the front end web pages used for complaint registration.

As it relates to overall system design, the goal is to develop a solution that meets or exceeds current business requirements, but also takes into consideration future business goals and objectives. This calls for a design and overall solution architecture that is flexible, expandable, and easily extendible as it relates to architecture, client access requirements, volumes, functional requirements, and the like. Our proposal takes all of these things into consideration to assure the solution is designed with the future state in mind.

8.2 Software

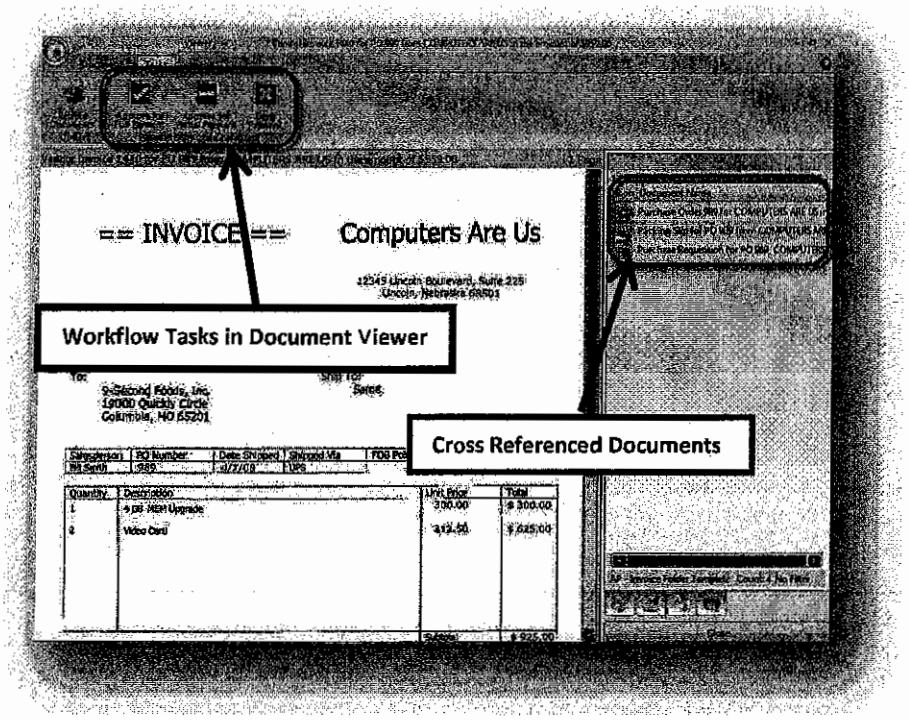
DataBank shall install all software, OnBase or other, necessary to have a functional system at the end of the project. Cook County shall provide all necessary Software via its Countywide Software Contract.

8.2.1 Operating system

OPERATING SYSTEM	ONBASE CLIENT	WEB/ APPLICATION SERVER	WEB CLIENT / DESKTOP	UNITY CLIENT	JAVA WEB CLIENT
WINDOWS XP SP3 (OR LATER SERVICE PACK)	X	N/A	X	X	X
WINDOWS SERVER 2003 SP2 (OR LATER SP)	X	X	X	X	X
WINDOWS VISTA SP1 (OR LATER SP)	X	N/A	X	X	X
WINDOWS SERVER 2008 (OR LATER SP)	X	X	X	X	X
WINDOWS SERVER 2008 R2	X	X	X	X	X
WINDOWS 7	X	N/A	X	X	X
APPLE MAC OS X (VERSION 10.6 OR LATER)	N/A	N/A	N/A	N/A	X

8.2.2 User Interface

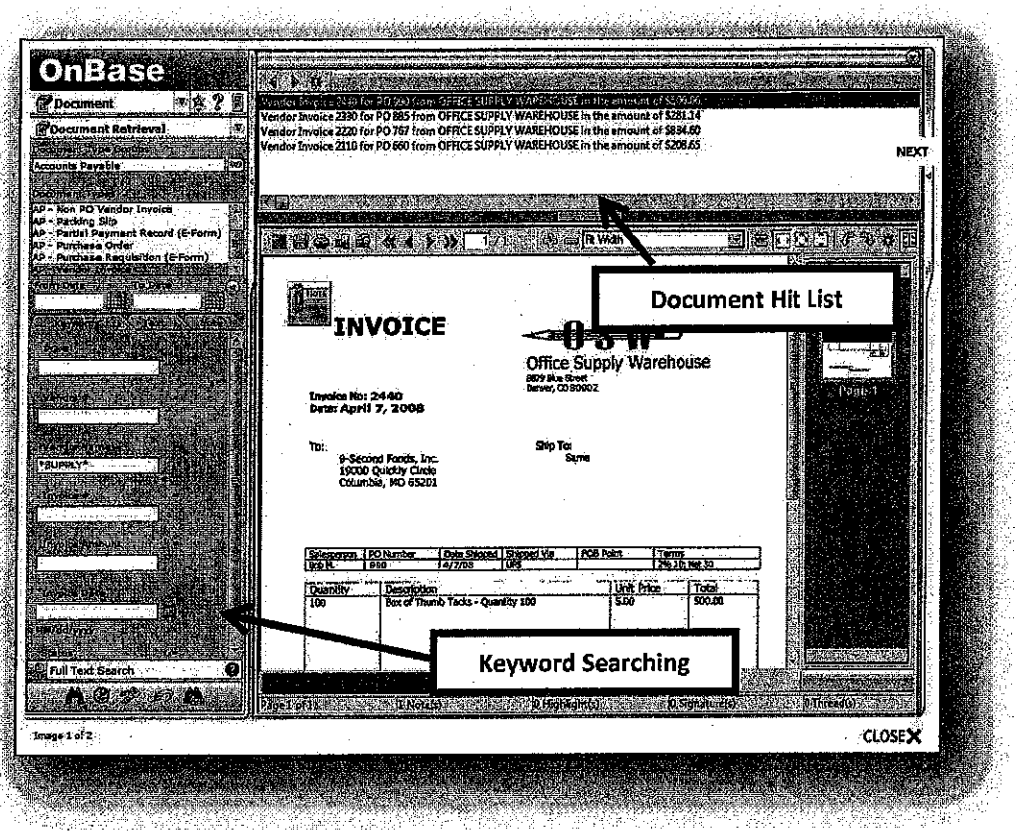
Databank shall utilize the Unity client as the User Interface. The Unity Client is the next generation OnBase desktop application, offering the familiar look-and-feel of Microsoft Office 2007 and 2010 products. With intuitive ribbon-style toolbars and tabs and easy access to features, users can easily navigate and perform their primary job tasks with little-to-no training. Unity Client also enables individual users to personalize their interface in order to quickly access the forms and functions they use most often. Installation and administration are simplified with deployment options that support ClickOnce technology.



For users accessing the system remotely (from out of the office), Databank also implement the Web Client. The Web client interface provides almost all of the functionality provided with the Unity client but is entirely browser based. This functionality is provided through the Web Server module.

The OnBase Web Server provides users with secure, Web-based access to enterprise data, documents, and real-time interactions with business processes from anywhere and at any time. The OnBase Web Server can improve the ways that the BOR does business with external users, extranet partners and remote employees. Web browsers function as secure Internet or intranet clients that connect to a centrally managed OnBase Web Server.

As illustrated in the figure below, the user interface for the web server is different from the Unity Client.



8.2.3 Development tools

Unity API

The Unity API is an object-oriented programming model that communicates via a .NET Web Service that shall be used to integrate with applications across the Internet. Currently, .NET Client Libraries are provided with future plans to include Java libraries.

Many OnBase system elements can be obtained through Unity, including Custom Queries, Documents, Document Types, Document Type Groups, E-Forms, Envelopes, File Cabinets, Folders, Keysets, Keyword Types, Notes, Print Queues, Workflow elements, etc. Unity also provides a means for querying and archiving documents into the OnBase repository. Workflow functionality can be utilized through this API as well.

The Core.NET directly accesses the OnBase database and the file server containing the OnBase Disk Groups.

The Unity API architecture is a little more complex than the other OnBase APIs. In this API, everything revolves around the lowest level of the Core Services Framework, the Core.NET. Although you cannot program to the Core.NET, it is still necessary to install this API on any machine that is running the Application Server.

Automation API

The Automation API is used primarily to access an individual document's information, as necessary. Values for Document Date, Document Handle, Keyword Values, and E-Form Field Values associated with that document may be accessed. There is also some limited image processing functionality, as well as the ability to copy documents to a local drive.

The Automation API has a ScriptAPI object, which allows access to the Thick Client API while sharing the session of the currently logged in user. This link allows a direct connection to the Thick Client API.

The Automation API does not contain the necessary functions to perform a query for documents or archive a new document into the OnBase system.

In most cases, the objects within this API are only available in the context of an OnBase VB Script running within the Thick Client. There exists no functionality within the Web Client for the execution of scripts without Workflow.

OnBase Client API
The OnBase Client API offers functionality to query for documents, get document information, save a document locally in different formats, and also archive new documents into the OnBase repository. In addition to the document-centric functionality, the OnBase Client API provides methods for integrating with Workflow and Folders, and provides some configuration and application-level methods.

Unlike the Automation API, the OnBase Client API allows for execution outside the context of the OnBase Client, with full functionality. However, the Thick Client is still required during execution, as it acts as a broker, passing information between the API application and the OnBase database. This allows the OnBase Client API to be launched programmatically, if the user has not yet opened it. However, the API does not provide a method for closing the OnBase Client programmatically.

With a dependence on the OnBase Client, this API offers ways to programmatically open hit lists and documents within the OnBase Client, so that you can utilize the viewers and functionality of the OnBase Client while executing your API solution. Conversely, you can also have the API operate without the use of the OnBase Client viewer, keeping the results of such queries internal to the API solution. The OnBase Client API requires an OnBase Client to be open and running in Broker mode (default mode of the OnBase Client).

8.2.4 New version release schedule

Hyland, the developer of the OnBase software product, typically has two releases per year; a major release every spring/summer as well as a .x release in the fall/winter.
OnBase is currently at version 13. OnBase version 14 will be released before this system is implemented. We are planning to use either OnBase version 13.2 or 14.2 for this implementation, depending on timeframe and availability.

8.2.5 Number of proposed OnBase modules and their descriptions

DataBank shall install and configure the following modules. See the Pricing Proposal for additional details.

Module	Description

Module	*Description*
Multi-User Server	The Multi-User Server is the core OnBase license. It includes the license to the database, Configuration, Thick Client, Document Retrieval, Custom Queries, system reports and more. This license is purchased once and can be used by all departments on the same system.
Unity Client Server	The Unity Client Server is Hyland's most robust, user-friendly client. It adds features like Unity Forms, which was used to create the Complaint Form electronically. The Unity Form can be published online so appellants can complete the form on the County's website. The Unity Client Server also allows users the ability to scan documents brought in by filers. This license is purchased once and can be used by all departments on the same system.
EDM Services	This license enables "library services". With EDM (Electronic Document Management) Services, OnBase can track revisions of editable documents and allows users to check documents out while they make changes. Users can see a history of all changes made to a document and users retrieving an editable document are ensured that they will always see the most current version of the document. This license will be used to create edits of the complaint form and letters created and sent to filers (appellants and attorneys). This license is purchased once and can be used by all departments on the same system.
Web Server	Browser-based access to OnBase that provides ability to use public portal
Virtual Print Driver	Virtual Print Driver will let users "print" their comparison tool reports directly into OnBase. Instead of printing to a paper printer, OnBase Virtual Print Driver will capture the print stream electronically and import the file into OnBase without creating a paper printout and scanning back in. This can be used to capture screenshots from any applications and any other documents that need to be imported to OnBase. This license is purchased once and can be used by all departments on the same system.
Concurrent Clients	Gives a pool of Concurrent Users access to OnBase at a single time. For example, if 20 Concurrent Clients are licensed to the system, any number of Cook employees can access OnBase but only 20 at a time. The same pool of Concurrent Clients can be used with the OnBase Thick Client, Unity Client or Web Client. After the first 100 user licenses are purchased, the price drops to $1,000 per user. After the first 200 users are purchased, the license drops to $800. OnBase also offers unlimited user access clients. This means that Hyland offers an Enterprise Concurrent Client that, once purchased, will let any Cook County employee retrieve documents in OnBase. This license alleviates the need to purchase a new set of Concurrent Clients for every new expansion project.
Named Clients	Named Clients are used for VIPs or for power users that need more-than-frequent access to OnBase. Employees that will be heavy users of OnBase, by spending close to or more than 50 percent of their time in OnBase are candidates for Named Clients. Should the County choose to purchase an Enterprise Concurrent Client, they will no longer need to purchase Named Clients, even for VIPs or heavy users because the Enterprise Concurrent Client will give access to employees no matter how often they access OnBase.

Module	*Description*
Disconnected Scanning (1st)	Disconnected Scanning is used for high-volume, batch scanning in a hosted or disconnected model. Disconnected Scanning license will be used by BOR to scan the supporting documents at the remote offices. After the first Disconnected Scanning license is purchased, every additional Disconnected Scanning license can be purchased at a discounted rate.
Disconnected Scanning (2+)	One disconnected scanning license for each remote office to eliminate the need to send supporting documents via the mail or courier.
Workflow Named Clients (1 - 20)	Workflow is Hyland's business process automation too. Workflow will be used at BOR to route complaints and their supporting documents through the process of distribution, hearings, review, and notification. The processes for handling exemptions and re-review can also be managed by Workflow. Workflow Named Clients allow VIP or heavy users to gain access to Workflow at any time regardless of how many infrequent Workflow users are logged in.
Workflow Concurrent Clients (1 - 20)	Workflow Concurrent Users will give, in this case, 10 people at a time access to Workflow for casual use. These users may be Chiefs of Staff who log in infrequently to review an Analysts work or re-assign complaints. Workflow Concurrent and Named Clients offer tiered pricing. As the County purchases more Workflow Clients, the price per client goes down. Enterprise Workflow Concurrent Clients are also available. If the County expands its use of Workflow to several departments, they may choose to purchase an Enterprise Workflow Concurrent Client that will give unlimited Workflow access to every employee in the County.
External Access Client (Constituent Access)	The External Access Client is a new Hyland module that makes it easier for external constituents or partners (e.g. - attorneys) to interact with OnBase, including Workflow. The External Access Clients is both a feature set of public-facing portals and a licensing mechanism so that external users do not consume the more expensive Concurrent and Named Clients and Workflow Clients. The license listed here is an unlimited use client for the Board of Review. That is, any number of public users can register on the site without incurring additional user access fees. It is worth noting that there are other ways to create and license an external portal but this is the method suggested by Hyland.
Business Activity Monitoring	Business Activity Monitoring provides real-time snapshots of Workflow processes. Available through the StatusView interface of the OnBase Web Server or a SharePoint Web site, these portlets are configurable by business users who have the appropriate rights.
Document Composition	Document Composition is an OnBase module that allows for ad hoc or automated creation of form letters. Letters can be filled with content from OnBase keywords, form templates, e-forms, Workflow properties, web services, database queries and nested sub-templates. BOR will use this module to create automated letters sent to appellants and attorneys.
Production Document Imaging	OnBase Production Document Imaging provides a scalable solution for centralized and distributed scanning, where documents are scanned or swept into user-defined queues, using a TWAIN, ISIS, or Kofax compliant scanner. Scan Queues will be configured to meet document-based process requirements and specific departmental business needs. This license is for the main office of the BOR operations.

Module	*Description*
Concurrent WorkView Seats	WorkView is used to replace Access Databases and other data-driven applications. WorkView is an OnBase tool used to create data applications to manage information and cases.
Document Import Processing	The OnBase Document Import Processor (DIP) provides the ability to automatically import, classify and index high volumes of documents, regardless of electronic file type. DIP is typically used to process output from external scanning services, legacy applications and third-party capture systems into OnBase. Powerful configuration and flexible scheduling options allow DIP to import from any text formatted index file and perform unattended processing during off-peak hours.
Document Retention	Document Retention manages the retention and disposition of stored documents according to predefined business rules per class of document. The destruction process is initiated by the passage of time, allowing for automatic destruction and/or removal from OnBase. This module will be used to dispose of documents and cases that exceed the 5 year (plus the current year) retention policies of BOR.
Report Services	OnBase Report Services gives organizations the ability to gain valuable information about system and business health. Report Services is an easily deployed application that includes over 140 pre-configured reports for evaluating a complete picture of OnBase and the repositories and processes it manages. Databank will also create custom reports to meet specific BOR business reporting needs.
COLD/ERM	OnBase COLD/ERM takes data from business applications and turns that data into fully indexed and widely accessible reports and documents—viewable in an instant by any authorized user or multiple users at the same time. With COLD/ERM, staff has real-time snapshots into enterprise transactions and documents ready to approve, e-mail, fax or print, keeping processes moving. Databank will be using this module to extract the Jacket Reports and other reports that come from the mainframe to parse the documents into separate cases.
Unity API Toolkit	The Unity API is an object-oriented programming model that communicates via a .NET Web Service that can be used to integrate with applications across the Internet. Many OnBase system elements can be obtained through Unity, including Custom Queries, Documents, Document Types, Document Type Groups, E-Forms, Envelopes, File Cabinets, Folders, Keysets, Keyword Types, Notes, Print Queues, Workflow elements, etc. Databank will use this API to integrate to the external analysis and comparable tools that BOR utilizes as part of the evaluation process. This will create a seamless environment for users.
Distributed Disk Services	Distributed Disk Services (DDS) is a secure middle application that brokers communication between the OnBase Client and the file server storing OnBase Disk Groups. DDS greatly simplifies the administration of OnBase Disk Groups by allowing management of just one account on the Disk Groups rather than separate accounts for each OnBase User Group. File server security is enhanced with DDS because there is no requirement to use shared UNC paths for each workstation to access the Disk Groups.
Integration to Autonomy Idol	The OnBase Full-Text Indexing Server for Autonomy IDOL provides a simple, unified interface for retrieving textual information stored in OnBase. This integration extends native OnBase search capabilities to both structured and unstructured data. Advanced searches can be performed based on both document keywords and words or phrases that exist within OnBase documents to quickly and easily locate relevant

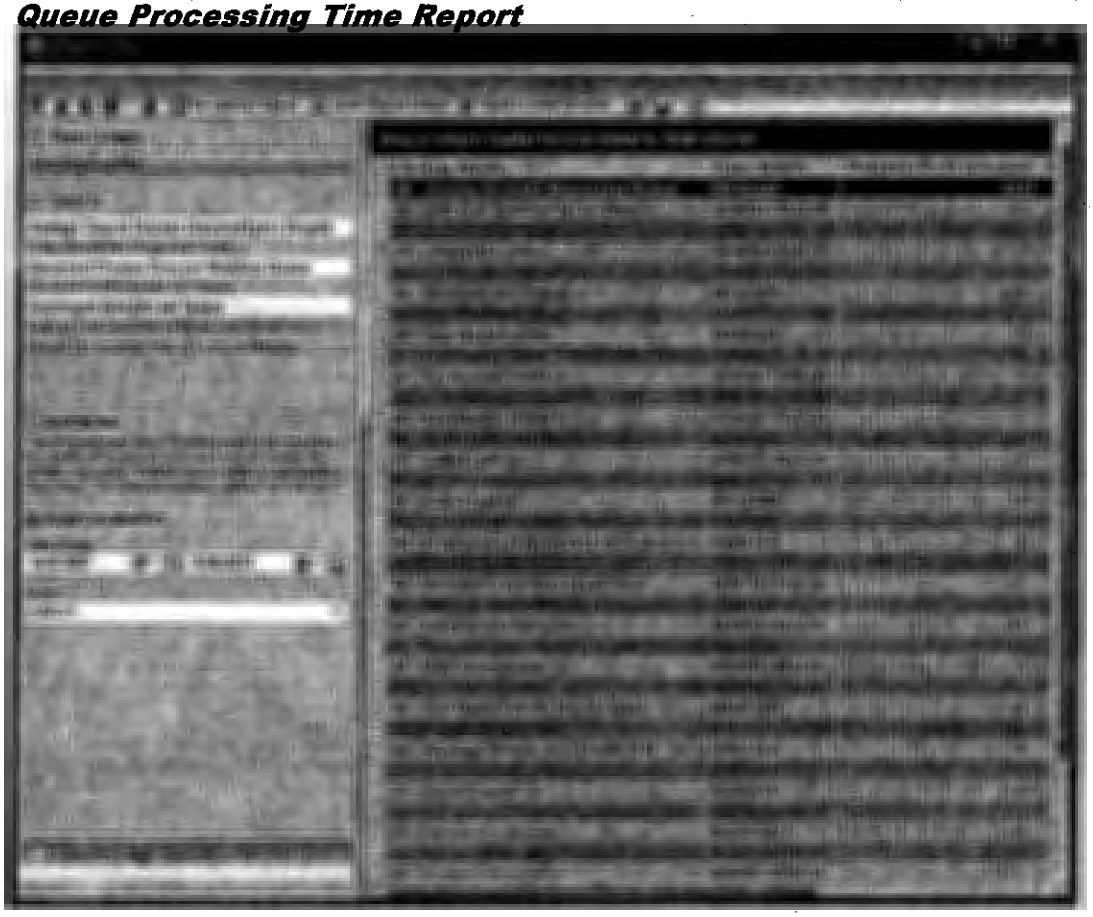
Module	Description
	content.
Concurrent Seats for Autonomy Idol	Gives a pool of Concurrent Users access to OnBase Full-Text Indexing for Autonomy IDOL functionality at a single time. For Cook County, we have proposed 5 Concurrent Clients to be licensed to the system, which allows any number of Cook employees to access OnBase Full-Text Indexing for Autonomy IDOL, but only 5 at any given time.
Exception Reports	Exception Reports provide information on missing, aging or expired content. Based on a predefined relationship between related documents, these reports provide assurance that all required and/or matched documents are stored and indexed properly. Through automation and validation features, Exception Reports allow an organization to streamline business processes and assistance in corporate compliance.

8.2.6 Reporting functionality/modules

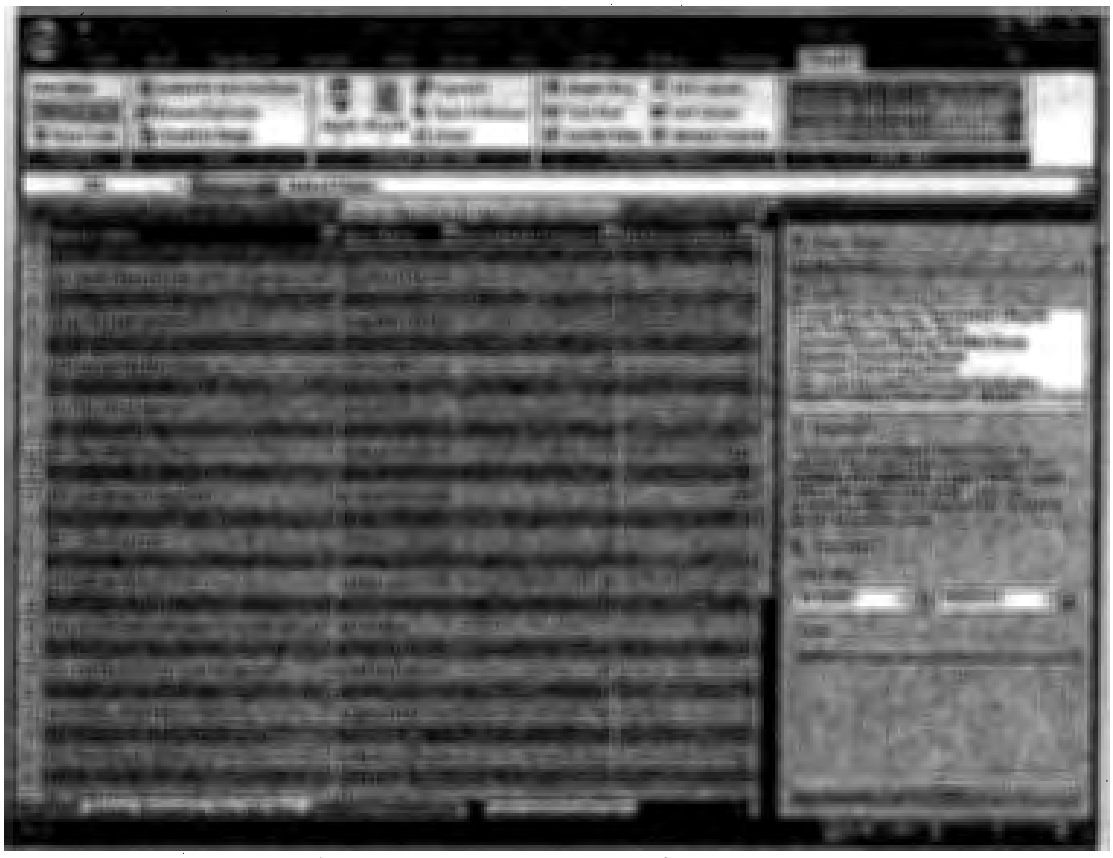
DataBank shall configure the Report Services module and the Business Activity Monitoring (BAM) module. Report Services shall provide many useful key features including:

1. Over 140 preconfigured reports are available within Report Services. DataBank shall assist configuring these reports based on BOR reporting needs. DataBank shall at minimum configure 10 custom reports.
2. Microsoft Excel Add-In allows users to generate reports from within the Excel interface.
3. Export dynamic report data to other applications like Microsoft Excel for further processing and evaluation.
4. Report access is controlled by OnBase User Group rights and privileges, consistent with OnBase security.
5. Query Analyzer aids administrators in creating new reports for use with Report Services.

