Contract No. 1388-12983
Vendor Name: Databank IMX , LLC

AMENDMENT NO. 1

This Amendment modifies Contract No.1388-12983, for RE-ENGINEERING AND ONBASE SYSTEM IMPLEMENTATION by and between the County of Cook, Illinois, herein referred to as "County" and Databank IMX, LLC, authorized to do business in the State of Illinois hereinafter referred to as "Contractor":

RECITALS

Whereas, the County and Contractor have entered into a Contract approved by the County Board on July 23, 2014 (hereinafter referred to as the "Contract"), wherein the Contractor is to provide RE-ENGINEERING AND ONBASE SYSTEM IMPLEMENTATION (hereinafter referred to as the "Services") from August 1, 2014 through July 31, 2016, in an amount not to exceed $780,660.00; and

Whereas, the County and Contractor entered into a Contract for Re-engineering and OnBase System Implementation for the Board of Review; and

Whereas, Article 10 (c) "Modifications and Amendments" of the Contract provides that the parties, may make modifications and amendments to the Contract; and

Whereas, Exhibit 1, Scope of Services/Compensation, Section 2, Business Goals and Objectives, of the Contract provides that the Contractor shall implement an on premise OnBase solution that is scalable enough to accommodate users countywide in the future; and

Whereas, the Cook County Treasurer's Office desires to implement an OnBase solution to develop a Tax Research Case Management Solution; and

Whereas, the County desires to amend the contract to include the scope for the Tax Research Database Project; and

Whereas, an increase in the amount of $308,316.14 is required for these Services and was agreed upon between the Contractor and the Cook County Treasurer's Office.

Now therefore, in consideration of mutual covenants contained herein, it is agreed by and between the parties to amend the Contract as follows:

1. Exhibit A of this Amendment, "Cook County Treasurer's Office Scope of Work, Tax Research Database Project" is hereby incorporated and made a part of the Contract as Exhibit 1-A.
2. Exhibit B of this Amendment "Special Conditions" is hereby incorporated and made a part of the Contract as Exhibit 5.
3. The Contract is increased by $308,316.14 and the Total Contract Amount is revised to $1,088,976.14.
4. All other terms and conditions remain as stated in the Contract.

In witness whereof, the County and Contractor have caused this Amendment No. 1 to be executed on the date and year last written below.

APPROVED BY BOARD OF
COOK COUNTY COMMISSIONERS
FEB 1 0 2015

County of Cook, Illinois

By: [signature]
Chief Procurement Officer

By: Kathy McKee
State's Attorney (when applicable)

Date: 17 February 2015

DATABANK IMX, LLC

[signature], SVP
Signed

Richard E. Lane
Type or print name

Area Senior Vice President
Title

Date: 2/4/2014

Rev 5/2/14

DataBank®

December 16, 2014

Renee Milton, M.A., CPPB
Senior Contract Negotiator
Cook County
Office of the Chief Procurement Officer
118 N. Clark Street, Suite 1018
Chicago, IL 60602

RE: Cook County Contract No. 1388-12983

Dear Ms. Renee Milton,

Pursuant to a Board resolution and with the authority as an officer and CEO of the Company, I authorize Rich Lane to sign any and all documents necessary to bind DataBank IMX, LLC to contract amendments or any other related documents associated to Cook County contract number 1388-12983.

In addition, please mail or e-mail all future proposed contract amendments and related documents to:

Attention: Rich Lane
DataBank IMX, LLC
65 E. Wacker Place, Suite 330
Chicago, IL 60601
rlane@databankimx.com

Sincerely,

Chuck Bauer
Co-founder & CEO
DataBank IMX, LLC

ECONOMIC DISCLOSURE STATEMENT AND EXECUTION DOCUMENT INDEX

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.

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. [X] **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: 9901 South Western Ave Suite 205 Chicago, IL 60643

E-mail: cdavis@thefrancesgroup.net

Contact Person: Chanda L. Davis Phone: 773-233-8199

Dollar Amount Participation: $_____

Percent Amount of Participation: 35% of the professional services %

*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 <u>must</u> 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, Inc

Certifying Agency: Cook County

Address: 9901 South Wester Ave Suite 205

Certification Expiration Date: July 18, 2015

City/State: Chicago, IL Zip 60643

FEIN #: 75-3207909

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

Contact Person: Chanda L. Davis

Email: cdavis@thefrancesgroup.net

Contract #: 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:

The Frances Group will provide Project Management, User Acceptance Testing, Training, Development & Configuration, Go Live Support and Data Conversion.

R.C. 1/6/15

1/6/1

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

The Frances Group, Inc will provide 35% of the dollar value of this contract related to professional services with a Net 30 days from invoice.

35% ot

(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.

Signature (M/WBE)	Signature (*Prime Bidder/Proposer*)
Chanda L. Davis	Rich E. Lane
Print Name	Print Name
The Frances Group, Inc	Databank IMX, LLC
Firm Name	Firm Name
12/11/2014	12/11/2014
Date	Date

Subscribed and sworn before me this 11 day of Dec, 2014
Notary Public Wendy Turner
SEAL

OFFICIAL SEAL
WENDY M. TURNER
Notary Public - State of Illinois
My Commission Expires Mar 24, 2015

Subscribed and sworn before me this 11 day of Dec, 2014
Notary Public Wendy Turner
SEAL

OFFICIAL SEAL
WENDY M. TURNER
Notary Public - State of Illinois
My Commission Expires Mar 24, 2015

OFFICE OF CONTRACT COMPLIANCE
JACQUELINE GOMEZ
DIRECTOR
118 N. Clark, County Building, Room 1020 • Chicago, Illinois 60602 • (312) 603-5502

July 18, 2014

Ms. Chanda L. Davis, President
The Frances Group, Inc.
9901 South Western Avenue, Suite 205
Chicago, IL 60643

Re: **Annual Certification Expires: July 18, 2015**

Dear Ms. Davis:

We are pleased to inform you that The Frances Group, Inc. has been certified as a **Minority-owned Business Enterprise (MBE) and Women-owned Business Enterprise (WBE)** by Cook County Government. This certification is valid until **July 18, 2019**; however, you must re-validate your firms' certification annually.

As a condition of continued Certification during this five (5) year term, you must file a **"No Change Affidavit" within sixty (60) business days prior to the date of Annual Certification Expiration.** Failure to file this Affidavit shall result in the termination of your Certification. You must notify Cook County Government's Office of Contract Compliance of any change in ownership or control or any other matters or facts affecting your firm's eligibility for Certification within **fifteen (15) business days** of such change.

Cook County Government may commence action to remove your firm as a **MBE/WBE** vendor if you fail to notify us of any changes of facts affecting your firm's Certification, or if your firm otherwise fails to cooperate with the County in any inquiry or investigation. Removal of status may also be commenced if your firm is found to be involved in bidding or contractual irregularities.

Your firm's name will be listed in Cook County's Directory of certified firms in the following area(s) of specialty:

Technology: Project Management, Network Installation & Configuration, Software Installation and Training

Your firm's participation on Cook County contracts will be credited toward **MBE** and/or **WBE** goals in your area(s) of specialty. While your participation on Cook County contracts is not limited to your specialty, credit toward **MBE** and/or **WBE** goals will be given only for work performed in the specialty category.

Thank you for your continued interest in Cook County Government's Minority, Women, Veteran, and Service-Disabled Veteran Business Enterprise Programs.

Sincerely,

Jacqueline Gomez
Contract Compliance Director
JG/lar

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.

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 East Wacker Place Suite 330
Chicago, IL60601

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.

COOK COUNTY DISCLOSURE OF OWNERSHIP INTEREST STATEMENT

The Cook County Code of Ordinances (§2-610 *et seq.*) requires that any Applicant for any County Action must disclose information concerning ownership interests in the Applicant. This Disclosure of Ownership Interest Statement must be completed with all information current as of the date this Statement is signed. Furthermore, this Statement must be kept current, by filing an amended Statement, until such time as the County Board or County Agency shall take action on the application. The information contained in this Statement will be maintained in a database and made available for public viewing.

If you are asked to list names, but there are no applicable names to list, you must state NONE. An incomplete Statement will be returned and any action regarding this contract will be delayed. A failure to fully comply with the ordinance may result in the action taken by the County Board or County Agency being voided.

"*Applicant*" means any Entity or person making an application to the County for any County Action.

"*County Action*" means any action by a County Agency, a County Department, or the County Board regarding an ordinance or ordinance amendment, a County Board approval, or other County agency approval, with respect to contracts, leases, or sale or purchase of real estate.

"*Entity*" or "*Legal Entity*" means a sole proprietorship, corporation, partnership, association, business trust, estate, two or more persons having a joint or common interest, trustee of a land trust, other commercial or legal entity or any beneficiary or beneficiaries thereof.

This Disclosure of Ownership Interest Statement must be submitted by :

1. An Applicant for County Action and

2. An individual or Legal Entity that holds stock or a beneficial interest in the Applicant and is listed on the Applicant's Statement (a "Holder") must file a Statement and complete #1 only under **Ownership Interest Declaration**.

Please print or type responses clearly and legibly. Add additional pages if needed, being careful to identify each portion of the form to which each additional page refers.

This Statement is being made by the [X] Applicant or [ ] Stock/Beneficial Interest Holder

This Statement is an: [X] Original Statement or [ ] Amended Statement

Identifying Information:

Name: DataBank IMX, LLC D/B/A: DataBank EIN NO.: 25-1921937

Street Address: 65 East Wacker Place

City: Chicago State: IL Zip Code: 60601

Phone No.: 312-284-2480

Form of Legal Entity:

[ ] Sole Proprietor [ ] Partnership [X] Corporation [ ] Trustee of Land Trust

[ ] Business Trust [ ] Estate [ ] Association [ ] Joint Venture

[ ] Other (describe) ____________

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 Capital	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.

Rich E. Lane
Name of Authorized Applicant/Holder Representative (please print or type)

Area-Senior Vice President Midwest Region
Title

Signature

12/11/2014
Date

rlane@databankimx.com
E-mail address

312-284-2480
Phone Number

Subscribed to and sworn before me
this 11 day of Dec, 2014

x Wendy Turner
Notary Public Signature

My commission expires:

OFFICIAL SEAL
WENDY M. TURNER
Notary Public - State of Illinois
My Commission Expires Mar 24, 2015

Notary Seal

SWORN FAMILIAL RELATIONSHIP DISCLOSURE FORM

Pursuant to Section 2-582 of the Cook County Ethics Ordinance, any *person* doing business** with Cook County must disclose, to the Cook County Board of Ethics, the existence of *familial relationships** to any person holding elective office in the State of Illinois, Cook County, or in any municipality within Cook County. Please print your responses.

Name of Owner/Employee: Richard E. Lane Title: Area Senior Vice President

Business Entity Name: DataBank IMX Phone: 312-284-2480

Business Entity Address: 65 E. Wacker Place, Suite 5300, Chicago, IL 60622

_____ The following familial relationship exists between the owner or any employee of the business entity contracted to do business with Cook County ***and*** any person holding elective office in the State of Illinois, Cook County, or in any municipality within Cook County.

Owner/Employee Name:	Related to:	Relationship:
1.		
2.		
3.		
4.		
5.		

If more space is needed, attach an additional sheet following the above format.

✓ There is ***no*** familial relationship that exists between the owner or any employee of the business entity contracted to do business with Cook County and any person holding elective office in the State of Illinois, Cook County, or in any municipality within Cook County.

To the best of my knowledge and belief, the information provided above is true and complete.

MSL
Owner/Employee's Signature

1/21/2015
Date

Subscribe and sworn before me this 21 Day of January, 2015

a Notary Public in and for Cook County

"This is an original document"
x MSL

(Signature)

State of Illinois - County of Cook
Signed and attested before me on 1-21-2015 (Date) by RICHARD E LANE

NOTARY PUBLIC SEAL

"OFFICIAL SEAL"
S. SHAH
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 11/16/2015

My Commission expires 11.16.2015

Completed forms must be filed within 30 days of the execution of any contract or lease with Cook County and should be mailed to:

Cook County Board of Ethics
69 West Washington Street,
Suite 3040
Chicago, Illinois 60602

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: 65 East Wacker Place, Suite 330 Chicago, IL 60601

BUSINESS TELEPHONE: 312-284-2480 FAX NUMBER: 312-284-2483

CONTACT PERSON: Rich E. Lane

FEIN: 25-1921937 * CORPORATE FILE NUMBER: 06143924

MANAGING MEMBER: Rich E. Lane MANAGING MEMBER: ____________

**SIGNATURE OF MANAGER: ____________

ATTEST: ____________

Subscribed and sworn to before me this

11 day of Dec, 20 14.

X Wendy Turner
Notary Public Signature

OFFICIAL SEAL
WENDY M. TURNER
Notary Public - State of Illinois
My Commission Expires Mar 24, 2015

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.**

EXHIBIT A

Cook County Treasurer's Office
Scope of Work
Tax Research Database Project

EXHIBIT A

Cook County Treasurer's Office
Scope of Work
Tax Research Database Project

Presented To:

Cook County Treasurer's Office
Cook County Illinois
Attention – Christopher Baran – Information Technology
R. Steve Edmonson – Chief Information Officer
118 North Clark Street, Room 222
Chicago, IL 60602

Presented by:

DataBank, LLC
Rich Lane
Midwest Region
Chicago, IL
312-284-2480 office
312-953-9808 cell

Monday, September 29, 2014

www.databankimx.com
rlane@databankimx.com

Table of Contents

Executive Summary

This proposal provides a detailed overview of the scope of the Cook County Treasurer's Tax Research Case Management Solution. The stated goals for implementing this solution are as follows:

1. By replacing paper based processes with stable and tested paperless processing technologies, cases can be researched and resolved more efficiently;
2. A combination of portal and electronic communication technologies will greatly improve constituent service;
3. A unified repository of supporting documents and data will reduce staff time in researching constituent questions;
4. The use of automated redaction technologies and industry standard records management controls will dramatically improve the security and compliance of records; and
5. The use of automated workflow will provide process improvement by enforcing business rules and providing timers and reminders.

The Treasurer's office plans to leverage the OnBase solution platform which has been selected by Cook County as the standard Enterprise Content Management platform for the County. By utilizing this platform the Treasurer's office intends to develop a foundation upon which additional phases and solutions can be developed.

Starting with the tax research function, it is envisioned that the solution will be expanded to address refunds processing, eDiscovery/FOIA and back office content management. The Treasurer's office utilizing OnBase as a content platform is capable of deploying numerous additional solutions on this same platform leveraging this technology investment and reducing disparate systems and technologies.

Major Components of the Treasurer's Solution

Scanning and Document Management – At the counters when constituents interact with staff, Treasurer staff will have access to existing documents and the capability of accepting and scanning documents right at the counter. Rather than making copies of ID cards, staff can scan the card and any supporting documents right at the counter returning them to the constituent along with a receipt indicating what documents were provided. If additional documents are required, the appeal can be pended and a check list provided to the constituent to return with the additional documents.

Process Automation – Each type of case has a specific business process associated with the area that leads the research and the content and documents that are reviewed. As part of the project, staff will re-engineer the existing processes to take advantage of the paperless routing and approval technologies eliminating paper files and improving the efficiency of the process.

Case Management – DataBank will be providing a comprehensive Case Management application with notes and document integration features that will work within the Business Process automation tool. This will allow staff to capture emails, conversations, research documents and responses to cases. Cases will be dynamically created as forms and requests are processed and supporting documents will be automatically foldered and integrated to the case records.

Constituent Portal – Communication with the constituent will be managed electronically through the portal so that constituents can add supporting documents and information, view status information about cases and submit and receive documents and correspondence about their case on-line via the portal.

Intranet Portal Integration – The Treasurer's office has developed several research tools which will be leveraged in this solution by integrating the document and content management technologies with intranet research and data solutions already in place. The Intranet will become a front end tool for the OnBase functionality and provide to users a seamless document and information access experience. By integrating these existing systems the transition to the new paperless technologies will be an easier adjustment and training costs and the staff learning curve will be minimized.

High Level Project Time Line

Project Start Date: November 2nd

Major Milestones	Milestone Date
Project Kick-off	November 3, 2014
Create Statement of Requirements	November 24, 2014
MVP Defined	December 18, 2014
OnBase Installation Completed	December 19, 2014
Release 1	February 9, 2015
Release 2	April 13, 2015
Release 3	May 25, 2015
User Training	June 29, 2015
Go Live	July 6, 2015

ID	Name	Duration	Start	Finish
1	**Award and Agree to Contract**	**20 days**	**Tuesday, September 30, 2014**	**Monday, October 20, 2014**
2	Award Contract	2 wks	Tuesday, September 30, 2014	Tuesday, October 14, 2014
3	Sign Contract Extension for Treasurer's Office	2 wks	Tuesday, October 14, 2014	Tuesday, October 28, 2014
4	**Formal Discovery and Kickoff**	**5 days**	**Monday, November 03, 2014**	**Friday, November 07, 2014**
5	Project Kickoff	1 Days	Monday, November 03, 2014	Tuesday, November 04, 2014
6	Business/User Requirement Validation	4 Days	Tuesday, November 04, 2014	Friday, November 07, 2014
7	Technical/Architectural Requirements Validation	4 Days	Tuesday, November 04, 2014	Friday, November 07, 2014
8	User Story Workshop	4 Days	Tuesday, November 04, 2014	Friday, November 07, 2014
9	**Solution Architecting**	**10 days**	**Monday, November 10, 2014**	**Monday, November 24, 2014**
10	Review approved "Future State" business and technical requirements	2 days	Monday, November 10, 2014	Wednesday, November 12, 2014
11	Identify gaps (if any) associated with requirements documentation	2 days	Thursday, November 13, 2014	Friday, November 14, 2014
12	Correspond with Cook County to clarify outstanding questions, assumptions and details	5 days	Monday, November 10, 2014	Monday, November 17, 2014
13	Create initial prototype of proposed solution design	3 days	Thursday, November 13, 2014	Monday, November 17, 2014
14	Create Project Backlog	4 days	Tuesday, November 18, 2014	Monday, November 24, 2014
15	Create Statement of Requirements (SOR)	10 days	Monday, November 10, 2014	Monday, November 24, 2014
16	**Solution Documentation Delivery, Walkthrough and Approval**	**8 days**	**Tuesday, November 25, 2014**	**Friday, December 05, 2014**
17	Documentation Delivery and Walkthrough	2 days	Tuesday, November 25, 2014	Thursday, November 27, 2014
18	Exchange of edit requests and replies	1 wk	Tuesday, November 25, 2014	Tuesday, December 02, 2014
19	Approve SOR and Project Backlog	1 day	Wednesday, December 03, 2014	Thursday, December 04, 2014
20	Close out Initial Discovery Phase	1 day	Thursday, December 04, 2014	Friday, December 05, 2014
21	**Iteration Zero**	**5 days**	**Monday, December 08, 2014**	**Thursday, December 18, 2014**

22	Define MVP	3 days	Monday, December 08, 2014	Thursday, December 11, 2014
23	Release Planning	5 days	Monday, December 08, 2014	Monday, December 15, 2014
24	Iteration Planning	5 days	Monday, December 08, 2014	Monday, December 15, 2014
25	Backlog Grooming	5 days	Tuesday, December 09, 2014	Thursday, December 18, 2014
26	**Architecture Sprint**	**7 days**	**Monday, December 08, 2014**	**Friday, December 19, 2014**
27	Stand Up Environments	7 days	Monday, December 08, 2014	Wednesday, December 17, 2014
28	Server Installation	7 days	Monday, December 08, 2014	Thursday, December 18, 2014
29	Connectivity	7 days	Tuesday, December 09, 2014	Friday, December 19, 2014
30	Install OnBase	7 days	Tuesday, December 09, 2014	Friday, December 19, 2014
31	Basic Testing	7 days	Tuesday, December 09, 2014	Friday, December 19, 2014
32	**Sprint 1**	**15 days**	**Monday, December 22, 2014**	**Friday, January 16, 2015**
33	Sprint Planning	4 hrs	Monday, December 22, 2014	Tuesday, December 23, 2014
34	Sprint Development	2 wks	Monday, December 29, 2014	Wednesday, January 14, 2015
35	Backlog Grooming	1 day	Wednesday, January 14, 2015	Thursday, January 15, 2015
36	Sprint Demo	1 day	Thursday, January 15, 2015	Friday, January 16, 2015
37	Sprint Acceptance	1 wk	Monday, January 19, 2015	Friday, January 23, 2015
38	**Sprint 2**	**15 days**	**Monday, January 19, 2015**	**Friday, February 06, 2015**
39	Sprint Planning	4 hrs	Monday, January 19, 2015	Tuesday, January 20, 2015
40	Sprint Development	2 wks	Monday, January 19, 2015	Wednesday, February 04, 2015
41	Backlog Grooming	1 day	Wednesday, February 04, 2015	Thursday, February 05, 2015
42	Sprint Demo	1 day	Thursday, February 05, 2015	Friday, February 06, 2015
43	Sprint Acceptance	1 wk	Monday, February 09, 2015	Friday, February 13, 2015
44	**Release 1**	**10 days**	**Monday, February 09, 2015**	**Monday, February 23, 2015**
45	Migrate from DEV to CAT	2 days	Monday, February 09, 2015	Thursday, February 12, 2015
46	Test CAT updates	1 day	Tuesday, February 10, 2015	Wednesday, February 11, 2015
47	Demo to Business Users	3 hrs	Thursday, February 12, 2015	Friday, February 13, 2015
48	UAT	1 wk	Monday, February 16, 2015	Friday, February 20, 2015
49	UAT Feedback and Defect Mgmt	1 wk	Monday, February 16, 2015	Friday, February 20, 2015
50	UAT Acceptance	1 day	Friday, February 20, 2015	Monday, February 23, 2015
51	**Sprint 3**	**15 days**	**Monday, February 23, 2015**	**Friday, March 20, 2015**
52	Sprint Planning	4 hrs	Monday, February 23, 2015	Tuesday, February 24, 2015

53	Sprint Development	2 wks	Monday, March 02, 2015	Wednesday, March 18, 2015
54	Backlog Grooming	1 day	Wednesday, March 18, 2015	Thursday, March 19, 2015
55	Sprint Demo	3 hrs	Thursday, March 19, 2015	Friday, March 20, 2015
56	Sprint Acceptance	1 wk	Monday, March 23, 2015	Friday, March 27, 2015
57	**Sprint 4**	**15 days**	**Monday, March 23, 2015**	**Friday, April 10, 2015**
58	Sprint Planning	4 hrs	Monday, March 23, 2015	Tuesday, March 24, 2015
59	Sprint Development	2 wks	Monday, March 23, 2015	Wednesday, April 08, 2015
60	Backlog Grooming	1 day	Wednesday, April 08, 2015	Thursday, April 09, 2015
61	Sprint Demo	3 hrs	Thursday, April 09, 2015	Friday, April 10, 2015
62	Sprint Acceptance	1 wk	Monday, April 13, 2015	Friday, April 17, 2015
63	**Release 2**	**10 days**	**Monday, April 13, 2015**	**Monday, April 27, 2015**
64	Migrate from DEV to CAT	2 days	Monday, April 13, 2015	Thursday, April 16, 2015
65	Test CAT updates	1 day	Tuesday, April 14, 2015	Wednesday, April 15, 2015
66	Demo to Business Users	3 hrs	Thursday, April 16, 2015	Friday, April 17, 2015
67	UAT	1 wk	Monday, April 20, 2015	Friday, April 24, 2015
68	UAT Feedback and Defect Mgmt	1 wk	Monday, April 20, 2015	Friday, April 24, 2015
69	UAT Acceptance	1 day	Friday, April 24, 2015	Monday, April 27, 2015
70	**Sprint 5**	**15 days**	**Monday, April 27, 2015**	**Friday, May 22, 2015**
71	Sprint Planning	4 hrs	Monday, April 27, 2015	Tuesday, April 28, 2015
72	Sprint Development	2 wks	Monday, May 04, 2015	Wednesday, May 20, 2015
60	Backlog Grooming	1 day	Wednesday, May 20, 2015	Thursday, May 21, 2015
73	Sprint Demo	1 day	Thursday, May 21, 2015	Friday, May 22, 2015
74	Sprint Acceptance	1 wk	Monday, May 25, 2015	Friday, May 29, 2015
80	**Release 3**	**10 days**	**Monday, May 25, 2015**	**Monday, June 08, 2015**
81	Migrate from DEV to CAT	2 days	Monday, May 25, 2015	Thursday, May 28, 2015
82	Test CAT updates	1 day	Tuesday, May 26, 2015	Wednesday, May 27, 2015
83	Demo to Business Users	3 hrs	Thursday, May 28, 2015	Friday, May 29, 2015
84	UAT	1 wk	Monday, June 01, 2015	Friday, June 05, 2015
85	UAT Feedback and Defect Mgmt	1 wk	Monday, June 01, 2015	Friday, June 05, 2015
86	UAT Acceptance	1 day	Friday, June 05, 2015	Monday, June 08, 2015
87	**Training**	**20 days**	**Monday, June 08, 2015**	**Friday, July 03, 2015**

88	Technical Training Classes	8 days	Monday, June 08, 2015	Friday, June 19, 2015
89	User Training	15 days	Monday, June 29, 2015	Friday, July 03, 2015
90	**Go live**	**50 days**	**Tuesday, June 09, 2015**	**Monday, August 10, 2015**
91	Prep Production Environment	2 wks	Tuesday, June 09, 2015	Friday, June 26, 2015
92	Other go live activities	2 wks	Monday, June 15, 2015	Wednesday, July 01, 2015
93	Go Live	1 day	Monday, July 06, 2015	Tuesday, July 07, 2015
94	Go Live Support	30 days	Monday, July 06, 2015	Monday, August 10, 2015
95	**Post Implementation Review**	**4 days**	**Friday, July 31, 2015**	**Thursday, August 06, 2015**

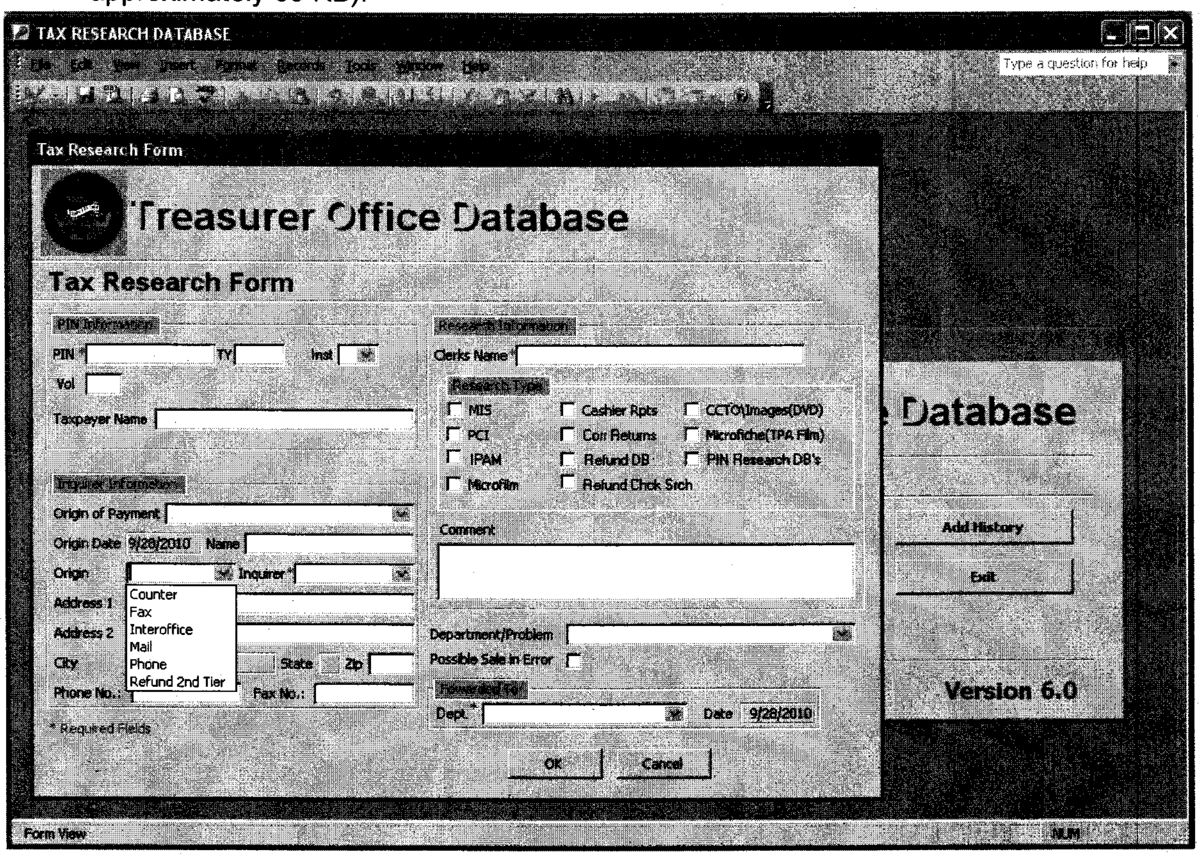
Business Background

The Tax Research Database is a tracking and note taking system for all taxpayer research cases that are the result of a taxpayer inquiry through the following channels:

1. Customer Service Counter inquiries unable to be resolved by the customer service agent
2. Call Center taxpayer inquiries unable to be resolved by call center agent
3. Emails received via the cookcountytreasurer.com that need prolonged escalation in order to resolve
4. Other: Taxpayer contact via administrative offices/legal department, etc.