Queue Processing Time Report



Queue processing time exported to MS Excel



8.2.7 Mobile technology modules or proposed functionality

DataBank shall provide web access all external stakeholders. Based on DataBank's review of the requirements and operations of BOR, mobile modules are not recommended nor included in the pricing proposal. If these modules are desired later they could certainly be added.

For the public DataBank shall develop a web site with forms and instructions. Essentially replicating the informational aspects of the existing site and incorporate web based forms which automate the appeal process and provide a means for users to interact with the agency staff. To the extent that users choose to access that site on other mobile devices, it shall be available.

8.2.8 Backup and recovery procedures

In order to develop a successful backup and recovery plan, DataBank shall determine the BOR data access needs and the potential impact of data loss to the BOR process during normal and peak seasons.

DataBank shall configure the system to enable recovery of data as set forward on the table below (RTO and RPO requirements). DataBank shall also assist the County with the periodic testing of the backup site (via its managed service support hours).

DataBank shall develop a backup and recovery plan including the backup method, schedule for backup testing, and application/data restoring procedures. The plan shall include recommendation to backup any applicable SQL Servers.
In General, Databank shall perform and coordinate these tasks with the appropriate County resources.

1. Make a full backup of the OnBase database on a daily basis, and a monthly backup of the database files. Where possible, DataBank shall automate these tasks.
2. Test daily and monthly backups by performing a complete restoration. DataBank shall restore the OnBase database and retrieve documents from it in order to make sure the backup is valid and reliable.
3. A copy of the database(s) shall be stored at the secondary site location at all times.
4. Databank shall configure an environment that adheres to storage and retention best practices.

Transaction Log
If the database is running in Full Recovery mode, the database Transaction Log shall be backed up on a regular basis. Failure to back up the Transaction Log can cause the log file to consume all available hard drive space. DataBank shall make sure that Transaction Log backups can be performed as frequently as necessary. In the event that the log needs to be truncated manually, DataBank shall use SQL Server Enterprise Manager (SQL Server 2000) or Management Studio (SQL Server 2005 and 2008) to perform the truncation. The database Transaction Log is truncated automatically in SQL Server when a database is running in Simple Recovery mode.

8.2.9 Documentation –including operations and technical manuals and/or help available online

All OnBase modules come with a Modular Reference Guide which provides detailed technical information about the modules. The Modular Reference Guides are updated annually as new releases of OnBase software are made available to the user community. As part of the implementation process, Databank shall provide complete technical documentation on the implementation with a comprehensive implementation report.

Hyland Software maintains an on-line User Community site which contains information about each and every OnBase module, technical blogs, and a comprehensive technical documentation section and provides forums for interactive sessions with OnBase engineers and other technical users.

8.3 Application

DataBank shall install and configure an OnBase System Solution by Hyland Software Inc.

8.4 Hardware and Virtualization Environment

Databank shall setup the following Hardware Environment:

a. One primary site.
    i. Development environment
    ii. Testing environment
    iii. Production environment
b. One secondary (recovery) site.

i. Development environment
ii. Testing environment
iii. Production environment.

DataBank shall also work with Cook County to meet the following requirements and expectations.

							DataBank's Responsibility Clarifications based on County Expectations
1	**Power**	County	County				
2	**Physical (Rack) Space**	County	County				
3	**Network**	County	County	County			
3.1	Speed/Interface	County	County	DataBank			Gigabit Ethernet
3.2	Security	County	County	DataBank			For maximum security, it is recommended the OnBase servers be isolated from the Internet/End User networks and only the web/app servers exposed. Refer to Microsoft guidance and best practices for securing IIS servers.
3.3	Failover	County	County	DataBank			Failover can be achieved with the use of IP based or cookie based load balancers.
3.4	Network Schema	County	County	DataBank			OnBase has no specific network schema requirements, refer to Microsoft best practices.
3.5	DNS/Web Host Addressing Configurations	County	County	DataBank			If the use of SSL encryption is desired, the assignment of FQDN's that are resolvable by all end users will be required for web and application servers.
4	**Hardware per server**	County	County	County		See Server and Apps Outline Table below	
4.1	Location in network	DataBank	County	DataBank			The Portal server should be located in a DMZ, all other servers should be located in the internal network.
4.2	CPU	DataBank	County	DataBank			2.4 GHz Intel XEON or higher recommended
4.3	Cores	DataBank	County	DataBank			See per VM requirements on Server and Apps Outline Tab
4.4	Memory	DataBank	County	DataBank			See per VM requirements on Server and Apps Outline Tab
4.5	Disk space	DataBank	County	DataBank			See per VM requirements on Server and Apps Outline Tab
5	**Operating System and Updates**	County	County	County			
5.1	Custom settings	County	County	DataBank			Operating system settings must be set per the instructions in the OnBase Module Reference Guides for the components to be installed.
5.2	plugins	County	County	DataBank			
5.3	additional SW (that is needed for the base OS)	County	County	DataBank			.Net 3.5 SP1 or later, MSXML 3.0 SP5 or later, MSXML 4.0 SP2 or later, Microsoft Visual C++ 2010 redistrubutable package, ODBC drivers for SQL server.
5.4	User Account Settings and rights	County	County	DataBank			UAC can be left on, a service account shall be required for ASP.net impersonation.

5.5	Windows updates constraints	County	County	DataBank			Windows updates should be tested in dev/test first. Hyland posts compatibility information for Windows updates monthly on the Hyland Community site.
5.6	Security Settings	County	County	DataBank			All Default security settings are acceptable. Additional settings must be tested. Principle of least privilege is recommended for all service accounts.
6	**Server Applications and Licensing**	County	County	DataBank			
6.1	SQL	County	County	DataBank			Microsoft SQL Server 2012 recommended. Some HA features require Enterprise licensing.
6.2	Windows	County	County	DataBank			Microsoft Windows Server 2012 recommended.
6.3	Support tools	County	County	DataBank			3rd party support tools can be used at County's discretion, OnBase does not require them.
6.4	Hyper-V	County	County	DataBank			Hyper-V, and related licensing, is at the County's discretion.
7	**End Point Protection and Updates (MacAfee)**	County	County	DataBank			
7.1	Recommended Standard						Databank recommends running anti-virus software on all servers.
7.2	Exclusions						Required exclusions must be made in accordance with the guidance given in the module reference guides for the components installed on each server.
7.3	Reporting						
8	**Disaster Recovery and Business Continuity**	DataBank	County	DataBank			All Disaster Recovery and Business Continuity Work must be reviewed and approved by the County's Business Continuity/Disaster Recovery manager.
8.1	What to backup?	DataBank	County	DataBank		In the event of a system failure or disaster, the County shall provide the recovery data as directed by DataBank. County RTO requirement =4 hrs County RPO requirement =Data point of 1 hr prior to disaster	SQL database, Disk Groups (All documents in OnBase are stored as flat files in a Hierarchal folder structure), configuration files, any custom scripts/preprocessors/scheduled tasks used in the implementation.
8.2	When to backup?	DataBank	County	DataBank			Incremental backups every 1 hour to meet RPO requirement.
8.3	How to backup?	DataBank	County	DataBank			Built in SQL/Windows backups can be used, or 3rd party backup solutions that support application consistent VSS backups, I.E. Veeam, Commvault, etc.
8.4	Offsite replication requirements	DataBank	County	DataBank			SQL Database and Disk groups should be replicated offsite. SQL mirroring or log shipping can be used to replicate the SQL database to the offsite location, but shall require a high bandwidth, low latency connection.

8.5	Documentation & Procedures	DataBank	DataBank	DataBank	County		***A disaster recovery document and ploybook shall be created***. Quarterly tests of the DR site and methods shall be scheduled.
9	**Redundancy setup and config**	DataBank	DataBank	County	County	See Server and Apps Outline Table below.	
10	**System Configuration - SW**	DataBank	DataBank	County	County		
11	**Application setup and maintenance - OnBase**	DataBank	DataBank	County	County		
11.5	Application documentation (as-configured)	DataBank	DataBank	County	County		

Virtual Servers - to be setup and configured by DataBank, including information for development, testing and production environments. This information is also documented on ***the BOT HW Virtualization Expectations*** excel file).

Server Role	**Hypervisor Version**	**Customer Location where it will reside - Primary/Secondary Site**	**CPU Requirements**	**Memory Requirements**	**Disk I/O Requirement (Virtual Machines)**	**Network I/O Requirement (Virtual Machines)**	**App # 1**	**App # 2**	**App # 3**	**Comments**
Database	Subject to standard Microsoft support and specification	Primary	4 Virtual CPU Cores	16 GB	500 IOPS	1 Gbps virtual NIC recommended	Microsoft SQL Server 2012			Database server for Production and Test/Dev Databases. Can be split into separate Database servers for Production and Test/Dev if desired.
Web Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	1 Virtual CPU Core	4 GB	40 IOPS	1 Gbps virtual NIC recommended	IIS 8	OnBase Web Server		Front End Web server for end-user clients.
App Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	2 Virtual CPU Cores	4 GB	150 IOPS	1 Gbps virtual NIC recommended	IIS 8	Onbase App Server		OnBase Application server for web server and Unity Client connections.

Workflow - Doc Comp Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	1 Virtual CPU Core	4 GB	40 IOPS	1 Gbps virtual NIC recommended	OnBase Core Services	OnBase Document Composition	OnBase Client	Server to execute Document Composition module.
IDOL Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	6 Virtual CPU Cores	12 GB	100 IOPS	1 Gbps virtual NIC recommended	Autonomy IDOL	OnBase DataCapture Service	OnBase IDOL Integration	Server for Full Text Indexing
Portal Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	1 Virtual CPU Core	2 GB	40 IOPS	1 Gbps virtual NIC recommended	IIS 8	Databank Portal		Server in DMZ for Databank Portal
Test Server	Any Windows Server subject to standard Microsoft support and specifications	Primary	2 Virtual CPU Core	6 GB	20 IOPS	1 Gbps virtual NIC recommended	IIS 8	OnBase Web Server		Server for Test and Dev Environment
Development Server	Any Windows Server	Primary	2 Virtual CPU	6 GB	20 IOPS	1 Gbps virtual NIC recommende	IIS 8	OnBase Web Server		Server for Test and Dev Environment

	subject to standard Microsoft support and specifications		Core			d				
File Server - Optional if one is in place	Any Windows Server subject to standard Microsoft support and specifications	Primary	1 Virtual CPU Core	2 GB	100 IOPS	1 Gbps virtual NIC recommended				File Server to host disk groups

8.5 Integration

DataBank shall work with the County to confirm all interfaces.
DataBank shall develop an interfaces building plan, including a diagram and testing plan.
DataBank shall at minimum build interfaces or integration to the following data sources:

1. Mainframe;
2. MS Active Directory;
3. MS Office tools.

8.6 Conversion/Migration

Databank shall develop a migration plan including a checklist of key activities, migration schedule and testing activities.
DataBank shall at minimum replace, migrate and ensure migration accuracy from the following databases:

1. Online web application (website);
2. All Access databases:
    a. PTAB applications;
    b. Exemptions;
    c. CR2;
    d. Re-review process;
    e. Certificate of Error.

The DataBank process contains 6 phases to the migration process. DataBank shall follow these steps to migrate all the identified Access databases and any other necessary data. Each phase is listed below with the steps corresponding to the step described with the appropriate phase.

Phase 1: Conversion Workshop
Goal: Gather information to affirm the feasibility of the migration as well as establish a level of effort estimate.

Steps:

1. Provide the customer with the Conversion Services Questionnaire. This questionnaire provides a template for gathering generic information about the 3rd party system and the requirements of the pending conversion. This document lists the different options of the conversion and begins the conversation about specific requirements for those documents and data being migrated to OnBase.
2. Review Questionnaire and provide additional Q&A or schedule a call with the customer to obtain more specific information. Although data is now received there are many times when additional questions or a quick call can clarify the information provided. In this manner the questionnaire helps ensure that questions are direct and specific to get the information required for establishing a level of effort estimate.
3. Provide level of effort estimate for the pending services. This is the formal quote that can be used to establish budget and project timelines.
4. This phase, the tasks performed, and the deliverables produced will vary based on the size and complexity of the Conversion or Client request. This could include responding to questionnaires

submitted with an estimate, conducting an onsite Conversion Workshop, providing Conversion Consulting Services, and/or performing a technical Discovery.

Assumptions:

1. Customer will provide Subject Matter Expert to complete and answer questions on the Conversion Services Questionnaire.
2. A Conversion Workshop shall be performed onsite over a multi- day period to provide a better understanding to the customer of our Conversion process.
3. This phase, the tasks performed, and the deliverables produced will be determined after the initial technical assessment.

Phase 2: Discovery

Goal: Achieve thorough understanding of the 3rd party migration and the necessary elements to extract the data and import into OnBase repository.

Steps:

1. Begin offsite system discovery and data validation. This step is ideally done with a demo of the 3rd party system highlighting the information and different elements to migrate to OnBase. In the event a demo is not possible, access to the system and the system's resources are required. In either case, the Database Engineer will review the system composition and determine the methods necessary for extracting the data from said system. This is also the time when initial mapping conversions begin.
2. Mapping system information to OnBase equivalents. In this exercise the customer will work with the Database Engineer to ensure all data is migrated to the appropriate elements within the OnBase system. It is important the format of the elements be checked and any parsing or calculations be identified at this point.

Assumptions:

1. Number of weeks needed for discovery will depend on factors such as type of data, number of systems to be converted, complexity of business rules, and integration points.
2. Customer SMEs should have clear understanding of use of archived documents and how they impact the organization as a whole
3. System Administrator(s) and Application/Network/Interface Expert(s) are required for system and network access to the legacy system, user access, and database access. Their participation in Discovery sessions is limited

Phase 3: Development & Configuration

Goal: Develop a tool that can be used to export the information out of the 3rd party system and put into the correct format for ingestion into the OnBase repository.

Steps:

1. Design the appropriate solution and identify the components required for the upgrade. Here a Database Engineer shall review the various methods to extract the information out of the 3rd party system and identify the best method for use in this migration project. This could include the development of a standalone tool, SQL scripts or various other components as needed.

2. Develop the components required. Database Engineers are highly skilled in the development of various SQL scripts, stored procedures as well as a variety of programming practices for extracting data from 3rd party systems. In the event that more complex development is required, the database team can request assistance from the development team for API development and other development such that the best resource is staffed. Development is then carried out and various unit testing occurs in tandem with the development life cycle.
3. During the development of the components, the OnBase system is setup with any additional components required for the migration. This may include the configuration of document types, keywords, notes, etc. All components of the OnBase system are configured in the test system first to allow for a full system test upon completion of development.
4. Upon completion of development and the configuration of the OnBase system, a test shall be run in the customer's test system. This test shall run the full length of the migration extracting the information from the 3rd party system and prepping the information for OnBase and then the appropriate OnBase processor (typically the Document Import Process aka DIP) will be used to import the information. The customer can then verify the information from this test system.
5. This phase is flexible with the steps and number of iterations required to get the migration completely correct. For instance steps 2 and 3 can be reversed or done at the same time by different resources. Also, should a test of the components not pass verification it is possible to start the process for a second iteration until such a time as all issues are resolved

Assumptions:

1. Subject Matter Experts (SMEs) play a critical role in verification of the converted documents.
2. IT Resources should be available to help resolve network/security issues quickly.

Phase 4: Production Migration

Goal: Complete the migration of the data within the 3rd party system and verify information in OnBase repository.

Steps:

1. Perform the migration of the data from the 3rd party system. Starting with extracting the production 3rd party system data, the information is pulled using the components developed and prepared for import into OnBase. Then the OnBase processor will run importing the information into the OnBase repository.
2. Data shall be validated. Using the OnBase verification reports and any other reports available the customer's data is verified that the information was successfully migrated to OnBase.

Assumptions:

1. Customer resources will be needed on a limited basis to resolve environmental issues such as Disk space shortage, loss of network connectivity, and loss of system access.
2. Amount of time needed for the Production Conversion will depend on factors such as Customer's network, number of documents being converted, and production environment availability.

Phase 5: Delta Conversions [Optional]
Goal: Extract and import any additional information processed into the 3rd party system since the initial migration.

Steps:

1. Identify the new data to be extracted. This is done running the same tools used to identify the initial data for extraction only modified to return only the new data. Once the data is identified it is the duty of the customer to verify the information is correct and the 3rd party system is ready for another extraction
2. Extract Information and Import into OnBase. This step mirrors the Production Migration phase as the migration process is much the same. Additional migrated date will only be new or modified information into the system.
3. This is an optional phase of the project that requires immediate knowledge of the need for this type of processing. Extracting only new information and importing the information into OnBase requires proper planning from the beginning. There is additional time and cost associated with this type of processing. It is the recommendation of DataBank that, if possible, only a single migration be performed whenever possible.

Assumptions:

1. Delta Conversion consists of documents or data that are active in the Customer's legacy system or have a more recent date then the Production cut-off date
2. Customer resources will be needed on a limited basis to resolve environmental issues such as Disk space shortage, loss of network connectivity, and loss of system access
3. Exception cleanup is an iterative process and requires Customer feedback and review throughout
4. If a delta is not required then reconciliation and exception cleanup will happen at the end of Production

Phase 6: Migration Completion
Goal: Customer sign off is achieved and migrated data is available for inclusion in other solution development activities.

Steps:

1. Customer verifies the information in the system is correct and there is not additional information to be processed. All verification reports are clean and the system is ready for use with all legacy information present.

Assumptions:

1. Customer task in this phase include system verification of converted documents and migrated data.

8.7 Network

Minimum bandwidth required for concurrent application access and data access for "normal" daily operational use

The OnBase system is fundamentally network protocol independent. The bandwidth requirements are based on required transmission and response times as well as specific user counts on specific segments. However, DataBank recommends minimum T-1 level bandwidth for external users, and minimum 10BaseT connections for internal users. DataBank also highly recommends minimum 100BaseT connections for scan stations, index workstations, and high volume users.

Latency (the amount of time for one packet to traverse a network link) is another consideration when analyzing network bandwidth. DataBank recommends average latency of a link to not exceed 40 ms for optimal performance. While OnBase can run on links as small as 56 Kbps, this can have severe impacts on performance. Required bandwidth is dependent upon volume of documents traversing the link, number of users interacting with the OnBase solution, and the usage characteristics of those users.

Definition of "normal daily operational use"

"Normal daily operational use" can be different for every OnBase system. Assuming the system is scaled to meet at least minimum specifications response times for scanning, retrieval, and other primary system activities should be optimal. Hyland Software continually tests internally to optimize the software to deliver response times that will please users. Typically, they define query response time as less than one second in the thick client, and three seconds or less in the web client because of IIS and browser overhead. When properly configured and deployed, most activities with most data sets meet this standard. When the business need requires working with more than a few dozen documents at a time, some operations might take longer.

The example below (from Hyland Software) provides a good baseline for what is considered a well-constructed document retrieval using the OnBase thick or thin client, and what type of response time(s) can be expected.

A user performs a query that includes a date range and use of a highly selective keyword, such as Account Number. The query results in a hit list of less than 200 documents. In a properly configured system with 250 million documents stored in the system, the above retrieval should still provide sub-second response time.

The primary message from Hyland Software as it relates to network bandwidth is that network bandwidth alone does not determine response times related to file upload, retrieval, viewing of multi-page files, printing, email, and the like. It is critical that the entire solution meet minimum recommended standards, and that the OnBase solution is also configured based on best practices.

8.8 Security

DataBank shall configure all Security based on the County's Security Standards.

OnBase Security

The security model that will be used in the OnBase system will provide the segregation of data between users, as well as the ability to limit the product functionality available for each user. User Groups and Rights will be used to provide the assignment or restriction of basic and advanced OnBase features as well as solution documents and data.

Unique levels of security will be achieved by creating a custom set of product rights and privileges for each OnBase user group. The OnBase System Administrator shall create a user group structure and individual users are made members of one or more user groups. If a user is a member of multiple user groups, the user is granted the cumulative rights of all the member groups.

Data and Content Security and Encryption

The OnBase system includes some inherent encryption based on data stores and transfers, as well as encryption that can be turned on or off based on internal policies. Furthermore, 3rd party encryption techniques can be deployed for data in transit or static data through OnBase system architecture if desired. The encryptions options for data at rest as well as data in transit are defined in more detail below.

Database Data Security

OnBase natively encrypts select information in the OnBase database (such as passwords) using an irreversible hashing algorithm, MD5.

Keyword data (social security number, patient data, etc.) can also be encrypted within the OnBase system using the 128 bit Advanced Encryption Standard protocol. This can be accomplished with the Encrypted Alpha Keywords module. This is one of the features in the OnBase solution that can be used to make it Payment Card Industry (PCI) Data Security Standard (DSS) compliant.

Image Storage Security

DataBank has proposed Distributed Disk Services (DDS) which is a secure middle application that brokers communication between the OnBase Client and the file server storing OnBase Disk Groups (logical storage area for documents and data). DDS greatly simplifies the administration of OnBase Disk Groups by allowing management of just one account on the Disk Groups rather than separate accounts for each OnBase User Group. File server security is enhanced with DDS because there is no requirement to use shared UNC paths for each workstation to access the Disk Groups.

The repository used to store the files that make up OnBase documents can also be encrypted. This can be accomplished using 3rd party encryption technologies or OnBase can encrypt the files stored as well.

As an option the Encrypted Disk Groups module adds an additional layer of security to your OnBase solution that can be used separately or in conjunction with the other security practices employed by your organization. With Encrypted Disk Groups, the documents and images are encrypted using 128 bit

AES (Advanced Encryption Standard) encryption at the physical storage level, protecting the data from unauthorized access to the physical drives. Documents that are archived in an Encrypted Disk Group can only be opened and viewed using the OnBase interface, ensuring that the security controls imposed by OnBase are respected at all times. DataBank has not included encrypted Disk Groups with this solution.

OnBase also has exporting capabilities with encryption for exporting data onto mobile media (CD, DVD, etc.) and encrypting that data.

Client / Server Communication Security

OnBase Distributed Disk Services (DDS) module allows a customer to encrypt the transmission of files to/from the storage layer of the repository using an RC4 stream Cipher technology. The DDS module is a middleware component that regulates OnBase access to the file servers that contain the physical files. The OnBase clients or application servers communicate over an administrator defined TCP-IP port that allow for a secured communication channel.

Other encryption can be provided by IIS and/or Windows Servers and/or SSL/VPN hardware devices. All data and authentication packets would be encrypted during Internet/intranet transit. Most IIS-compatible encryption schemes are supported, including 128-bit SSL HTTPS connections, TripleDES VPN connections, and IPSEC.

At all times, the County shall be able to receive County data, associated metadata, and reasonably granular subsets thereof, as well as any associated files or attachments, from the System in a useable, unencrypted format.
Upon termination of the contract and at the County's written request, DataBank shall destroy County Data, including backups and copies thereof, according to NIST standards or as otherwise directed by the County.
At all times DataBank shall promote all County work including, customizations, configurations, data, files, etc., to the County's on premise environment.
Upon termination of the contract and at the County's written request, DataBank shall transition all configurations, customizations, data (the system solution) to the County on premise production environment.
At no time may DataBank suspend or terminate County's access to County Data or the System for breach of contract or term or condition relating to the System without giving the County reasonable notice and opportunity to cure according to the County's dispute resolution process.

9. Key Personnel

DataBank OnBase Software resources shall include the following:

1. OnBase Certified Installer;
2. OnBase API Certified technician;
3. OnBase Workflow Certified Engineer;
4. OnBase WorkView Certified technician;

Databank team oversight members include:

1. David Godiksen, Executive VP of Software Sales
2. Vince Hanson, VP of Sales
3. Paul Gorman, Account Manager,
4. Bob Dunn, Director of Professional Services
5. Casey Winkels, Regional Manager of Professional Services

And the key project execution team members include:

1. Doug Belsaas, Scrum Master
2. Melissa Schmidt, Project/Change Management
3. Sharon Johnson, Quality Manager – M/WBE partner resource
4. Phil Heineman, Training Coordinator
5. Mike Hilliard, Lead Solutions Engineer – M/WBE partner resource
6. Aaron Fryzek, Solutions Engineer
7. John Caine, Solutions Engineer
8. Jason Noble, Solutions Engineer

All resources shall be available to work onsite.

Key Personnel Time Commitment

Key Person	Previous Work for Cook County	Prime or M/WBE	Project Role	Percent of Time on Project
David Godiksen	None	Prime	ECM Executive, Team Oversight	10%
Vince Hanson	None	Prime	ECM Executive, Team Oversight	10%
Paul Gorman	None	Prime	Subject Matter Expert/Account Manager	10%
Casey Winkels	None	Prime	Team Oversight	10%
Doug Belsaas	None	Prime	Scrum Master/Discovery Lead	100%
Aaron Fryzek	None	Prime	Solution Architect	30%
Melissa Schmidt	None	Prime	Project Manager	25%
Phil Heineman	None	Prime	Training Coordinator/Trainer	10%
Mike Hilliard	Performed work for Cook County Clerk of Circuit Court, as an employee of the Frances Group: Optimized scanning and capture operations for paperless availability of case jackets. Designed and implemented workflows to validate proper data entry, scan separation, and indexing. Integration of OnBase with existing CICS Electronic Docket. Design and implementation of an integrated Physical Records Management solution to track physical case jacket locations and movement between locations.	M/WBE	Installation and Configuration Team Lead	100%
Andy Czuppa	None	Prime	Installation and Configuration Team	100%
Shane Kantor		Prime	Installation and Configuration Team	100%
John Caine	None	Prime	Installation and Configuration Team	100%
Jason Noble	None	Prime	Installation and	100%

Key Person	Previous Work for Cook County	Prime or M/WBE	Project Role	Percent of Time on Project
			Configuration Team	
Sharon Johnson	None	M/WBE	Quality Manager	25%

10. Subcontracting or teaming and MBE/WBE Participation

Databank has partnered with The Frances Group which is an experienced OnBase implementation firm with prior experience implementing OnBase in Cook County Courts. The Frances Group will be participating in Discovery, and Implementation functions on this project.
See the Key personnel Time Commitment Table in the prior section for further details.

11. Legal Actions

Consultant warrants that it is not a party to any pending lawsuit, claim, settlement or demand, which will cause it significant financial impact to this contract.

12. Insurance Requirements

DataBank
900 South Goldenrod, Suite C
Orlando, FL 32822
Phone 407-839-1477
www.databankimx.com

DataBank

October 1, 2013

Cook County
Office of the Chief Procurement Officer
118 N. Clark St., Room 1018
Chicago, IL 60602

To Whom It May Concern:

DataBank agrees to meet all insurance requirements by Cook County.

Sincerely,

Guy Stewart
HR Generalist

13.1 Certificate of Insurance

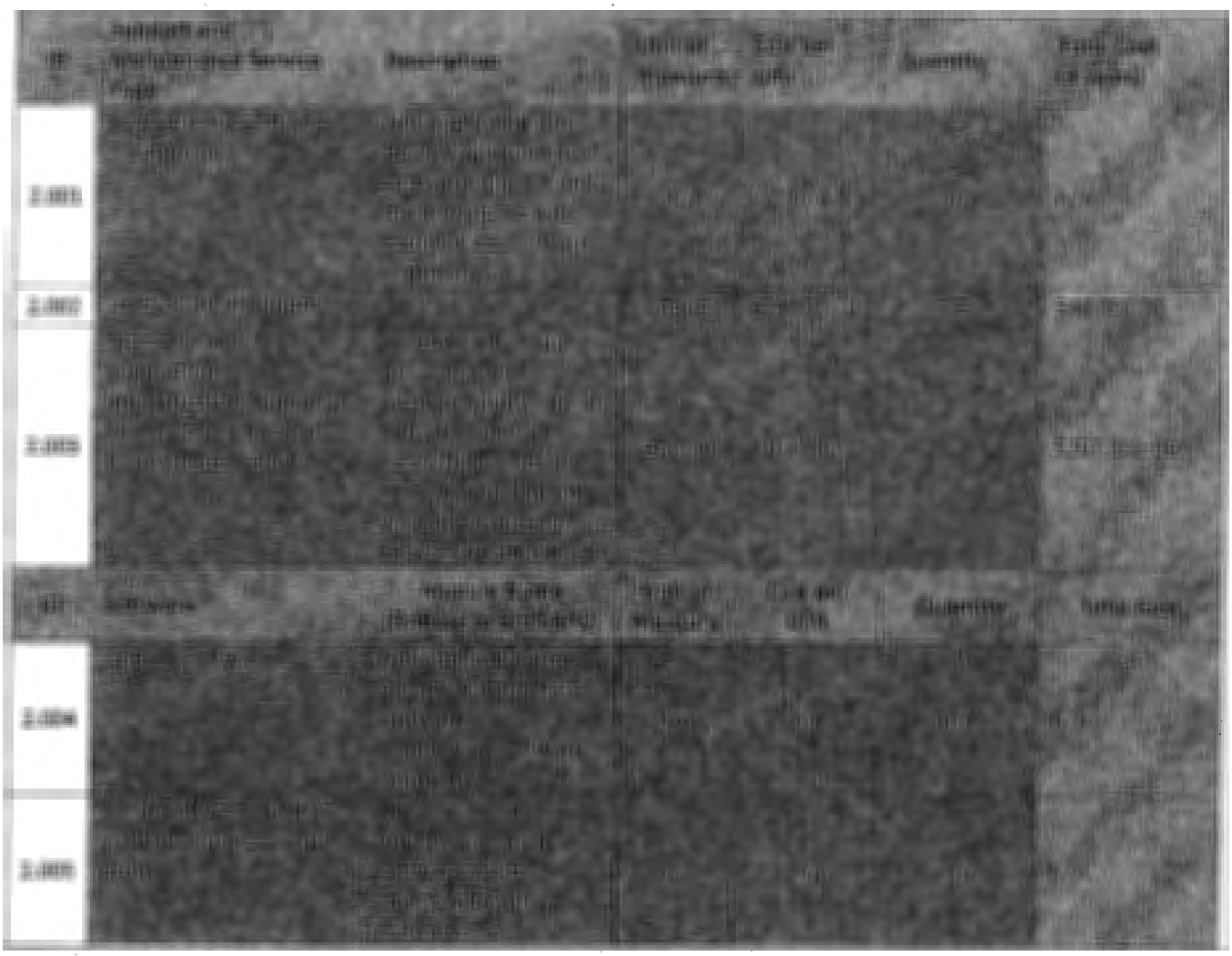
DataBank_Cert%20
of%20Insurance.PDF

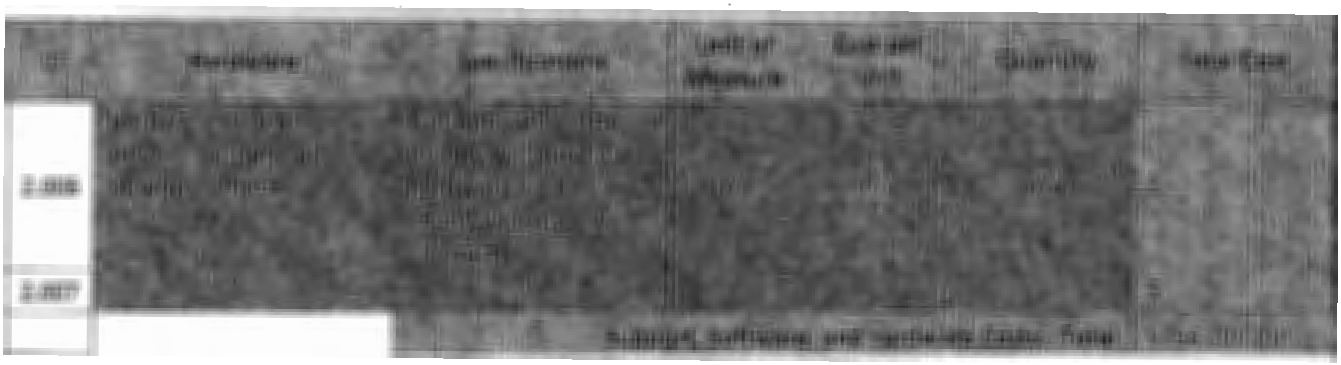
13. Final Pricing

DataBank agrees to provide the services described in this SOW for the amount listed in line number 6 below. The County shall obtain the software and hardware required for this project via its countywide contract.

1.01 Support and Maintenance - Standard (3 Years)	$256,000.00
1.02 Support and Maintenance - SW Only (3 Years)	None via this contract.
1.03 OnBase Software	None via this contract.
1.04 Hardware	None via this contract.
1.05 Professional Services Cost - Total	$ 524,660.00
1.06 Total Project Cost Excluding SW and HW	**$780,660.00**

13.1 Support and Maintenance Pricing Details





13.2 Managed Services Hourly Rates

Managed services support hours apply to on-demand support, OnBase infrastructure support, and application enhancements.

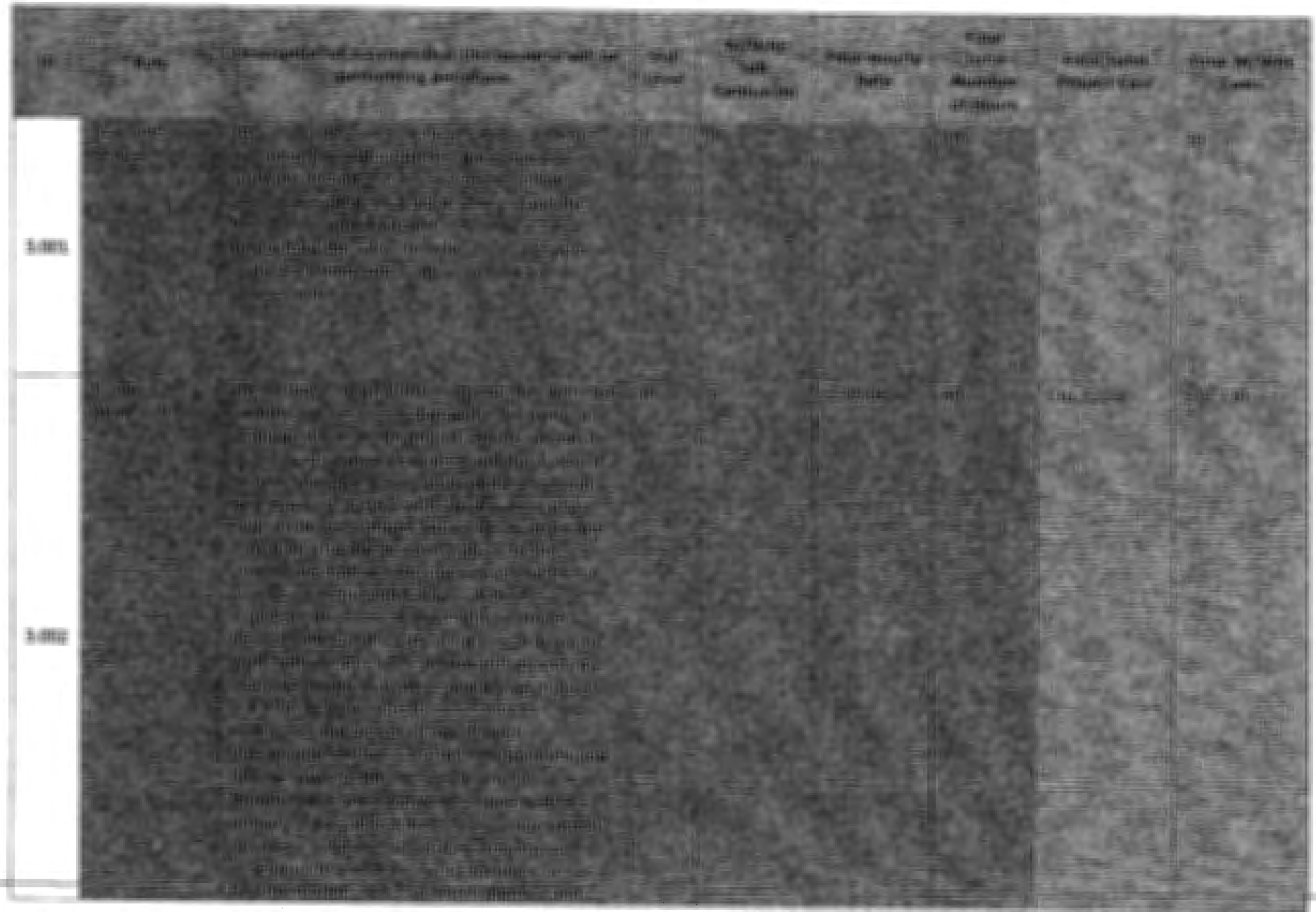
	Role	Hourly Rate	
1	**Project Manager**	$	175.00
2	**Quality Manager**	$	175.00
3	**Solutions Engineer**	$	209.00
4	**Business Analyst**	$	209.00
5	**Trainer**	$	175.00
6	**Technical Support**	$	195.00

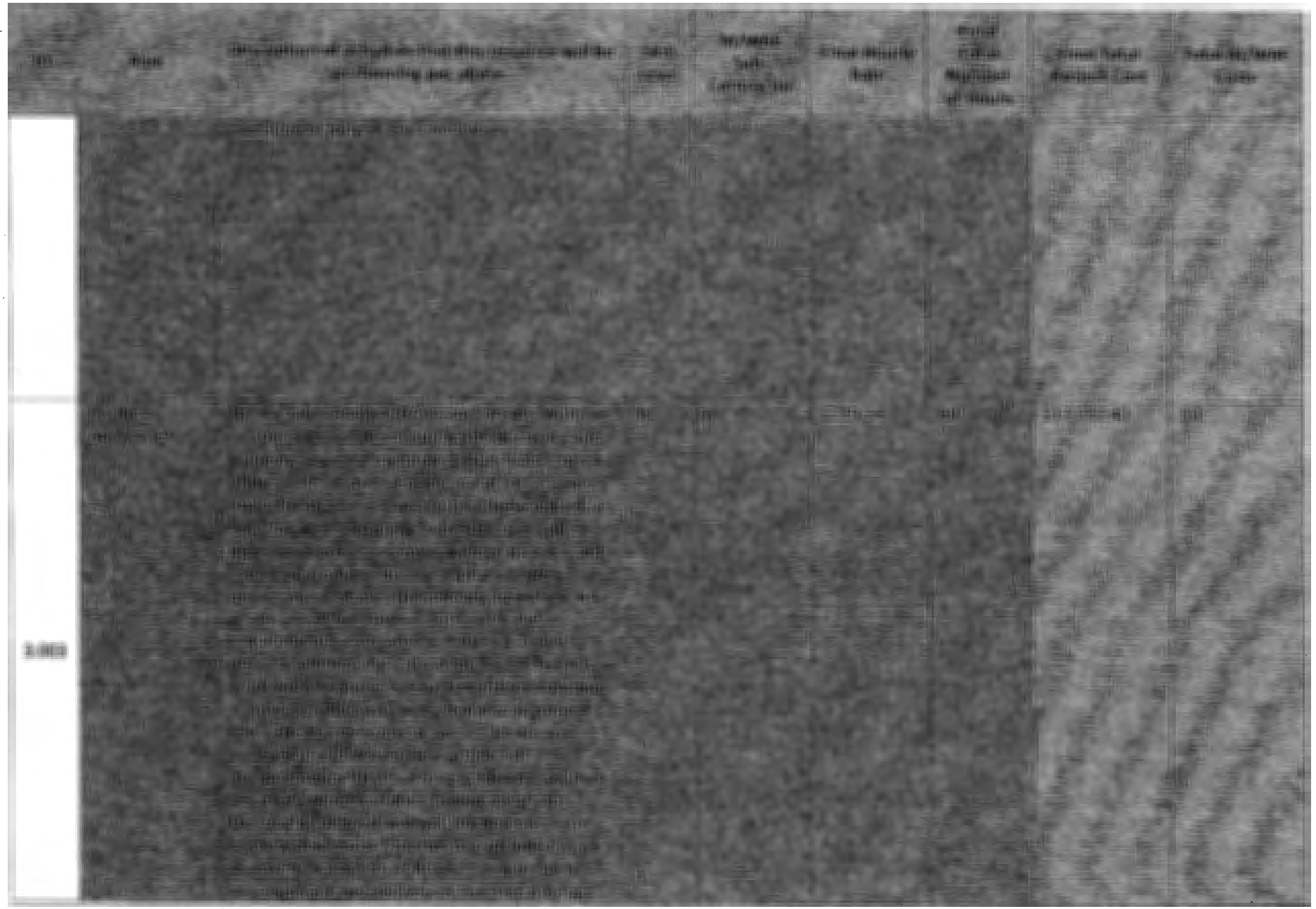
DataBank is actively seeking local resources to expand its local operation. Identified local resources shall be billed at the hourly rates above.

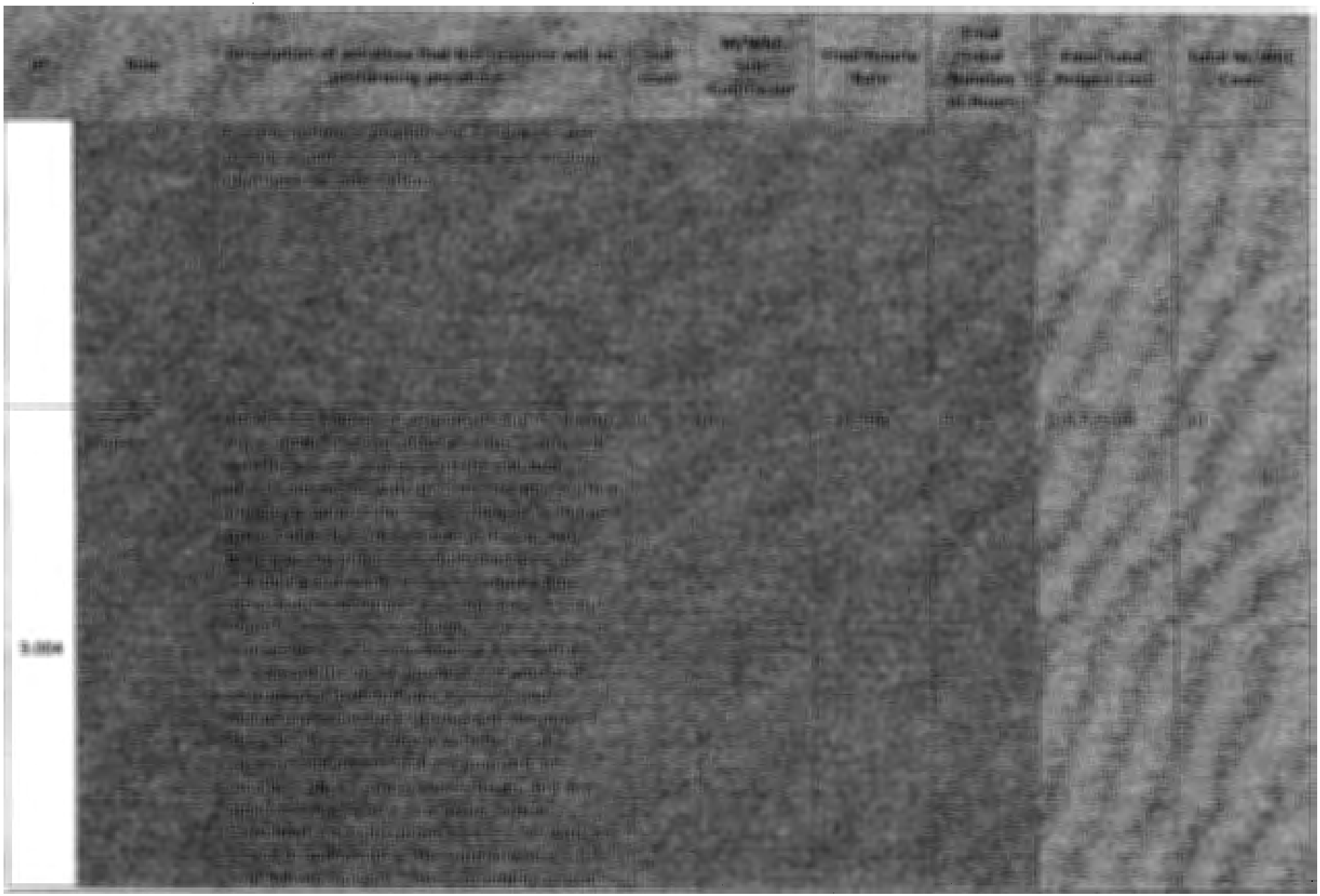
NEXT PAGE ----------→

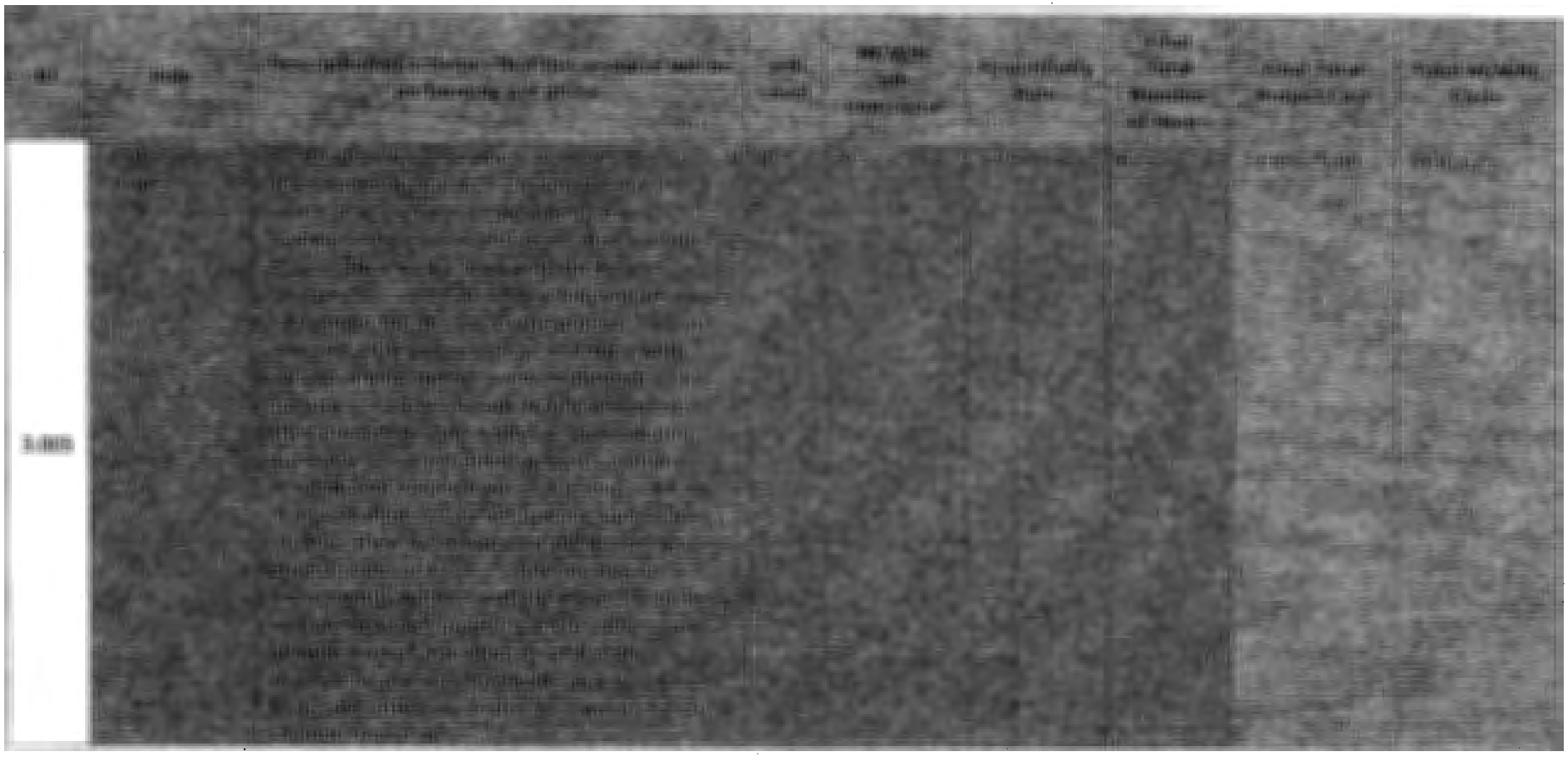
13.3 Professional Services Pricing Details