Current Business Process

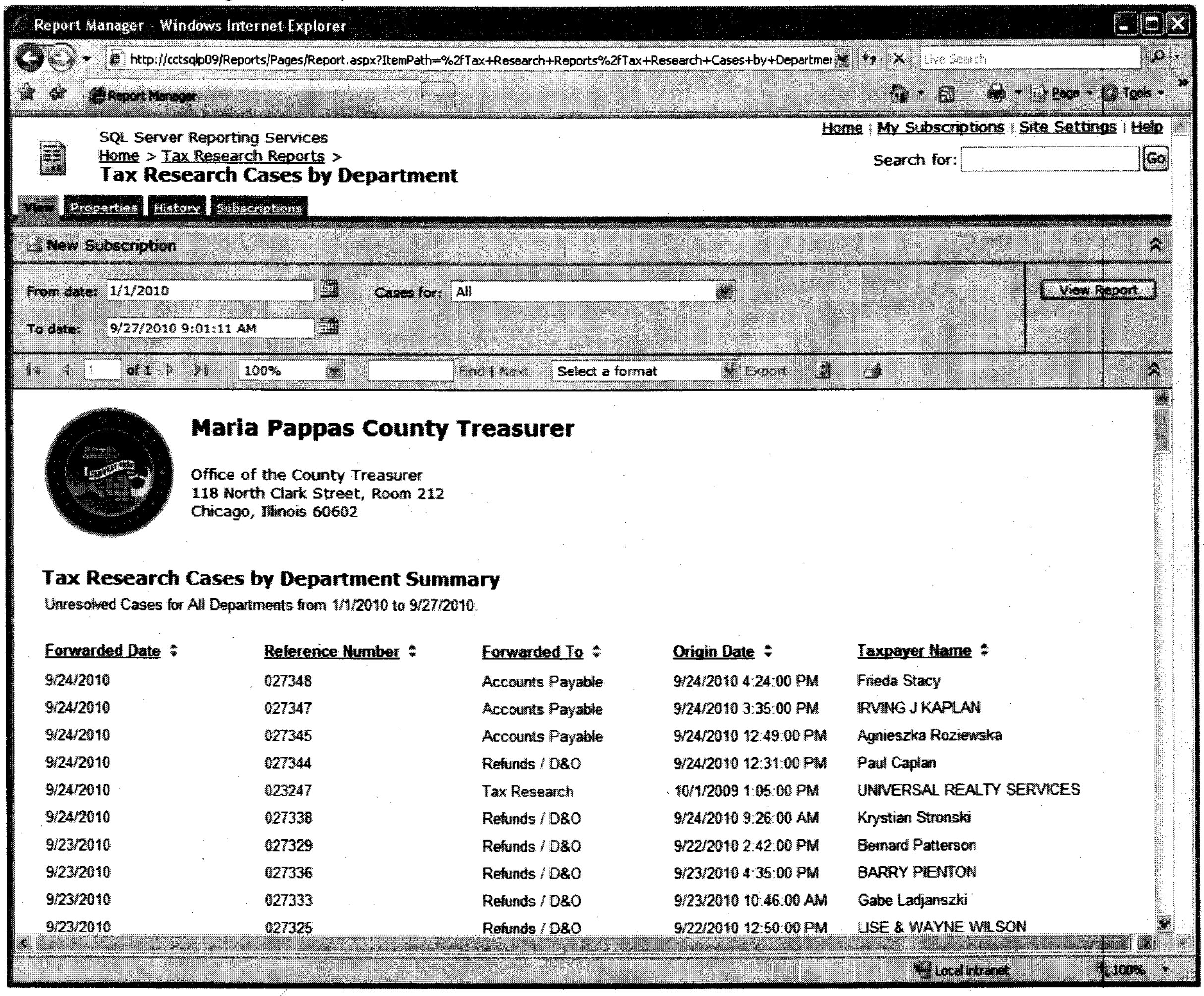
1. CCTO staff receives inquiry in one of methods described above.
2. CCTO staff fills out a Tax Research Inquiry Form, detailing the specifics of the Inquiry (Appendix A).
3. CCTO staff enters case information in Tax Research Database (Access 2000, approximately 69 KB).



4. CCTO staff updates case details in Tax Research Database as throughout lifecycle of case, most notably the "Comments" field
5. Document hardcopy proofs kept in filing folders for each case. Hardcopy circulated throughout office.

6. Cases are assigned to various CCTO departments via the Tax Research Database.

7. SQL Server Reporting Services is utilized by each department to view case assignments and case assignment updates.



Maria Pappas County Treasurer

Office of the County Treasurer
118 North Clark Street, Room 212
Chicago, Illinois 60602

Tax Research Cases by Department Summary

Unresolved Cases for All Departments from 1/1/2010 to 9/27/2010.

Forwarded Date	Reference Number	Forwarded To	Origin Date	Taxpayer Name
9/24/2010	027348	Accounts Payable	9/24/2010 4:24:00 PM	Frieda Stacy
9/24/2010	027347	Accounts Payable	9/24/2010 3:35:00 PM	IRVING J KAPLAN
9/24/2010	027345	Accounts Payable	9/24/2010 12:49:00 PM	Agnieszka Roziewska
9/24/2010	027344	Refunds / D&O	9/24/2010 12:31:00 PM	Paul Caplan
9/24/2010	023247	Tax Research	10/1/2009 1:05:00 PM	UNIVERSAL REALTY SERVICES
9/24/2010	027338	Refunds / D&O	9/24/2010 9:26:00 AM	Krystian Stronski
9/23/2010	027329	Refunds / D&O	9/22/2010 2:42:00 PM	Bernard Patterson
9/23/2010	027336	Refunds / D&O	9/23/2010 4:35:00 PM	BARRY PIENTON
9/23/2010	027333	Refunds / D&O	9/23/2010 10:46:00 AM	Gabe Ladjanszki
9/23/2010	027325	Refunds / D&O	9/22/2010 12:50:00 PM	LISE & WAYNE WILSON

8. Tax Research notes are displayed in PIN Research (CCTO front end application).

PIN Research (Tax Research Cases)

Property Summary | PIN Summary | Request a Tax Bill | Image Searches ▸ | Advanced Searches ▸ | Table Searches ▸ | PIN Lookup

PIN: 13 - 19 - 117 - 013 - 0000 | Search | Reset

Search results for PIN 13-19-117-013-0000 (ALL TAX YEARS SHOWN)

Reference Number 029817: Tax Year 2009 (Installment 1)

5/3/2011 10:09:00 AM
Penalty Waiver Approved forwarded back to Tax Research.

5/2/2011 2:47:00 PM
submitted to legal for pw.

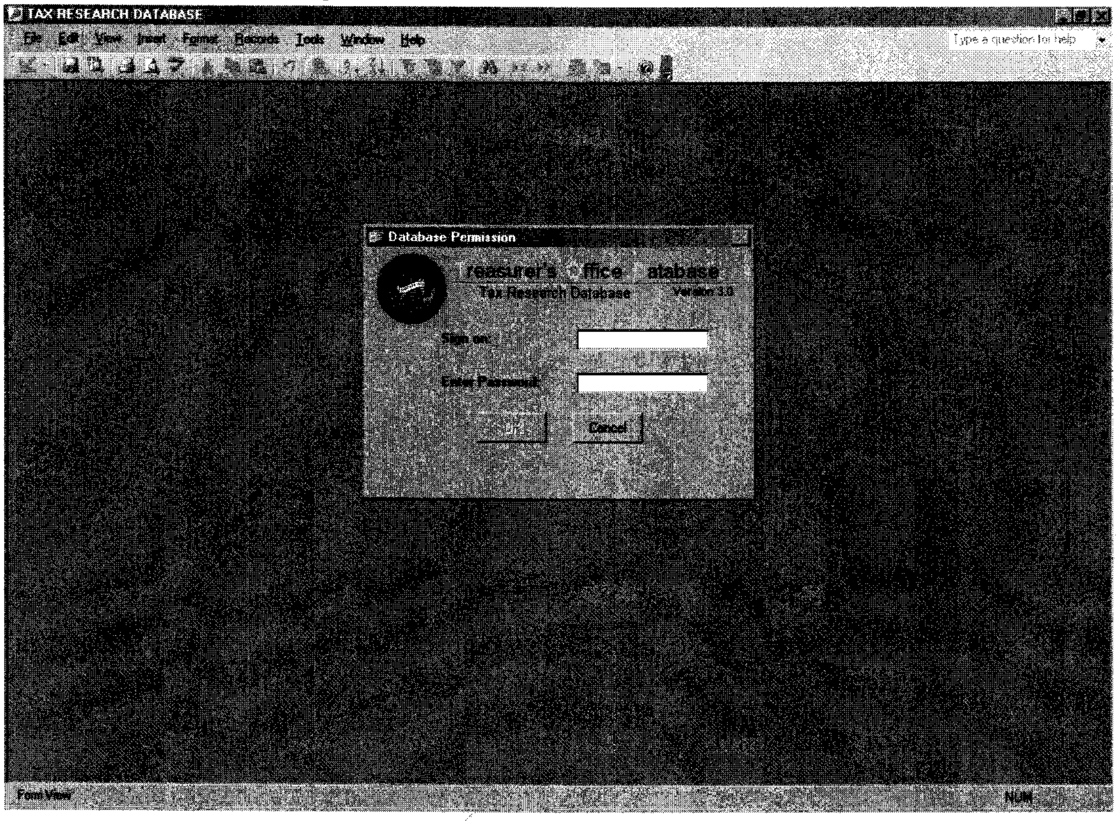
5/2/2011 11:47:00 AM
TP made a payment at Chase Br#555 on 12/2/10 iao $1,056.37. Chase lost the payment. TP has provided a replacement check. Requesting a pw to backdate payment to original payment date.

Date Forwarded Not On File
pw approved payment submitted to collections.

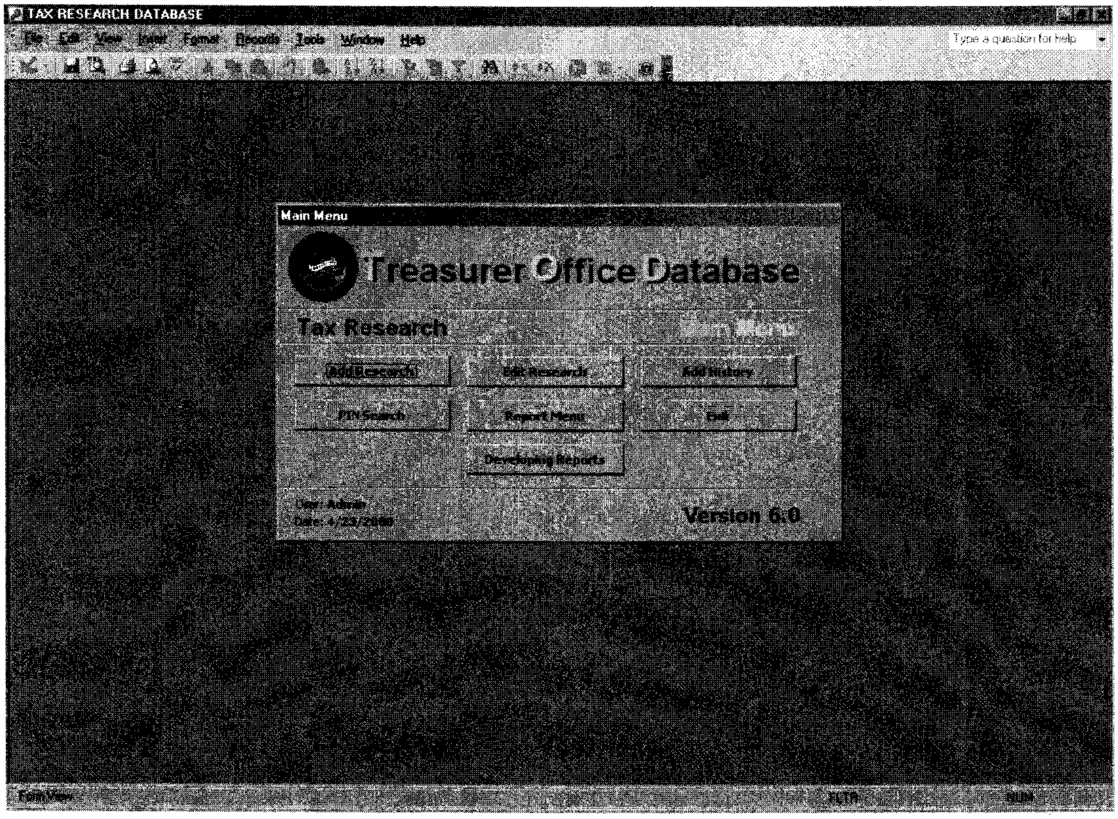
MS Access System

Enter a New Issue or Case

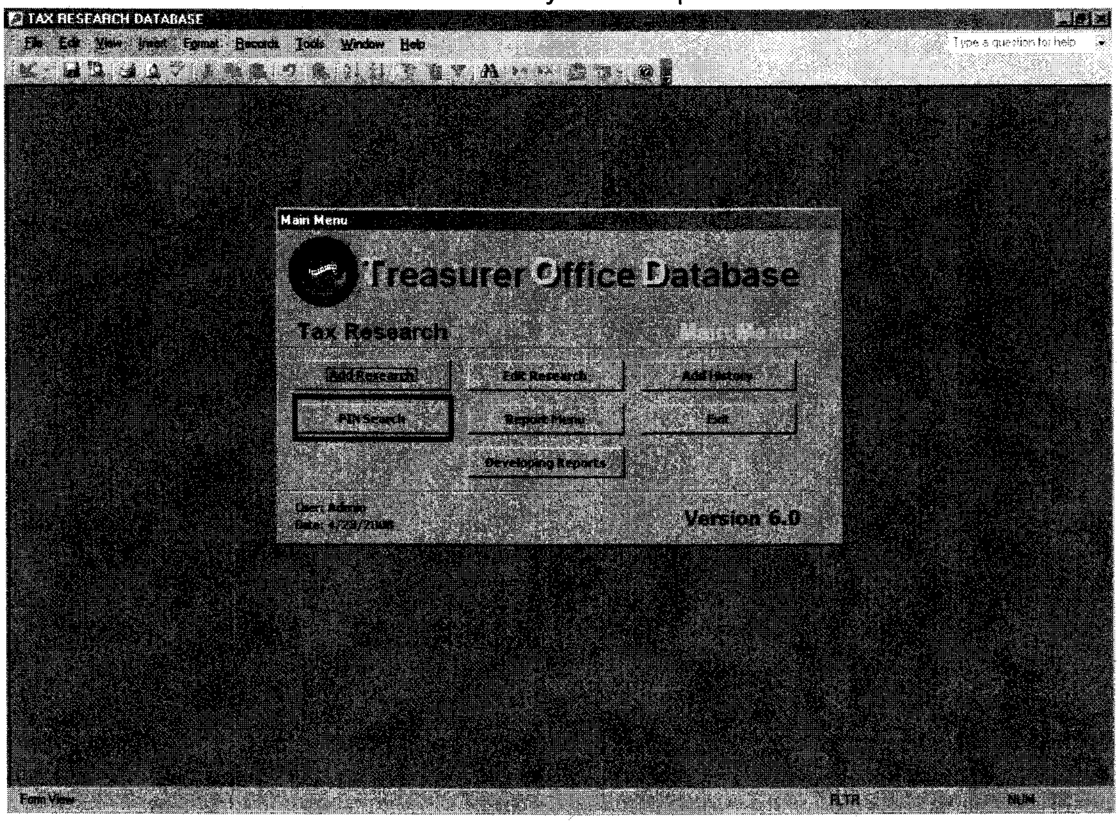
1. User launches Tax Research Database via desktop icon.
2. User enters login credentials.

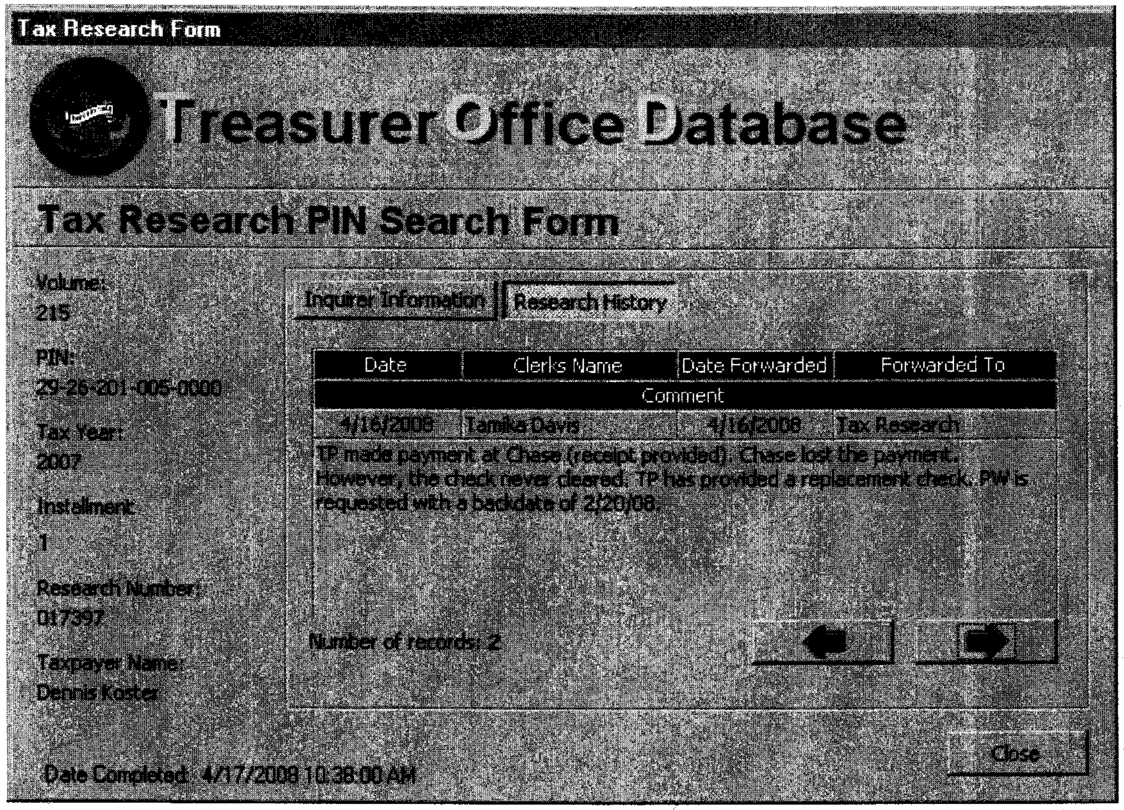


3. User is given five choices:
    a. **Add Research** - To enter a new issue.
    b. **Edit Research** - Allows user to edit information contained within the drop-down fields.
    c. **Add History** - Update an existing issue, including narrative description / comments.
    d. **PIN Search** - Search the database by PIN. This option is typically chosen first (before entering a new issue) in order to avoid duplicate entries. Also, if a case was entered and COMPLETED (closed), this is the only function that allows you to view the case's history.
    e. **Exit** - To exit the Tax Research Database.



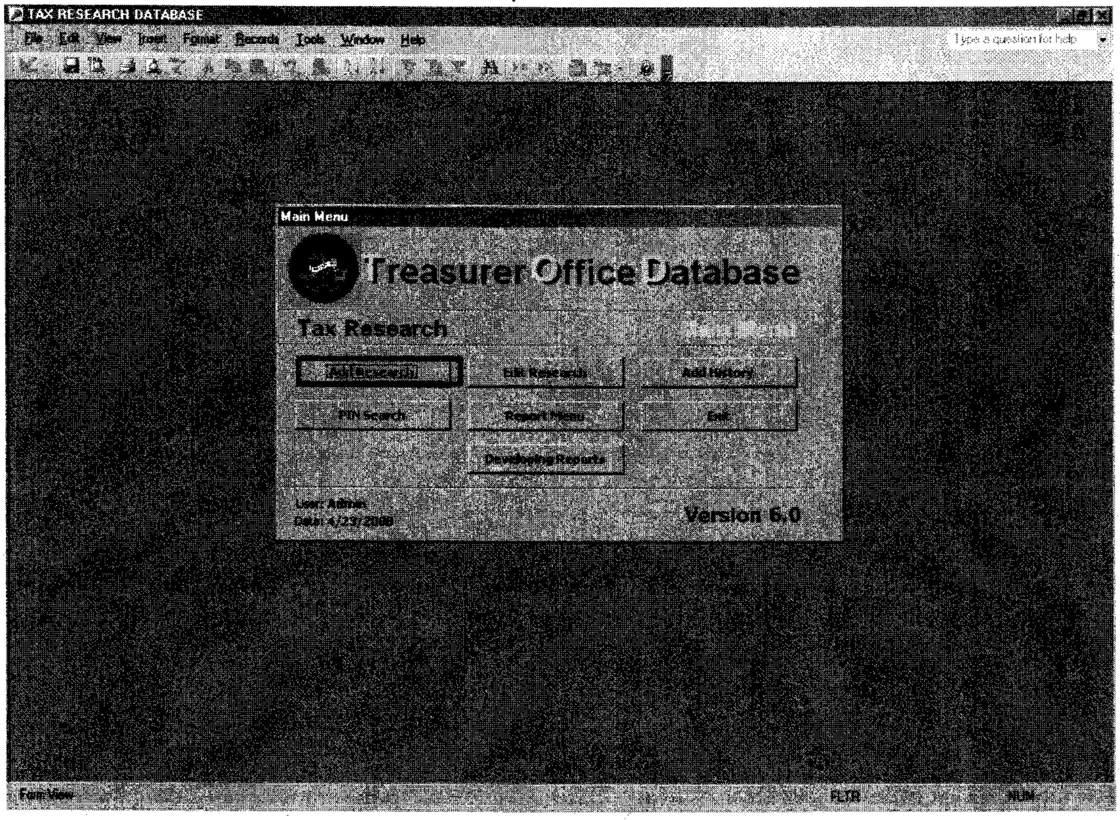
4. User choses PIN Search to verify that a duplicate case does not exist.