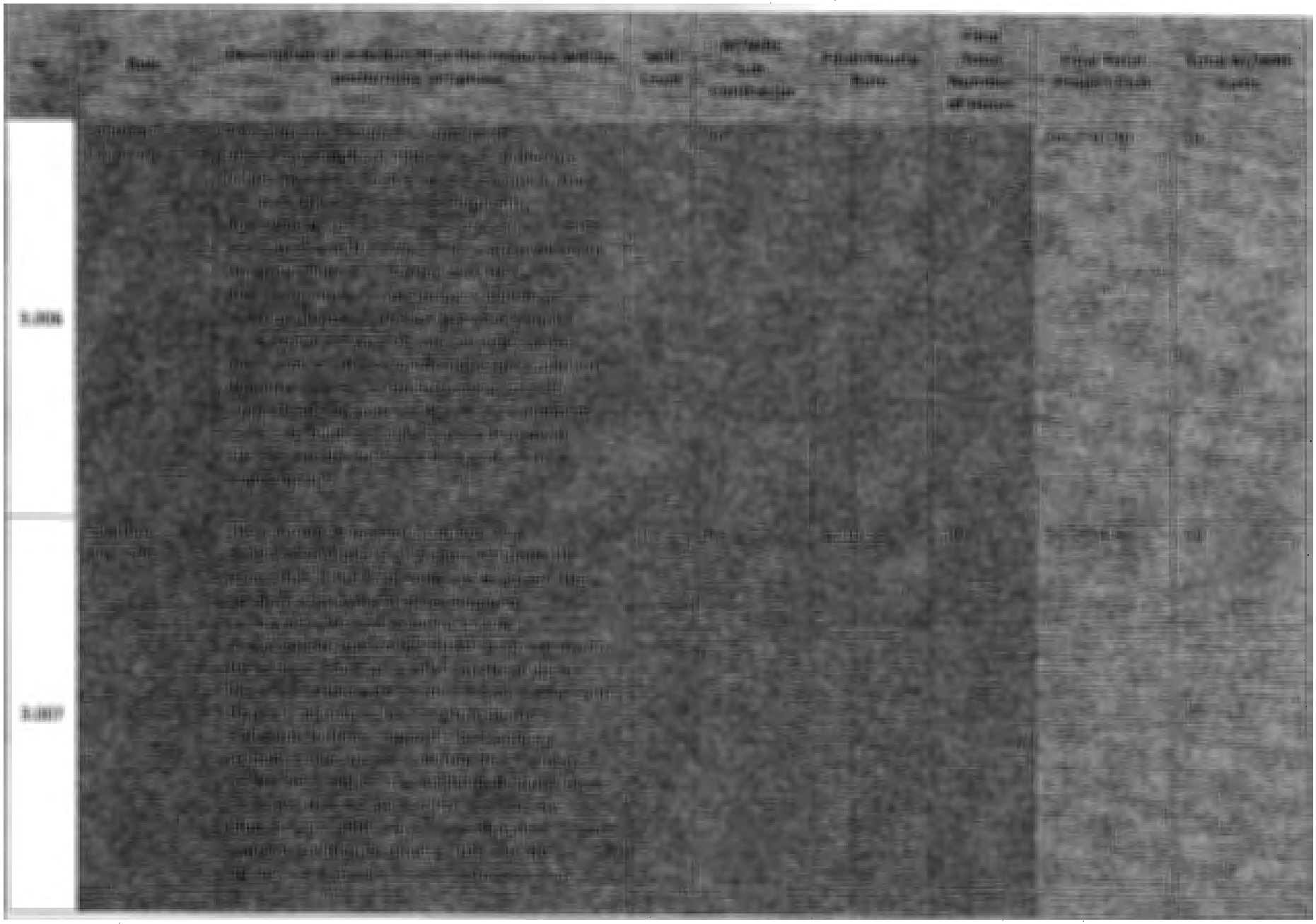
The inclusion of hours in this pricing section does not imply any time and materials arrangement. Instead, the inclusion of hours is for informational purposes only and has no bearing on pricing. Datadwik remains responsible for the fixed fee deliverables under this Agreement, as well as changes to requirements allowed and encouraged by its agile methodology.

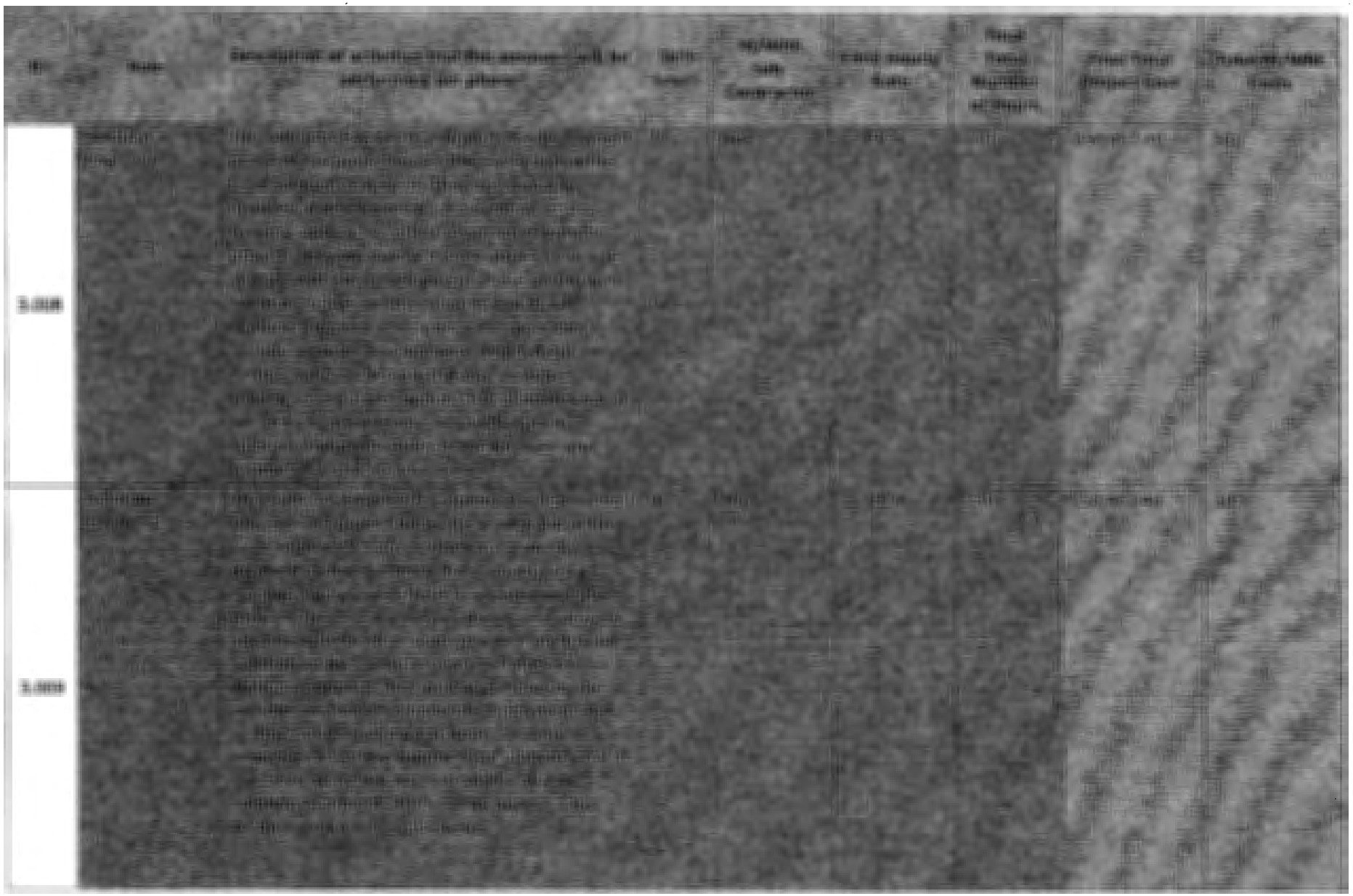


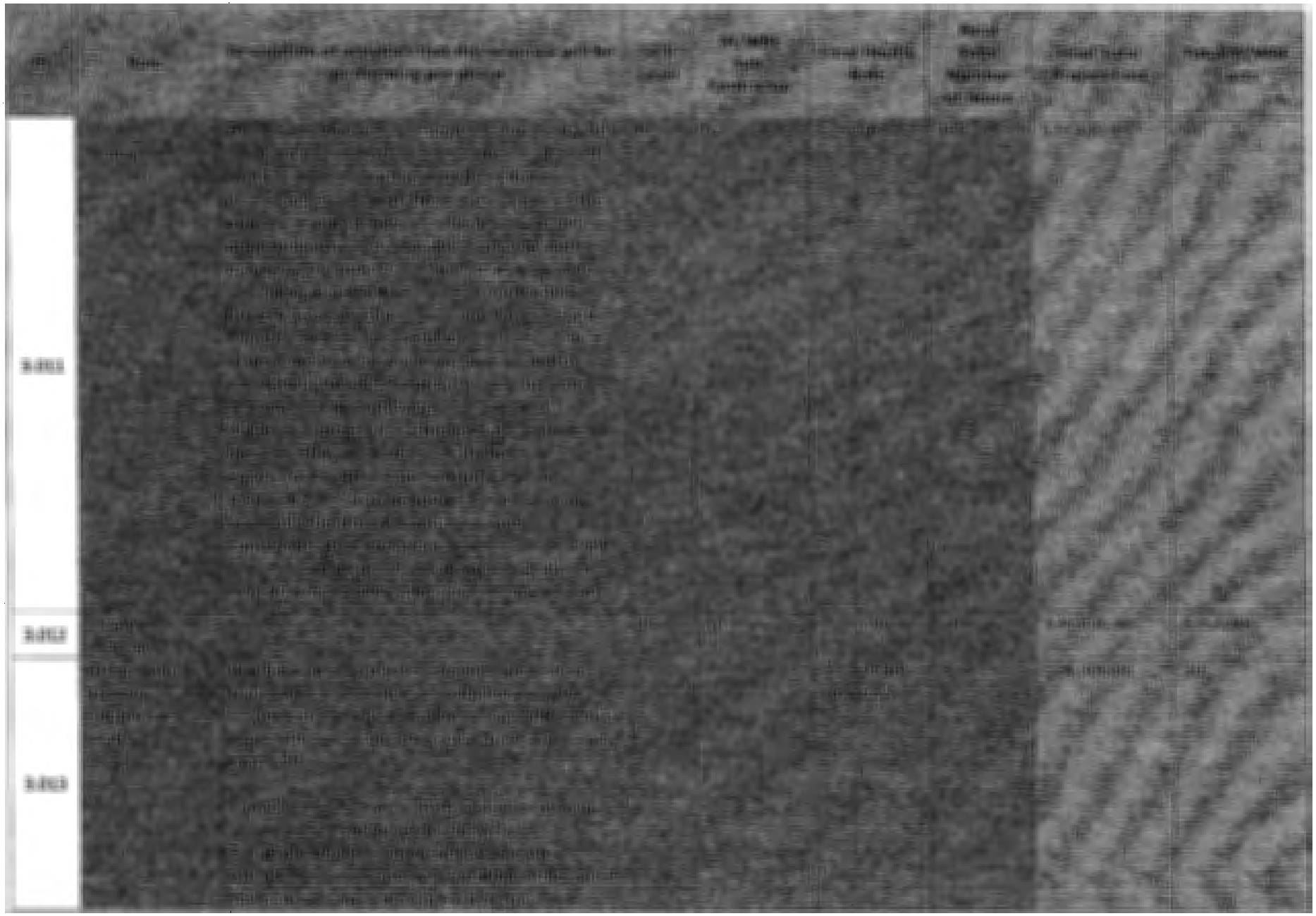


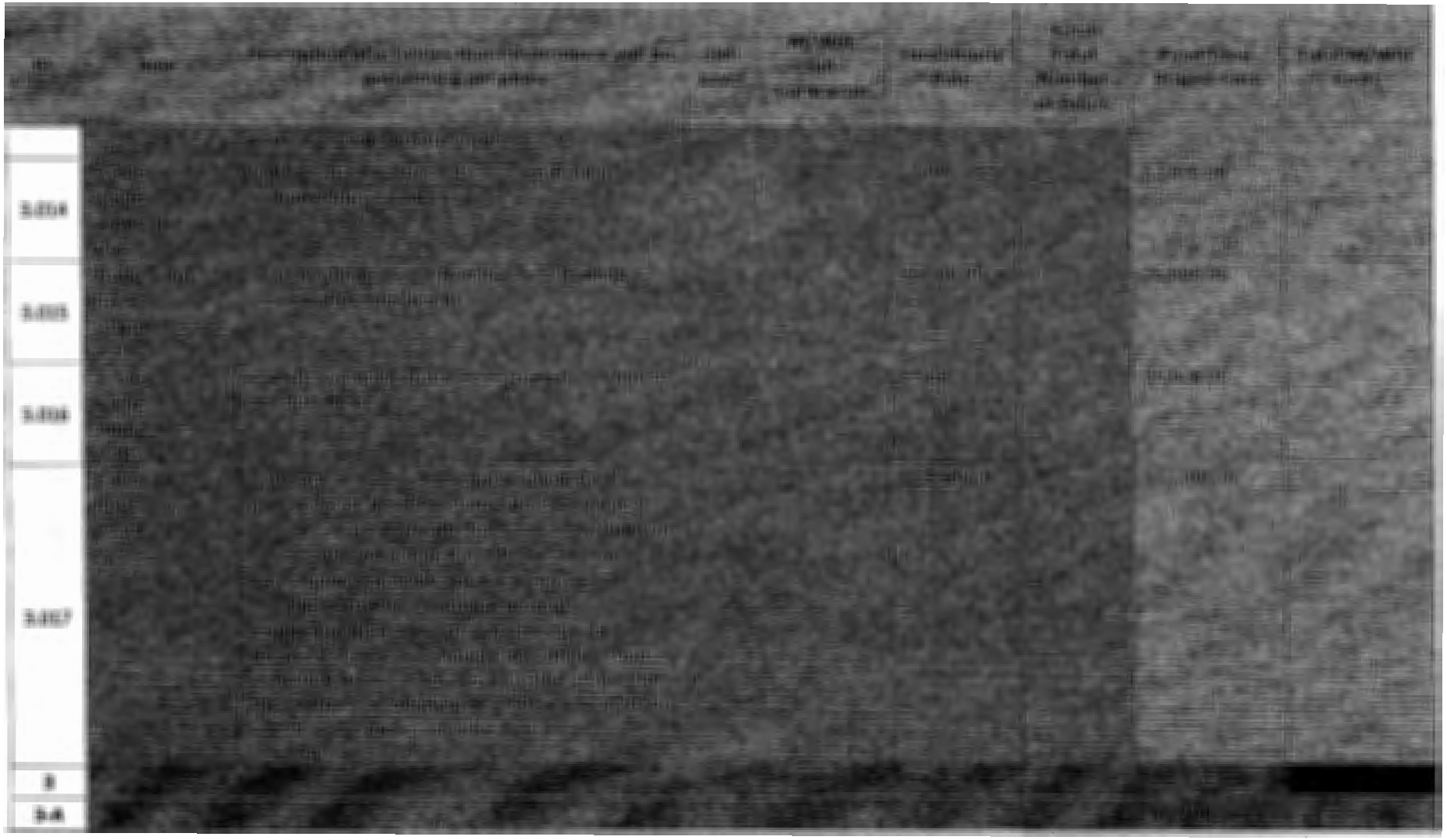












13.4 Payment Schedule

The contents of a "Cost per Deliverable" cell as listed in this section may be invoiced by DataBank only upon County acceptance. Where a "Cost for Deliverable" cell has multiple items in the corresponding "Expected Deliverable(s) and Approver(s)" cell, then DataBank may invoice the County **any** amount only upon acceptance of **all** items.

ID	Name	Duration	Predecessors	Expected Deliverables	Phase
1	**Award and Agree to Contract**	**20 days**			
2	Award Contract	2 wks			
3	Contract Negotiation	2 wks	2		
4	**Team Formation, Introductions, Discovery Scheduling**	**10 days**	**3**		
5	**Formal Discovery and Kickoff**	**15 days**	**4**		
6	Project Kickoff	5 days	4	Project Initiation and Planning 1. Revised Project Plan – County PM 2. Project Charter – County PM Project Schedule for Discovery Phases– County PM 3. Project reporting schedule, frequency and format– County PM 4. County/vendor resource and communications plan including RACI and meeting logistics– County PM Business/User Requirements Discovery and Validation	Phase 1 - Project Initiation and Planning $10,000.00 Phase 1 - Business/User Requirements Discovery and Validation $14,000.00 Phase 1 - Technical/Architectural Requirements Discovery and Validation $10,000.00
7	Business/User Requirement Validation	15 days			

8	Technical/Architectural Requirements Validation	15 days		1. Notes/Action Items - County PM 2. DRAFT Current State and Future State Diagrams - BOR Business SME Technical/Architectural Requirements Discovery and Validation 1. Technical/Architectural Requirements Report – BOT Rep. 2. Future state solution architecture diagram – BOT Rep.	
9	User Story Workshop	10 days			
10	**Solution Architecting**	**15 days**	**5**		
11	Review approved "Future State" business and technical requirements	2 days		1 - Acknowledgment Form of Draft Current Process Diagrams 2 - Acknowledgment Form of Draft Future Process Diagrams 3 - Acknowledgment Form of Draft Backlog 4 - Acknowledgment Form of SOR	Phase 1 - Solution Design Discovery and Validation $35,000.00
12	Identify gaps (if any) associated with requirements documentation	5 days			
13	Correspond with Cook County to clarify outstanding questions, assumptions and details	10 days	12		
14	Create initial prototype of proposed solution design	3 days			
15	Create Project Backlog	4 days	11		
16	Create Statement of Requirements (SOR)	15 days			
17	**Solution Documentation Delivery, Walkthrough and Approval**	**8 days**	**10**	1. Statement of Requirements (SOR) – County PM	

18	Documentation Delivery and Walkthrough	2 days		2. Business Process Design Document – BOR Rep. 3. Technical Design Document - BOT Rep. 4. Updated Product Backlog Report – BOR Rep. 5. Software Purchased – BOT	
19	Exchange of edit requests and replies	1 wk	18		
20	Approve SOR and Project Backlog	1 day	19		
21	Close out Initial Discovery Phase	1 day	19		
22	**Iteration Zero**	**5 days**	**21**	Planning Phase Closure 1. Updated Product Backlog including MVP – BOR Rep. 2. Updated project plan and schedule – County PM. Execution Phase - Initial Solution Development and Testing 1. QA Plan including promotion process (from Dev to CAT and PROD) – BOR and County PM	Phase 1 - Planning Phase Closure $10,000.00 Phase 2 - Execution Phase - Initial Solution Development and Testing $8,000.00
23	Define MVP	3 days	21		
24	Release Planning	5 days			
25	Iteration Planning	5 days			
26	Backlog Grooming	5 days			
27	**Architecture Sprint**	**10 days**			
28	Stand Up Environments	10 days	26	Execution Phase - Infrastructure Deployment 1. Installation of hardware requirements per approved Technical Design Documentation	Phase 2 - Execution Phase - Infrastructure Deployment $15,000.00 Phase 2 - Execution Phase - Software Installation and

29	Server Installation	10 days	26	for 3 proposed environments – BOT Rep a. System Servers installed b. Server Operating Systems and Software installed c. Client Operating Systems and Software installed d. Capture Devices installed e. Storage architecture expansion to accommodate file storage installed 2. Infrastructure Layout and Design (as-built) – BOT Rep 3. Configured/setup infrastructure (servers) for the following – BOT Rep. a. Primary site (development, QA and Production); b. Secondary site (development, QA and Production). Execution Phase - Software Installation and Testing 1. Core OnBase software installed and accessible by all user groups – County PM.	Testing $11,000.00
30	Connectivity	10 days	26		
31	Install OnBase	10 days	26		
32	Basic Testing	10 days	26		
33	**Sprint 1**	**15 days**			
34	Sprint Planning	4 hrs	32	1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of	Phase 2 - Execution Phase - BOR User Story Development and Testing

35	Sprint Development	2 wks	32	~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 5. Website publication (up to 6 updates)	(Sprint One) $20,000.00
36	Backlog Grooming	1 day	32		
37	Sprint Demo	1 day	36		
38	Sprint Acceptance	1 wk	37		
39	**Legacy Database Migration (Parallel Process to Sprints/Release 2)**	**58 days**		Migration Planning 1.Conversion Questionaires - BOT Rep 2. Conversion Discovery Report - BOT Rep 3. Data Migration plan – BOT Rep. Migration Execution and Testing 2. Migration test results – BOT rep 3. Migration UAT script - to be tested by BOR 4. The above for each of the following databases: a. Online complaint web application;	Legacy DB Migration Planning $26,660.10 Legacy DB Migration Execution and Testing $45,000.00 Legacy DB Production Migration and Closeout $40,000.00
40	**Migration Planning**	**2.6 wks**			
41	Conversion Workshop	3 days	37		
42	Discovery	2 wks	37		
43	Create Migration Plan	3 days	42		
44	**Migration Execution and Testing**	**38 days**			
45	Development and Configuration	3.6 wks	43		
46	Migrate to UAT	2 days	45		

47	UAT Testing and Validation	3 wks		b. PTAB applications c. Exemptions d. CR2 e. Re-review process Certificate of Error f. Comparable Tool 5. UAT Form - approved by BOR and BOT Representative MIgration Testing and Closeout 1. Approval to Production form - BOT Rep 2 - Conversion Signoff	
48	UAT Signoff	1 day	47		
49	**Migration Testing and Closeout**	**7 days**			
50	Migrate to Production	3 days	48		
51	Production Validation	3 days	50		
52	Conversion Sign-off	1 day	51		
53	**Sprint 2**	**15 days**	**38**		
54	Sprint Planning	4 hrs	37	1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of ~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 5. Website publication (up to 6 updates)	Phase 2 - Execution Phase – Sprint Two to Sprint Six $20,000.00
55	Sprint Development	2 wks	37		
56	Backlog Grooming	1 day			
57	Sprint Demo	1 day			
58	Sprint Acceptance	1 wk	57		
59	**Release 1**	**15 days**	**57**		
60	Migrate from DEV to CAT	2 days	57	1. Test scripts/Scenarios – BOR SME 2. UAT Form – BOR testers	Release 1 and UAT $25,000.00
61	Test CAT updates	1 day	60		

62	Demo to Business Users	3 hrs	61		
63	UAT	1 wk	62		
64	UAT Feedback and Defect Mgmt	1 wk	62		
65	UAT Acceptance	1 day	64		
66	**Sprint 3**	**15 days**	**65**		
67	Sprint Planning	4 hrs		1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of ~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 5. Website publication (up to 6 updates)	Phase 2 - Execution Phase – Sprint Two to Sprint Six $20,000.00
68	Sprint Development	1.9 wks	67		
69	Backlog Grooming	1 day			
70	Sprint Demo	3 hrs			
71	Sprint Acceptance	1 wk	70		
72	**Sprint 4**	**10 days**	**70**		
73	Sprint Planning	4 hrs		1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of ~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM	Phase 2 - Execution Phase – Sprint Two to Sprint Six $20,000.00
74	Sprint Development	1.9 wks	73		
75	Backlog Grooming	1 day			

76	Sprint Demo	3 hrs		5. Website publication (up to 6 updates)	
77	Sprint Acceptance	1 wk	76		
78	**Release 2**	**10 days**	**76**		
79	Migrate from DEV to CAT	2 days	76	1. Test scripts/Scenarios – BOR SME 2. UAT Form – BOR testers	Release 2 and UAT $20,000.00
80	Test CAT updates	1 day	79		
81	Demo to Business Users	3 hrs	80		
82	UAT	1 wk	81		
83	UAT Feedback and Defect Mgmt	1 wk	81		
84	UAT Acceptance	1 day	83		
85	**Sprint 5**	**10 days**	**84**		
86	Sprint Planning	4 hrs	84	1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of ~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 5. Website publication (up to 6 updates)	Phase 2 - Execution Phase – Sprint Two to Sprint Six $15,000.00
87	Sprint Development	2 wks	86		
88	Backlog Grooming	1 day			
89	Sprint Demo	1 day			
90	Sprint Acceptance	1 wk	89		