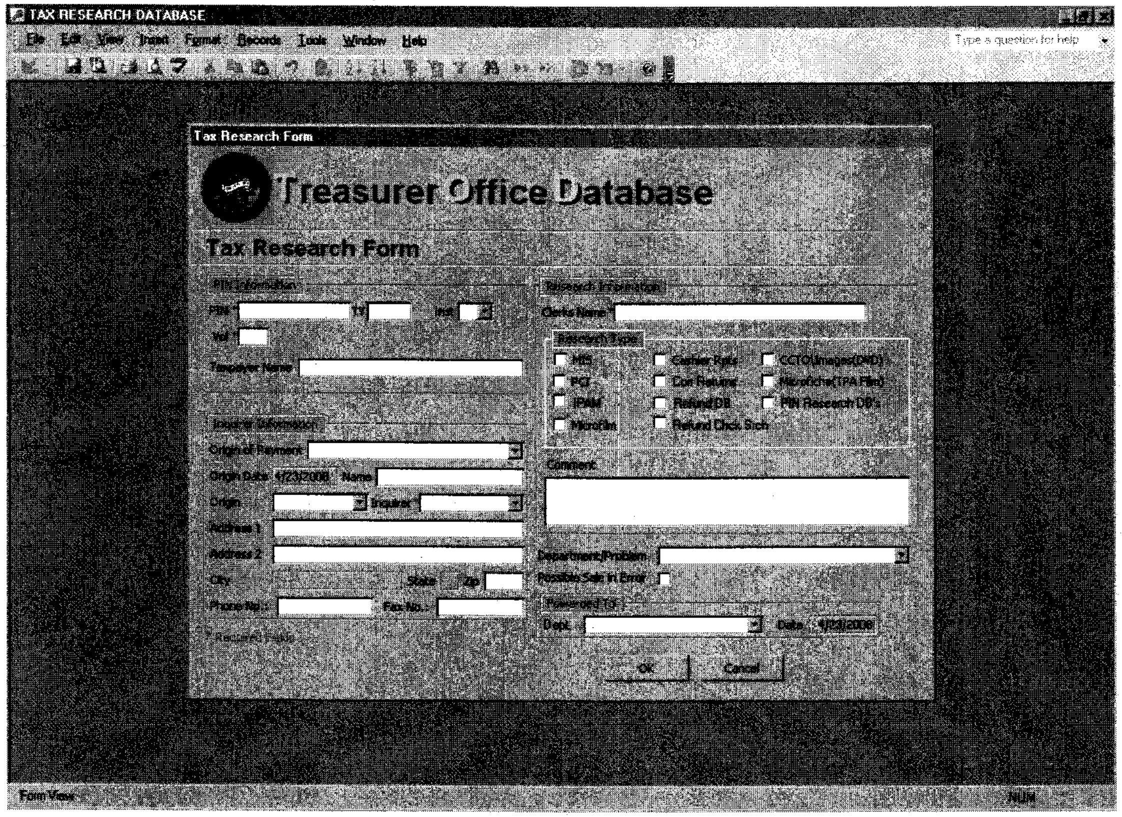


5. Once PIN Search is complete, and verification has occurred, user closes PIN Search screen.

6. User choses Add Research option.

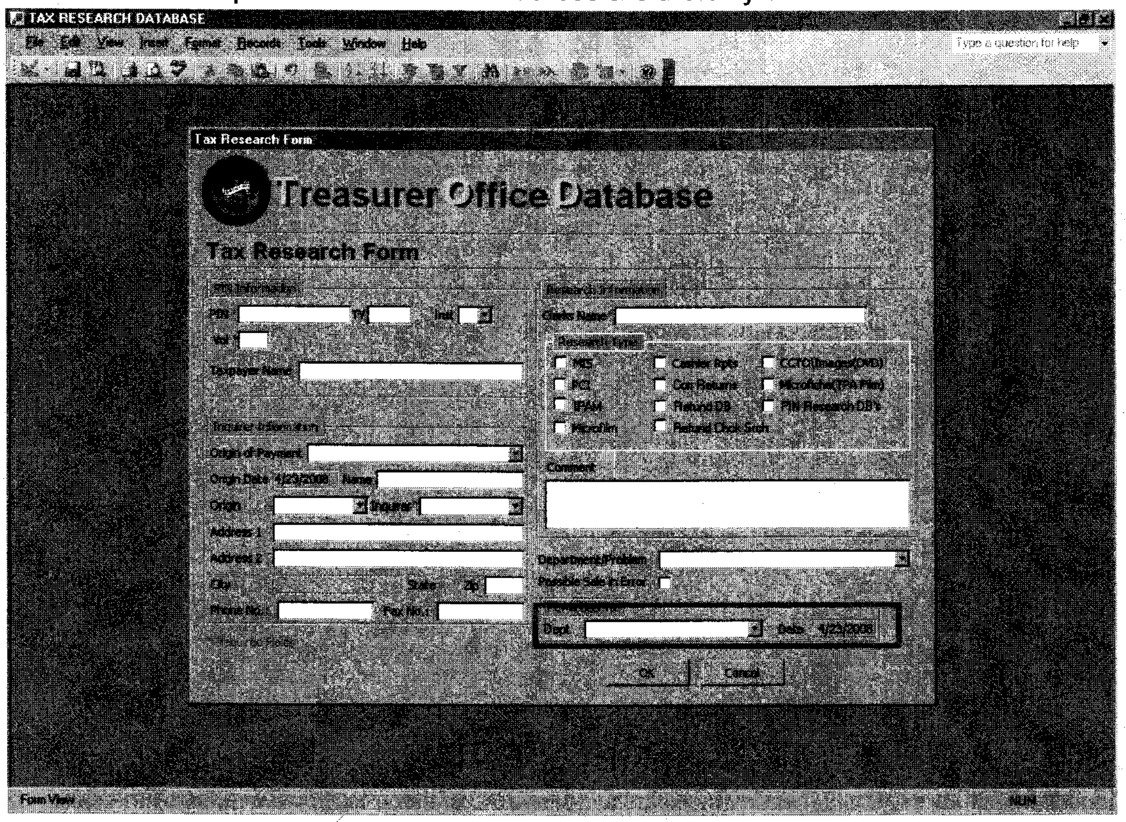


7. User enters appropriate data.

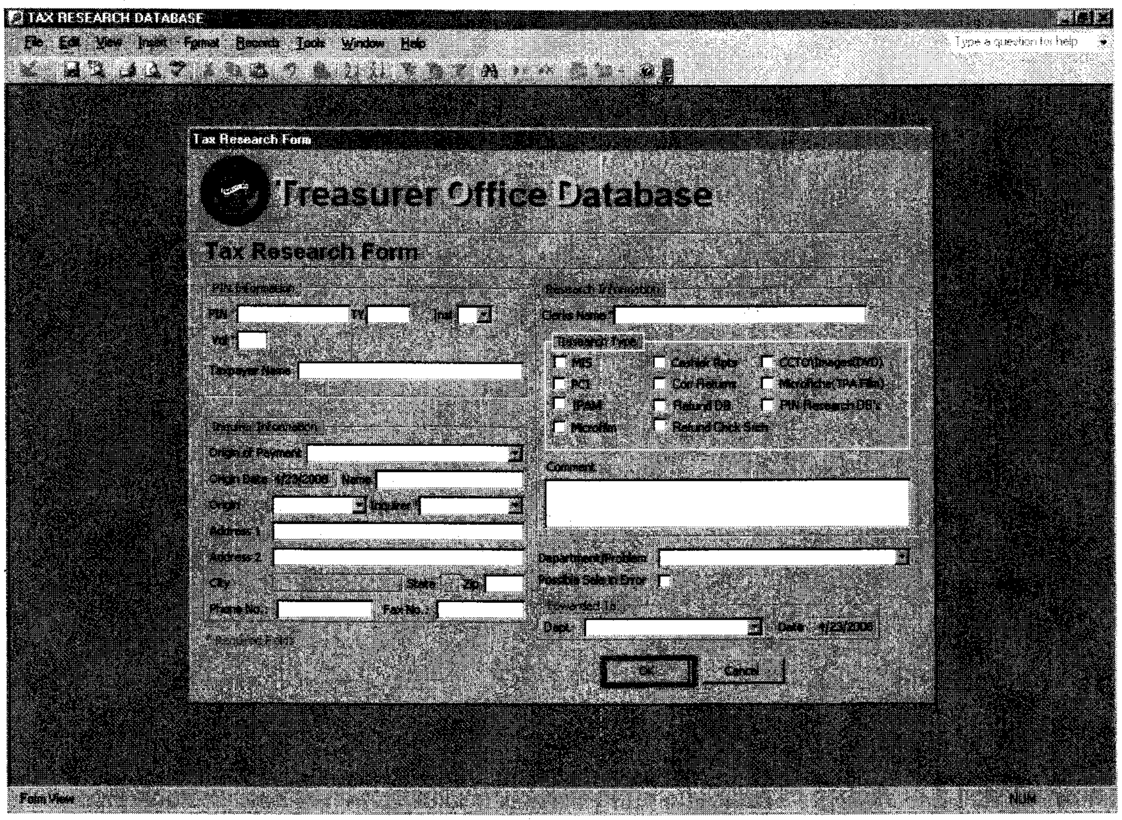


8. User assigns/forwards case to appropriate department via “Forwarded To” drop down:
    a. Finance
    b. Legal VTS
    c. Legal Exceptions
    d. Refunds

    More options are available but these are the only ones in use.

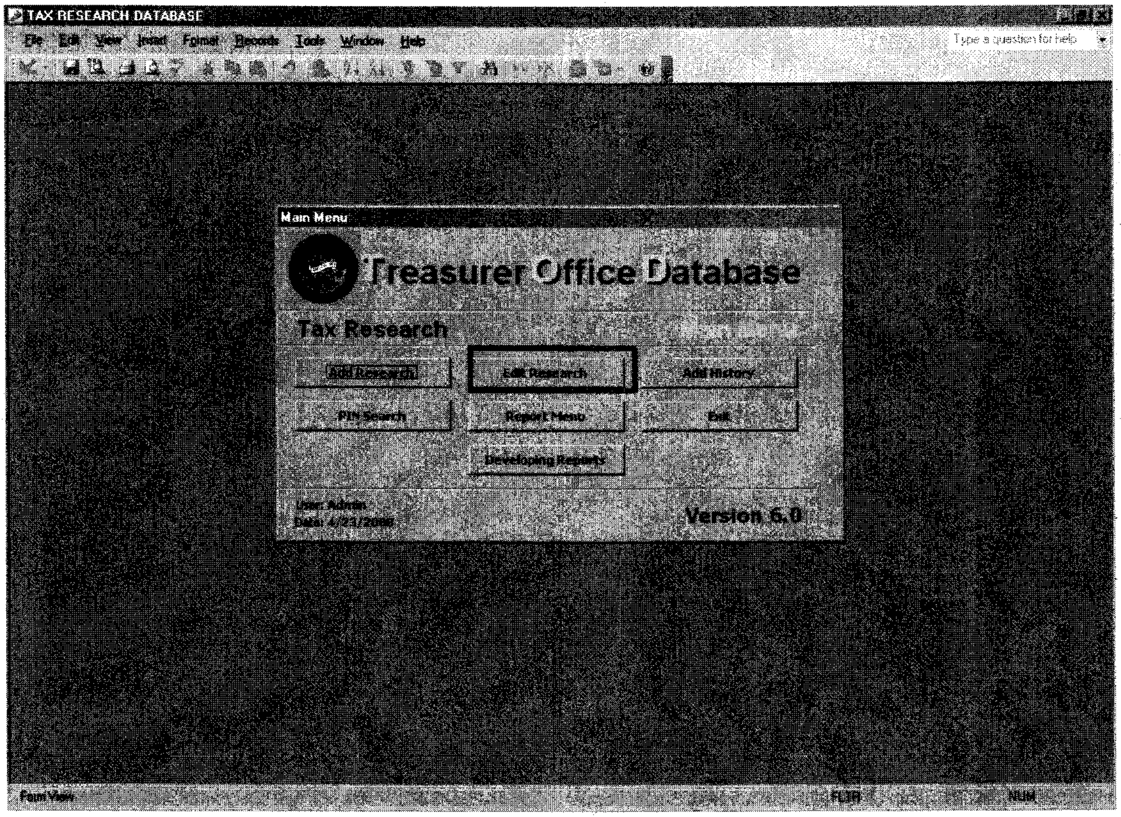


9. User clicks OK to submit case. System generates a reference number assigned to the case.

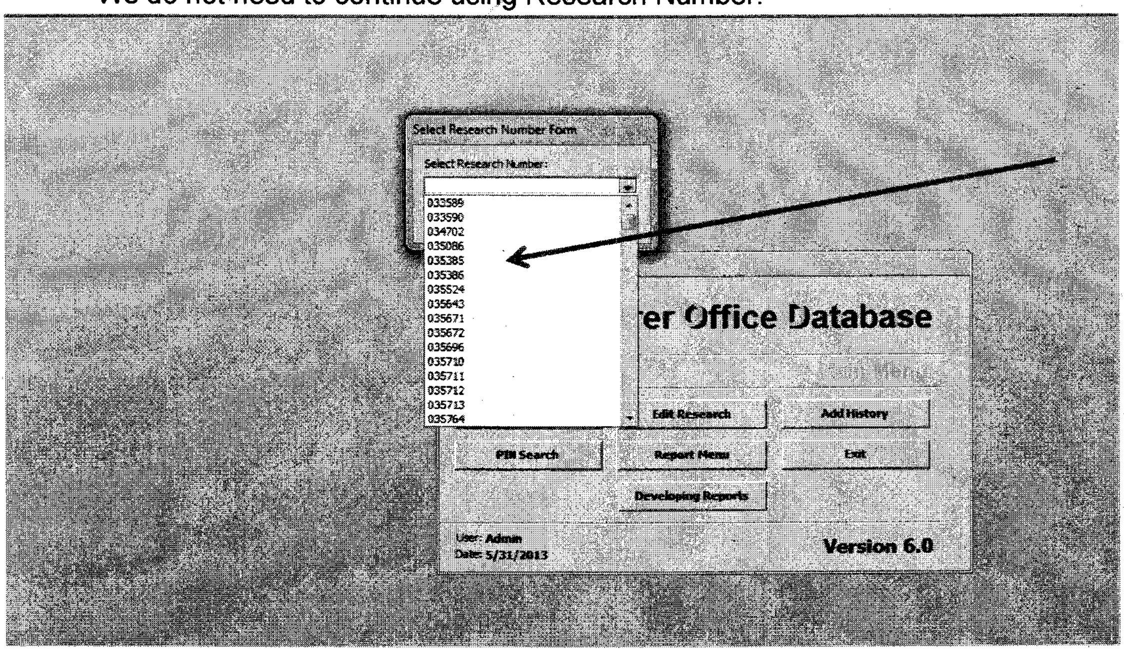


Edit Research (this is adding case notes mostly)

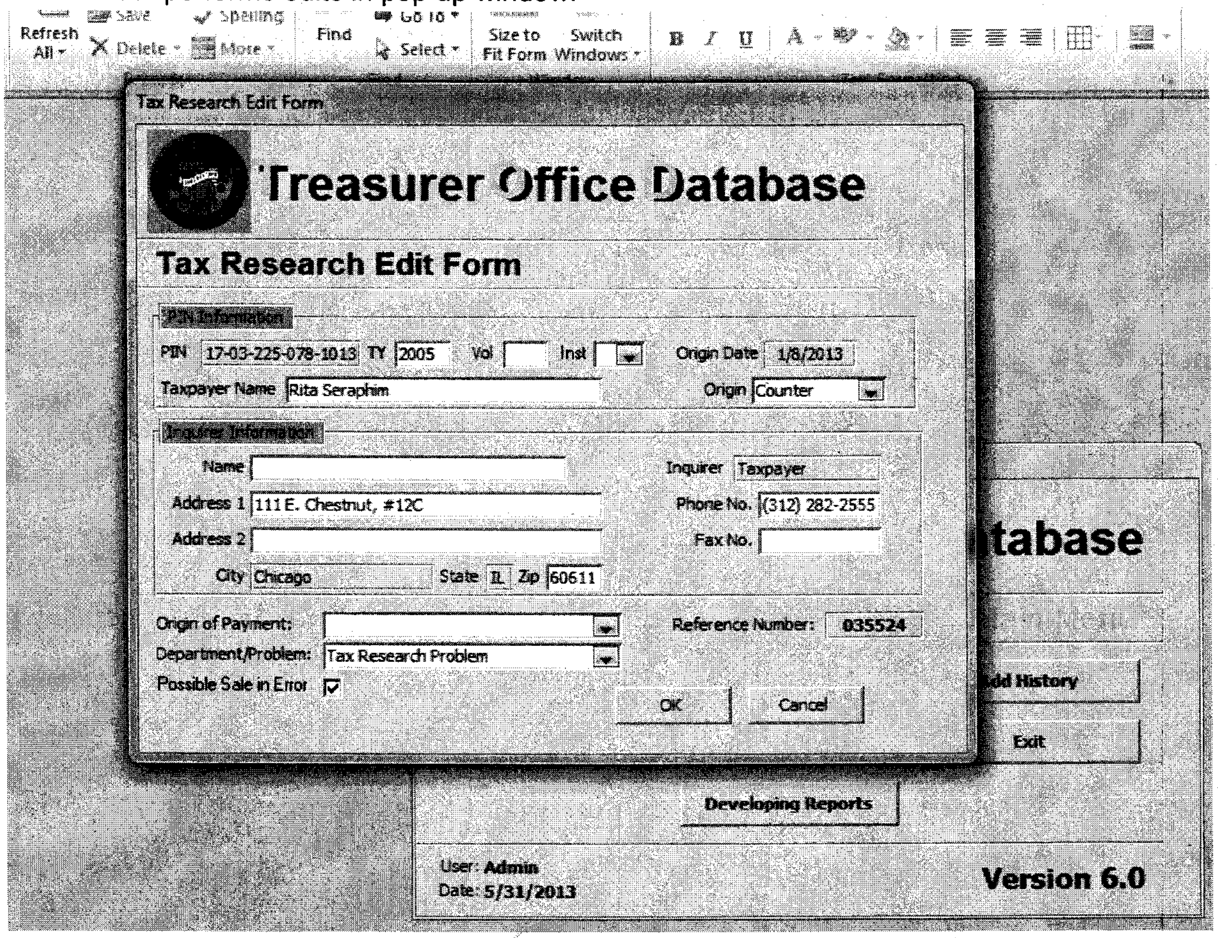
1. User selects "Edit Research" button.



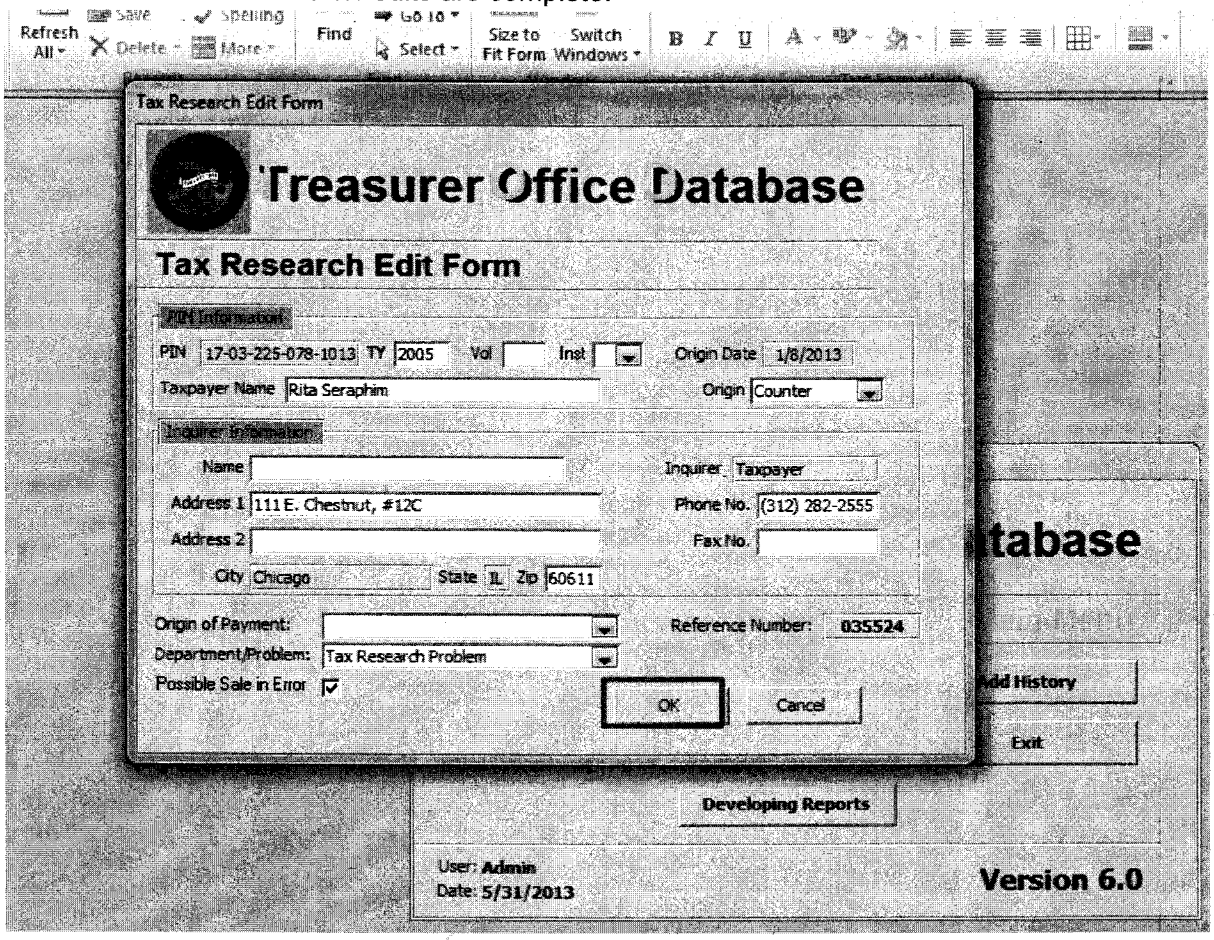
2. User Selects Research Number from drop down:
   We do not need to continue using Research Number.



3. User performs edits in pop up window:



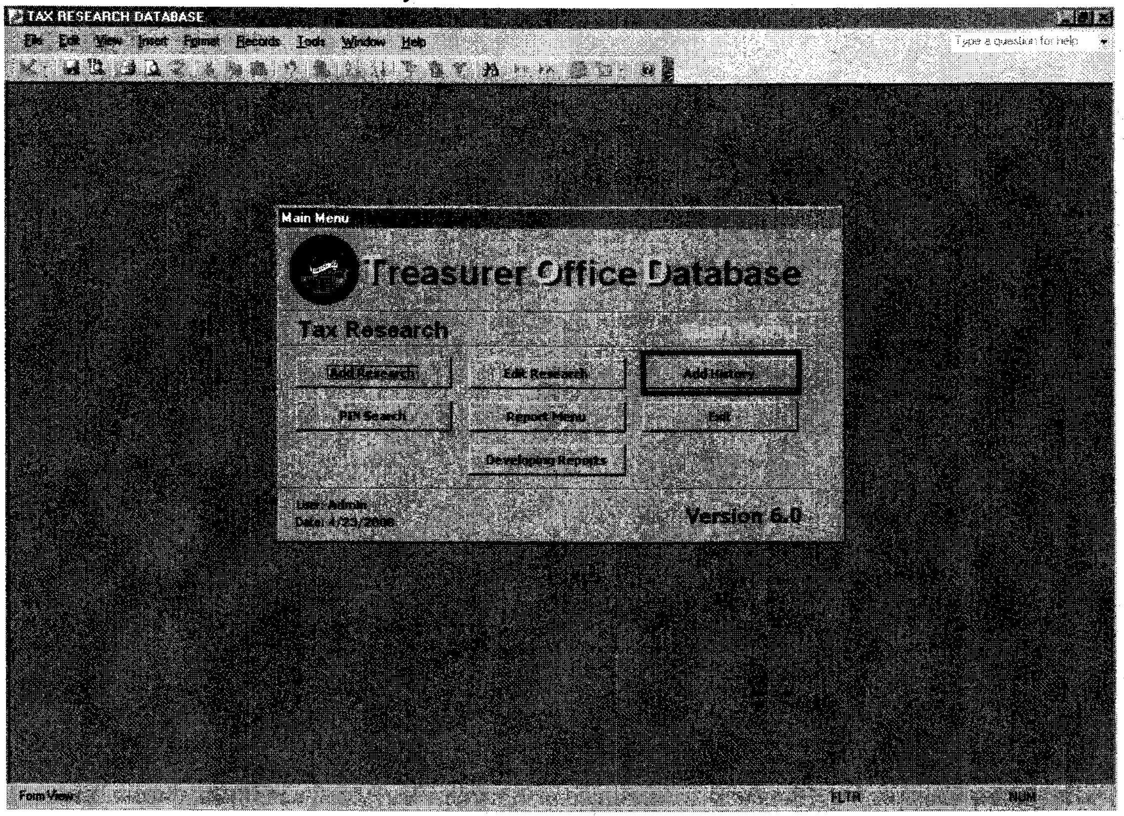
4. User clicks "OK" after edits are complete.



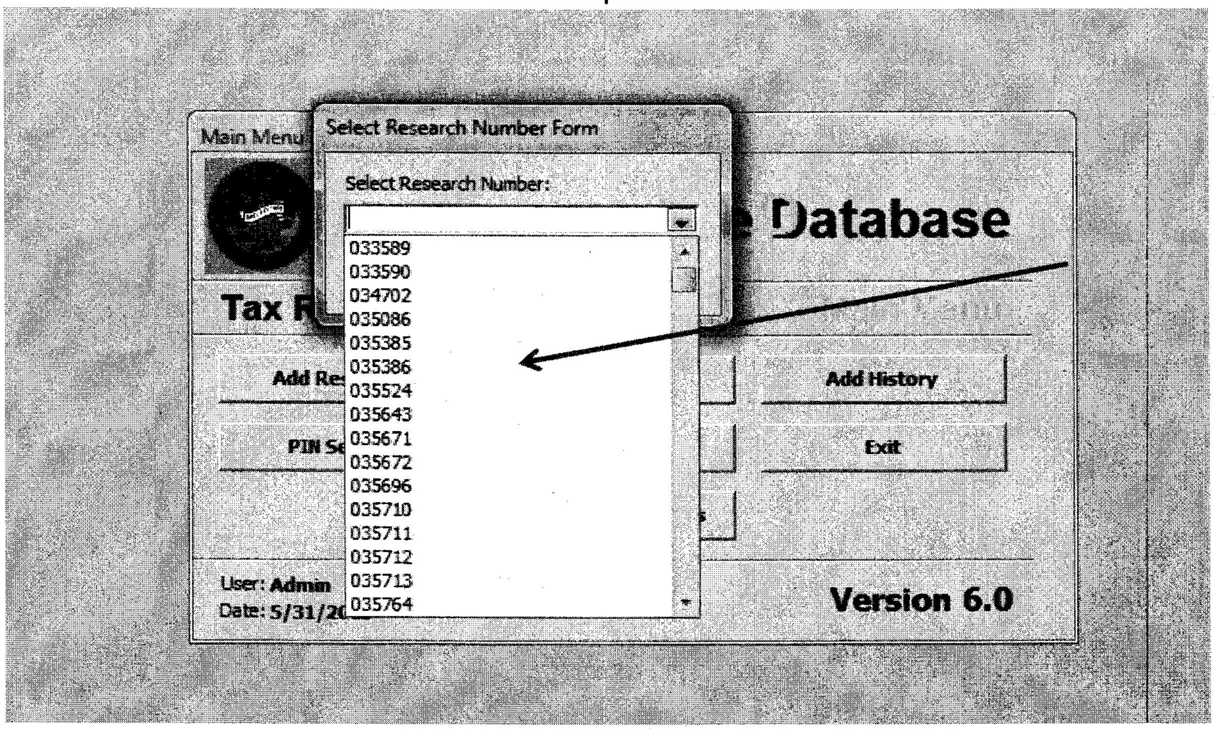
5. Case details are updated.