91	**Sprint 6 (Enhancements)**	**15 days**	**89**		
92	Sprint Planning	4 hrs		1. Backlog Report – BOR SME and County PM 2. OCM Newsletter (up to six of ~one per sprint) – County PM 3 Audience Profile Report - brief report identifying any gaps in this area – BOR Rep. 4. "What's New" Flyer (prior to Go Live) – BOR Rep and County PM 5. Website publication (up to 6 updates)	Phase 2 - Execution Phase – Sprint Two to Sprint Six $15,000.00
93	Sprint Development	2 wks			
94	Sprint Demo	1 day			
95	Sprint Acceptance	1 wk	94		
96	**Release 3**	**10 days**	**95**		
97	Migrate from DEV to CAT	2 days	95	1. Test scripts/Scenarios – BOR SME 2. UAT Form – BOR testers	Release 3 and UAT $15,000.00
98	Test CAT updates	1 day	97		
99	Demo to Business Users	3 hrs	98		
100	UAT	1 wk	99		
101	UAT Feedback and Defect Mgmt	1 wk	99		
102	UAT Acceptance	1 day	101		
103	**Training and Go-Live Materials**	**20 days**	**83**		
104	Train the Trainer	3 days	89	a. As-built system configuration docs (list the titles of all documents) b. Training manuals (one per training type) c. End user training hours (system and capture for up to 75 users)	Phase 2 - Execution Phase - Knowledge transfer, Training and Transition $20,000.00

105	Training Classes	15 days	104	d. System Administrator Training (for up to two users) e. Workflow Administrator Training (for up to two users). Training User Acceptance Signatures for each of the above (Sign-in sheet). Administrator Acceptance for as-build documentation.	
106	**Go live**	**50 days**			
107	Prep Production Environment	2 wks		1. Promotion and cutover checklist/plan – County PM. 2. Production testing results - technical (data promoted successfully to prod from staging/QA) – BOT Rep. 3. Business user production test scripts/plan – County PM 4. Organizational Change Management key activity – County PM 5. Replication of production to backup site test results – BOT Rep 6. Disaster recovery document – BOT Rep 7. System Configuration Reports – System Admin 8. Workflow Configuration Reports – System Admin 9. End User Documentation – County PM 10. Workflow Documentation- County PM 11. Disaster Recovery Plan – BOT Rep.	Phase 2 - Execution Phase - Production Deployment $25,000.00
108	Other go live activities	2 wks			
109	Go Live	1 day			

				12. Successful cutover (Go-live) - Approval form – County PM	
110	Go Live Support	30 days	109	Onsite Support	Phase 2 - Go-Live Support $10,000.00
111	**Post Implementation Review**	**4 days**	**110**	Final Declaration of Satisfaction Form and Lessons Learned Document - approved/signed by PM and BOR Representative	Phase 2 - Closeout - Sign off and move to On-Going Support mode, RFP sections 2.1.8 and 2.1.9 $75,000.00
112	**Six Month Review**	**1 day?**	**109**		
	Year 2-3 Support and Maintenance Costs			1. $24,500 per year; 2. 48 instances per year; 3. 1 Databank OnBase Administration Course; 4. 1 Databank Offered Course – From Databank course catalogue.	$ 49,000.00

	Year 2-3 Support and Maintenance Costs			Unused hours will rollover to the next year and DataBank will only invoice for services rendered under this type of support. Cook County is not obligated to use any of the 500 hours. $103,500 per year.	$ 207,000.00

Exhibit A – Project Documentation Format

Project Status Report Format

[INSERT CLIENT]/[INSERT PROJECT]

Report Period: [INSERT REPORT DATE RANGE]
Report Date: [INSERT REPORT DATE]
Responsible for this Report: [INSERT YOUR NAME AND EMAIL/PHONE NUMBER]

Distribution List			
Contact Name	Email	Role	Phone
[PRIMARY CLIENT CONTACT]	[PRIMARY CLIENT CONTACT EMAIL]	Primary Client Contact	[PHONE]
[CLIENT CONTACT OWNER/SIGNER]	[CLIENT CONTACT OWNER/SIGNER EMAIL]	Project Champion/Owner	[PHONE]
[DataBank PROJECT CONTACT 1]	[BEARSTOWN PROJECT CONTACT 1 EMAIL]	[INSERT ROLE]	[PHONE]
[DataBank ACCOUNT MANAGER]	[BEARSTOWN ACCOUNT MANAGER EMAIL]	Account Manager	[PHONE]
Matt Charlson		DataBank CTO	(952) 607-3520

Executive Overview		
Schedule/Milestone	Budget	Issues/Risks
✓	✓	✓
Key: Green (Meets or exceeds expectations), Yellow (Alert, action may be required), Red (Significant item, requires attention)		
Does the client agree with the KPI ratings above? ☐ Yes ☐ No		Confirmation Date: [INSERT DATE]

Activity Summary
Planned Activities this period
Accomplishments this period
Planned Activities for next period

[redacted]

Key Project Issues, Risks, Action Items						
#	Issue/Risk/AI	Impact	Owner	Priority	Status	Next Steps
1.						
2.						
3.						

This section communicates any issues, risks, or action items associated with the project. Changes should be highlighted in Yellow.

Budget Summary		
Total Budget ($)	Budget Consumed (%)	Billing Total ($)

Approved Contracts	
Description	Amount

This section states the total budget picture and the current usage of that budget. Also listed are all contracts, SOW's, Change Orders, etc. that may contribute to that budget.

Other Discussion Points
Item

This section communicates other concerns, etc. requiring a discussion. Changes should be highlighted in Yellow.

Indicators (*for use abave*)

Deliverable Acceptance Form

Date Submitted ___/___/___
Company: _____
Project Name _____
Deliverable/Milestone Established _____
Acceptance Criteria _____
Approvals required (names and titles) _____
Associated Invoice Amount _____
Contract Balance Remaining

Exceptions:

- ☐ Accept Deliverable
- ☐ Decline Deliverable

Comments/Reason:

_____

_____

Approver Name(s) (Print)/Department

_____

Approver Signature(s) **Date**

Project –Final Acceptance Form

Author		Approval Request Date	
Comments		Approval Due Date	

Deliverable Overview

Project Name	
Deliverable Name	

Acceptance Criteria / Comments	<Client Name> agrees that the solution has been delivered as outlined in the Scope of Work and any related change orders. <Client Name> accepts the project as complete.

Approval Signatures

Name / Title	Signature	MM/DD/YYYY
Client Name and Title		
Client Name and Title		
DataBank Project Manager Name		

Project Lessons-Learned Document

Client Name	
Project Name	
Prepared by	
Date (MM/DD/YY)	

Project Management	Technical Management	Human Factors	Overall
▪ *Project Planning*	▪ *Requirements*	▪ *Communication*	▪ *Customer Satisfaction*
▪ *Resource Management*	▪ *Specification*	▪ *Team Experience*	▪ *Technical Success*
▪ *Risk Management*	▪ *Test Plan*	▪ *Interaction with Sponsor*	▪ *Quality product*
▪ *Status Reports*	▪ *Testing*	▪ *Interaction with Customer*	▪ *Product Accepted*
▪	▪ *Rollout*	▪ *Interaction with Management*	▪ *On Time*
▪	▪ *Documentation*	▪ *Management support*	▪ *Met Project Objectives*
▪	▪ *Vendor Management*	▪ *Quality of meetings*	▪ *Met Business Objectives*
▪	▪	▪ *Vendor interaction*	▪

1. Project Journal Strategies and Processes that led to Success	
Reference	*Description*
A	Onsite presence • Bi-weekly onsites by vendor team
B	Regularly scheduled meetings • Weekly status meetings for PM team • Weekly development calls kept project moving
C	Schedule flexibility • Tasks moved/skipped if needed allowed project to move forward • Early delivery of product allowed more time to test
D	SME participation • Early process identification improved with SME presence • Training preparedness increased with more SME involvement
E	Planning • Continuity of PM staff kept project on track • Phased development allowed focus on specific deliverables

Project Journal	
Strategies and Processes that Led to Success	
Reference	Description
F	Prevention of major problems • Product knowledge depth guided the development and installation processes • Timely project support and responsiveness • Quick response to issues/questions reduced potential problems and delays • Good Verification Testing identified problems and clearly reported issues
G	Communication • Distribution of information on SharePoint provided a central repository for project documents and information • Quick escalation of issues and risk identification
H	Needs were met • Multiple options for solutions presented choices for development to better fit the deliverable
I	Excellent technical product • Well defined SRM identified technical requirements • Requirements gathering further identified processes and project understanding • Multiple options for solutions presented choices for development to better fit the deliverable
J	Comprehensive test plan/cases • Provided detail allowing more thorough rework and oversight
K	Training by role • Good method that focuses the users to their needs not training on functions not used
L	OnBase sites are good • Continue to utilize OnBase resources to further aid in development options
M	Flexible vendor • Did not take actions/decisions personally • Worked through issues and difficult interactions
N	Access to key knowledge holders (solutions engineer/developers) • Good knowledge base was always available when needed
O	Kept project visible and a high priority • Good management support set high visibility and kept project a high priority
P	Very positive people on the project • Continue management techniques to foster positive attitudes
Q	Solution readily accepted by users • Early introduction of end-users to yet to be released solution

1 - Project Journal	
Areas of Potential Improvement	
Reference Number	Description
1	Onsite presence •
2	Technical Plans not detailed enough •
3	Delays •
4	Issue and track ownership •
5	Communication •
6	Resource allocation •
7	PM responsibilities •
8	Software licensing •
9	Access by Vendors •
10	Numerous major projects •
11	Rollout confusion •
12	Getting Disaster Recovery document approved in "Virtual" environment •
13	Setup specifications for Application Enabler •
14	Understanding of modules •
15	Plans not delivered early enough •
16	Did not drive project strongly enough •
17	Test plan and test cases required too much input from DDS •
18	Centralized product management •
19	Pilot testing not timely •

2. Project Close-Out Discussion

A. The three biggest successes:

Description and reference	*Factors that Promoted this Success*

B. Other successes that the team would like highlighted:

Description and reference	*Factors that Promoted this Success*

C. Potential improvements along with *high-impact* improvement strategies:

Description and reference	*Factors that Promoted this Success*

D. Other comments:

3. Project Lessons-Learned Document / Signatures

Project Manager:	

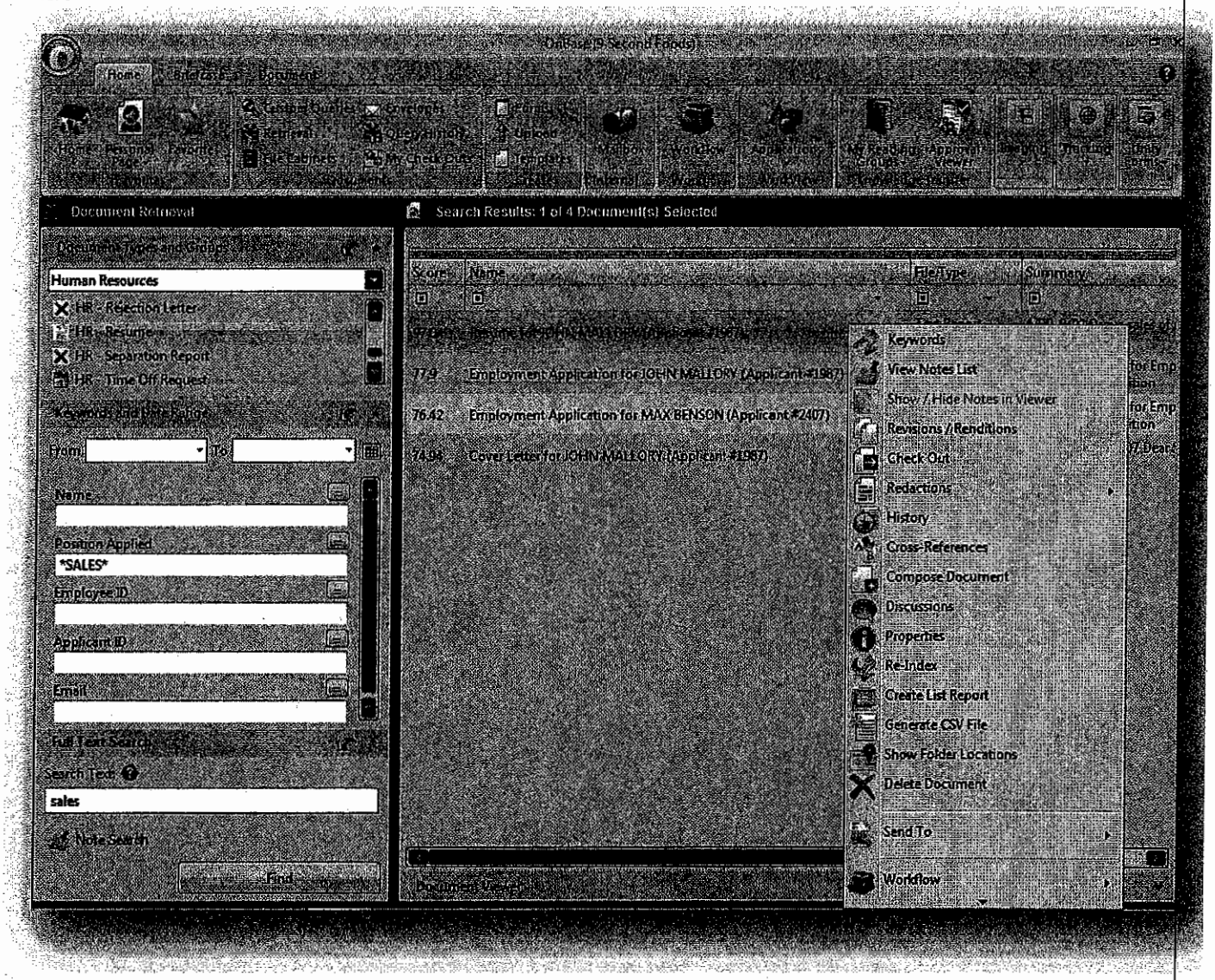
I have reviewed the information contained in this Project Lessons-Learned Document and agree.

Name	*Title*	*Signature*	*Date (MM/dd/YY)*

Exhibit B

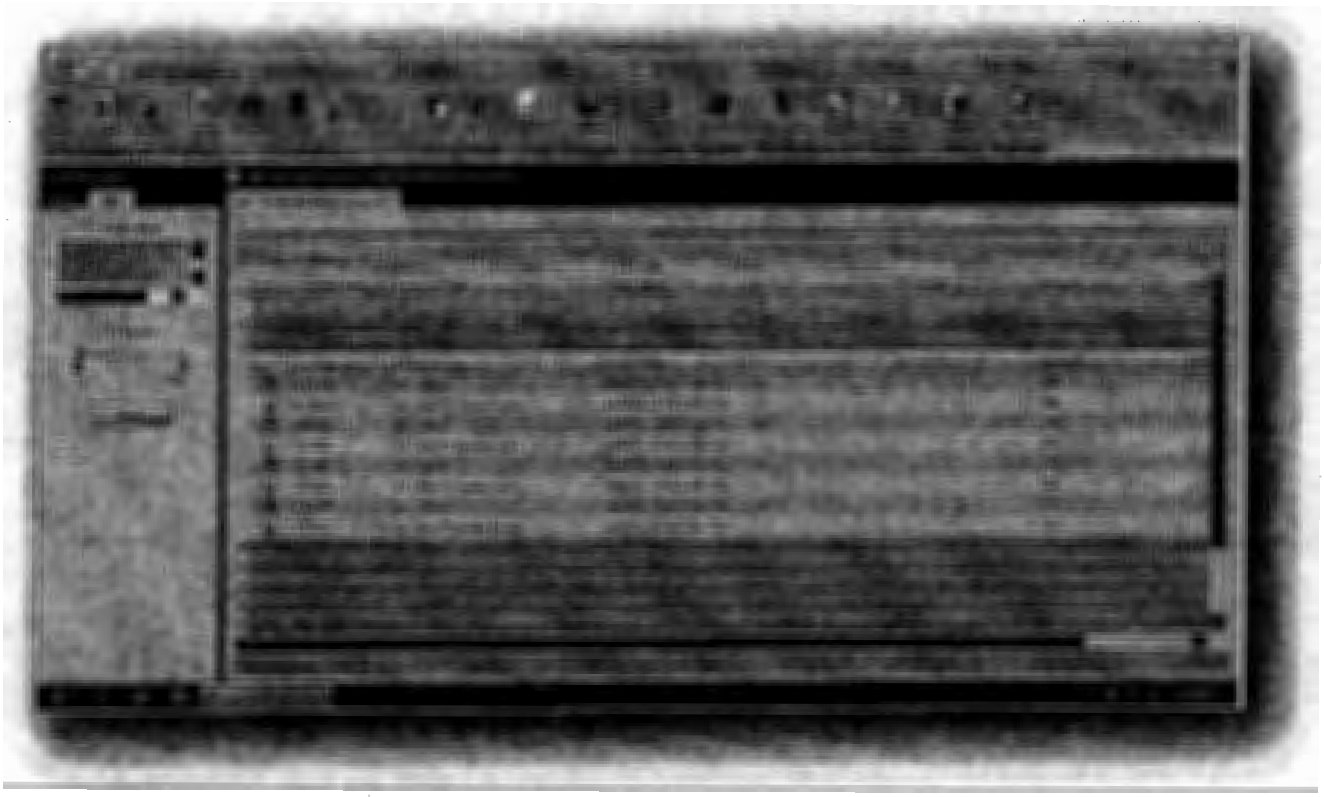
Screenshots for System Requirements Matrix

2.014



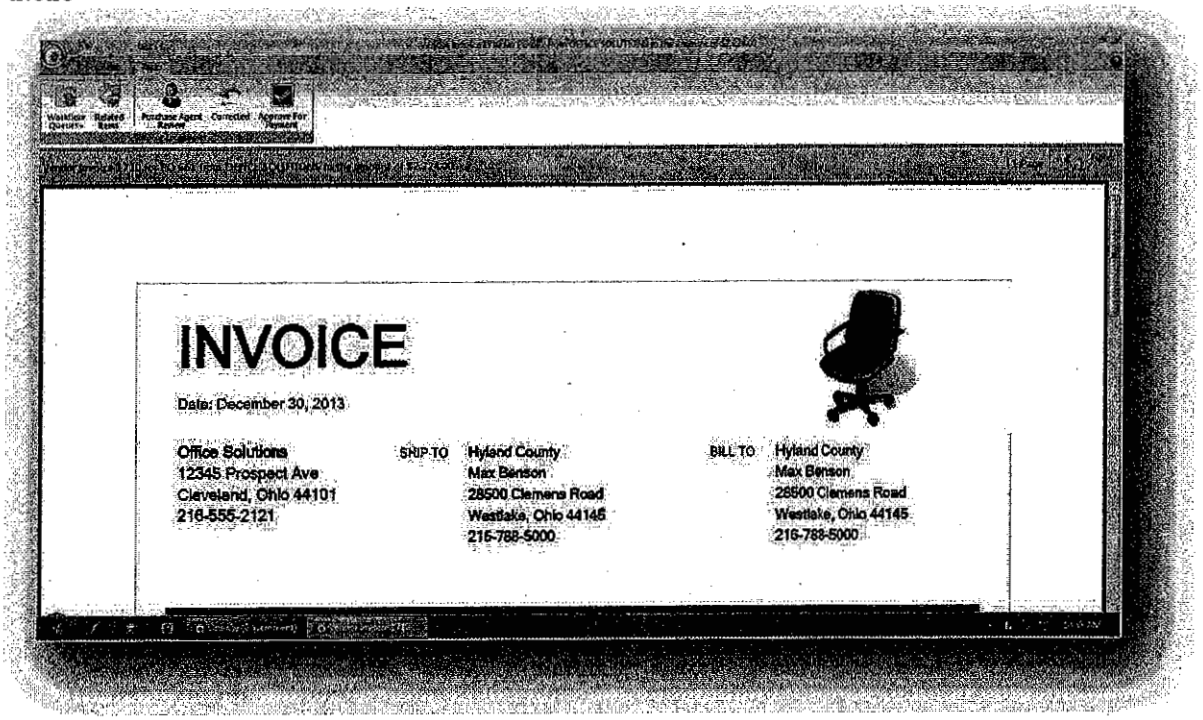
This is an example of searching multiple document types for Sales experience while also searching for people who applied for a Sales position.

2.017



Dragging the Vendor Name index value to filter and sort the list by Vendor.