Add History

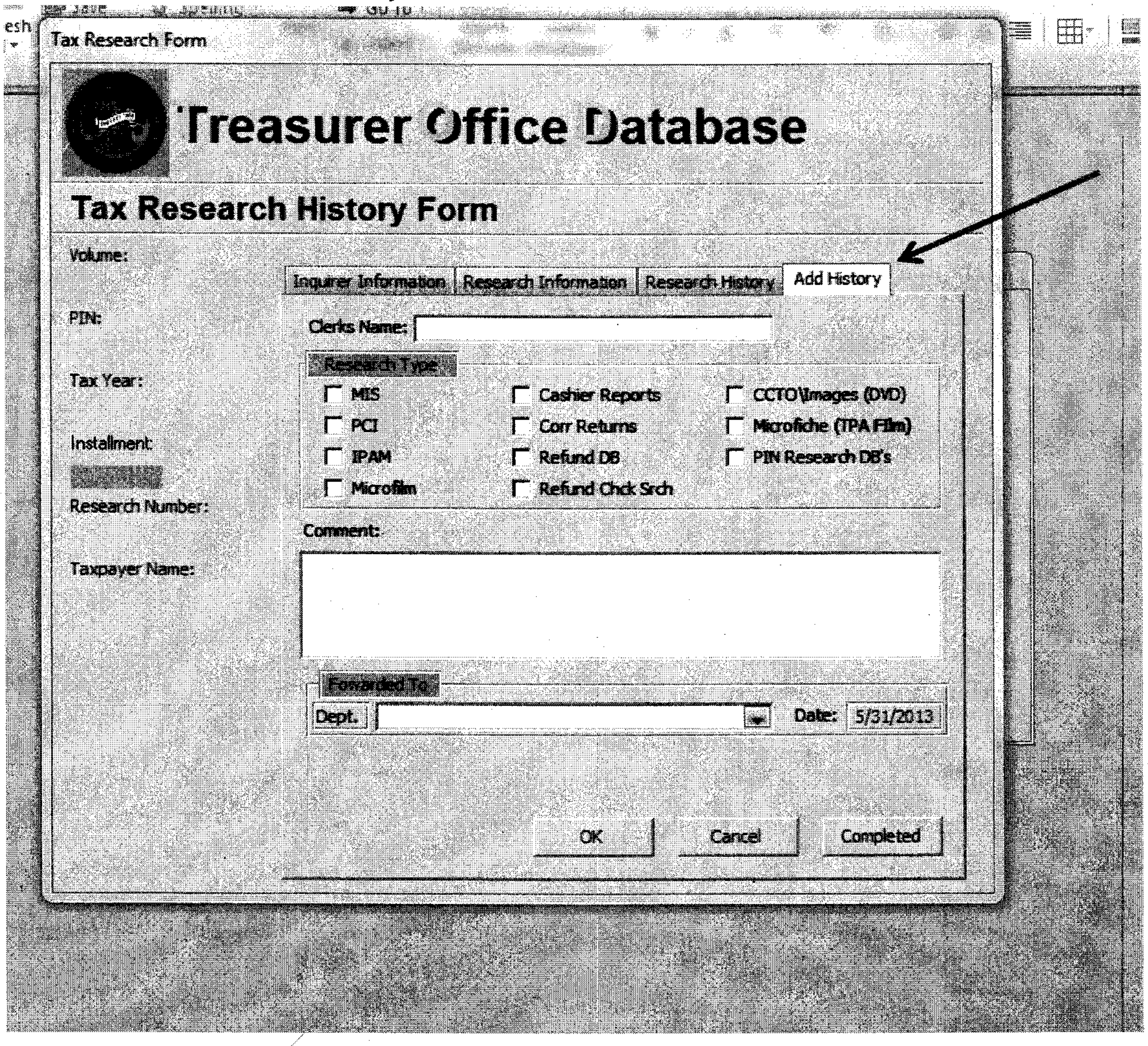
1. User selects "Add History" button:



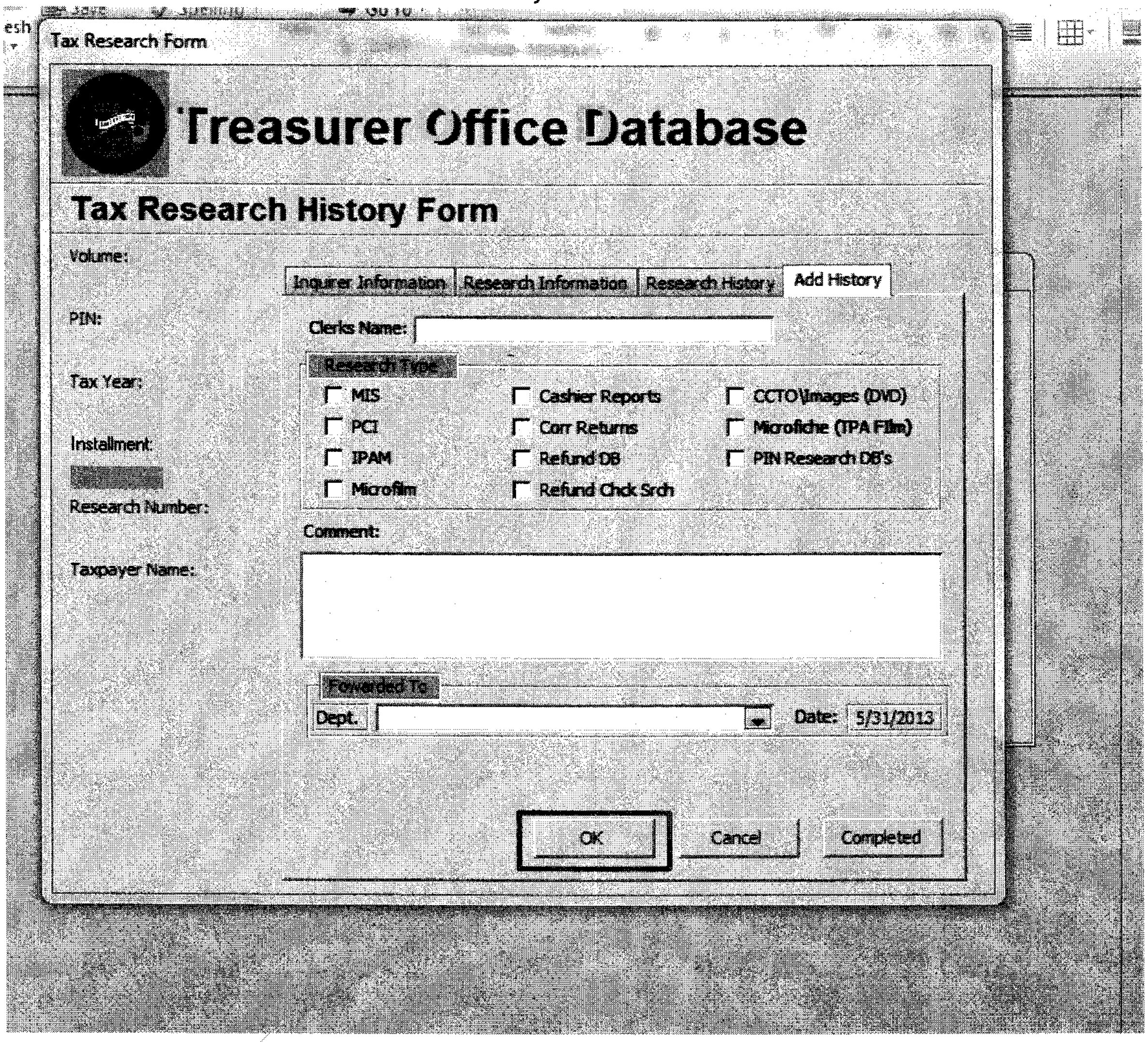
2. User selects Research Number from drop down menu:



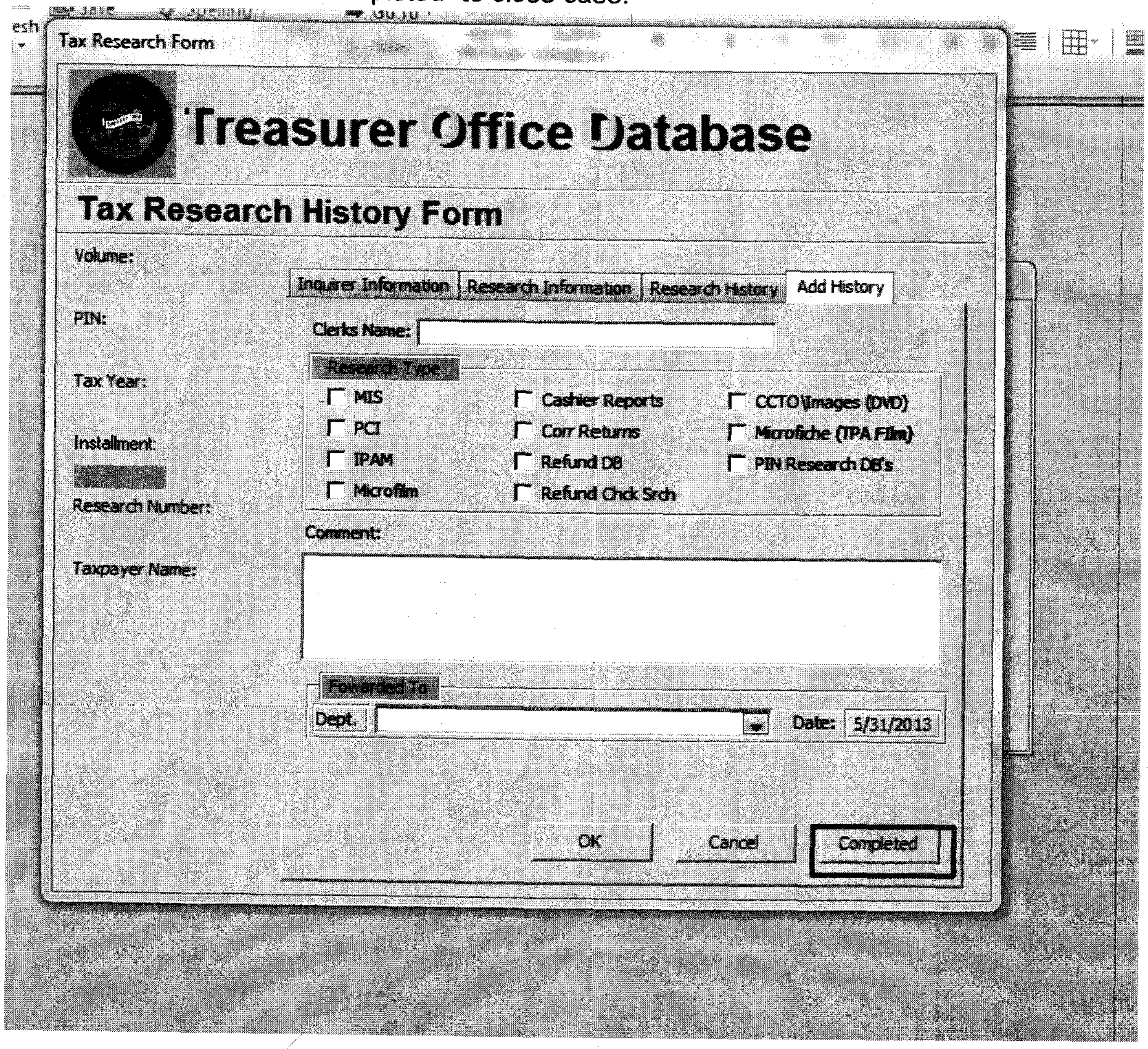
3. User selects “Add History” tab:



4. User adds new information.
5. User selects "OK" to add case history:



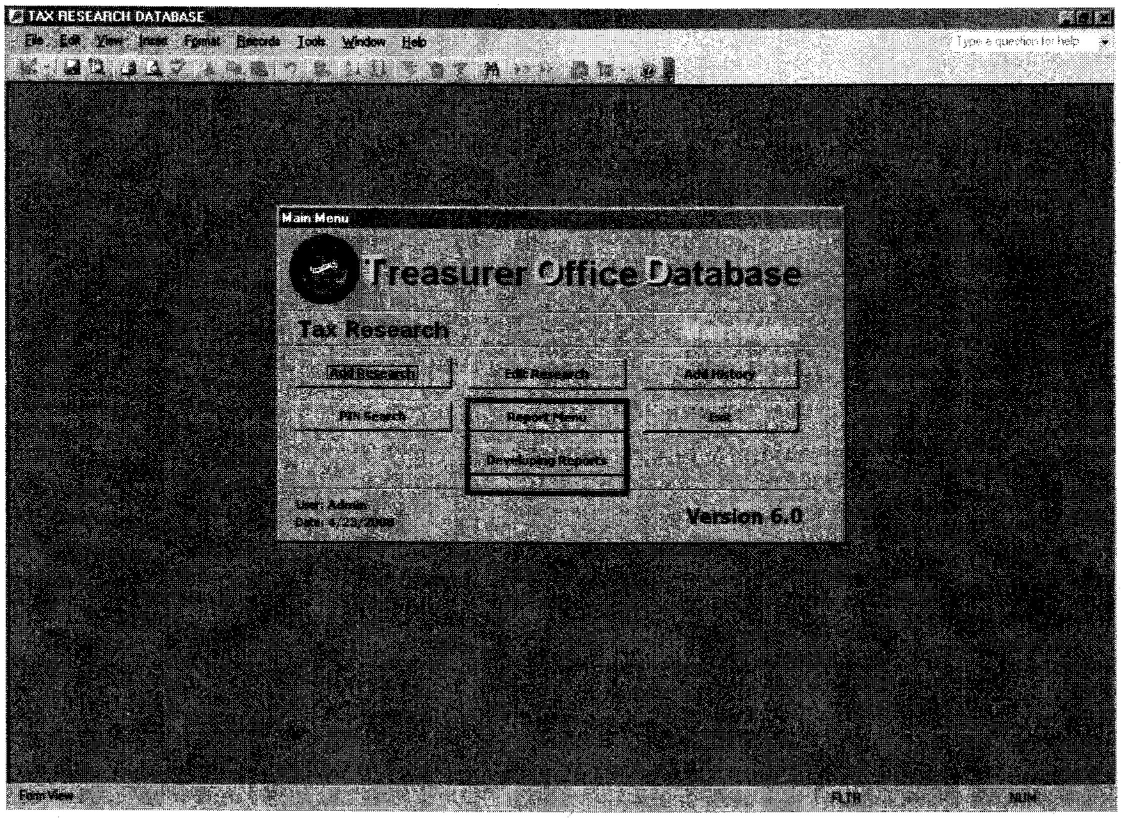
6. OR: User clicks "Completed" to close case.



7. Case is updated.

Report Menu and Developing Reports

These buttons are currently unused. Reporting done through SSRS.



Issues with Current Tax Research Database

1. Unsupported Access database
2. Not user friendly -
3. Does not support document imaging
4. Limited integration with other CCTO applications, but is, for the most part, a stand-alone application
5. Many of the fields in the database are obsolete, and/or do not match the paper form:
    a. Taxpayer's email
        i. Field included on the Blue Form
        ii. Field not included on Tax Research's Electronic Form
    b. Inquirer
        i. Blue Form: Taxpayer, Lawyer, Mortgage Co., Title Co., Tax Buyer
        ii. Current database: Lawyer, Mortgage Co., Other, Taxpayer, Title Co.
    c. Origin
        i. Blue Form: "Request Received By" Mail, CRM E-mail, Walk-In, Call Center
        ii. Current database: Counter, Fax, Interoffice, Mail, Phone, Refund 2nd Tier
    d. Origin of Payment
        i. Blue Form: Downtown Office, Chase Branch, Internet, Mail
        ii. Current database: Downtown Treas. Cashiering, Image Request, LaSalle Branch, LaSalle Lockbox (Mail), Satellite Treas Cashiering, T.P.A. Mrtg. Co. payment by tape
    e. Payment made by
        i. Blue Form: Cash, Check, Internet, Mortgage Co., Title Co.
        ii. Current database: no field for this information
    f. Tax Research Required for ("Case Type")
        i. Blue Form: Missing Payment, Misapplied Payment, Proof of Payment/Refund, Transfers, Chase Issue, VTS-Vacate Tax Sale, SIE-Sale In Error (Refund), Other (Explanation Required)
        ii. Current database: 35 total items within drop-down menu
6. Current system does not allow users to reopen closed cases.

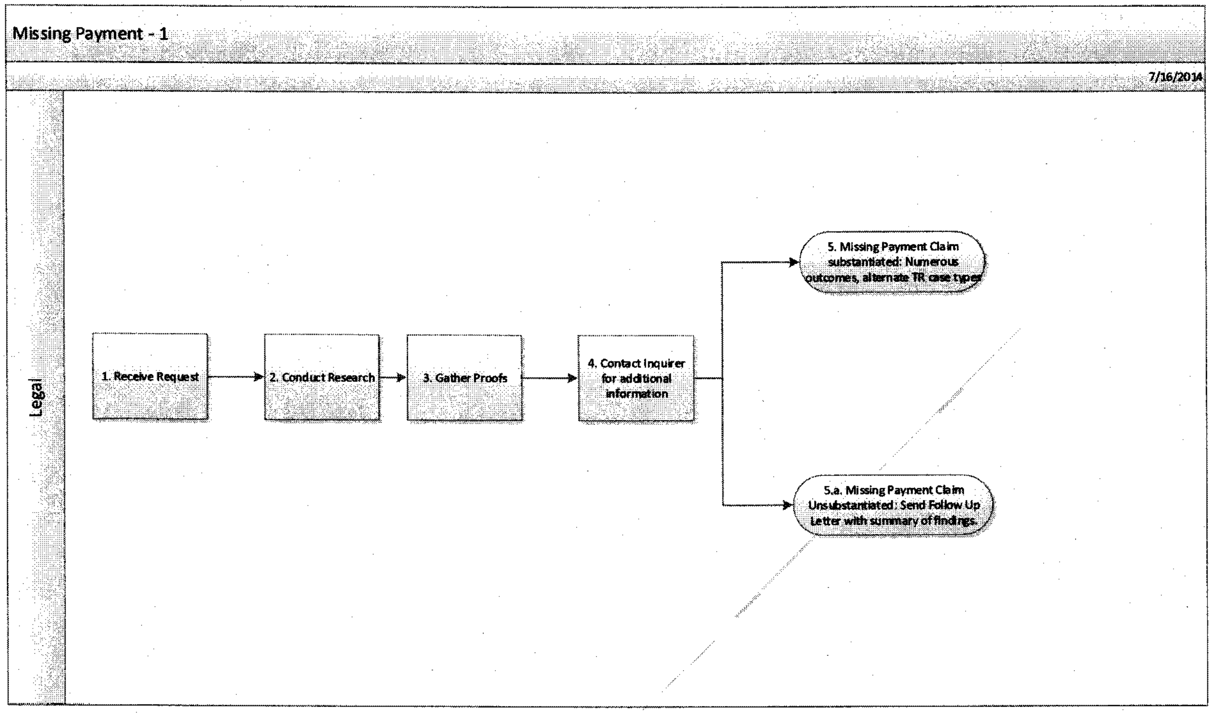
Requirements for new Taxpayer Research Application

1. System to be renamed "Taxpayer Research Database"
2. Rewrite in .NET 4.0 or be able to integrate with .NET applications
   DataBank will develop this is Workview/Case Management

3. System to be accessible from:
   a. CCTO Intranet – Unity Integration Toolkit
   b. PIN Research application (See item 4 below)
4. Integration with PIN Research (CCTO Front End application):
   a. Ability to initiate new Taxpayer Research case from PIN Research
   b. Pass PIN (Property Index Number) and other relevant information from PIN Research to Taxpayer Research System
   c. Existing Tax Research cases should be accessible via PIN Research application
5. On-screen Taxpayer Research case entry, replacing current paper form
   a. Current database and paper form fields will need to be evaluated
      Replace form with eForm or Workview Object
6. Document imaging capability, replacing current physical case files
7. Workflow/Case Management capability:
   a. Taxpayer Research Cases and supporting documentation to be moved electronically through office (See Appendix B for process analysis by case type. Note: additional analysis may be required)
   b. Aging reports and email reminders to be generated at predetermined intervals
   c. Department supervisors and senior management team to be given ability to monitor work progress and distribute workload via system
   d. Capture communication between CCTO and tax payers (System should integrate or replace existing correspondence management system)
8. Historic Tax Research cases to be migrated to new system
9. System to be searchable by:
   a. PIN
   b. Taxpayer Name
   c. Creator Name
   d. Department Name
   e. Case Type ("Tax Research Required For" on current form)
10. Updated case status types:
    a. Open
    b. Closed
    c. Pending

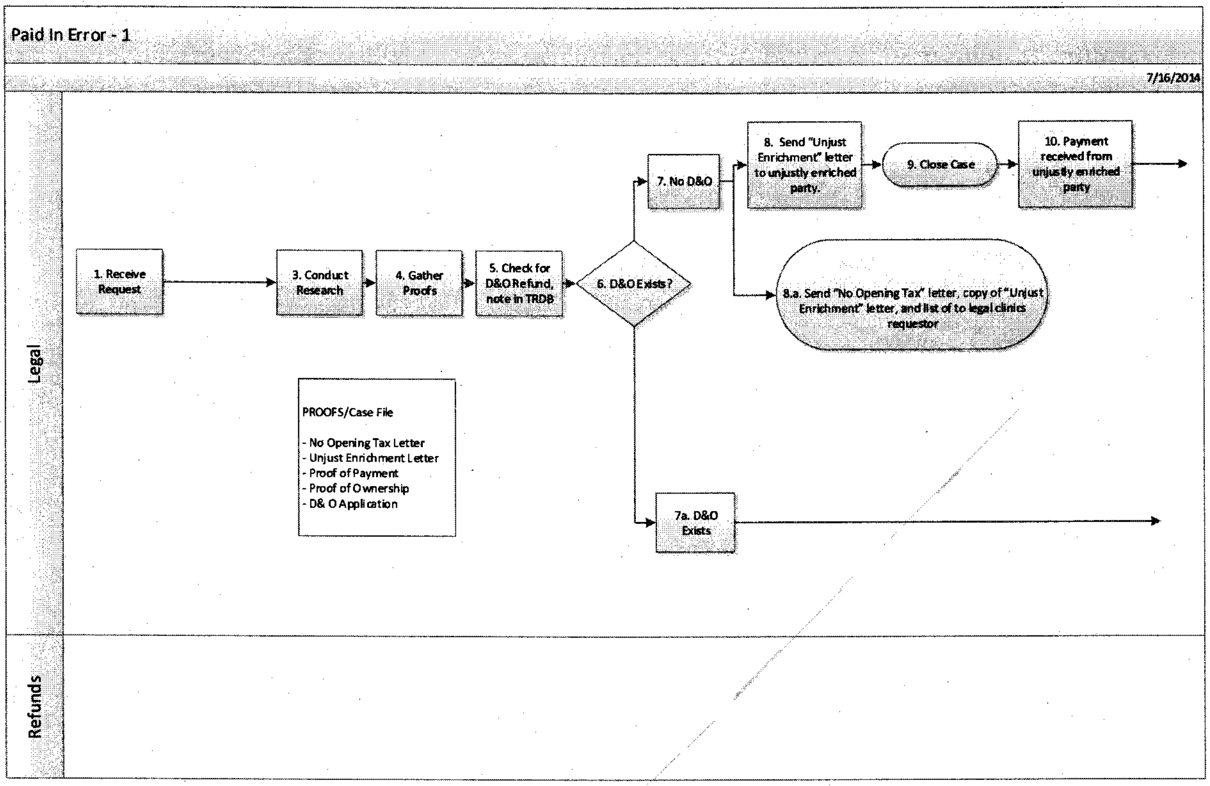
Workflows for Each Case Type

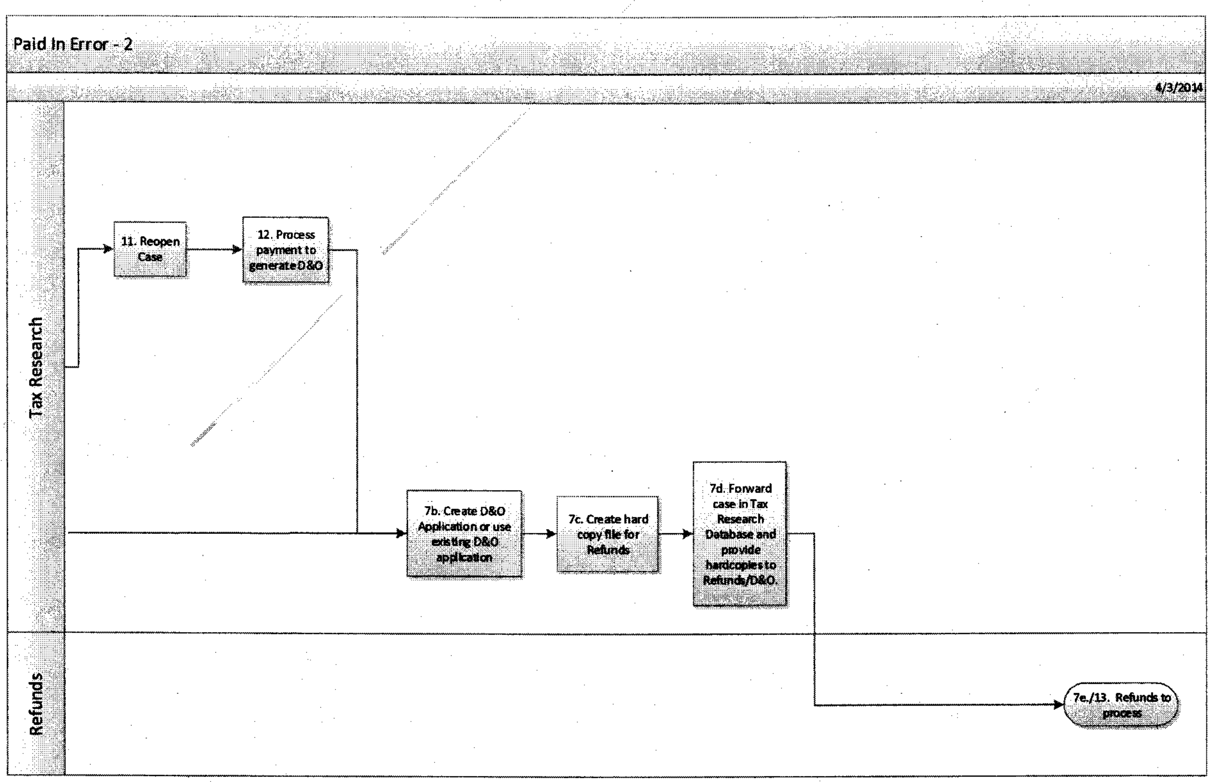
Missing Payment



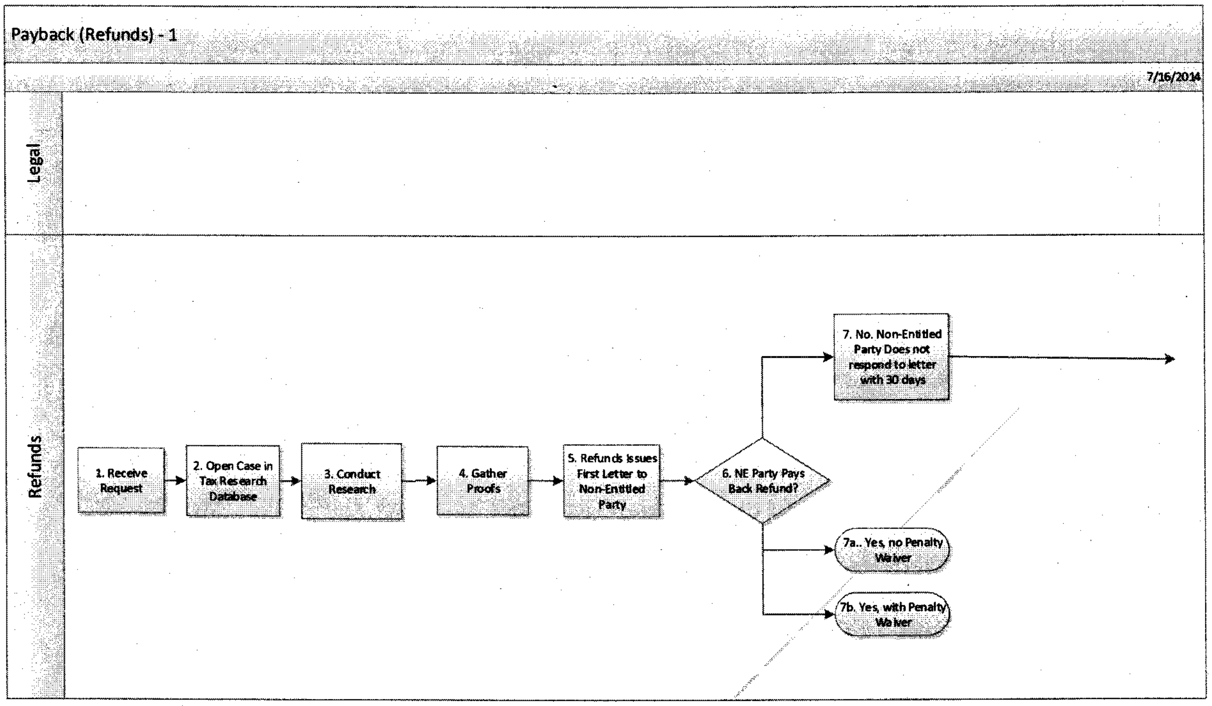
PROOFS/Case File
- Proof of Payment
- Proof of Mailing