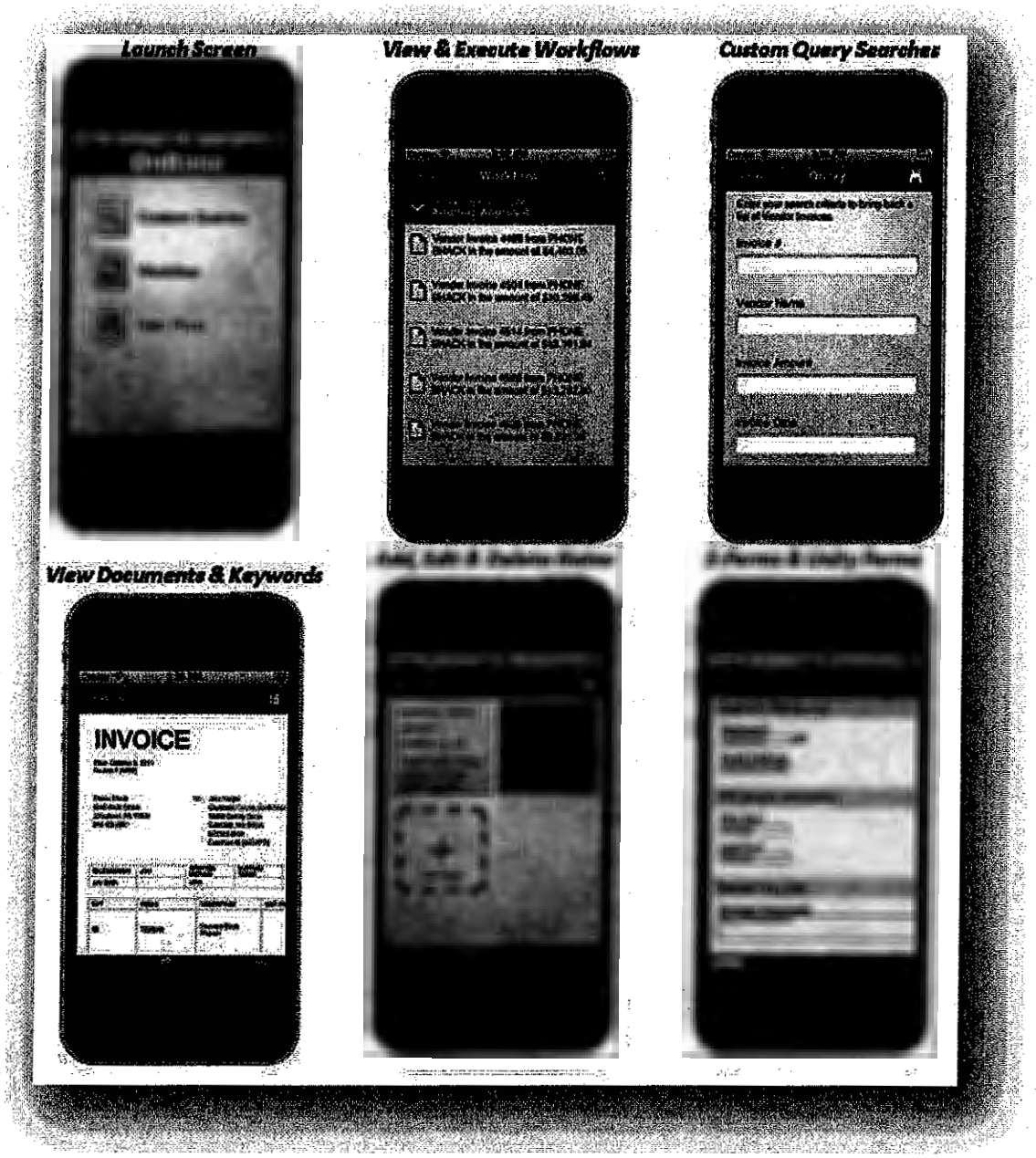
2.020



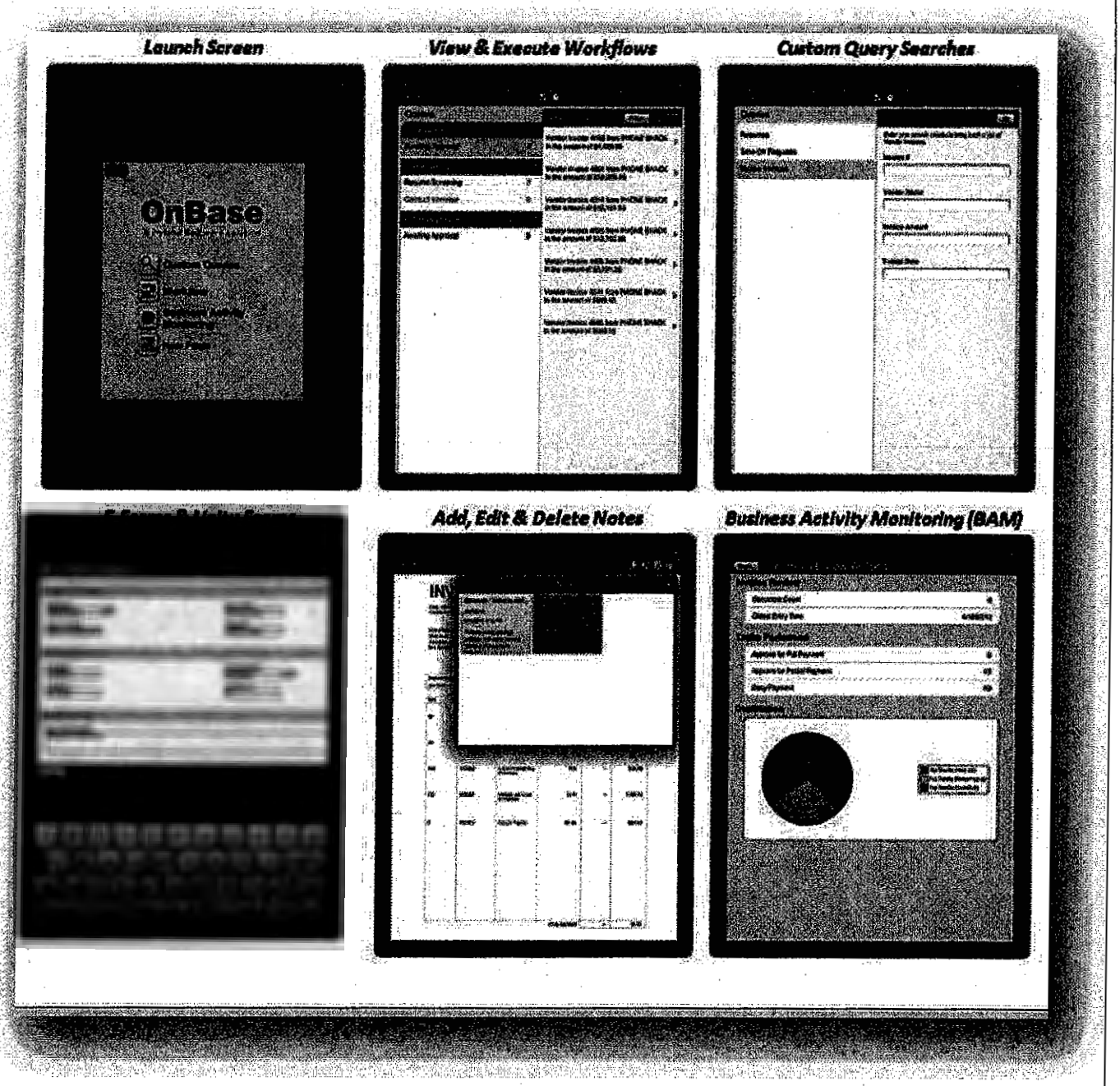
User Ad hoc workflow tasks in an invoice workflow process accessed right from the open document in OnBase.

2.063

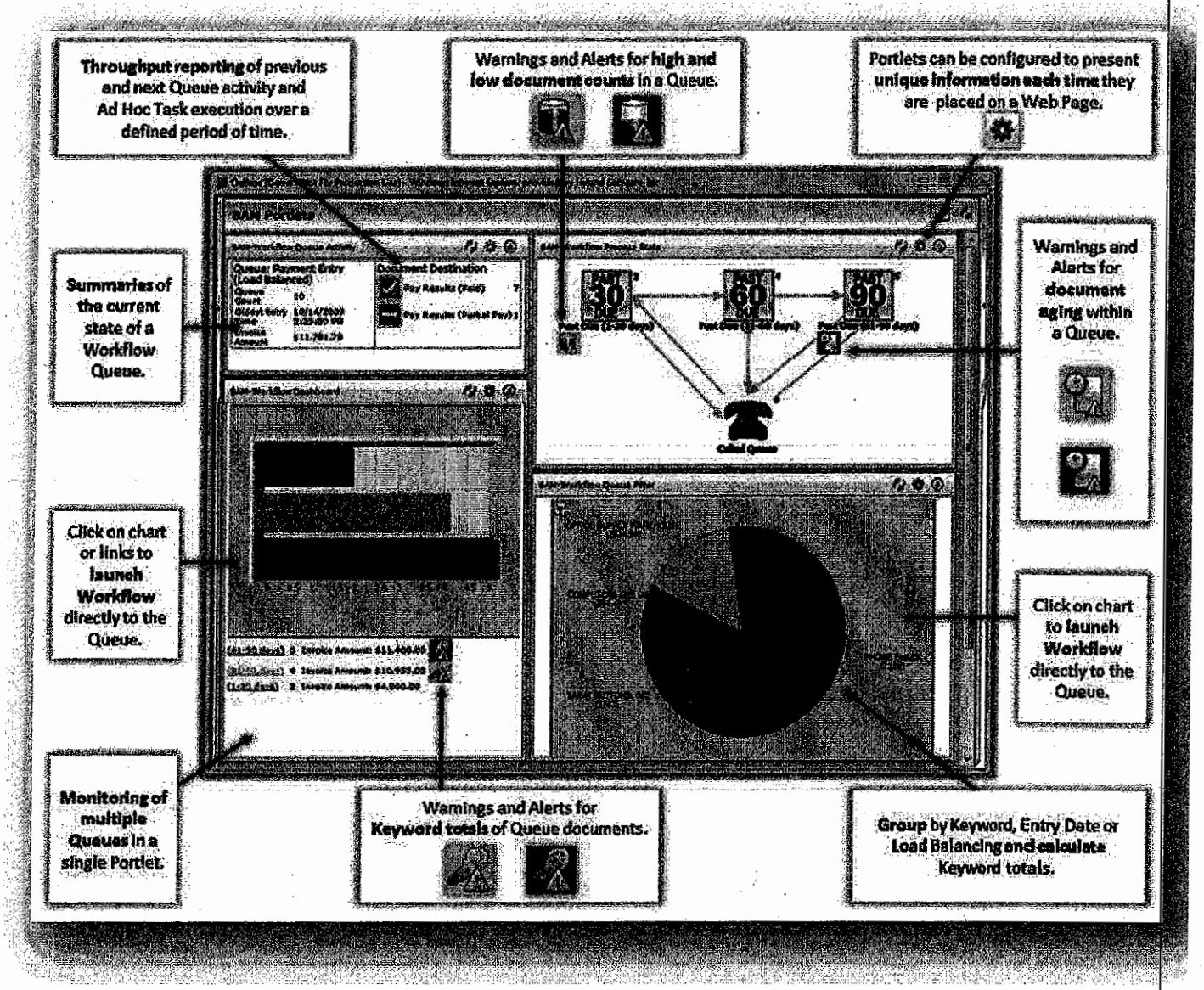
IPhone Interface



IPad Interface

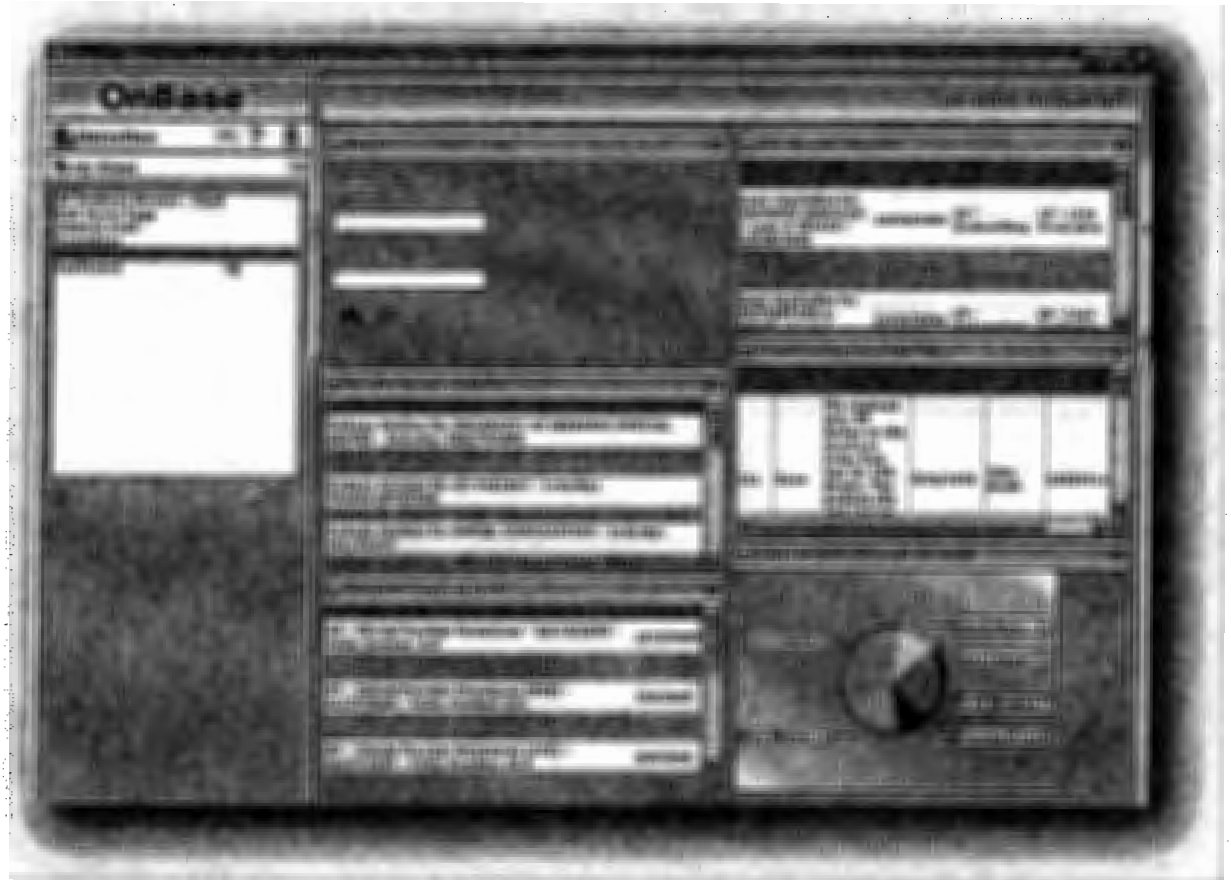


2.069



This screen hot shows the Business Activity Monitoring module showing dashboard with warnings when a process threshold has been crossed.

2.071



This screen shot shows a browser based workflow dashboard developed without coding in the StatusView module.

Exhibit C

System Requirements Matrix

All items marked as in-scope of this agreement are included as part of the Deliverables for the fixed fee of this Agreement, regarding less of the below vendor requirement self-rating value. Furthermore, other requirements allowed and encouraged by vendor's Agile methodology are also included as part of the Deliverables for the fixed fee of this Agreement.

1.007	System automatically flags entry of duplicate unique identifiers (PIN number- see Void/Dupl process in the RFP), and provides the user with appropriate direction (see form required to address the conflict in the RFP).	Yes	5		✓
1.008	System can automatically generate customized online messages and email messages (e.g. if a filer must enter a field, the system can automatically display a message about the required information).	Yes	4		✓
1.009	System allows users to upload multiple attachments including but not limited to property characteristics, vacancy, appraisals, income and expense information.	Yes	4		✓
1.010	System compiles all information and required documents (evidence) in an electronic file (electronic jacket) including all related communication (emails, letters)	Yes	5		✓
1.011	System allows filers to track the status of pending steps or outstanding documents/evidence required.	Yes	5		✓
1.012	System allows users to file/upload and monitor multiple complaints (bulk-files for attorneys), with relevant status updates (e.g. Assigned hearing or desk review / result / re-review result / result date / re-review dates).	Yes	4		✓
1.013	System allows filers (attorneys) to file and monitor complaints by township (e.g. can pull up screen showing all hearings scheduled for their cases regarding a particular township or pull up screen showing all dockets in a particular township where documents/evidence still needs to be submitted)	Yes	4		✓
1.014	System automatically routes electronic folders (Jackets) to the appropriate process (e.g. exempt complaints follow a different review process)	Yes	4		✓
1.015	System can place files ready for review in a queue for distribution by authorized user(s) (Complaint Analysis process and Pre-registration process)	Yes	4		✓

1.016	System can assign files to the appropriate analyst (e.g. based on area of expertise, experience, total MV, class, or requested reduction)	Yes	1	4	2		✓
1.017	System provides simple property comparison tools for filers to compare their own properties with nearby properties.	No	1		2		
1.018	System allows filers to attached comparable properties to their cases.	No	1		2		
1.019	System provides property comparison tools for analysts to compare properties with nearby properties (if built-in tools not availble, system must at minimum integrate with the existing BOR comparison tool. See 1.021).	Yes	1	4	2		P
1.020	System can interface with third party providers of real estate market data	Yes	1		2		✓
1.021	System can interface with the BOR's Property Comparison tool (if recommended by DataBank)	Yes	1		2		✓
1.022	System can interface with mapping tools such as Geographic Information System tools	Yes	1	5	2		✓
1.023	System allows Board analysts to analyze cases, enter values, upload supporting documentation and write notes.	Yes	1	5	2		✓
1.024	System can automatically route file to the next required step based on the entered result/data.	Yes	1	4	2		✓
1.025	System provides for the ability to allocate and delegate work (e.g. transfer a case from one analyst to another staff)	Yes	1	4	2		✓
1.026	System can capture the final results of Board analysts and automatically feed the final analysts decision to the mainframe (system of record)	Yes	1	4	2		✓
1.028	System can automatically call PIN related information including information submitted in the last 3 sessions for the currently submitted property PIN.	Yes	1		2		✓
1.03	System can automatically set submission periods triggered by an action (e.g. request for hearing triggers a timeline to submit required documentation).	Yes	1	4	2		✓

1.031	System provides automatic notifications/alerts (e-mail and/or system warnings) according to business rules for at least, FYIs, approvals, rejections/denials, request for action, system errors, entry conflicts, approaching of overtime limits.	Yes	4		✓
1.032	System provides internal automatic notifications (business rule/subscription based) about a single file or a group of files.	Yes	4		✓
1.033	System is compatible with Microsoft SQL Server 2008 (or better)	Yes	5		✓
1.034	Database is ODBC or has mechanism to access/pull down data.	Yes	5		✓
1.035	System is compatible with Microsoft Windows 7 (or better) 32-bit and 64-bit Operating Systems	Yes	5		✓
1.036	System interfaces with external directory services for security and authentication, such as Windows Active Directory (AD).	Yes	5		✓
1.037	System can handle integration thru standard APIs	Yes	5		✓
1.038	System can automatically perform typical analysts calculations to reduce human error (see RFP Complaint Analysis Process)	Yes	4		✓
1.04	System can prevent entry of values to the incorrect tax year (this is driven by a type "O" - omitted case type)	Yes	4		✓
1.041	System should be flexible to expand and automate other internal manual processes.	Yes	5		✓
1.042	System allows for full indexing and searching of uploaded documents	Yes	5		✓
1.043	System provides robust search functionality (search for word, status, or document in any file)	Yes	5		✓
1.044	System allows users to subscribe and unsubscribe to receive email notifications	Yes	4		✓
1.045	System allows users to subscribe to only a selected set of files notifications	Yes	3		✓
1.046	System allows users to select email notifications frequency	Yes	4		✓
1.047	System provides built-in calculators	Yes	1		✓
1.048	System provides built-in analysis tools	Yes	1		✓

1.049	System provides scanning interface	Yes	5		✓
1.05	System allows users to run queries and reports on any and all data captured and processed by BOR (via this system)	Yes	4		✓
1.051	System has full audit trail capability. E.g. County authorized users are able to see who and when a record was modified and what the change was.	Yes	5		✓
1.052	System provides robust ad-hoc reporting capability	Yes	4		✓
1.053	System has robust out of the box reports that capture standard metrics, including trends per category and township, number of re-review requests vs. number of complaints filed, number of hearing requests vs. number of complaints filed (provide samples in your response).	Yes	5		✓
1.054	System can automatically track and report the status of any or all open and close complaint in report format	Yes	4		✓
1.055	System supports exporting report files in multiple formats including Portable Document Format (PDF), Microsoft Excel, Comma-separated values (CSV) file(s).	Yes	5		✓
1.053	System provides executive type dashboards to present the BOR Process high level status	Yes	4		✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.001	Users can easily navigate and perform their primary job tasks with little-to-no training and with intuitive ribbon-style toolbars, tabs, and easy access features that are based on the familiar look and feel of Microsoft Office products.	Yes	Yes	✓
2.002	Client provides the capabilities for users themselves to personalize the user experience (e.g., personalized home page that opens to personal workflow lifecycles, stored favorite retrievals, etc.).	Yes	Yes	✓
2.003	Client displays all of the associated information about a document right alongside the image itself – displaying index values, notes, related	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
	documents, revisions, discussion threads, and document history.			
2.004	Client provides ability to display the document being indexed in a preview pane during the indexing process.	Yes	Yes	✓
2.005	Client provides the ability to auto-import camera images and media files directly from a connected device.	Yes	Yes	✓
2.006	Client enables users to play, stop, and pause multimedia files (audio/video) with the native viewer.	Yes	Yes	✓
2.007	Solution offers the full feature set of a client-based solution through a web deployable interface (i.e., rich internet application).	Yes	Yes	✓
2.008	Web Client provides a dashboard component to create and manage personalized interfaces that present end users with access to priority content and tasks (e.g., workflow status report, commonly used document searches).	Yes	Yes	✓
2.009	Solution offers full support for the Internet Explorer and Mozilla Firefox browsers on the Windows platform as well as full support for the Mozilla Firefox browser on the Macintosh platform.	Yes	Yes	✓
2.010	Solution enables users (not administrators) to create their own personalized saved searches.	Yes	Yes	✓
2.011	Solution provides ability for meaningful document names to appear in a search results list that can contain both static text as well as defined index values, offering a more detailed description of the documents returned.	Yes	Yes	✓
2.012	Solution's search interface accommodates multiple search methods from a single panel. This includes advanced search operators, full text searching, text searching, searches against notes, index value searches, searches against defined document types, all file formats, date ranges, etc.	Yes	Yes	✓
2.013	Solution provides advanced full text search capabilities that include fuzzy, inflectional, thesaurus, proximity, wild card, and SOUNDEX.	Yes	Yes	✓
2.014	Solution provides ability to utilize full text searching alongside index value search. Please provide a screen shot depicting this capability from a single interface.	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.015	Describe how your core search and retrieval client allows users to search for multiple document types (e.g., text/ COLD, image, PDF, Word, etc.) in one search.	Yes	Yes	✓
2.016	Solution provides capabilities to not only retrieve and archive to the ECM system from the native office toolbar, but also search and retrieve ECM stored content from directly inside the native office application.	Yes	Yes	✓
2.017	Solution provides ability for a user to filter a broad search result list by dragging and dropping attribute fields (index values) on the fly. Please provide a screen shot of this capability.	Yes	Yes	✓
2.018	Solution provides ability to automatically link related documents of similar or different file types to each other (e.g., a mainframe-generated text file to a TIFF image).	Yes	Yes	✓
2.019	If so, solution also provides the ability to identify hot spots or zones that trigger multiple related documents from the primary document.	Yes	Yes	✓
2.020	Solution's workflow experience is integrated to provide task buttons and user interaction on a menu right from selected or open documents through standard document retrieval (i.e., user does not need to enter the Workflow Client). Please provide a screen shot depicting this embedded workflow functionality in your viewer.	Yes	Yes	✓
2.021	Describe how your client interacts with other business applications we use to access ECM stored content, workflows, and foldered documents, and to create electronic forms directly from within the existing business application. This should be accomplished without any custom programming.	Yes	Yes	✓
2.022	Describe the capabilities you have for an offline/mobile worker (e.g., access documentation, complete forms, synchronization).	Yes	[redacted]	□
2.023	Solution provides natively built interfaces to standard mobile devices - BlackBerry, iPad, iPhone, Windows Phone, and Droid.	Yes	Yes	✓
2.024	System offers a ClickOnce deployable solution for the client interface, minimizing administration overhead and supporting IT policies.	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.025	The workflow configuration and user interface environments are integrated with the rest of the ECM solution (i.e., you can access the workflow interface from within the client environment).	Yes	Yes	✓
2.026	How many configurable workflow business rule templates are available, out--of-the-box, with your system? Please explain what parameters are available, excluding any scripted capabilities, upon configuration.	Yes	Yes	✓
2.027	How many configurable workflow actions are available, out-of-the-box, with your system? Please explain what parameters are available, excluding any scripted capabilities, upon configuration.	Yes	Yes	✓
2.028	Solution allow documents to be added to a workflow in several different ways, including:			✓
2.029	· Scanning	Yes	Yes	✓
2.030	· Enterprise text report processing	Yes	Yes	✓
2.031	· Electronic forms processing	Yes	Yes	✓
2.032	· Document import processing	Yes	Yes	✓
2.033	· API	Yes	Yes	✓
2.034	· E-mail interface	Yes	Yes	✓
2.035	· Drag and drop from a business application screen	Yes	Yes	✓
2.036	· Adding documents already stored within the solution's repository to a workflow process at a specific point-in-time	Yes	Yes	✓
2.037	Immediately upon import, the solution automatically identifies which workflow processes to associate a given document with based on document type.	Yes	Yes	✓
2.038	Solution provides ability for the workflow process to interact directly with defined Web services, allowing external data received to be used as part of a workflow process (i.e., confirm a delivery date from a website such as ups.com). This is to be accomplished out-of-the-box with point-and-click configuration.	Yes	Yes	✓
2.039	Solution allows for the automatic distribution and sorting of work based on load balancing rules. Rules should include role, availability, percentage, order of arrival, index values, or the size of existing workloads for users, as well as custom- built work distribution rules.	Yes	Yes	✓
2.040	This load balancing should also allow for the rebalancing of work to users if inequity is	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
	discovered within the workflow processes.			
2.041	Solution provides for customized instructions to be displayed within the workflow application, directing the end user on what functionality they can or should execute.	Yes	Yes	✓
2.042	Describe the system's ability to dynamically query, directly within the workflow interface, related documents associated to the transaction to provide better decision making.	Yes	Yes	✓
2.043	Describe your workflow solution's ability to provide, out-of-the-box, visual indications of missing documents required of a work packet.	Yes	Yes	✓
2.044	Describe your workflow system's ability to conditionally present a targeted set of user tasks, based on role and step of the process, to assist with processing decisions.	Yes	Yes	✓
2.045	Describe the system's ability to retrieve or perform activity on related documents that may exist in the solution's ECM repository (file server), outside of the documents that currently exist within various stages of the workflow process.	Yes	Yes	✓
2.046	Describe the system's ability to provide for a document in a workflow to check an attribute (document property or index value) on a related document and make a processing decision, such as how the document is to be routed, based on pre-configured logic and rules.	Yes	Yes	✓
2.047	Solution provides the ability to perform parallel processing by automatically routing a single document through multiple business processes simultaneously and allowing multiple users to access and work on the same document.	Yes	Yes	✓
2.048	Upon execution of a task within a workflow process, solution provides the ability to automatically present a prompt requesting additional information for downstream processing (i.e., hiring manager determines a candidate as a "no fit" for a given position and is prompted for feedback on candidate's positioning for a role elsewhere in the organization). This is to be accomplished out-of-the-box with point-and-click configuration.	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.049	Many workflow processes require the user to select a simple decision task such as "approve" or "deny." Explain how additional out-of-the-box tasks can be presented to users, allowing them to execute more business-specific functions (e.g., simple tasks such as print, annotate, and email; advanced tasks such as calling out to external systems, advanced routing, document composition, or the creation of an e-form).	Yes	Yes	✓
2.050	Solution provides the ability to present and access workflow from these locations:			✓
2.051	· BlackBerry			☐
2.052	· iPad			☐
2.053	· iPhone			☐
2.054	· Windows Phone			☐
2.055	· Droid			☐
2.056	· Standard Client	Yes	Yes	✓
2.057	· Outlook	Yes	Yes	✓
2.058	· Web Client	Yes	Yes	✓
2.059	· Business Application			☐
2.060	· SharePoint			☐
2.061	· URL string	Yes	Yes	✓
2.062	This should be accomplished out-of-the-box or through a productized offering.			✓
2.063	Please provide a screen shot depicting this functionality within these viewers.			✓
2.064	Solution includes native capabilities to provide, or have partnerships for business rules engine, process modeling, process simulation, and process reporting.	Yes		✓
2.065	Solution supports, out-of-the-box, the graphical design of workflows with a BPMN compliant designer.	Yes		✓
2.066	Solution supports the ability of your BPMN compliant designer to produce BPEL standard language.	Yes		✓
2.067	Solution provides a native, configurable workflow dashboard to monitor, in real time, the workload of end users.	Yes	Yes	✓
2.068	This should provide for an automatic visual notification within that dashboard when a process threshold has been crossed.	Yes	Yes	✓
2.069	Please provide a screen shot so that we may have a visual representation of this.			✓