Paid in Error

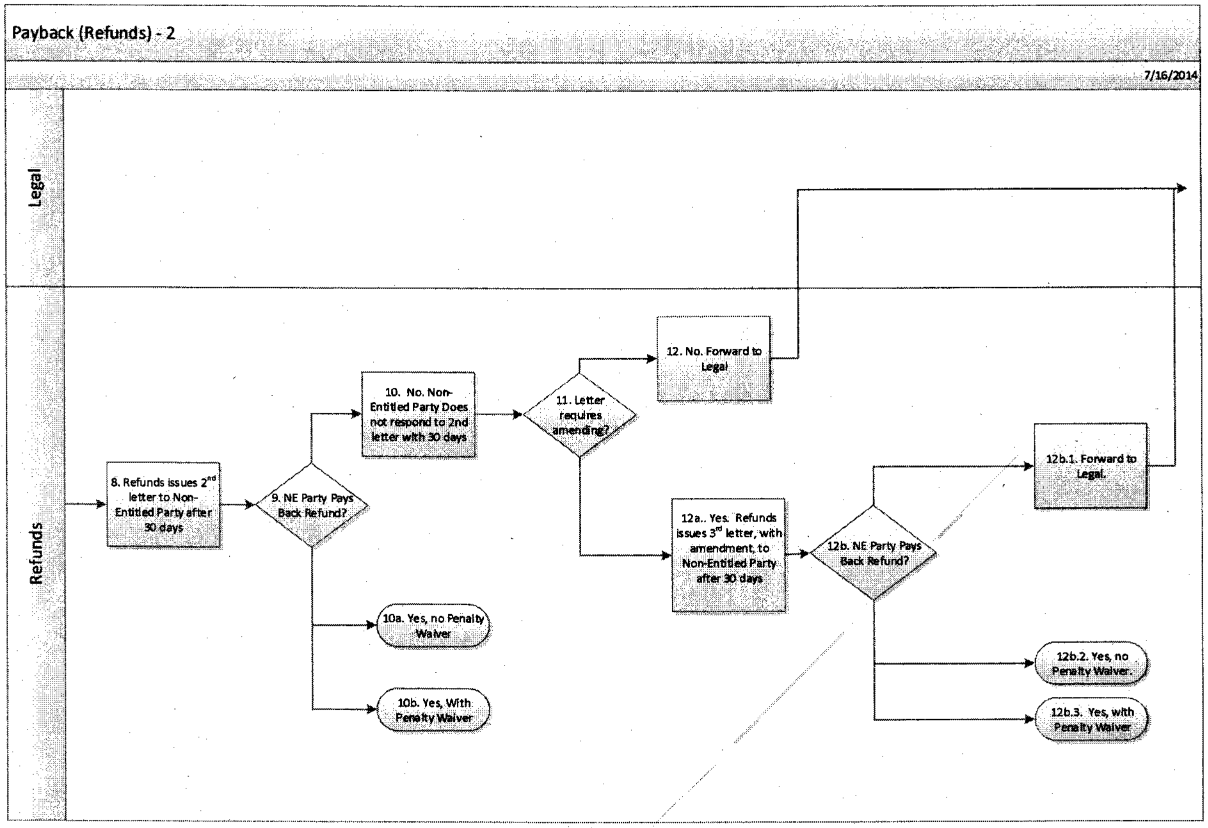


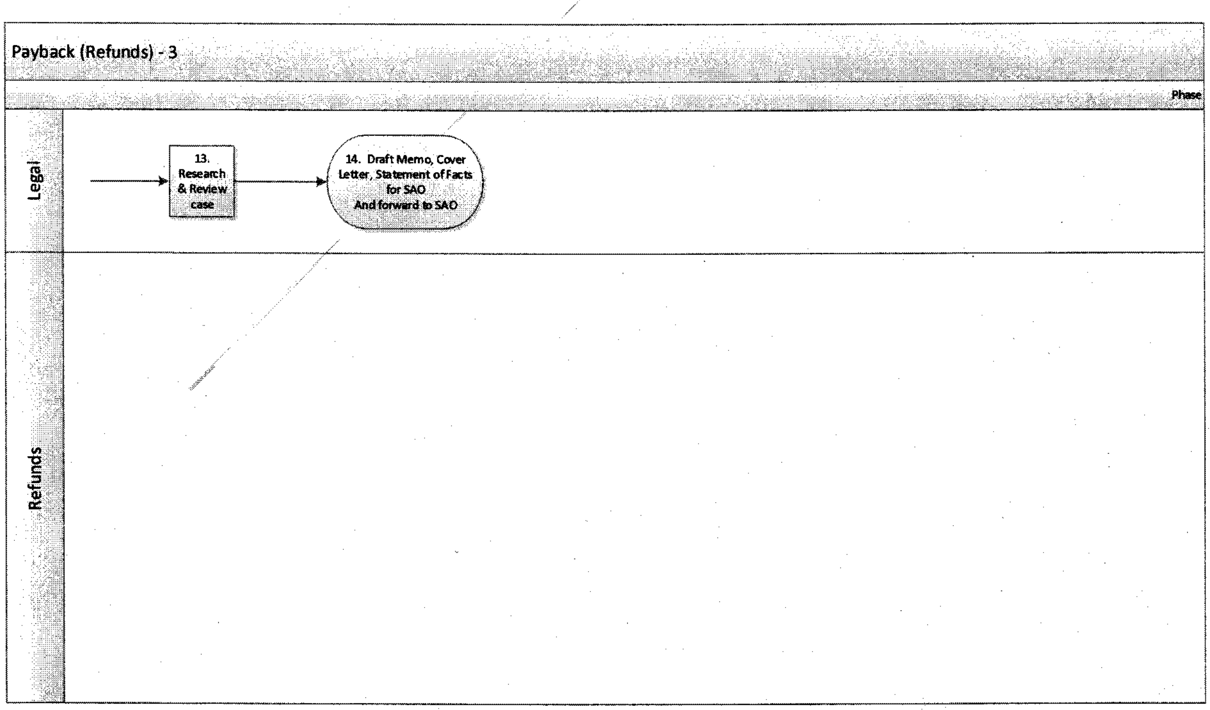


Payback

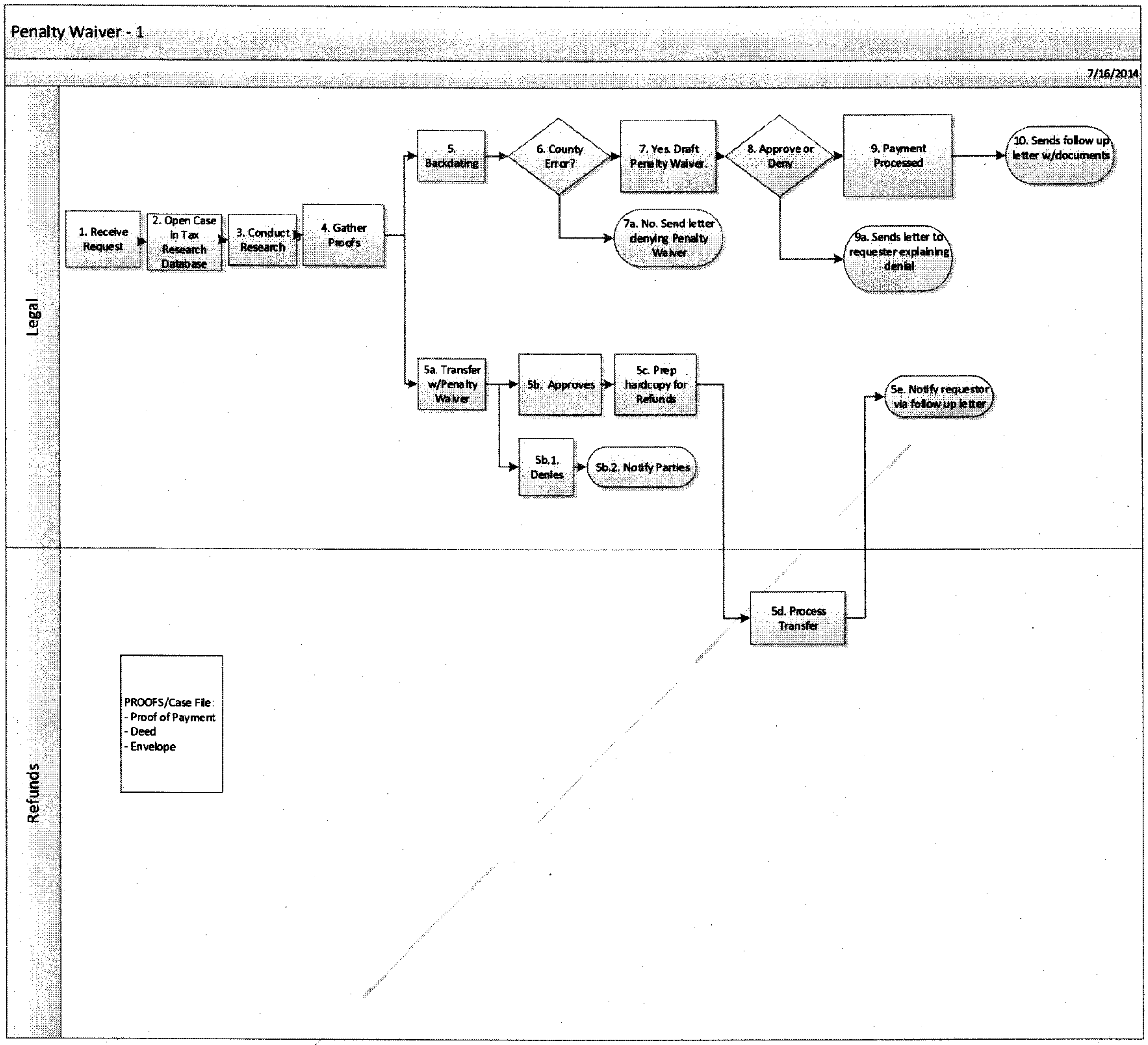


PROOFS/Case File
- Refund Check
- MIS Screens
- Letter(s) to Non-Entitled Party
- SAO memo
- SAO cover letter
- SAO statement of facts

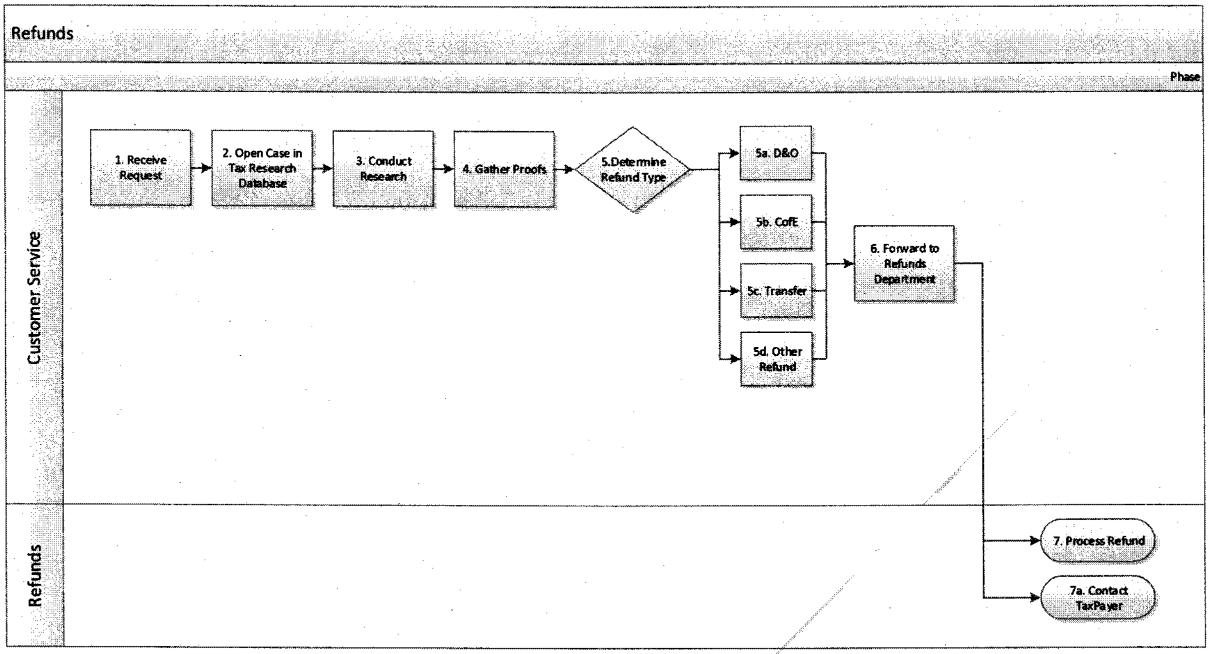

Payback (Refunds) - 2
7/16/2014
Legal
Refunds
8. Refunds issues 2nd letter to Non-Entitled Party after 30 days
9. NE Party Pays Back Refund?
10. No. Non-Entitled Party Does not respond to 2nd letter with 30 days
10a. Yes, no Penalty Waiver
10b. Yes, With Penalty Waiver
11. Letter requires amending?
12. No. Forward to Legal
12a.. Yes. Refunds issues 3rd letter, with amendment, to Non-Entitled Party after 30 days
12b. NE Party Pays Back Refund?
12b.1. Forward to Legal.
12b.2. Yes, no Penalty Waiver.
12b.3. Yes, with Penalty Waiver


Payback (Refunds) - 3
Phase
Legal
Refunds
13. Research & Review case
14. Draft Memo, Cover Letter, Statement of Facts for SAO And forward to SAO

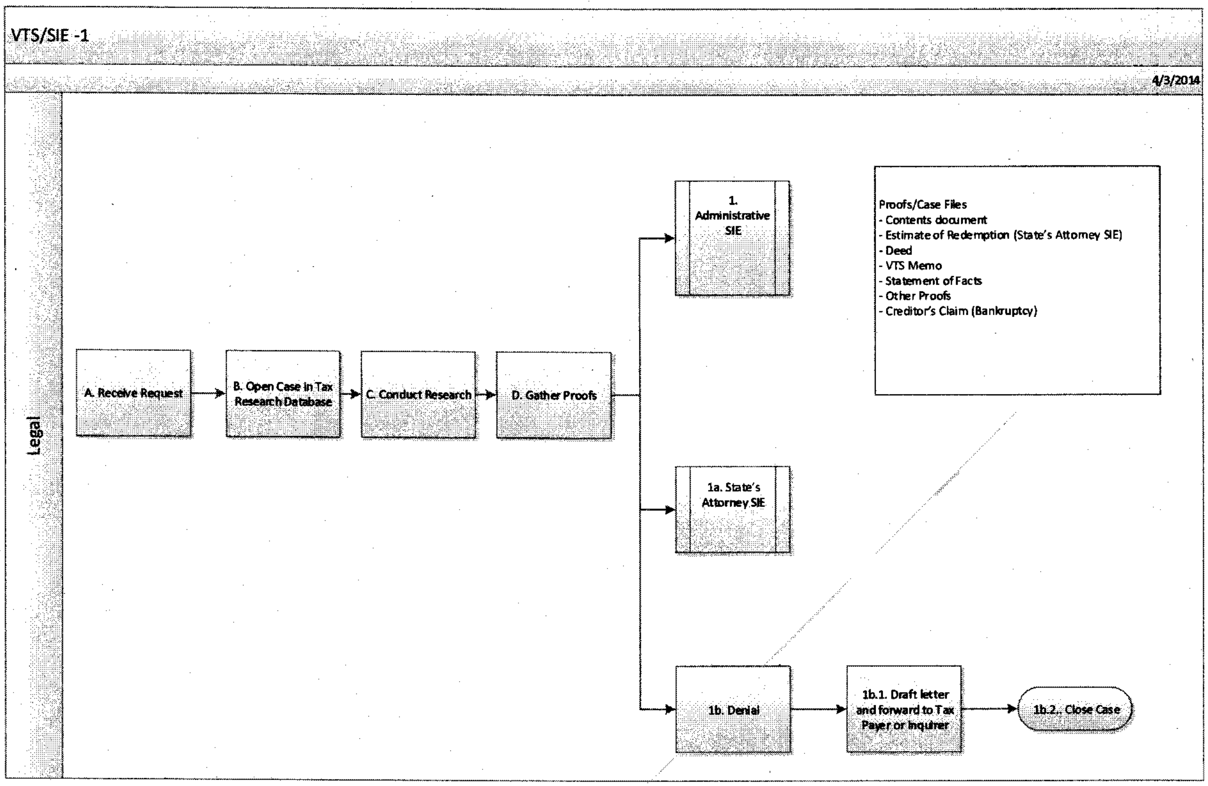
Penalty Waiver

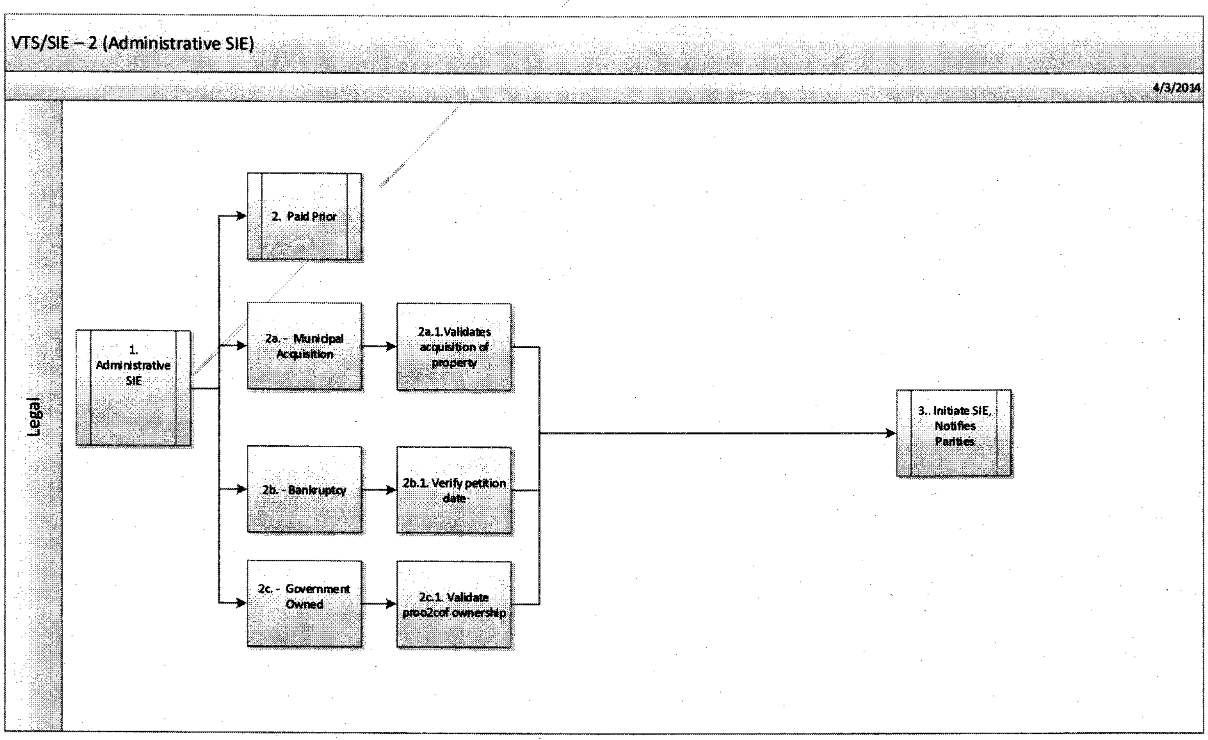


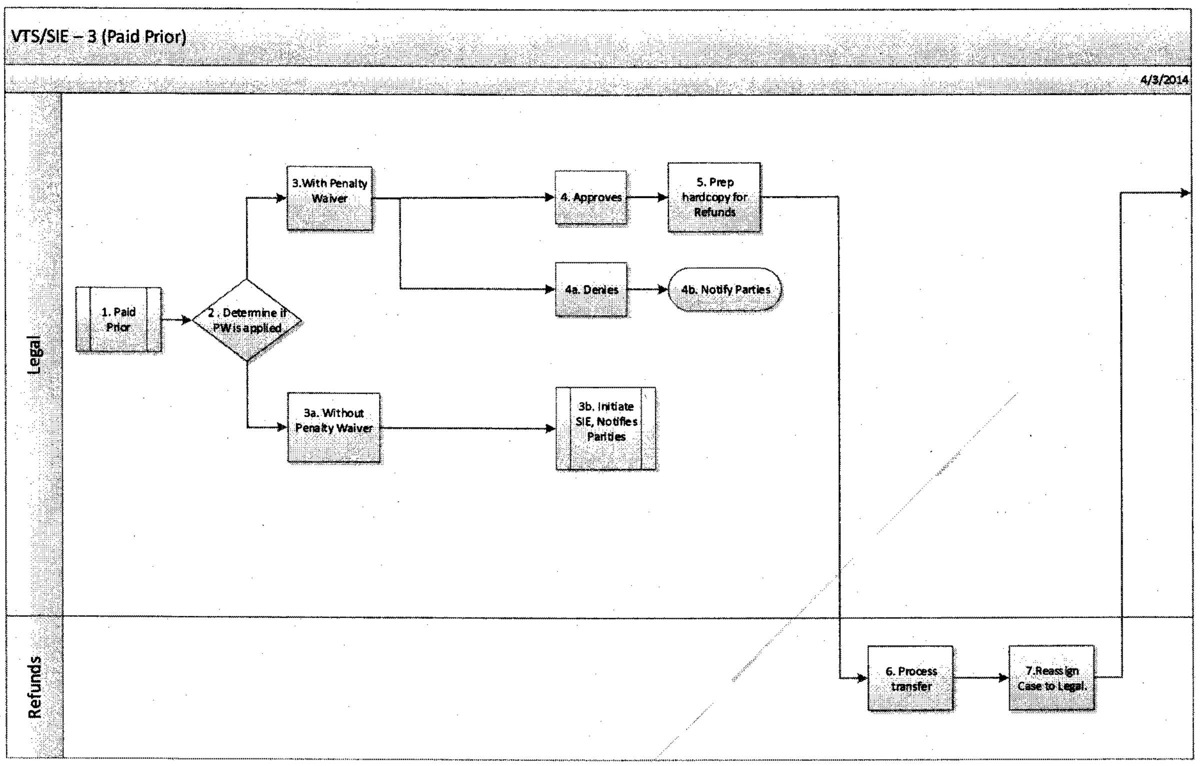
Refund

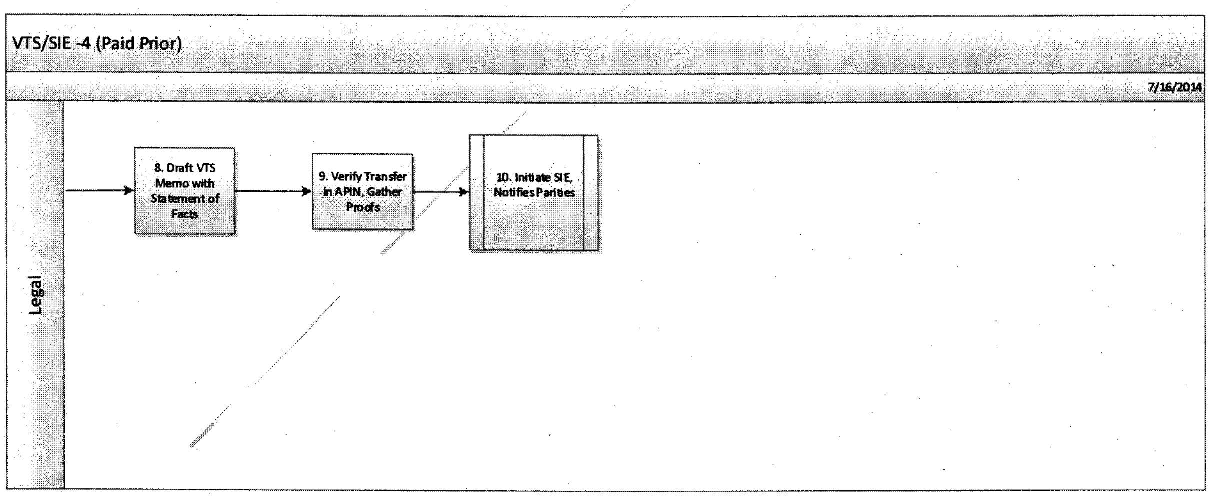

Refunds
Phase
Customer Service
Refunds
1. Receive Request
2. Open Case in Tax Research Database
3. Conduct Research
4. Gather Proofs
5.Determine Refund Type
5a. D&O
5b. CofE
5c. Transfer
5d. Other Refund
6. Forward to Refunds Department
7. Process Refund
7a. Contact TaxPayer

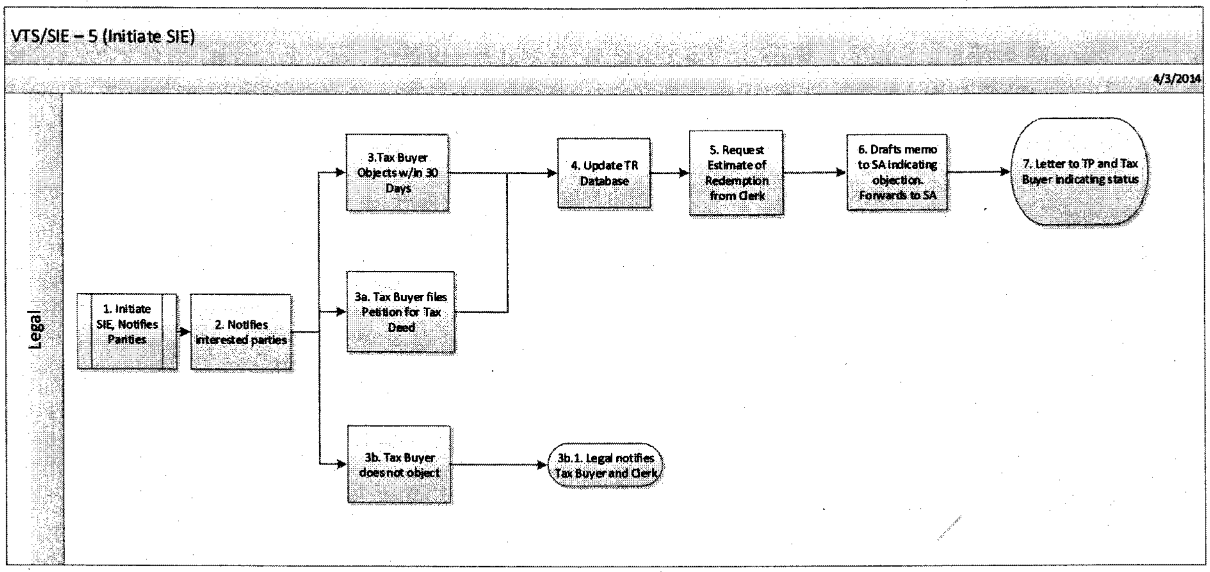
VTS/SIE

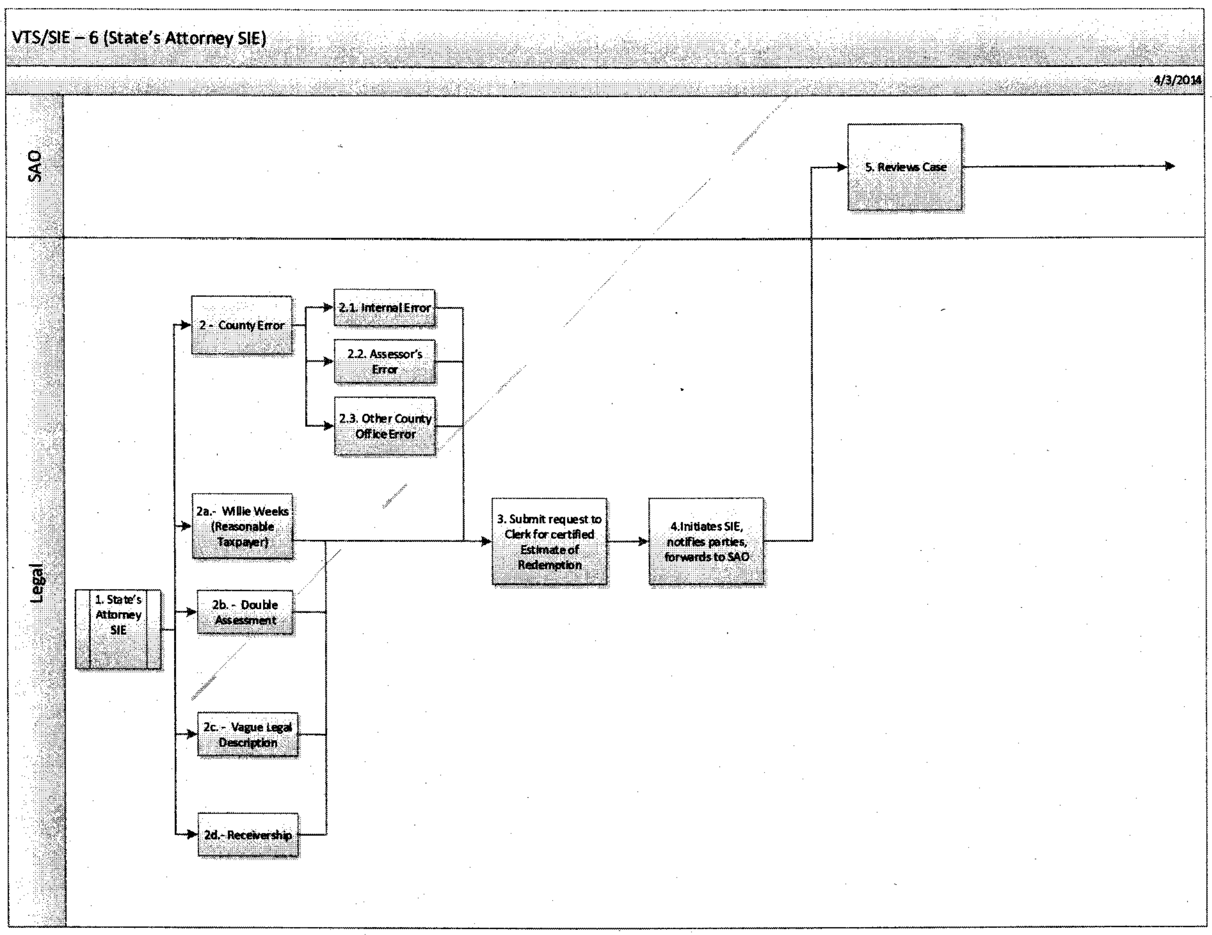

VTS/SIE -1
4/3/2014
Legal
A. Receive Request
B. Open Case in Tax Research Database
C. Conduct Research
D. Gather Proofs
1. Administrative SIE
1a. State's Attorney SIE
1b. Denial
1b.1. Draft letter and forward to Tax Payer or Inquirer
1b.2.. Close Case
Proofs/Case Files
- Contents document
- Estimate of Redemption (State's Attorney SIE)
- Deed
- VTS Memo
- Statement of Facts
- Other Proofs
- Creditor's Claim (Bankruptcy)

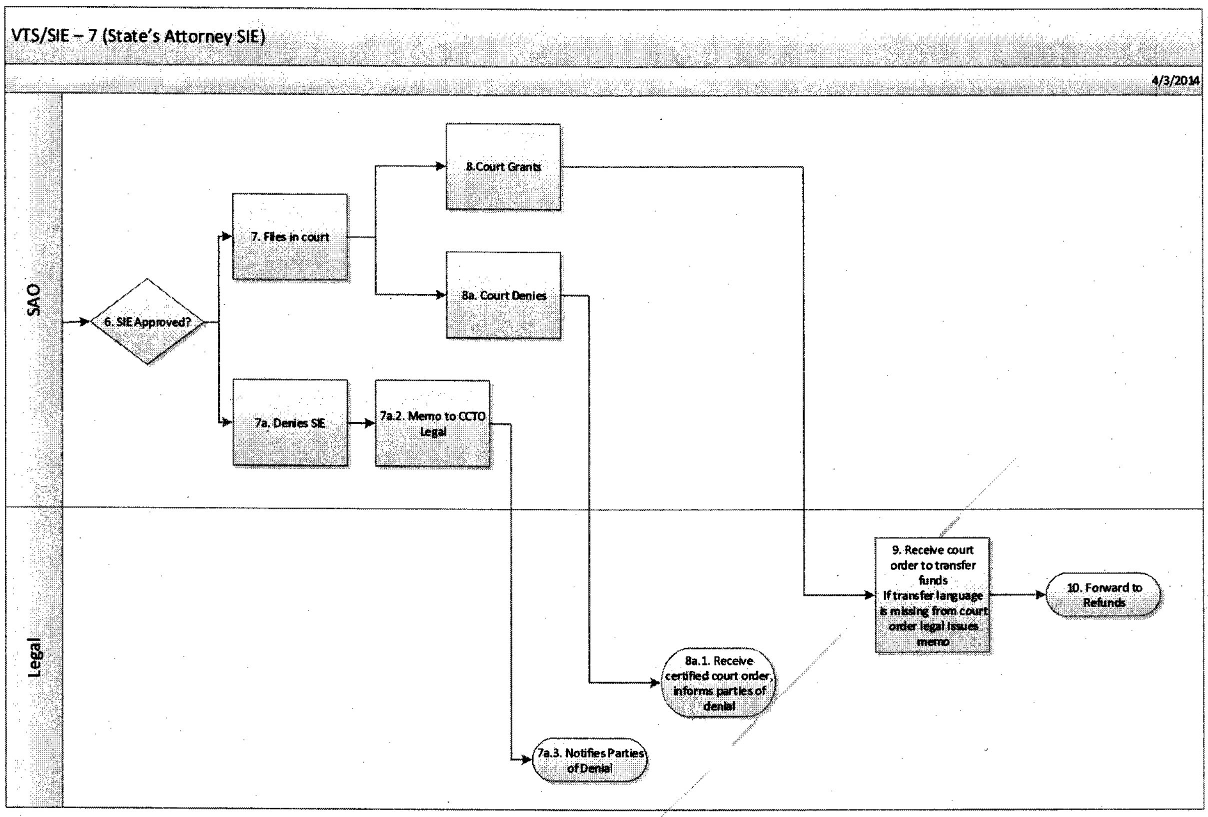

VTS/SIE – 2 (Administrative SIE)
4/3/2014
Legal
1. Administrative SIE
2. Paid Prior
2a. - Municipal Acquisition
2a.1.Validates acquisition of property
2b. - Bankruptcy
2b.1. Verify petition date
2c. - Government Owned
2c.1. Validate proo2cof ownership
3.. Initiate SIE, Notifies Parties


VTS/SIE – 3 (Paid Prior)
4/3/2014
Legal
Refunds
1. Paid Prior
2 . Determine if PW is applied
3.With Penalty Waiver
3a. Without Penalty Waiver
3b. Initiate SIE, Notifies Parties
4. Approves
4a. Denies
4b. Notify Parties
5. Prep hardcopy for Refunds
6. Process transfer
7.Reassign Case to Legal.

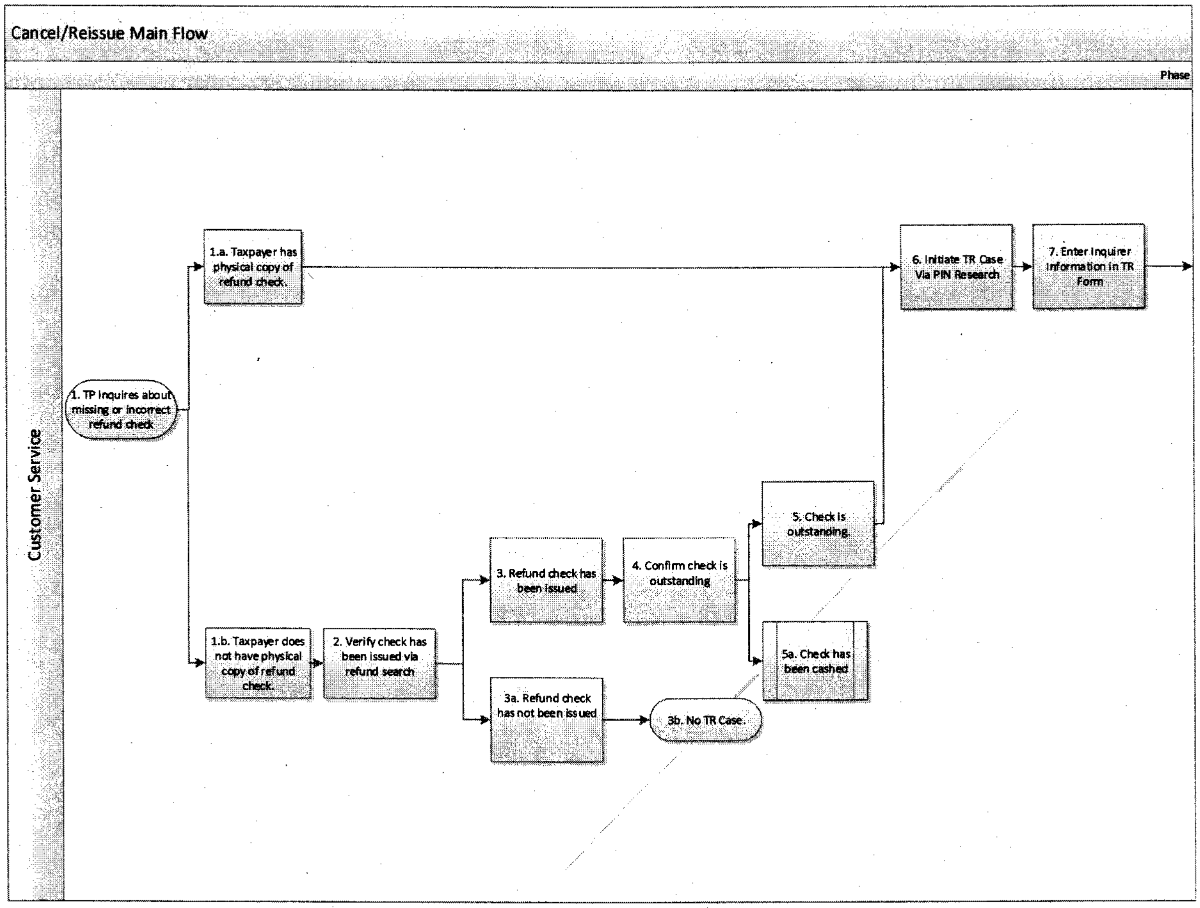

VTS/SIE -4 (Paid Prior)
7/16/2014
Legal
8. Draft VTS Memo with Statement of Facts
9. Verify Transfer in APIN, Gather Proofs
10. Initiate SIE, Notifies Parities

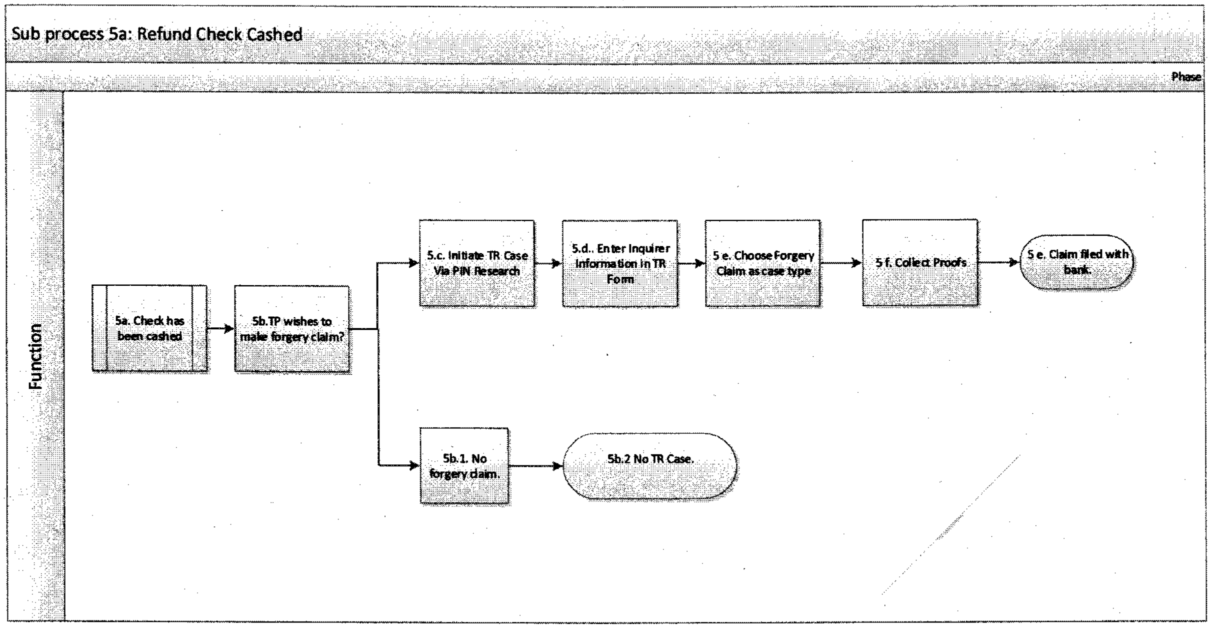

VTS/SIE – 5 (Initiate SIE)
4/3/2014
Legal
1. Initiate SIE, Notifies Parities
2. Notifies interested parties
3.Tax Buyer Objects w/in 30 Days
3a. Tax Buyer files Petition for Tax Deed
3b. Tax Buyer does not object
3b.1. Legal notifies Tax Buyer and Clerk
4. Update TR Database
5. Request Estimate of Redemption from Clerk
6. Drafts memo to SA indicating objection. Forwards to SA
7. Letter to TP and Tax Buyer indicating status


VTS/SIE – 6 (State's Attorney SIE)
4/3/2014
SAO
Legal
1. State's Attorney SIE
2 - County Error
2.1. Internal Error
2.2. Assessor's Error
2.3. Other County Office Error
2a.- Willie Weeks (Reasonable Taxpayer)
2b. - Double Assessment
2c. - Vague Legal Description
2d.- Receivership
3. Submit request to Clerk for certified Estimate of Redemption
4.Initiates SIE, notifies parties, forwards to SAO
5. Reviews Case

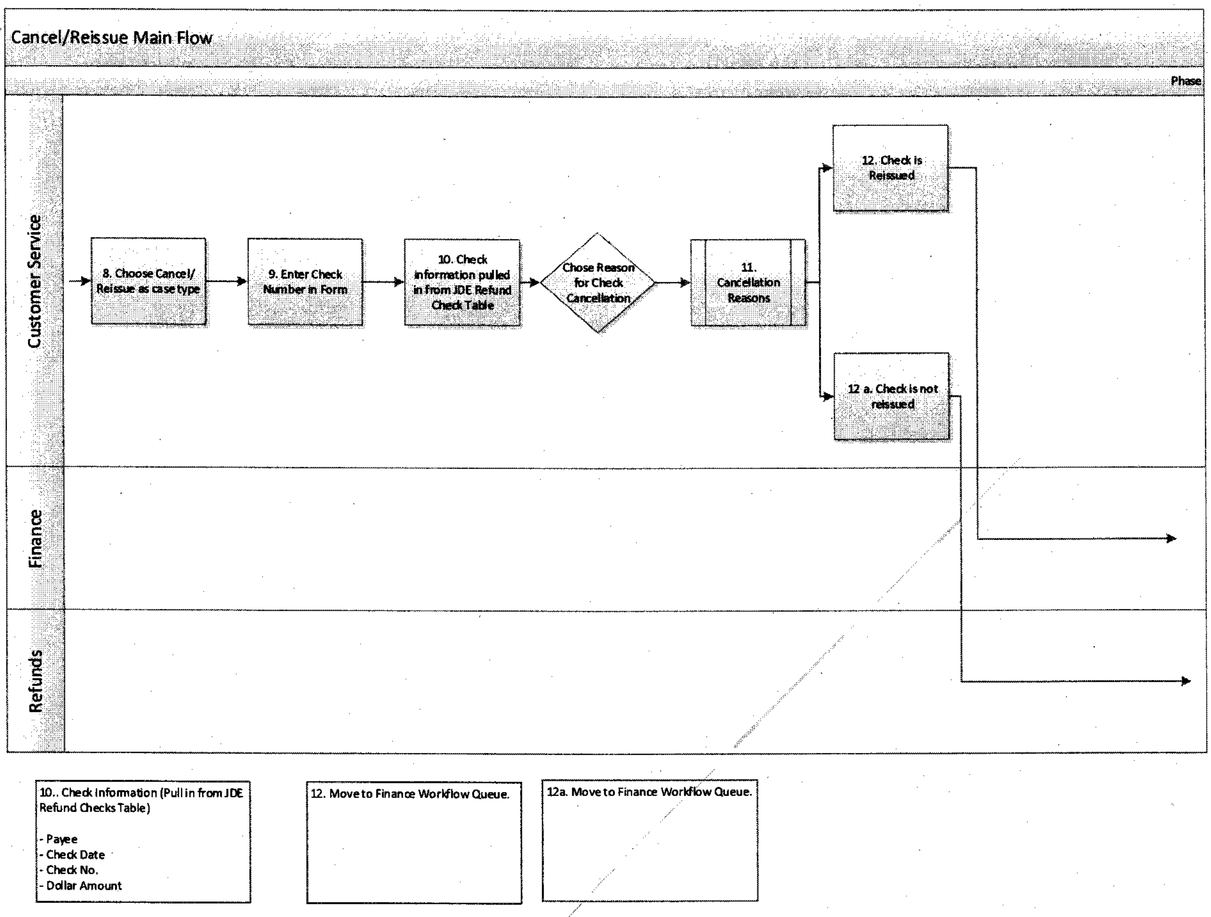

VTS/SIE – 7 (State's Attorney SIE)
4/3/2014
SAO
Legal
6. SIE Approved?
7. Files in court
8.Court Grants
8a. Court Denies
7a. Denies SIE
7a.2. Memo to CCTO Legal
9. Receive court order to transfer funds If transfer language is missing from court order legal issues memo
10. Forward to Refunds
8a.1. Receive certified court order, informs parties of denial
7a.3. Notifies Parties of Denial