No.	Onbase Functional Requirements	Recommended for this implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.070	Solution provides for a browser-based workflow dashboard to be displayed natively through your client interface, Microsoft SharePoint, or any WSRP 1.0 compliant portal product without any custom coding.	Yes	Yes	✓
2.071	Please provide a screen shot so that we may have a visual representation of this.			✓
2.072	Solution produces reports utilizing custom transactions (i.e., approval time stamps added by a specific user during a transaction).	Yes	Yes	✓
2.073	Solution provides preconfigured workflow reports that detail processing information such as:			✓
2.074	· Average Time to Process Document per Lifecycle	Yes	Yes	✓
2.075	· Daily Workflow Usage	Yes	Yes	✓
2.076	· Document Process Time per Workflow Queue	Yes	Yes	✓
2.077	· Documents Processed per Queue	Yes	Yes	✓
2.078	· Documents Resident per Queue	Yes	Yes	✓
2.079	· High or Low Document Processing Identification	Yes	Yes	✓
2.080	· Queue Processing Time per User in Minutes	Yes	Yes	✓
2.081	Please describe the specific report(s).			✓
2.082	Workflow solution will include, at no additional cost, your native electronic forms application.	Yes	Yes	✓
2.083	Solution supports the use of electronic forms natively without requiring the purchase of any proprietary forms software.	Yes	Yes	✓
2.084	Solution's electronic forms offering will be architected in a way to interact with other parts of your ECM repository including:			✓
2.085	· Document import capture	Yes	Yes	✓
2.086	· Web (online form submission)	Yes	Yes	✓
2.087	· Web portal and SharePoint (form creation / submission through portal)	Yes	Yes	✓
2.088	· Index value design and structure	Yes	Yes	✓
2.089	· Cross-referencing	Yes	Yes	✓
2.090	· Notes/annotations	Yes	Yes	✓
2.091	· Workflow (form auto-triggers a workflow process)	Yes	Yes	✓
2.092	· E-mail (form viewed as attachment)	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.093	In addition to your native electronic forms solution, the solution will provide for integrations with popular forms software like Microsoft InfoPath and Adobe LiveCycle to allow users to complete forms created with these products and processes them directly into the system repository.			☐
2.094	Solution maintains revision control on electronic forms to offer flexibility to display forms in their submitted state or with a new layout, allowing business processes to advance.	Yes	Yes	✓
2.095	From a data-centric business application, based on account/record information presented on the screen, system allows users to retrieve ECM stored documents without custom programming, API programming, scripting, or modifications to the existing application.			☐
2.096	Solution provides the ability to execute separate and distinct document retrievals from sections/fields on the screen.			☐
2.097	Beyond retrieval, solution allows for other ECM functions to be performed, non-programmatically (i.e., point-and-click configurable), within the business application.			☐
2.098	This includes the ability to execute ALL of the following ECM functions from a single screen:			✓
2.099	· Index ECM stored documents using data on the business application screen			☐
2.100	· Present user with a workflow step in context with the business application screen			☐
2.101	· Launch a complete set of related documents presented in a tabbed folder view			☐
2.102	· Launch scanning interface to perform ad hoc capture related to the account/record			☐
2.103	· Create a scanning cover sheet with bar codes using data from the business application screen			☐
2.104	· Retrieve documents based on a custom query from the business application screen			☐
2.105	· Index captured documents using data from more than one screen within more than one business application			☐
2.106	· Launch and complete an electronic form to track an event or start a workflow process			☐

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.107	· Create a form letter, based off of a Microsoft Word template, using data on the business application screen			☐
2.108	Solution provides integrations with email clients like Microsoft Outlook, Lotus Notes, and Novell GroupWise, allowing users to access ECM functionality and import emails and attached documents into the repository directly from their email interface.	Yes	Yes	✓
2.109	Non-programmatic configuration enables your system to be auto-aware of any business application that is integrated for document retrievals (meaning a user does not have to manually declare the business system in which they are working).	Yes	Yes	✓
2.110	Solution provides http url requests to retrieve documents, present workflow interfaces, and present a folder interface in lieu of custom programming.			☐
2.111	Beyond image enabling, solution brokers bi-directional data and document communication between your system and multiple third-party applications (e.g., posting invoice data from a capture process to the invoice entry in Lawson, SAP, or Oracle).			☐
2.112	Explain any packaged integrations or experience you have with the business applications and/or ERP systems we are currently utilizing (i.e., SAP, Lawson, Oracle eBusiness Suite, PeopleSoft, JD Edwards, Microsoft Dynamics, etc).			☐
2.113	Provide a high-level document describing API and Web Service feature set.			✓
2.114	System offers well documented, robust API. Please describe in detail.	Yes	Yes	✓
2.115	Explain your existing API training program available to help organizations extend their ECM investment.			☐

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.116	Records management functionality provided by the solution is native without requiring integration with a third-party or external RIM tool.			☐
2.117	Solution provides the ability for documents to be automatically declared as records without any user interaction.			☐
2.118	Solution allows for multiple documents to be grouped together and treated by the system as a single record, with a single retention plan.			☐
2.119	Solution provides the ability for a document(s) to be dragged and dropped into a record (folder of documents) and have this new document automatically inherit the records management policy.			☐
2.120	Solution allows users to capture, declare, and store electronic records (documents) in their native formats, including e-mail, electronic forms, physical items, images, text files, and Office documents.			☐
2.121	Solution provides the ability to place a hold (or multiple holds) on a record, as in the case of an audit or legal discovery.			☐
2.122	Solution provides the ability to identify both complete and incomplete records across the entire repository.			☐
2.123	Describe how you configure records management events (including Open, Closed, Cutoff, Hold, and Final Disposition) to be automatically posted to a record from within your workflow engine.			✓
2.124	Solution provides a variety of destruction options, including the ability to keep both index values and files permanently, keep only index values, or purge both index values and files with or without a history log (certificate of destruction).			☐
2.125	Ability to provide a holistic view of both digitally-stored content and physically- stored content in a single search results list.			☐
2.126	Provides an administrative view of physical record locators either pending check out (requested) or currently checked out with appropriate location information (item name, user in possession, expected return date, identifier, repository, repository name).			☐

No.	Onbase Functional Requirements	Recommended for this implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
2.127	Solution allows drag-and-drop import of messages into the ECM system using e-mail client folders in order to automate the classification and indexing of e-mails and attachments (e.g., a user could create a folder for purchase orders, one for invoices, another for resumes, etc.).	Yes	Yes	✓
2.128	Solution allows e-mails and attachments to be automatically imported and fully indexed into the system without any user intervention or data entry.	No	No	☐
2.129	Solution allows the user to access the ECM system's workflow processes from the e-mail client interface, with the ability to decision items (execute tasks) and view related documents directly from the e-mail message notification.	Yes	Yes	✓
2.130	Solution provides an E-mail Archive that offers the ability to assign time-based retention to e-mails with the ability to put an e-mail or group of e-mails "on hold," preventing automatic destruction.	No	No	☐
2.131	Solution supports single instance storage of both e-mail and attachments. For example, e-mails and attachments are only stored once in the E-mail Archive, with the sender and all recipients pointing to one record/file.	No	No	☐
2.132	Solution provides the ability for users to access an e-mail in the archive directly from their client.	No	No	☐
2.133	Solution provides the ability to search on e-mail index values and/or perform a full-text search on e-mail and attachment content.	No	No	☐
2.134	Solution provides the ability to access a document-level audit trail directly from the document.	Yes	Yes	✓
2.135	Describe what is natively tracked in your out-of-the-box audit trail.			✓
2.136	Solution allows a system administrator to perform an ad hoc audit on system-related activities from within the client (e.g., identification of all documents accessed by a recently released employee).	Yes	Yes	✓
2.137	Solution allows an administrator to create custom audit log entries tied to workflow progress for the purpose of generating business process reports.	Yes	Yes	✓
2.138	Solution's reporting tool directly integrates with Microsoft Excel, allowing users to build reports	Yes	Yes	✓

No.	Onbase Functional Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
	natively in Excel utilizing the ECM system attributes.			
2.139	Solution provides, within Microsoft Excel, point-and-click data mining and modeling of text-based reports stored within your repository.	Yes	Yes	✓
2.140	Solution provides a report out-of-the-box (with no custom coding) that identifies matched, unmatched, or missing numeric and/or character index values between a primary document and secondary document(s) (i.e., automated reconciliation report).	Yes	Yes	✓
2.141	Based on the exception identified, solution automatically routes exception items from the exception report to a workflow for proper resolution. This should be accomplished without any coding.	Yes	Yes	✓

No.	Onbase Technical Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
3.001	The system must support an unlimited number of index values per document.	Yes	Yes	✓
3.002	Solution provides point-and-click configuration for index values, with multiple pre-configured formats (e.g., date: dd/mm/yyyy, month/dd/yy, mm-dd-yy).	Yes	Yes	✓
3.003	Solution provides the ability to store index value sets that can later be used to auto-index documents by entry of only a single primary value. This enables simplified indexing and more flexible retrieval by allowing users to enter a single index value and have all related index values auto-populate.	Yes	Yes	✓
3.004	Solution provides a means of purging, with just a few clicks, those index values that are no longer being used (saving database space and optimizing performance).	Yes	Yes	✓
3.005	Solution supports an unlimited number of document types within the system.	Yes	Yes	✓
3.006	System supports the organization of documents into folder-type structures. Explain how this is accomplished.	Yes	Yes	✓
3.007	Solution provides an underlying ability to easily pre-define document relationships for use in search and retrieval.	Yes	Yes	✓

No.	Onbase Technical Requirements	Recommended for this implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
3.008	System provides a single interface for the configuration and administration of all major system components (e.g., import processing, document type configuration, index value configuration, workflow, user groups and rights, storage structure, scanning, records management, foldering, scripting, etc.).	Yes	Yes	✓
3.009	Solution allows for ease of configuration, in that most administrative tasks (e.g., adding new document types and index values, user administration, configuring workflows, etc.) can be done by an internal resource as opposed to a third-party software expert.	Yes	Yes	✓
3.010	The database architecture supports multi-vendor platforms, specifically Microsoft SQL and Oracle.	Yes	Yes	✓
3.011	Solution allows the archiving of documents to various media, including:			✓
3.012	· Windows file servers, to allow the leveraging of Share and NTFS permissions	Yes	Yes	✓
3.013	· Linux file servers	Yes	Yes	✓
3.014	· Unix file servers	Yes	Yes	✓
3.015	· Integrate with IBM Tivoli Storage Management	Yes	Yes	✓
3.016	· Integrate with EMC Centera	Yes	Yes	✓
3.017	· NetApp	Yes	Yes	✓
3.018	· Plasmon Archive Appliances	Yes	Yes	✓
3.019	· CD, DVD or Blu-ray	Yes	Yes	✓
3.020	Solution stores documents in their original, native file formats, not in a proprietary format, so that we are not forced to use your software to access our data.	Yes	Yes	✓
3.021	Solution should contain an export tool for massive exporting of content in a non-proprietary format. This should supply both the document and the index values.	Yes	Yes	✓
3.022	Users have the ability to check documents out of the system for access via a localized copy that can be worked on, checked back in, and processed automatically.	Yes	Yes	✓
3.023	For increased efficiencies in backup and database sizing, content is stored with pointers in the database to file storage locations, as opposed to a blob in the database.	Yes	Yes	✓

No.	Onbase Technical Requirements	Recommended for this Implementation? (yes/no)	Included in pricing? (yes/no)	In Scope
3.024	System's storage architecture allows for documents and images to be stored at one too many different physical locations for the purpose of redundancy. If one of the locations were to have a failure, there would be no interruption of access to the documents.	Yes	Yes	✓
3.025	System must have the option to limit access to the storage locations based on service accounts.	Yes	Yes	✓
3.026	Solution provides the ability to encrypt data at the database level and at the file storage level, as well as content that has been backed up/at rest.	Yes	Yes	✓
3.027	System supports ClickOnce deployment to ease the use of installation and configuration updates.	Yes	Yes	✓
3.028	Solution allows for development, test, and disaster recovery environments with no additional licensing fees.	Yes	Yes	✓
3.029	System supports multiple application and web servers in a load balanced configuration environment for redundancy.	Yes	Yes	✓
3.030	System supports an unlimited number of customer-defined, first class, index value fields per document within one storage structure. These fields should be of various formats, including date, currency, alphanumeric, and numeric. (Second class index value fields would include any additional information stored about a document separate from the primary document index structure.)	Yes	Yes	✓
3.031	System supports the ability to store multiple values for the same index value instance (e.g., Client Name = Sarah Adams and John Adams). The population of an additional value(s) should be accomplished with a single mouse click or keyboard short cut.	Yes	Yes	✓
3.032	System utilizes a file storage system to store documents, as opposed to storing directly into the database.	Yes	Yes	✓
3.033	System utilizes one application server to support all the system processes (i.e., remote scanning, workflow processes, notifications, etc.). Additionally, these processes can be offloaded to different application servers to support customer scalability needs. Describe how your solution handles this and what the expected cost for this configuration would be.	Yes	Yes	✓

EXHIBIT 2

Evidence of Insurance

DataBank IMX
900 South Goldenrod, Suite C
Orlando, FL 32822
Phone 407-839-1477
www.databankimx.com

DataBank

June 6, 2014

Cook County
Office of the Chief Procurement Officer
118 N. Clark St.
Room 1018
Chicago, IL 60602

To Whom it May Concern:

DataBank agrees to meet all insurance requirements by Cook County.

Sincerely,

Vince Hanson
Vice President

CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY): 6/25/2014

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER	CONTACT NAME: Robyn Whaley
IRONWOOD INSURANCE SERVICES, LLC 3715 Northside Parkway NW STE 1-500 Atlanta GA 30327-2868	PHONE (A/C, No, Ext): (404) 503-9100 FAX (A/C, No): (404) 503-9101 E-MAIL ADDRESS: rwhaley@ironwoodins.com

INSURER(S) AFFORDING COVERAGE	NAIC #
INSURER A: Atlantic Specialty Ins Co	27154
INSURER B: Capitol Specialty Insurance	10328
INSURER C: Lloyd's of London/Hiscox	10200
INSURER D:	
INSURER E:	
INSURER F:	

INSURED
DataBank Holdings, LLC
620 Freedom Business Center
Suite 120
King of Prussia PA 19406

COVERAGES **CERTIFICATE NUMBER:** CL1383006522 **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	GENERAL LIABILITY X COMMERCIAL GENERAL LIABILITY CLAIMS-MADE X OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: POLICY PRO-JECT X LOC	X		711-01-2778	9/12/2013	9/12/2014	EACH OCCURRENCE DAMAGE TO RENTED PREMISES (Ea occurrence) MED EXP (Any one person) PERSONAL & ADV INJURY GENERAL AGGREGATE PRODUCTS - COMP/OP AGG	$ 1,000,000 $ 1,000,000 $ 15,000 $ 1,000,000 $ 2,000,000 $ 2,000,000
A	AUTOMOBILE LIABILITY X ANY AUTO ALL OWNED AUTOS SCHEDULED AUTOS HIRED AUTOS NON-OWNED AUTOS	X		711-01-2778 Comp Deductible - $1,000 Coll Deductible - $1,000	9/12/2013	9/12/2014	COMBINED SINGLE LIMIT (Ea accident) BODILY INJURY (Per person) BODILY INJURY (Per accident) PROPERTY DAMAGE (Per accident)	$ $1,000,000 $ $ $
A	X UMBRELLA LIAB X OCCUR EXCESS LIAB CLAIMS-MADE DED RETENTION $	X		711-01-2778	9/12/2013	9/12/2014	EACH OCCURRENCE AGGREGATE	$ 10,000,000 $ 10,000,000
A	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? Y/N (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	N/A		406-03-7755	9/12/2013	9/12/2014	X WC STATU-TORY LIMITS OTH-ER E.L. EACH ACCIDENT E.L. DISEASE - EA EMPLOYEE E.L. DISEASE - POLICY LIMIT	$ 1,000,000 $ 1,000,000 $ 1,000,000
B	Errors & Omissions			SGC01990-04	9/12/2013	9/12/2014	Per Occ/Aggregate	$5,000,000
C	Excess Errors & Omissions			US UCS 2656663.13	9/12/2013	9/12/2014	Per Occ/Aggregate	$5,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)
Cook County is included as an additional insured on the General Liability, Automobile Liability, and Umbrella Liability policies with respect to the liability resulting from the operations of the Named Insured as required by written contract. Coverage provided for additional insured is primary and non-contributory with respect to any similar insurance held by an additional insured.

CERTIFICATE HOLDER

Cook County
118 N Clark St., Room 1018
Chicago, IL 60602

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

Francie Mooney/ROBYN

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COMMENTS/REMARKS

Full Named Insured List:

DataBank Holdings, LLC
DataBank IMX, LLC
DataBank Acquisition Corporation
DataBank, Inc.
Information Access Systems, Inc.
IAS Holdings, LLC
Cutting Edge Solutions, Inc.
OSAM Document Solutions, Inc.
OSAM Acquisition, Inc.
eArchives, Inc.
eDocument Resources, LLC
Imaging Solutions, Inc.
Cogniserv, LLC
Advanced Data Systems, Inc.
Advanced Data Systems of Jacksonville, Inc.
Advanced Data Systems of Orlando, Inc.

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Board of Commissioners of Cook County

118 North Clark Street
Chicago, IL

Legislation Details

File #:	14-4204	**Version:**	1	**Name:**	Implementation and maintenance services for Board of Review appeals process automation (DataBank, LLC)
Type:	Contract (Technology)			**Status:**	Approved
File created:	7/7/2014			**In control:**	Board of Commissioners
On agenda:	7/23/2014			**Final action:**	7/23/2014
Title:	PROPOSED CONTRACT (TECHNOLOGY)				

Department(s): Bureau of Technology, in partnership with the Board of Review

Vendor: DataBank IMX, LLC, Chicago, Illinois

Request: Authorization for the Chief Procurement Officer to enter into and execute contract

Good(s) or Service(s): Implementation and maintenance services for Board of Review appeals process automation

Contract Value: $780,660.00

Contract period: 8/1/2014 - 7/31/2017, with two (2) one-year renewal options

Potential Fiscal Year Budget Impact: FY 2014, $200,000.00; FY 2015, $388,660.00; FY 2016, $128,000.00; FY 2017, $64,000.00

Accounts: 717-579; 050-579

Contract Number(s): 1388-12983

Concurrence(s):
The vendor has met the Minority and Women Owned Business Enterprise Ordinance.

The Chief Procurement Officer concurs

Summary: The Bureau of Technology (BOT), in partnership with the Board of Review (BOR), is requesting approval for BOR to enter into a three-year agreement with DataBank, LLC for the purpose of reengineering and automating the BOR appeals process with the OnBase software. BOT will project manage BOR's technology implementation under this contract and support the application once implementation is complete. Request for Proposal (RFP) procedures were followed in accordance with the Cook County Procurement Code.

Currently, the BOR processes thousands of property tax complaints (appeals) per year. These complaints have been gradually and significantly increasing as a result of the housing and economic crisis of the last 10 years. Thousands of complaints are filed in person at one of six locations (downtown and five satellite locations). Though some technology is in use, the majority of the appeals are manually processed. The challenges associated with manually processing thousands of paper files are significant, and the simple task of searching and finding a file can be labor intensive.

Re-engineering the BOR's current state and automating the reengineered processes through the implementation of the OnBase software will allow the BOR to meet its objectives to simplify the online filing process, reduce repetitive work, reduce human error, reduce cost associated with manual work and paper printing, increase overall efficiency and increase transparency to management and the

citizens of Cook County

Sponsors:

Indexes: DAN PATLAK, Commissioner, Board of Review, LARRY R. ROGERS, JR., Commissioner, Board of Review, MICHAEL CABONARGI, Commissioner, Board of Review, SIMONA ROLLINSON, Chief Information Officer, Bureau of Technology

Code sections:

Attachments:

Date	Ver.	Action By	Action	Result
7/23/2014	1	Board of Commissioners	approved	Pass

EXHIBIT 4
Economic Disclosure Statement and Execution Pages

INSTRUCTIONS FOR COMPLETION OF ECONOMIC DISCLOSURE STATEMENT AND EXECUTION DOCUMENT

This Economic Disclosure Statement and Execution Document ("EDS") is to be completed and executed by every Bidder on a County contract, every party responding to a Request for Proposals or Request for Qualifications "(Proposer"), and others as required by the Chief Procurement Officer. If the Undersigned is awarded a contract pursuant to the procurement process for which this EDS was submitted (the "Contract"), this Economic Disclosure Statement and Execution Document shall stand as the Undersigned's execution of the Contract.

Definitions. Capitalized terms used in this EDS and not otherwise defined herein shall have the meanings given to such terms in the Instructions to Bidders, General Conditions, Request for Proposals, Request for Qualifications, or other documents, as applicable.

"Affiliated Entity" means a person or entity that, directly or indirectly: controls the Bidder, is controlled by the Bidder, or is, with the Bidder, under common control of another person or entity. Indicia of control include, without limitation, interlocking management or ownership; identity of interests among family members; shared facilities and equipment; common use of employees; and organization of a business entity following the ineligibility of a business entity to do business with the County under the standards set forth in the Certifications included in this EDS, using substantially the same management, ownership or principals as the ineligible entity.

"Bidder," "Proposer," "Undersigned," or ***"Applicant,"*** is the person or entity executing this EDS. Upon award and execution of a Contract by the County, the Bidder, Proposer, Undersigned or Applicant, as the case may be, shall become the Contractor or Contracting Party.

"Proposal," for purposes of this EDS, is the Undersigned's complete response to an RFP/RFQ, or if no RFQ/RFP was issued by the County, the "Proposal" is such other proposal, quote or offer submitted by the Undersigned, and in any event a "Proposal" includes this EDS .

"Code" means the Code of Ordinances, Cook County, Illinois available through the Cook County Clerk's Office website (http://www.cookctyclerk.com/sub/ordinances.asp). This page can also be accessed by going to www.cookctyclerk.com, clicking on the tab labeled "County Board Proceedings," and then clicking on the link to "Cook County Ordinances."

"Contractor" or ***"Contracting Party"*** means the Bidder, Proposer or Applicant with whom the County has entered into a Contract.

"EDS" means this complete Economic Disclosure Statement and Execution Document, including all sections listed in the Index and any attachments.

"Lobby" or "lobbying" means to, for compensation, attempt to influence a County official or County employee with respect to any County matter.

"Lobbyist" means any person or entity who lobbies.

"Prohibited Acts" means any of the actions or occurrences which form the basis for disqualification under the Code, or under the Certifications hereinafter set forth.

Sections 1 through 3: MBE/WBE Documentation. Sections 1 and 2 must be completed in order to satisfy the requirements of the County's MBE/WBE Ordinance, as set forth in the Contract Documents, if applicable. If the Undersigned believes a waiver is appropriate and necessary, Section 3, the Petition for Waiver of MBE/WBE Participation must be completed.

Section 4: Certifications. Section 4 sets forth certifications that are required for contracting parties under the Code. Execution of this EDS constitutes a warranty that all the statements and certifications contained, and all the facts stated, in the Certifications are true, correct and complete as of the date of execution.

Section 5: Economic and Other Disclosures Statement. Section 5 is the County's required Economic and Other Disclosures Statement form. Execution of this EDS constitutes a warranty that all the information provided in the EDS is true, correct and complete as of the date of execution, and binds the Undersigned to the warranties, representations, agreements and acknowledgements contained therein.