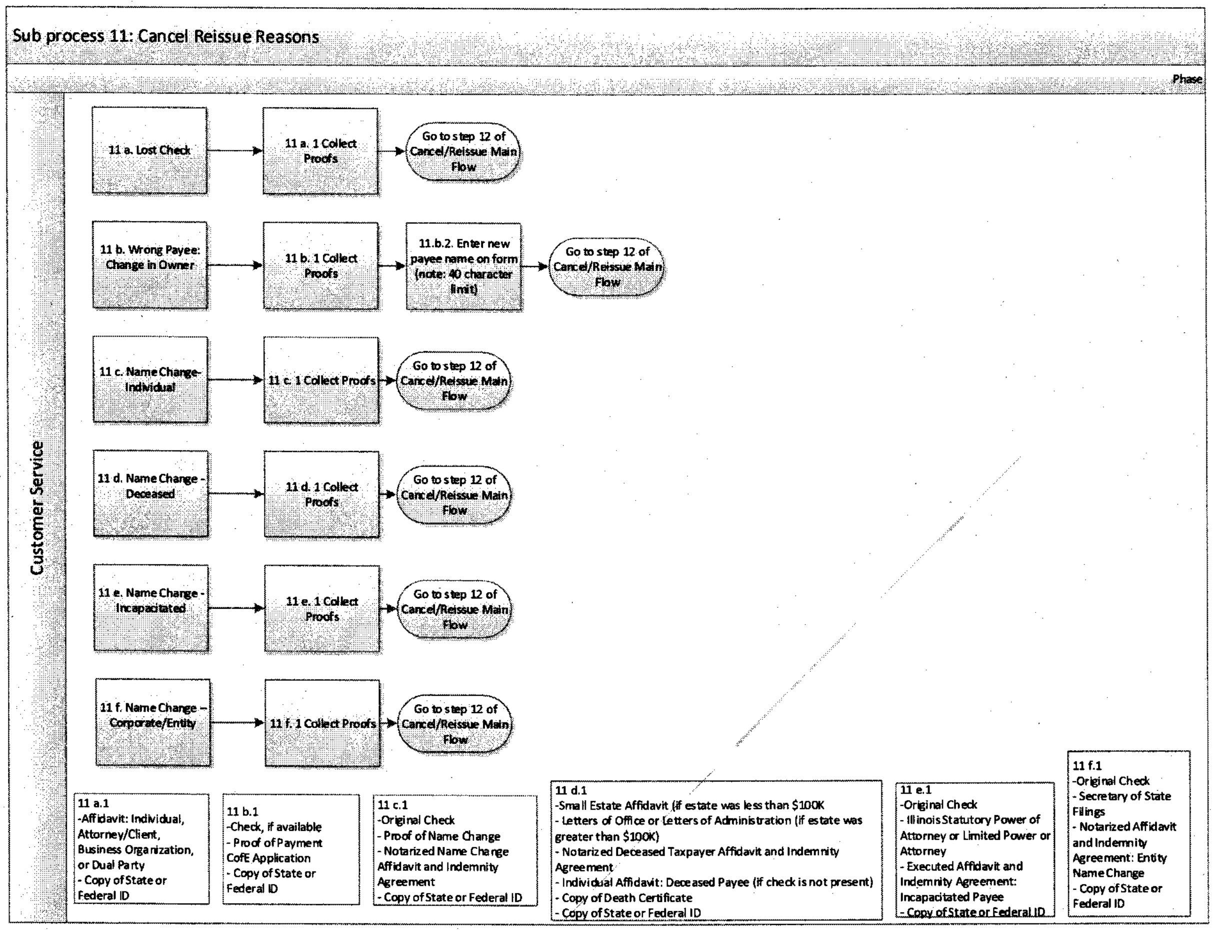
Cancel/Reissue

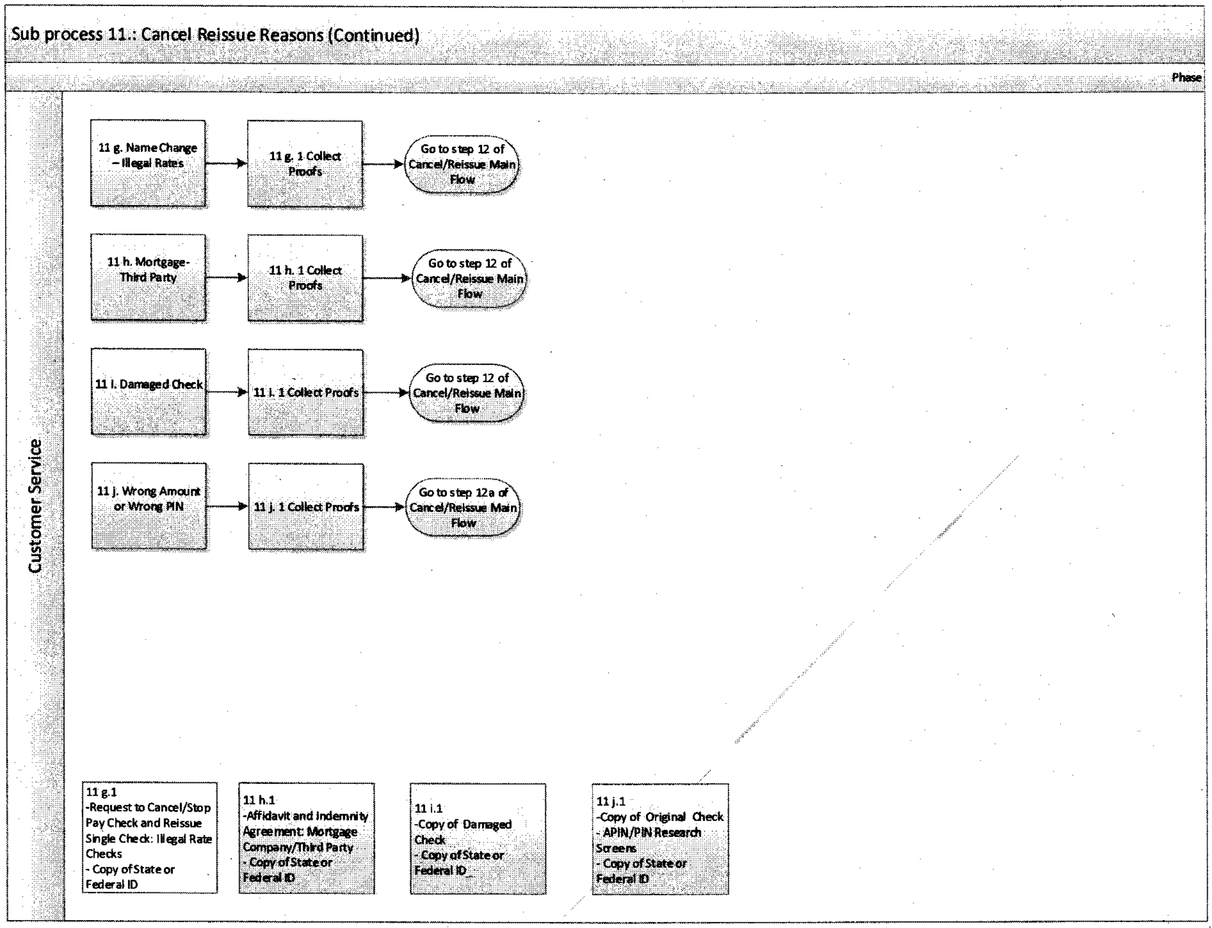


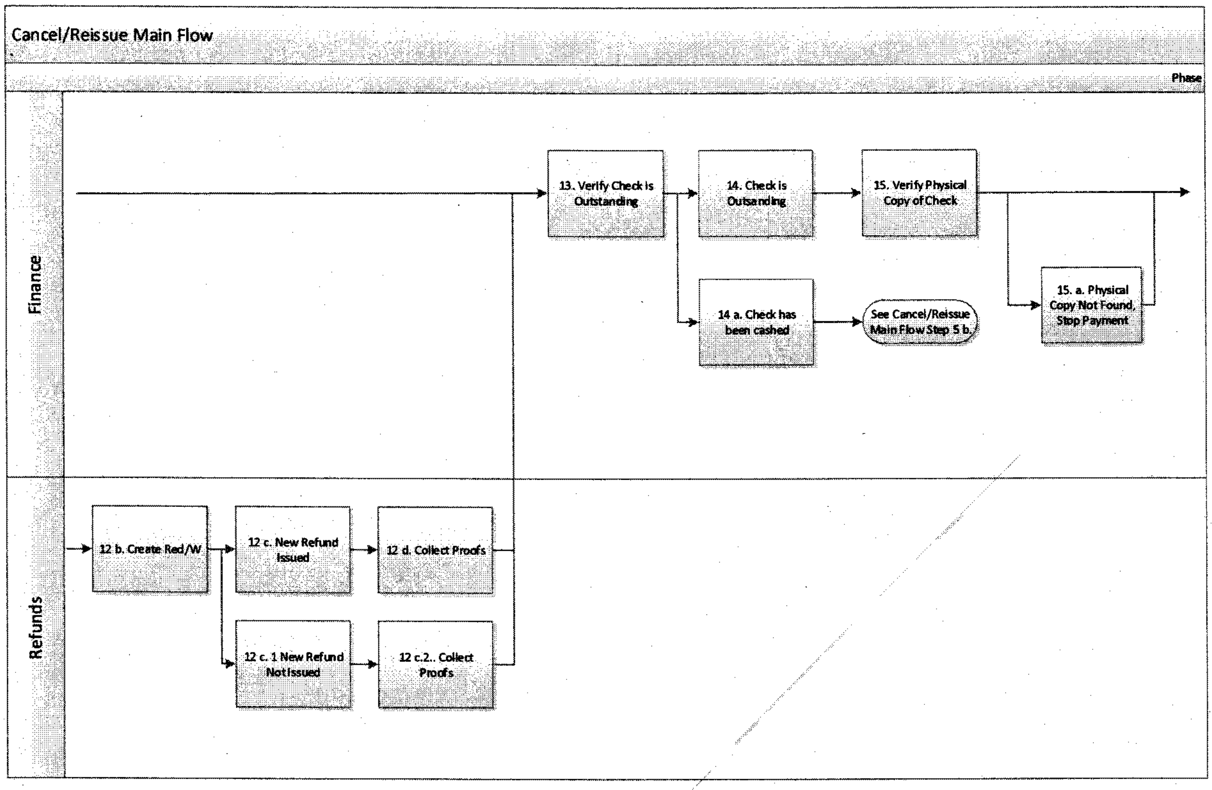


5. f.
- Copy of cashed check
- Affidavit as to Forged Endorsement of Check
- Copy of State or Federal ID


Cancel/Reissue Main Flow
Phase
Customer Service
Finance
Refunds
8. Choose Cancel/ Reissue as case type
9. Enter Check Number in Form
10. Check information pulled in from JDE Refund Check Table
Chose Reason for Check Cancellation
11. Cancellation Reasons
12. Check is Reissued
12 a. Check is not reissued
10.. Check Information (Pull in from JDE Refund Checks Table)
- Payee
- Check Date
- Check No.
- Dollar Amount
12. Move to Finance Workflow Queue.
12a. Move to Finance Workflow Queue.


Sub process 11: Cancel Reissue Reasons
Phase
Customer Service
11 a. Lost Check
11 a. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 b. Wrong Payee: Change in Owner
11 b. 1 Collect Proofs
11.b.2. Enter new payee name on form (note: 40 character limit)
Go to step 12 of Cancel/Reissue Main Flow
11 c. Name Change-Individual
11 c. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 d. Name Change - Deceased
11 d. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 e. Name Change - Incapacitated
11 e. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 f. Name Change – Corporate/Entity
11 f. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 a.1
-Affidavit: Individual, Attorney/Client, Business Organization, or Dual Party
- Copy of State or Federal ID
11 b.1
-Check, if available
- Proof of Payment
CofE Application
- Copy of State or Federal ID
11 c.1
-Original Check
- Proof of Name Change
- Notarized Name Change Affidavit and Indemnity Agreement
- Copy of State or Federal ID
11 d.1
-Small Estate Affidavit (if estate was less than $100K
- Letters of Office or Letters of Administration (if estate was greater than $100K)
- Notarized Deceased Taxpayer Affidavit and Indemnity Agreement
- Individual Affidavit: Deceased Payee (if check is not present)
- Copy of Death Certificate
- Copy of State or Federal ID
11 e.1
-Original Check
- Illinois Statutory Power of Attorney or Limited Power or Attorney
- Executed Affidavit and Indemnity Agreement: Incapacitated Payee
- Copy of State or Federal ID
11 f.1
-Original Check
- Secretary of State Filings
- Notarized Affidavit and Indemnity Agreement: Entity Name Change
- Copy of State or Federal ID

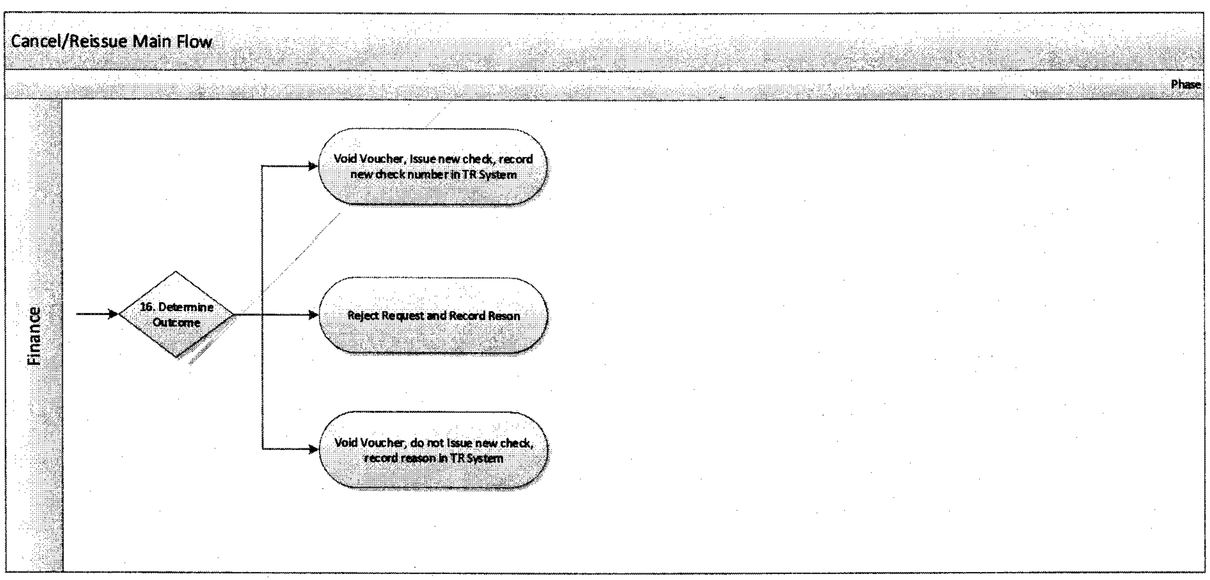

Sub process 11.: Cancel Reissue Reasons (Continued)
Phase
Customer Service
11 g. Name Change – Illegal Rates
11 g. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 h. Mortgage-Third Party
11 h. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 I. Damaged Check
11 I. 1 Collect Proofs
Go to step 12 of Cancel/Reissue Main Flow
11 j. Wrong Amount or Wrong PIN
11 j. 1 Collect Proofs
Go to step 12a of Cancel/Reissue Main Flow
11 g.1 -Request to Cancel/Stop Pay Check and Reissue Single Check: Illegal Rate Checks - Copy of State or Federal ID
11 h.1 -Affidavit and Indemnity Agreement: Mortgage Company/Third Party - Copy of State or Federal ID
11 i.1 -Copy of Damaged Check - Copy of State or Federal ID
11 j.1 -Copy of Original Check - APIN/PIN Research Screens - Copy of State or Federal ID



12. d. Details

12. c.2. . Details

When 12 b through 12 c. 2. are complete, move to Finance Queue.



Other Required Workflows

Correspondence Processing Workflow – High Level Overview

Incoming Mail is scanned in the Departments. The correspondence is indexed after scanning and triggers the creation of a Case record in the case management system. The correspondence is filed in the case record and foldered in the case folders.

Each case record triggers the specific case workflow.

Approval Processing for Correspondence Workflow – High Level Overview

All letters and outgoing correspondence will enter an approval workflow. The identity of the person generating the correspondence will determine who has approval responsibility for the correspondence.

A correspondence approval queue will exist which will be load balanced to the individuals who approve outgoing correspondence. After approval the correspondence will be sent to an approved correspondence queue which will be load balanced for staff to only see their own correspondence.

Notifications and notices will be used to inform staff when work is waiting for them in either queue.

Envelope printing and letter printing functionality will exist in the approved correspondence queue.

Document Types

No Opening Tax Letter
Correspondence Emails
Correspondence Letters
Proof of Payment
Proof of Mailing
Unjust Enrichment Letter
Proof of Ownership
D & O Application
Refund Check
Screen Shot
Letter to Non-entitled Party
SAO Payback Cover Letter
SAO Statement of Facts
SAO Document List
Estimate of Redemption
Cover Letter VTS Sale & Error
Creditor's Claim
SAO Letter to Tax Buyer
Bankruptcy Asset Schedules
SAO Objection Letter
Grant Letter to Tax Buyer
Grant Letter to Tax Payer
County Office Error Notification Letter
Court Order
Cancel Re-issue Form
Proofs
Certificate of Error
State or Federal ID
Proof of Name Change
Notarized Name Change Affidavit
Small Estate Affidavit
Notarized Deceased Affidavit
Letters of Administration
Individual Affidavit
Death Certificate
Power of Attorney
Incapacitated Payee Affidavit
Sec of State Filing
Entity Name Change Affidavit
Mortgage Company Affidavit

Primary Meta-data (unique identifiers)

PIN
Tax Year
Case Number

Document Composition

Finance Templates

ApprovedPaymentCorrection.docx

ApprovedMiscellaneousRefund.docx

ApprovedDuplicateRefund.docx

ApprovedCheckReduction.docx

ApprovedCertificateOfErrorRefund.docx

ApprovedSTOPS.docx

ApprovedGeneralCorrespondence.docx

ApprovedTransferRequest.docx

Legal Templates

Unjustly Enriched Letter - TEMPLATE.do

Opening Taxes - TEMPLATE.docx

Template - PW.docx

Letter to taxpayer Admin.doc

VTS Pending for Steve Kidd at Clerk.do

Letter to taxpayer SAO.doc

Letter to taxbuyer.doc

COVER PAGE TO SAO.doc

Case Types

Finance Case Routing

Cancel Re-issue
Missing Payment
K Refunds

Refunds Case Routing

Transfers
W Refunds
Duplicate and Overpayment
Payback - Certificate of Error
Misc. Refunds

Legal VTS Case Routing

Vacate Tax Sale – Administrative
Vacate Tax Sale – State's Attorney

Legal Exceptions Case Routing

Paid in Error
Payback
Penalty Waivers
Missing Payment
General Correspondence

- This is where cases start. Cases can require multiple areas and routing between areas.

Case Load Management

Finance – Round Robin with load balancing – requires administrative exceptions – requires out of office exceptions

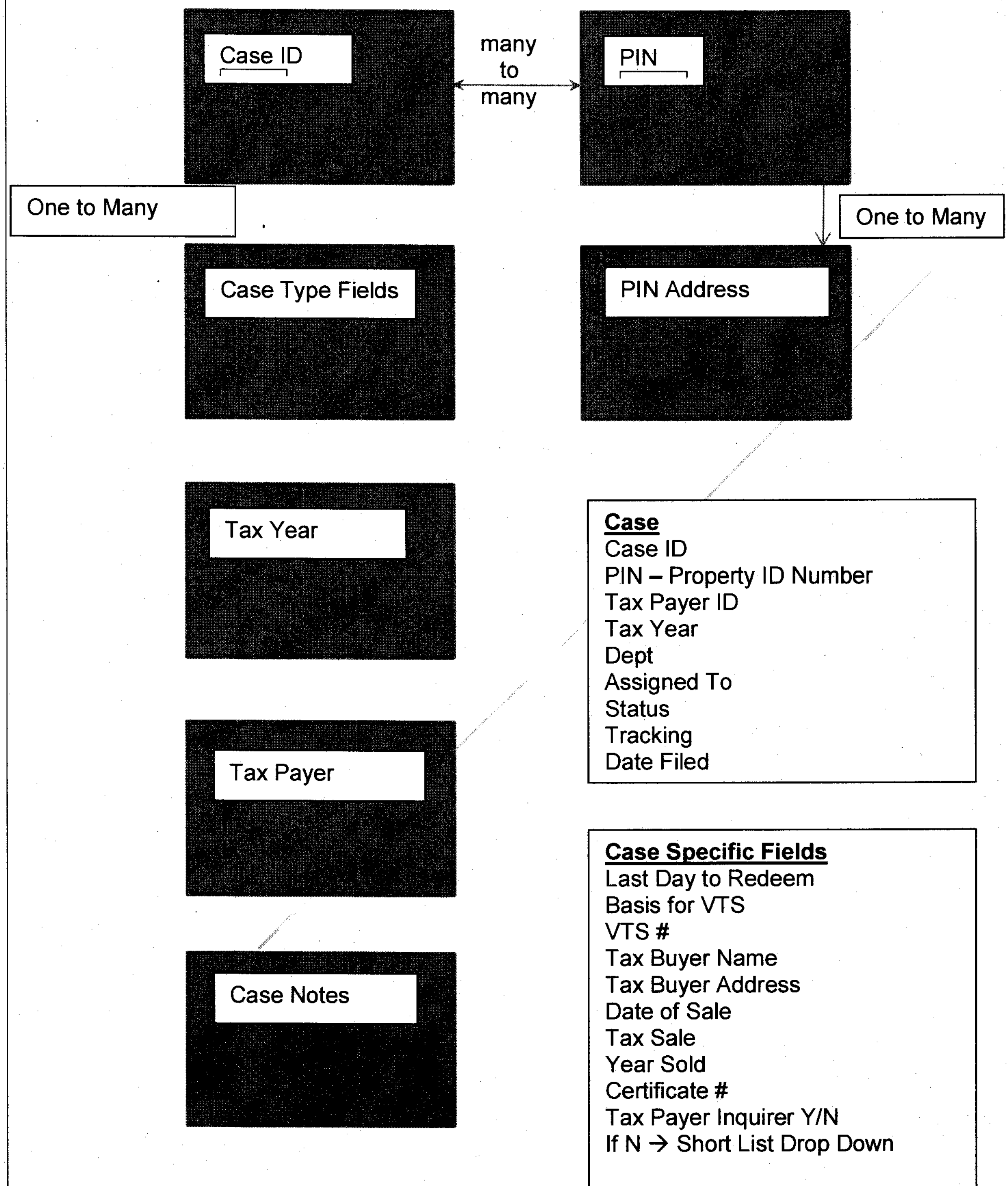
Legal – Assigned by Supervisor (check box)

Assigned To Field
Assigned Date/Time Stamps

Key Features

Desired Functionality – Re-Open Closed Cases, Purge Weird Things
Desktop Scanner Environment to eliminate delay for scanned images
Scanners at Front Office locations for public service
Text Searching
Ad Hoc OCR
Automated Redaction option
Outlook 2013
Office 2013
Document Composition/Mail Merge
Case Folders (chronological)
PIN Folders (chronological)
Convert Existing MS Access data
Records Management
Download PIN Data from Mainframe (Autofills)
Validation of PIN Data
Signatures often require notarization
Workflows for each Case Type
Public Portal to Accept Documents from Constituents
Intranet integration for in-house staff

High Level Case Structure



Integration to DataBank Web Portal

OnBase Functionality on Web Portal

Initiate Question Forms – This is a structure eform which guides the constituent user to ask relevant questions regarding their tax issue.

Access Public Documents – This provides access to documents the Treasurer's Office has made public.

Submit Supporting Documents – After a User enters their PIN, the system provides a list of outstanding cases, the users selects their case and an option is presented to complete a pre-filled eform which helps to define the type of documents being submitted. Documents can be attached to the eform.

Download Case Documents – Treasurer Case Workers can put documents on the public website for Constituents to download.

Check Status of Case – Constituents can check on the website for the status of their cases.

Integration to Treasurer's Office Intranet

OnBase Functionality on Treasurer's Office Intranet

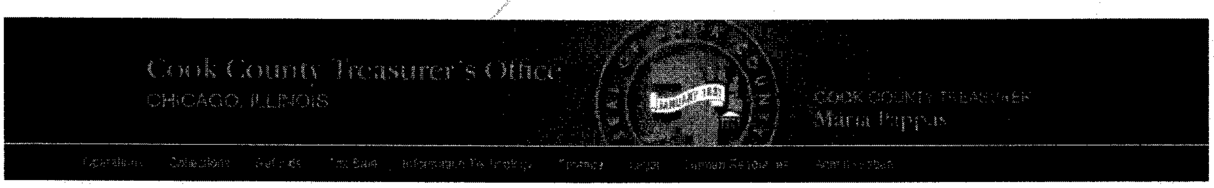
- Scan Supporting Documents
- Access Case Management/Workview
- Access Case Workflows
- Ability to initiate a new case from PIN Research
- Access existing Tax Research Cases from PIN Research

The agency would like the Intranet site to be the primary resource for their users to access the OnBase solution.

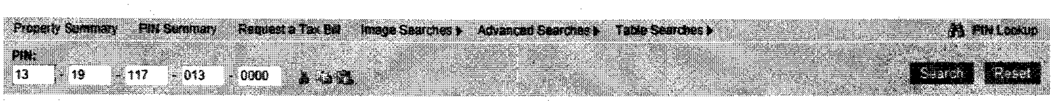
Customer Service Representative will initiate transaction using PIN Research, an internal .NET application.

PIN Research (Property Summary)

Existing Tax Research cases are identified on PIN Research:



PIN Research (Property Summary)



Search results for PIN 13-19-117-013-0000 (ALL TAX YEARS SHOWN)

JAMES R HAMPE 3823 N NEWCASTLE AV CHICAGO IL 60634-2353

PIN Summary

2013 Current Tax
2012 Current Tax
2011 Current Tax
2010 Current Tax
2009 Current Tax
2008 Current Tax
2007 Current Tax
2006 Current Tax
2005 Current Tax

Image Searches

⊟ Coupon and Check Images

Tax Year 2010	4
Tax Year 2009	4
Tax Year 2008	2
Tax Year 2007	4
Tax Year 2006	2
Tax Year 2005	2

⊞ Post Penalty Envelope Images

Advanced Searches

Correspondence Letters	0
STOPS Letters	0
Duplicate and Overpayment Refunds	0
Sold and Forfeited Tax Status	0
Tax Research Cases	1
Notes	0
Historical Summary	21

Any notes from the Tax Research Database are displayed:

Operations Collections Refunds Tax Sale Information Technology Finance Legal Human Resources Administration

PIN Research (Tax Research Cases)

Property Summary PIN Summary Request a Tax Bill Image Searches ▸ Advanced Searches ▸ Table Searches ▸ PIN Lookup

PIN: 13 - 19 - 117 - 013 - 0000 Search Reset

Search results for PIN 13-19-117-013-0000 **(ALL TAX YEARS SHOWN)**

Reference Number 029817: Tax Year 2009 (Installment 1)

5/3/2011 10:09:00 AM
Penalty Waiver Approved forwarded back to Tax Research.

5/2/2011 2:47:00 PM
submitted to legal for pw.

5/2/2011 11:47:00 AM
TP made a payment at Chase Br#555 on 12/2/10 iao $1,056.37. Chase lost the payment. TP has provided a replacement check. Requesting a pw to backdate payment to original payment date.

Date Forwarded Not On File
pw approved payment submitted to collections.

Project Management

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

DataBank shall perform Sprints and Releases to successfully reengineer and automate the Treasurer's Tax Research 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 Treasurer's Tax Research processes described in the RFP, 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 the RFP 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 the appropriate County users. Databank shall ensure that the County has sufficient licensing and rights to access AxoSoft, and County data in AxoSoft, at no additional cost.

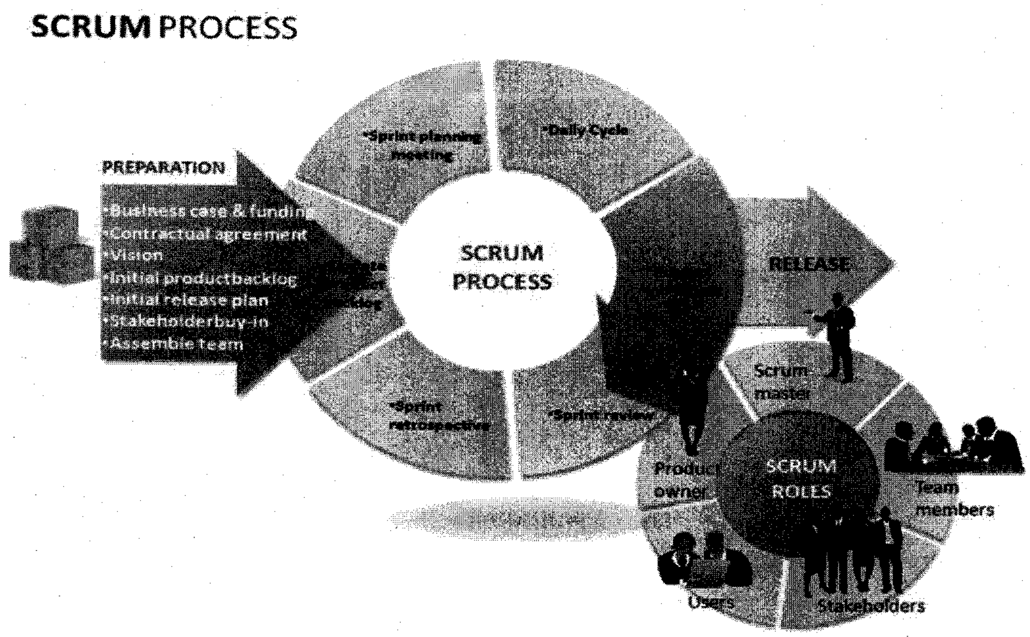
Databank shall work with the County's business owner to choose and reprioritize stories, and possibly add stories discovered later in the process in exchange for the elimination of a lower priority items.