INSTRUCTIONS FOR COMPLETION OF ECONOMIC DISCLOSURE STATEMENT AND EXECUTION DOCUMENT

Sections 6, 7, 8, 9: Execution Forms. The Bidder executes this EDS, and the Contract, by completing and signing three copies of the appropriate Signature Page. Section 6 is the form for a sole proprietor; Section 7 is the form for a partnership or joint venture; Section 8 is the form for a Limited Liability Corporation, and Section 9 is the form for a corporation. Proper execution requires **THREE ORIGINALS**; therefore, the appropriate Signature Page must be filled in, three copies made, and all three copies must be properly signed, notarized and submitted. The forms may be printed and completed by typing or hand writing the information required.

Required Updates. The information provided in this EDS will be kept current. In the event of any change in any information provided, including but not limited to any change which would render inaccurate or incomplete any certification or statement made in this EDS, the Undersigned will supplement this EDS up to the time the County takes action, by filing an amended EDS or such other documentation as is requested.

Additional Information. The County's Governmental Ethics and Campaign Financing Ordinances, impose certain duties and obligations on persons or entities seeking County contracts, work, business, or transactions. For further information please contact the Director of Ethics at (312) 603-4304 (69 W. Washington St. Suite 3040, Chicago, IL 60602) or visit our web-site at www.cookcountygov.com and go to the Ethics Department link. The Bidder must comply fully with the applicable ordinances.

MBE/WBE UTILIZATION PLAN (SECTION 1)

BIDDER/PROPOSER HEREBY STATES that all MBE/WBE firms included in this Plan are certified MBEs/WBEs by at least one of the entities listed in the General Conditions.

I. **BIDDER/PROPOSER MBE/WBE STATUS:** (check the appropriate line)

____ Bidder/Proposer is a certified MBE or WBE firm. (If so, attach copy of appropriate Letter of Certification)

____ Bidder/Proposer is a Joint Venture and one or more Joint Venture partners are certified MBEs or WBEs. (If so, attach copies of Letter(s) of Certification, a copy of Joint Venture Agreement clearly describing the role of the MBE/WBE firm(s) and its ownership interest in the Joint Venture and a completed Joint Venture Affidavit – available from the Office of Contract Compliance)

X Bidder/Proposer is not a certified MBE or WBE firm, nor a Joint Venture with MBE/WBE partners, but will utilize MBE and WBE firms either directly or indirectly in the performance of the Contract. (If so, complete Sections II and III).

II. ☐ **Direct Participation of MBE/WBE Firms** ☐ **Indirect Participation of MBE/WBE Firms**

Where goals have not been achieved through direct participation, Bidder/Proposer shall include documentation outlining efforts to achieve Direct Participation at the time of Bid/Proposal submission. Indirect Participation will only be considered after all efforts to achieve Direct Participation have been exhausted. Only after written documentation of Good Faith Efforts is received will Indirect Participation be considered.

MBEs/WBEs that will perform as subcontractors/suppliers/consultants include the following:

MBE/WBE Firm: The Frances Group, Inc.

Address: 11007 S. Homewood Ave, Chicago, IL

E-mail: cdavis@thefrancesgroup.net

Contact Person: Chanda L. Davis Phone: 773-779-3336

Dollar Amount Participation: $_____

Percent Amount of Participation: _____ %

*Letter of Intent attached? Yes X No _____
*Letter of Certification attached? Yes X No _____

MBE/WBE Firm: _____

Address: _____

E-mail: _____

Contact Person: _____ Phone: _____

Dollar Amount Participation: $_____

Percent Amount of Participation: _____ %

*Letter of Intent attached? Yes _____ No _____
*Letter of Certification attached? Yes _____ No _____

Attach additional sheets as needed.

***Additionally, all Letters of Intent, Letters of Certification and documentation of Good Faith Efforts omitted from this bid/proposal must be submitted to the Office of Contract Compliance so as to assure receipt by the Contract Compliance Administrator not later than three (3) business days after the Bid Opening date.**

COOK COUNTY GOVERNMENT LETTER OF INTENT (SECTION 2)

M/WBE Firm: The Frances Group

Certifying Agency: Cook County

Address: 11007 S. Homewood Ave

Certification Expiration Date: _____

City/State: Chicago, IL Zip 60643

FEIN #: 75-3202909

Phone: 773-233-8199 Fax: 773-233-8199

Contact Person: Chanda L. Davis

Email: cdavis@thefrancesgroup.net

Contract #: RFP# 1388-12983

Participation: [X] Direct [ ] Indirect

Will the M/WBE firm be subcontracting any of the performance of this contract to another firm?

[ ] No [ ] Yes – Please attach explanation. Proposed Subcontractor: _____

The undersigned M/WBE is prepared to provide the following Commodities/Services for the above named Project/ Contract:

IT consulting services related to software installation including business analysis, training, and quality assurance management.

Indicate the **Dollar Amount**, or **Percentage**, and the **Terms of Payment** for the above-described Commodities/ Services:

The Frances Group will provide 35% of the dollar value of this proposal with a Net 30 days from invoice.

(If more space is needed to fully describe M/WBE Firm's proposed scope of work and/or payment schedule, attach additional sheets)

THE UNDERSIGNED PARTIES AGREE that this Letter of Intent will become a binding Subcontract Agreement conditioned upon the Bidder/Proposer's receipt of a signed contract from the County of Cook. The Undersigned Parties do also certify that they did not affix their signatures to this document until all areas under Description of Service/ Supply and Fee/Cost were completed.

chanda l. davis

Signature (*M/WBE*)

Chanda L. Davis

Print Name

The Frances Group, Inc.

Firm Name

June 6, 2014

Date

Subscribed and sworn before me

this 6th day of June, 2014.

Notary Public Patricia A. Daughtry

SEAL

PATRICIA A. DAUGHTRY
NOTARY PUBLIC
STATE OF FLORIDA
Comm# EE204615
Expires 8/23/2016

Signature (*Prime Bidder/Proposer*)

Vince Hanson

Print Name

DataBank

Firm Name

June 6, 2014

Date

Subscribed and sworn before me

this 6th day of June, 2014.

Notary Public Patricia A. Daughtry

SEAL

PATRICIA A. DAUGHTRY
NOTARY PUBLIC
STATE OF FLORIDA
Comm# EE204615
Expires 8/23/2016

PETITION FOR WAIVER OF MBE/WBE PARTICIPATION (SECTION 3)

A. BIDDER/PROPOSER HEREBY REQUESTS:

☐ **FULL MBE WAIVER** ☐ **FULL WBE WAIVER**

☐ **REDUCTION (PARTIAL MBE and/or WBE PARTICIPATION)**

____ % of Reduction for MBE Participation
____ % of Reduction for WBE Participation

B. REASON FOR FULL/REDUCTION WAIVER REQUEST

Bidder/Proposer shall check each item applicable to its reason for a waiver request. Additionally, supporting documentation shall be submitted with this request. If such supporting documentation cannot be submitted with bid/proposal/quotation, such documentation shall be submitted directly to the Office of Contract Compliance no later than three (3) days from the date of submission date.

☐ (1) Lack of sufficient qualified MBEs and/or WBEs capable of providing the goods or services required by the contract. **(Please explain)**

☐ (2) The specifications and necessary requirements for performing the contract make it impossible or economically infeasible to divide the contract to enable the contractor to utilize MBEs and/or WBEs in accordance with the applicable participation. **(Please explain)**

☐ (3) Price(s) quoted by potential MBEs and/or WBEs are above competitive levels and increase cost of doing business and would make acceptance of such MBE and/or WBE bid economically impracticable, taking into consideration the percentage of total contract price represented by such MBE and/or WBE bid. **(Please explain)**

☐ (4) There are other relevant factors making it impossible or economically infeasible to utilize MBE and/or WBE firms. **(Please explain)**

C. GOOD FAITH EFFORTS TO OBTAIN MBE/WBE PARTICIPATION

☐ (1) Made timely written solicitation to identified MBEs and WBEs for utilization of goods and/or services; and provided MBEs and WBEs with a timely opportunity to review and obtain relevant specifications, terms and conditions of the proposal to enable MBEs and WBEs to prepare an informed response to solicitation. **(Please attach)**

☐ (2) Followed up initial solicitation of MBEs and WBEs to determine if firms are interested in doing business. **(Please attach)**

☐ (3) Advertised in a timely manner in one or more daily newspapers and/or trade publication for MBEs and WBEs for supply of goods and services. **(Please attach)**

☐ (4) Used the services and assistance of the Office of Contract Compliance staff. **(Please explain)**

☐ (5) Engaged MBEs & WBEs for indirect participation. **(Please explain)**

D. OTHER RELEVANT INFORMATION

Attach any other documentation relative to Good Faith Efforts in complying with MBE/WBE participation.

CERTIFICATIONS (SECTION 4)

THE FOLLOWING CERTIFICATIONS ARE MADE PURSUANT TO STATE LAW AND THE CODE. THE UNDERSIGNED IS CAUTIONED TO CAREFULLY READ THESE CERTIFICATIONS PRIOR TO SIGNING THE SIGNATURE PAGE. SIGNING THE SIGNATURE PAGE SHALL CONSTITUTE A WARRANTY BY THE UNDERSIGNED THAT ALL THE STATEMENTS, CERTIFICATIONS AND INFORMATION SET FORTH WITHIN THESE CERTIFICATIONS ARE TRUE, COMPLETE AND CORRECT AS OF THE DATE THE SIGNATURE PAGE IS SIGNED. THE UNDERSIGNED IS NOTIFIED THAT IF THE COUNTY LEARNS THAT ANY OF THE FOLLOWING CERTIFICATIONS WERE FALSELY MADE, THAT ANY CONTRACT ENTERED INTO WITH THE UNDERSIGNED SHALL BE SUBJECT TO TERMINATION.

A. PERSONS AND ENTITIES SUBJECT TO DISQUALIFICATION

No person or business entity shall be awarded a contract or sub-contract, for a period of five (5) years from the date of conviction or entry of a plea or admission of guilt, civil or criminal, if that person or business entity:

1) Has been convicted of an act committed, within the State of Illinois, of bribery or attempting to bribe an officer or employee of a unit of state, federal or local government or school district in the State of Illinois in that officer's or employee's official capacity;

2) Has been convicted by federal, state or local government of an act of bid-rigging or attempting to rig bids as defined in the Sherman Anti-Trust Act and Clayton Act. Act. 15 U.S.C. Section 1 *et seq.;*

3) Has been convicted of bid-rigging or attempting to rig bids under the laws of federal, state or local government;

4) Has been convicted of an act committed, within the State, of price-fixing or attempting to fix prices as defined by the Sherman Anti-Trust Act and the Clayton Act. 15 U.S.C. Section 1, *et seq.;*

5) Has been convicted of price-fixing or attempting to fix prices under the laws the State;

6) Has been convicted of defrauding or attempting to defraud any unit of state or local government or school district within the State of Illinois;

7) Has made an admission of guilt of such conduct as set forth in subsections (1) through (6) above which admission is a matter of record, whether or not such person or business entity was subject to prosecution for the offense or offenses admitted to; or

8) Has entered a plea of *nolo contendere* to charge of bribery, price-fixing, bid-rigging, or fraud, as set forth in sub-paragraphs (1) through (6) above.

In the case of bribery or attempting to bribe, a business entity may not be awarded a contract if an official, agent or employee of such business entity committed the Prohibited Act on behalf of the business entity and pursuant to the direction or authorization of an officer, director or other responsible official of the business entity, and such Prohibited Act occurred within three years prior to the award of the contract. In addition, a business entity shall be disqualified if an owner, partner or shareholder controlling, directly or indirectly, 20 % or more of the business entity, or an officer of the business entity has performed any Prohibited Act within five years prior to the award of the Contract.

THE UNDERSIGNED HEREBY CERTIFIES THAT: The Undersigned has read the provisions of Section A, Persons and Entities Subject to Disqualification, that the Undersigned has not committed any Prohibited Act set forth in Section A, and that award of the Contract to the Undersigned would not violate the provisions of such Section or of the Code.

B. BID-RIGGING OR BID ROTATING

THE UNDERSIGNED HEREBY CERTIFIES THAT: *In accordance with 720 ILCS 5/33 E-11, neither the Undersigned nor any Affiliated Entity is barred from award of this Contract as a result of a conviction for the violation of State laws prohibiting bid-rigging or bid rotating.*

C. DRUG FREE WORKPLACE ACT

THE UNDERSIGNED HEREBY CERTIFIES THAT: The Undersigned will provide a drug free workplace, as required by Public Act 86-1459 (30 ILCS 580/2-11).

D. DELINQUENCY IN PAYMENT OF TAXES

THE UNDERSIGNED HEREBY CERTIFIES THAT: *The Undersigned is not an owner or a party responsible for the payment of any tax or fee administered by Cook County, by a local municipality, or by the Illinois Department of Revenue, which such tax or fee is delinquent, such as bar award of a contract or subcontract pursuant to the Code, Chapter 34, Section 34-129.*

E. HUMAN RIGHTS ORDINANCE

No person who is a party to a contract with Cook County ("County") shall engage in unlawful discrimination or sexual harassment against any individual in the terms or conditions of employment, credit, public accommodations, housing, or provision of County facilities, services or programs (Code Chapter 42, Section 42-30 *et seq*).

F. ILLINOIS HUMAN RIGHTS ACT

THE UNDERSIGNED HEREBY CERTIFIES THAT: *It is in compliance with the the Illinois Human Rights Act (775 ILCS 5/2-105), and agrees to abide by the requirements of the Act as part of its contractual obligations.*

G. MACBRIDE PRINCIPLES, CODE CHAPTER 34, SECTION 34-132

If the primary contractor currently conducts business operations in Northern Ireland, or will conduct business during the projected duration of a County contract, the primary contractor shall make all reasonable and good faith efforts to conduct any such business operations in Northern Ireland in accordance with the MacBride Principles for Northern Ireland as defined in Illinois Public Act 85-1390.

H. LIVING WAGE ORDINANCE PREFERENCE (COOK COUNTY CODE, CHAPTER 34, SECTION 34-127;

The Code requires that a living wage must be paid to individuals employed by a Contractor which has a County Contract and by all subcontractors of such Contractor under a County Contract, throughout the duration of such County Contract. The amount of such living wage is determined from time to time by, and is available from, the Chief Financial Officer of the County.

For purposes of this EDS Section 4, H, "Contract" means any written agreement whereby the County is committed to or does expend funds in connection with the agreement or subcontract thereof. The term "Contract" as used in this EDS, Section 4, I, specifically excludes contracts with the following:

1) Not-For Profit Organizations (defined as a corporation having tax exempt status under Section 501(C)(3) of the United State Internal Revenue Code and recognized under the Illinois State not-for -profit law);

2) Community Development Block Grants;

3) Cook County Works Department;

4) Sheriff's Work Alternative Program; and

5) Department of Correction inmates.

REQUIRED DISCLOSURES (SECTION 5)

1. DISCLOSURE OF LOBBYIST CONTACTS

List all persons or entities that have made lobbying contacts on your behalf with respect to this contract:

Name	Address
NONE	

2. LOCAL BUSINESS PREFERENCE DISCLOSURE; CODE, CHAPTER 34, SECTION 34-151(p);

"Local Business" shall mean a person authorized to transact business in this State and having a bona fide establishment for transacting business located within Cook County at which it was actually transacting business on the date when any competitive solicitation for a public contract is first advertised or announced and further which employs the majority of its regular, full time work force within Cook County, including a foreign corporation duly authorized to transact business in this State and which has a bona fide establishment for transacting business located within Cook County at which it was actually transacting business on the date when any competitive solicitation for a public contract is first advertised or announced and further which employs the majority of its regular, full time work force within Cook County.

a) Is Bidder a "Local Business" as defined above?

Yes: x No: _____

b) If yes, list business addresses within Cook County:

65 E. Wacker Place, Suite 330

Chicago, IL 60601

c) Does Bidder employ the majority of its regular full-time workforce within Cook County?

Yes: _____ No: x

3. THE CHILD SUPPORT ENFORCEMENT ORDINANCE (PREFERENCE (CODE, CHAPTER 34, SECTION 34-366)

Every Applicant for a County Privilege shall be in full compliance with any child support order before such Applicant is entitled to receive or renew a County Privilege. When delinquent child support exists, the County shall not issue or renew any County Privilege, and may revoke any County Privilege.

All Applicants are required to review the Cook County Affidavit of Child Support Obligations attached to this EDS (EDS-8) and complete the following, based upon the definitions and other information included in such Affidavit.

4. **REAL ESTATE OWNERSHIP DISCLOSURES.**

The Undersigned must indicate by checking the appropriate provision below and providing all required information that either:

a) The following is a complete list of all real estate owned by the Undersigned in Cook County:

PERMANENT INDEX NUMBER(S): _____

_____

_____

(ATTACH SHEET IF NECESSARY TO LIST ADDITIONAL INDEX NUMBERS)

OR:

b) _X_ The Undersigned owns no real estate in Cook County.

5. **EXCEPTIONS TO CERTIFICATIONS OR DISCLOSURES.**

If the Undersigned is unable to certify to any of the Certifications or any other statements contained in this EDS and not explained elsewhere in this EDS, the Undersigned must explain below:

_____

N/A

If the letters, "NA", the word "None" or "No Response" appears above, or if the space is left blank, it will be conclusively presumed that the Undersigned certified to all Certifications and other statements contained in this EDS.

Ownership Interest Declaration:

1. List the name(s), address, and percent ownership of each individual and each Entity having a legal or beneficial interest (including ownership) of more than five percent (5%) in the Applicant/Holder.

Name	Address	Percentage Interest in Applicant/Holder
Svoboda Capitol	Chicago, IL	70%
Charles Bauer	Melbourne, FL	10%
Richard Aschman	Laconia, NH	10%

2. If the interest of any individual or any Entity listed in (1) above is held as an agent or agents, or a nominee or nominees, list the name and address of the principal on whose behalf the interest is held.

Name of Agent/Nominee	Name of Principal	Principal's Address

3. Is the Applicant constructively controlled by another person or Legal Entity? [ ] Yes [x] No

If yes, state the name, address and percentage of beneficial interest of such person or legal entity, and the relationship under which such control is being or may be exercised.

Name	Address	Percentage of Beneficial Interest	Relationship

Declaration (check the applicable box):

[ ] I state under oath that the Applicant has withheld no disclosure as to ownership interest in the Applicant nor eserved any information, data or plan as to the intended use or purpose for which the Applicant seeks County Board or other County Agency action.

[ ] I state under oath that the Holder has withheld no disclosure as to ownership interest nor reserved any information required to be disclosed.

Vince Hanson
Name of Authorized Applicant/Holder Representative (please print or type)

V.P. Sales & Marketing
Title

Signature

June 6, 2014
Date

vhanson@databankimx.com
E-mail address

407-839-1477
Phone Number

Subscribed to and sworn before me
this 6th day of June, 2014

x Patricia A. Daughtry
Notary Public Signature

My commission expires:

PATRICIA A. DAUGHTRY
NOTARY PUBLIC
STATE OF FLORIDA
Comm# EE204615
Expires 8/23/2016

Notary Seal

COOK COUNTY BOARD OF ETHICS
69 W. WASHINGTON STREET, SUITE 3040
CHICAGO, ILLINOIS 60602
312/603-4304
312/603-9988 FAX 312/603-1011 TT/TDD

FAMILIAL RELATIONSHIP DISCLOSURE PROVISION:

Section 2-582 of the Cook County Ethics Ordinance requires any person or persons doing business with Cook County, upon execution of a contract with Cook County, to disclose to the Cook County Board of Ethics the existence of familial relationships they may have with all persons holding elective office in the State of Illinois, the County of Cook, or in any municipality within the County of Cook.

The disclosure required by this section shall be filed by January 1 of each calendar year or within thirty (30) days of the execution of any contract or lease. Any person filing a late disclosure statement after January 31 shall be assessed a late filing fee of $100.00 per day that the disclosure is late. Any person found guilty of violating any provision of this section or knowingly filing a false, misleading, or incomplete disclosure to the Cook County Board of Ethics shall be prohibited, for a period of three (3) years, from engaging, directly or indirectly, in any business with Cook County. *Note*: Please see Chapter 2 Administration, Article VII Ethics, Section 2-582 of the Cook County Code to view the full provisions of this section.

If you have questions concerning this disclosure requirement, please call the Cook County Board of Ethics at (312) 603-4304.
Note: A current list of contractors doing business with Cook County is available via the Cook County Board of Ethics' website at:
http://www.cookcountygov.com/taxonomy/ethics/Listings/cc_ethics_VendorList_.pdf

DEFINITIONS:

"*Calendar year*" means January 1 to December 31 of each year.

"*Doing business*" for this Ordinance provision means any one or any combination of leases, contracts, or purchases to or with Cook County or any Cook County agency in excess of $25,000 in any calendar year.

"*Familial relationship*" means a person who is related to an official or employee as spouse or any of the following, whether by blood, marriage or adoption:

- Parent
- Child
- Brother
- Sister
- Aunt
- Uncle
- Niece
- Nephew
- Grandparent
- Grandchild
- Father-in-law
- Mother-in-law
- Son-in-law
- Daughter-in-law
- Brother-in-law
- Sister-in-law
- Stepfather
- Stepmother
- Stepson
- Stepdaughter
- Stepbrother
- Stepsister
- Half-brother
- Half-sister

"*Person*" means any individual, entity, corporation, partnership, firm, association, union, trust, estate, as well as any parent or subsidiary of any of the foregoing, and whether or not operated for profit.

SIGNATURE BY A LIMITED LIABILITY CORPORATION
(SECTION 8)

The Undersigned hereby certifies and warrants: that all of the statements, certifications, and representations set forth in this EDS are true, complete and correct; that the Undersigned is in full compliance and will continue to be in compliance throughout the term of the Contract or County Privilege issued to the Undersigned with all the policies and requirements set forth in this EDS; and that all of the facts and information provided by the Undersigned in this EDS are true, complete and correct. The Undersigned agrees to inform the Procurement Director in writing if any of such statements, certifications, representations, facts or information becomes or is found to be untrue, incomplete or incorrect during the term of the Contract or County Privilege.

BUSINESS NAME: DataBank IMX, LLC

BUSINESS ADDRESS: 620 Freedom Business Center, Suite 120, King of Prussia, PA 19406

BUSINESS TELEPHONE: 610-233-0251 FAX NUMBER: _____

CONTACT PERSON: Vince Hanson

FEIN: 25-1921937 * CORPORATE FILE NUMBER: 01643924

MANAGING MEMBER: Vince Hanson MANAGING MEMBER: _____

**SIGNATURE OF MANAGER: _____

ATTEST: _____

Subscribed and sworn to before me this

3rd day of July, 20 14.

x Patricia A Daughtry
Notary Public Signature

PATRICIA A. DAUGHTRY
NOTARY PUBLIC
STATE OF FLORIDA
Comm# EE204615
Expires 8/23/2016

_____
Notary Seal

* **If the LLC is not registered in the State of Illinois, a copy of a current Certificate of Good Standing from the state of incorporation must be submitted with this Signature Page.**

** **Attach either a certified copy of the by-laws, articles, resolution or other authorization demonstrating such persons to sign the Signature Page on behalf of the LLC.**

COOK COUNTY SIGNATURE PAGE
(SECTION 10)

ON BEHALF OF THE COUNTY OF COOK, A BODY POLITIC AND CORPORATE OF THE STATE OF ILLINOIS, THIS CONTRACT IS HEREBY EXECUTED BY:

Shan G. M

COOK COUNTY CHIEF PROCUREMENT OFFICER

DATED AT CHICAGO, ILLINOIS THIS 29 DAY OF July ,20 14.

IN THE **CASE OF A BID PROPOSAL**, THE COUNTY HEREBY ACCEPTS:

THE FOREGOING BID/PROPOSAL AS IDENTIFIED IN THE CONTRACT DOCUMENTS FOR CONTRACT NUMBER
1388-12983

OR

ITEM(S), SECTION(S), PART(S):

TOTAL AMOUNT OF CONTRACT: $ $780,660.00
(DOLLARS AND CENTS)

FUND CHARGEABLE: 71700050.560451.8300

APPROVED BY THE BOARD OF
COOK COUNTY COMMISSIONERS

JUL 23 2014

COM

APPROVED AS TO FORM:
NOT REQUIRED

ASSISTANT STATE'S ATTORNEY
(Required on contracts over $1,000,000.00)