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 and remaining hours or work or work can be diverted to more complex areas of a process.

DataBank 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 Treasurer's Tax Research 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.



Credit: cPrime Consulting

DataBank Scrum Process Responsibilities

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

1. **Perform Sprints (Repetitive Iterations) and Releases** – DataBank shall utilize 2 sprints.
2. Sprint Planning – Databank shall organize a planning meeting that kicks-off the start of each sprint. 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 Treasurer's Tax Research staff.
8. Client Acceptance – Approval of the user stories that meet the client defined acceptance criteria following each sprint.

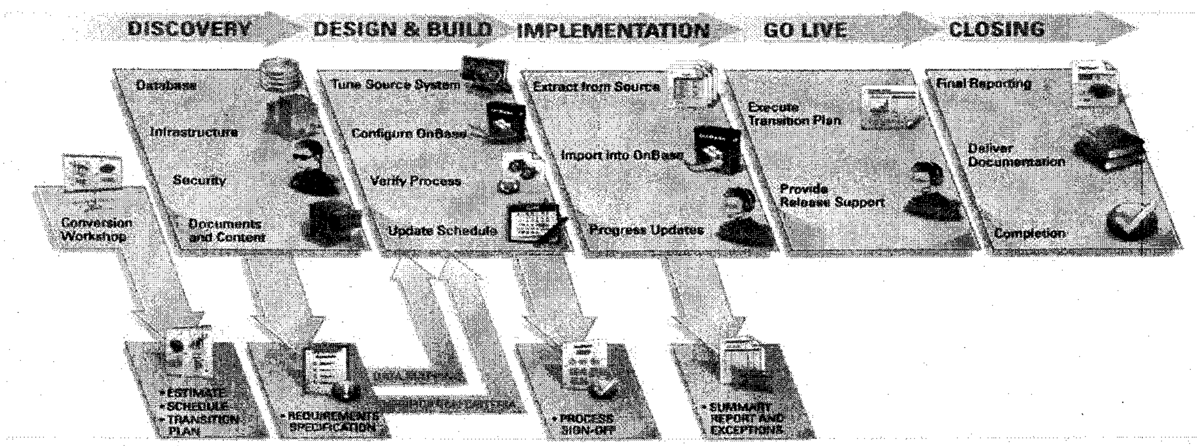
9. Sprint Retrospective – Since Scrum values consistent process improvement and efficiency, after each sprint, DataBank's team shall review the execution for the previous sprint and look for opportunities to improve, increase quality and provide more value for the County.
10. Release Reviews – Milestone – 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.

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.

Data Conversion from MS Access



DataBank has an established practice for the migration of data from 3rd party systems to the OnBase solution. This is migration involves exporting the data objects and then mapping them to their equivalent place in OnBase. Documents, notes, revisions and redacted images can be migrated as well when appropriately identified early in the process and available in the system of origin.

The DataBank process contains 6 phases to the process. 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.

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 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.

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 will 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 will be run in the customer's test system. This test will 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.

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. The Database team always strives to have data correct on the initial pass but understands that data and needs may evolve during the project and cause additional iterations to be performed.

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 will 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.

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 often 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. The only difference is here we are looking to migrate only new or modified information into the system.

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 often 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.

Phase 6: Project Completion

Goal: Customer sign off is achieved and the system is ready for use.

Steps:

1. Customer verifies the information in the system is correct and there is no more information to be processed. All verification reports are clean and the system is ready for use with all legacy information present.

At this point in the project any documentation will be exchanged and the project will considered complete.

Software Seat Calculations

Since the majority of users are going to require scanning licenses, we have proposed the Production Scanning License instead of a Desktop Scanning license. The rationale is that the Production Scanning License comes with a Concurrent Client, the desktop Scanning License does not. While the Production Scanning License is more expensive it is less expensive than a Seat license and a Desktop Scanning license.

The seat/scanning licenses are calculated as follows:

Customer Service	3 scanning licenses (6 scanners for peak times)
Mail Room	1 scanning license
Legal	6 scanning licenses
Finance	3 scanning licenses
Refunds	3 scanning licenses

Concurrent Seats – this is a small pool of 5 seat licenses for the intermittent users.

IT Department – there are 2 named seat licenses for the IT Department.

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)	$ 0.00 *
1.02	Support and Maintenance - SW Only (3 Years)	None via this contract.
1.03	OnBase and DataBank Portal Software **	$ 0.00
1.04	Hardware	None via this contract.
1.05	Professional Services Cost - Total ***	$ 308,316.14
1.06	Total Project Cost Excluding SW and HW	$ 308,316.14

*Assumes all annual maintenance of OnBase Software modules is included in line 1.02. Annual maintenance for the DataBank Portal will be required and will be included under a separate contract amendment.
** All pricing is based upon the proposed software modules below. All OnBase software is excluded from this contract and will be purchased via another contract. The DataBank portal will be required and will be included under a separate contract amendment.
***All Professional Services Costs are detailed below.

DataBank's ability to perform under this contract amendment is conditioned upon the County purchasing the OnBase Software modules below and upon the County purchasing the DataBank Portal software. The DataBank Portal software is a $50,000.00 module with 20% annual maintenance.

6.1 Support and Maintenance Pricing Details

ID	Support and Maintenance Service Type	Description	Unit of Measure	Cost per Unit	Quantity	Total Cost (3 years)
2.001	Software Support and Maintenance	Not Applicable. The County will purchase software support and maintenance via its countywide software contract. The DataBank Portal Software will be purchased under a separate contract amendment.	Year	n/a	1	$
ID	Software	Module Name (OnBase or 3rd party)	Unit of Measure	Cost per Unit	Quantity	Total Cost
2.004	OnBase Software	Not Applicable. The County will purchase software via its countywide software contract.	n/a	n/a	n/a	N/A
2.005	DataBank Portal Software	The County will purchase all other OnBase software via its countywide software contract. The DataBank Portal will be purchased under a separate contract amendment.	Server	n/a	1	$
ID	Hardware	Specifications	Unit of Measure	Cost per Unit	Quantity	Total Cost
2.006	Hardware such as servers, printers, or other	Not Applicable. The County will purchase hardware via its	n/a	n/a	n/a	$ -

	peripherals.	countywide hardware contract.			
2.007				$	-
		Support, Software, and Hardware Costs - Total		$	0.00

6.2 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. Off-site resources shall be billed at the following rates:

	Role	Hourly Rate
1	Project Manager	$ 209.00
2	Quality Manager	$ 209.00
3	Solutions Engineer	$ 219.38
4	Business Analyst	$ 219.38
5	Trainer	$ 209.00
6	Technical Support	$ 195.00

Proposed Software Modules and Services Detail

Software

Product / Module Name	Product Code
Multi-User Server	OBIPW1
Concurrent Client	CTIPC1
Named User Client (1-100)	CTIPN1
Production Document Imaging (TWAIN)	TIIPW1
Production Document Imaging (TWAIN) (2+)	TIIPW2
Desktop Document Imaging (Unlimited)	AIIPW3
Bar Code Recognition Server	BSIPW1
Ad-hoc Document OCR	AOIPW1
Automated Redaction	ARIPW1
Virtual Print Driver	PTIPC1
Document Import Processor	DPIPW1
Workflow/WorkView Concurrent Client SL (1-20)	WWIPC1
Workflow/WorkView Named User Client SL (1-20)	WWIPN1
Document Composition	ADIPI1
Web Server	WTIPW1
Unity Client Server	UNIPI1
StatusView	STIPI1
EDM Services	DMIPI1
Office Business Application for 2013 (Concurrent)	OIIPC1-13
Full-Text Indexing Server for Autonomy IDOL	IDIPI1
Full-Text Indexing Concurrent Client for Autonomy IDOL	IDIPC1
Integration for Microsoft Outlook 2013	OLIPI1-13
Report Services	RPIPI1
Query API (Initial 500 queries/hour) (Core)	APIPQ3

DataBank Public Portal	
Unity Integration Toolkit	UIIPI1
Single Sign-On for Microsoft Active Directory Service	SNIPI1
Single Sign-On for Microsoft Active Directory Federation Services	SNIPI15
Records Management	RIIPI1
Distributed Disk Services	DSIPI1

Services	**Cook County Hourly Rate**	**Proposed Hours**	**Sub-Total Services**
Project Management	$ 209.00	221	$ 46,189.00
Detailed Discovery	$ 209.00	80	$ 16,720.00
Installation	$ 219.38	32	$ 7,020.16
Hardware Configuration	$ 219.38	24	$ 5,265.12
Configuration	$ 219.38	255	$ 55,941.90
Case Management Configuration	$ 219.38	164	$ 35,978.32
Workflow Configuration	$ 219.38	330	$ 72,395.40
Public Portal Configuration	$ 219.38	120	$ 26,325.60
Intranet Integration	$ 219.38	80	$ 17,550.40
MS Access Data Conversion	$ 219.38	24	$ 5,265.12

Training				
- Technical Training (System Administration)	on-line	$ 2,800.00	1	$ 2,800.00
- Technical Training (Introduction to Workflow)	on-line	$ 2,800.00	1	$ 2,800.00
- Technical Training (Introduction to Case Management)	on-line	$ 2,800.00	1	$ 2,800.00
User Training (Train the Trainer)	on-site	$ 3,000.00	2	$ 6,000.00
Go-live Support		$ 219.38	24	$ 5,265.12
Total Services				$308,316.14
Total Hours			1354	

Appendix A: Tax Research Inquiry Form

Updated 08/11/10

COOK COUNTY TREASURER'S OFFICE
CUSTOMER SERVICE/TAX RESEARCH
INQUIRY FORM

Request Received By:

☐ Mail ☐ CRM E-mail
☐ Walk-in ☐ Call Center

Today's Date: ____________

Respond By: ____________

Tax Research No.: ____________

Taxpayer Information:

Property Index Number (PIN): ____ - ____ - ____ - ____ - ____

Volume: ________ Tax Year: ________ Installment: 1st or 2nd

Taxpayer Name/Contact Person: ____________________________

Address: ____________________________

City: ____________ State: ______ Zip: ________

Daytime Phone: ( ) _____ - ______ Fax: ( ) _____ - ______ - ______

Email Address ____________________________

Inquirer (Circle One): Taxpayer Lawyer Mortgage Co. Title Co. Tax Buyer

Origin of Payment (Circle One): Downtown Office Chase Branch Internet Mail

Payment made By: Cash Check Internet Mortgage Co. Title Co.

Tax Research Required For:

☐ Missing Payment ☐ Chase Issue
☐ Misapplied Payment ☐ VTS-Vacate Tax Sale
☐ Proof of Payment/Refund ☐ SIE-Sale in Error (Refund)
☐ Transfers ☐ Other (Explanation Required)

Comments:

____

____

____

____

Employee's Name: ____________ ** For VTS/SIE Inquiry, please complete back page.

Sold Tax Year(s) ____________________ Date Taxes Sold: ____________________

Redemption Expiration Date: ____________________

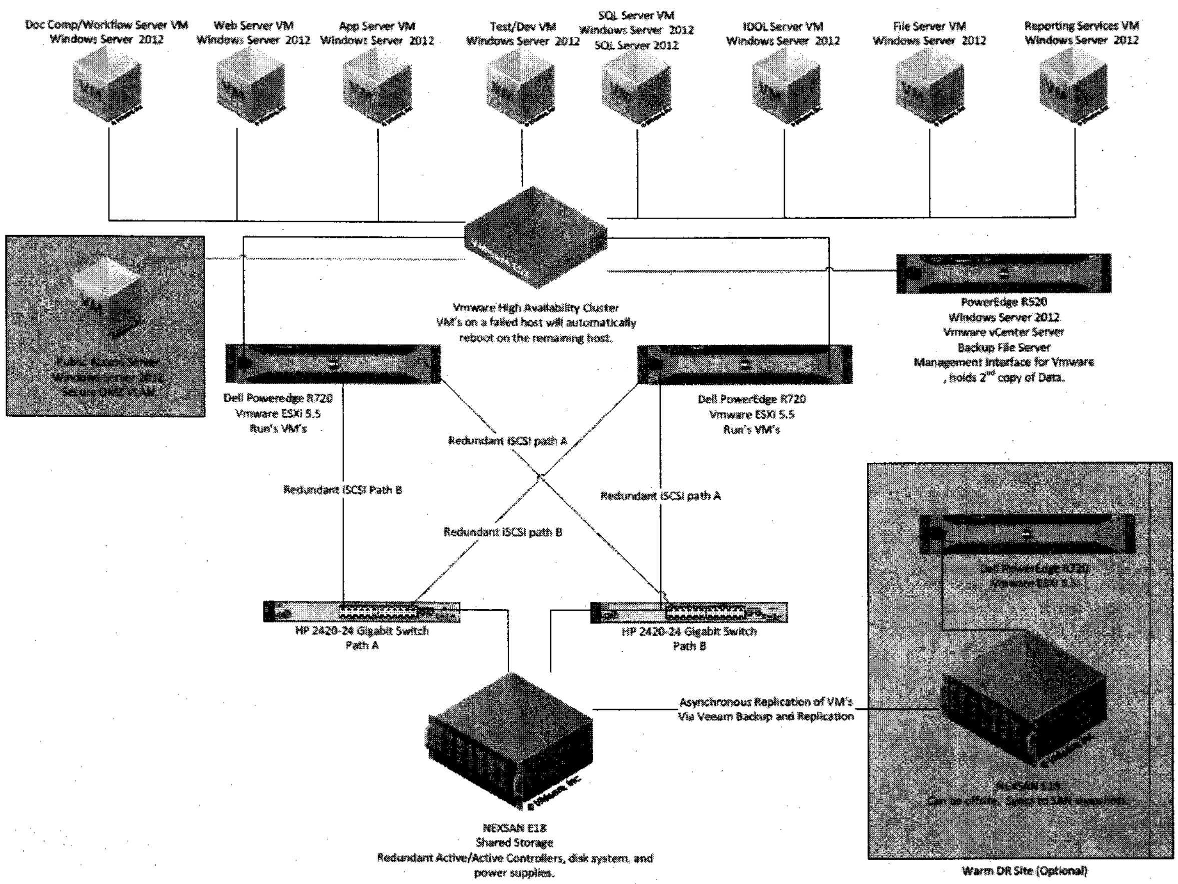
Reasons for Asserting the Sale was in Error

List of Documentation Necessary for Most Common Types of VTS/SIE Bases
Note that certified judgment book pages are necessary for each VTS request

VTS Reason (Check Box)	Documentation Required (Check Boxes when documents are attached)
☐ **Property Exempt From Taxation** -Not subject to taxation Municipal Acquisition Merger into tax deed	☐ APIN screens showing C of E for sale (or prior included on certificate) year(s) ☐ CCAO documentation showing finalized C of E for sale (or prior) year(s) ☐ 1-100 (aka 216e) letter notifying CCTO of acquisition of property by municipality ☐ DOR exemption/Injunction final order/court order including subject year(s) ☐ Recorded deed showing municipal ownership – deed year and prior taxes ☐ Entered court order merging subject taxes into a tax deed
☐ **Paid Prior to Tax Sale**	☐ Transfer applications and penalty waiver if applicable ☐ APIN screen shots showing applied payment ☐ Payment images for subject year ☐ Deed showing taxpayer ownership of sold PIN ☐ Breakdown books/Judgment books/redemption certificate indicating that sold year(s) was satisfied through prior tax sale
☐ **Double Assessed**	☐ Letter from the Cook County Assessor's office
☐ **County Error**	☐ Name Change application processed incorrectly ☐ CCAO and/or Clerk letter and supporting documentation indicating error
☐ **Willie Weeks** -Willie Weeks (Taxpayer reasonably paid taxes, e.g. payment on wrong PIN when no overpayment made to transfer)	☐ PIN paid incorrectly APIN screens ☐ PIN Payment Summary and payment images for incorrect PIN showing requestor payments ☐ Incorrect CCRD screen and deed showing requestor ownership ☐ Correct PIN APIN screens and PIN Payment Summary ☐ Correct PIN CCRD screen and deed showing requestor ownership
☐ **Bankruptcy** (Case active at time of sale)	☐ PACER page showing Bankruptcy case active at time of sale ☐ Bankruptcy complaint including schedule A indicating PIN listed in assets ☐ Deed showing debtor's ownership of subject PIN
☐ **Government Owned**	☐ Deed showing current governmental entity ownership ☐ 21-100 (aka 216E notice letter) ☐ Final condemnation order showing governmental acquisition. ☐ Letter from governmental entity asserting PIN ownership.
☐ **Military Personnel**	☐ Military Personnel Waiver Form (CCTO) ☐ Orders showing active duty status for sale year (note that military personnel have up to 180 days after termination of active duty to pay without penalty)

Supervisor Approval:________________________________ **Date**____________

Appendix B – Hardware Recommendations



Server Software

On Premise Only -Windows Server 2012 R2 Datacenter		License	$ 6,850.00	3	$ 20,550.00
On Premise Only - SQL Server 2012 Standard 2-Core		License	$ 4,350.00	2	$ 8,700.00
On Premise Only -Windows Server 2012 R2 Standard		License	$ 950.00	1	$ 950.00
VMware vSphere Standard v.5 - 1 Processor		License	$ 995.00	6	$ 5,970.00
VMware vCenter Server Standard v.5		License	$ 4,995.00	1	$ 4,995.00
Veeam Backup and Replication Enterprise		License	$ 1,250.00	4	$ 5,000.00

Proposed Hardware Environment

Dell PowerEdge R820 Server: Four Xeon E5-4620 Processors, PERC H710p RAID Controller, 128 GB Memory 1333 Mhz, Four 900 GB 10k RPM SAS Hard Drives, 3 years ProSupport, Mission Critical Package	Server	$ 17,995.00	1	$ 17,995.00
Dell XPS 8700: 4th Generation Intel Core i5-4430 Processor, 1 TB 7200 RPM SATA Hard Drive, 8 GB Memory 1600 MHz, 24" HD Monitor, 3 Year Warranty, Windown 7 Professional,	Workstation	$ 1,250.00	15	$ 18,750.00
Fujitsu 6130z Scanner: 40 pages per minute (200 dpi), Duplex Scanning, Color, Black and White, Monochrome, 50 Sheet Automatic Document Feeder, USB 2.0 Interface	Desktop Scanner	$ 985.00	19	$ 18,795.00
Fujitsu 6670A Scanner: Pages/Images per minute: 70ppm/140ipm @200dpi 60ppm/120ipm @300dpi Daily Duty Cycles: 15,000 sheets Max Paper Size: 12" X 18" Automatic Document Feed Capacity = 200 sheets	Mail Room Scanner	$ 5,379.99	0	$ N/A
NEXSAN E18 Storage Area Network 8.6 TB available storage iSCSI 18 Total Bays (9 open) 2U Form Factor Dual Controllers 2GB Cache 3 Year NBD Maintenance	SAN	$ 13,750.00	1	$ 13,750.00

Dell PowerEdge R720 Server Two Xeon E5-2665 Processors 64 GB 1600 MHz Memory Four Gb NIC Redundant Power Supplies Three Year NBD ProSupport	Server	$ 7,850.00	3	$ 23,550.00
Dell PowerEdge R520 Server Xeon E5-2403 Processor 16 GB 1333 MHz Memory RAID Controller 3TB Usable Storage Redundant Power Supplies Three Year NBD ProSupport	Server	$ 4,150.00	1	$ 4,150.00
HP 2920-24G Switch	Switch	$ 1,295.00	2	$ 2,590.00
NEXSAN E18 Storage Area Network 8.6 TB available storage iSCSI 18 Total Bays (9 open) 2U Form Factor Dual Controllers 2GB Cache 3 Year NBD Maintenance	SAN	$ 13,750.00	1	$ 13,750.00

EXHIBIT B

Special Conditions

EXHIBIT [B]

SPECIAL CONDITIONS

CONTENTS

SC-01 REPRESENTATIONS AND WARRANTIES

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

i) warrants that the Deliverables shall not contain disabling code planted by Contractor that will activate upon a predetermined date or that can be remotely activated by Contractor without the County's prior written consent;

ii) warrants that, at all times, it has exercised and will exercise commercially reasonable efforts to assure that computer viruses have not been introduced into the Deliverables while the Deliverables are in Contractor's possession;

iiix) warrants that, at all times, it has exercised and will exercise commercially reasonable efforts to exclude unauthorized access by third parties, undisclosed programs, or extraneous code or data that may be reasonably expected to damage County Data or the County's software, systems or operations

ivxi) warrants that the Deliverables will perform in accordance with the functional and technical requirements in this Agreement and all published documentation specifications for the Deliverables, and shall correct such failure of the Deliverables to do so, during the ninety (90) day period following the later of the County's acceptance of the deliverables or the termination of this Agreement; provided that County shall tender written notice to Contractor of such failure within the warranty period. This warranty shall not apply where any such failure is caused in whole or in part by any party other than Contractor or by any functional, technical, or other limitation of any third party hardware, software, equipment, network, or other means.

SC-02 INTELLECTUAL PROPERTY RIGHTS

For purposes of this Agreement, "Intellectual Property" means: (1) confidential, proprietary, and trade secret information; (2) trademarks, trade names, discoveries, inventions processes, methods and improvements, whether or not patentable or subject to copyright protection and whether or not reduced to tangible form or reduced to practice; and (3) works of authorship, wherein such forms of property are required by Contractor to develop, test, and install computer programs (in object and source code form), scripts, data, documentation, the audio, visual and audiovisual content related to the layout and graphic presentation of the computer programs, text, photographs, video, pictures, animation, sound recordings, training materials, images, techniques, methods, algorithms, program images, text visible on the Internet, object code, source code and images, illustrations, graphics, pages, storyboards, writings, drawings, sketches, models, samples, data, other technical or business information, reports, and other works of authorship fixed in any tangible medium.

Contractor agrees to execute all documents and take all actions that may be reasonably requested by the County to evidence the transfer of license to intellectual property rights described in this Section, including providing any code used exclusively to develop such Deliverables for the County and the documentation for such code. Contractor acknowledges that there are currently and that there may be future rights that the County may otherwise become entitled to with respect to Intellectual Property that does not yet exist, as well as new uses, media, means and forms of exploitation, current or future technology yet to be developed, and that Contractor specifically intends this section's ownership or rights by the County to include all such now known or unknown uses, media and forms of exploitation.

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.

SC-03 COUNTY DATA

For purposes of this Agreement, "County Data" means all data provided by the County to Contractor, provided by third parties to the Contractor for purposes relating to this Agreement, or otherwise encountered by Contractor for purposes relating to this Agreement, including, without limitation, all data sent to Contractor by the County and/or stored by Contractor on any media relating to the Agreement, including metadata about such data. To the extent there is any uncertainty as to whether any data constitutes County Data, the data in question shall be treated as County Data.

County Data, or any derivatives thereof, provided to Contractor or contained in any Contractor repository shall be and remain the sole and exclusive property of the County. Data created or collected from a third party on behalf of the County by the Contractor as part of this agreement, shall become the property of the County. Contractor is provided a license to County Data hereunder for the sole and exclusive purpose of providing services under this agreement, including a limited non-exclusive, non-transferable license to store, record, transmit, and display County Data only to the extent necessary in the provisioning of the services under this agreement. Except for approved subcontractors, Contractor is prohibited from disclosing County Data to any third party without prior, specific written approval from the County. Contractor shall not use the County Data for any purpose other than that of rendering the Services under this Agreement, nor sell, assign, lease, dispose of or otherwise exploit County Data. Contractor shall not possess or assert any lien or other right against or to County Data.

All County Data, both in motion and at rest, shall be stored only within the continental United States.

SC-04 DATA SECURITY AND CONFIDENTIALITY

Contractor shall implement appropriate measures designed to ensure the confidentiality and security of County Data, protect against any anticipated hazards or threats to the integrity or security of such information, protect against unauthorized access or disclosure of information, and prevent any other action that could result in substantial harm to the County or an individual identified with the data or information in Contractor's custody. County Data shall only be utilized on a need-to-know basis for the purposes of performing Contractor's obligations under this agreement. The confidentiality obligations set forth in this agreement shall survive the duration of this agreement and continue indefinitely.

Contractor agrees, upon request, to furnish to the County with a description of the steps Contractor has taken to prevent unauthorized access to, use of or disclosure of County Data. Contractor agrees to allow representatives of the County access to Contractor's and its subcontractor's premises where County Data is kept for the purpose of inspective security (physical and electronic) arrangements.

SC-05 SECURITY AND PRIVACY FOR APPLICATION DEVELOPMENT

Contractor shall tender the Deliverables according to industry best practices and in a manner that reasonably protects the security, confidentiality and privacy of County Data and any individuals who may be considered data subjects as to the County, Deliverables, or County Data. At a minimum, and not to the exclusion of any industry best practice, Contractor shall tender the Deliverables in conformance with the following standards where technologically applicable: Microsoft Secure Coding Guidelines for the .NET Framework, CERT Secure Coding Standards, and OWASP Secure Coding Principles. Furthermore, Contractor's coding practices shall follow the principles of privacy by design and the Federal Trade Commission's Fair Information Practice Principles.

Application Security will depend, in part, on the use of Cook County's pre-existing Microsoft Active Directory system for the management of user accounts and privileges. Cook County is responsible for the administration of this system. Cook County shall be responsible for the protection of data as it enters and leaves the application server. This includes but is not limited to the decision on whether or not to encrypt, the choice of transport protocol, and the security of the network. Cook County through its role as Database Administrator and Server OS Administrator shall be responsible for protection of the data at rest. This includes but is not limited to the selection and configuration of file encryption mechanisms, server security configurations, and the diligent deployment of Windows security patches issued by Microsoft.